

LIBRARY OF CONGRESS MERIT SELECTION PLAN

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LIBRARY OF CONGRESS MERIT SELECTION PLAN

I. PURPOSE AND APPLICABILITY

This plan describes the objectives, policies, and procedures governing the competitive filling of Library vacancies through merit selection of qualified individuals. Merit selection refers to filling vacancies through a competitive process and includes promotions of employees accomplished through the competitive hiring process. The plan applies to filling all Library non-bargaining unit positions at grades GS-3 through GS-15 and bargaining- unit administrative, professional, clerical and technical positions unless covered by a separate negotiated collective bargaining agreement. The plan also applies to filling all Library bargaining unit Senior Level (SL) positions. In the event of a conflict between a provision of this plan and applicable provisions of negotiated collective bargaining agreements, the provisions of the collective bargaining agreements will apply.

II. AUTHORITY

The provisions of this plan are authorized by and consistent with LCR 2010-14: Merit Selection and Employment and applicable negotiated collective bargaining agreements. For a list of Library regulations and collective bargaining agreements related to the provisions of this plan, see Appendix B.

III. POLICY

It is the policy of the Library that all vacancies filled under the provisions of this plan will be filled from among the best qualified candidates available. All selections shall be made solely on the basis of merit, fitness, and qualifications and without regard to political, religious or labor organization affiliation or non-affiliation, marital status, race, color, gender, sexual orientation, national origin, non-disqualifying physical disability, age, or other non-merit factor. Consideration for selection shall be based on job-related competencies/knowledge, skills and abilities (KSAs).¹

The selection policies and procedures in this plan shall be applied consistently and shall promote fairness, diversity, and integrity. The policies and procedures used to implement this plan will be consistent with the principles of content-validity.²

¹Although not synonymous, competencies and KSAs serve the same function in job analysis. To avoid confusion, competencies and KSAs are referred to as competencies/KSAs throughout this Plan.

²Content validity is the methodology used by the Library to establish the job-relatedness of the merit selection process used to fill a vacancy. Job-relatedness is established by ensuring the competencies/KSAs and the assessment instruments used to fill a vacancy are related to the duties of the position.

IV. OBJECTIVES

The objectives of the Merit Selection Plan are to:

- a. acquire a highly-qualified workforce through the selection of best-qualified candidates,
- b. ensure that all applicants for merit selection and promotion are treated equitably and fairly,
- c. refer highly qualified, diverse interview pools for all vacancies, and
- d. provide incentive for employees to develop their competencies/KSAs in order to advance to maximum realization of their career potential within the framework of the jobs needed to carry out the Library's mission.

V. EXEMPTIONS

Exemptions to this Merit Selection Plan are found in LCR 2010-14 for non-bargaining unit positions and exemptions for bargaining unit positions are found in the applicable collective bargaining agreements.

VI. RESPONSIBILITIES

The Librarian of Congress, the Chief Operating Officer, the Director for Human Resources Services, the Heads of all Service and Support Units, as well as selecting officials and all other managers and supervisors are responsible and accountable for ensuring that the provisions of this plan are applied consistently and equitably, thereby demonstrating commitment to and support for merit selection principles, policies, and practices.

A. Supervisors/Managers/Selecting Officials are responsible for applying the principles, policies, and procedures of this plan, including the principle of equal employment opportunity, in filling vacancies and making selections. Specific responsibilities include, but are not limited to:

1. anticipating staffing needs and initiating actions to allow for timely recruitment and selection in accordance with this plan;
2. ensuring the currency and accuracy of position descriptions for all positions to be filled;
3. serving on job analysis and interview panels;
4. determining whether job analysis materials developed in the past 24 months for job series, job families, or individual position(s) may be used in lieu of convening a new job analysis panel;
5. determining the size of the interview referral list(s) beyond the minimum size required by this plan;
6. determining recruitment strategies and sources designed to target highly qualified, diverse candidates, including areas of consideration and the length of time a vacancy will be posted beyond the minimum requirement;
7. initiating requests for additional candidates to be interviewed, consistent with the provisions of this plan;
8. keeping informed of and adhering to this plan; and
9. counseling employees on ways to improve their potential for selection or promotion and assisting them in self-development activities.

B. Director for Human Resources Services (HRS) is responsible for administering and overseeing implementation of this plan in accordance with applicable law and Library regulations. Specific responsibilities of the Director (and HRS staff, contractors, or Service/Support Unit staff designated by the Director) include, but are not limited to:

1. providing leadership and support for implementation of the provisions of this plan, ensuring that all related policies and procedures are applied equitably;
2. ensuring that managers/supervisors/selecting officials are aware of the provisions of this plan by communicating the plan, providing appropriate training, and issuing instructions, procedures, or other communications required to clarify, update, and improve the plan's implementation;
3. informing employees periodically of the requirements and objectives of this plan and any procedural changes, and advising them of where they may review or obtain a copy of this plan;
4. establishing, maintaining, and keeping secure merit selection records necessary to answer inquiries and reconstruct personnel actions for a minimum of two years from the date of selection or cancellation of a vacancy announcement;
5. advising job analysis and interview panel members and Selecting Officials of their duties and responsibilities and serving as a technical advisor;
6. facilitating the work of job analysis panels and ensuring appropriate documentation of job analysis;
7. assisting managers/supervisors/selecting officials in targeted recruitment efforts;
8. issuing and publicizing vacancy announcements,
9. screening applicants against eligibility requirements for positions;
10. issuing interview and final referral list(s) to Selecting Officials;
11. responding to questions from applicants regarding the status of their application or the requirements of this plan;
12. ensuring that all applicants who apply under a vacancy announcement are notified of the results;
13. reviewing selections and making official offers of employment;
14. reviewing selection process for conformance with merit principles and Library regulations and affirmative action goals, as defined by the Multi-Year Affirmative Employment Program Plan or the Office of Opportunity, Inclusiveness & Compliance (OIC)
15. providing for periodic evaluations of operations under this plan;
16. notifying affected unions of any changes to the Merit Selection Plan;
17. notifying affected unions when a position description is changed in connection with job analysis;
18. notifying affected unions within 5 work days of a canceled or curtailed posting, including the reasons for cancellation or curtailment;
19. notifying Congressional Research Employees Association, IFPTE, Local 75 (CREA) of the names of all SMEs within 5 days of their selection and making available the names of SMES to the Guild, AFSCME Local 2910, upon request; and
20. notifying the appropriate labor organization within five workdays of the selectee's entry on duty (begins work). The notification will also specify the name of the selectee, the title of the job and its grade, the organizational unit, and the term of appointment.

C. Director of the Office of Opportunity, Inclusiveness & Compliance (OIC) is responsible for ensuring that reliable, accurate workforce data is available to Service/Support Units for use in recruitment plans and for coordinating with HRS and Service/Support Units on diversity analysis as outlined in Section XIII.

D. Subject Matter Experts (SMEs) serving on job analysis and/or interview panels are responsible for:

1. applying their subject matter expertise to perform job analysis tasks (identifying competencies/KSAs necessary to perform the job being analyzed and developing rating instruments to measure levels of proficiency in the competencies/KSAs, such as the applicant questionnaire and interview guide);
2. maintaining confidentiality of job analysis and/or interview process proceedings and documentation; and
3. disqualifying him or herself from serving on a job analysis and/or interview panel if, to do so, would create a conflict of interest or the appearance of such conflict, e.g., the employee's relative is an applicant for a vacancy.

E. Job Analysis Panels are responsible for:

1. reviewing position descriptions and determining, if needed, any minimum education, licensing, certification and/or experience qualifications (conforming to the provisions of this plan outlined in Section VIII. Recruitment and Selection Procedures);
2. identifying the competencies/KSAs necessary to perform the duties of the job series, job family, or individual position(s) being analyzed, including the "critical" competencies/KSAs³ to be measured by the Interview Panel;
3. developing validated rating instrument(s), i.e., applicant questionnaires and structured interview guides, and/or other rating tools, which measure levels of proficiency in the competencies/KSAs; and
4. ensuring the content-validity of the selection process by appropriately documenting as outlined in this plan the job-relatedness of the competencies/KSAs and rating instruments used to fill a vacancy.

F. Interview Panels are responsible for:

1. attending required structured interview training and ensuring that the interview process is conducted according to interview training and guidelines;
2. determining prior to conducting interviews whether to verify experience on self-assessment applicant questionnaire/crediting plan by a) reviewing narratives/applications and/or b) conducting preliminary telephone interviews;
3. conducting and documenting the narrative/application review and/or preliminary telephone screen, if appropriate, and

³Critical competencies/KSAs are those identified by a job analysis panel for which applicants must be assessed by an Interview Panel in a narrative/application review, a preliminary telephone interview or a full structured interview as having "fully acceptable" experience to be considered for selection. Critical competencies/KSAs are generally technical in nature.

4. conducting the structured interview, scoring interviewees using the benchmark anchors, and documenting the interview process.

G. Applicants are responsible for:

1. submitting all required application materials for vacancies for which they have an interest and for which they qualify and ensuring that such materials are received by HRS no later than the closing date of the vacancy announcement, except as provided in Section VIII.C.2.;
2. demonstrating that they have the competencies/KSAs necessary to qualify for positions for which they desire consideration by accurately portraying their job-related knowledge, education, training and experience in all application materials and throughout the selection process;
3. familiarizing themselves with the provisions of this plan and the procedures for applying for advertised positions; and
4. availing themselves of self-development opportunities to develop the competencies/KSAs required for positions at the Library.

VII. AREA OF CONSIDERATION

A. Determining Area of Consideration. The area of consideration refers to the boundaries (area, organization, or group of organizations), within which persons must work to be eligible for consideration for a specific vacancy. Areas of consideration are determined by the Selecting Official for a vacancy, unless budgetary or FTE (full-time equivalent) constraints apply as outlined in VII.B. When considering the appropriate area of consideration, the Selecting Official shall choose an area large enough to produce an adequate number of highly qualified, diverse applicants. Selecting Officials may choose one of the following areas of consideration:

1. Unrestricted. (Anyone may apply. Normally, Library employment is limited to U.S. citizens. However, non-citizens may be employed provided they meet the conditions defined in LCR 2010-7: Employment of Non-Citizens Using Appropriated and Non-Appropriated Funds.)
2. Federal employees. (Current and former Federal employees from all three branches of government)⁴
3. Library-wide. (Current permanent, indefinite, indefinite NTE and/or temporary Library employees)
4. Service/Support Unit or Division-wide. (Current permanent and indefinite employees working within a specified Service/Support Unit or Division.)

B. Restrictions due to Budgetary/FTE Constraints. Vacancies can only be restricted to the Service/Support Unit or Division due to budgetary and/or staff (FTE) ceiling constraints.⁵

⁴ This includes status and nonstatus employees. Status employees are executive branch employees with three or more years of executive branch service. Legislative and judicial branch federal employees are nonstatus employees regardless of years of service.

Requests to restrict vacancies must be certified in writing by the Service/Support Unit Head through the vacancy announcement request process.

C. Concurrent Consideration. The Selecting Official may consider applicants through noncompetitive processes while concurrently considering candidates through the merit hiring competitive process. In accordance with Library regulations, noncompetitive processes include: 1) non-advancement placements (i.e., reassignments, demotions or reemployment⁶ of Library employees to positions without promotion potential beyond the employee's current or last non-temporary position); 2) the Selective Placement Program; and/or 3) approved recruitment, training, or exchange programs.

VIII. RECRUITMENT AND SELECTION PROCEDURES

A. Vacancy Announcement Request Procedures

1. Identifying a Vacancy. The Service/Support Unit determines the need to fill a vacancy in accordance with its procedures and designates a Selecting Official.

2. Accuracy of Position Description. The Selecting Official is responsible for ensuring the accuracy of the position description for the vacancy being filled. The Selecting Official and/or position supervisor reviews an existing position description and updates the position description, if needed. For new or significantly changed positions, the Selecting Official and/or position supervisor creates a new position description.⁷ New or updated position descriptions must be certified for accuracy by the position supervisor or Selecting Official, reviewed and approved in accordance with the internal procedures of each Service Unit, and forwarded to HRS for classification approval in accordance with the Classification Procedures outlined in LCR 2016-1. HRS staff, contractors, and/or Service/Support Unit staff provide consultative support to Selecting Officials in creating and updating position descriptions.

⁵The Library's annual budget designates a fixed number of full-time equivalent positions for organizations in the Library. If the hiring organization has no available FTEs then the posting must be limited to that organization to avoid exceeding the staff ceiling constraint.

⁶Reemployment provisions are found in Library of Congress Professional Guild, AFSCME Local 2910, April 2002, agreement, Article 19, Section 17 and in the Congressional Research Employees Association IFPTE, Local 75 (CREA) agreement, Article XVIII, Section 16.

⁷Any position description changed and classified as a result of job analysis will become the position description of record for all incumbents in that position. If new or additional competencies/KSAs are added to the PD, the Library will notify the unions of the change(s) and provide appropriate training to the incumbents as determined by the Library, within a reasonable time period to assure that they can meet the new qualifications.

3. Requesting a Vacancy Announcement. A Service/Support Unit requests that HRS announce a vacancy by submitting a Vacancy Announcement Request (VAR) to the HRS Office of Workforce Acquisitions. The Service/Support Unit must identify on the VAR the position to be filled and the Selecting Official and subject matter experts (SMEs) for the job analysis and interview panels. In addition, the VAR must include the signature of the appropriate Fund Manager authorizing fiscal approval to post the position.

4. Designating SMEs for the Job Analysis and Interview Panels. Each panel consists of the Selecting Official and at least two SMEs. The Selecting Official designates the members of the Job Analysis and Interview Panels for each vacancy announcement.

- a. SMEs must be individuals who are performing, have performed, or are very knowledgeable of the responsibilities and tasks of the position being filled and who are at or are above the grade level of that position.
- b. Individuals who intend to apply for the vacancy or for whom it might pose a conflict of interest or appearance as such (i.e., a family member may apply for the vacancy) cannot serve as a SME panel member.
- c. Every reasonable effort shall be made to ensure that the panels reflect the diversity of the Library's workforce by including men, women, minorities, and persons with disabilities who meet the criteria outlined in 4.a. above.

5. Completing a Recruitment Plan. A Recruitment Plan must be prepared for each vacancy. This Recruitment Plan identifies areas and degrees of current Library under-representation in the job category being advertised as well as internal and external recruitment sources designed to attract qualified applicants to the vacancy, including members of the under-represented groups. The development of the recruitment plan constitutes Diversity Analysis Stage 1.

- a. The Recruitment Plan is developed by the Selecting Official in consultation with the job analysis panel, Service/Support Unit administrative staff, HRS Specialists, and the Office of Opportunity, Inclusiveness & Compliance (OIC).
- b. The plan must be received by HRS prior to posting the position.

B. Job Analysis Procedures

Job analysis at the Library is conducted for vacancies to identify the competencies/KSAs necessary to perform the duties of the job series, job family, or individual position(s) being analyzed and to develop rating instruments (i.e., applicant questionnaires and structured interview guides, and/or other rating tools, such as skill or specific ability tests) which measure levels of proficiency in the competencies/KSAs.

1. Conducting a Job Analysis Panel. Job Analysis Panels are convened by HRS or authorized Service/Support Unit administrative staff. The Panel's work may be facilitated by HRS staff, contractors and/or Service/Support Unit staff authorized by the HRS Director. Each job analysis panel is provided with:

- a. a classified position description;
- b. if applicable, OPM's Qualification Standards and/or Library-wide Occupational Requirements identifying basic requirements for the job series being analyzed, including any positive education, licensing, or certification requirements;
- c. a draft job analysis worksheet/matrix and/or a list of competencies/KSAs to consider;
- d. a draft applicant questionnaire/crediting plan;
- e. if available, draft interview questions and benchmark anchors; and
- f. a draft vacancy announcement.

2. Determining Basic Qualification Requirements . The Panel reviews for reference purposes OPM and/or Library Occupational Requirements for the job series being analyzed and determines minimum education, licensing, certification, and/or experience requirements for the position being analyzed. Individual SME Panels may choose to adopt existing OPM or Library Occupational Requirements if job-related, important to performing the duties of the position, and required upon entry.

3. Determining Competencies/KSAs and Completing Job Analysis Worksheet/Matrix.

- a. The Panel determines the competencies/KSAs necessary to perform the duties of the position being analyzed. Competencies/KSAs may only be included in the selection process if evaluated by the Panel as job-related, important to performing the duties of the position, and required upon entry.⁸
- b. Once competencies/KSAs are identified, the Panel assigns a relative weight (ranging from 1-3) to each competency/KSA. The weights are assigned based on the relative importance of each competency/KSA to each other. In addition, the Panel must identify the linkages between the competencies/KSAs and the duties found in the position description. The Panel must also identify 1) the competencies/KSAs to be measured in the Applicant Questionnaire/Crediting Plan and/or Structured Interview and/or other rating instruments, such as Skill or Specific Ability Tests and 2) the critical competencies/KSAs to be measured in the narrative/application review, preliminary telephone interview or full structured interview.
- c. The Panel must document its work in a job analysis worksheet/matrix. Documentation must include:
 - i. all competencies/KSAs to be used in the selection process;
 - ii. Importance and Required Upon Entry ratings;
 - iii. assigned weights (1-3);
 - iv. identification of rating instruments (i.e., Applicant Questionnaire/Crediting Plan, Structured Interview and/or Skills or Specific Ability Tests) to be used to measure each competency/KSA;

⁸For most positions, it is recommended that panels identify seven to ten (7-10) competencies/KSAs to assess during the selection process.

- v. the critical competencies/KSAs to be used in the narrative/application review, preliminary telephone interview or the full structured interview; and
- vi. linkages between each competency/KSA and the duties identified in the position description.

4. Completing Final Applicant Questionnaire/Crediting Plan. The Panel reviews, edits, and refines the applicant questionnaire/crediting plan, ensuring that the questions and levels of experience are relevant to the competency/KSA being measured and to the position being analyzed. Panel members should ensure questions and levels of experience options are sufficiently descriptive to enable applicants and Panel members to distinguish between experience levels and to identify with accuracy the applicant's background and experience. Competencies/KSAs may be measured by more than one question.

5. Completing Final Structured Interview Questions and Benchmarks. The Panel reviews, edits, and refines the interview questions and benchmark anchors to be used when scoring interviews. If draft interview questions and benchmarks are not available, the Panel develops appropriate interview questions and benchmark anchors with the assistance of the HRS staff, contractor or Service/Support Unit staff facilitating the work of the panel. Panel members should ensure benchmark anchors are sufficiently descriptive to provide a meaningful guide for use by the Interview Panel in scoring the interviews.

6. Approving Final Job Analysis Package. Based on the work of the Job Analysis Panel, HRS or authorized Service/Support Unit administrative staff prepare the final job analysis documents (job analysis worksheet/matrix, applicant questionnaire/crediting plan, interview questions and benchmarks, and vacancy announcement) for final panel review and approval. The Panel is responsible for ensuring the accuracy and content validity of these documents.

7. When to Conduct a Job Analysis Panel. Job analysis is not required every time a position is filled. Whether a new job analysis is required depends on the currency of the most recent job analysis for the position(s) to be filled and the frequency of changes in the requirements of a position. For example, information technology positions will likely require more frequent reviews than more static positions. Selecting Officials may choose to rely on recent job analysis materials (i.e., those developed for job series, job families, or individual position(s) within a two year period) in lieu of convening a new job analysis panel. When filling any vacancy for which the job analysis documents are more than two years old, a job analysis panel will be convened to review the job analysis and update, if needed.

C. Vacancy Announcement Procedures.

1. Content of Vacancy Announcements. Vacancy announcements shall include, but not be limited to, the following:

- a. vacancy announcement number;
- b. opening and closing dates and whether the position is open until closed or open continuously;
- c. title of position, series, grade, salary range, appointment tenure;
- d. tour of duty (hours, special shifts), work schedule (including alternative work schedule options), and any overtime requirements;
- e. career-ladder potential, if any;
- f. organization and geographic location of position;
- g. statement regarding the bargaining unit status of a position; and if applicable, identifying the bargaining unit;
- h. statement that a position is managerial or supervisory, if applicable
- i. number of vacancies at time of posting, with a stated reservation by the Library to fill a lesser or greater number of vacancies;
- j. summary of the duties of the position/essential functions of the job;
- k. area of consideration;
- l. eligibility requirements;
- m. education, license, or certification requirements, if applicable;
- n. critical competencies/KSAs and other competencies required for the position with clear designation of the critical competencies/KSAs;
- o. security clearance requirements, physical requirements, and test requirements, if any;
- p. instructions on how to apply, both paper and on-line;
- q. instructions related to mail delivery;
- r. a list of documentation required from applicants;
- s. equal employment opportunity statement;
- t. Selective Placement Program statement;
- u. description of the evaluation process, including the role of critical competencies/KSAs;
- v. statement regarding relocation expenses;
- w. statement on probationary period requirements;
- x. if a vacancy announcement is canceled and later reposted, the first vacancy announcement will be referenced and a statement included that lists the changed requirements, if any, and information on whether or not applicants must reapply;
- y. contact information (e-mail and telephone) for general and technical questions; and
- z. statement regarding what to do if technical difficulties prevent applicants from submitting their applications prior to the posted deadline.

2. Posting Period for Vacancy Announcements. Vacancy announcements will remain open for a minimum recruitment period of ten (10) workdays unless a longer posting period is requested by the Selecting Official or required by the Recruitment Plan. Closing dates may be extended by the Selecting Official in increments of five (5) workdays or more or extended by the HRS Director one (1) day or more due to circumstances beyond the Library's control, such as emergency closings.

- a. Vacancy announcements remain open to receipt of applications until the posted closing date.
- b. If a vacancy announcement has been closed to the receipt of applications, employees who are on approved leave or excused absence for the entire period that the vacancy announcement was open must submit their applications using a job kit by close of business of the third (3rd) workday after the vacancy announcement closed in order to be considered.

3. Distribution of Vacancy Announcements. HRS staff are responsible for posting vacancy announcements. All announcements are posted on the Library's Web site and paper copies placed on the Library's Employment Office bulletin boards. Vacancy announcements are also distributed electronically by HRS to all labor organizations and Service/Support Units. HRS will ensure that employees with visual impairments are provided access to vacancy announcements, upon request. HRS staff, contractors, and/or Service/Support Unit administrative staff are responsible for distributing vacancy announcements to sources targeted in recruitment plans developed in Diversity Analysis Stage1.

4. Open Vacancy Announcements. Open, continuous vacancy announcements, i.e., vacancy announcements without specific closing dates remain open until filled or cancelled. These are used when vacancies are difficult to fill or continuing.

5. Registers. Registers may be used to advertise recurring vacancies for which recruitment is expected to be difficult or continuing. Candidates submit applications to be included in the register. These applications are available for screening when the positions are needed. Registers would be used until superseded or cancelled. The Library will meet all bargaining obligations with applicable unions prior to implementation of registers.

D. Application Procedures.

1. Methods of Applying. Applicants may apply for a vacancy online using the Library's automated system or manually using a "Job Kit" available from the Library. HRS will, upon request, provide applicants with job kit materials, including a copy of the vacancy announcement, the position description, an applicant questionnaire/crediting plan, and instructions for completing a Federal style resume.

2. Required Application Materials. Applicants must apply as specified in the vacancy announcement to be considered for a vacancy. All application documents must be legible (typing/word-processing preferred). Application materials must either be submitted online or received by HRS on or before the final closing date, except as noted under VIII.C.2.b. above. Applicants who wish to be considered for a vacancy must submit the following materials.

- a. Online Applicants: a completed electronic application form available through the Library's automated system, including the applicant questionnaire/crediting

plan and supporting narratives. A supplemental resume may be submitted, if desired.

b. “Job Kit” Applicants: a completed scannable application form, including responses to the applicant questionnaire/crediting plan, an OF-612 or Federal-style resume, and brief narrative statements supporting responses to the applicant questionnaire/crediting plan on supplemental sheets of paper. Each supplemental sheet submitted by an applicant must include his/her name and the vacancy announcement number.

c. Transcripts, licenses, and/or certifications: Applicants for vacancies with education, licensing, and/or certification requirements must submit copies of their documentation with their application materials. These documents may be faxed, scanned, or mailed to the Staffing Specialist or hand delivered to the Interview Panel. They must be received prior to a full interview. Applicants who do not submit the required documentation will not be interviewed and will be disqualified from further consideration. Official documentation will be required if selected for the position.

Failure to complete all mandatory sections of the online or job kit application form or failure to submit an OF-612 or Federal-style resume and brief supporting narratives with a job kit application will disqualify applicants from further consideration for the vacancy for which they are applying.

3. Notification to Applicants. Online applicants will receive an electronic confirmation of successful submission of applications. For applicants submitting their applications in hard-copy format using the “Job Kit”, HRS staff will review all documents for completeness and issue a receipt. The vacancy announcement will include contact information for applicants who experience technical difficulties preventing them from submitting a timely application.

E. Screening Procedures.

The Library employs multiple steps to screen candidates for selection by the Selecting Official. The steps include screening through the applicant questionnaire/crediting plan and the structured interview. Skills or specific ability tests, if validated, may also be used in addition to or instead of the applicant questionnaire/crediting plan or structured interview, as specified in Section VIII. E.6.

1. Initial Screening and Rating of Applicants. Applicants are initially screened for basic eligibility, qualification requirements, and experience related to required competencies/KSAs on the basis of a self-assessment applicant questionnaire/crediting plan developed by a job analysis panel.

a. Applicants are screened for basic eligibility through the Library’s automated system evaluating objective eligibility criteria (e.g., completion of required application materials and timely submission of application and supporting documentation) published in advance in a vacancy announcement. Applicants may also initially be screened through the system on minimum education, certification, and/or licensing requirements approved by the Job Analysis Panel and published in the vacancy announcement.

b. Applicants are scored on their applicant questionnaire/crediting plan based on their self ratings for each competency/KSA. A composite weighted score is derived from the self-rating for each competency/KSA multiplied by the competency/KSA's weight as determined by the Job Analysis Panel.

2. Establishing Interview Referral Cutoff Score. All interview referrals will be based on the automated scoring of the applicant questionnaire/crediting plan plus eligibility, education, licensing, and/or certification requirements, if applicable.

a. HRS staff establishes a minimum interview referral list of applicants to be interviewed for a vacancy. The minimum number of candidates to be referred includes the top seven applicants plus applicants with the same score as the seventh ranked applicant (the top seven plus ties). The list of applicants to be referred is reviewed to determine the degree of diversity of the pool, based on a comparison of the referral pool with under-representation data identified in the Recruitment Plan. When the applicant pool contains members of under-represented groups, they will be added up to the 12th ranked candidate.⁹

b. The Selecting Official has the option of requesting a larger interview pool than the minimum described above. The Selecting Official may determine the size of the interview pool based on information provided by HRS staff describing the range of scores, the number of candidates receiving each score within that range, and the presence of under-represented groups identified in the Recruitment Plan within that range. The Selecting Official has no information identifying individual candidates until the interview referral list is received. This constitutes Diversity Analysis Stage 2.

3. Establishing Interview Referral List.

a. HRS staff issues the referral list to the Selecting Official. For vacancies with minimum education, certification, or licensing requirements, HRS staff verifies that applicants on the interview referral list meet those requirements by reviewing transcripts, licensing, and/or certification documentation. Applicants who do not meet those requirements are eliminated from the list. For every applicant eliminated from the list, the Selecting Official may request that an additional applicant be referred. All applicants with the same score will be included in the additional referral.

b. The list of applicants referred shall be in alphabetical order with no reference to the automated system scores.

c. For every applicant who declines an interview, is unavailable for interview within a reasonable period of time, or who withdraws during the interview

⁹ When adding members of under-represented groups up to the 12th ranked candidate, any applicant whose score is the same or higher than an under-represented applicant will also be added to the referral pool.

process, the Selecting Official may request that an additional applicant be referred. All applicants with the same score will be included in the additional referral.

d. Documentation of any applicant's declination or unavailability for interview or withdrawal from the process shall be maintained.

4. Optional Use of Verification Tools . Prior to beginning structured interviews for a vacancy, the Interview Panel may choose whether to verify self ratings provided by applicants on the interview referral list through the use of narrative/application reviews and/or preliminary telephone interviews. Following these screening procedures the Selecting Official may then request that additional candidates be referred to replace any applicants disqualified. The Selecting Official may only request up to the number of candidates disqualified, and that number plus ties will be referred.

a. Option to Review Narratives/Applications. The Interview Panel may choose to review narratives/applications provided by applicants. If this option is used, the Panel shall disqualify applicants if the narratives and the applicant profile demonstrate less than "Fully Acceptable" experience on one or more of the critical competencies/KSAs. All Panel members must agree on a decision to disqualify on this basis. Documentation of disqualifications shall be maintained. The Selecting Official may request that additional candidates be referred to interview to replace those disqualified, and that number plus ties will be referred.

b. Option to Conduct Preliminary Telephone Interview. The Interview Panel may choose to conduct preliminary telephone interviews with all applicants, using the questions related to one or two of the critical competencies/KSAs. If this option is used, the Panel shall disqualify applicants found by the Panel to have less than "Fully Acceptable" experience on one or two of the critical competencies/KSAs. All Panel members must agree on a decision to disqualify on this basis. Documentation of disqualifications shall be maintained. The Selecting Official may request that additional candidates be referred to interview to replace those disqualified, and that number plus ties will be referred.

c. Adding Applicants to Interview Referral Based on Verification Tools. If additional candidates are referred to interview based on the Interview Panel's use of one or both verification tools, all new candidates on the interview referral list must be assessed using the same tools as were used to assess the initial group of applicants on the interview referral list.

5. Structured Interview . The Library uses structured interviews to identify best-qualified candidates for final referral to the Selecting Official for selection. Using standard procedures and questions developed in advance of the posting and asked of all applicants, the interview is intended to verify some of the self ratings provided in the applicant questionnaire/crediting plan.

a. Conducting Structured Interviews. Structured interviews are conducted by Interview Panels, which include the Selecting Official and at least two additional Subject Matter Experts (SMEs). One of the SMEs, other than the Selecting Official, acts as the Chairperson of the Panel. This person ensures that the interview process is conducted according to interview training and that appropriate documentation is produced throughout the interview process.

b. Structured Interview Training. Interview Panel members (Selecting Official and SMEs) as well as the HRS staff assigned to the Panel must receive structured interview training prior to the interviews. The HRS staff ensures that interview training has been provided to all participants prior to conducting any interviews and responds to any questions from interviewers prior to the interviews commencing and throughout the selection process.

c. Interview Materials. Structured interviews will be conducted using the interview questions and benchmark anchors developed in job analysis. Interviewers will be provided with an interview package prior to the interviews; which includes the interview referral, each referred applicant's application (including the applicant questionnaire/crediting plan, and a resume or OF 612, if applicable), a structured interview guide, and copies of transcripts, licenses, and/or certifications, if applicable.

d. Request for References. All applicants who are interviewed will be asked for permission to contact supervisors as references and for a list of references, if not already provided in the application materials. The applicants will be advised that their references will only be contacted when the applicant has been referred to the Selecting Official on the Final Referral List.

e. Scoring of Structured Interviews. The Interview Panel members independently score the interviews using the benchmark anchors. The scores will be based on a five-point scale (4 = Outstanding, 3 = Superior, 2 = Fully Acceptable, 1 = Less than Fully Acceptable, and 0 = No Evidence of Experience). After completing their individual scoring, the Interview Panel meets with an HRS staff member who compiles the individual scores and facilitates a discussion of their ratings and justifications. Based on the discussion, the Interview Panel members make final ratings independently.

i. Each applicant's final interview score is mathematically computed based on a weighted average of the interviewers' scores. This score is calculated by 1) summing ratings across panelists for each KSA; 2) multiplying each summed score by the KSA Weight to get a weighted score; 3) summing weighted scores across KSAs into a Grand Total; and 4) dividing the Grand Total by the sum of KSA weights multiplied by the number of panelists.

- ii. The final interview score is computed to the first decimal and is rounded to the next highest if the second decimal is .05 or greater (e.g., 3.05 would become 3.1). Otherwise, the second decimal is truncated (e.g., 3.22 would become 3.2).

f. Disqualification of Applicants. If an applicant receives a “less than fully acceptable” or “no evidence of experience” rating (1 or 0) on any critical competency/KSA or a “no evidence of experience” (0) rating on any competency/KSA from any interviewer, the Panel must decide during the facilitated meeting whether the applicant should be considered further in the selection process. All interviewers must agree on a decision to disqualify on this basis and must document the basis for the disqualification. The Selecting Official may request that additional candidates be referred to interview to replace those disqualified. The Selecting Official may only request up to the number of candidates disqualified, and that number plus ties will be referred.

g. Establishing the Final Referral. Based on each applicant’s final score in the structured interview, the HRS staff issues a final referral of the best-qualified applicants to the Selecting Official for selection. All applicants who scored “fully acceptable” or above are listed on the final referral and are eligible for selection. Additional applicants may be referred to interview if requested by the Selecting Official when the interview stage fails to result in 3 or more applicants deemed “superior” or higher based on the final interview score.

6. Optional Use of Skills Tests/Specific Ability Tests. Job applicants may be assessed through content valid skills tests (work simulations) or specific ability tests (knowledge tests). These tests may be used in place of or in addition to the self assessment applicant questionnaire/crediting plan. These tests may be introduced prior to, during, or after the interview process and may be administered online or through a proctored test. The Library may choose to use a skills test (work simulation) or a specific ability test (knowledge test) for assessing candidates for specific job series, families, or highly populated positions when such tools would improve the evaluation of applicants for required competencies/ KSAs. The process of developing and validating such tests is a collaborative effort of the Service/Support Unit(s) requesting such a test and Human Resources Services.

F. Selection Procedures.

1. Selection from Final Referral List. The Selecting Official is responsible for choosing the successful applicant(s) from among those applicants on the final referral list.

a. Reference Checks . References will be checked by the Selecting Official or his/her designee using the reference check form as a guide. References will be checked only for those applicants under consideration for final selection.

b. Selection Factors . The Selecting Official will choose from among those applicants on the final referral list by weighing such factors as organizational needs, reference information, writing/work samples, and applicants’ ratings on the

most important experience areas for the position as identified in job analysis. The Selecting Official may request that applicants on the final referral list provide writing samples or work samples such as design drawings for use as additional information by the Selecting Official when making a selection from the final referral list.

c. Preparation of Selection Documentation. Selection documentation will be prepared by the Selecting Official to explain the reason(s) the successful applicant(s) was selected and the reason(s) the other finalists were not selected. Once the Selecting Official has made the selection(s), a Personnel Action Request (PAR) for the proposed selected applicant(s) is submitted by the Service/Support Unit for personnel security review and approval by HRS.

d. Contingent and Official Offers. The Selecting Official may make a contingent offer to the selectee prior to the Service/Support unit submission of the PAR. All new hires must be reviewed by the Security Office prior to the official offer being made to a selectee. The Director for Human Resources Services is the appointing authority for all selections. Only HRS staff are authorized to make an official final offer of employment.

e. Time Period for Making Selections. The Selecting Official makes the selection(s) as expeditiously as possible. The initial and any additional selections must be made within 90 days of issuance of the interview referral list. The Selecting Official may request an extension of the 90 day period in writing to the Director for Human Resources. That request must contain the extenuating reason(s) requiring an extension of time.

2. Right to Not Select. Management has the right to select or not select for any given position.

IX. NOTIFICATION TO APPLICANTS

The Library will notify the selectee through an official offer and person(s) not selected will be notified of their non-selection when the selectee(s) has entered on duty (begins work).

X. DOCUMENTATION AND RECORD KEEPING

A. Maintenance of Merit Selection Files . The Library (HRS) will maintain merit selection files to document each hiring action taken under this plan. Merit selection files will be maintained for two years from the date of selection or cancellation of a vacancy. If a complaint, grievance, or dispute is filed regarding an action, the merit selection file will be maintained until the conclusion of the case, including any appeals.

B. Content of Merit Selection Files . The merit selection files shall comply with the record keeping provisions of the Federal Records Act of 1950 (FRA). Merit selection files must include documentation sufficient to reconstruct hiring actions taken under the plan and include the following records:

1. Vacancy Announcement Request (VAR);
2. copy of vacancy announcement;
3. copy of position description;
4. copy of Recruitment Plan (Diversity Analysis Stage 1);
5. all application materials and attachments received from applicants;
6. copies of all correspondence with applicants (including e-mail);
7. Diversity Analysis Stage 2 review;
8. diversity report on overall applicant pool;
9. vacancy control record listing all applicants and their scores;
10. signed job analysis documentation, including applicant questionnaire/crediting plan, job analysis worksheet/matrix, interview questions and benchmarks, and vacancy announcement;
11. copy of any skill or specific ability tests used,
12. list of scores from highest to lowest;
13. interview referral list;
14. Selecting Official and SMEs' interview forms, disqualification documentation and final rating forms (Interview Panel documentation);
15. final referral list¹⁰;
16. narrative explanation of the reason(s) for selection;
17. reference check forms; and
18. Diversity Analysis Stage 3 review.

C. Access to Merit Selection Files. The Library is responsible for maintaining the confidentiality of all documentation. Merit selection files will be safeguarded and not released to unauthorized persons. Information sent to authorized persons will be marked "Confidential - for addressee only".

XI. EMPLOYEE/APPLICANT INFORMATION

A. Information Made Available to Applicants. Any applicant may request information from HRS regarding the status of their application at any stage in the process. Any applicant may also inquire in writing to HRS as to their total score for any vacancy for which he/she has applied. Following this request, an applicant for a position will be informed of:

1. the total score he/she received on the applicant questionnaire/crediting plan and the structured interview,
2. the cutoff score for the interview referral list, and
3. whether the position has been filled

¹⁰Includes reason(s) applicant was not selected.

B. Point(s) of Contact. There will be a central point of contact within HRS to whom applicants may submit questions and receive information regarding their applications. HRS shall publicize the identity of the central point of contact and how to contact that person or persons to make inquiries. Service/Support Units may also, as they determine necessary, identify central points of contact within the Service/Support Unit for this purpose.

C. Availability of the Merit Selection Plan. The objective of this plan is to provide merit employment opportunities with equity for all applicants. For this reason, applicants should become fully informed of this plan. A copy of this Merit Selection Plan will be made available to all applicants on the Library's employment website.

XII. EMPLOYEE/APPLICANT QUESTIONS AND COMPLAINTS

A. Informal Questions and Complaints. Applicants should contact the appropriate HRS staff listed in the vacancy announcement regarding any questions or complaints regarding either the merit selection plan or a particular position for which they applied. Library employees who are members of a collective bargaining unit may also contact a union representative.

B. Formal Complaints. A formal complaint may be submitted through applicable grievance procedures or through the Library's equal employment opportunity complaint procedures. Grievances arising over the application of the provisions and requirements of Collective Bargaining Agreement (CBA) Articles and this Merit Selection Plan will be governed by existing CBA language. After unsuccessful candidates are notified that a selection has been made, an employee and/or the employee's representative or labor organization will be permitted to audit selection records, in accordance with applicable law.

XIII. DIVERSITY ANALYSIS

The Library shall conduct a diversity analysis at the following stages of the merit selection process:

A. Diversity Analysis Stage 1 Review. Prior to posting the vacancy, a Recruitment Plan is developed by the Selecting Official in consultation with the job analysis panel, Service/Support Unit administrative staff, HRS staff, and the Office of Opportunity, Inclusiveness & Compliance (OIC). The Recruitment Plan identifies areas and degrees of current Library under-representation relevant to the job being advertised as well as internal and external recruitment sources designed to attract qualified applicants to the vacancy, including members of the under-represented groups.

B. Diversity Analysis Stage 2 Review. The list of applicants to be referred for interview is reviewed to determine the diversity of the applicant pool. When the applicant pool contains members of under-represented groups, they will be added up to the 12th ranked candidate.¹¹ The Selecting Official has the option of requesting a larger interview pool than the minimum described above. The Selecting Official may determine the size of the interview pool based on information provided by HRS staff describing the range of scores, the number of candidates receiving each score within that range, and the presence of under-represented groups identified in the Recruitment Plan within that range.¹² This constitutes Diversity Analysis Stage 2.

C. Diversity Analysis Stage 3 Review. Based on an analysis of the effectiveness of the recruitment plan and its recruitment sources for delivering qualified, diverse applicants, the Selecting Official in consultation with HRS staff, the Office of Opportunity, Inclusiveness & Compliance (OIC), and Service/Support Unit administrative staff will review and revise, when possible, the recruitment plan to improve diversity with future postings. Selection decision information will be incorporated into the Library's EEO profile by the Office of Opportunity, Inclusiveness & Compliance (OIC).

D. Periodic Diversity Analysis Reviews . The Office of Opportunity, Inclusiveness & Compliance (OIC) will conduct periodic statistical analyses assessing the effectiveness of the Library's hiring and recruitment practices in yielding highly-qualified diverse applicants for Library positions.

¹¹ When adding members of under-represented groups up to the 12th ranked candidate, any applicant whose score is the same or higher than an under-represented applicant will also be added to the referral pool.

¹²The Selecting Official has no information identifying individual candidates until the interview referral list is received.

APPENDIX A. DEFINITIONS

1. Applicant Questionnaire/Crediting Plan: An assessment tool used to initially rate all eligible candidates for a position, based on the final identification by a Job Analysis Panel of the competencies/KSAs (KSAs) required for the position being filled. The questionnaire is designed to measure levels of knowledge, experience and training in relation to the competencies/KSAs.
2. Area of Consideration: The boundaries (area, organization, or group of organizations) within which persons must work to be eligible for consideration for a specific vacancy.
3. Benchmark Anchors: Criteria identified by a Job Analysis Panel for evaluating responses to interview questions in a structured interview.
4. Competency: A measurable pattern of knowledge, skills, abilities, and other characteristics (KSAs) that an individual needs in order to perform work roles successfully.
5. Content Validation: The methodology used by the Library to establish the job-relatedness of the merit selection process used to fill a vacancy. Job-relatedness is established by ensuring the competencies/KSAs and the assessment instruments used to fill a vacancy are related to the duties of the position.
6. Critical Competencies/KSAs: Critical competencies/KSAs are those identified by a job analysis panel for which applicants must be assessed by an Interview Panel in a narrative/application review, a preliminary telephone interview or a full structured interview as having “fully acceptable” experience to be considered for selection. Critical competencies/KSAs are generally technical in nature.
7. Evaluation of Candidates: The process of assessing the degree to which candidates possess the competencies/KSAs needed for successful performance in the position being filled.
8. Final Referral List: The list of applicants/interviewees referred to the Selecting Official eligible to be considered for selection upon completion of all structured interviews for a vacancy to be filled.
9. FTE / Full-time Equivalent: Service Units are given a number of FTEs in their annual budget that allow them to fill the equivalent of the given number with full-time equivalent employees or work years. One FTE is equivalent to 2,080 hours of work, which could mean, for example, one employee on a full time schedule of 40 hours for 52 weeks, or two part-time employees for 20 hours per week for 52 weeks.
10. Interview Panel: Individuals brought together for the purpose of interviewing and rating candidates for a position to be filled. The Interview Panel uses structured interview questions and benchmark anchors approved by the Job Analysis Panel.

11. Interview Referral: The list of applicants referred by the Staffing Specialist to the Selecting Official for structured interview.

12. Job Analysis: The process of assessing the duties and responsibilities of a position in order to determine the competencies/KSAs necessary to perform the job. In the context of this plan, job analysis provides the foundation for establishing the job-relatedness of the selection process. Job analysis may also provide data that can serve as a foundation for developing effective performance management and career development processes.

13. Job Analysis Panel: A panel of three or more individuals brought together to review the major duties of a job being filled, identify the competencies/KSAs necessary to performing the job, and developing the rating instruments used to measure levels of proficiency in the competencies/KSAs. The Panel includes the Selecting Official and at least two other individuals who have performed, are performing, or are very familiar with the duties of the job being analyzed.

14. Job Analysis Worksheet/Matrix: A document developed by the Job Analysis Panel identifying the linkages between the competencies/KSAs that are important and required upon entry to a job and the major duties of a position. The Job Analysis Worksheet/Matrix is a key tool for documenting the content validity of the selection process being used to fill a vacancy.

15. Job Kit: A paper package of application materials that may be used by applicants who choose not to apply for a Library vacancy online.

16. KSAs: The competencies/KSAs (knowledge, skills, and abilities) needed by individuals to successfully perform the duties of a job as identified in a position description.

17. Operational Definition: A statement that clarifies the meaning of a competency/KSA; thereby creating an agreed upon, common perspective that grounds the job analysis and selection process.

18. Optional Form-8 (OF-8): An official document, signed by the organizational unit supervisor and reviewing official, certifying that the major duties and responsibilities defined in a position description accurately describe the duties to be performed by an individual or individuals within the organizational unit under their supervision. The OF-8 also is signed by the HR Specialist approving the classification of a position description.

19. OPM Qualification Standards/ Library-wide Occupational Requirements: Basic standard requirements for a job series, including any positive education, licensing, or certification requirements. OPM Qualification standards are government-wide and are promulgated by the United States Office of Personnel Management (OPM). The Library may choose to create Library-wide Occupational Requirements for assessing candidates for specific job series, families, or highly populated positions. The process of developing and validating such Library-wide Occupational Requirements involves consultation with an Industrial Psychologist and

Library-wide facilitation involving Human Resources. Individual job analysis panels may use applicable standards, if desired, in filling Library vacancies.

20. Position Description: The official document which specifies the duties, tasks, and responsibilities to be performed by the incumbent of an official position of the organization.

21. Recruitment Plan: A document that identifies the areas and degrees of underrepresentation, as well as internal and external recruitment strategies and sources, designed to attract highly qualified, diverse applicants for a Library vacancy.

22. Selecting Official: The management official authorized to make a selection for the position to be filled, subject to final approval by the Director for Human Resources.

23. Skill/Specific Ability Tests: Job applicants may be assessed through content valid skills tests (work simulations) or specific ability tests (knowledge tests). These tests may be used in place of or in addition to the self assessment applicant questionnaire/crediting plan. These tests may be introduced prior to, during, or after the interview process and may be administered online or through a proctored test. The Library may choose to use a skills test (work simulation) or a specific ability test (knowledge test) for assessing candidates for specific job series, families, or highly populated positions when such tools would improve the evaluation of applicants for required competencies/ KSAs. The process of developing and validating such tests is a collaborative effort of the Service/Support Unit(s) requesting such a test and Human Resources Services.

24. Structured Interview: An assessment tool that measures an applicant's job-related competencies/KSAs consisting of standard interview questions that are scored systematically using predetermined criteria or benchmarks for all interviewees for a particular job.

25. Subject Matter Experts (SMEs): Individuals who are performing, have performed, or are very knowledgeable of the responsibilities of the position being filled and who are at or above the grade level of that position. SMEs serve on job analysis and/or interview panels.

26. Vacancy Announcement: The announcement of a position or positions which are available to be filled.

27. Vacancy Announcement Request (VAR): An official document used to request the posting of a vacancy to be filled.

28. Weights: Values assigned by a Job Analysis Panel to the competencies/KSAs to indicate the relative importance of each competency/KSA to the other competencies/KSAs.

APPENDIX B. REFERENCES

Library of Congress Regulations (LCR)

- 2010-1 Appointive Authority
- 2010-2 Policy of Non-Discrimination in Library Employment and Staff Relationships under the Equal Employment Opportunity Program
- 2010-3 Equal Employment Opportunity Program and Plan
- 2010-7 Employment of Non-U.S. Citizens Using Appropriated and Non-Appropriated Funds
- 2010-8 Employment of Relatives
- 2010-9 Part-time Career Employment
- 2010-10 Position Terminology in the Library of Congress
- 2010 -11 Personnel Appointment, Assignments, Qualifying/Probationary Periods, and Terminations
- 2010-14** **Merit Selection and Employment**
- 2010-16 Advertisements for Vacancy Announcements
- 2010-19 Intermittent Employment
- 2011-2 Personnel Actions: Standard Terms, Abbreviations, and Definitions
- 2011-3 Personnel Actions and the Preparation of Personnel Action Recommendations
- 2011-4 Approval of Personnel Action Recommendations by Director of Human Resources Services
- 2012-2 Service in the Uniformed Services
- 2013 Pay Administration
- 2016-1 Position Classification and Organization Program in the Library
- 2017-2.1 Senior Level Executive System
- 2018-5 Benefits Under Federal Employees' Compensation Act
- 2021-2 Policies and Procedures in a Reduction in Force for Non-Bargaining Unit Staff Members and Staff Members in Bargaining Unit Positions in the Law Library
- 2024-1 Personnel Security and Suitability Programs of the Library of Congress
- 2024-2 Position Sensitivity Designations
- 2024-6 Security Clearance Eligibility Requirements and Procedures
- 2025-2 Personnel Reference Inquiries

Collective Bargaining Agreements (CBAs)

- Congressional Research Employees Association, IFPTE, Local 75 (CREA) December 2004, Articles VII and XVII.
- Library of Congress Professional Guild, AFSCME Local 2910, April 2002, Articles 16 - 18.
- The Library of Congress Employees' Union AFSCME Local 2477, April 2003, Articles 15, 18.