

**OVERSIGHT OF THE LIBRARY OF CONGRESS'
STRATEGIC PLAN: PART 2**

HEARING
BEFORE THE
**COMMITTEE ON HOUSE
ADMINISTRATION**
HOUSE OF REPRESENTATIVES
ONE HUNDRED FIFTEENTH CONGRESS
SECOND SESSION

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JULY 25, 2018
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OVERSIGHT OF THE LIBRARY OF CONGRESS' STRATEGIC PLAN: PART 2

WEDNESDAY, JULY 25, 2018

HOUSE OF REPRESENTATIVES,
COMMITTEE ON HOUSE ADMINISTRATION,
Washington, DC.

The Committee met, pursuant to call, at 11:27 a.m., in Room 1310, Longworth House Office Building, Hon. Gregg Harper [Chairman of the Committee] presiding.

Present: Representatives Harper, Davis, Comstock, Walker, Smith, Loudermilk, Brady, Lofgren, and Raskin.

Staff Present: Sean Moran, Staff Director; Kim Betz, Deputy Staff Director/Policy and Oversight; Steven Wall, Deputy General Counsel; Dan Jarrell, Legislative Clerk; Matt Field, Director of Oversight; Courtney Parella, Communications Director; Jamie Fleet, Minority Staff Director; Khalil Abboud, Minority Deputy Staff Director; and Eddie Flaherty, Minority Chief Clerk.

The CHAIRMAN. I now call to order the Committee on House Administration for today's hearing examining the strategic plan of the Library of Congress.

The hearing record will remain open for 5 legislative days so Members may submit any materials they wish to be included.

A quorum is present, so we may proceed.

The Library of Congress is an unparalleled institution. There is simply no other library nor institution within America quite like it. With over 167 million collections items, from maps to photographs, newspapers, movies, baseball cards, manuscripts, and new books, rare books, and all kinds in between, its repository of knowledge is unmatched.

While the Library's location and components have changed over time, its fundamental mission to serve Congress with that repository has not. The Library was created by Congress in 1800. From its founding until 1897, the Library was housed in the Capitol. In 1815, Thomas Jefferson sold his famous personal collection to Congress for the new Library. In 1832, the Law Library was created. In 1870, copyright law vastly expanded the Library collections' breadth and depth.

In 1896, the Joint Committee on the Library held important hearings on the future of the Library, which were instrumental in setting the strategy for the Library headed into a new century. In 1914, the Legislative Reference Service was created to assist Congress, later becoming the CRS we know today. In 1939, the Adams Building opened, followed by the Madison Building opening in 1980.

Understanding that knowledge objectivity and primary resources are vital to a healthy and thriving deliberative Congress and body politic, the Library has served and continues to serve Congress and the American people to this day. As history has shown, the Library adapts and grows, which is why we are here.

Almost exactly 1 year ago, Dr. Hayden, you testified before this Committee about your then-beginning stages of the Library's strategic planning for the future. We are here today to receive an update on your progress.

When will the strategic plan be completed? What are its key characteristics and components? What has the Library learned about itself over the past year? These are questions we hope to have answered today as we assess the Library's ability to meet the demands and challenges and the mission into the 21st century.

I want to thank our excellent panel for their appearance before the Committee today.

And I would now like to recognize the Ranking Member of the Committee, Mr. Brady, for the purpose of providing an opening statement.

Mr. Brady.

Mr. BRADY. I want to thank the Chairman for calling this hearing today and thank the witnesses for their testimony.

The Library of Congress is an amazing place, not only for Members but for our constituents as well, though, like any other institution of its size, the Library has its share of management issues.

Since 2011, the Library inspector general has been recommending the Library develop a strong strategic plan to deal with these challenges. Under Dr. Hayden's leadership, the Library is engaging in doing such a plan, and it will soon be up to Congress to make sure we do our part to make the plan a reality.

Again, I also thank the witnesses, and I yield back the balance of my time.

The CHAIRMAN. The gentleman yields back.

Does any other Member wish to be recognized for the purpose of an opening statement?

Seeing none, I would now like to introduce our panel of witnesses.

Dr. Carla Hayden was sworn in as the 14th Librarian of Congress on September the 14th, 2016. And in a city where history is made, Dr. Hayden certainly made history. The first woman and the first African American to lead the national library was nominated to the position by President Barack Obama on February the 24th, 2016, and her nomination was confirmed by the United States Senate on July 13th, 2016.

I have to say, it seems like you have been here longer than July of 2016.

Prior to that, she served as CEO of the Enoch Pratt Free Library in Baltimore, Maryland. She has also been a member of the National Museum and Library Services Board, deputy commissioner and chief librarian of the Chicago Public Library, and assistant professor for library and information science at the University of Pittsburgh, and library services coordinator for the Museum of Science and Industry in Chicago.

She began her career with the Chicago Public Library as a young adult services coordinator and as a library associate and, dear to her heart, children's librarian.

Dr. Hayden was president of the American Library Association from 2003 to 2004. And in 1995 she was the first African American to receive Library Journal's Librarian of the Year Award in recognition of her outreach services at the Pratt Library, which included an after-school center for Baltimore teens offering homework assistance and college and career counseling.

Dr. Hayden received a B.A. from Roosevelt University and an M.A. and Ph.D. from the Graduate Library School of the University of Chicago.

Inspector Kurt Hyde has extensive experience in both the public and private sector. Prior to joining the Library, Mr. Hyde was the Deputy Inspector General for Audit and Evaluations at the Special Inspector General for the Troubled Asset Relief Program, or TARP. Similarly, he was the Deputy Assistant Inspector General for the Resolution Trust Corporation during the savings and loan financial crisis in the 1990s.

His other government services entail working at the Government Accountability Office and as a senior executive at the Department of Transportation Office of Inspector General.

Before joining the Library, Mr. Hyde, a certified public accountant, was a partner in the government services practice at a Big Five accounting and consulting firm, where he advised the Centers for Medicare and Medicaid on their implementations of Medicare Plus Choice and other government clients on customer-centric solutions.

I would now like to introduce Mrs. Dianne Houghton—and did I pronounce that right?

Ms. HOUGHTON. Yes, you did.

The CHAIRMAN. Is the Senior Advisor and Director of the Strategic Planning and Performance Management Office at the Library of Congress. In this role, Ms. Houghton is responsible for enterprise-level planning and performance management activities, including development of the Library's strategic plan. She is also leading an initiative to update and integrate the Library's planning, performance management, and risk and internal control program frameworks.

Before joining the Library, Ms. Houghton was the chief operating officer of New Leaders, a national nonprofit that develops transformational school leaders. During this time, she managed the organization's technology, finance, strategic planning, and talent management teams while rebuilding the leadership team and overseeing the design and launch of expanded services.

Before her work with New Leaders, Ms. Houghton was the chief executive officer of Digital Focus, Inc., a technology solutions provider. There she led a dramatic performance turnaround, establishing profitability within 5 months after 4 years of losses.

She also served as President and COO of Jaffe Associates. She doubled the organization's size and revenues, which led to her being named to the Inc. 500 list of fastest-growing private companies by Inc. Magazine.

Before filling executive roles, Ms. Houghton was a management consultant working with many Fortune 100 companies and government organizations to create and launch strategic initiatives. She is also the coauthor of the book “Visions, Values, and Courage: Leadership for Quality Management.”

You all exhausted me. I mean, what amazing credentials. And we thank you for being here.

And we have received your written testimony. You will each have 5 minutes to present a summary of that submission. To help you keep your time, you know how it works. The timing device that is there on the table will be a green light for the first 4 minutes. It will turn yellow when a minute remains. And when the light turns red, the trapdoor will—no, I mean, the light turns red, it means your time has expired.

And we are honored to have each of you here and look forward to this.

So, the Chair now recognizes our witnesses for purposes of an opening statement.

And we will begin with you, Dr. Hayden.

STATEMENTS OF THE HON. CARLA HAYDEN, LIBRARIAN OF CONGRESS; KURT W. HYDE, INSPECTOR GENERAL, LIBRARY OF CONGRESS; AND DIANNE HOUGHTON, DIRECTOR OF STRATEGIC PLANNING AND PERFORMANCE MANAGEMENT, LIBRARY OF CONGRESS

STATEMENT OF THE HON. CARLA HAYDEN

Ms. HAYDEN. Good morning, Chairman Harper, Ranking Member Brady, and Members of the Committee. I am very pleased that—

The CHAIRMAN. I don't know that—

Ms. HAYDEN. And now that the microphone is on, I will reiterate my greeting to Chairman Harper, Ranking Member Brady, and Members of the Committee, because I am very pleased to be here today to provide an update on the Library's strategic plan and to give more information on the accomplishments so far and the progress that we have made.

And I want to begin by thanking the Committee for its support and commitment to the Library in its over 200-year history.

I am now in my second year as Librarian, and I am even more committed to doing all that I can to ensure that the Library's unparalleled collections and resources are available to all. And those resources, of those, the strongest, I believe, are the expertise and the commitment to public service of the dedicated staff.

And it was just a year ago that I first addressed this Committee on the topic of strategic planning, and I am pleased today to share with you that we are on track to publish by October 1st a plan to guide our activities over the next 5 Fiscal Years.

The new strategic plan establishes a framework for the entire agency that is driven by our mission to serve Congress and the American people. Our mission incorporates the key elements of what we do and why we do it and for whom. And it is, quote, “to engage, inspire, and inform Congress and the American people with a universal and enduring source of knowledge and creativity.”

And with that core mission reinforced, the new strategic plan takes shape around unifying concepts important to every unit in the organization, and the most critical of which is a clear and persistent focus on users.

We established a user-centered direction forward. That means that we will enrich the Library experience for all users, including, first and foremost, Members of Congress, who may engage with the Congressional Research Service or read books from our stacks; creators who draw inspiration from our collections or use the services of the Copyright Office to protect their creative work; institutions like libraries and schools, who serve as connectors between the users and the Library of Congress; and learners of all ages who use our unique and trusted resources to learn about history, civics, and any other part of our shared cultural heritage.

As I testified last year, establishing a strategic vision and structure for the agency's future has been a top priority for the agency and for me. To date, we have taken several important steps to make that happen.

The Office of Strategic Planning and Performance Management, headed by Director Dianne Houghton, who reports directly to me, has been hard at work over the last 15 months strengthening the agency's overall strategic directional and operational planning process.

Consistent with best practices, the Library has developed a strategic plan with input from hundreds of Library employees, managers, and leaders. All Library service units have played a key role, as have external stakeholders and users. And we have regularly consulted with our congressional oversight committees throughout the process.

And, as a result, four agency-wide principles have emerged as our unifying goals: expanding access, enhancing service, optimizing resources, and measuring impact.

The plan, which is now near completion, will be accompanied by new or revised service-level unit directional plans, which are on track to be completed by January 2019 and will speak to each unit's mission-specific goals and objectives.

I thank the IG, Mr. Hyde, for acknowledging our progress and agree with the essence of the report. It is essential that the Library build a mature, data-driven, and impactful planning and performance management system. It will, as noted in his report, take several years along a carefully planned trajectory to achieve the result, and the report certainly provides helpful guidance.

I also wanted to take a moment to discuss the strides we are making to make performance matter, including the successful launch of a new performance management system in fiscal year 2016. For the first time, the agency is working to instill a performance culture that is grounded by regular review of performance at the executive level.

And, in addition, internal risk control and management continues to be of central importance. The Library designed, piloted, and launched our first agency-wide risk management process nearly a year ago.

And so, in closing, the Library is poised to implement a unifying strategic plan that is user-centered and forward-thinking, one that

will facilitate measurable agency outcomes as we continue to make advances in planning.

So thank you for providing me this opportunity for an update.
[The statement of Ms. Hayden follows:]

**Statement of Carla Hayden
The Librarian of Congress
Before
The Committee on House Administration
U.S. House of Representatives
On
Oversight of the Library of Congress' Strategic Plan, Part 2
July 25, 2018**

Good morning Chairman Harper, Ranking Member Brady, and Members of the Committee. Thank you for inviting me to testify before the Committee on the topic of strategic planning at the Library of Congress. I am pleased to be before you today to provide an update on all that has been accomplished or is in process since last year's hearing.

Let me begin with thanking the Committee for your support and commitment as the Library continues its more than 200-year history as the steward of the nation's universal and enduring source of knowledge and shared cultural heritage. This library – your library – has the unique honor and responsibility of collecting, preserving, and making accessible an unequaled collection for the use of the Congress and the American People.

I am proud to be part of such a noble purpose. Now in my second year as Librarian, I am even more committed to doing all I can to share our resources, the strongest of which I believe are the expertise and commitment to public service of our dedicated staff.

The Library remains the world's largest library, a premiere research institution, and a destination for Members of Congress, congressional staff, and researchers. It holds enormous potential for reaching more Americans of all walks of life who can find information and inspiration from this remarkable national institution.

Today, the Library holds more than 167 million items in all formats and languages and has the world's largest collections of legal materials, films, and sound recordings. In fiscal 2017, the Library welcomed nearly 2 million in-person visitors and there were 110 million visits to our website. CRS provided custom services to 100 percent of Senate and House member offices and standing committees. The U.S. Copyright Office registered more than 450,000 claims. Over 10 million preservation actions were undertaken on collections; over 20 million audio/braille books and magazines were circulated via partnerships with more than 100 network libraries throughout the United States; and the Library responded to more than 1 million reference requests from the Congress, the public, and other federal agencies.

The Library continues to make significant strides in meeting our goal to increase access for Congress and the American people. CRS worked to modernize its service to Congress by joining the Skype for Business Federation, which this year enabled instant messaging and teleconferencing with congressional staff. The Library launched LC Labs and, working with the Serials division, rolled out a new crowd sourcing app inviting users to help create a database of historic newspaper images from the Chronicling America database. New “touch history” tours allow visitors who are visually impaired to experience the magnificence of the Jefferson Building. The Law Library further expanded online content with fully indexed and searchable U.S. Codes going back to 1925. We have also made new collections available online, such as the papers of Alexander Hamilton and James Buchanan, and new high-resolution scans of original documents in the Abraham Lincoln papers.

As you can tell, the Library has been full of purposeful activity this year making resources more available to our users, and we’ve been similarly busy on the strategic planning front.

It was just a year ago that I addressed this Committee and stated my intent to engage in a comprehensive strategic planning process, with the goal of having a dynamic and forward-looking Strategic Plan in place for fiscal year 2019. I am here today to inform you that we are on track to publish by October 1st a plan to guide our activities in FY 2019 and over the next five fiscal years.

The new strategic plan establishes a strategy framework for the entire agency that is driven by its mission to serve Congress and the American people. The Library’s mission statement is at the core of this institution’s planning. It provides the foundation for the Library’s work generally, and for our strategic planning efforts specifically. Our mission incorporates the key elements of what we do, why we do it, and for whom: “to engage, inspire, and inform Congress and the American people with a universal and enduring source of knowledge and creativity.”

With our core mission reinforced, the new strategic plan takes shape around unifying concepts important to every part of the organization - the most critical of which is a clear and persistent focus on users.

We have established a “user-centered direction forward” that defines our objectives and activities around value and benefit to our users. In practical terms, the user-centered direction forward means we will enrich the Library experience for all users, including first and foremost Members of Congress who may engage the Congressional Research Service or read books from our stacks; ‘creators’ who draw inspiration from our collections or use the Copyright Office to protect their creative works; institutions like local schools and libraries who serve as ‘connectors’ between users and the Library of Congress; and ‘learners’ of all ages who use our unique and trusted resources to learn about history, civics, and any other part of America’s cultural heritage you can imagine. I want to note that, while our priorities will be chosen to best serve the nation, we know the benefits will be felt by all who use the Library of Congress. With this in mind, we have also crafted an aspirational vision statement that “all Americans are connected to the Library of Congress.”

As I testified last year, establishing a strategic vision and structure for the agency's future has been a top priority. To date, we have taken several important steps to make that happen.

The Office of Strategic Planning and Performance Management reports directly to me and is headed by its director Dianne Houghton. The Office has been hard at work over the last 15 months strengthening the agency's strategic, directional, and operational planning. Consistent with best practices, the Library has developed the strategic plan through a participative initiative, with input and feedback from hundreds of Library employees, managers, and leaders. All Library service units have played a key role, as have external stakeholders and users. We have also regularly consulted congressional staff throughout the process.

Beginning in the spring of 2017, the Library embarked on the first phase of its "Envisioning 2025" initiative, with the aim of setting the direction for the Library's future. This phase explored trends and topics related to the Library's services. The Library's leadership established core language around the role of the Library and its users in a way that transcends organizational boundaries, and by the end of the year, the user-centered direction had been set.

With this foundation, the drafting of the strategic plan launched in December 2017. Four agency-wide principles emerged as our unifying goals: expanding access, enhancing service, optimizing resources, and measuring impact. The plan, now near completion, will be accompanied by new or revised service unit-level plans. Each unit is on track to complete its plan by January 2019 and will speak to each unit's mission-specific goals. These plans will align with the overall Library strategic plan as well as help to prioritize new programming initiatives and investments.

We will ensure accountability by tracking our progress in meeting goals under the Strategic Plan with the creation of an Implementation Roadmap. This roadmap will identify a sequence of specific priority initiatives – informed by the central Strategic Plan and the service unit-level plans – to be implemented over the next five years. This roadmap will be used to set and track progress to the Strategic Plan's goals, as well as prioritize budgeting. Unlike the Strategic Plan, which will not change, the Implementation Roadmap can be adjusted over time to better reflect new priorities and changing situations.

Ultimately, the Library will develop a culture that views planning as a never-ending, iterative process, where operations and services are reviewed and analyzed continuously, so that we may regularly improve our efficiency and our value to users.

The Library's Office of the Inspector General (OIG) has recently evaluated our strategic planning and performance management, noting key improvements over the last two years and also identifying practices to further strengthen the Library's strategic planning and performance management.

We thank the OIG for acknowledging our progress and agree with the essence of the report. It is essential for the Library to build a mature, data-driven, and impactful planning and performance management system. It will take years along a carefully planned trajectory to achieve this result, but the report certainly provides helpful guidance as we continue to make progress.

While there were no formal recommendations made, we are taking steps in several areas identified by the OIG as needing a continuous focus. Our efforts to revamp our strategic plan conforms to best practices and the spirit of federal government standards applied to the Executive Branch. There is still much work to be done, but I have confidence we are headed in the right direction. As a part of strategic planning, we are already increasing our focus on users which both makes sense from a strategic planning standpoint and will also be critical in increasing the access of our collections to users onsite and online.

Last year, I told the Committee about the strides we are making in performance management, including the launch of a new performance management system in FY2016. Our motto when it comes to performance management is to "make performance matter." The Library has invested significantly in moving this work forward across the organization. We began by focusing on developing and tracking key, impact-driven performance metrics; developing a new reporting system to support the setting and tracking of goals across and within the Library's service units; and incorporating progress to goals as a standing agenda item at monthly Executive Committee meetings and quarterly performance reviews. For the first time, the agency is working to instill a performance culture that is grounded by the regular review of performance at the executive level. Good performance management is fundamental to success.

In addition, internal risk control and management continue to be of central importance. The Library designed, piloted, and launched our first agency-wide risk management process nearly a year ago. The Library's Integrated Risk & Internal Control process is intended to identify, assess, and facilitate leadership response to strategic and operational risks in a way that aligns with our Strategic Plan, performance goals, and key business initiatives. We will continually review, tailor, and improve this process over time, recognizing the value that such a program provides.

Lastly, while the Library's Strategic Plan sets the agency's goals and direction forward, we are formulating a Digital Strategy that focuses on the digital manifestations of the Library and how the Library should evolve to better meet our diverse user expectations.

Our strategic planning and digital strategy development work has been closely integrated. The Digital Strategy complements the Strategic Plan, describing what the Library would like to accomplish in terms of digital transformation over the next five years. This plan will guide how we leverage digital capabilities to connect with users, using technology to reach farther and to be more available.

The Digital Strategy will also guide how we invest in our future, creating mechanisms for experimentation, enabling a culture of innovation, and ensuring enduring access to content. The modern user, whether it is Congress or a copyright holder, requires an increasingly digital Library of Congress.

As with the Strategic Plan, our Digital Strategy is being developed through an inclusive, cross-Library process. The strategy will be complete and ready to guide all things digital at the Library in the coming fiscal year.

In closing, the Library is poised to implement a unifying strategic plan that is user-centered, forward thinking, and will facilitate measurable outcomes as we continue to make advances in planning and performance measurement.

Thank you for inviting me to provide testimony on this important topic. I look forward to taking your questions.

The CHAIRMAN. Thank you so much, Dr. Hayden.
The Chair will now recognize Mr. Hyde for 5 minutes for the purposes of his opening statement.

STATEMENT OF KURT W. HYDE

Mr. HYDE. Chairman Harper, Ranking Member Brady, and Members of the Committee, thank you for the opportunity to testify on the Library of Congress' strategic planning and performance management and the work being done by my office in this area.

As you know, strategic planning and management has been on the IG's list of the Library's top management challenges since September 2011. We put it on the list because many of the challenges over the years have flowed from the Library not having a proper strategic planning framework in place. By that, I mean the Library has not been able to effectively identify strategic goals, stay focused on meeting those goals, and hold itself accountable when the goals are not met. We believe that this resulted in lost opportunities.

We have demonstrated this in our April 2015 report on the Library's eDeposit Program, an effort to collect digital materials. The audit highlighted the importance of leaders staying involved and focusing on accountability. We could not determine whether progress on the program had met management's expectations after 5 years of effort because Library leadership at the time had not established quantifiable expectations related to cost, performance, and project completion.

Under Dr. Hayden's leadership, the Library has taken a stronger approach. For example, Dr. Hayden has elevated the CIO and Director of Strategic Planning positions to report directly to her, which sends a strong message and comports to best practices. She has mandated a new collaborative Library-wide strategic plan integrated with unit plans. And she required her high-level executives to discuss the status of priority performance goals at monthly executive committee meetings, something that had not been done previously.

The Library is at the start of a long-term process to get on track. We reported last week calling for continued, persistent focus to strengthen the Library's strategic planning management, identifying the practices that would serve the Library well as it looks to strengthen this area, and those six practices are: improving its focus on users; implementing a planning and performance culture at the executive level; creating a strategic plan that meets Federal Government standards; creating a human capital linkage to planning and performance; linking budgetary resources to expected performance results; and managing risk across the Library service units when planning and conducting performance management.

Dr. Hayden's focus in some of these areas, such as addressing users' needs and focusing on creating a performance culture, is definitely a step in the right direction. Because the Library is still in the early stages of building its management capacity in this area, it needs to be vigilant about ensuring success with strategic planning over the long term. As the saying goes, the Library will be building the plane while flying it.

Since Dr. Hayden is piloting the Library through this process, her persistent leadership and guidance will be vital. Progress will

not occur with the delivery of random and unconnected tasks. The imperative is ensuring follow through on their execution of the implementation roadmap and year-to-year driving of the synchronized unit plans. In addition, as stated in our top management challenges, the Library must execute a thoughtful digital strategy that integrates with the other plans.

An enormous amount of quality data will have to be collected, analyzed, and reported as part of this process. Strategic planning and performance management pay dividends when executives make tough priority decisions based on performance data.

It will take time for the Library to successfully develop and implement a more robust planning framework, one that includes goals with specific and aggressive outcomes that can be used to evaluate performance using verifiable metrics.

Thank you for this opportunity to address the Committee. I ask that our July report be admitted into the record as my formal written testimony, and I would be happy to answer any questions.

[The statement of Mr. Hyde follows:]

Library of Congress' Office of the Inspector General (OIG) recently issued a report on this specific hearing topic. Therefore the OIG is submitting the attached, Report No. 2018-SP-103, July 2018 *Continued Persistent Focus Needed to Strengthen the Library's Strategic Planning and Performance Management*, for the record in lieu of a written statement.

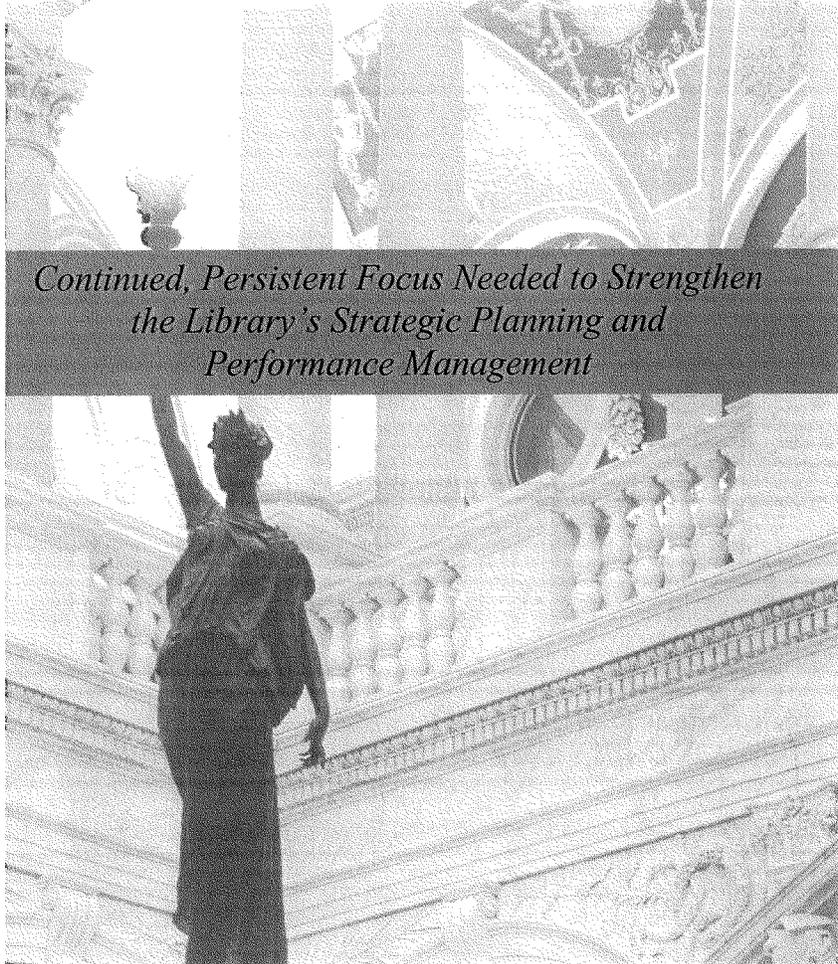
Kurt W. Hyde
Inspector General
Library of Congress

Hearing: Oversight of the Library of Congress' Strategic Plan, Part 2

United States House of Representatives
Committee on House Administration

July 25, 2018

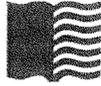




*Continued, Persistent Focus Needed to Strengthen
the Library's Strategic Planning and
Performance Management*



Library of Congress Office of the Inspector General



OFFICE OF THE INSPECTOR GENERAL

LIBRARY OF CONGRESS

101 INDEPENDENCE AVE., S.E.

WASHINGTON, D.C. 20540

July 16, 2018

MEMORANDUM FOR: Dr. Carla Hayden
Librarian of Congress

FROM: Kurt W. Hyde
Inspector General 

SUBJECT: Report No. 2018-SP-103, *Continued, Persistent Focus Needed to Strengthen the Library's Strategic Planning and Performance Management*

The Chairman of the Committee on House Administration told the Office of the Inspector General (OIG) he wanted the Library of Congress (Library) to address and resolve the top management challenges identified in OIG's Semiannual Reports to Congress. Consequently, for the semiannual reporting period ending March 31, 2018, OIG selected two such challenges – strategic planning and information technology infrastructure – to evaluate the Library's efforts in relation to them and present our findings in our semiannual report. For the evaluation of the Library's strategic planning and performance management efforts, our objective was to analyze the steps taken to develop a more robust Library-wide strategic plan supported by aligned service unit plans and an integrated enterprise-wide risk management framework.

This transmits our final report on the Library's strategic planning and performance management efforts. The report did not make formal recommendations that required management to respond to the draft report, in accordance with LCR 9-160, *Rights and Responsibilities of Employees to the Inspector General*, §6.A. The final report will be made publicly available.

We appreciate the cooperation and courtesies extended by the Office for Strategic Planning and Performance Management during this evaluation.

cc: Principal Deputy Librarian of Congress
Chief of Staff
General Counsel
Director, Strategic Planning and Performance Management

Continued, Persistent Focus Needed to Strengthen the Library's Strategic Planning and Performance Management

Summary

The Office of the Inspector General (OIG) initiated this evaluation of the Library of Congress' (Library) strategic planning and performance management efforts to analyze the steps taken to develop a more robust Library-wide strategic plan supported by aligned service unit plans and an integrated enterprise-wide risk management framework. We have identified the strategic planning and performance management area as a top management challenge in our Semiannual Reports to Congress since our September 2011 semiannual report.

We believe that many of the Library's management challenges over the years have flowed from a historic lack of proper strategic planning and performance management. More recently, especially with Dr. Hayden's arrival, this area has improved. For example, under the Librarian's leadership, high-level executives are discussing the status of high priority annual performance goals at monthly Executive Committee meetings, something that had not been happening previously. The Librarian has also directed the Office for Strategic Planning and Performance Management to develop a Library-wide strategic plan supported by aligned service unit plans.

As part of the evaluation, we identified practices that would further strengthen the Library's strategic planning and performance management. We are presenting these practices as guidance and intend to refer to this guidance in future evaluations and semiannual reports that address strategic planning and performance management. OIG identified six practices:

- Improve the Library's focus on customers/users;
- Implement a planning and performance culture at the executive level;
- Create a strategic plan that meets federal government standards;
- Create a better human capital linkage to strategic planning and performance management;
- Link budgetary resources to expected performance results; and

- Manage risk across the Library's service units when planning and conducting performance management.

OIG believes that the Library's strategic planning and performance management processes are thus far being revamped appropriately to conform to the spirit of the Government Performance and Results Act of 1993 (GPRA).¹ As a legislative branch agency, the Library is exempt from GPRA, but has historically held itself to the spirit of GPRA. Congress has expressed its expectation that this would be the case. However, it will take the Library years to successfully develop and implement a more robust strategic planning framework, one that includes goals with specific and aggressive outcomes that can be used to evaluate performance using verifiable performance metrics. An enormous amount of quality data will have to be collected, analyzed, and reported as part of this process. Finally, a clear roadmap for accomplishing this major change will be needed.

Management Comments

Management stated that it agreed with the essence of the report: that it is essential for the Library to build to a mature, data-driven, and impactful planning and performance management system and that it will take years along a carefully planned trajectory to achieve this result. OIG did not make formal recommendations that required a management response.

¹ Government Performance and Results Act of 1993. Pub. L. 103-62, 107 Stat. 285 (1993).

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Background

The Government Performance and Results Act of 1993 (GPRA) created a thorough and comprehensive framework for federal government strategic planning and performance reporting.² GPRA was the centerpiece of a statutory framework Congress put in place to address long-standing weaknesses in federal operations, improve federal management practices, and provide greater accountability for achieving results. GPRA sought to shift the focus of government decision-making and accountability away from a preoccupation with activities undertaken to a focus on the results of those activities—such as real gains in program quality. Since its enactment, GPRA has helped improve the efficiency and effectiveness of federal programs by requiring agencies to set goals for program performance and to measure results.

Under GPRA, strategic plans are the starting point and basic underpinning for results-oriented management. The Government Accountability Office (GAO) explains that strategic plans are intended to be the starting point for each agency's performance measurement efforts. GPRA requires that strategic plans contain certain key elements, such as a comprehensive mission statement, long-term goals and objectives, and strategies to achieve the goals and objectives. GAO notes that the mission statement is expected to bring the agency into focus and explain why the agency exists and tell what it does. The strategic goals that follow are an outgrowth of the stated mission. The strategic goals explain the purposes of the agency's programs and the results they are intended to achieve. Goals are to be expressed in a manner that enables a subsequent assessment of whether the goals were achieved. Agencies are also to develop annual performance plans and annual performance reports. The GPRA Modernization Act of 2010 (Modernization Act) was a significant enhancement of the planning and reporting framework established by GPRA and provided important tools to help agencies resolve major management challenges.³

The Library of Congress (Library) is exempt from GPRA and the Modernization Act as a legislative branch agency, but has historically held itself to the spirit of GPRA. Congress has expressed its expectation that this would be the case. In 2005, the Senate Committee on Appropriations stated that it was committed to applying GPRA principles to the legislative branch. According to a Committee report, "While [l]egislative [b]ranch agencies are not required to comply with GPRA, the Committee believes the spirit and intent of [GPRA] should be applied to these agencies. The Committee intends to monitor agencies' progress in developing and implementing meaningful performance measures, describing how such measures will be verified and

² Government Performance and Results Act of 1993. Pub. L. 103-62, 107 Stat. 285 (1993).

³ GPRA Modernization Act of 2010, Pub. L. 111-352, 124 Stat. 3866 (2011).

validated, linking performance measures to day-to-day activities, and coordinating across "sister" agencies."⁴

The Library unveiled its current strategic plan for fiscal years (FYs) 2016–2020 in October 2015 as a "living plan," intended to guide the Library during a time of leadership transition and be revised once a new Librarian arrived. After her arrival in the spring of 2017, Dr. Hayden launched the Envisioning 2025 initiative to inform the development of a new strategic plan. The Library intends to have a new strategic plan in place by FY 2019; Library service units are expected to have plans that align with the overall strategic plan completed by the end of January 2019. At an all-staff meeting in January 2018, Dr. Hayden stated "The vision is simple: to enhance and expand the use and the reach of the Library."⁵ To help with strategic plan-related activities, the Library hired the management consultant Deloitte in December 2017.

The Office of the Inspector General (OIG) has issued several reports on GPRA-related issues, including the implementation of performance-based budgeting,^{6,7} development of credible performance data,⁸ and implementation of Modernization Act-related principles.⁹ Additionally, in conducting this evaluation, OIG leveraged the work conducted by GAO on GPRA and the Modernization Act;¹⁰ the insights of Manning and Bodine's in their book entitled, *Outside In: The Power of Putting Customers at the Center of Your Business*;¹¹ Bossidy and Charan in *Execution: The Discipline of Getting Things Done*;¹² and guidance indicated in Office of Management and Budget (OMB) circulars. OMB circulars provide sound business practices, although the Library is not required to follow them.

⁴ S. Rep. 109-89, at [3] (2006).

⁵ *Staff Updated on Strategic Plan, Envisioning Initiative*, Library of Congress Gazette, January 26, 2018, Volume 29, No. 3.

⁶ *Performance-Based Budgeting at the Library: A Good Start, but Much Work Remains*, 2004-FN-502, October 2006.

⁷ *Performance-Based Budgeting: Working Toward the Spirit of GPRA - Library Services: Commendable Progress with Room for Improvement*, 2010-PA-107, January 2011.

⁸ *Managing in the Spirit of GPRA: Developing Credible Performance Data is the Next Step*, 2009-PA-104, March 2010.

⁹ *Working Toward the Spirit of the Government Performance and Results Modernization Act*, 2013-PA-101, March 2013.

¹⁰ In addition to the GAO reports footnoted in this report, see *Building On Agencies' Strategic Plans to Improve Federal Management*, GAO/T-GGD/AIMD-98-29, October 1997; *Agencies' Annual Performance Plans Can Help Address Strategic Planning Challenges*, GAO/GGD-98-44, January 1998; *GPRA Has Established a Solid Foundation for Achieving Greater Results*, GAO-04-38, March 2004; *Greater Transparency Needed in Public Reporting on the Quality of Performance Information for Selected Agencies' Priority Goals*, GAO-15-788, September 2015; *Implementation of GPRA Modernization Act Has Yielded Mixed Progress in Addressing Pressing Governance Challenges*, GAO-15-819, September 2015; *Agencies Need to Fully Identify and Report Major Management Challenges and Actions to Resolve them in their Agency Performance Plans*, GAO-16-510, June 2016.

¹¹ *Outside In: The Power of Putting Customers at the Center of Your Business* by Harley Manning and Kerry Bodine with Forrester Research (New York: New Harvest Books, a division of Houghton Mifflin Harcourt Publishing Company, 2012).

¹² *Execution: The Discipline of Getting Things Done* by Larry Bossidy and Ram Charan with Charles Burck (New York: Crown Business, a division of Random House, Inc., 2002).

The Librarian Has Initiated Improvements to the Library's Strategic Planning and Performance Management

OIG has reported on gaps in the Library's strategic planning and performance management activities and considers it one of the Library's top management challenges. OIG identified performance-based budgeting, a GPRA-related activity, as a top management challenge in our September 2011 Semiannual Report to Congress.¹³ Since that time, strategic planning and performance management-related activities have remained on OIG's list of Library top management challenges. OIG believes that many of the Library's management challenges over the years have flowed from a historic lack of proper strategic planning and performance management.

More recently, especially with Dr. Hayden's arrival, the Library has taken a stronger approach to strategic planning and performance management. OIG commended the Library in our September 2015 Semiannual Report to Congress for engaging a special consultant to address its strategic planning and performance management issues. The Librarian tasked the Office for Strategic Planning and Performance Management (SPPM) with strengthening strategic, directional, and operational planning and elevated the SPPM Director to report directly to her. Further, as noted in testimony by the Inspector General before the Committee on House Administration, the Library has taken steps to improve the delivery of information technology (IT) services.¹⁴ The Library hired its first professional Chief Information Officer (CIO) and the Librarian elevated the CIO position to report directly to her. This gave the CIO position recognition as a Library-wide strategic and operational partner.

Under the Librarian's leadership, high-level executives are also discussing the status of high priority cross-Library annual performance goals (APGs) at monthly Executive Committee (EC) meetings, something that had not been happening previously. SPPM told OIG that the practice facilitates communication among executives responsible for APGs that cut across their service units. Other notable accomplishments include the launching of a new electronic system for tracking and reporting on APGs and SPPM's effort to design an enterprise-wide risk management framework, which according to SPPM will be in keeping with the spirit of OMB Circular No. A-123.¹⁵ With the launch of Envisioning 2025, the Librarian has also directed SPPM to

¹³ Federal government OIGs are statutorily required to submit semiannual reports to Congress. See OIG's semiannual reports at <https://www.loc.gov/about/office-of-the-inspector-general/annual-reports/>.

¹⁴ *Oversight of the Library of Congress' Information Technology Management*, testimony of Inspector General Kurt W. Hyde, June 8, 2017.

¹⁵ OMB Circular No. A-123, *Management's Responsibility for Enterprise Risk Management and Internal Control*, July 2016.

develop a Library-wide strategic plan supported by aligned service unit plans. OIG considers this a critical step to success.

OIG believes that the Library's strategic planning and performance management processes are thus far being revamped appropriately to conform to the spirit of GPRA. However, it will take the Library years to successfully develop and implement a more robust strategic planning framework, one that includes goals with specific and aggressive outcomes that can be used to evaluate performance using verifiable performance metrics. An enormous amount of quality data will have to be collected, analyzed, and reported as part of this process. Finally, a clear roadmap for accomplishing this major change will be needed.

Continued, Persistent Focus is Needed to Strengthen the Library's Strategic Planning and Performance Management Activities

Our evaluation identified practices that can be utilized by the Library to further develop and implement effective strategic planning and performance management. These were derived from OIG reports and testimony, GAO reports, business literature, and from interviews. OIG is not making formal recommendations at this time; we are presenting these practices as guidance. OIG intends to refer to this guidance in our future evaluations and semiannual reports that address this area. Because the Library has not successfully implemented effective strategic planning and performance management practices since GPRA was passed, we emphasize those practices identified by GAO as being among the best for executive branch agencies' implementation of GPRA, as opposed to those associated with the implementation of the Modernization Act. The Library needs to address the fundamental questions posed by GPRA, such as:

- What is our mission?
- What are our goals and how will we achieve them?
- How can we measure our performance?
- How will we use that information to make improvements and achieve results?

The Modernization Act will have greater relevance when the Library has developed answers to these questions. During the drafting of this report, in April 2018, OIG noted that the Library announced a reorganization that reportedly will, among other things, help the Library better focus on user experience and engagement. We did not analyze this development, but will do so in our future evaluations of the Library's strategic planning and performance management activities.

Improve the Library's Focus on Customers/Users—According to Bossidy and Charan's *Execution*, people tend to look at their organizations from the inside out—that is, they get so focused on what they are producing that they lose awareness of customer needs.¹⁶ However, as Manning and Bodine state in *Outside In*, market research shows that we are now in the “age of the customer”—a time when focus on the customer matters more than any other strategic imperative.¹⁷ Accordingly, the New York Public Library (NYPL)

has committed to putting the needs of customers/users first, based on an interview OIG conducted with NYPL's Director of Customer Experience. NYPL is the nation's largest public library system, serving more than 17 million patrons a year, millions more online, and holding 55 million items.¹⁸

Table 1: Guidance Summary

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| <ul style="list-style-type: none"> • Develop a user data collection capability as part of fulfilling a user-centered strategic planning direction. <ul style="list-style-type: none"> ❖ Hire contractor services to develop a user data strategy for the collection of data on user satisfaction and needs, starting with determining the satisfaction level and needs of Congress. ❖ Invest in developing in-house capability to collect, assess, and respond to user data. |
|--|

In 2014, as part of its strategic planning process, NYPL decided to adopt a focus on customers. Since that time, NYPL has established a centralized Customer Experience Office with ten full-time staff working to support a mission of creating and maintaining a foundation of services, training, and technology that supports a seamless user experience. The Customer Experience office relies on a data-driven approach to determine user needs, such as through surveys sent electronically to Library patrons.

The Library recognizes the importance of the user experience as part of its current strategic planning activities. For example, as part of *Envisioning 2025*, a group of Library employees reviewed the topic of Library users. The group concluded that the Library needed to obtain better information on users through surveys and other data, to continually strive to provide better services, such as through technology, to develop the Library's brand, and to establish metrics to judge success. As evidenced by NYPL's efforts, creating this kind of customer service foundation requires a deliberative and ongoing commitment. The Library needs to develop its capability to collect user data as part of fulfilling a user-centered strategic planning direction.

¹⁶ *Execution: The Discipline of Getting Things Done* by Larry Bossidy and Ram Charan (New York: Crown Business, a division of Random House, Inc., 2002).

¹⁷ *Outside In: The Power of Putting Customers at the Center of Your Business* by Harley Manning and Kerry Bodine (New York: New Harvest Books, a division of Houghton Mifflin Harcourt Publishing Company, 2012), page 15.

¹⁸ <https://www.nypl.org/help/about-nypl>.

OIG has stated previously that the Library needs to prioritize identifying and addressing the needs of customers as part of strengthening its strategic planning and performance management.¹⁹ The Library has no current, comprehensive data on customers' needs, feedback, and experience and has no effort to collect such data on an on-going basis; some data has been collected in the past, but the data need to be updated. Identifying the needs of customers is necessary for the Library to structure its current and future strategic plans and, ultimately, define and achieve its intended user experience. The Library needs to know how its services look and feel from its customers' perspectives, whether they are Members of Congress, customers of the Copyright Office, or academic researchers delving into the Library's collection materials.

To develop a strategy for the collection of user data, the Library may need, in the short term, to utilize contractor services and then, over the longer term, to grow its in-house capability to collect, assess, and respond to user data. An effective strategy would identify the Library's needs for collecting, assessing, and responding to user data, such as the personnel, IT, and other needs. Further, the strategy would lay out the critical path of how and when the Library intends to operationalize its data collection. The Library would also integrate these activities into its strategic planning and performance management framework; this would help the Library measure performance and identify adjustments needed to improve customer services and related service unit performance.

Implement a Planning and Performance Culture at the Executive Level—Effective strategic planning and performance management requires committed leadership at the topmost executive levels. In *Execution*,²⁰ Bossidy and Charan state that no organization can deliver on its commitments or adapt well to change unless all leaders practice the discipline of execution at all levels. They further state that execution is a systemic process of rigorously asking questions, tenaciously following through, and ensuring accountability. It includes making assumptions about the organization's environment, assessing the organization's

Table 2: Guidance Summary

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| <ul style="list-style-type: none"> • Create and implement expectations for executives that incorporate responsibilities for achieving strategic goals. • Institute an oversight process that incorporates planning, performance management, and reporting processes into significant decision-making; that continually monitors and holds executives accountable for performance variances; and that analyzes and corrects performance shortfalls on a real-time basis. |
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¹⁹ *OIG Semiannual Report to Congress*, March 2017.

²⁰ *Execution: The Discipline of Getting Things Done* by Larry Bossidy and Ram Charan (New York: Crown Business, a division of Random House, Inc., 2002).

capabilities, linking strategy and people to operations, and linking rewards to outcomes. It also includes mechanisms for changing assumptions as the environment changes and upgrading the organization's capabilities to meet the challenges of an ambitious strategy. OIG believes that leaders who execute put in place a culture and processes that reward people who get things done—in a timely manner and in line with quality expectations.

As stated earlier, the Librarian has already demonstrated a commitment to planning, performance, and accountability, such as by implementing the practice of discussing high priority cross-Library goals at EC meetings, something OIG identified as being needed. In April 2015, OIG issued a report on the eDeposit program (eDeposit), a digital collections initiative implemented in 2010 that involved five service units. The audit highlighted the importance of leaders staying involved and focusing on accountability for the collection of electronic works. OIG reviewed more than nine years of EC meeting agendas and minutes regarding eDeposit, and other related projects, and found only one occasion in which the EC performed monitoring activities. OIG could not determine whether progress had met management's expectations after five years of progress because Library leadership had not established quantifiable expectations related to cost, performance, and project completion. This demonstrated the need for a stronger planning and performance culture at the executive level. OIG recommended that the then-Librarian implement better governance and accountability in order to ensure timely implementation of activities related to acquiring electronic works.²¹

OIG has also identified an absence of accountability at the executive level related to IT investments.²² In 2015, we found little interaction between the EC and the Information Technology Steering Committee (ITSC), a group at the Library responsible for overseeing IT investment management processes and making recommendations to the EC on IT investments. This was the case despite Library policy documenting a reporting chain from the ITSC to the EC. The situation created confusion and lack of understanding among ITSC members regarding important areas. There were unanswered questions regarding the timing of funding for approved investments, how to ensure that all investments were subject to ITSC review, and the tie between strategic planning and the ITSC.

The Modernization Act offers useful guidance to help ensure that topmost executives are committed to strategic planning and performance management—

- *The Modernization Act assigns responsibility for performance improvement.*

²¹ *The Library Needs to Determine an eDeposit and eCollections Strategy*, 2014-PA-101, April 2015.

²² *Report for Design of Library-wide Internal Controls for Tracking Information Technology Investments*, 2014-IT-101, March 2015.

- ❖ The deputy agency head, or equivalent, is assigned overall responsibility for improving agency management and performance.
- ❖ Agencies are to designate a senior executive to assist with performance management activities.
- ❖ Agencies are required to designate goal leaders for cross-agency priority goals and APGs.
- *The Modernization Act requires regular performance reviews of progress in achieving goals.*
 - ❖ OMB guidance implementing the Modernization Act established a strategic review process in which agencies are to conduct leadership-driven, annual reviews of their progress toward achieving each strategic goal.
 - ❖ Data-driven performance reviews are also scheduled to occur at least quarterly. These meetings are to be used by management to review and analyze data on progress toward key performance goals and other management-improvement priorities.

Regardless of whether the Library adopts Modernization Act requirements, the Library needs to determine how to make top executives more accountable for planning and performance, such as by setting expectations that make executives responsible for achieving strategic goals. To help ensure effective implementation of a new culture, the Library should also consider taking steps, such as instituting an oversight process that incorporates planning, performance management, and reporting processes into significant decision-making; holding executives accountable for performance variances; and analyzing and correcting performance shortfalls on a real-time basis.

Create a Strategic Plan that Meets Federal Government Standards—

The Library's current strategic plan for FYs 2016–2020 needs to be updated; among other issues, it lacks specificity and is not sufficiently outcome-oriented. After the previous Librarian retired, the Library's then-Acting Librarian issued the current strategic plan. It was known as a "living" strategic plan because the plan was intended to guide the Library during a time of leadership transition and be revised once a new Librarian arrived. With Dr. Hayden now in place, the Library has the opportunity to use the strategic planning effort to implement results-oriented management at the Library. We consider the current strategic planning effort a starting point for defining what the agency seeks to accomplish; it is also an opportunity to establish a foundation of strategies for achieving goals and mechanisms for evaluating progress made on those goals. Developing a strategic plan can help clarify organizational priorities and unify the agency's workforce in the pursuit of shared goals.

Based on OIG's evaluation, Dr. Hayden is grappling with a situation reminiscent to what Comptroller General David Walker faced when he was newly appointed to lead GAO in 1999. GAO needed a new strategic plan and the Comptroller General used the strategic planning process as an opportunity to transform GAO, which was considered too hierarchical, process-oriented, and internally focused. The Comptroller General concerned himself with all major aspects of the plan, including the development of the mission, vision, themes, and goals; he also prioritized broad participation in the planning effort and meeting GPRA requirements. The Comptroller General saw the strategic plan as a blueprint for how GAO would support Congress and the American people; he also saw it as "a vision for strengthening the performance and accountability of the federal government."²³

As noted earlier, the Librarian has made initial progress in making the Library more results-oriented. To ensure continued progress, the Library should look to practices considered to be standards for results-oriented management in the federal government, as identified by GAO in its analysis of federal government strategic plans²⁴ and OIG in our previous analyses of the Library's strategic planning and performance management activities:

- *Planning elements should be linked.* GAO found that strategic plans did not consistently describe the alignment of strategic goals and objectives and the strategies created to achieve those goals and objectives. The linkages are important if strategic plans are to drive an agency's daily activities and if an agency is to be held accountable for achieving intended results. GAO reported that this linkage is critical for determining whether an agency has a clear sense of how it will

Table 3: Guidance Summary

- The strategic plan should link to elements in the plan.
- Strategic goals should be results-oriented to the extent feasible.
 - ❖ Focus on developing more *outcome-oriented* performance strategies and targets.
- Strategies explaining how long-term strategic goals will be achieved should be fully developed.
- The capacity to gather performance information to identify appropriate goals and assess performance should be developed.
 - ❖ Establish a system of internal control to ensure that performance assessment data are valid and verifiable; controls to consider include requiring senior executives to certify the validity of data being used for their units' performance assessments and/or requiring SPPM to evaluate the adequacy of data used to measure progress toward performance targets.
 - ❖ Outline requirements for the validation and verification of performance data in performance management directives.
- Evaluations should be utilized.

²³ *GAO Strategic Plan, 2000-2005*, page 1.

²⁴ *Critical Issues for Improving Federal Agencies' Strategic Plans*, GAO/GGD-97-180, September 1997.

assess progress toward achieving its intended results. OIG has shown previously that the Library's IT strategic planning process was not strongly linked to its IT investment process.²⁵ We identified service units engaged in planning activities that were not aligned with the Library's IT investment process. This prevented the selection of optimal IT investments to support the Library's mission.

- *Strategic goals should be results-oriented to the extent feasible.* GAO identified goals that were not as results-oriented as they could have been and not expressed in a manner that would allow future assessments of whether they were being achieved. One of OIG's prior analyses demonstrated this issue at the Library.²⁶ We identified a high ratio of output- as opposed to outcome-oriented performance strategies and targets; we recommended that the Library focus on developing more outcome-oriented performance strategies and targets.²⁷
- *Strategies explaining how long-term strategic goals will be achieved should be fully developed.* GAO found that plans could be strengthened if strategies included, among other things, specific actions, planned accomplishments, and implementation schedules. Also, the strategies did not address key management challenges that could affect the agencies' ability to achieve strategic goals. OIG has previously identified that the Library needed a better strategy for developing performance-based budgeting.²⁸ We identified the need for a formal, documented plan of action and milestones. We also identified in our eDeposit report the need for the then-Librarian and his immediate leadership team to create a mechanism to receive regularly scheduled program and project management reports on critical activities and milestones involving the acquisition of electronic works.²⁹
- *The capacity to gather performance information to identify appropriate goals and assess performance should be developed.* According to GAO, the lack of reliable data to measure the costs and results of agency operations has been a long-standing problem. OIG has addressed this issue at the Library in several prior reviews. In 2010, 2011, and 2013, OIG reported on problems with the quality of

²⁵ *Report for Design of Library-wide Internal Controls for Tracking Information Technology Investments*, 2014-IT-101, March 2015.

²⁶ *Performance-Based Budgeting: Working Toward the Spirit of GPRA - Library Services: Commendable Progress with Room for Improvement*, 2010-PA-107, January 2011.

²⁷ Output measures assess how many things were produced or services provided and outcome measures demonstrate whether or not intended results are being achieved.

²⁸ *Performance-Based Budgeting at the Library: A Good Start, but Much Work Remains*, 2004-FN-502, October 2006.

²⁹ *The Library Needs to Determine an eDeposit and eCollections Strategy*, 2014-PA-101, April 2015.

the Library's performance data.³⁰ Most recently, in the 2013 report, OIG identified significant variations in the quality of performance data and consequently concluded that the performance assessments sampled were not reliable. We recommended in our reports that the Library establish a system of internal control to ensure that performance assessment data are valid and verifiable. Controls to consider in developing the system include requiring senior executives to certify the validity of data being used for their units' performance assessments and/or requiring SPPM to evaluate the adequacy of data used to measure progress toward performance targets. We also recommended that the Library outline requirements for the validation and verification of performance data in performance management directives.

- *Evaluations should be utilized.* GAO found that many plans lacked critical information about how evaluations were used. Evaluations are important because they can potentially be critical sources of information for ensuring that goals are reasonable, strategies for achieving goals are effective, and that corrective actions are taken. OIG's work has previously identified the need for the Library to develop a plan for periodically evaluating its activities for strategic planning and performance management purposes.³¹

The Library hired management consultant Deloitte in December 2017 and Deloitte initiated the first phase of its work to assist the Library with creating a new strategic plan. In the second phase, the Library will need help to develop an implementation plan to guide, for example, the Library's service units in effecting the changes required to enact the central strategic plan and meet its goals. Using the implementation plan's guidance, service units are to develop directional plans. SPPM told OIG that requiring service units to complete directional plans was new; although some service units have created similar plans in the past, all service units have not been required to do so. The directional plans are expected to cover various issues, such as resource needs, risk assessments, change management initiatives, performance metrics, etc. that will facilitate the execution of the Library's central strategic plan. Based on OIG's evaluation, the Library's intention to develop an implementation plan and directional plans is in line with federal government standards for strategic plans; for example, see above – planning elements should be linked. OIG also believes that obtaining contracted expertise to develop the strategic plan and the implementation plan was needed, but that the Library should

³⁰ See *Managing in the Spirit of GPRA: Developing Credible Performance Data is the Next Step*, 2009-PA-104, March 2010; *Performance-Based Budgeting: Working Toward the Spirit of GPRA - Library Services: Commendable Progress with Room for Improvement*, 2010-PA-107, January 2011; and *Working Toward the Spirit of the Government Performance and Results Modernization Act*, 2013-PA-101, March 2013.

³¹ *Managing in the Spirit of GPRA: Developing Credible Performance Data is the Next Step*, 2009-PA-104, March 2010.

develop its human capital capacity to execute a quality strategic planning and performance management system, as described in the next section.

Create a Better Human Capital Linkage to Strategic Planning and Performance Management—According to GAO, good managers understand that many forces—both inside and outside their organizations—can influence their ability to achieve goals and that successful organizations monitor their internal and external environments continuously and systematically. Organizations that do this have shown an ability to anticipate future challenges, make adjustments to potential problems, and prevent them from becoming crises.³² GAO

Table 4: Guidance Summary

- Determine what skills are needed to help the Library execute a quality strategic planning and performance management system, such as by having the Human Resources Services Office perform an organization-wide human capital analysis, assessing where the Library currently has human capital skill gaps, and developing a plan to hire and train personnel to address the gaps.
- Monitor progress being made, such as by creating *outcome-oriented* APGs for the successful development of the needed skillsets, including APGs for the Human Resources Services Office.
- Leverage the expertise of the Library's contractors supporting the strategic planning work and capitalize on the knowledge transfer requirement included in the contract to build the Library's own capabilities.

has also stated that to attain the highest level of performance and accountability, federal agencies depend on three enablers: people, process, and technology.³³ All three are important, but the people dimension is the most critical internal resource. Accordingly, we believe that the successful implementation of stronger strategic planning and performance management at the Library will principally

depend on an efficient and effective workforce, especially since payroll costs are approximately 65% of the Library's costs overall.³⁴ Our eDeposit report highlighted the shift needed in the Library's workforce. We stated that senior leadership must improve its ability to oversee the Library's acquisition of electronic works, such as by using standard best practices of performance management. The Library needed organizational oversight and controls established throughout the Library's strategic and annual planning process, the budget process, ITSC, and other areas to provide a comprehensive oversight framework that prevents ineffective and inefficient project development efforts.³⁵

³² *Effectively Implementing the Government Performance and Results Act*, GAO/GGD-96-118, June 1996.

³³ *Human Capital: Managing Human Capital in the 21st Century*, GAO/T-GGD-00-77, March 2000 and *Human Capital: A Self-Assessment Checklist for Agency Leaders*, GAO/OCG-00-14G, September 2000.

³⁴ According to the Library's Fiscal 2019 Budget Justification, payroll-related costs are approximately 65% of total costs under the Library's FY 2018 operating plan.

³⁵ *The Library Needs to Determine an eDeposit and eCollections Strategy*, 2014-PA-101, April 2015.

Bossidy and Charan in *Execution* underscore the importance of the human resources function in helping to develop the workforce, build an execution culture, and advance the organization; to be effective, this function has to be linked to strategy and operations, focused on key business issues and problems, and be recruitment-oriented.³⁶ Accordingly, the Library's Human Resources Services Office (HRS) can help to strengthen strategic planning and performance management, such as by conducting a human capital analysis to identify what skills are needed organization-wide among the Library's executives, in its services units, etc. This would enable HRS to assess where the Library has human capital skill gaps, and develop a plan to hire and train personnel to address the gaps. Also, having outcome-oriented APGs for the successful development of the needed skillsets would help the Library monitor the progress being made, including APGs for HRS.

OIG has always supported the use of contractors to augment Library personnel until such time as a knowledge transfer can take place from the contractors to Library employees, such as in the case of the Library's development of a new strategic plan. Given the Library's strategic planning and performance management needs, the Library has an opportunity to build its planning capabilities by leveraging the expertise of its contractors supporting the implementation efforts of the service units and capitalizing on the knowledge transfer requirement included in the contract.

Link Budgetary Resources to Expected Performance Results—The Library needs to adopt performance budgeting by linking its budget needs to the performance planning process and to achieving results. OIG recognizes that this effort will take years to refine, although the Office of the Chief Information Officer (OCIO) has already started down this path and the Library can leverage OCIO's lessons learned to initiate performance budgeting for select strategic initiatives. Ultimately, this approach will provide great insight to programmatic-like areas that may warrant further cost-benefit analysis. The SPPM Director told OIG that the Library intends to synchronize the planning and budget processes by 2021, which we consider a reasonable target date. As outlined by GAO, Congress enacted GPRA to improve the effectiveness, efficiency, and accountability of federal programs by having agencies focus their management practices on results. With regard to spending decisions, GPRA aims for a closer and clearer linkage between resources and results. GPRA requires agencies to use activities as the basis for planning, performance measurement, and for developing the agency's budget request. This critical design element aims at assuring a simple, straightforward link among plans, budgets, and performance information and the related congressional oversight and resource allocation processes. Clearer and closer association between expected performance and budgetary requests

³⁶ *Execution: The Discipline of Getting Things Done* by Larry Bossidy and Ram Charan (New York: Crown Business, a division of Random House, Inc., 2002).

can more explicitly inform budget discussions and shift the focus to achieving results.³⁷ As the Library becomes more results-oriented, it may become necessary to fundamentally alter activities so that they more effectively and efficiently produce services needed by users.

OIG believes that sustaining a focus on performance budgeting is predicated on also aligning Library-wide strategic performance goals with all key activities—budgeting, financial management, human capital management, capital acquisition, and IT management—and all associated activity costs (e.g., payroll, materials, capital investments, external support, overhead, etc.). Service units should define all direct and indirect costs required by key activities and indicate that a goal will be achieved at a given level of spending. As variances between plans and actual results occur, managers should analyze the resource inputs and their relationship to outcomes. Such analysis allows an agency to determine where resources are needed, and where they are available.³⁸ OIG's eDeposit report highlighted the Library's inability to monitor cross-cutting IT programs across its planning, budgeting, program/project management, and financial accounting systems.³⁹ To facilitate its effort, the Library should create APGs for the Office of the Chief Financial Officer (OCFO) to develop the ability to associate costs with the Library's strategic goals.

Table 5: Guidance Summary
<ul style="list-style-type: none"> • Adopt performance budgeting by linking budgetary needs to the performance planning process and to results. • Align performance goals with all key activities and all associated costs. <ul style="list-style-type: none"> ❖ Create APGs for the Office of the Chief Financial Officer to develop the ability to associate costs with the Library's strategic goals. • Develop annual performance plans for all activities that: <ul style="list-style-type: none"> ❖ Define objective, quantifiable, and measurable goals; ❖ Target performance levels; ❖ Describe the operating processes, skills, technologies, human capital, and other resources required; ❖ Establish performance indicators for measuring and assessing relevant outputs, service levels, and outcomes for each activity; ❖ Describe the basis for comparing results with performance goals; and ❖ Define the basis for verifying and validating performance measures. • Implement a method of assessing performance that evaluates program design and purpose and annual and longer-term goals, management, and results. <ul style="list-style-type: none"> ❖ To help identify connections between program performance assessment activities and budgeting processes, the Library should require the documentation of budget-related decisions as part of performance assessment activities.

³⁷ *Performance Budgeting: Past Initiatives Offer Insights for GPRA Implementation*, GAO/AIMD-97-46, March 1997 and *Performance Budgeting: Current Developments and Future Prospects*, GAO-03-595T, April 2003.

³⁸ *Performance-Based Budgeting at the Library: A Good Start, but Much Work Remains*, 2004-FN-502, October 2006.

³⁹ *The Library Needs to Determine an eDeposit and eCollections Strategy*, 2014-PA-101, April 2015.

OIG has also stated previously that annual performance plans are the pathway to accomplishing an agency's strategic goals. Annual performance plans should include objective, quantifiable, and measurable goals for key activities; target performance levels; describe the operating process, skills, technologies, human capital, and other resources required; establish performance indicators for measuring and assessing relevant outputs, service levels, and outcomes for each activity; describe the basis for comparing results with performance goals; and define the basis for verifying and validating performance measures.

The Library should also implement a method of assessing performance that evaluates program design and purpose and annual and longer-term goals, management, and results.⁴⁰ To help identify connections between program performance assessment activities and budgeting processes, the Library should require the documentation of budget-related decisions as part of performance assessment activities, such as any shifts in base budgets that are the result of performance-related assessments and instances when performance assessments provided support for reprogramming requests.⁴¹

The Library has started down the path of associating costs with its strategic efforts. OCIO has taken a vital step towards developing an effective IT cost accounting methodology called Technology Business Management (TBM). When fully implemented, TBM will provide Library management with the capability to improve financial analysis for IT investment planning, system development performance, system period performance, operating performance by functional area, and system rationalization. However, integrating TBM throughout the Library will not be easy. Successful implementation will require a major commitment from OCFO and HRS to ensure that the effort is appropriately inculcated into the Library's culture. The Library can use the implementation of TBM as a spring board to launch more performance budgeting efforts involving other strategic business goals.

Manage Risks Across the Library's Service Units When Planning and Conducting Performance Management—OMB Circular No. A-123 requires executive branch agencies to implement enterprise risk management (ERM). ERM is a way to assist agencies with managing risks across the organization, such as across service units; it helps to ensure that federal managers effectively manage risks that could affect the achievement of strategic goals.⁴² OMB Circular No. A-11 additionally states that agencies should assess and manage risk as part of strategic and data-driven reviews.⁴³

⁴⁰ *Performance-Based Budgeting at the Library: A Good Start, but Much Work Remains*, 2004-FN-502, October 2006.

⁴¹ *Managing in the Spirit of GPRA: Developing Credible Performance Data is the Next Step*, 2009-PA-104, March 2010.

⁴² OMB Circular No. A-123, *Management's Responsibility for Enterprise Risk Management and Internal Control*, July 2016.

⁴³ OMB Circular No. A-11, *Preparation, Submission and Execution of the Budget, Section 270, Performance and Strategic Reviews*, July 2016.

In a December 2016 report, GAO highlighted the importance of applying an effective ERM framework.⁴⁴ It identified six essential elements (shown in italics) and practices (underlined) to use when implementing ERM:

- *Align ERM process to goals and objectives*—Leaders guide and sustain the ERM strategy. Implementing ERM requires the full engagement and commitment of senior leaders, supports the role of leadership in the agency goal setting process, and demonstrates to agency staff the importance of ERM.
- *Identify risks*—Develop a risk-informed culture to ensure all employees can effectively raise risks. Developing an organization culture to encourage employees to identify and discuss risks openly is critical to ERM success.
- *Assess risks*—Integrate ERM capability to support strategic planning and organizational performance management. Integrating the prioritized risk assessment into strategic planning and organizational performance management processes helps improve budgeting, operational, or resource allocation planning.
- *Select risk response*—Establish a customized ERM program integrated into existing agency processes. Customizing ERM helps agency leaders regularly consider risk and select the most appropriate risk response that fits the particular structure and culture of an agency.
- *Monitor risks*—Continuously manage risks. Conducting the ERM review cycle on a regular basis and monitoring the selected risk response with performance indicators allows the agency to track results and impact on the mission, and whether the risk response is successful or requires additional actions.
- *Communicate and Report on Risks*—Share information with internal and external stakeholders to identify and communicate risks. Sharing risk information and incorporating feedback from internal and external stakeholders can help organizations identify and better manage risks, as well as increase transparency and accountability to Congress and taxpayers.

⁴⁴ *Enterprise Risk Management: Selected Agencies' Experiences Illustrate Good Practices in Managing Risk*, GAO-17-63, December 2016.

OIG learned from SPPM that the Library determined in 2016 to redesign its internal control program into an ERM program to align with OMB Circular No. A-123. Since then, SPPM has developed, piloted, and launched a new Library-wide risk and internal controls approach. Although the Library is years away from having a fully mature ERM, the approach aligns with APGs and key business processes; includes the identification and assessment of risks and the development of responses to the risks, which are incorporated into risk management plans; incorporates the monitoring of risks and risk responses on an ongoing basis; and involves ongoing reporting of risks, risk responses, and corrective actions. OIG noted that the risks will need to be reexamined after the Library completes its new strategic plan, directional plans, and APGs. OIG believes that the Library should incorporate GAO's elements and practices as appropriate into its ERM development efforts.

Table 6: Guidance Summary

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| <ul style="list-style-type: none"> • Align ERM process to goals and objectives. <ul style="list-style-type: none"> ❖ Leaders guide and sustain the ERM strategy. • Identify risks. <ul style="list-style-type: none"> ❖ Develop a risk-informed culture to ensure all employees can effectively raise risks. • Assess risks. <ul style="list-style-type: none"> ❖ Integrate ERM capability to support strategic planning and organizational performance management. • Select risk response. <ul style="list-style-type: none"> ❖ Establish a customized ERM program integrated into existing agency processes. • Monitor risks. <ul style="list-style-type: none"> ❖ Continuously manage risks. • Communicate and report on risks. <ul style="list-style-type: none"> ❖ Share information with internal and external stakeholders to identify and communicate risks. |
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Appendix A: Objectives, Scope, and Methodologies

The evaluation's objective was to analyze the steps taken to develop a more robust Library-wide strategic plan supported by aligned service unit plans and an integrated enterprise-wide risk management framework. As outlined in the report, the Office of the Inspector General (OIG) used Government Performance and Results Act of 1993 (GPRA) and, to a lesser degree, the GPRA Modernization Act of 2010 (Modernization Act) as guidance for the Library's strategic planning and performance management activities. The Library is exempt from GPRA and the Modernization Act, but has historically held itself to the spirit of GPRA. OIG also utilized its past reports on GPRA-related issues and leveraged the work conducted by the Government Accountability Office (GAO); the relevant OIG and GAO reports are referenced in the background section and in footnotes throughout the report. Additionally, OIG leveraged the work of authors Manning and Bodine in *Outside In*⁴⁵ and Bossidy and Charan in *Execution*⁴⁶ and the guidance provided in Office of Management and Budget (OMB) circulars, including Circulars Nos. A-123 and A-11. OMB circulars provide sound business practices, although the Library is not required to follow them. Further, every OIG Semiannual Report to Congress has identified strategic planning and performance management-related activities as a top management challenge for the Library since September 2011. OIG initiated this evaluation in December 2017 and fieldwork activities were completed in May 2018.

In performing the evaluation, OIG performed multiple interviews with staff in the Library's Office of Strategic Planning and Performance Management and one interview with a representative of the New York Public Library; the interview with the New York Public Library representative is described in this report. OIG also utilized documentary and analytical evidence, but did not utilize computer-processed data. All of our activities took place in the Library's Madison Building in Washington, District of Columbia.

OIG is not making formal recommendations at this time; we are presenting these practices as guidance. OIG intends to refer to this guidance in our future evaluations and semiannual reports that address strategic planning and performance management.

We conducted this evaluation in accordance with *Quality Standards for Inspection and Evaluation* published by the Council of the Inspectors General on Integrity and Efficiency and Library of Congress Regulation 1-140, *Inspector General*. These standards require that we plan and perform our evaluation to obtain sufficient, appropriate evidence to provide a reasonable

⁴⁵ *Outside In: The Power of Putting Customers at the Center of Your Business* by Harley Manning and Kerry Bodine (New York: New Harvest Books, a division of Houghton Mifflin Harcourt Publishing Company, 2012).

⁴⁶ *Execution: The Discipline of Getting Things Done* by Larry Bossidy and Ram Charan (New York: Crown Business, a division of Random House, Inc., 2002).

basis for determining compliance. We believe that the evidence obtained provides a reasonable basis for our findings and conclusions based on our evaluation objective.

Appendix B: Management Response



**LIBRARY OF
CONGRESS**

Office of the Librarian

MEMORANDUM

DATE June 25, 2018

TO Kurt Hyde, Inspector General

FROM Mark Sweeney, Principal Deputy Librarian of Congress *M. Sweeney*

SUBJECT Management Response to Draft Audit Report 2018-SP-103

Thank you for sharing your Draft Report 2018-SP-103: "Continued, Persistent Focus Needed to Strengthen Library's Strategic Planning and Performance Management." We appreciate the opportunity to review the draft report's findings and guidance.

Thank you also for acknowledging the significant progress that the Library has made over the past two years in our approach to planning and performance management. We agree with the essence of the report: that it is essential for the Library to build to a mature, data-driven and impactful planning and performance management system and that it will take years along a carefully planned trajectory to achieve this result.

Under the Librarian's leadership we have already made the determination to "make performance matter," and have invested significantly in moving this work forward across the organization. We began by focusing on developing and tracking key, impact-driven performance metrics; developing a new reporting system to support setting and tracking goals across and within the Library's service units; piloting and launching an enterprise risk and control management process; and incorporating progress to goals as a standing agenda item at monthly Executive Committee (EC) meetings and quarterly performance reviews.

The Library has also implemented Government Performance and Results Act (GPRA) Modernization Act best practices to ensure executive commitment through a Performance Review Board, chaired by the Director of Human Resources Services (HRS), which reviews annual senior level performance appraisals and ratings and is directly accountable to the Principal Deputy and Librarian. In addition, the Library is piloting an automated workforce performance management system that redefines rating descriptions and point scales, maintains meaningful distinctions between performance levels, and keys executive performance goals and targets to agency and unit-level goals.

Consistent with best practices, the Library's new strategic plan for FY2019-2023 is being developed as a participative initiative with input and feedback from hundreds of Library employees, managers, and leaders from all Library units as well as external stakeholders and users. Our new strategic plan is taking shape around unifying concepts that have

Page 1 of 2

emerged as relevant to every part of the organization - the most critical of which is a clear and persistent focus on our users. Under the new plan we will enrich the Library experience for Congress, creators, and connectors, and more actively engage learners of all ages with our unique and trusted resources. The final strategic plan will be accompanied by an implementation roadmap, which we will use to set and track progress to the strategic plan's goals and objectives and prioritize budgeting and investment in the spirit of GPRA. We look forward to sharing the plan and roadmap with you.

Our new planning framework also requires Library units to develop individual plans to align with the overall Library strategic plan and to prioritize initiatives and investments - including New and Expanded Program Requests (NEPRs) and information technology (IT) investments - to best support the established Library strategic goals and objectives. Along with their work in developing the Library plan, this unit-level planning will strengthen managers' awareness and understanding of critical planning and performance concepts and will develop skill in the activities that drive a strong planning and performance culture.

Execution of the Library's plans will rely significantly on human capital. HRS has already undertaken skills assessments of the occupational areas for IT and contracting. This has informed organizational changes and strengthened HRS' knowledge of how to conduct future assessments. The Library intends to update its learning management system to capture data on individual competencies and skill sets, analyze aggregated data, and identify competency and skill gaps at the organizational level.

We maintain the position expressed in response to prior OIG audits that performance-based budgeting is not itself an end state that guarantees success. The Library's approach is to refine Library and unit-level goals, performance metrics, and accountability practices, and to use that framework to drive priorities and inform budget decisions. To achieve this, we are exploring ways to code financial transactions in Library systems to provide linkages between approved funding and points of the strategic framework, as appropriate and practical. The Library has begun in the area of IT by using "tower codes" in both the Library of Congress Budget System and Momentum, thereby connecting planning and funding data for IT investments with adopted IT taxonomies. With the creation of the Project Management Office and weekly reporting on IT project status in relation to project milestones, the Library has a mechanism to track real-time information during the IT project lifecycle.

As the Library's strategic planning matures, the Library will explore avenues to connect established goals with available resources and link disparate programmatic elements and data. For example, the Library has issued a Request for Information to research alternatives for an enterprise business planning and management solution. As described in the RFI, the Library seeks a solution that will capture planning data gathered in seven major business segments and integrate the data to enable sharing, comparison, and evaluation.

The Library's approach is to develop a culture that views planning as a never-ending, iterative process, where operations and services are reviewed and analyzed continuously, so that we may regularly improve our efficiency and our value to users.

The CHAIRMAN. Thank you, Mr. Hyde.
The Chair will now recognize Director Houghton for 5 minutes.

STATEMENT OF DIANNE HOUGHTON

Ms. HOUGHTON. Thank you. Good morning, Chairman Harper, Ranking Member Brady, and Members of the Committee. Thank you for inviting me to provide testimony on strategic planning at the Library of Congress and to share the progress we have made in developing a strategic plan that puts forward a clear and exciting vision for the agency's future.

In the spring of 2017, we set the stage for our planning work by launching our Envisioning 2025 initiative. Over the next 7 months, we engaged more than 350 staff and managers from all parts of the Library to explore, research, and discuss trends and topics vital to the agency's future.

During this work, leaders from across the agency recognized the need to establish some shared language. We felt an effective strategic plan for the Library must build on concepts that transcend our organizational boundaries and unify our discrete service units.

As a result, we now define the role of the agency in a way that resonates with all parts of the Library, echoing the organizing principles Thomas Jefferson applied to his personal library through the concepts of memory, knowledge, and imagination.

"Memory" refers to our work to acquire, sustain, and provide access to a unique and universal collection. "Knowledge" refers to providing authoritative and objective research, guidance, analysis, and information. And "imagination" refers to inspiring and encouraging creativity and promoting and supporting the protection of the work of creators.

We also developed a shared view of key user groups across the agency, defined as Congress, creators, learners, and connectors.

And, finally and most importantly, we agreed on a user-centered direction forward.

With this foundation, strategic planning activities were launched in December with a team comprised of agency staff and consultants who were engaged to help expand our planning capability and to educate staff in planning concepts and techniques.

Over the winter and spring, we moved through our planning process, including structured research and analysis of many different sources of information, workshops, open forums, exercises, and strategy labs.

And, consistent with best practices, our approach has remained highly participative in all activities. We have engaged over 500 staff and managers, both here on Capitol Hill and at our Culpeper campus. We have engaged Library users and stakeholders through surveys and interviews. And we have received input and shared approaches from similar information-based organizations and peer agencies. The result is a strategic plan that will guide the agency in expanding our reach and deepening our impact with our users.

It begins with our vision. We have crafted an aspirational vision statement that speaks to the sense of connection that we hope to build to the Nation's people, your constituents. Our vision is that all Americans are connected to the Library of Congress. The vision reflects our strong commitment to focusing on our users, better un-

derstanding their needs, and making our universal and enduring source of knowledge and creativity more discoverable, accessible, relevant, and useful.

We next agreed on a set of goals and objectives to drive this vision of connection. Our first goal is to expand access, making our unique collections, experts, and services available when, where, and how users need them, whether visiting Capitol Hill or accessing the Library remotely.

Our second goal is to enhance services, creating valuable experiences for every user by elevating digital experiences, transforming in-person experiences, and developing more user-centered content.

Our third goal is to optimize resources, continuing our work to modernize, strengthen, and streamline our operational capabilities and invest in our staff for the future.

And our fourth and final goal is to measure impact by committing to use data to better understand our users and to measure the impact of our collections and services.

The coming months hold important milestones for our work, including communication and release of the strategic plan at the start of the fiscal year, completion of the service-unit-level planning aligned to the new plan, and elevation of key work and initiatives from these unit-level plans to an agency-level implementation roadmap. This roadmap will be the means to track and report on the fulfillment of our strategic plan commitments in the years ahead.

I thank the Committee again for inviting me to provide testimony, and I look forward to answering any questions.

[The statement of Ms. Houghton follows:]

**Statement of Dianne Houghton
Director of Strategic Planning and Performance Management
Library of Congress
Before
The Committee on House Administration
U.S. House of Representatives
On
Oversight of the Library of Congress' Strategic Plan, Part 2
July 25, 2018**

Good morning Chairman Harper, Ranking Member Brady, and Members of the Committee. Thank you for inviting me to provide testimony on strategic planning at the Library of Congress.

I am pleased to be before you today to share the progress we have made in developing a strategic plan that puts forward a clear and exciting vision for the agency's future and sets the structure needed to drive that vision forward.

My testimony will first provide context on the journey undertaken over the past 15 months, and then share the essence of the resulting Strategic Plan. I will also update you on other key initiatives undertaken to ensure we are ready to move quickly to implement our new plan.

Finally, because development of a strategic plan is one part of a broader system, you will hear about our progress in revising and improving our planning and performance management framework, and so establishing a stronger performance culture across the agency.

Context

In the spring of 2017, the Library embarked on our "Envisioning 2025" initiative, an initiative that included more than 350 staff and managers engaged in opportunities to explore, research, and discuss trends and topics vital to the agency's future. This work was to set the foundation for a new five-year strategic plan that would be engaging, meaningful, and reinforced with measurable outcomes.

Early into this work, a team of more than 45 leaders from across the agency recognized the need to establish core language to help guide our planning work, specifically defining the role of the Library of Congress and its users in a way that transcends the agency's organizational boundaries. This was critical, as we felt an effective strategic plan for the agency must be built on concepts that unify our discrete service units.

In considering the role of the Library, the group 'reached backwards in order to reach forward.' We turned to our history, recalling Thomas Jefferson's offer to Congress to purchase his personal library and thereby reestablish the Library of Congress' collection after the British burned the nation's Capital in the War of 1812. Echoing the organizing principles Thomas Jefferson applied to his personal library, we defined the role of the agency in a way that unites all

of our units using the principles of Memory, Knowledge, and Imagination. **Memory** refers to our work to acquire, sustain, and provide access to a unique and universal collection. **Knowledge** refers to our role in providing authoritative and objective research, guidance, analysis, and information. **Imagination** refers to our role in inspiring and encouraging creativity and promoting and supporting the protection of the work of creators.

In a similar vein, we worked with input from across the agency to determine how best to describe our four main user constituencies. Our first and foremost user is **Congress** for whom we support access to authoritative information and the democratic exchange of ideas. Next are **Creators** who conduct research, create new knowledge, and build cultural capacity, inclusive of and beyond copyright users and stakeholders. Third are **Learners**, those of any age who seek understanding and knowledge through the agency's digital and physical collections and services. And finally, we recognize **Connectors**, those external communities such as libraries, schools, and other groups and institutions that ultimately connect users to the Library.

Most importantly, building from a collective theme that emerged from all parts of the agency, we set a "**User-Centered Direction Forward**," which we define as enriching and enhancing our services to current users, and engaging learners of all ages with our unique and trusted resources.

With this foundation, strategic planning activities were launched in late December 2017 with a team comprised of Library of Congress employees and contractors. The team was constructed to expand our strategic planning capability as well as help further educate staff in planning concepts and activities.

Over the winter and spring, we moved through key planning activities, including structured research and analysis of many different information sources, workshops, and strategy labs. Throughout this process, and consistent with best practices, our approach was highly participative. We continued to engage the Envisioning group of over 45 leaders from across the organization; ensured input from Library staff both here on Capitol Hill and at our Culpeper campus through open staff forums and input exercises; engaged Library users and stakeholders through surveys and interviews; received input from similar information-based organizations; and shared approaches with peer agencies. Additionally, we have remained in continuous contact with and provided briefings to congressional staff throughout the process. In fact, we have recently reviewed the content of the Strategic Plan and the progress of our Digital Strategy development with the staff of this committee and its counterpart in the Senate, the Committee on Rules and Administration.

Let me share the highlights of our plan.

Strategic Plan

Results

Consistent with our user-centered focus, our Strategic Plan will be the agency's roadmap to expand our reach and deepen our impact. It begins with reinforcing our **Mission** statement: "**to**

engage, inspire, and inform Congress and the American people with a universal and enduring source of knowledge and creativity.”

Service to Congress has historically been and remains at the core of our mission. As stewards of America’s ever-growing, unique, and universal collection, the mission continues to reflect the Library’s role in inspiring, informing, and serving the American people by engaging their cultural and intellectual curiosity and creativity.

Grounded in our Mission, we have crafted an aspirational vision statement that speaks to a sense of connection to the people – your constituents. Our **Vision** is that *“All Americans are connected to the Library of Congress.”*

The vision reflects our commitment to focusing on our users, making our universal and enduring source of knowledge and creativity more discoverable, accessible, relevant, and useful. Improving our understanding of the many ways users interact with the Library’s collection, experts, and services is fundamental to delivering on our mission. Each interaction is an opportunity to move users along a path from awareness to discovery to use of the Library and ultimately, to feeling connected to the Library, so that all Americans have a sense of ownership and pride in this national treasure.

Building from our Vision, our Strategic Plan conveys a direction forward that is **user centered, digitally enabled, and data driven**.

We made a choice early in the planning process to focus on a **user-centered** strategy. Therefore, our strategic decisions must consider what users desire from the Library. Improving user experience is not a one-time event. Rather, it represents a fundamentally new way of operating. It requires our leadership to build the capabilities and infrastructure that will enable this transformation. Our staff are some of the Library’s best ambassadors. The new strategy seeks to harness staff insight and their contributions to elevate the user experience. All staff, including those in internal-facing roles, have a part to play in this effort.

We also addressed digital use. As much as desire that every American come to DC to visit the Library, that is not possible. This is why being digitally enabled is paramount to our success. Realizing a **digitally enabled** Library of Congress will be an ongoing process as technology advances, new business models emerge, and user expectations evolve. We will take a long view, developing strategies that account for what is on the horizon. Our Digital Strategy will be closely aligned with and a critical enabler of the Strategic Plan.

Finally, a **data-driven** organization is one that embeds analysis, data, and reasoning into the decision-making process. Efforts to embed analytics already occur in pockets throughout the agency. Becoming a more data-driven organization, however, means determining how best to scale these projects across the Library to drive greater impact. Moving forward, we will increase our investment to take advantage of the tremendous amount of data associated with our vast collections. We will also build upon previous efforts to learn more about our users in order to tailor our services for greater relevance and impact. Data will help to improve the speed and quality of performance measurement and decision-making. Through this evidence-based

approach, the Library will provide a more meaningful experience and ultimately help build a lifelong connection with each of our users.

The goals and objectives presented in the Strategic Plan were created to drive to our vision of connection. Building awareness of the Library's offerings, improving discoverability of those resources, and increasing usage through a suite of services that meet diverse needs will connect more people to the Library in more meaningful ways. With a strong emphasis on digital enablement, the Strategic Plan will further the agency's reach among users.

We have determined **four strategic goals** for the Library over the coming five years:

Our first goal is to **expand access**, making our unique collections, experts, and services available when, where and how users need them. This includes ensuring our collections are more readily discoverable and available for users whether visiting Capitol Hill or accessing the Library remotely. It means working with partners in new ways to promote our collections, experts, and services to their networks. It also includes expanding our physical presence by proactively bringing the Library to the American people and enabling broader use of our collections and services.

Our second goal is to **enhance services**, creating valuable experiences for every user by elevating digital experiences, transforming in-person experiences, and developing more user-centered content. Whether providing policy consultations with Members of Congress via Skype, launching a crowdsourcing project inviting users to create a database of historic newspaper images, or debuting "touch history" tours that allow visually impaired visitors to experience the magnificence of the Jefferson Building – the Library will continue to innovate and rethink the way we engage our users. By delivering superior services and valuable experiences we want users to return regularly and become lifelong learners and Library contributors.

Our third goal is to **optimize resources**, continuing our work to modernize, strengthen, and streamline our operational capabilities. The Library as an organization must keep pace with the growth of its collection and the needs of its users. Through this goal we will align core agency activities to achieve new operational efficiencies; modernize operations and use data to drive enhancements that will deliver the highest returns while balancing staff workloads. We also strive to better articulate the value of our offerings in order to diversify and expand funding; invest in talent for the future by addressing capability gaps, training and retaining our experts; and recruit new talent to augment our knowledge, skills, and abilities.

Our fourth and final goal is to **measure impact** by committing to use data to measure our impact in the world around us. To measure our true impact, we must go beyond counting discrete items and activities to focus as well on increasing usage, and perhaps most importantly, measuring the impact of the collection, services, and experts on our users.

Strategic Planning -- Next Steps

Moving forward, the Library's strategy will come to life in **Directional Plans** each Service Unit will develop to identify and prioritize key initiatives. The Directional Plans, to be complete by January 2019, will identify direction and operational priorities and define specifically how each unit will contribute to the agency's collective goals and objectives. They will speak to what each unit is doing to track progress to and ultimately realize our central strategy.

As a next step following the implementation of the Strategic Plan, we will elevate priority aspects of each unit's Directional Plan to develop our central **Implementation Roadmap**. The Implementation Roadmap will identify and describe a sequence of priority initiatives to be implemented over the next five years to execute on the Strategic plan. This roadmap will be used to set, track, and report on progress to the Strategic Plan's goals and objectives, and prioritize budgeting and investments.

Our approach to achieving the goals and objectives outlined in our Strategic Plan must be integrated across the organization. This means promoting shared outcomes and resource planning, while still allowing for our Service Units to fulfill their mission-specific goals. As planning shifts to implementation, we are committed to making the changes necessary to effectively measure our impact and to promote an agency-wide culture of performance and continuous improvement.

Planning & Performance Management More Broadly

As noted previously, our strategic planning work is one part of a more complex planning and performance framework. Under the leadership of the Librarian, we are determined to make performance matter and are investing significantly in improving our planning and performance management framework. Our task at hand is to develop a culture that views planning as an ongoing, iterative process where operations and services are reviewed and analyzed continuously, allowing us to regularly improve our efficiency and our value to users.

I want to report that we have continued our improvement efforts, deepening the connection between planning, controls, risk management, and performance management. We continue to focus on setting stronger, impact-based goals; we use staff feedback to continually enhance our system used to track and report on progress towards goals and targets; and we are having more meaningful performance discussions from an enterprise perspective at the executive level by embedding performance review discussions of priority goals and targets into our Executive Committee's monthly meetings.

Internal controls, risk management and risk mitigation are also of central importance as the agency becomes more skilled in anticipating and dealing with challenges. The Library took note of the Executive Branch's recent focus on risk management, and launched the Library's Integrated Risk & Internal Control process (iRIC), designed with input from other small agencies to help us identify, assess, and facilitate leadership response to strategic and operational risk, both within organizational units and across the agency. Nearing the end of its first year of operation, the program will be continually reviewed, tailored, and improved over time.

As our planning matures, we will explore avenues to connect established goals with available resources and link disparate programmatic elements and data. For example, we are beginning to explore alternatives for an enterprise business planning and management solution to capture planning data gathered in major business segments and then integrate the data to enable sharing, comparison, and evaluation.

In short, we are pleased with the progress made with our planning and performance work. Though we still have much to accomplish, we are advancing the cultural changes needed to focus on performance.

Conclusion

In closing, the Library of Congress is on track to release our user-centered Strategic Plan and Digital Strategy to guide our work, investments, and success over the next five years. The coming months will hold important milestones in our planning efforts, including communication and release of the Strategic Plan at the start of the fiscal year, completion of the unit-level planning, and elevation of key work and initiatives from unit-level Directional Plans to an agency-level Implementation Roadmap. With these elements in place, the agency will have transformed its strategic planning as well as put in place the means to track the fulfillment of our strategic plan commitments.

I thank the Committee again for inviting me to provide testimony on this important topic.

The CHAIRMAN. Thank you so much, Director.

It is now time for the Members to ask questions of you as witnesses, and I will begin by recognizing myself.

And, Dr. Hayden, I have some questions related, obviously, to the strategic plan completion. As you mentioned in your testimony, you plan on this being completed and released on October the 1st, I believe?

Ms. HAYDEN. Yes.

The CHAIRMAN. With a little over 2 months until that date, are you fully committed to that deadline? Do you anticipate any deviation from that?

Ms. HAYDEN. We are on track to meet the deadline, and we are actually very excited about being able to make sure that the expectation that it will be presented on October 1st will be met. So the excitement is building, even 2 months away.

The CHAIRMAN. Gotcha.

As you also stated, strategic planning does not and will not end on October 1st.

Ms. HAYDEN. No.

The CHAIRMAN. In November, an implementation roadmap will be completed to execute the plan. In January of next year, service units will have operational unit and center directional plans in place to guide their specific metric space priorities and progress during the plan's timeframe.

How will you ensure the service units under your leadership will remain committed to and, in fact, be enthusiastic about the overall plan and their specific directional plans?

Ms. HAYDEN. Keeping the enthusiasm and the accountability and tracking together are going to be a major focus. And what is noted in the report, the IG report, the book execution really discusses—and that is something that I am very committed to—that we make sure that the tracking takes place at each executive-level committee meeting—and that is already in place now, and we will be making that a regular feature—as well as having each of the service units present their progress on their service unit activities.

And so, baking it in the cake, basically; that it is not going to be a plan that sits on a shelf and there is a lot of enthusiasm and “here is the plan.” It is a living document, and it will be revised and reviewed continually.

The CHAIRMAN. Ok.

Are you making any changes or will you change anything about how you hold your leaders accountable?

Ms. HAYDEN. One of the main things that we will continue to do—and this is not a change, because we have been doing it in the past year of having the reporting out and presenting—we will be trying to make sure that there are more opportunities for more unit-level staff members to have a reporting opportunity at different forums as well.

And as Ms. Houghton has talked—we have talked quite a bit about how do we make sure that as many as staff members as we can are able to talk about what they are doing in their units and sub-units for the plan as well, so it is not just at the executive leadership level but that there are other opportunities.

The CHAIRMAN. As you know, in 2015, the Government Accountability Office concluded a very lengthy IT audit—

Ms. HAYDEN. Yes.

The CHAIRMAN [continuing]. Of the Library. They made 31 public recommendations. The IT health, security, and capabilities of the Library are paramount to your vision of achieving success. Will all 31 recommendations be closed when the strategic plan is unveiled?

Ms. HAYDEN. The recommendations—and that is a wonderful story to be able to tell. Of those 31 public recommendations, 20 have been completed and approved by GAO, with 6 more that are being reviewed. And the remaining five will be submitted by the end of September, and the evidence will be presented then. So we are very pleased with the progress that has been made on those recommendations.

The CHAIRMAN. And I know that security and IT challenges, cybersecurity challenges, are always an ongoing challenge for everyone. And I am pleased to know that you are staying on top of that.

How will your vision, as you have seen in this plan, how is that going to continue to guide the Library for years to come?

Ms. HAYDEN. My vision as Librarian is really an extension of what I have known and have come to in this past 2 years really appreciate it even more, of the dedication of the staff members who have worked to preserve and conserve and collect materials and to make those materials accessible and to generate service to Congress at the highest level as well as to inspire people to be creative and use our copyright system.

And so that vision of expanding and sharing with the American people and anyone that wants to participate is even more of a—I watch for it. I, frankly, get very excited, thinking about the possibilities. And to know that so many staff members at the Library of Congress are dedicated and right there and ready to go is very heartening.

The CHAIRMAN. Thank you very much, Dr. Hayden.

I will now recognize Ranking Member Brady for 5 minutes for questions.

Mr. BRADY. Thank you, Mr. Chairman.

Dr. Hayden, I want to thank you for visiting my district in September and for spending time at the Darby Library.

Ms. HAYDEN. Yes.

Mr. BRADY. The Darby Library opened in 1743 and is the oldest continuously operating library in the country. And your visit really uplifted all the people that were there, all the volunteers. As you well know, there are many, many volunteers that are there. And, again, I want to thank you. They still can't stop talking about your visit there. And, again, the oldest library in the country.

How do community libraries like the Darby Library benefit from the strategic plan?

Ms. HAYDEN. What has been heartening—and the visit to Darby was one example—the idea in communities throughout this country—and I have been visiting different States and going to rural areas. I have been in Illinois and West Virginia and Arkansas and Mississippi. In all of the States, whenever I go—and Ohio and Michigan, and I can keep going—every time I talk about the Veterans History Project, being able to have local veterans record their

histories, talking about live-streaming programming from the Library of Congress, traveling exhibits, expanding the reach, putting the digitized collections—people throughout this country are proud to know that the Library of Congress can serve them, and they are very excited, because it allows community libraries to focus on their specific community needs and know that they have this wonderful resource at their fingertips available to them.

So that has been the real synergy. And there is a real hunger in the country to really take ownership and say, “Wow, the Library of Congress.” And people are also saying, “You would come to us.” And that is what we really want to expand, that access, and let everyone know that the Library of Congress serves the American people.

Mr. BRADY. And how will this plan benefit people if they use the Library day to day? How will constituents using Library resources or a librarian working within the Library of Congress, a staffer working within the CRS, benefit? How do they benefit because of this reorganization?

Ms. HAYDEN. Each of the service units—and Ms. Houghton mentioned that—are developing their unit plans that will be very focused on their particular users.

So the Congressional Research Service will be looking at their users, the Congress and staff, and how they can make sure that those services are more efficient and effective and really taking care of that.

The copyright community and the creators, how can those operations be modernized and more responsive.

And, of course, library services, the real heart of the collections, would be focused on researchers, scholars, young people.

All of the service units will be focused on their particular users.

Mr. BRADY. Thank you, Doctor, and thank you for your service. And I yield back, Mr. Chairman.

The CHAIRMAN. Mr. Brady yields back.

The Chair will now recognize the Vice Chairman of the Committee, Mr. Davis, for 5 minutes.

Mr. DAVIS. Thank you, Mr. Chairman and Mr. Brady.

I also thank you, Dr. Hayden. I appreciate all you have done at the Library. And since they have asked you a lot of questions, I am going to move over to Mr. Hyde. But I want to tell you I appreciate you coming to my district not too long ago and touting the successes of the Library. So thank you for your work.

Ms. HAYDEN. Thank you.

Mr. DAVIS. Inspector Hyde, thank you, also, again for being here today. Inspector generals, by nature, often live a professionally friendless existence, and I hope that is not the case with you. But we appreciate your commitment to a sound and transparent Library of Congress operation.

Your office has flagged the Library’s strategic planning for years, as seen in your most recent report released just a week and a half ago. My question is simple: What has the Library been lacking? And why did it take so long for somebody like Director Houghton to be brought onboard?

Mr. HYDE. Yes, thank you for the question. I think that what had been lacking—and this is what is encouraging about what we are

seeing so far, because it is different—it is top-down leadership. Strategic planning is all about top-down leadership. And there needs to be a persistent focus on that.

And it is not the most exciting thing, in a lot of respects, for execution, because you are talking about it daily, weekly, monthly with, you know, with the executives, and you are making sure that there is—we talked about the intricacies here, about the delivery to the user, and it can be very complex. So it is important that everybody stays focused and on target.

Mr. DAVIS. OK.

Along that same line, Inspector Hyde, what insights can you share with this Committee about the Library's strategic planning efforts over the last year and a half?

And we are nearing the completion of the plan, and are you satisfied with the process by which the Library constructed its plan? And do you believe it adhered to the best practices practiced by other large libraries, cultural institutions, or government agencies?

Mr. HYDE. I am very encouraged. And I think what doesn't show up when you actually see the strategic plan itself, the document itself—it can be a few pages long—is you don't see all the effort that went into putting it together. And we have been very encouraged by the effort by the Library of putting it together, identifying their users and, in addition, I think, the things that they need to put in place in order to make sure the execution over the next 5 to 10 years takes place.

So I am very encouraged.

Mr. DAVIS. Well, I am glad you are encouraged. I am too. And, frankly, that is good to hear from you, because when my librarians that we met with in Rochester, Illinois, with Dr. Hayden, came to see her, they had fans. They said, "I am a Carla Hayden fan." I still have one, and I am too.

Mr. HYDE. Do they have one for me too?

Mr. DAVIS. Yes.

Well, last, I want to ask, once this plan is released, do you have any concerns with the Library's ability to implement it and execute it? And does the Library have the proper leadership and tools at their disposal to make sure this plan gets executed?

Mr. HYDE. I think they are on the right track. I think they are developing the tools. I think that there are some new areas of focus, which they have had before, but I think it is a concentration, which, for example, is on identifying the users.

The important thing there is to collect good user information. We all go through surveys, periodic surveys. That is what it is, and so how do you collect that information, how do you analyze it, and then how do you make changes to your delivery.

That is going to be new for them, and I think they are going to need some resources there. And I think, also, they are going to need resources in executing on their strategic plan.

Mr. DAVIS. Well, thank you.

And thank you all for being here today.

I will yield back the balance of my time.

The CHAIRMAN. The gentleman yields back.

The Chair would now recognize Ms. Lofgren for 5 minutes.

Ms. LOFGREN. Well, thank you very much. And it is pretty clear from all the witnesses that we are very much on the right track here, and that is very good news.

Just a couple of, I don't want to say small questions, but picky questions.

The publication of CRS reports has occasioned some criticism. I am not suggesting I agree with all the criticisms. But I am wondering, Dr. Hayden, I received a letter, or a missive, from Demand Progress suggesting various alternatives to the website that might be more cost-effective.

I know the Demand Progress people; they are very capable. Have you met with them or would you be willing to sit down with them and get their suggestions firsthand and see whether any of them would actually work for the Library?

Ms. HAYDEN. The CRS reports and the mandate to make the R-class available is on track to be launched in—and I have the date—September 18th of this coming year. And we have considered as many things as we can to make sure that timeline is being met. And so being able to incorporate any other information, I think, would be helpful, but we are definitely going to be on track for—

Ms. LOFGREN. Right.

Ms. HAYDEN [continuing]. That September 18th—

Ms. LOFGREN. Well, what maybe I can do then is just give you the material that was sent to me—

Ms. HAYDEN. That would be helpful.

Ms. LOFGREN [continuing]. And you can, you know—

Ms. HAYDEN. Right.

Ms. LOFGREN [continuing]. Evaluate that. I do think, though, in terms of their digital experience, it is quite extensive.

And I wanted to ask you a question about the Copyright Office. They are part of this whole modernization effort, which is excellent.

On the 1201 exemption rulemaking, you announced a streamlined process that would allow a petitioner to file a simple five-page petition for renewal. I think that is a tremendous improvement over past practices and will save everybody a lot of time on stuff where there is really no disagreement.

What I am wondering is can this process be streamlined even further. For instance, could the Library itself take on the role of petitioning the Copyright Office to renew exemptions rather than making companies or universities do it?

And does the Copyright Office even need petitions to renew exemptions? If I recall correctly, the basis of the Office's de novo review of exemptions comes from report language of just one of three committees of jurisdiction on a substantially different bill, and that was ultimately stripped out of the final bill report.

So I am wondering—what comes to mind, for example, is the exemption for the use of the blind. Nobody is objecting, you know, and yet it is this huge process and dustup, and it is just a waste of time. And I am wondering if you have looked at that or whether you could look at the de novo review process as I have outlined here.

Ms. HAYDEN. Thank you for bringing that up, because I want to take this opportunity to say that Acting Register Temple is doing

an outstanding job. And she is actually now considering, for the record, each of the proposed and new expanded exemption—

Ms. LOFGREN. And I didn't mean to downplay the improvements, because they are excellent. I just wanted—

Ms. HAYDEN. Right. But she is actually considering that, and I understand that her recommendations will be available in late October of this calendar year. And so, in her role, that is her role, to actually advise.

Ms. LOFGREN. Very good.

I am wondering—and very quickly, on the Law Library, I know that we have made some changes there. And the question is whether the Law Library will continue to play the role that it has traditionally with the changes that have been made.

The Law Library plays an enormous, important role, not just for the United States but for the world. For example, when Afghanistan finally emerged from the , the only place in the world that had their laws was the Library of Congress—

Ms. HAYDEN. Yes.

Ms. LOFGREN [continuing]. Law Library.

Ms. HAYDEN. The Law Library of the Library of Congress, a separate service unit, is the world's largest and most comprehensive collection of legal resources. And it is entirely devoted to making sure that those materials and resources are available not only to Congress but also some of the Federal judicial system as well.

And the reporting structure in the Library, the alignment, is to make sure that the Law Library, like the other service units—Copyright and CRS—can concentrate on their mission-specific activities. So they will continue to be independent. They will have their own management of their collections and will operationally function the way they are now.

Ms. LOFGREN. That is great. Thank you so much for the great—

Ms. HAYDEN. Oh, that is a wonderful—

Ms. LOFGREN [continuing]. Work you have done, Dr. Hayden.

Ms. HAYDEN. That is a wonderful library.

Ms. LOFGREN. Yes. Thank you.

I yield back, Mr. Chairman.

The CHAIRMAN. The gentlewoman yields back.

The Chair will now recognize Mr. Loudermilk for 5 minutes for questions.

Mr. LOUDERMILK. Thank you, Mr. Chairman.

Thank you all for being here today. Especially I appreciate the work, as a frequent user of the Library. I do value our Library of Congress and am a strong advocate to make sure that it is there for the needs of Congress, especially in the time where knowledge is very important.

And coming from an IT background, I have worked with many companies in implementing strategic plans, and I know the value of it.

One thing I appreciate, Dr. Hayden, is the lack of overdue fees for Members of Congress. And I promise the book will be back before we go on our August break. And I appreciate the prompt service that we get with Congressional Research Service and even from the Library, or stacks, I believe, as you guys call it.

Inspector Hyde, a couple of questions for you.

First of all, I appreciate all of our inspector generals, the corps of inspector generals that we have, because I know, in serving on several other committees, quite often the inspector general is not looked upon in a very favorable light by those. And looking from your background, you have been into a lot of organizations that, just from looking at your bio, I anticipate you had a lot of work to do in especially eliminating fraud, waste, and abuse, and I appreciate that kind of work.

In your testimony, you mentioned that, I believe it was since 2011, there has been a need for the strategic plan. Is that about the time you came on?

Mr. HYDE. No. I came on in 2014.

Mr. LOUDERMILK. OK.

Mr. HYDE. Or 2013. And so—but it had already been—not just strategic planning, but performance management had been discussed for quite some time, the changes that were needed at the Library.

Mr. LOUDERMILK. Was there a strategic plan before 2011?

Mr. HYDE. There were strategic plans or what they would call strategic plans, but then I think the issue was, you know, as far as execution of those plans.

Mr. LOUDERMILK. OK. So there was a strategic plan in place, but—

Mr. HYDE. There—I am sorry. Go ahead.

Mr. LOUDERMILK. I am just saying, there was a strategic plan in place? Forgive me.

Mr. HYDE. The challenge for the Library was there were fits and starts, you know, is what I would say. So they would have a strategic plan, then there would be no execution or little execution of that strategic plan, and then they would have a new, something that could be construed as a strategic plan and, again, no to little execution. I think this is where it was fits and starts.

But they would have, underneath that, they would have initiatives, major initiatives, leading up to—before Dr. Hayden came on-board, there was a strategic plan that was crafted, and primarily by that leadership—it was an interim leadership—to try to just keep the Library moving forward until there was a new Librarian put in place.

Mr. LOUDERMILK. OK. So that is the strategic plan that is—the 2011 to 2017 that is currently out there?

Mr. HYDE. That was the—I think it was the 2016 through the 2020 plan that was put—

Mr. LOUDERMILK. OK. But there is a plan that was dated 2011 to 2017.

Mr. HYDE. Right. I believe—I have to check on that. I will go back and look at our working papers and get back to you on that. But I think that there may have been something—

Mr. LOUDERMILK. OK. I have a copy of it, so—

Mr. HYDE. Oh, OK. Sorry about that.

Mr. LOUDERMILK. And my question is getting to, really, what was the need for a new strategic plan. Was it the strategic plan that was flawed, or was it just a lack of implementation?

Mr. HYDE. I think it was a combination. The things that we have stated in the past on strategic planning was that there were insufficient outcome-oriented goals that were in prior strategic plans or documents that related to that. Certainly, what we have identified as the execution of that—as you probably know, it takes a lot of dogged effort throughout many years to execute on those goals, and I think that is what we were finding was the problem.

Mr. LOUDERMILK. OK.

And just one last question, because I see the yellow light is on. And I can submit the other ones for the record that we have for follow up. But in the new strategic plan, does the mission statement change at all?

Mr. HYDE. The mission statement—no. I have been updated on this, but I think that the mission statement—they have re-looked at that mission statement and added other elements to it, if I recall correctly. And I can—

Mr. LOUDERMILK. OK. I appreciate it, because I know the mission statement, at least in the 2011, was to support the Congress in fulfilling its constitutional duties and to further the progress of knowledge and creativity for the benefit of the American people.

I just want to make sure that we are still focused on the core element, that the Library of Congress exists predominantly to support Congress. But I also applaud the other things that we are doing, especially if the strategic plan is generally guided to incorporate the new technologies that we have. So that is really where I was kind of getting with the questions.

With that, I see my time has expired. Mr. Chairman, I will yield and just submit the other follow up questions for the record.

The CHAIRMAN. The gentleman yields back.

The Chair will now recognize Mr. Raskin for 5 minutes for questioning.

Mr. RASKIN. Mr. Chairman, thank you kindly.

So the focus of the strategic plan, as I am reading it, is to advance a user-centered vision of the Library of Congress. And I am wondering how much of this effort is digital in nature versus work on the traditional pre-digital Library of Congress.

I don't know if, Dr. Hayden, you want to take the first slice of that.

Ms. HAYDEN. Information technology is seen as a tool and a way of implementing providing services to any type of user—modernizing the copyright registration process. It is seen as a tool in terms of digitizing unique and special collections; outreach.

And so the effort in terms of digital—there is digital collecting—will be making sure that we are able to ingest things that are born digital. There is digitizing unique items, as well as using technology in the most effective way.

So it is not a “versus.”

Mr. RASKIN. Yes.

Ms. HAYDEN. It is actually a way to provide more access and to preserve and conserve as well.

Mr. RASKIN. So, really, the vast majority of the resources would go into electronic means of delivering information to people?

Ms. HAYDEN. Well, what is really interesting and unique about the Library of Congress, the world's largest library, with so many

formats, from film, to those unique manuscripts, to diaries, all types of formats, is that technology and delivery of the resources and services will not—it will be balanced. And so, for instance, in terms of the unique collection items that we have, most of those will still be in analog form—

Mr. RASKIN. Uh-huh.

Ms. HAYDEN[continuing]. Because that is the way they are. So it will be a balance. We won't see an entirely electronic Library of Congress.

Mr. RASKIN. So help me conceptualize who the user is. Or how do you guys conceptualize who the user is? And, you know, what fraction of the users encounter the Library just online versus enter the doors and work there?

Ms. HAYDEN. In terms of physical visits to the Library of Congress, the three buildings that are on the Capitol campus—the Jefferson Building, Adams, as well as the Madison—that is approximately 1.8 million people that walk through those doors a year.

In terms of electronic use of the website, over 300 million uses of the Library of Congress website.

And so that gives you a sense of the physical.

There is also the Culpeper facility, and there are people who are utilizing that, coming for programming and other things. And the National Library for the Blind and Physically Handicapped. And then there is also the operation of the copyright process, and those are significant numbers as well.

Mr. RASKIN. Terrific.

OK. I am going to yield back, Mr. Chairman.

The CHAIRMAN. The gentleman yields back.

I want to thank each of you for being here as we continue our oversight of the Library of Congress and get a chance to get these updates.

As a point of personal privilege, I have 5 more months and a few days left, and I will truly miss my role with the Library of Congress. Dr. Hayden, you have been a joy to work with. We look forward to the future.

With that and without objection, all Members will have 5 legislative days to submit to the chair additional written questions for the witnesses.

And should you get those written questions, we would ask that you respond as soon as you could so that those answers can be made a part of the record.

[The information follows:]



THE LIBRARIAN OF CONGRESS

August 14, 2018

The Honorable Gregg Harper
Chairman
Committee on House Administration
U.S. House of Representatives
1309 Longworth House Office Building
Washington, DC 20515

The Honorable Robert A. Brady
Ranking Member
Committee on House Administration
U.S. House of Representatives
1307 Longworth House Office Building
Washington, DC 20515

Dear Chairman Harper and Mr. Brady:

Thank you for the opportunity to respond to additional questions from the Committee on House Administration related to the July 25, 2018 hearing, "Oversight of the Library of Congress' Strategic Plan, Part 2." My responses to the Committee's questions supplement information provided during the hearing and address additional topics of interest from the Committee.

I look forward to working with you as we continue to address strategic planning here at the Library and am happy to provide any additional information related to the enclosed responses.

Sincerely,

A handwritten signature in black ink that reads "Carla Hayden".

Carla Hayden
Librarian of Congress
Enclosure

Library of Congress Responses to Questions for the Record
Dr. Carla Hayden
The Librarian of Congress
Committee on House Administration
July 25, 2018 Hearing
"Oversight of the Library of Congress' Strategic Plan, Part 2"

Questions for the Record Submitted by the Majority

- 1. Related to your budget, the Library received substantial funding increases from Congress in the FY18 Omnibus as well as in the House-passed and Senate-passed marks for FY19. You stated in your testimony that this Strategic Plan wouldn't be fully correlated to your budget request until FY20. Nevertheless, these increased funds have had to help in your efforts to strategically plan and begin to execute. How so?**

ANSWER:

As is expected, while the *Strategic Plan* will be the impetus for new initiatives in the coming years, it also builds upon and gives focus to much of the Library's work which will continue on.

The fiscal 2018 and fiscal 2019 budget initiatives correlate very well to the new strategic framework. The initiatives in both budgets further the shared, agency focus on the roles of Memory, Knowledge and Imagination. The initiatives continue an agency-wide modernization effort that sets a path to a more "user centered, digitally enabled and data driven" Library. In addition, these initiatives are critical in setting the baseline to support our goals of expanding access, enhancing services, and optimizing resources. The Strategic Plan will largely inform the FY2020 budget and will be fully synced with the Library's budget by FY2021.

- 2. On that same note, given you want to hit the ground running in October, how did you try to shift resources in your FY19 budget submission to better correlate to this developing Plan?**

ANSWER:

The Library's fiscal 2019 initiatives are associated with the developing strategic framework in the Congressional Budget Justification (CJ) Overview.

The fiscal 2019 budget is the third successive budget that has significant Library-wide modernization initiatives that move towards our strategic framework, with each budget building upon the other. The 2017 budget builds IT storage capacity, and infrastructure capacity; the 2018 budget adds networking, infrastructure, CRS systems development, requirements analysis for new Copyright systems and critical workforce skills; and the 2019 request continues to build the

workforce capacity, funds Copyright systems development, Special Collections Arrearage and two significant digitization initiatives.

3. **As you pointed out in your testimony, your Digital Strategy is vital to the success of this Plan. Given your intense focus on user-friendliness, accessibility, and collections dissemination, how will you ensure your Digital Strategy meets those goals and values? Likewise, is the Library capturing and maintaining the user data – both here in the Jefferson Building and online - it needs to better meet the needs of its users?**

ANSWER:

The Digital Strategy is tied directly to the Library's Strategic Planning efforts. To help ensure the success of the Plan, the Digital Strategy is being drafted in consultation with experts across the Library. The Library's expert staff have a knowledge of the needs of the user groups they serve, an awareness and attention to accessibility issues, and a deep understanding of both the Library's digital and physical collections. Additionally, in drafting the Digital Strategy, we have solicited advice and consultation with experts from other cultural heritage institutions, academia, industry, and digital media organizations.

The Library currently collects numerical statistics about usage. For example, we know how many people enter the Jefferson Building, visit our reading rooms, visit our websites, and subscribe to our social media channels.

Key objectives in our new *Strategic Plan*, however, are to better understand our users' needs and preferences, while retaining their privacy, to be able to measure the impact of our programs and services, and then to use that information to make data-based decisions going forward.

We're not waiting for the plan's formal release before starting this work. An early effort was the Gallup survey, commissioned at the direction of Congress in the Consolidated Appropriations Act of 2016, to better understand Congressional members' and staff's perspectives on services and experiences. Similarly, the Law Library is employing a customer satisfaction survey to monitor and improve its research products and services. More broadly, over 780 visitors to the Library's pavilion at this year's American Library Association annual conference opted into a survey about their level of awareness and satisfaction with the Library's programs and resources. Additionally, we will be conducting on-the-spot surveys this year at the National Book Festival, one of the Library's signature events, in order to understand what the festival is achieving and who the festival is reaching, and to measure the effectiveness of festival programming.

Additionally, Library Services is currently conducting three surveys to measure targeted groups' satisfaction with significant services. The Acquisition and Bibliographic Access Directorate's is surveying the more than 60 libraries who participate in the Cooperative Acquisition Program, determining their satisfaction with the services they receive. Via email, the Collections and Services Directorate is conducting a continuing Reader Registration User Survey to people who

have registered the previous month; the survey consists of 5 questions, including their satisfaction with the reader registration process, if they are planning on coming back, and space for additional comments. Additionally, the Preservation Directorate is surveying internal users of preservation services in order to measure staff satisfaction with preservation services, as well as hear how collection users perceive the results.

4. **Your Plan isn't due until October, but you've already taken important steps related to it. One of those is your proposed new Thomas Jefferson Experience for visitors to the Library. This encompasses a \$60 million public-private partnership to bring more of the Library's collections out into the open for visitors to see as well as a redesign of the visitor experience when they first enter the Jefferson Building. Please update us on that effort as well as describe for us its key features.**

ANSWER:

It has been my vision since arriving at the Library now almost two years ago to provide more access to its resources, online and onsite.

Early this year, I shared with Members of our oversight and appropriations committees plans to enhance the visitor experience to the Thomas Jefferson Building that include new learning and exhibit spaces for visitors to be more engaged in learning about the nation's civics and cultural history. We envision a rotating Treasures Gallery to highlight the best of our collections, a Youth Center to promote creativity and innovation for young people and to grow the next generation scholars, and space in the Main Reading Room so visitors can learn about the history of the Library and the resources available to them. We want to change visitors into users.

We appreciate that Congress embraced this vision supporting a public/private partnership to accomplish this project estimated to cost \$60 million, with Congress providing \$40 million and the Library fundraising \$20 million. Congress included \$10 million in the fiscal 2018 omnibus. The Library has started its private sector fundraising. The strong support of the Congress through full commitment and leadership in public funding is key to energizing private fundraising, giving prospective donors the assurance of full-scale project completion.

The Library is moving forward on the project using funding designated in the omnibus for a Master Plan. Responses to a Request for Proposal for the Master Plan were received by the Library on July 27, 2018.

5. **In April, you announced to your staff a new structural redesign of your organization. Among several changes, this redesign created two new Centers – the Center for Exhibits and Interpretation (CEI) and the Center for Learning, Literacy, and Engagement (CLLE). Please describe for us the reasons for these changes. How do they make the Library more user-friendly, more accessible, and more efficiently agile?**

ANSWER:

The central mission of the Library of Congress is to provide the Congress, the federal government, and the American people with a rich, diverse and enduring source of knowledge that can be relied upon to inform, inspire, and engage them, and to support their intellectual and creative endeavors.

In preparation for revising our current Strategic Plan, the Library launched the *Envisioning 2025* initiative in the spring of 2017. An important part of this work has been to look within the specialized missions of the Library's service units, and together identify shared themes that resonate with every part of the institution.

From this work the Library set and communicated a shared, unifying theme for its direction:

Moving forward, the Library will be more user-centered, enriching the Library experience for Congress, Creators, and Connectors, while more actively engaging Learners of all ages with its unique and trusted resources.

The Library's organizational structure must correspond with this direction, allowing it to better engage with stakeholders, encourage their collaboration and participation, and respond to their needs quickly and effectively. To that end, the Library must realign part of its organizational structure so that it will be better positioned from an operational and resource perspective to execute its user-centered plan.

Under the current organizational structure, two separate service units are responsible for developing, executing, and managing the Library's public-facing programs and activities—National and International Outreach and the Office of the Librarian.

To centralize this mission-critical work, two new centers will be established to work with the Librarian of Congress to introduce the Library's collections and the expertise of its world-class staff to more users. Both Centers will report directly to the Librarian and will receive administrative support from the Office of the Librarian. This change will enable coordinated vision, leverage systems and expertise, create economies of scale, and make administrative functions more efficient.

The *Center for Exhibits and Interpretation (CEI)* will focus on creating exhibitions, learning spaces, and publications that provide access to and connections with the collections both physically and digitally. CEI will include the following offices:

- Design Office, which will incorporate the Library's Print Shop, oversees the Library's in-house design team for print and web design and manages the Library's visual identity and brand. The office will design and manage the artistic aspects of Library publications, brochures, and other collateral materials in collaboration with the Library's communications and web design teams. The office will also work

with Library service units to maintain a consistent look, feel, and quality for all visual materials.

- Exhibits Office (formerly Interpretive Programs Office), which creates exhibitions for the Library's galleries and web properties; manages the exhibition loan program; oversees and maintains gallery spaces; and collaborates with Library experts to develop interpretive programming.
- **Publishing Office**, which creates books and other publications that showcase the exhibitions, collections, and services of the world's largest library; engages with Library curators, subject specialists, and other scholars to develop ideas and proposals for cooperative publications; and works closely with authors and co-publishers to facilitate top-quality works, editing, fact-checking, obtaining high-resolution images and permissions, and indexing

The *Center for Learning, Literacy, and Engagement (CLLE)* will activate and animate the collections through educational and cultural programming, visitor engagement, and partnerships—transforming visitors into engaged consumers of the Library's services and contributors to its mission.

Through storytelling and festivals, tours and open houses, concerts and films, tutorials, learning labs, conferences, and other occasions to invite people in, CLLE will bring the treasure that is the nation's library to life, creating awareness, excitement, surprise, inspiration, and dialogue. CLLE will include the following offices:

- **Center for the Book**, which promotes books and libraries, literacy and reading, and poetry and literature through wide-ranging book talks, lectures, readings, contests, and a network of partners throughout America. Administers the Library's Poetry and Literature Center and the National Ambassador for Young People's Literature.
- **Learning and Innovation Office** (*formerly Educational Outreach*), which creates learning experiences, resources, and partnerships—onsite and online—for K-12 learners, young readers and families, and the teachers and librarians that connect them with the Library. Programs will promote critical thinking, literacy, skill building, and creativity and using the Library's unique collections, exhibitions, and expertise.
- **Library Events Office** (*formerly Office of Special Events and Public Programs*), which coordinates Library-sponsored and co-hosted events as well as events for congressional offices and external organizations.
- **Signature Programs Office**, which leads multi-year planning and Library-wide coordination for the Library's premier events, including the National Book Festival

and the Library of Congress Gershwin Prize for Popular Song, and other high-profile initiatives led by the Librarian of Congress.

- **Visitor Engagement** (*formerly Visitor Services Office*), which introduces individuals and groups of all ages and backgrounds to the Library through tours, gallery talks, accessibility offerings, and learning labs.

Together, CEI and CLLE will increase the Library's visibility and make its unique resources more accessible to Congress, the American people, and the world. Jointly developing, executing, and managing the Library's public-facing programs and activities will enable more synergistic implementation of its user-centered plan across many platforms: exhibitions, publications, programming, events and outreach. This will benefit users of all ages because there will be more well-defined and easily-discoverable opportunities for them to connect with the Library in meaningful ways that meet their needs and satisfy their interests.

CEI and CLLE have been structured to facilitate better communications between the Librarian of Congress and the Library's public-facing programs and activities, which will enable more efficiently agile planning and execution of our user-centered plan. The Centers will be headed by competitively-selected award-winning professionals who have done this type of work for different institutions and know how to make meaningful engagement between visitors/users and collections.

6. **You emphasize to a great extent the user perspective and making every effort to make as much of the Library as possible accessible by the American people. What guardrails do you have in place to ensure the Library never abandons its core function of collections and thus thereby serving as the premier, penultimate Library in the nation and the world?**

ANSWER:

With the new *Strategic Plan*, we are reinforcing the agency's core mission "to engage, inspire, and inform Congress and the American people with a universal and enduring source of knowledge and creativity." The mission itself is a guardrail that keeps the agency in line with its core functions of providing information and service to Congress and the public.

The Library of Congress is not only the nation's library but is also the world's largest library. It is a research service for the U.S. Congress, home of the Copyright Office of the United States, a national library for the blind and physically handicapped and the home of the Poet Laureate. Its collections, based on the Jeffersonian ideal that all subjects will be of interest and value to Congress and, by extension to the scholar and researcher, hold over 167 million items governed by Collections Policy Statements (<https://www.loc.gov/acq/devpol/cps.html>). These statements provide the policy framework to support the Library's responsibilities to serve the Congress as well as the United States Government as a whole, the scholarly community, and the general public. Maintaining an unparalleled collection is central the agency as the library of record for the nation.

The breadth of the Library's collection is built into the Library's founding, and while our collections will never stop growing, we aim to address physical collection storage in a systematic and sustainable way. We are more selective than ever with regards to what is collected, with the largest items we acquire being special manuscript collection items not available at any other location. These unique archival collections are part of a multi-generational effort to document the development and progress of American history and culture, providing users with an irreplaceable research resource.

7. **Furthermore, will some of the metrics you'll be instituting drill down to issues like your storage gap, with the understanding that if you have a significant gap between what the Library is collecting and what it's able to process, store and make available, no one is served?**

ANSWER:

Yes. Measuring and recognizing the impact and interrelationship of different work streams will be an important aspect of our performance management approach.

Our objective is to craft metrics that combine discrete measures in new ways, allowing us to develop a better understanding of, and enable key decisions about, solutions for multivariable issues.

8. **Finally, in terms of your collections and accessibility, what percentage of Library collections – whether they be in the Manuscript Division, Geography & Maps, Prints & Photography, your unparalleled film and radio collections, or something else – are still inaccessible to an online user of the Library?**

The Library's online resources (with the exception of Electronic Resources/Databases) represent over 13.7 petabytes of digital and digitized Library collection materials available to the Library's onsite and offsite users.

To best use our resources, we have elected to digitize materials strategically.

- We select materials for digitization and display that most uniquely contribute to the wide body of digitized content made available by libraries, archives and museum;
- We endeavor to create a digitized collection that is representative of the diversity of our overall collection, and emphasizes its strengths; and
- We prioritize rights-cleared material for online access, so that the online collections can most broadly serve the largest number of users.

Offsite users can access portions of our online materials, currently including:

- Over 325 digital collections totaling over 3.3 million items, with new collections and items added regularly. These materials are available at <https://www.loc.gov/collections/>, and recent additions include:
 - The papers of Frederick Law Olmsted (founder of American landscape architecture, known for his work on New York's Central Park, the U.S. Capitol grounds in Washington, the Biltmore Estate in North Carolina and many other landscapes);
 - President Woodrow Wilson's papers (including Draft of Covenant for League of Nations, Peace Conference Correspondence Ending World War I, Correspondence on Legislative Priorities, Speeches and Personal Writings); and
 - Films and videos, including selected National Film Registry films, in the National Screening Room.
- Complete digitized rights-cleared books through HathiTrust (<https://www.hathitrust.org/>). Users can access approximately 100,000 titles totaling about 109,000 volumes.
- 615 openly available electronic resources/databases that have been identified by recommending officers throughout the Library for inclusion in our Electronic Resources Catalog. These resources are available at <http://eresources.loc.gov/search~S9/m?SEARCH=Free>.
- 14,355 archived websites selected by recommending officers based on themes or events including but not limited to: United States government (federal, state, district, local), foreign government, media, tributes and memorials, advocacy groups, and creative expressions (cartoons, poetry, etc.). An additional almost 1,600 web archives are available to onsite users.
- Over 34,000 public broadcasting radio and television programs through the American Archive for Public Broadcasting (<https://www.americanarchive.org>). The complete American Archive of Public Broadcasting is available to onsite users.

Additional online resources are available onsite to registered readers, currently including:

- 945 onsite only electronic resources/databases that have been identified by recommending officers throughout the Library for inclusion in our Electronic Resources Catalog. These include paid subscription databases selected for the collection and those on active trials. They are available at <http://eresources.loc.gov/search~S9/m?SEARCH=On-site>.
- About 8,500 electronic-only eSerials titles. These materials, received via a combination of copyright transfer (646) and special relief agreement (7,865) are available at designated machines onsite at the Library.

Determining the exact percentage of collections available to online users is difficult because matching those numbers with the 167 million items in our collection is complicated.

- Some of the "items" in our digital collections are a 1:1 match (e.g.: books that consist of one volume)
- Many other "items" in our digital collections are aggregates where one "item" can represent hundreds of individual counted items (e.g.: a folder item that contains hundreds of images that we would consider individual manuscript items)
- Web archives, along with some of the other born-digital items have not been included in the Library's collection totals.

Regardless, despite significant and continuing efforts, while all of the Library's collection can be made available to onsite users much of it is not available to an online user. This is due to a variety of reasons:

- The unequalled size and variety of our collections;
- Conservation considerations affecting the digitization workflows items can safely undergo;
- Rights restrictions, primarily copyright restrictions in both published and unpublished materials; and
- The constant flow of incoming items requiring processing, organization, stabilization, and storage necessary to be made available to users.

The Library is committed to serving current and potential users and considers expanding the online accessibility of its collections as part of the lifecycle effort to promote the current and continuing care for and use of its collections. In the coming years we will continue to digitize collections selectively and thoroughly (but due to their size, not comprehensively) and explore ways to securely increase access to collections within any rights restrictions.

9. **A successful Congressional Research Service is vital to a successful Library of Congress. Given that fact, please respond to the critiques leveled against CRS in the attached document. Please assess their veracity. Please describe how the CRS will meet all stipulations found in P.L. 115-141 related to the public availability of CRS reports and products.**

ANSWER:

Legal requirements of the 2018 omnibus language:

The implementation plan is true to both the letter and the spirit of the directive contained in the Consolidated Appropriations Act, 2018 (P.L. 115-141). In addition to meeting all of the law's requirements, the Library is committed to making additional CRS Reports and additional products available as expeditiously as possible. Section 154(b)(2)(A) of the law directs the Library to make available "each new or updated CRS Report released on or after the effective date of this section." In addition to including Reports released on or after the effective date (i.e., the launch date) that are required by law, the Library will make all Reports released between the enactment date (March 23, 2018) and effective date (September 18, 2018) available at launch. It will further migrate the full inventory of roughly 2,700 active Reports available on CRS.gov by spring 2019 as determined in consultation with congressional stakeholders. The precise number of active Reports available will vary based on how new Reports are written; however, as of August 8, 2018, there are 2,767 active Reports available on CRS.gov.

Inclusion of other CRS products (insights, infographics, sidebars/legal sidebars, in focus, and testimony):

Pursuant to the Consolidated Appropriations Act, 2018 Section 154(b)(6), the Library plans to make additional CRS products that are not confidential products or services available on the public

website as expeditiously after the initial site is launched on September 18, 2018. The CRS Director and Librarian of Congress will continue to work closely with the Library's oversight and appropriations committees, as well as other congressional stakeholders, to ensure this effort is done in a way that preserves a high quality of service to Congress and the security of the Capitol Hill network.

Report format:

The Library chose PDF as a standard format to publish CRS Reports as suggested in the Joint Explanatory Statement for the Consolidated Appropriations Act, 2018. The PDF format provides a reliable mechanism to certify the integrity of the information provided in CRS Reports. It was also chosen as the most viable option for publication given the tight timeline and the need to minimize changes to the CRS Authoring and Publishing (A&P) tool. The PDFs that will be created for the site were rated as "high accessible" by Adobe Acrobat Accessibility Checker and can be found via web search engines. The team is also working with the Library's National Library Services for the Blind and Physical Handicapped to leverage best practices for accessibility.

The Library will evaluate making Reports and other Products available in HTML or other formats in future releases.

Code development:

The public release project requires the integration of multiple complex systems that comprise the Library's IT environment, including maintaining the security of the network shared by the entire Legislative Branch of government. As the authoritative source, the Library has an obligation to ensure the integrity of CRS products. Any automation system needs time to be tested and validated. The Library leveraged to the maximum extent possible the existing design of the CRS A&P tool, CRS.gov and Congress.gov to minimize the amount of development that needed to be done and to ensure a consistent user experience for congressional staff visiting both sites.

Index of CRS reports:

The site will include an index of all reports in accordance with the law's requirements.

Consultation with the Government Publishing Office and the public on bulk access:

The Government Publishing Office and the Library work very closely together on Congress.gov and other projects, including the delivery of legislative data to the public via GPO's govinfo.gov. The Library did consult with GPO as implementation options to address the public release legislation were considered. The Library welcomes feedback on our public information and regularly consults with a wide range of stakeholders from across the spectrum of interest areas. As the steward for Congressional data, the Library has worked side by side with congressional stakeholders to ensure Congress.gov and CRS.gov meet their needs and expectations. That

communication has often included feedback from civil society stakeholders, filtered appropriately through the perspective of Congress.

Handling a large volume of requests:

The public CRS Reports will leverage the Congress.gov web delivery platform, which is already architected to handle a large volume of requests.

Website search capability:

The public CRS Reports will have the same robust search and filtering capabilities – such as by author or topic – available on CRS.gov. These search capabilities will be enhanced in conjunction with enhancements to CRS.gov. The Library has extensive expertise and experience implementing complex search applications such as those that support Congress.gov and LOC.gov.

Report and landing page URLs:

The Library is following government requirements for accessibility and security in the design of the website and URLs.

Examining other techniques to save money:

The project requires the integration of multiple complex systems that comprise the Library's IT environment, including maintaining the security of the network shared by the entire Legislative Branch of government. The Library leveraged to the maximum extent possible the existing design of the CRS A&P tool, CRS.gov and Congress.gov to minimize the amount of development that needed to be done and to ensure a consistent user experience for congressional staff visiting both sites.

Engagement of an entity like the General Services Administration's 18F:

The Library already has a relationship with 18f in which both entities share experiences and expertise with the AGILE development process. The tight timeframe of this project precluded extensive external contracting.

Questions for the Record Submitted by the Minority

1. One goal of the strategic plan is to unify all service units under a Library wide mission. Previously, the service units have worked more independently. Have all the service units, particularly the Copyright office, been working with the Library during this process?

ANSWER:

This *Strategic Plan* has been crafted to focus on themes that are shared across all of our distinct service units.

We are very appreciative of the commitment and investment that service units have made from the onset of this work. They have all staffed and championed the Tiger Teams and planning groups, participated in ongoing strategy labs, supported inquiry and discovery of the central planning team, and given timely and thoughtful feedback both on the planning process and the plan content. Additionally, our Congressional Research Service and Copyright Offices detailed staff to the planning team.

Importantly, all service units are participating in community learning and coaching sessions that the Strategic Planning and Performance Management team and our consultants are leading, to learn about user-centered planning approach and tools and techniques that will support the development of their unit plans. Service units have the flexibility to follow this approach step by step, or take these concepts back and apply them to their unit planning effort.

2. Staff input was a key part of the early stages of plan development. Are staff excited about the plan? Are managers engaging with staff and keeping them up to date on the current progress?

ANSWER:

Combining the early envisioning and the strategic planning activities, well over 500 staff and managers have engaged in this process. The feedback we are receiving, both anecdotally and through the ongoing surveys, is that staff have appreciated the opportunity to engage and to provide input and feedback, and believe that their input mattered and has helped shape the plan.

Staff are especially pleased that the early insights and recommendations made by many of the Tiger Teams about focusing on the Library's users have emerged as our direction forward.

In addition to our normal communication chain, the Strategic Planning and Performance Management team has provided managers and supervisors with updates and discussion guides so that they, in turn, can engage and keep their teams up to date on key concepts in a more intimate setting.

We also continue a complement of broader communication efforts to ensure staff and managers have the opportunity to stay engaged and informed, including updates via regular supervisor and manager meetings; bargaining unit leadership meetings; progress reports in the Library's newsletter, and in our new online resource for news about key agency initiatives. We maintain a dedicated email account to which staff can send ideas and issues, and support meetings with service unit leadership teams and staff. We have had one all-staff meeting focused on strategic planning, and have another scheduled for mid-September.

3. IT modernization and centralization has been a large project for the Library in the past couple of years. How does this plan help with the IT modernization efforts?

ANSWER:

The Library's new *Strategic Plan* and IT modernization efforts are closely linked. The development of the *Strategic Plan* was informed by the Library's ongoing efforts to modernize its information technology infrastructure, and those efforts will help kick start the next wave of innovation needed across the Library's units to expand access, enhance services, and optimize resources. In particular, IT centralization supports the user-centered direction of the *Strategic Plan*, and the plan's Optimize Resources goal. Though not yet complete, IT centralization is already providing benefits from greater transparency and cross-agency coordination of IT projects.

Moving forward, as with other service units and the Library's new centers, the new *Strategic Plan*'s goals will provide a clear path forward for OCIO's updated *IT Strategic Plan*, which guides the IT modernization initiative. Realizing a digitally enabled Library of Congress will be an ongoing process as technology advances, new business models emerge, and user expectations evolve. We will take a long view, developing strategies that account for what is on the horizon. Our Digital Strategy will be closely aligned with and a critical enabler of the Strategic Plan.

4. Employees are the most important asset that any institution has. How is the Library working to identify skills-gaps? How is this being integrated into the strategic plan? Have employees given the Library any feedback?

ANSWER:

As part of the strategic planning effort, HRS is working alongside the SPPM office to prioritize human capital needs, incorporate human capital planning, and implement regular performance culture discussions at the executive level.

The *Strategic Plan* is specific about the need to invest in talent for the future, including a stated objective to "Uncover and address capability gaps..."

In fact, this will be a continuation of work that began this year, when our Human Resource Service (HRS) conducted competency assessments and identified gaps for the IT and contracting workforce.

In FY 19, HRS will conduct a competency assessment and identify gaps for the financial workforce and one other part of the Library's workforce. The Library is also in the process of procuring a learning management system, which will assist with closing the gaps and better tracking the skill sets of staff across the Library.

Employees have been involved in meaningful ways throughout the strategic planning process, and have given input and feedback through many different venues and mechanisms, including through the Tiger Teams, facilitated open staff forums, in team meetings and exercises, and by email.

5. How will the Law Library be expected to work with the other units in the Library Collections and Services Group? Will the Law Library still have the same freedom they had before when it comes to growing and managing their collection?

ANSWER:

The Law Library currently works closely with Library Services to effectively manage the law collection across the lifecycle. The Law Library will continue to develop its own budget, and perform core library functions of acquiring, stewarding, describing and making accessible law collections.

By leveraging existing infrastructure established by Library Services, the goal of the new Library Collections and Services Group (LCSG) is to coordinate vision, leverage systems and expertise, and create economies of scale in identifying administrative efficiencies in meeting a user-focused vision. When the Law Library and Library Services are co-located within a larger unit it is anticipated that this collaborative arrangement will be strengthened by closer proximity. In addition, the Law Library will have an opportunity to expand relationships with the other units within the LCSG including the John W. Kluge Center that recruits scholars who could benefit from the law collection and expertise of its foreign law specialists.

It is expected that the Law Library will continue developing and managing its collection to best meet the needs of its users including Congress, Executive Branch agencies, the federal judiciary, and members of the legal profession. The collections of the Library of Congress serve as a primary resource for performing the Law Library's research functions. While providing research and reference services to the three branches of government and the American public, the Law Library will continue cooperating with Congressional Research Service, the U.S. Copyright Office, general and area studies divisions within the Library Collection and Services Group.

6. Collecting higher quality data and better using this data is a key aspect of the Library's plan. It will take years to develop a strong strategy and team for this, but what can the Library do with the data they currently keep? How will the Library start to collect better data? Does the Library have the staff they need for this, or will a new team need to be hired?

ANSWER:

The Library currently collects numerical statistics about usage. For example, we know how many people enter the Jefferson Building, visit our reading rooms, visit our websites, and subscribe to our social media channels. And of course we have a wealth of data about our collections.

As noted in the question, however, we have a new set of objectives in the *Strategic Plan* given our user-centered focus. To better understand our users' needs and preferences, while retaining their privacy; to be able to measure the impact of our programs and services; and then to use that information to make data-based decisions going forward will require a new approach to collecting, analyzing, communicating, and using data.

We are currently evaluating our needs for more staffing and distinct skill sets as the Library moves to fully implement the *Strategic Plan*, especially in the area of user data and analytics.

7. Who reviews the individual plans developed by the service units? Specifically, the Copyright office and CRS have, in the past, worked more independently from the rest of the Library. How are you ensuring that the individual plans align with the strategic plan, while also incorporating service-unit-specific goals?

ANSWER:

The new *Strategic Plan* was specifically developed to priorities that are shared across the Library's service units.

Within its own mandate or mission, each unit in the agency has a need to focus on its users, and in some way to expand access, enhance services, optimize resources, and measure impact. Translating each of these goals into unit level priorities and plans will vary from unit to unit, but the *Strategic Plan's* goals hold true for all.

As such, units will determine their unit-level priorities, initiatives and activities, and metrics for the coming years, some of which will map directly to agency-level goals, and some of which will remain unit-specific. The agency-level *Implementation Roadmap* will be a collection of the highest-priority efforts and metrics developed by each unit in the execution of their mandates and missions that align to the four strategic goals.

The SPPM office is coordinating with and across service units as they develop their unit-level plans. The agency's service unit-level plans will be reviewed by the Principal Deputy Librarian and the Librarian.

8. What will the role of the Deputy Librarian be with the reorganization? How much will the Deputy Library determine the budgeting for each unit within the new Library Collection and Services Group?

ANSWER:

The Deputy Librarian for LCSG will provide management oversight for units within LCSG. Daily operations will continue to be managed by the heads of each constituent unit who will serve on a management team for the LCSG and advise the Deputy Librarian in areas under their purview. Each unit will continue to receive annual appropriations for salaries and expenses based on current operational needs. Requests for additional or new funding will be developed by individual units. These requests will be reviewed and prioritized by the management team and the Deputy Librarian will decide which requests will be forwarded to the Library's Executive Committee for review.

9. With the current Law Librarian also working and the acting Deputy Librarian, what is the plan for leadership within the Law Library? How will LOC ensure that the Law Library still has the leadership and guidance they need during this transition?

ANSWER:

The Law Library has initiated a hiring action for a Deputy Law Librarian to work under the general direction of the Law Librarian of Congress. The Deputy will be responsible for the effective oversight of the Law Library's day-to-day operations. The Deputy will coordinate various activities and initiatives undertaken across the Law Library, and will oversee law collection activities, foreign legal research and other services provided to the Law Library's primary constituencies, Congress, Executive Branch agencies, and the federal judiciary. The Deputy will assist in directing strategic development and policy relating to the management and direct workflow within and between various divisions of the Law Library. In the absence or unavailability of the Law Librarian of Congress, the Deputy shall assume the Law Librarian's responsibilities and authority.



LIBRARY OF CONGRESS

Office of Inspector General

August 8, 2018

The Honorable Gregg Harper
Chairman
Committee on House Administration
U.S. House of Representatives
Washington, DC 20515

Dear Chairman Harper:

Thank you for the opportunity to testify before the Committee on July 25, 2018, on the Library of Congress's strategic plan. This letter responds to your August 3, 2018, letter containing questions for the hearing record. My answers are as follows:

Question from the Majority:

- 1. Are you satisfied the Library's April 2018 organizational redesign helps the Library meet the strategic planning needs you identified in your most recent Semiannual Report? The Library did relatively recently undergo a similar organizational redesign, which this change now supplants. Should we have confidence in the Library's current structure and alignment in terms of fulfilling its mission, its vision, and this Strategic Plan?**

In my opening statement at the Committee's July 25, 2018 hearing, I said that the Library's efforts to create and implement a new strategic plan were suggestive of the saying "building the plane while flying it." Over the next several years the Library will implement its new strategic plan, while the work associated with improving its related strategic planning and performance management systems remains incomplete. I also stated that given these circumstances, the Library needs to be vigilant about ensuring success over the longer term.

The organizational redesign represents a prime example of the Library taking steps to move forward with its vision, while still being in the midst of building its organizational capacity to operate more strategically. For example, if implemented effectively, the Center for Exhibits and Interpretation and the Center for Learning, Literacy, and Engagement have the promise of improving the user experience and seem positioned to support the Library's new strategic framework, particularly in relation to the first two goals in its strategic plan, expanding access and enhancing services. Goal 1 emphasizes increasing discoverability and availability of the Library's collection, experts, and services. The Center for Exhibits and Interpretation's focus on creating exhibitions, learning spaces, and publications is meant to ensure progress in relation to this goal. Goal 2 emphasizes developing content in a variety of formats and media to help bridge the gap between users and the Library's collection. The Center for Learning, Literacy, and Engagement's focus on educational and cultural programming, visitor engagement, and partnerships is meant to address this goal.

Nevertheless, such organizational changes can only succeed if other practices are put into place. For example, to help ensure improvement of the user experience, the Library needs to strengthen its capacity to collect user data, as stated in our July 2018 assessment of the Library's strategic planning activities.¹ While some data has been collected in the past, the Library has no current, comprehensive data on users' needs, feedback, and experience and has no plan to collect such data on an on-going basis, all of which may take years. Only after fully developing and implementing this capacity will the Library know whether its structure is responsive to its users' needs.

Consequently, the planned organizational changes represent the Librarian's commitment to making the Library more strategic and user focused, but as I stated in my testimony, to be successful over the longer term such efforts must involve a continued, persistent focus from the Librarian and her executive team.

Questions from the Minority:

1. **For years the inspector general has recommended that a strong strategic plan would benefit the Library. Based on what has been developed so far, does the IG feel that this plan is on target to be a productive strategic plan?**

I believe that under Dr. Hayden's leadership, the Library's strategic planning and management processes are thus far being revamped appropriately. Dr. Hayden's focus on addressing the needs of the Library's users is also a positive development as is her focus on creating a performance culture. The data show that for strategic plans to be effective, a rigorous top-down leadership focus is required.

However, the Library is at the start of a long-term process. The near-term imperatives are the development of the implementation roadmap for accomplishing the major changes needed, the creation of service and business unit directional plans, and the creation of a digital strategy that integrates with other plans.

As outlined in our July 2018 report,² we believe that the Library can further strengthen its strategic planning and performance management and help ensure success over the longer term, by adopting six practices:

- Improve the Library's focus on customers/users;
- Implement a planning and performance culture at the executive level;
- Create a strategic plan that meets federal government standards;
- Create a better human capital linkage to strategic planning and performance management;
- Link budgetary resources to expected performance results; and
- Manage risk across the Library's service units when planning and conducting performance management.

¹ *Continued, Persistent Focus Needed to Strengthen the Library's Strategic Planning and Performance Management*, 2018-SP-103, July 2018.

² *Id.*

The Library has taken steps in relation to these practices, but more progress is needed. For example, the Library is taking a user-centered approach to the development of its strategic plan, but, as noted in our response to the previous question, the Library has no current, comprehensive data on users' needs, feedback, and experience and has no plan to collect such data on an on-going basis. And while the Librarian has demonstrated a commitment to developing a performance culture, such as by implementing the practice of discussing high priority cross-Library goals at Executive Committee meetings, our audit work has demonstrated the need for stronger accountability, such as by setting expectations that hold executives accountable for achieving strategic goals. Instituting these practices should help the Library stay on target and avoid the kind of management problems we have identified over the years.

Thank you for the opportunity to respond to these questions. I would be happy to meet with you to discuss any of this information or any of the other work we do at the Library of Congress OIG.

Sincerely,



Kurt W. Hyde
Inspector General

cc: The Honorable Robert Brady
Ranking Member
Committee on House Administration



THE LIBRARY OF CONGRESS
101 INDEPENDENCE AVENUE, S.E.
WASHINGTON, D.C. 20540-1000

Office of the Librarian

August 14, 2018

The Honorable Gregg Harper
Chairman
Committee on House Administration
U.S. House of Representatives
1309 Longworth House Office Building
Washington, DC 20515

The Honorable Robert A. Brady
Ranking Member
Committee on House Administration
U.S. House of Representatives
1307 Longworth House Office Building
Washington, DC 20515

Dear Chairman Harper and Mr. Brady:

Thank you for the opportunity to respond to questions for the hearing record following the July 25, 2018 hearing before the Committee on House Administration, "Oversight of the Library of Congress' Strategic Plan, Part 2."

My responses supplement information provided during the hearing, and I am happy to provide any additional information you and your staff may need.

Sincerely,

A handwritten signature in black ink, appearing to read "Dianne Houghton".

Dianne Houghton
Director, Strategic Planning and Performance Management
Library of Congress

Enclosure

Library of Congress Responses to Questions for the Record
Dianne Houghton
Director of Strategic Planning and Performance Management
The Library of Congress
Committee on House Administration
July 25, 2018 Hearing
"Oversight of the Library of Congress' Strategic Plan, Part 2"

Questions for the Record Submitted by the Majority

1. How long has there been a strategic planning "office"?

ANSWER:

In 1996, the acting Deputy Librarian proposed that the Library create a Planning, Management, and Evaluation Office to lead Library offices in a coordinated planning program. In 1997, Congress approved the establishment of the Planning, Management, and Evaluation Directorate (PMED) within the Office of the Librarian, and a Director was appointed to monitor the plan's implementation and to synchronize the planning and budgeting process. In 1999, a Library regulation was issued to describe the functions and organization of PMED. In time, a PMED website was added to the Library's staff home page.

In 2003, the name of the office was changed from PMED to the Strategic Planning Office (SPO), and the office was moved under the Chief Financial Officer. During this time the scope of the office increased to include organizational performance management and coordination of internal control tracking and reporting.

In 2015, the office moved to report to the Chief of Staff within the Office of the Librarian, and the name was changed to the Strategic Planning and Performance Management Office (SPPM) to better reflect the scope activities within the office. In 2016, the Director of SPPM became a direct report to the Librarian and an advisor to the Library's Executive committee.

2. Has the mission statement of the Library changed in the new strategic plan?

ANSWER:

The mission statement of the Library has not materially changed. It was slightly refined during the recent planning work to be more succinct and memorable.

The statement retains the 'who' of *Congress*, and the *American people*, the 'what' of *engage, inspire, and inform*, and the 'how' of *enduring source of knowledge and creativity*. What is added is the descriptor '*universal*' to better describe our collections.

Current Mission Statement:

The Library's central mission is to provide the Congress, the federal government and the American people with a rich, diverse, and enduring source of knowledge that can be relied upon to inform, inspire, and engage them and support their creative endeavors.

Refined Mission Statement:

Engage, inspire, and inform Congress and the American people with a universal and enduring source of knowledge and creativity.

3. What is the cost of the new strategic plan?

ANSWER:

There is not a cost tied to the new *Strategic Plan*. The plan's four strategic goals will be fulfilled by the work of the agency's service units over the five-year timeframe. This will include both ongoing and new initiatives and work streams as identified and prioritized by the service units and the Librarian's office, some of which are known now and some of which will emerge over the plan's timeframe as data is gathered and reviewed.

Determination of the work that will stop, start, and continue or be refined in order to best meet the strategic goals will be integrated with the Library's annual budget process.

When a new capability outside of our baseline funding profile is identified, it will be put forward as a New and Expanded Program Request (NEPR), so that Congress can consider and assess the expected value of the work to the cost.

4. How is the return on investment to be measured?

ANSWER:

The value of the new *Strategic Plan* is that it articulates the future that the Library is striving to achieve, with the result that priorities can be set and decisions and investments made to align to that future. Measuring and tracking progress will be the means of understanding the return on investment of specific plan elements, as well as the collective effort.

The *Strategic Plan* will, over time, affect many aspects of the Library's operations and investments. The impact and value of both established and new initiatives and activities supporting the plan will be measured by the Library's re-designed organizational performance management process. Meaningful metrics will be set, tracked, discussed within organizational units and in Executive Committee forums, and reported on annually through the *Strategic Plan's Implementation Roadmap*.

5. Can you provide a bit more detail on the beginning of the strategic planning process? Specifically, how did you try to ask Library staff to step outside their specific task-oriented perspective to visualize and envision better metric-based ways to serve Library users?

ANSWER:

We sought to signal from the start that this planning approach would be more inclusive, and that we would engage staff in new and meaningful ways.

We launched the work with an agency-wide initiative to explore and consider trends and topics important to the Library's future, creating eleven "Tiger Teams" to work in a mode unlike any previously experienced at the Library:

- The team makeup: cross-service unit teams that included both subject matter experts and novices on the assigned topic, and reflected a diversity of tenure and experience.
- The structure: very little direction was given other than the topic assignment -- teams were free to determine their approach. All teams had a member of leadership as their champion to support the work.
- The timing: teams had 6 weeks to complete their assignments, with 1.5 days per week focused on the work.
- The required 'deliverable': a brief (6 pages), engaging document summarizing learning and recommendations, to be used as input to an expanded leadership forum, as well as a resource for ongoing planning activities. Nine of the 11 teams presented their work in open forums for Library staff.

At the onset, the Tiger Team Leaders shared that they were highly skeptical with and uncertain of the approach, yet 100% of the team leaders surveyed responded that the experience helped them expand their perspective of the Library's future, gave them confidence that their teams' suggestions would be considered during the planning process, increased their interest in participating in future planning work, and was a good leadership opportunity. Of the team members, 92% of responders rated the experience as excellent or good, 91% said that it increased their interest in participating in future initiatives related to planning, and 98% said that it helped them expand their perspective on the Library's future.

As the work progressed we continued to create ways to engage staff and encourage a broader perspective, including:

- Facilitating exercises and sessions to help staff and leadership consider the users' perspectives and experiences.
- Reviewing and discussing user journey maps that capture users' experiences and the 'moments that matter';
- Developing exercises to engage staff in considering how their work connects to the Library's mission
- Providing conversation guides and materials for managers and supervisors to interact with staff and help link their work directly to the Library's refined mission.

Some exercises were more effective than others, but after-action survey data on these activities has been consistently positive.

6. Envisioning 2025 Phase 1 began in May 2017. The Unit and Center Directional Plans aren't scheduled to be finalized until January 2019. Why the lengthy interim? Why has strategic planning at the Library taken so seemingly long?

ANSWER:

The timeline has been intentional. Our objective is not only to develop a strategic plan focused on shared themes to guide the agency over the next five years -- we also aim to execute to a new planning and performance approach as well as to begin an important shift of the agency's culture around planning and performance management. Our project plan and timeline also support a participative approach that sets the stage for and shapes what comes after plan development.

The work began with an effort to first look outward from the Library, researching and assessing trends and opportunities important to the Library's future. We then presented that work to an expanded, cross-service leadership team, convened to develop our shared language and planning concepts leading to themes that are as relevant to CRS as they are to the US Copyright Office, the Law Library, and Library Services. This group also engaged in strategy labs to help develop the *Strategic Plan*.

Many planning efforts end with the development of a plan. Importantly, our approach and timeline includes the work critical to execution to the plan. This includes completion of service unit plans aligned to the new agency plan, and elevation of key work and initiatives from these unit-level plans to an agency level *Implementation Roadmap*, so that we can track and report on the fulfillment of the *Strategic Plan* commitments in the years ahead.

Finally, the timeline was built to ensure staff, management, and leadership different input and feedback throughout the process. We know that a participative approach takes more time, but the return on investment through stronger awareness, understanding, and buy into the plan makes the extended timeframe worthwhile.

7. Under the Librarian's leadership, you've been in charge of this strategic planning effort. You brought a lot of experience to this endeavor. What has the collaborative nature of this process been like? Have all the Library's service units been fully cooperative in what you've been trying to achieve and accomplish? Do you have any concerns with any particular service unit now or going forward?

ANSWER:

Our planning approach has asked our service units to think about planning in a different way -- to contribute to and integrate with agency planning at a different level.

We are very appreciative of the commitment and investment that service units have made from the onset of this work. They have all staffed and championed the Tiger Teams and planning groups, participated in ongoing strategy labs, supported inquiry and discovery of the central planning team, and given timely and thoughtful feedback both on the planning process and the plan content.

Additionally, our Congressional Research Service and Copyright Offices detailed staff to the planning team.

Importantly, all service units are participating in community learning and coaching sessions that the SPPM team and our consultants are leading, to learn about user-centered planning approach and tools and techniques that will support the development of their unit plans. Service units have the flexibility to follow this approach step-by-step, or take these concepts back and apply them to their unit planning effort.

Questions for the Record Submitted by the Minority

1. Having a plan that outlines specific metrics and goals is something that was lacking in previous Library strategic plans and it seems that identifying specific parameters will be part of phase three. Can you explain this process? How are the metrics determined?

ANSWER:

Metrics will be set as part of the Library unit planning work now underway. Service units are developing their five-year plans, aligned to the new goals and objectives of the new *Strategic Plan*.

The Library will centrally consolidate, track, and report priority initiatives from these plans in an agency-level *Implementation Roadmap*. The roadmap will include the planned work and timeframe, as well as metrics that will be used to track progress and measure impact and output.

The intent is that Directional Plans will be reviewed and updated annually, as part of the ongoing planning and performance management process. Those efforts that have been included in the agency-level *Implementation Roadmap* will be reported on, and the roadmap itself will be updated to reflect decisions at the unit level.

2. Aspects of the reorganization of the Library started in May. How has this been going? What are the immediate benefits of this reorganization?

ANSWER:

The central mission of the Library of Congress is to provide the Congress, the federal government, and the American people with a rich, diverse and enduring source of knowledge that can be relied upon to inform, inspire, and engage them, and to support their intellectual and creative endeavors.

In preparation for revising our current Strategic Plan, the Library launched the *Envisioning 2025* initiative in the spring of 2017. An important part of this work has been to look within the specialized missions of the Library's service units, and together identify shared themes that resonate with every part of the institution.

From this work the Library set and communicated a shared, unifying theme for its direction:

Moving forward, the Library will be more user-centered, enriching the Library experience for Congress, Creators, and Connectors, while more actively engaging Learners of all ages with its unique and trusted resources.

The Library's organizational structure must correspond with this direction, allowing it to better engage with stakeholders, encourage their collaboration and participation, and respond to their needs quickly and effectively. To that end, the Library must realign part of its organizational structure so that it will be better positioned from an operational and resource perspective to execute its user-centered plan.

Under the current organizational structure, two separate service units are responsible for developing, executing, and managing the Library's public-facing programs and activities—National and International Outreach and the Office of the Librarian.

To centralize this mission-critical work, two new centers will be established to work with the Librarian of Congress to introduce the Library's collections and the expertise of its world-class staff to more users. Both Centers will report directly to the Librarian and will receive administrative support from the Office of the Librarian. This change will enable coordinated vision, leverage systems and expertise, create economies of scale, and make administrative functions more efficient.

The *Center for Exhibits and Interpretation (CEI)* will focus on creating exhibitions, learning spaces, and publications that provide access to and connections with the collections both physically and digitally. CEI will include the following offices:

- **Design Office**, which will incorporate the Library's Print Shop, oversees the Library's in-house design team for print and web design and manages the Library's visual identity and brand. The office will design and manage the artistic aspects of Library publications, brochures, and other collateral materials in collaboration with the Library's communications and web design teams. The office will also work with Library service units to maintain a consistent look, feel, and quality for all visual materials.
- **Exhibits Office** (*formerly Interpretive Programs Office*), which creates exhibitions for the Library's galleries and web properties; manages the exhibition loan program; oversees and maintains gallery spaces; and collaborates with Library experts to develop interpretive programming.
- **Publishing Office**, which creates books and other publications that showcase the exhibitions, collections, and services of the world's largest library; engages with Library curators, subject specialists, and other scholars to develop ideas and proposals for cooperative publications; and works closely with authors and co-publishers to facilitate top-quality works, editing, fact-checking, obtaining high-resolution images and permissions, and indexing.

The *Center for Learning, Literacy, and Engagement (CLLE)* will activate and animate the collections through educational and cultural programming, visitor engagement, and partnerships—transforming visitors into engaged consumers of the Library's services and contributors to its mission.

Through storytelling and festivals, tours and open houses, concerts and films, tutorials, learning labs, conferences, and other occasions to invite people in, CLLE will bring the

treasure that is the nation's library to life, creating awareness, excitement, surprise, inspiration, and dialogue. CLLE will include the following offices:

- **Center for the Book**, which promotes books and libraries, literacy and reading, and poetry and literature through wide-ranging book talks, lectures, readings, contests, and a network of partners throughout America. Administers the Library's Poetry and Literature Center and the National Ambassador for Young People's Literature.
- **Learning and Innovation Office** (*formerly Educational Outreach*), which creates learning experiences, resources, and partnerships—onsite and online—for K-12 learners, young readers and families, and the teachers and librarians that connect them with the Library. Programs will promote critical thinking, literacy, skill building, and creativity and using the Library's unique collections, exhibitions, and expertise.
- **Library Events Office** (*formerly Office of Special Events and Public Programs*), which coordinates Library-sponsored and co-hosted events as well as events for congressional offices and external organizations.
- **Signature Programs Office**, which leads multi-year planning and Library-wide coordination for the Library's premier events, including the National Book Festival and the Library of Congress Gershwin Prize for Popular Song, and other high-profile initiatives led by the Librarian of Congress.
- **Visitor Engagement** (*formerly Visitor Services Office*), which introduces individuals and groups of all ages and backgrounds to the Library through tours, gallery talks, accessibility offerings, and learning labs.

Together, CEI and CLLE will increase the Library's visibility and make its unique resources more accessible to Congress, the American people, and the world. Jointly developing, executing, and managing the Library's public-facing programs and activities will enable more synergistic implementation of its user-centered plan across many platforms: exhibitions, publications, programming, events and outreach. This will benefit users of all ages because there will be more well-defined and easily-discoverable opportunities for them to connect with the Library in meaningful ways that meet their needs and satisfy their interests.

CEI and CLLE have been structured to facilitate better communications between the Librarian of Congress and the Library's public-facing programs and activities, which will enable more efficiently agile planning and execution of our user-centered plan. The Centers will be headed by competitively-selected award-winning professionals who have done this type of work for different institutions and know how to make meaningful engagement between visitors/users and collections.

3. Implementation of a strategic plan must come from the top down. How has management been trained in the new strategic plan? What metrics are in place to track how managers are implementing the new plan?

ANSWER:

We planned and have been implementing a detailed communication plan to ensure Library management was aware of and connected to the strategic planning process, and so be better positioned to execute to the new strategic plan.

This has included developing a diverse set of activities and materials to build awareness and understanding of the work while it was in progress, gather input for and feedback on strategic plan concepts, and connect manager and staff work and roles to the plan's mission and vision. Specifically, we:

- Included 30 managers in the expanded leadership group that was engaged throughout the planning effort via meetings, strategy labs, and document review and feedback;
- Provided regular and detailed updates at the Library's regular Manager/Supervisor forum; and
- Developed new 'progress update' information communication channels; and
- Developed and distributed two 'conversation guides' including handout materials and step by step directions for managers to use in facilitated conversations with their teams about critical plan concepts; and
- Presented at organizational unit management team forums and supported managers in their team meetings.

The communication work is ongoing, including preparing events and materials for managers' benefit as part of the formal launch of the plan at the start of the new fiscal year.

The most important factor in tracking how managers are implementing to the new strategic plan, however, will be the Library unit-level plans, which are currently under development. Tracking implementation of the new strategic plan will happen at the service unit level, as managers are assigned responsibility for executing to their unit's goals, which in turn support the agency goals.

4. Has the Library identified the resources they will need to implement this strategic plan?

ANSWER:

Resources to implement initiatives in support of the strategic plan will be identified at the organizational unit level through the units' multi-year directional plans. These plans will be complete in January 2019.

The CHAIRMAN. Without objection, this hearing is adjourned.
[Whereupon, at 12:24 p.m., the Committee was adjourned.]