The Library of Congress
Office of the Inspector General

Library-wide

Learning at the Library: Strategic Goals Should Drive Knowledge Investment

Audit Report No. 2001-PA-105

April 2003

UNITED STATES GOVERNMENT

LIBRARY OF CONGRESS

Memorandum

Office of the Inspector General

TO: James H. Billington April 30, 2003
     Librarian of Congress

FROM: Karl W. Schornagel
       Inspector General

SUBJECT: *Learning at the Library: Strategic Goals*
          Should Drive Knowledge Investment
          Final Audit Report No. 2001-PA-105

This transmits our final audit report on learning at the Library. The Executive Summary begins on page i, and recommendations appear on pages 6, 8, 9, 10, 11, 12, 14, 15, 16 and 19.

The Deputy Librarian's response to our draft report is briefly summarized in the Executive Summary and in more detail after individual recommendations. Appendix A contains a consolidated list of recommendations, Appendix B contains responses to the recommendations.

Based on the Deputy Librarian's response to the draft report and the included corrective action plan, we consider all the recommendations to be resolved. Accordingly, all corrective actions should be implemented for these recommendations within one year of the date of the final audit report (*Library of Congress Regulation 1519-1*).

We appreciate the cooperation and courtesies extended by the Service Units and the Internal University during the audit.

cc: Deputy Librarian of Congress
     Acting Director of Operations Management and Training

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EXECUTIVE SUMMARY

Title 5, CFR 410, provides the requirements for the Library's employee training program. Specifically, it requires an annual assessment of agency training needs; the establishment of priorities for training employees; provision for funds and staff according to these priorities; records of agency training plans, training activities funded, individual employees trained, travel payments, tuition payments, fees, and other necessary training expenses; evaluations of the results of training; and a determination of how well agency training activities meet short and long-range program needs by occupations, organizations, or other appropriate groups. In addition, 5 USC, Chapter 41, requires each training program and plan to provide for adequate administrative control.

The Library of Congress training program plays a key role in developing human capital and improving performance. To be effective, the program must be designed and implemented to address any gaps in the knowledge and skills needed to achieve the Library's mission and goals, and must be evaluated to ensure that it is functioning as intended.

The objectives of our audit were to determine whether the Library's Internal University, established in 1997, supports training and career development to meet Library and employee needs; determine the effectiveness and quality of course design, content, delivery, and value; assess the involvement of the service units in identifying common needs and special training; and assess the current controls over training resources. We evaluated the training of Library staff by reviewing FY 2000 training activities.

We found that the Library took positive steps to improve training by establishing a Internal University, creating a Training and Development Advisory Board, and identifying mission critical education. However, its policies and oversight need to be improved, including setting standards for the quality of course design, content, and delivery; measuring the effectiveness and value of courses; and increasing involvement of the service units in identifying training needs. Although the General Accounting Office, the National Academy of Sciences, and KPMG have evaluated various aspects of the Library's training program and found it to be less than fully effective, few of their recommendations have been implemented.

The Library's training program is currently decentralized with the Internal University providing some common administrative-type training and logistical services upon request, while the service units take primary responsibility for their training needs. By identifying common training needs, the Internal University has been able to offer Library-tailored in-house training at less than half the cost of publicly offered training, and has provided direct support to Congress in collaboration with the Law Library by providing emergency logistical support for Library-sponsored Congressional courses. However, according to the Librarian in 1996, the Internal University was intended to develop new types of mentoring, cooperative learning, and other practical educational programs utilizing Library staff and coordinating these in-house skills to equip more of the Library's staff for the new era of knowledge.

There have been management discussions of whether the Library's training functions should be centralized or decentralized. Regardless of the organizational placement of the training functions, specific roles and responsibilities for the training of Library staff must be defined, incorporated into policy, and enforced to ensure a successful training program that supports the mission and needs of the Library and its employees. Our findings and recommendations exploring these issues are summarized as follows:

Define Roles, Responsibilities, and Minimum Requirements for Staff Training

The Library's training policies are out of date. Many of the organizations and positions identified as responsible for training at the Library no longer exist. In addition, the Internal University does not function as envisioned because: its mission is unclear, Library of Congress Regulations do not address the function and organization of the Internal University or the training roles and responsibilities of other Library organizations; its funding may be insufficient to meet the envisioned functions; and, Library managers are not required to utilize it. The outdated policies and unclear roles and responsibilities of the Internal University and other Library organizations may result in inefficiencies in training.

The areas that need to be improved include strategic planning, defining Training and Development Advisory Board responsibility and authority, performing training assessments, defining the purpose of the Mission Critical Education Training Matrix, performing training evaluations, assigning responsibility for employee development, defining minimum standards for the design and development of instruction, maintaining training records, and assigning training accountability. We recommend that the Library's Executive Committee define the training roles and responsibilities of organizations, managers, and supervisors and distribute funding to meet these responsibilities. These areas are discussed on pages 5 through 15.

Base Training Budget On Defined Library Goals

There is no Library standard based on employee amount or percentage of payroll for budgeting for training. Nor does the Library use a zero-based approach. Instead, training budgets are based on the prior year's approved budget accelerated by an inflation factor. The Library's training expenditures for FY 2000 were less than half the industry average for government organizations as reported by the American Society for Training and Development's *State of the Industry Report.*

Training budgets have not been adjusted for the additional infrastructure training costs needed for computer security awareness and to fill anticipated skill gaps due to future employee retirements. The Library has not prioritized employee training, nor provided funding based on priorities.

According to Office of Personnel Management guidance, certain steps are critical in developing a training budget. First, training needs should be defined. Second, the training needs should be incorporated into employees' Individual Development Plans. Third, the Individual Development Plans should be used to prepare annual training plans. The successful completion of these steps supports the development of sound and defensible training budgets. We found, however, that the Library has not successfully completed any of these steps. As a result, its annual training budgets are not directly tied to its training needs.

By not developing a training standard based on strategic goals, the Library is not ensuring that minimum training needs are being met. We recommend that the Executive Committee require training budgets to be based on a standard other than historical cost, preferably actual training needs (a zero-based approach). A more complete discussion of training budgeting is on pages 16 and 17.

Training Plans, Expenditures, and Activities
Need to be Maintained and Tracked

The Library does not know the actual cost of training, whether the training paid for is meeting its training needs, or whether training activities are based on documented needs as identified in the Mission Critical Education and Training Matrix. By not gathering and analyzing this information as a collective unit, the Library is unable to make effective training decisions. We recommend that the Library track all costs and evaluate training effectiveness. A more complete discussion of training records is on pages 18 and 19.

In responding to the draft report, the Deputy Librarian concurs that the Library of Congress training program plays a key role in developing human capital and improving performance. Furthermore, the Deputy Librarian concurs in principle with all our recommendations and states that they will serve as a blueprint for strengthening and redefining the Library's training initiative. Because of the importance of developing human capacity, the Deputy Librarian has realigned the Library of Congress Internal University to report to the newly formed Operations Management and Training Office.

Our complete list of recommendations is included as Appendix A and the Deputy Librarian's written response to the recommendations is included as Appendix B. We consider the Deputy Librarian's comments and actions responsive to all of the report's recommendations.

INTRODUCTION

This report presents the results of our audit of the effectiveness of the Library's training program. The Library's training program is decentralized with service units having primary responsibility and authority for their training needs. Service units are to collaborate on their training needs via a Training and Development Advisory Board composed of a representative from each service unit with authority to make training decisions. Training and Development Advisory Board decisions are to be implemented by the Library's Internal University and the service units. Training liaisons from each service unit provide administrative and logistical support. However, there is no requirement for a service unit to participate with the Board or coordinate with the Internal University on their training needs.

During our fieldwork, the Internal University had 11 employees and an acting director whose duties since the Internal University's inception in 1997 has also included directing the Library's Integrated Support Services. The Library spent $1,524,198 on training in FY 2000. Training budgets are based on the prior year's approved budget accelerated by an inflation factor. An October 2002 memorandum from the Deputy Librarian realigned the Internal University under the newly created Office of Operations and Training. The existing Training and Development Chief was reassigned to act as the program manager for the Executive/Middle Management and Staff Development Program in the new office.

A *Mission Critical Education and Training Matrix* identifies immediate training needs essential to Library mission accomplishment. The matrix was designed to be used as a reference guide for the creation of Individual Development Plans. The *Library of Congress Human Resources Strategic Plan, FY 2000 – 2005,* has goals addressing employee development. These goals include the implementation of Individual Development Plans linked to Library strategic goals.

According to the Code of Federal Regulations (CFR), agencies have the authority to administer their own training programs. However, they must meet the requirements of 5 CFR 410 to ensure fair distribution of training; non-discriminatory selection for training; authorized purposes for training; and maintenance of training records that document the who, what, where, when, cost, provider, justification, and applicability to duty performance of all training provided by the agency.

BACKGROUND

In 1995, the Librarian tasked the Deputy Librarian to develop a proposal for establishing a Internal University at the Library of Congress. During this time, GAO was completing an audit of the Library and had identified deficiencies in Library training. Subsequently in the same year, the Deputy Librarian was reassigned as the Library's Senior Advisor for Staff Development and Staff Transition.

The Internal University was to replace the Library's decentralized training approach with a coordinated program that would help ensure Library staff competency in various Library fields of activity. Library managers were to play a critical role in identifying the appropriate mix of

courses within respective curricula. In turn, many highly talented and experienced staffers were to embrace the opportunity to teach or mentor. The strategy was to create a continuous learning organization.

The Librarian envisioned this Internal University as ensuring that the overall development strategy was linked to achieving the Library's mission, individual competencies were congruent with the Library's strategy and vision, Library strategies gained staff commitment in all areas, and enhanced training and organizational effectiveness added value to the Library. In addition, the Senior Advisor for Staff Development and Staff Transition noted that a Internal University would provide visibility of major skills/competencies/job shifts, leverage educational assets by sharing resources, improve learning efficiency, eliminate redundancy, reduce training costs, reduce the cycle time of training needs assessment and course development, transfer knowledge through common training platforms, and provide a coherent and comprehensive training program.

In early 1996, GAO reported that the Library had not provided meaningful training for its employees for a number of years, had not conducted training needs assessments, had offered a very small number of courses, had not offered any management or leadership development training; had not related training content to on-the-job needs or performance, had not provided adequate guidance on training and development needs and activities, and had not afforded its training organization with visibility. GAO also stated that both the Training and Development Office and Human Resources Services had a poor reputation for providing services.

Later in 1996, subsequent to GAO's assessment, the Library established the Training and Development Advisory Board. Board members were to be high-level managers who could evaluate and make decisions on training and development initiatives and programs. To support the goal of providing in-house instructors and mentors, the Senior Advisor for Staff Development and Staff Transition envisioned the development of a Library knowledge database. However, initial efforts to establish an on-line information system were stymied due to lack of funding. The concept of staff training staff was discussed with service unit leaders and Board members. Though the concept appeared valid in theory, many did not support the approach due to a perceived productivity loss of those providing the instruction. Managers felt the use of vendors to provide training was more cost effective.

During an Executive Committee meeting on September 16, 1996, the Librarian noted his disappointment that the Internal University did not progress further, but believed the concept was viable. The Internal University functions were transferred on a temporary basis to the Chief of the Training and Development Office. The Training and Development Office (TDO) was decentralized in the early 1980s but was returned to a centralized function in the early 1990s at the direction of Congress. As a result of the reorganizations, the service units viewed TDO as non-responsive and created shadow organizations to address staff training and development.

On October 18, 1996, the TDO Chief briefed the Executive Committee on a proposed Internal University budget and TDO/Internal University relationship. While both the TDO and Internal

University had similar responsibilities, TDO's primary focus was to help Library managers and staff do their best today while the Internal University's primary focus was to help the Library workforce transition in anticipation of employee retirements in the coming years. Additional funding for the Internal University was not supported by the Executive Committee and the Deputy Librarian tasked the TDO Chief and the Training and Development Advisory Board to recommend a strategy to integrate the concept of a Internal University with the Training and Development Office and name the resulting organization, recommend immediate actions to address the most urgent training needs assuming current resources, and begin development of a strategic plan for training and development to meet the Library's future needs.

On March 23, 1997, the TDO Chief and Board presented to the Executive Committee several recommendations that included merging the functions of the TDO and Internal University, transferring the TDO budget to the Internal University, naming the merged organization the Library of Congress Internal University, organizationally placing the merged function under the Deputy Librarian, and establishing a new senior level position of Internal University Administrator. While these recommendations were approved, recommendations requiring additional funding were not approved.

OBJECTIVES, SCOPE, AND METHODOLOGY

Our audit objectives were to determine whether the Library of Congress Internal University supports the planning, development, and delivery of training and career development to meet Library and employee needs; determine the effectiveness and quality of course design, content, delivery, and value; assess the involvement of the service units in identifying common needs and special training; and, assess the current controls over training resources.

The criteria used to evaluate the Library's training program included:

- 5 CFR 410, *Training*
- 5 USC 4103, *Establishment of Training Programs*
- LCR 2017-1, *Staff Training and Employee Development Policies in the Library of Congress*
- LCR 2017-1.1, *Training Responsibilities and Procedures*
- LCR 2017-1.2, *Supervisory Training Program*
- LCR 212-1, *Functions and Organization of the Human Resources Services*
- LCR 212-6, *Functions and Organization of the Directorate of Personnel*
- Library of Congress Human Resources Strategic Plan, FY 2000 – 2005
- Office of Personnel Management Training Policy Handbook
- Office of Personnel Management Training Needs Assessment Handbook

We interviewed service unit directors, infrastructure directors, Internal University key staff, Training and Development Advisory Board members, and training liaisons. We reviewed training activities and information relevant to FY 2000 including training budget object class obligations and expenditures, procurement records, training records, strategic plans, annual

performance plans, business plans, Executive Committee records, Board records, course records, the Internal University web site, and the Mission Critical Education and Training Matrix.

As a benchmark, we compared the Library's training costs for calendar year 2000 to those in the American Society for Training and Development's report entitled *The 2002 ASTD State of the Industry Report*, which provided information on the training activities of more than 1,000 organizations (including federal government) for 2000. The cost information reported by the Society and gathered for the Library comparison included the costs for contractors, tuition, and travel (for instructors), but did not include the salaries of employees taking the training. Because the organizations surveyed by the Society vary widely in purpose and in the size of their budgets, their training costs are compared as a percentage of their payrolls. We obtained the Library's payroll cost for FY 2000, calculated the percentage of training cost to payroll, and compared this percentage to the average calculated by the Society.

We conducted our fieldwork from December 2000 through July 2002. Fieldwork was interrupted due to workload demands of our office. We conducted our audit in accordance with generally accepted government auditing standards.

FINDINGS AND RECOMMENDATIONS

The Library's training policies and oversight need to be improved. As part of adopting more strategic and performance-based management practices, the Library must be prepared to focus on how best to invest in Library staff, or human capital, to achieve high performance of Library missions and strategic goals. To achieve this high performance, the Library needs to place particular emphasis on the training and development of Library staff to ensure that they have the competencies—knowledge, skills, abilities, and behaviors—needed to successfully perform and contribute to the Library's mission-critical activities.

To design and implement an effective training program, the Library must (1) identify the competencies needed to achieve specific missions and goals and measure the extent to which Library staff exhibit those competencies; (2) identify training and development requirements to be addressed, and once those training requirements are met; (3) evaluate the extent to which the programs are actually increasing employees' individual competencies and individual and overall organizational performance levels. Training is an important function and the Library needs to accelerate employee development and retooling as more Library employees become eligible for retirement.

**I.   Define Roles, Responsibilities, and
         Minimum Requirements for Staff Training**

Although the Internal University is providing learning opportunities in direct support of the service units, the mission of the Internal University needs to accurately reflect Library expectations as envisioned by the Executive Committee and the Training and Development Advisory Board. According to Executive Committee decision documents creating it, the Internal University was to provide Library-wide capabilities to address training to support succession planning and take advantage of in-house knowledge by coordinating with internal Library program providers to offer highly specialized training such as language, librarian, and subject area courses, and to absorb the Training and Development Office.

The Internal University was not set up for success. Clearly outlined expected business results were not established by management, nor were adequate funds provided. The major areas that need to be improved include strategic planning, defining Training and Development Advisory Board responsibility and authority, performing training assessments, defining the purpose of the Mission Critical Education Training Matrix, performing training evaluations, assigning responsibility for employee development, defining minimum standards for the design and development of instruction, maintaining training records, and assigning training accountability.

*A.   Responsibility for Achieving the Library's
         Training Goals Needs to be Assigned*

No one has been assigned responsibility for seeing that Library training goals are achieved. Nor has anyone been assigned responsibility for establishing priorities for training employees and providing funds and staff according to these priorities. While a Mission Critical Education and

Training Matrix was developed, there is no requirement that training funds be utilized to address the minimum training needs identified by the Matrix.

Executive Committee and Training and Development Advisory Board meeting documents outlined the requirements for the Internal University organization and functions, and directed that the Internal University absorb the functions of the Training and Development Office. As a result, Library of Congress Regulations addressing training are no longer valid and cause confusion as to responsibilities and authorities. For example:

- The Training Officer and the Training Advisory Committee discussed in Library of Congress Regulation (LCR) 2017-1, *Staff Training and Employee Development Policies in the Library of Congress,* and LCR 2017-1.1, *Training Responsibilities and Procedures,* no longer exist.

- There is no reference to the Training and Development Advisory Board in any of the training LCRs.

There is no assurance that training funded by the Library is achieving Library training purposes. Since there is no longer a Training Officer, many of the responsibilities assigned to that position by LCR 2017-1.1 such as assembling, analyzing, and synthesizing training requirements from departments; proposing training courses to meet the Library's needs; and preparing and recommending an annual training budget to respond to the general employee development needs, mandatory training needs, and such other programs as may be designated, are not being accomplished.

Recommendation

The Executive Committee should revise LCRs 2017-1 and 2017-1.1 to clearly define the authorities and responsibilities of all Library components for training, and ensure that training resources are distributed accordingly.

Library Response and OIG Comment

The Deputy Librarian concurs. The Library's training program is decentralized and draft revised training LCRs assign responsibility to each service and support unit to determine the training and development needs of its employees in order to accomplish the unit's mission and business plan, and to ensure these needs are met. As noted previously, the Deputy Librarian established the Operations Management and Training Office (OM&T) and through its direction, the Internal University (LCIU) will provide/coordinate training and development programs and activities that are common across the Library. The Chief of Training, OM&T/LCIU, has revised the training LCR to reflect appropriate authorities and responsibilities for Training and Development at the Library. The draft revised LCR is expected to be circulated soon to members of the Operations Committee for comment, followed by the Executive Committee.

The Deputy Librarian's actions are responsive to our recommendation.

B.   *The Training and Development Advisory Board Needs*
        Decision-Making Authority to Function Effectively

The Board's mission and authority have not been clearly defined. Service units have developed their own in-house training resources and do not perceive a need for the Board, resulting in minimal participation. While the infrastructure offices have been invited to participate as members of the Board, many do not desire to participate or participate on an occasional basis. Because the infrastructure offices normally provide or generate the common training needs, it is important that they participate fully as a Board member. For example, when Financial Services or Human Resources Services changes one of their processes, service units may require training in the new process. However, there is no consequence if a service unit does not send a representative.

We attended a meeting of the Board and noted that most members did not participate fully in the assigned task of identifying and meeting technical training needs, and that members were not receptive to the Internal University's proposal on how to meet the Library's technical training needs. Board members indicated that they are reluctant to speak up when the Deputy Librarian makes suggestions to the Board. Though the Board approved guiding principles and identified specific roles and responsibilities effective July 2001, some members indicated that they were unclear about their purpose and authority.

There is a perception by the Board members that upper management does not support their efforts. A recent example is the Management Training and Education Program proposed by the Board to the Executive Committee. The Deputy Librarian had requested the Board identify their training requirements and develop a process to address those needs. The Board agreed upon a process as documented by their proposed Management Training and Education Program. The Executive Committee voted not to adopt the process.

Sound business practices suggest that regardless of size and stage of development of a board, a "board charter" can provide a clear mandate regarding purpose, responsibility, authority, and performance, and periodic assessments can identify opportunities for improvement. The Board only recently developed a proposed charter even though it has been in existence for several years. An approved charter should provide: an overview of board responsibilities; information on board composition; criteria for member selection; relationships with the Deputy Librarian, service units, and employees; and board leadership, meeting procedures, performance, and committees. The proposed charter does not address most of these areas. In addition, the Board has not performed self-assessments to identify opportunities for improvement.

Recommendation

The Executive Committee should require that every service unit and infrastructure office assign a Training and Development Advisory Board member with decision-making authority. The Executive Committee should also require the Training and Development Advisory Board to annually update the Mission Critical Education Training Matrix utilizing the Office of Personnel Management's Training Needs Assessment Handbook to ensure that training needs are prioritized. The Training and Development Advisory Board should approve all training until skill gaps have been eliminated.

Library Response and OIG Comment

The Deputy Librarian concurs in principle. The Training and Development Advisory Board has played an important role in identifying the mission critical training needs and the creation of a learning matrix. However, many of their recommendations have been stymied because of their unclear role, responsibility, and authority.

The Deputy Librarian has proposed that the Library's Operations Committee (members are deputies of the Service Units and directors of the Support Units) be responsible for establishing the policies and priorities for Library-wide training and development programs. This realignment, specifically addressed in the draft training LCR, will ensure training is addressed by senior management and is part of the strategic planning and budgeting process. The Operations Committee has the authority to make and implement decisions involving Library-wide training and, if desired, can charter training and development subcommittee(s) to perform assigned tasks. As a result of this realignment, the Training and Development Advisory Board will be dissolved. Library-wide training coordination activities will continue through the Service and Support Unit Training Liaisons and the Internal University.

The Acting Chief of OM&T and the Chief of Training, collaborating with the Operations Committee, Service and Support Units, and appropriate stakeholders, will propose standards for instructor-led and on-line training courses as well as the criteria for evaluating whether the training has enhanced on-the-job skill levels or has successfully educated staff about a particular initiative.

The Deputy Librarian's actions are responsive to our recommendation.

C.   *Internal University Functions and Organization*
         Need to Be Defined and Adequately Resourced

The Internal University was created in 1997, yet there is no LCR addressing its function and organization. While the Executive Committee has approved a mission statement, they have not provided a policy mandating utilization of the Internal University. The Internal University is a central feature of the Library's undocumented training program. By creating the Internal University, the Library intended to effectively eliminate duplicative training within the Library.

When the Internal University was established, the Training and Development Office budget and staff provided the only resources for operations. There was no budget or staff provided to develop Library-specific training utilizing in-house experts that had been trained on how to develop and instruct courses. The Executive Committee noted that the decentralized training funds provided to the service units would supplement the Internal University's budget, however, the Executive Committee did not explain how service unit's decentralized training resources would be committed to finance the Internal University. Nor has the Executive Committee supported the subsequent Training and Development Board Management Decision Paper submissions for items such as a Learning Management System.

Training and Development Advisory Board members and service unit heads are unclear as to the Internal University's function. Many expressed the belief that the Internal University was to provide infrastructure-type training and mandatory training at no cost to the service units. Many also believe that the Internal University was to develop Library-specific training utilizing in-house experts that had been trained on how to develop and instruct courses. While the use of some in-house experts are providing necessary Human Resources Services, Financial Services, and Information Technology Services training, the general use of in-house instructors is not viewed as cost effective by many managers resulting in reluctance to provide staff as instructors. There is no incentive for managers to either utilize the Internal University or provide staff to develop and instruct courses.

In order to increase funds available to provide Library-wide infrastructure-type training at a lower cost or no cost to the service units, the Internal University reorganized and replaced the higher graded employee development and training personnel with lower graded program assistants. Consequently, the Internal University now performs mostly course brokering, limited administration, marketing, and logistical support.

Recommendation

As recommended in I. A. the Executive Committee should revise LCRs 2017-1 and 2017-1.1 to clearly define the authorities and responsibilities of all Library components for training, and ensure that training resources are distributed accordingly.

Library Response and OIG Comment

As noted in I. A., the Deputy Librarian concurs.

The Deputy Librarian's actions are responsive to our recommendation.

D.   The Internal University Needs to Be More Involved in Strategic Planning

While the Internal University provides Annual Program Performance Plans (AP3s) for yearly planning and recently began reviewing service unit draft AP3s for training implications, it does not have a Strategic Plan to guide yearly goals, nor is it involved in Library-wide strategic planning. There is no assurance that Internal University strategic goals are tied to Library

strategic goals, or that strategic goals of service units consider training implications and coordinate with the Internal University. The Internal University developed a proposed strategic plan, however, the Acting Director of the Internal University has not approved and provided the plan to the Office of Planning, Management, and Evaluation. Executive Committee and Training and Development Advisory Board documents outlining the requirements for the Internal University organization and functions require it to develop a five-year strategic plan and be involved in Library-wide strategic planning.

Additionally, service units have not set up procedures or processes to ensure that the Internal University is utilized in meeting the Library's goals. Though the Internal University is providing training programs to meet some strategic needs, such as computer security awareness training, it is not seen as a strategic partner and therefore rarely included in Library-wide strategic planning. Only recently did the Chief of the Training and Development Office for the first time participate in the recent Library strategic planning off-site and ensure that learning requirements were addressed.

Recommendation

The Executive Committee needs to involve the Internal University in Library-wide strategic planning and the Training and Development Advisory Board, in consultation with the Director, Integrated Support Services/Internal University, needs to approve a Strategic Plan for the Internal University.

Library Response and OIG Comment

The Deputy Librarian concurs. During January 2002, the Chief of Training participated in an off-site retreat to draft the Library's 2003-2008 Strategic Plan. Goal four was added to the list of objectives committing the Library to: *Maintain an outstanding workforce with the skills, resources, and dedication to deliver a range of cutting-edge services.*

The Deputy Librarian's actions are responsive to our recommendation.

E.   *Standards and Guidelines for the Systematic Design and*
        Development of Instruction Need to be Implemented

Although the Internal University collaborates with the Training and Development Advisory Board and the service units while developing new training modules or customizing off-the-shelf courses for Library use, there are no Library-wide standards or guidelines for the systematic design and development of instruction, either by instructor-led or on-line delivery. Because there is no assurance that development of training modules or collaboration in training design is being accomplished, success in design factors and lowered costs might not be attained. Furthermore, many modules being designed within individual service units might become cost prohibitive for Library-wide implementation.
In its report *Human Capital: Design, Implementation, and Evaluation of Training at Selected Agencies,* GAO noted that high-performing organizations consistently approached the design and

implementation of their training and development programs by (1) identifying the knowledge, skills, abilities, and behaviors employees need to support organizational missions and goals, and measuring the extent to which employees actually possess those competencies; (2) designing and implementing training programs to meet any identified gaps in those needs; and (3) evaluating the extent to which training programs actually increase employees' individual competencies and performance levels as well as overall organizational performance.

Recommendation

The Training and Development Advisory Board needs to issue guidance and standards for the design and development of instructor-led and on-line training courses/modules.

Library Response and OIG Comment

As noted in I. B., the Deputy Librarian concurs in principle.

The Deputy Librarian's actions are responsive to our recommendation.

F.   The Library Needs to Conduct Annual Training Assessments

Most Library managers do not conduct annual comprehensive training needs assessments and subsequently do not provide any assessment results to the Training and Development Advisory Board or to the Internal University. The Internal University does not conduct Library-wide training needs assessments. Only recently, the Internal University began utilizing available in-house resources such as strategic plans, Annual Program Performance Plans, Management Decision Papers, and Status of Limited Control Reviews to identify Library training needs.

The last comprehensive Library-wide needs assessment was performed in May 1996, prior to development of the Mission Critical Education Training Matrix in 1997 by the Training and Development Advisory Board. The Board based the Matrix on a skills gap assessment by a contractor with input from the Board. The Matrix was developed to identify the minimum training needs for succession planning and to address skill gaps. The Internal University Mission Critical Education Training Matrix remains essentially the same since its creation in 1997.

Since Library training needs are not annually assessed, the Library may be missing opportunities to consolidate training requirements and obtain a lower cost per employee for training. In addition, we found no linkages between the Mission Critical Education Training Matrix and Internal University courses offered in FY 2000. As a result, there is no evidence that Library training needs are prioritized. For example, no supervisory training courses were regularly scheduled during FY 2000 to meet the Library requirement that a new supervisor complete 40 hours of supervisory training in the first six months following initial supervisory appointment, and complete an additional 40 hours within one year of appointment.
Title 5, CFR 410.203, requires heads of agencies to review, at least annually, organizational, occupational, and individual needs for training. The OPM Training Policy Handbook notes that

a systematic and continuing review of current and foreseeable organizational training needs provides a realistic basis upon which to plan, program, budget, direct, and evaluate a viable training program. Such reviews consider the broader issues and forces that impact organizational and program effectiveness as well as occupational and individual training needs. Individual training needs are assessed within the context of the organization's strategic goals in order to ensure employees' performance competency and development.

The Internal University sees its role as providing vendors (or in-house instructors) and logistics for training needs presented by the service units and the Training and Development Advisory Board. The Internal University also sees the Board as one of the methods for service units to present their training needs. According to the Internal University, it has had little success in determining service unit annual training needs through the use of cooperative Annual Program Performance Plans or one-on-one discussions.

Recommendation

The Training and Development Advisory Board should perform annual training needs assessments that are based on a Mission Critical Education Training Matrix that is updated annually. Information should be gathered from multiple sources such as top management, supervisors, and individual development and strategic plans.

Library Response and OIG Comment

The Deputy Librarian concurs in principle. The draft revised training LCR requires service and support units to conduct regular training and development needs assessments to ensure all training and development needs are identified. The Operations Committee will validate annually the Mission Critical Education Training Matrix. The Office of Operations, Management and Training (OM&T), collaborating with appropriate stakeholders, will develop a recommended format for conducting and recording training and development needs assessments by June 1, 2003.

In addition, the Deputy Librarian has directed each service and support unit to brief him on their capability for administering their own mission critical training and to have them identify future learning requirements. The Acting Chief of OM&T and the Chief of Training were directed to review resource needs and capability for administering Library-wide training; e.g., computer security, ethics, work place issues, leadership programs, skill retooling, and career development. These discussions, reviews, and briefings will result in a library-wide learning policy and Strategic training plan for implementation in FY 04.

The Deputy Librarian's actions are responsive to our recommendation.

G.   Formal Employee Development Plans Should be Developed

The Library does not require any formal employee development planning such as Individual

Development Plans utilized by other government agencies. There are no written policies or procedures to hold managers, supervisors, and training participants accountable for transferring learning to the job. Managers and supervisors generally do not counsel staff on training needs or opportunities or discuss what has been learned in training. There are no career counselors available in the Library.

In addressing career development, the Executive Committee approved the *Library of Congress Human Resources Strategic Plan, FY 2000 – 2005,* that includes goals related to employee development. Specifically, Goal 3 of the plan identifies the following targets: "By 2004, all employees have Individual Development Plans linked to Library and program strategic goals…" and: "By mid-2004, 20 percent of all employees have begun the training defined in their IDPs." In defining its strategy, the Plan identifies Change Project 12, which states, "We will design and implement processes enabling the Library to: define career paths…and provide career counseling and Individual Development Plans for all staff."

So far, there has not been any effort to implement the strategy to accomplish the two targets or provide career counseling. In addition, Strategic Plan Goal 3 provides the following targets: "By 2003, all incumbent Library leaders (team leaders, supervisors, managers, and executives) will have completed the Library's leadership development program…." The stated strategy is: "We [will] create a leadership development program that will build leadership abilities from within at all levels." Yet, the Training and Development Advisory Board's FY 2003 Management Decision Paper addressing this target was not supported.

Without formal employee development planning, there is no assurance that individual staff development is identified and addressed, or that succession planning is being identified at the individual level. There is also no assurance that employees are shown the most efficient and effective means to utilize Library resources such as computers.

Recommendation

The Executive Committee should task the HR-21 Steering Committee to implement the change projects pertinent to training and development such as having Individual Development Plans linked to the Library's strategic goals, and defining career paths and providing career counseling as outlined in the *Library of Congress Human Resources Strategic Plan, FY 2000 – 2005*.

The Internal University should regularly schedule supervisory training courses to meet the requirement that a new supervisor complete 40 hours of supervisory training in the first six months following initial supervisory appointment, and to complete the additional 40 hours required within one year.

Library Response and OIG Comment

The Deputy Librarian concurs in principle. Having staff plans link to and reflect overall strategic goals and objectives represents a major cornerstone in preserving and maintaining the

Library's human capital. However, it is important that the Library first adopt a performance management policy and framework for evaluating effectiveness. Managers and supervisors will need to be trained on the performance management concept and its implementation. The Acting Chief of OM&T and the Chief of Training have been directed to work with the Director of Human Resources Services and her new performance management program manager to prepare a briefing for HR-21 members and the Operations Committee. Their recommendations will help to shape a performance management policy for approval and adoption by the Executive Committee by August 30, 2003.

The draft revised training LCR requires 80 hours of supervisory training for new Library supervisors. In addition, the Acting Chief of OM&T and the Chief of Training are tasked with making recommendations for a Library-wide training policy that identifies the principals and guidance for supervisory/management (current and new) mandatory training, leadership development, and senior-level candidate development by June 1, 2003. The proposed Management Training Education Program will be updated through polling respective senior managers on suggestions for mandated and required supervisor/manager training, as well as reviewing recommendations from the Senior Executive Task Force for implementing an executive candidate development program.

The Deputy Librarian's actions are responsive to our recommendation.

H.   *Training Results Need to be Evaluated*

Although the Internal University has performed some return on investment evaluations, such as the evaluation of the Facilitative Leadership program, the Library does not have a process to evaluate the results of training and how well training activities meet short and long-range program needs by occupation, organization, or other appropriate group. Nor are there any policies and procedures to measure the impact of training on improved job performance. No written policies or procedures exist for tracking changes in employee performance after training or for tracking the value of training toward achieving the Library's mission and goals.

Training activities are not tracked to the Library's short and long-range program needs. While the Internal University is providing courses desired by the service units, there is no mechanism to determine whether training is actually applied to the job. The Internal University evaluates whether the attendee liked course content, course materials, and course instruction, but it does not survey trainees and managers to determine how the training was used, if the training resulted in efficiencies, if the training resulted in a better understanding of a subject/process, and if the supervisor explained the purpose of the training in relation to the trainee's job. As a result, the

Library has no way of monitoring whether the training paid for is meeting the Library's documented training needs identified in any Library training standards document, including the Training Matrix.

Recommendation

The Internal University needs to revise Library training evaluations to include determining whether the course meets the Library's short and long-range needs, and training needs based on the Mission Critical Education and Training Matrix. A follow-up evaluation should be performed at some period of time after the course to determine if the course attendee is utilizing the training in their job.

Library Response and OIG Comment

As noted in I. A., the Deputy Librarian concurs in principle.

The Deputy Librarian's actions are responsive to our recommendation.

II.   Base Training Budget On Defined Library Goals

There is no Library standard, such as a per employee amount or percentage of payroll, for budgeting for training. Nor does the Library use a zero-based approach. Instead, training budgets are based on the prior year's approved budget accelerated by an inflation factor. Training budgets have not been adjusted for the additional infrastructure training costs and additional costs associated with skill gaps identified as part of succession planning, or additional skills needed for the Library's new initiatives.

In an attempt to compare the Library's FY 2000 training costs to the American Society for Training and Development's calendar year 2000 industry average, we gathered Library training cost information from several sources, such as the Library's Federal Financial System and the individual service units. In addition to collecting the obligations in multiple budget object classes, we collected training costs for courses developed and presented in-house (such as Library Services and Information Technology Services) and all of the Internal University costs to arrive at an estimated cost for FY 2000 training.

We compared the Library's training dollars as a percentage of payroll; a standard used by training experts and GAO. The Library's .68 percent is significantly less than the government average of 1.7 percent of payroll as reported by the American Society for Training and Development in its 2002 *State of the Industry Report*. The Library would have needed to spend an additional $2,287,905 for training to meet the government average.

Several service units complained that training allocations were arbitrary and seen as favoring some service units. As indicated by **figure 1** on the next page, service unit complaints regarding unevenness of training allocations may be substantiated. The graph shows training expenditures as a percentage of payroll costs for each of the Library's budget organizations. We are not advocating that all Library units should necessarily receive the same percentage of funding, or that the Library has the same training needs of other federal agencies. Rather, the figure demonstrates the need for information, currently not used by the Library, for managing its training program.

Because Library-wide training information is not recorded, the Library does not know whether training budgets are based on documented needs as identified in the Mission Critical Education and Training Matrix. Though the Training and Development Advisory Board has attempted to prioritize training, it is left to the discretion of the service units as to which training they will fund and how it will be funded.

Recommendation

The Executive Committee should develop a budget standard for training based on needs rather than history. We believe a zero-based method along with an updated Mission Critical Education and Training Matrix should be used.

Library Response and OIG Comment

The Deputy Librarian concurs in principle. Scheduled training briefings will allow the Deputy Librarian to gain a better understanding of the learning requirements, capacity, and resource needs associated with mission critical and Library-wide training. During these briefings, senior managers will be asked about their training costs and requirements and directed to reflect these needs in their AP3s and budget concept papers for FY 2005. In addition, the Acting Chief of OM&T and the Chief of Training will include business costs for manager/supervisor, leadership development, upward mobility (intern programs), and senior level training in their report due on June 30, 2003. This information will be used in FY 2005 budget discussions with the Chief Financial Officer and Executive Committee on shaping a budget standard for training.

The Deputy Librarian's actions are responsive to our recommendation.

Figure 1. FY2000 TRAINING AS A PERCENT OF PAYROLL BY BUDGET ORGANIZATION
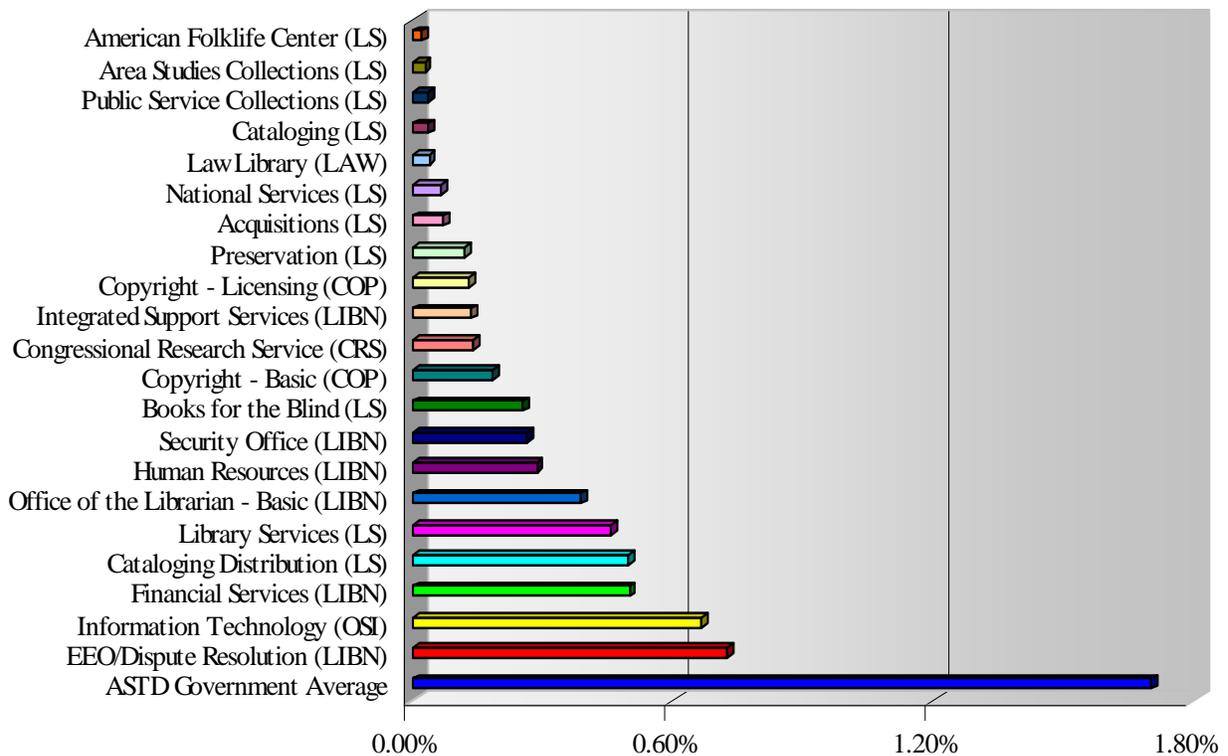
Abbreviations: LIBN – Office of the Librarian, LS – Library Services, COP – Copyright, CRS – Congressional Research Service, and OSI – Office of Strategic Initiatives.

**III.   Training Plans, Expenditures, and Activities
         Need to be Maintained and Tracked**

Studies since 1990 by GAO, the National Academy of Sciences, and KPMG have reported poor data collection, monitoring, and reporting of Library training activities. Despite recommendations by these studies for improving the tracking of training, we found only minimal training records. While service units do maintain training records for their employees and the Internal University maintains records for those employees participating in Library-wide training, consolidated records of training plans, expenditures, and activities are not maintained.

The Library does not track all training, including the total number of employees trained and the total costs of training. Specifically, in-house courses are not included as training costs. In-house trainers, e.g., Congressional Research Service, Library Services, and Information Technology Services do not track their costs to develop and deliver the in-house training. The Library does not track travel for training as a separate travel item, even though there is a budget object class for this expense. The required reporting of SF-182 (Request, Authorization, Agreement, and Certification of Training) costs to the Internal University are sporadic.

There is no central database to track training dollars budgeted, training dollars expended, number of employees trained, and whether training dollars expended are tied to the Library's strategic goals. While the Internal University and some service units have training databases, others maintain only paper files. These databases are different and not interchangeable, consequently, consolidating training data would require significant effort. The Library must first enter all training courses into a central database before it can analyze courses and reduce redundancy. A Learning Management System is employed by most federal agencies to capture this information.

Individual employee training records are not being placed in employee's Official Personnel Folders (OPFs). Human Resources Services staff indicate that neither the law nor the Office of Personnel Management require maintaining training records in OPFs. Yet, the recently negotiated collective bargaining agreement between the Library of Congress and the Guild (2910) states "The Library will maintain a record of completed training courses or career development activities . . . will be filed in or entered into the employee's OPF."

According to the Office of Personnel Management's training handbook: Training law and regulations require agencies to maintain information concerning the general conduct of agency training activities for internal management purposes and for the President and Congress to discharge effectively their respective responsibilities for supervision, control, and review of these training activities. Agencies should maintain records of the following:

- Agency training plans (5 CFR 410.302(d))
- Training activities funded and individual employees trained (5 CFR 410.311)
- Payments made for travel, tuition, fees, and other necessary training expenses (5 CFR 410.406)

- Evaluation of the results of training and how well agency training activities meet short and long-range program needs by occupations, organizations, or other appropriate groups (5 CFR 410.602)

Numerous reorganizations of the Library's training function have resulted in confusion about authorities and responsibilities for training in the Library. The Training Officer and the Training Advisory Committee discussed in Library of Congress Regulation (LCR) 2017-1, *Staff Training and Employee Development Policies in the Library of Congress,* and LCR 2017-1.1, *Training Responsibilities and Procedures,* no longer exist. As a result, numerous tracking and reporting activities are no longer being accomplished as required by 2017-1.1.

Recommendations

1. The Library should fund and implement a Learning Management System that will track all training costs including budgeted training, number of employees trained, and whether training meets the needs of the Library. The Internal University should be responsible for the Learning Management System and ensure that it meets the needs of the service units' training and development requirements.

2. Upon implementation of an effective Learning Management System, the Internal University should maintain individual employee training and development information.

3. The Executive Committee should incorporate into the 2017 LCRs the central collection of training data in order to track all training costs including budgeted training, number of employees trained, and whether training meets the needs of the Library as required by 5 CFR 410.

Library Response and OIG Comment

The Deputy Librarian concurs in principle. The Acting Chief of OM&T and the Chief of Training in consultation with the service and support units, are tasked with reviewing and making recommendations on a Library-wide Learning Management System. The system will need to provide library-wide linkage to track training costs, statistics, and employee development information, among other capabilities. The draft revised training LCR does include the requirement to centrally collect Library training data and statistics.

The Deputy Librarian's actions are responsive to our recommendation.

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Appendix A
(Page 1 of 2)
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Consolidated List of Recommendations
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I. A & C. The Executive Committee should revise LCRs 2017-1 and 2017-1.1 to clearly define the authorities and responsibilities of all Library components for training, and ensure that training resources are distributed accordingly.

B. The Executive Committee should require that every service unit and infrastructure office assign a Training and Development Advisory Board member with decision-making authority. The Executive Committee should also require the Training and Development Advisory Board to annually update the Mission Critical Education Training Matrix utilizing the Office of Personnel Management's Training Needs Assessment Handbook to ensure that training needs are prioritized. The Training and Development Advisory Board should approve all training until skill gaps have been eliminated.

D. The Executive Committee needs to involve the Internal University in Library-wide strategic planning and the Training and Development Advisory Board, in consultation with the Director, Integrated Support Services/Internal University, needs to approve a Strategic Plan for the Internal University.

E. The Training and Development Advisory Board needs to issue guidance and standards for the design and development of instructor-led and on-line training courses/modules.

F. The Training and Development Advisory Board should perform annual training needs assessments that are based on a Mission Critical Education Training Matrix that is updated annually. Information should be gathered from multiple sources such as top management, supervisors, and individual development and strategic plans.

G. The Executive Committee should task the HR-21 Steering Committee to implement the change projects pertinent to training and development such as having Individual Development Plans linked to the Library's strategic goals and defining career paths and providing career counseling as outlined in the *Library of Congress Human Resources Strategic Plan, FY 2000 – 2005*.

The Internal University should regularly schedule supervisory training courses to meet the requirement that a new supervisor complete 40 hours of supervisory training in the first six months following initial supervisory appointment, and to complete the additional 40 hours within one year.

H. The Internal University needs to revise Library training evaluations to include determining whether the course meets the Library's short and long-range needs, and training needs based on the Mission Critical Education and Training Matrix. A follow-up evaluation should be performed at some period of time after the course to determine if the course attendee is utilizing the training in their job.

II. The Executive Committee should develop a budget standard for training based on needs rather than history. We believe a zero-based method along with an updated Mission Critical Education and Training Matrix should be used.

III. 1. The Library should fund and implement a Learning Management System that will track all training costs including budgeted training, number of employees trained, and whether training meets the needs of the Library. The Internal University should be responsible for the Learning Management System and ensure that it meets the needs of the service units' training and development requirements.

2. Upon implementation of an effective Learning Management System, the Internal University should maintain individual employee training and development information.

3. The Executive Committee should incorporate into the 2017 LCRs the central collection of training data in order to track all training costs including budgeted training, number of employees trained, and whether training meets the needs of the Library as required by 5 CRF 410.

Appendix B

UNITED STATES GOVERNMENT
Memorandum
Office of the Deputy Librarian

TO   :   Karl Schornagel   DATE: March 21, 2003
           Inspector General

FROM :   Donald L. Scott
           Deputy Librarian of Congress

SUBJECT: *Response to IG Report: Learning at the Library: Strategic Goals Should Drive*
           Knowledge Investment (Draft Audit Report No. 2001-PA-105)

           This memorandum is to advise you on the status of actions and activities being
taken to implement the learning improvement recommendations from your *Learning at the*
Library draft audit report. I concur that the Library of Congress training program plays a key role
in developing human capital and improving performance. Furthermore, I concur in principle
with the recommendations in your report and they will serve as a blueprint for strengthening and
redefining the Library's training initiative. Because of the importance of developing our human
capacity, I have established an Operations Management and Training Office (OM&T) and
realigned the Library of Congress Internal University to report to the Acting Chief of OM&T.

           The following is the current status of ongoing activities in response to the specific
recommendations offered in your draft report:

Section I

Rec.1. **The Executive Committee should revise LCRs 2017-1 and 2017-1.1 to clearly define**
       the authorities and responsibilities of all Library components and training, and
       ensure that training resources are distributed accordingly.

       Concur. The Library's training program is decentralized and the proposed training LCRs
       assigns the responsibility to each Service and Support Unit to determine the training and
       development needs of its employees in order to accomplish the unit's mission and
       business plan, and to ensure these needs are met. In addition, as noted above, I have
       established OM&T and through its direction, the Internal University (LCIU) to
       provide/coordinate training and development programs and activities that are common
       across the Library. Jim Browning, Chief of Training, OM&T/LCIU has revised the
       training LCR to reflect appropriate authorities and responsibilities for Training and
       Development at the Library. The final draft LCR will be circulated to members of the
       Operations Committee this month for comment. The Executive Committee will then be
       briefed in early April on the draft LCR for comment and approval.

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Rec. 2 **The Executive Committee should require that every service unit and infrastructure office assign a Training and Development Advisory Board (TDAB) member with decision-making authority.**

Rec. 4 **The TDAB needs to issue guidance and standards for the design and development of instructor-led and online training courses/modules.**

Rec. 8 **The Internal University needs to revise Library training evaluations to include determining whether the course meets the Library's short and long-range needs, and training needs based on the Mission Critical Education and Training Matrix. A follow-up evaluation should be performed at some period of time after the course to determine if the course attendee is utilizing the training in their job.**

Concur in Principle. The Training and Development Advisory Board has played an important role in identifying the mission critical training needs and the creation of a learning matrix. However, many of their recommendations have been stymied because of their unclear role, responsibility and authority.

I have proposed that the Library's Operations Committee (members are deputies of the Service Units and directors of the Support Units) be responsible for establishing the policies and priorities for Library-wide training and development programs. This realignment, specifically addressed in the draft training LCR, will ensure training is addressed by senior management and is part of the strategic planning and budgeting process. The Operations Committee has the authority to make and implement decisions involving Library-wide training and, if desired, can charter training and development subcommittee(s) to perform assigned tasks. As a result of this realignment, the Training and Development Advisory Board will be dissolved. Library-wide training coordination activities will continue through the Service and Support Unit Training Liaisons and the Internal University.

Tom Bryant, Acting Chief of OM&T and Jim Browning, Chief of Training, collaborating with the Operations Committee, Service and Support Units, and appropriate stakeholders, will propose standards, for instructor-led and online training courses as well as the criteria for evaluating whether the training has enhanced on-the-job skill levels or has successfully educated staff about a particular initiative.

Rec. 3 **The Executive Committee needs to involve the Internal University in Library-wide strategic planning and the TDAB, in consultation with the Director, ISS/LCIU, needs to approve a Strategic Plan for the Internal University.**

Concur. During January 2002, the Jim Browning, Chief of Training, participated in an off-site retreat to draft the Library's 2003-2008 Strategic Plan. Goal four was added to the list of objectives committing the Library to: *Maintain an outstanding workforce with the skills, resources, and dedication to deliver a range of cutting-edge services, with restrictions of language, format, time, or location . . .*

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Rec. 5 **The Training and Development Advisory Board should perform annual training needs assessments that are based on a Mission Critical Education Training Matrix that is updated annually. Information should be gathered from multiple sources such as top management, supervisors, and individual development and strategic plans.**

Concur in Principle. The draft training LCR requires Service and Support Units to conduct regular training and development needs assessments to ensure all training and development needs are identified. The Operations Committee will validate annually the Mission Critical Education Training Matrix. OM&T, collaborating with appropriate stakeholders, will develop a recommended format for conducting and recording training and development needs assessments by June 1, 2003.

In addition, I have directed each Service and Support Unit to brief me on their capability for administering their own mission critical training and to have them identify future learning requirements, as well as Tom Bryant and Jim Browning to review resource needs and capability for administering Library-wide training; e.g., computer security, ethics, work place issues, leadership programs, skill retooling, and career development. These discussions, reviews and briefings will result in a library-wide learning policy and Strategic training plan for implementation in FY 04.

Rec. 7 **The Internal University should regularly schedule training courses to meet the requirements that a new supervisor complete 40 hours of supervisory training in the first six months following initial supervisory appointment and to meet the additional 40 hours required within one year.**

Concur. The draft training LCR will require 80 hours of supervisory training for new Library supervisors. In addition, the Tom Bryant and Jim Browning are tasked to make recommendations to me for a Library-wide training policy that identifies the principals and guidance for supervisory/management (current and new) mandatory training, leadership development, and senior-level candidate development by June 1, 2003. The proposed Management Training Education Program (MTEP) will be updated through polling respective senior managers on suggestions for mandated and required supervisor/manager training, as well as reviewing recommendations from the Senior Executive Task Force for implementing an executive candidate development program.

Rec. 6 **The Executive Committee should task the HR-21 Steering Committee to implement the change projects pertinent to training and development such as having Individual Development Plans (IDP) linked to the Library's strategic goals and defining career paths and providing career counseling as outlined in the *Library of Congress Human Resources Strategic Plan FY 2000-2005*.**

Concur in Principle. Having staff plans link to and reflect overall strategic goals and objectives represents a major cornerstone in preserving and maintaining the Library's human capital. However, it is important that the Library first adopt a performance

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management policy and framework for evaluating effectiveness. Managers and supervisors will need to be trained on the performance management concept and its implementation. Tom Bryant and Jim Browning have been directed to work with Terri Smith (HRS) and her new performance management program manager to prepare a briefing for HR-21 members and the Operations Committee. Their recommendations will help to shape a performance management policy for approval and adoption by the Executive Committee by August 30, 2003.

Section II

Rec.   **The Executive Committee should develop a budget standard for training based on needs rather than history. We believe a zero-based method along with an updated Mission Critical and Training Matrix should be used.**

Concur in Principle. My scheduled training briefings are to gain a better understanding of the learning requirements, capacity and resource needs associated with mission critical and Library-wide training. During these briefings, senior managers are asked about their training costs and requirements and directed also reflect these items when developing their AP3s and budget concept papers for FY 05. In addition, Tom Bryant and Jim Browning will include business costs for manager/supervisor, leadership development, upward mobility (intern programs), and senior level training in their report due to me on June 30, 2003. This information will be used in FY 05 budget discussions with the Chief Financial Officer and Executive Committee on the shaping a budget standard for training.

Section III

Rec. 1 **The Library should fund and implement a Learning Management System that will track all training costs including budgeted training, number of employees trained, and whether training meets the needs of the Library.**

Rec. 2 **Upon implementation of an effective Learning Management System, the Internal University should maintain individual employee training and development information.**

Rec. 3 **The Library should incorporate into the 2017 LCRs the central collection of training data in order to track all training costs including budgeted training, number of employees trained, and whether training meets the needs of the Library as required by 5 CFR 410.**

Concur in Principle. Tom Bryant and Jim Browning, in consultation with the Service and Support Units, are tasked with reviewing and making recommendations on a Library-wide Learning Management System. The system will need to provide library-wide linkage to track training costs, statistics and employee development information, among other capabilities. The draft training LCR does include the requirement to centrally collect Library training data and statistics.

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