



Semiannual Report to the Congress  
March 2014





This semiannual report features images of cherry blossoms from the Library's collections and grounds. In 1912, the city of Tokyo, Japan presented 3,020 cherry blossom trees to the city of Washington, DC as a gift of friendship. The trees were planted along the Tidal Basin and by the 1920s had overcrowded the landscape and required transplantation. Today, the Library is home to two of the transplanted trees and photographs of those trees are included in this report. For more information about the Library's collection of cherry blossom images, related artifacts, and Tokyo's gift of friendship please visit: <http://www.loc.gov/exhibits/cherry-blossoms>.

*FRONT COVER:* CHERRY BLOSSOM TREE ON THE LIBRARY'S GROUNDS. A GIFT OF FRIENDSHIP FROM TOKYO, JAPAN TO WASHINGTON, DC IN 1912.

*PHOTOGRAPH:* JENNIFER BOSCH, OIG

*ABOVE:* THE WASHINGTON MONUMENT AND TIDAL BASIN WITH CHERRY BLOSSOMS, c. 2007.

*PHOTOGRAPH:* CAROL HIGSMITH

*REPOSITORY:* PRINTS AND PHOTOGRAPHS DIVISION



# LIBRARY OF CONGRESS

March 30, 2014

## MESSAGE FROM THE ACTING INSPECTOR GENERAL

In the last six months, we issued reports on the Library's FY 2013 financial statements audit and the alternate computing facility. We are pleased to report that for the eighteenth consecutive year, the Library received an unmodified opinion on its consolidated financial statements. We also continued a facilities planning review, completed an in-progress investigation of a former Library contractor, and obtained a nine-year criminal sentence in our nationally covered stalking case. Additionally, our long-tenured Inspector General, Karl W. Schornagel, retired.

During the next six months, we will report on the Library's processing of born-digital collection items in the eDeposit program; information technology consulting services contract; use of the life cycle systems development process; information technology system certification and accreditation efforts; and collections policy management of the Prints and Photographs division.

The Library implemented fifteen of our recommendations from prior semiannual periods, including eight recommendations from reports that were not for public release. The Library also incorporated suggestions from our investigations division regarding non-business Web site access for Library employees.

Our publicly released reports are available online at [www.loc.gov/about/oig](http://www.loc.gov/about/oig). We appreciate the cooperative spirit Library staff have shown during our reviews.

A handwritten signature in blue ink, reading "Kurt W. Hyde".

Kurt W. Hyde  
Acting Inspector General



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# PROFILES

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## LIBRARY OF CONGRESS

The Library of Congress (Library) is the research and information arm of the United States' national legislature and the world's largest storehouse of knowledge. The mission of the Library is 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. The mission is accomplished through more than 3,300 employees and contractors, and more than \$800 million in annual appropriated funds and other financing sources.

Founded in 1800, the Library is also the nation's oldest federal cultural institution, holding more than 155 million items on 838 miles of shelves. These items include books, manuscripts, maps, prints and photographs, printed music, sound recordings, films, and microforms. Half of the Library's collections are from outside the United States, representing 470 languages. In addition to its three Capitol Hill buildings and Taylor Street Annex in Washington, DC, the Library operates six overseas offices and stores collections material in purpose-built facilities in Maryland, Illinois, and at the National Audio Visual Conservation Center in Culpeper, Virginia. More than 37 million original source analog items have been digitized and are accessible at [www.loc.gov](http://www.loc.gov). The Library also holds a rapidly expanding collection of digital-born content.

The Library's core organizational components are:

- The Office of the Librarian,
- Library Services,
- The U.S. Copyright Office,
- The Congressional Research Service,
- The Law Library,
- The Office of Strategic Initiatives, and
- The Office of Support Operations.

**The Office of the Librarian** provides leadership and executive management to the Library, overseeing the implementation and management of the Library's mission 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.

**Library Services** performs the traditional functions of a national library: acquisitions, cataloging, preservation, and reference services for both digital and conventional collections. It operates the National Library Service for the Blind and Physically Handicapped and the American Folklife Center, among other programs.

**The U.S. Copyright Office** administers the copyright laws of the nation and registers copyrightable material; its deposits of intellectual material (such as, books, music, and movies) substantially contribute to the Library's collections.

**The Congressional Research Service** supports the legislative process by providing exclusively to Congress objective, confidential assessments of public-policy issues, and legislative options for addressing those issues.

**The Law Library** assists Congress and the legislative process by supporting comprehensive research on foreign, comparative, international, and U.S. law, and other legal reference services.

**The Office of Strategic Initiatives** directs the national program for long-term preservation of digital cultural assets, leads a collaborative institution-wide effort to develop consolidated digital future plans, and integrates the delivery of information technology (IT) services.

**The Office of Support Operations** provides centralized leadership and oversight of infrastructure services and includes: Human Resources Services, Integrated Support Services, the Office of Security and Emergency Preparedness, and the Office of Opportunity, Inclusiveness, and Compliance.

Last year, services provided by the Library included:

- Fulfilling 513,946 reference requests,
- Circulating 25 million disc, cassette, and Braille items to more than 800,000 blind and physically handicapped patrons,
- Registering 496,599 copyright claims,
- Receiving 15,000 items daily and adding more than 12,000 items daily to its collections,
- Responding to more than 636,000 congressional reference requests and delivering to Congress more than 1 million research products and approximately 23,000 volumes from the Library's collections, and
- Providing to Congress access to more than 9,000 reports on legislative issues and preparing more than 2,900 tailored analyses.

The Library of Congress also recorded 84 million visits and 519 million page-views of its primary source files on its Web site, and received 1.6 million on-site visitors.

## OFFICE OF THE INSPECTOR GENERAL

The establishment of statutory federal Inspector Generals (IG) began in 1978 to create and empower independent audit and investigative organizations to focus on fraud, waste, and abuse within federal agencies. The Library of Congress Office of the Inspector General (OIG) was established in 1988 as a non-statutory office deriving its authority from the Librarian of Congress. The OIG became statutory with the passage of *The Library of Congress Inspector General Act of 2005*, with a mandate to:

- Conduct and supervise audits and investigations relating to the Library,
- Lead, coordinate, and recommend policies to promote economy, efficiency, and effectiveness, and
- Keep the Librarian of Congress and the Congress fully and currently informed about problems and deficiencies relating to the administration and operations of the Library.

The IG is a member of the Council of the Inspectors General on Integrity and Efficiency (CIGIE), a unified council of all federal statutory IGs, and serves on the council's Audit and Legislation Committees. This Semiannual Report to the Congress is a part of the OIG's statutory reporting requirements and is organized to address the major functions of the office including:

- Significant audits, investigations, and other activities of the OIG,
- Review of legislation and regulations affecting the Library, and
- Library decisions on OIG recommendations and the status of implementation, along with any resulting monetary benefits.

**The Audits Division** conducts in-depth reviews that address the efficiency, effectiveness, and economy of the Library's programs, activities, and functions; provides information to responsible parties to improve public accountability; facilitates oversight and decision-making; and initiates corrective action as needed.

The Audits Division also contracts with an independent accounting firm that addresses whether financial statements fairly present financial positions, results of operations, and cash flows. The firm also assesses whether the Library and other entities have adequate internal control systems and comply with applicable laws and regulations.

**The Investigations Division** addresses alleged or suspected wrongdoing by agency employees, contractors, or others responsible for handling federal resources. Violations of Library regulations or fraud committed against the Library can result in administrative sanctions and criminal or civil prosecution. Contact information for the OIG Hotline is located on the inside back cover of this report.

Our staff are educated and certified in various disciplines. We are, collectively, five certified public accountants, one attorney, one certified internal auditor, two certified information systems auditors, one certified computer examiner, one access data certified examiner, one certified forensic accountant, four seized computer evidence recovery specialists, four special agents, and other highly qualified staff.

OIG reports are available at [www.loc.gov/about/oig](http://www.loc.gov/about/oig).



ABOVE: WATERCOLOR BY K. TSUNOI, *MIKURUMA-GAESHI*, c. 1921. ONE OF ELEVEN ILLUSTRATIONS AFFILIATED WITH DR. SHIO SAKANISHI, THE FIRST JAPANESE LIBRARIAN AT THE LIBRARY OF CONGRESS.

REPOSITORY: ASIAN DIVISION

## **INSPECTOR GENERAL RETIRES**

Karl W. Schornagel, Inspector General of the Library of Congress, retired in January of 2014. Mr. Schornagel's career spanned over 34 years of federal agency service including nearly 13 years at the Library. He is the Library's longest serving Inspector General, and the first to serve under the Library of Congress Inspector General Act of 2005.

During his tenure the Office of the Inspector General's Audits Division received unqualified (pass) opinions on all external peer reviews conducted. His emphasis on, and adherence to, auditing standards was exemplified by his service as Vice Chairman on the CIGIE Audit, Legislation, and Investigations Committees. Mr. Schornagel is a Certified Public Accountant in Virginia, a member of the American Institute of Certified Public Accountants, and graduated from George Mason University with a Bachelor of Science degree in Business Administration.

Highlights of Mr. Schornagel's career at the Library of Congress include conducting over 150 audit reports and closing over 650 investigation cases. As part of this work, he saved the National Library Service for the Blind and Physically Handicapped over \$19 million in contract costs and recovered a \$1 million settlement for improper billings by a security contractor. Mr. Schornagel also issued an analysis of the Library's strategic planning for information technology investments and included recommendations for improving governance and realizing long-term savings for information technology systems. He also helped develop the Financial Hosting Environment for the Library's business applications, thereby resolving material weaknesses and significant deficiencies threatening the Library's independent auditor's opinion on its financial statements. Mr. Schornagel chaired a legislative branch working group to develop and implement a single financial statement auditor contract, saving over \$1.6 million in the audit fees.

## TOP MANAGEMENT CHALLENGES 1

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This section provides a collective summary of issues covered by OIG reviews that, in our view, represent long-term challenges for the Library of Congress.

### FACILITIES

**Collections Storage**—A major component of the Library’s mission is to properly store and preserve its collections. During the last semiannual period, we conducted a review of the Library’s processing, storage, and accessibility of materials and found that it poses a serious and growing challenge for the Library. As of September 30, 2012 eighteen percent of the collections were in arrearage and not readily available to researchers. Some items, received as far back as the 1980s, remain unprocessed.

In addition to accessibility, the rate of collection impacts storage facilities and the condition of the materials. As the Library adds about 250,000 books and periodicals to the collections each year, the space shortage will continue to worsen. The Library’s three Capitol Hill buildings are collectively at 110 percent of their capacity, causing premature damage and deterioration to some of the buildings and its materials. The floors in the stacks of the Jefferson and Adams buildings are now used to store the general collections, and the Library is forced to double- and triple-shelve materials. Further exacerbating the storage issue is the lack of secure storage for some rare and valuable collection materials. The Law Library and the Music and Asian Divisions, among others, have been forced to store some of their rare materials in less-than-optimal conditions from a security and preservation point of view.

In 2002, collections storage modules at the Library’s Fort Meade location were to provide space for the growing collections. Additional modules were completed in 2005 and 2009 and include both general collection items and special collection materials such as maps, globes, manuscripts, prints and photographs, and sheet music. They are nearly filled to capacity. The FY 2014 appropriation included funding for construction of a fifth module, however, the resulting space will not accommodate the growing collections.

The Library is addressing the overflow through a number of interim measures. Among these is the installation of high-density shelving at its Landover warehouse to store an estimated 800,000 items, and an initiative to pursue alternative methods of shelving in its Capitol Hill facilities. The Library is also working with the Architect of the Capitol to lease additional facilities to house the overflow materials. In addition, the newly established

Collections Development Office issued a report on the Library's practice of obtaining duplicate copies for the general collections. The report suggested a study on the cost effectiveness of removing duplicate copies currently located in offsite storage facilities and purchasing second copies only when justified. The Librarian subsequently approved the report's recommendations and we commend the Library's accomplishments in this critical area.

**Reading Room Space Allocations**—The Internet age has allowed the Library to increase public access to its collections by digitizing and placing them online. Today, the Library's Web site, [www.loc.gov](http://www.loc.gov), receives billions of page hits annually. However, this shift in access modalities has resulted in a significant decrease in the in-person use of Library materials and resources. Consequently, there is a significant amount of underutilized reading room space.

In 2012 the Library initiated the I-900 program to address these concerns by consolidating collection materials into a Center of Knowledge within the Main Reading Room and adjacent spaces. The Library's implementation of the plan was recently discontinued in favor of focusing on the strategies developed in the Futures Program. The first draft of the Futures Program action plan is targeted for completion in June of 2014. We will report on the progress of this program as well as determine its impact on the Library's collections and storage challenges in our next semiannual report.

**Conference and Training Rooms**—An OIG audit identified an increasing number of conference and training facilities in the Library's James Madison Memorial Building. In 2008 there were more than 120 such facilities in the building totaling more than 42,000 square feet which were, in many cases, underutilized. Consolidating and centrally locating conference and training rooms, as the Copyright Office has done, would make a substantial contribution toward efficiency in the Library's use of floor space.

## INFORMATION TECHNOLOGY (IT) INFRASTRUCTURE

In 2009 we issued an audit report that focused broadly on the Library's plan for managing its IT infrastructure investments. The audit looked at: 1) whether the Library's IT Strategic Plan aligned with its overall strategic plan, 2) the validity and integrity of the IT plan, 3) the appropriateness and effectiveness of the Library's IT organizational structure and placement, and 4) the extent to which relevant recommendations made by the National Research Council in a 2000 report were implemented by the Library. We made a series of recommendations about: 1) maturing the Library's

IT strategic planning process, 2) making IT investments from a cost/benefit and institution-wide perspective, 3) considering organizational changes, 4) implementing an enterprise architecture program for planning future technology, and 5) improving customer service.

In late 2011, we issued a follow-up report. In general, we found that the Library was implementing recommendations but the progress was slower than we had expected. We believe Library management's continued focus on implementing these recommendations will result in substantial long-term efficiencies.

We continue to focus OIG efforts on the Library's IT investments and operations. During this semiannual period, we engaged CliftonLarsonAllen, LLP (CLA) to perform a review of the Alternate Computing Facility. CLA issued its report and identified issues similar to our previous reports in 2002 and 2009.

In its FY 2015 appropriations report, the U.S. House of Representatives Legislative Branch Subcommittee on Appropriations tasked the Government Accountability Office to perform a similar review to that performed by our office in 2009 and 2011. The evaluation will include, among other items, the Library's strategic planning and governance structure for IT which relate to recommendations we made for improvement in prior reports.

## PERFORMANCE MANAGEMENT

As a result of several OIG audits, and at the direction of Congress, the Library adopted a planning, budgeting, and management system based on the Government Performance and Results Act (GPRA). In its initial stages, the Library established a GPRA-styled strategic planning process, linked its planning and budgeting to its strategic planning format, initiated GPRA-styled annual program plans, and introduced performance management to its workforce. The adoption of a GPRA-styled management approach will allow the Library to better analyze and report its activities and more successfully compete for diminishing discretionary funding. Recognizing that the Library has developed a robust planning and budgeting framework, it still has work to do to improve these processes.

In passing the GPRA Modernization Act of 2010, Congress made adjustments to assure that agencies more efficiently manage their GPRA efforts, improve the quality of performance metrics, and clearly disclose

the accuracy of performance data. To its credit, Library management has designed a more comprehensive performance management approach for FY 2014 that should provide valid and reliable performance metrics to support management decision-making. The Library still needs to develop a mechanism for evaluating programs and establish a methodology to relate resource allocations to program performance.

## CONTRACTING

A series of OIG reports dating back to 2002 document weaknesses that have beset the Library's contracting function. Principal areas of concern include a questionable understanding of federal contracting by participants in the contracting chain (ranging from the service units to the contracting office), poorly trained staff, a lack of continuity in leadership in the Office of Contracts Management, an inefficient financial system contracting module, and ineffective contract review quality assurance procedures. These deficiencies may prevent the Library from obtaining the best value in contracts and expose the Library to an unacceptably high risk of inefficiency and waste of funds.

Work we conducted during the March 2012 semiannual period concluded that the weaknesses we have reported in the Library's contracting function continued, and in fact, the function had further deteriorated since our last report in 2008. The Library has begun to take action. In 2013, the Library appointed a new Director in the Office of Contracts and Grants Management, who brings extensive federal contracting and legal experience to the Library. We will actively monitor and report on progress in this area.

# AUDITS, SURVEYS, AND REVIEWS

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## LIBRARY OF CONGRESS

ALTERNATE COMPUTING FACILITY  
DATA BACKUP AND RECOVERY PROCEDURES

AUDIT REPORT NO. 2013-IT-103

Congress created the Alternate Computing Facility (ACF) in 2002 to provide backup and business continuation for important systems and applications in the event of an interruption to Library operations at its Capitol Hill data center. In 2009, the OIG reported that it was unclear whether the Library's operations at the ACF could successfully provide service to its customers in the event of a catastrophic failure of the main data center.

Based on OIG's ongoing concern, we engaged CLA to perform an audit of the operating effectiveness of Information Technology Services (ITS) operations at the ACF, its compliance with Library policies, and ITS directives and procedures. In its report, CLA noted three internal control and operating issues at the ACF and made the following recommendations that were similar to those we made in 2009:

**LOC's Server Recovery Priorities May not be Efficiently Designed—**

The Library uses "tier" categories to determine the priority for recovery of specific systems and applications at the ACF. Systems and applications with the highest mission priority are categorized as tier 1; tier 2 and 3 are for less critical systems and applications. CLA found that systems and applications classified with different tiers were supported by the same servers at the ACF, which CLA believed could have a negative impact on the efficiency of recovery efforts. CLA recommended that ITS review common system platforms and evaluate whether consolidating servers to the same tiers (all tier 1 systems and applications segregated to dedicated servers) would be more effective. ITS should then revise the IT Strategic Plan and the Enterprise Architecture to be consistent with the current or the more effective method.

**Master Tape Catalog and Tape Testing Activities Need to be Strengthened—**

CLA found that tier 1 and 2 systems were not tested at the ACF in accordance with Library policy. Only four of the fourteen tier 1 and 2 applications managed by ITS were functionally tested during FY 2013. Additionally, ITS does not test tape backups at the ACF as part of its normal disaster recovery testing. Furthermore, there is no copy of

the master backup tape catalog kept at the ACF. CLA recommended that ITS ensure that all high-impact (tier 1 and 2) systems go through disaster recovery exercises on a scheduled and regular basis, in accordance with Library policy. Additionally, CLA recommended that ITS utilize a master tape catalog at the ACF and routinely test restorations from tape media.

**Replication of Server File Systems Needs Improvement**—CLA's testing to evaluate the consistency and completeness of data transmission from the primary data center to the ACF found that replicated file systems were not mounted during normal operations preventing it from confirming that data on the Capitol Hill servers were successfully synced with ACF servers. Without a process that ensures critical files are accurately and completely sent to the ACF, ITS risks using incomplete or invalid data to restore mission critical systems.

CLA recommended that ITS: 1) monitor automated backup transmissions to the ACF to ensure the completeness and integrity of data transferred from file systems and directories, document known discrepancies, and implement adequate mitigating controls; and 2) periodically review and verify that server content at the ACF is valid and matches data at the primary facility.

## FISCAL YEAR 2013 FINANCIAL STATEMENTS

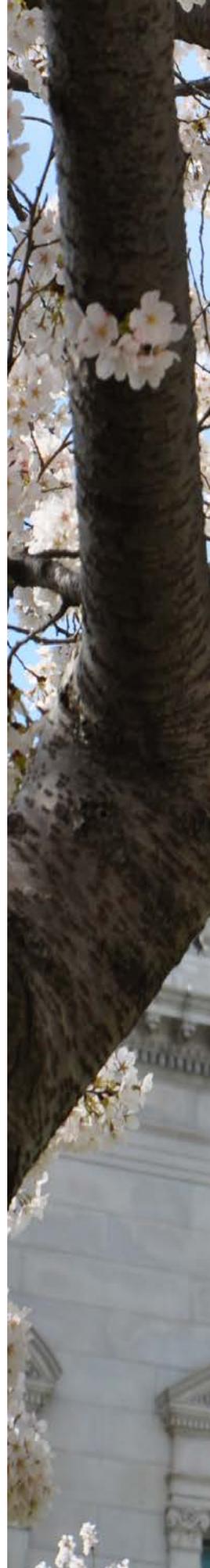
### AUDIT REPORT NO. 2013-FN-101

We are pleased to report that for the eighteenth consecutive year, the Library has received an unmodified opinion (formerly called an unqualified or clean opinion) on its consolidated financial statements. Under contract with our office, CLA audited the Library's FY 2013 consolidated financial statements. In the auditor's opinion, the financial statements, including the accompanying notes, presented fairly, in all material respects, the financial position of the Library and its net costs, changes in net position, and budgetary resources for the year then ended, in conformity with accounting principles generally accepted in the United States.

The auditor's consideration of internal controls over financial reporting resulted in no material weaknesses or significant deficiencies. The auditors found no instances of noncompliance with laws and regulations or other matters requiring reporting under generally accepted government auditing standards.

*RIGHT: VIEW OF THE THOMAS JEFFERSON BUILDING WITH CHERRY BLOSSOMS.*

*PHOTOGRAPH: JENNIFER BOSCH, OIG*





## INVESTIGATIONS 1

During the reporting period, we opened 21 investigations and closed 20. We forwarded two investigations to Library management for administrative action. Two investigations were forwarded to the Department of Justice for criminal prosecution, one was accepted and one is pending. Investigation case and Hotline activities are detailed below.

**TABLE 1: INVESTIGATION CASE ACTIVITY 1**

	CRIMINAL/CIVIL	ADMINISTRATIVE	TOTAL
From Prior Reporting Period	25	9	34
Opened	13	8	21
Closed	12	8	20
End of Period	26	9	35

**TABLE 2: HOTLINE ACTIVITY 1**

	COUNT		
Allegations received	23		
Referred to management	9		
Opened as investigations	5		
Opened as audit	0		
Referred by audit division	1		
Closed with no action	9		

## **SIGNIFICANT CRIMINAL, CIVIL, AND ADMINISTRATIVE INVESTIGATIONS**

### **STOLEN CIVIL WAR PHOTOGRAPH**

The OIG worked with the Office of the General Counsel to help resolve a claim that an ambrotype photograph in the Library's collections properly belonged to the Ohio Historical Society. The photograph was stolen from the Ohio Historical Society in 1978, sold, and subsequently donated to the Library's Civil War collection by a bona fide purchaser. With the assistance of the donor, OIG agents traced the sale of the item back to a deceased broker who was likely the original recipient of the stolen item. The Library is considering the OIG's report and the Library's legal authority to transfer the item to the Ohio Historical Society.

### **REFERRALS AND ASSISTANCE TO OTHER LAW ENFORCEMENT AGENCIES**

During the reporting period, the OIG assisted a number of other federal law enforcement entities. These assists involved surveillance, reviewing security camera footage, and technical coordination in records management with multiple Library divisions. Of note, we assisted the United States Capitol Police on two cash thefts and a theft of government property with the Architect of the Capitol. We also assisted with a request from National Aeronautics and Space Administration OIG concerning a Federal Employees' Compensation Act claim.

## **FOLLOW-UP ON INVESTIGATIVE ISSUES FROM PRIOR SEMIANNUAL REPORTS**

### **EMPLOYEE MISCONDUCT**

We previously reported on a harassment complaint regarding a Library employee threatening a former acquaintance. The employee had posed as the victim, posting over 100 Craigslist ads from his Library computer for sexual encounters. The employee was arrested and indicted for stalking from a federal facility, violating the terms of a protective order, and identity theft and held without bail due to the serious nature of the crimes.

During this reporting period, the employee was terminated from the Library and was sentenced to 66 months in a federal correctional facility, three years of supervised release after the sentence, and was ordered to pay \$3,000 in restitution. As a result of this case and others with similar patterns, OIG recommended that the Library block employee access to certain non-business related Web sites. The Library subsequently implemented our recommendation.



## OTHER OIG ACTIVITIES 1

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### INVESTIGATIVE DATABASE

To assist with recoveries of stolen property, OIG added access to an additional database to increase our investigative effectiveness. We are now able to search for stolen items throughout the country using an enhanced reseller and pawn shop database.

### OIG OVERSIGHT OF CIGIE FINANCIAL STATEMENTS AND FUND BALANCE

The OIG oversaw CIGIE's FY 2013 financial statements audit. OIG's oversight included reviewing the contractor's audit report, working papers, and related documentation, and inquiring of its representatives. OIG found no instances where the contracting firm did not comply, in all material respects, with generally accepted government auditing standards. OIG also conducted an agreed upon procedures engagement to confirm the CIGIE's Sunshine Fund balance as of December 11, 2013.

### ASSISTANT INSPECTOR GENERAL FOR INVESTIGATIONS ASSISTS HOUSE OIG IN PRESENTATION

At the request of the Inspector General for the House of Representatives, the Library's Assistant Inspector General for Investigations along with the Institute of Internal Auditors participated in developing and presenting an on-site training presentation, *When Audits Become Investigations*. This presentation is available as a Webinar for continuing education and has been used by over 2,500 internal auditors.

LEFT: CHERRY BLOSSOMS AROUND THE TIDAL BASIN.

PHOTOGRAPH: CAROL HIGHSMITH, BETWEEN 1980  
AND 2006

REPOSITORY: PRINTS AND PHOTOGRAPHS DIVISION

# REVIEW OF LEGISLATION AND REGULATIONS 1

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**TABLE :** REVIEW OF LIBRARY OF CONGRESS REGULATIONS (LCRs) AND DIRECTIVES 1

REVIEWED	COMMENTS BY THE OFFICE OF THE INSPECTOR GENERAL
LCR 811 Required Information about Readers	We commented that the LCR did not address the revocation of a reader card or any revocation related issues.
LCR 1815-1 Reporting Missing or Stolen Library Property	We commented that the LCR should reference appointing an authority in Library Services to ensure follow-up action on missing or stolen property. We also made several recommendations for removing active assets and suggested establishing a category for property that is not capitalized. Finally, we stated that the responsibility and authority of the OIG should be clarified in appropriate sections.
LCR 2017-2 Performance Appraisal Plan for Non-Bargaining Unit, Non-Managerial/Non-Supervisory Staff, GS-15 and Below	We recommended adding language highlighting workforce performance management as an essential component of planning and budgeting and stated that performance plans should align with annual program goals and the Library's strategic plan. We made suggestions regarding performance appraisals, general clarification of roles, terminology, and definitions throughout the LCR and recommended defining the mechanisms that ensure adherence to the regulation.
LCR 2017-2.2 Performance Appraisal Plan for Managers and Supervisors, GS-15 and Below	We recommended adding language highlighting workforce performance management as an essential component of planning and budgeting and stated that performance plans should align with annual program goals and the Library's strategic plan. We made suggestions regarding performance appraisals, general clarification of roles, terminology, and definitions throughout the LCR and recommended defining the mechanisms that ensure adherence to the regulation.

# UNIMPLEMENTED RECOMMENDATIONS 1

**TABLE 4A:** SIGNIFICANT RECOMMENDATIONS FROM PREVIOUS SEMI-ANNUAL REPORTS FOR WHICH CORRECTIVE ACTION HAS NOT BEEN COMPLETED

SUBJECT	REPORT NO. ISSUE DATE	OFFICE	REC. No.	SUMMARY AND STATUS OF RECOMMENDATION
Office of the Librarian				
Raiser's Edge Software Program	2006-IT-302 December 2007	Development Office	III	System managers for Raiser's Edge should regularly review the system's transaction logs for suspect data events—The Office of the Librarian will work with ITS to develop the technical and operational processes required to make automated log reviews of Raiser's Edge functional. The target date for implementation is the fourth quarter of FY14.
Multi-Sector Workforce	2010-PA-105 March 2011	Office of the General Counsel	III.1	Create a policy using Internal Revenue Service rules to properly classify workers as independent contractors or employees and require service units to submit documentation to the Office of Contracts and Grants Management (OCGM) for nonpersonal contract services—The Office of the General Counsel (OGC) addressed this issue by training Library managers and OCGM. Changes to LCR 2111 and Form 52 will be addressed in conjunction with other contract guidance under the Governing Documents initiative. The target date for implementation is the fourth quarter of FY 14.
Performance-based Budgeting III	2013-PA-101 March 2013	Library-wide	II.1	Incorporate in the financial statements, where applicable, management discussion and analysis information about unmet performance targets and related goals, plans, and schedules for achieving them, assessments of practicality and feasibility of the goals, and disclosure of the action that management must take for success—Beginning with FY 13, explanations of why targets were unmet and actions to improve performance were submitted by service units. The Library's FY 14 Financial Statements will describe validation and verification of performance information recorded in the management discussion and analysis (MD&A) section and unmet targets. Target date for implementation is the first quarter of FY 15.
Performance-based Budgeting III	2013-PA-101 March 2013	Library-wide	II.2	Add to MD&A disclosures an explanation of how management ensures the accuracy and reliability of the data used to measure progress towards each of its performance goals, including an identification of the means used to verify and validate measured values, the data sources, the required level of data accuracy, data limitations, and compensation implemented for the limitations to reach the required level of accuracy—Beginning with the Library's FY 14 Financial Statements, the report will describe the process used to validate and certify accuracy of the performance information recorded in the MD&A section. Target date for implementation is the first quarter of FY 15.
Performance-based Budgeting III	2013-PA-101 March 2013	Library-wide	II.3	Develop a separate performance accountability report to fit the Library's compliance with the spirit of the Government Performance and Results Act and the Modernization Act and fully disclose to stakeholders and the public the annual results of its performance management efforts. The Library should place this report on its public Web site—The Library is developing a Performance and Accountability Report. The draft incorporates most of the elements described in the OIG report. The Library will refine the draft in FY 14 and publish the financial statements on its Web site. The target date for implementation is the second quarter of FY 15.

**TABLE 4A:** SIGNIFICANT RECOMMENDATIONS FROM PREVIOUS SEMIANNUAL REPORTS FOR WHICH CORRECTIVE ACTION HAS NOT BEEN COMPLETED

SUBJECT	REPORT NO. ISSUE DATE	OFFICE	REC. NO.	SUMMARY AND STATUS OF RECOMMENDATION
Office of Contracts and Grants Management (OCGM)				
Weaknesses in the Acquisition Function	2011-SP-106 March 2012	Office of Contracts and Grants Management	I.A.1	Establish a support component to ensure effective and efficient performance of critical functions that support the OCGM. The position should be staffed with a senior, experienced General Schedule 1102, Grade 14—The OCGM receives policy support from the OGC and is recruiting for a GS-1102-14 to support contract operations. The expected target date for implementation is the third quarter of FY 14.
Weaknesses in the Acquisition Function	2011-SP-106 March 2012	Office of Contracts and Grants Management	I.A.2	Rewrite the Contracts Operating Instructions (COI) manual deleting those policies that merely restate the Federal Acquisition Regulations (FAR) and draft specific guidance geared toward the Library's acquisition activities. Organize the COI so that it is easily accessible—As part of the Library's Governing Documents initiative the COI manual was updated and included in the Contracts Technical Guide. The guide is scheduled for publication in the fourth quarter of FY 14.
Weaknesses in the Acquisition Function	2011-SP-106 March 2012	Office of Contracts and Grants Management	I.F.2	Rewrite COI 1003 to be a more comprehensive oversight policy and contract review process—The oversight and review process of COI 1003 was updated and included in the consolidated Contracts Technical Guide. The guide is scheduled for publication in the fourth quarter of FY 14.
Weaknesses in the Acquisition Function	2011-SP-106 March 2012	Office of Contracts and Grants Management	II.G.1	Develop directives that clearly set forth the policy and constraints for using LCR 2111—LCR 2111 is being revised, updated, and incorporated into the Contracts Technical Guide, corresponding with other guidance related to service contracts. The guide is scheduled for publication in the fourth quarter of FY 14.
Weaknesses in the Acquisition Function	2011-SP-106 March 2012	Office of Contracts and Grants Management	III.B.1	Restructure the Alert Handbook into a series of user-friendly, PowerPoint® customer service training packages directed at two levels, executive leadership and service units—OCGM is updating portions of the its Web site to include acquisition information, contracting officer's representative (COR) certification and training, and templates for use by contracting staff and CORs. Content updates will continue through the Library's Governing Documents initiative. The target date for completion is the fourth quarter of FY 14.
Weaknesses in the Acquisition Function	2011-SP-106 March 2012	Office of Contracts and Grants Management	III.B.4	Develop a procurement process standard operating procedure so that customers understand that a good procurement package includes a statement of work, market research, independent government cost estimate, and the evaluation factors used in the evaluation process. The procedure should include a procurement package checklist—The Director of OCGM briefed Library supervisors and IT collaborative forums, and targeted senior staff meetings on contract-related issues. Training for contract staff and CORs on acquisition planning, contract formation and structure, and contract administration is also ongoing. The Director worked with OSI on the related business workflows for OCGM and will incorporate results into future training and development sessions. OCGM is updating their Web site to include acquisition information, COR certification and training, and templates for use by contracting staff and CORs. The target completion date for implementation is the fourth quarter of FY 14.

# UNIMPLEMENTED RECOMMENDATIONS 1

**TABLE 4A:** SIGNIFICANT RECOMMENDATIONS FROM PREVIOUS SEMIANNUAL REPORTS FOR WHICH CORRECTIVE ACTION HAS NOT BEEN COMPLETED 1

SUBJECT	REPORT NO. ISSUE DATE	OFFICE	REC. No.	SUMMARY AND STATUS OF RECOMMENDATION
Office of Contracts and Grants Management (Continued)				
Improper Payments II	2011-SP-101 May 2011	Office of Contracts and Grants Management	I.2	OCGM and the Office of the Chief Financial Officer (OCFO) should update directives to officially reflect the current spending limit for micro purchases of \$3,000—The Purchase Card Technical Guide is in draft, awaiting review. It reflects the current micro purchase threshold of \$3,000 for supplies and \$2,500 for services. The technical guide will be published as part of the Governing Documents initiative. The guide will also correspond with FAR 13 on simplified acquisition procedures for purchases at or below the micro purchase threshold. The target date for implementation is the fourth quarter of FY 14.
Office of Opportunity, Inclusiveness, and Compliance (OIC)				
Equal Employment Opportunity Complaints Office	2001-PA-104 February 2003	Office of Opportunity, Inclusiveness, and Compliance	I	Evaluate and revise LCR 2010-3.1—Evaluation and revision of LCR 2010-3.1 is complete. The Office of Workforce Development, OGC and the Office of Opportunity, Inclusiveness, and Compliance (OIC) will work with the collective bargaining units on final revisions and language. Target date for implementation is the fourth quarter of FY 14.
Follow-Up Review of the Office of Opportunity, Inclusiveness, and Compliance	2011-PA-106 June 2011	Office of Opportunity, Inclusiveness, and Compliance	II.2.b	OIC, in collaboration with the Library’s Human Capital Management Flexibilities Working Group, should complete the barrier identification and elimination process initiated with the Multi-Year Affirmative Employment Program Plan (MYAEPP) by assessing the success of the plan—Based upon workforce assessment data, the Human Capital Planning Board concluded that developing a Master Recruitment Plan for each vacancy requires collaboration between Human Resources Services (HRS), OIC, and service units. The plan will address the professional needs of service units and under-represented groups. The MYAEPP Reassessment Working Group completed its assessment and made a specific recommendation to the Human Capital Planning Board to develop a comprehensive Strategic Diversity Plan networked to all diversity-related programs, activities, services and collections at the Library. The target implementation date is the fourth quarter of FY 14.
Office of Support Operations (OSO)				
Telework Program	2010-PA-102 June 2011	Office of Support Operations	I.1	Determine whether centralizing teleworking policy authority in a Telework Coordinator would add value to the program—The Telework Steering Committee (TSC) assesses the effectiveness of the Library’s telework strategy, reviews emerging best practices, evaluates infrastructure equipment, recommends processes to address changes in technology, and facilitates telework objectives. The revised telework regulation was reviewed by the Library of Congress Regulation Working Group and comments were forwarded to HRS for final revision. The target date for implementation is the third quarter of FY 14.

**TABLE 4A:** SIGNIFICANT RECOMMENDATIONS FROM PREVIOUS SEMIANNUAL REPORTS FOR WHICH CORRECTIVE ACTION HAS NOT BEEN COMPLETED

SUBJECT	REPORT NO. ISSUE DATE	OFFICE	REC. NO.	SUMMARY AND STATUS OF RECOMMENDATION
Telework Program	2010-PA-102 June 2011	Office of Support Operations	I.3	Collect data on and evaluate the costs and benefits of teleworking to determine whether it provides a cost-effective means to perform specific work requirements—The Library is reviewing best practices and is assessing infrastructure equipment. In addition to collecting this telework data, the TSC will conduct a cost-benefit analysis. The target date for implementation is the third quarter of FY 14.
Telework Program	2010-PA-102 June 2011	Office of Support Operations	I.4	Develop a telework health and safety checklist and incorporate it into its telework agreement forms—Under the revised telework regulation, the TSC will develop a health and safety checklist and each teleworking employee will complete and submit the form. The target date for implementation is the third quarter of FY 14.
Telework Program	2010-PA-102 June 2011	Office of Support Operations	I.5	Develop an interactive telework training program and require teleworkers and their managers to successfully complete it before beginning telework—The program will be released with the revised telework regulation in the third quarter of FY 14.
Telework Program	2010-PA-102 June 2011	Office of Support Operations	I.6	Revise LCR 2014-8 to address the permissibility of accessing sensitive, unclassified, and “For Official Use Only” data at offsite locations—The revised LCR was reviewed and comments sent to HRS for final revision. Target date for implementation is the third quarter of FY 14.
Telework Program	2010-PA-102 June 2011	Office of Support Operations	II.1	Review positions to determine whether they are prone to telework and do not create an additional burden on other areas—The telework LCR was revised to require that the nature of the work be suitable for telework and not adversely affect the workload or effectiveness of the teleworker, the supervisor, or other employees. The LCR was forwarded to the HRS Director. The target date for implementation is the third quarter of FY 14.
Telework Program	2010-PA-102 June 2011	Office of Support Operations	II.2	Institute policies requiring the availability of teleworkers by email, telephone, and in person when needed, including the use of remote call coverage for positions involving frequent telephone use—The revised telework LCR requires teleworkers to be available for contact by telephone and email during duty hours while teleworking. The LCR was forwarded to HRS for final revision with implementation targeted for the third quarter of FY 14.
Telework Program	2010-PA-102 June 2011	Office of Support Operations	IV.1.a	Require employees who are expected to telework during a Continuity of Operations (COOP) event to have adequate training, infrastructure support, and practice—The Library’s Remote Environment is a new key infrastructure element that allows employees to telework during a COOP event. Staff training and education is underway and a hands-on drill that will implement this recommendation fully is anticipated for the fourth quarter of FY 14.

# UNIMPLEMENTED RECOMMENDATIONS 1

**TABLE 4A:** SIGNIFICANT RECOMMENDATIONS FROM PREVIOUS SEMIANNUAL REPORTS FOR WHICH CORRECTIVE ACTION HAS NOT BEEN COMPLETED 1

SUBJECT	REPORT NO. ISSUE DATE	OFFICE	REC. No.	SUMMARY AND STATUS OF RECOMMENDATION
Office of Support Operations (Continued)				
Telework Program	2010-PA-102 June 2011	Office of Support Operations	IV.1.b	Implement a telework agreement that provides for a COOP event—The Library’s revised telework agreement allows for episodic telework arrangements, including a COOP event. The Human Capital Planning Board will ensure that agreements are in place for COOP teleworkers. Target date for implementation is the third quarter of FY 14.
Telework Program	2010-PA-102 June 2011	Office of Support Operations	IV.2	Incorporate teleworking scenarios in COOP exercises—The Library’s new Remote Environment, a key infrastructure support element that gives employees the ability to telework during a COOP event, was designed to accommodate all COOP scenarios. COOP exercises were incorporated into training objectives. Exercises and full implementation are planned for the fourth quarter of FY 14.
Library Services (LS)				
Top Treasures Security and Preservation Controls	2008-PA-103 January 2009	Library Services	I.a	Establish criteria for specifically defining top treasure collection items and a clear process to nominate or transfer collection items to the category—The draft LCR includes top treasure nomination forms and an emergency release form. The draft is under review with a target completion date in the fourth quarter of FY 14.
Surplus Books Program	2010-PA-106 September 2011	Library Services	I.c.1	Update LCR 1816 to include designing a serialized document that is counterfeit resistant, reassigning the responsible office to ensure oversight, documenting accountability, and implementing procedures to more appropriately account for and retire used passes. Revise the LCR to implement a pass designed for specific Surplus Books Program (SBP) use—In July 2013, the Office of Security and Emergency Preparedness reported that it had finished meetings with stakeholders for implementing a pass. The next steps are to incorporate revisions, and schedule another meeting of the group, including ITS. Updating the LCR will follow, with a target completion date in the fourth quarter of FY 14.
Surplus Books Program	2010-PA-106 September 2011	Library Services	II.a.1	SBP management should implement the use of a software application to collect and analyze program operating data—As a secondary project, the ITS staff member assigned is continually pulled off the project to address other assignments. This has impacted the completion date and implementation is now projected for the third quarter of FY 14.
Surplus Books Program	2010-PA-106 September 2011	Library Services	II.c.1	LS management should collect the required data to conduct an analysis to determine whether the Library derives tangible benefits from processing other agencies’ surplus material transfers—SBP has not accepted transfers from other agencies since October 2011 and expects to keep that policy in effect. The target date for a final decision is the fourth quarter of FY 14.

**TABLE 4A:** SIGNIFICANT RECOMMENDATIONS FROM PREVIOUS SEMIANNUAL REPORTS FOR WHICH CORRECTIVE ACTION HAS NOT BEEN COMPLETED

SUBJECT	REPORT NO. ISSUE DATE	OFFICE	REC. NO.	SUMMARY AND STATUS OF RECOMMENDATION
Office of Strategic Initiatives (OSI)				
Information Technology Strategic Planning Follow-up	2011-IT-103 December 2011	Information Technology Services	I.2.C	Account for all IT costs, including computer security as part of the IT budgetary process—The Office of the Librarian continues its information resources management (IRM) plan implementation and IT spending and investment reviews. The results of these reviews and current Library-wide planning will determine whether any organizational or resource allocation changes are warranted. The target implementation date is the first quarter of FY15.
Information Technology Strategic Planning Follow-up	2011-IT-103 December 2011	Information Technology Services	I.3.A	Separate the IT support functions from OSI and establish the Office of the Chief Information Officer (CIO) from the ITS Directorate and other IT support functions of OSI. The CIO will report directly to the Librarian or Deputy Librarian with duties, responsibilities, and authority consistent with best practices—The Office of the Librarian continues its IRM plan implementation and IT spending and investment reviews. The results of these reviews and current Library-wide planning will determine whether any organizational or resource allocation changes are warranted. The target implementation date is the first quarter of FY 15.
Information Technology Strategic Planning Follow-up	2011-IT-103 December 2011	Information Technology Services	I.5.A	Implement service level agreements to manage customer expectations—The current strategic planning process overseen by the Strategic Planning Office (SPO) has a provision for ITS to provide support to service units according to their documented requirements. This recommendation is pending further guidance from the strategic planning process with a target completion date in the first quarter of FY 15.
Information Technology Strategic Planning Follow-up	2011-IT-103 December 2011	Information Technology Services	I.5.D	Rather than offering the new help desk system as an interface, ITS should require all technology offices throughout the Library to use a standard help desk system to take advantage of economies of scale—ITS continues to work closely with service units to leverage the centralized, shared solution for help desk management. ITS plans to integrate the remaining service units as resources are made available with a target date in the first quarter of FY 15.
Information Technology Strategic Planning Follow-up	2011-IT-103 December 2011	Information Technology Services	I.5.F	Develop a set of metrics for ongoing use to measure performance. These metrics should change and evolve over time as one area shows improvement; new metrics should be developed for other areas—A comprehensive set of metrics was established as part of the new IT help desk contract. Over the next several months ITS will gather baseline data in order to evaluate the effectiveness of these metrics and determine what refinements are necessary. The target date for completion is the fourth quarter of FY 14.
Information Technology Strategic Planning Follow-up	2011-IT-103 December 2011	Information Technology Services	I.5.G	Conduct regular customer surveys and open informational meetings—The Enhanced Help Desk project includes improvements to survey capabilities tied to closed incident and service request tickets. The target completion date is the third quarter of FY 14.

# UNIMPLEMENTED RECOMMENDATIONS 1

**TABLE 4A:** SIGNIFICANT RECOMMENDATIONS FROM PREVIOUS SEMIANNUAL REPORTS FOR WHICH CORRECTIVE ACTION HAS NOT BEEN COMPLETED

SUBJECT	REPORT NO. ISSUE DATE	OFFICE	REC. NO.	SUMMARY AND STATUS OF RECOMMENDATION
Office of Strategic Initiatives (Continued)				
Information Technology Workstation Management	2012-PA-101 September 2012	Information Technology Services	I.1	ITS should improve its communications and transparency with service units regarding the IT equipment which is available in inventory—The IT Asset Management & Configuration Management Database (CMDB) project is being chartered and will span 18-24 months. The CMDB will use a phased approach to aggregate IT assets and configurable items. In addition, ITS takes a monthly inventory and will publish the information on the ITS Web site. Target date for implementation of the first phase is the fourth quarter of FY14.
Library-Wide Computing Efficiencies	2013-IT-101 March 2013	Information Technology Services	I.1	Collect data on efficiency levels of servers, maintain comprehensive server inventory data in a central repository, and continuously track data on the power used by its data center—The resources required to implement server efficiency tracking are supporting priority projects, including the implementation of environmental controls monitoring for Library collections and critical technology infrastructure components. The target implementation date is revised to the fourth quarter of FY 14.
Library-Wide Computing Efficiencies	2013-IT-101 March 2013	Information Technology Services	I.2	Report to the Deputy Librarian the progress made in adopting the specific recommendations of the outside consultant's report on server virtualization, and the steps and timeframes it will take to implement such recommendations and the Library's return on investment/cost savings to be achieved—ITS is currently identifying viable recommendations from the consultant's report in the context of other strategic technology initiatives, ongoing operational activities, and resource constraints at the Library. ITS will construct a plan for implementing viable recommendations and provide reasons for those it will not implement. ITS anticipates completing this plan by the third quarter of FY 14.
Library-Wide Computing Efficiencies	2013-IT-101 March 2013	Information Technology Services	II.1	Develop an enterprise-wide plan to guide management decision-making on possible cloud solutions—ITS has developed a plan to guide decision-making on potential cloud solutions. This plan will be vetted with Library management and stakeholders over the next several months with a target date for completion in the fourth quarter of FY 14.
Library-Wide Computing Efficiencies	2013-IT-101 March 2013	Information Technology Services	II.2	Instruct ITS to take the lead in initiating evaluations of viable cloud computing solutions for the Library—ITS has developed a plan to guide decision-making on potential cloud solutions. This plan will be vetted with Library management and stakeholders over the next several months with a target date for completion in the fourth quarter of FY 14.
Enterprise wide Web Search Strategy	2013-IT102 September 2013	Office of the Librarian, OSI, LS	II	LS should collaborate with the Web Governance Board and ITS to evaluate whether there is usable data in the XML database and, if so, develop a plan to migrate the data stored to the new Web search platform—ITS is ready to work collaboratively to evaluate the XML database and develop a plan to migrate the usable data. The target date for implementation is the second quarter of FY 15.

RIGHT: FUKAGAWA HATIMAN YAMABIRAKI, OPEN GARDEN AT FUKAGAWA HACHIMAN SHRINE BY HIROSHIGE, c. 1857.

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# IMPLEMENTED AND CLOSED RECOMMENDATIONS 1

**TABLE 4B:** SIGNIFICANT RECOMMENDATIONS FROM PREVIOUS SEMIANNUAL REPORTS WHICH WERE IMPLEMENTED OR CLOSED DURING THIS PERIOD 1

SUBJECT	REPORT NO. ISSUE DATE	OFFICE	REC. NO.	SUMMARY OF RECOMMENDATION AND ACTION
Office of the Librarian				
Performance-based Budgeting III	2013-PA-101 March 2013	Library-wide	I.1	Revise the performance management directives to address requirements for service unit verification and validation of performance data. Data requirements should compliment the specific, measurable, achievable, relevant, time-bound (SMART) criteria applied to performance measurements. Verification requirements should address data completeness, accuracy, and consistency as well as the related quality control practices for ensuring data will be of sufficient quality to document performance and support decision-making. Validation procedures should assure that the data are appropriate for the performance measurement—Draft manuals were created as part of the Governing Documents initiative. OCFO held meetings, workshops, and briefings on SMART criteria and verification and validation. OCFO also updated the performance directives.
Performance-based Budgeting III	2013-PA-101 March 2013	Library-wide	I.2	SPO should take a more effective role in evaluating the adequacy of service unit data used to measure progress towards performance targets. Implement a process similar to National Archives and Records Administration's metric specification document to define and prequalify performance data and related performance measures during the formulation stage of the performance cycle. That document should require service units to identify and define the performance data used to measure progress towards performance targets. Service units should also document how they intend to both verify the performance data and validate how the data relates to the performance measurement—SPO developed a template describing how to create a performance target and conducted several workshops. The forthcoming enhanced eLCplans system requires designated service unit managers and executives to review and approve performance targets.
Performance-based Budgeting III	2013-PA-101 March 2013	Library-wide	I.3	SPO should review the metric specification document for completeness and assure that service unit descriptions of its verification and validation activities meet performance methodology requirements—SPO implemented a review process for draft and final service unit information to ensure that descriptions meet performance methodology.
Library Services (LS)				
Performance-based Budgeting	2010-PA-107 January 2011	Library Services	II.2	Design and implement an internal control system that will ensure that valid and verifiable data will be collected and used to measure program performance—Library Services implemented the new verification and validation system. Officials responsible for performance targets received training from SPO and used the system to establish FY 14 performance targets, milestones, and standards.

**TABLE 4B:** SIGNIFICANT RECOMMENDATIONS FROM PREVIOUS SEMIANNUAL REPORTS WHICH WERE IMPLEMENTED OR CLOSED DURING THIS PERIOD

SUBJECT	REPORT NO. ISSUE DATE	OFFICE	REC. NO.	SUMMARY OF RECOMMENDATION AND ACTION
Human Resources Services (HRS)				
Multi-Sector Workforce	2010-PA-105 March 2011	Human Resources Services	I	Develop and implement a structured procedure that provides a uniform method for making in/outsource personnel determinations. This procedure should provide the means to identify which activities are inherently governmental and which service provider represents the best value to the Library—The National Finance Center Person model is fully implemented. The Board was provided a process to apply existing procedures, workflows, and approvals to accomplish the objectives within existing policy framework.
Office of Strategic Initiatives (OSI)				
Information Technology Strategic Planning Follow-up	2011-IT-103 December 2011	Information Technology Services	II.1	Coordinate with service and support units to identify and prioritize the legacy systems/applications that require certification and accreditation evaluations, and determine how the required evaluations should be funded—Technical changes to LCR 1620, <i>Information Technology Security Policy of the Library of Congress</i> were completed in the fourth quarter of FY 13.
Enterprise wide Web Search Strategy	2013-IT102 September 2013	Office of the Li- brarian, OSI, LS	III	Determine whether there are any projects that are in development but did not otherwise meet the ITSC's criteria of being a new project, and include them under the ITSC's purview—The ITSC chair requested that ITSC members consider active IT projects as investments tracked by the ITSC, with the goal of producing a report of the review and results. One investment was added it to the ITIM Control Phase.

## FUNDS QUESTIONED OR PUT TO BETTER USE 1

**TABLE 5: AUDITS WITH RECOMMENDATIONS FOR BETTER USE OF FUNDS 1**

	NUMBER OF AUDIT REPORTS	TOTAL FUNDS PUT TO BETTER USE
No management decision was made by the start of the period:	-	-
Issued during the period:	-	-
In need of management decision during the period:	-	-
Management decision made during the reporting period:		
Value of recommendations agreed to by management	-	-
Value of recommendations not agreed to by management	-	-
No management decision made by the end of the reporting period:		
Less than 6 months old:	-	-
More than 6 months old:	-	-

**TABLE 6: AUDITS WITH QUESTIONED COSTS 1**

	NUMBER OF AUDIT REPORTS	TOTAL QUESTIONED COSTS
No management decision made by the start of the period:	-	-
Issued during the period:	-	-
In need of management decision during the period:	-	-
Management decision made during the reporting period:		
Value of recommendations agreed to by management	-	-
Value of recommendations not agreed to by management	-	-
No management decision made by the end of the reporting period:		
Less than 6 months old:	-	-
More than 6 months old:	-	-

## **INSTANCES WHERE INFORMATION OR ASSISTANCE REQUESTS WERE REFUSED 1**

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No information or assistance requests were refused during this period.

## **STATUS OF RECOMMENDATIONS WITHOUT MANAGEMENT DECISIONS**

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During the reporting period, there were no recommendations more than six months old without management decisions.

## **SIGNIFICANT REVISED MANAGEMENT DECISIONS**

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The Library's I-900 initiative offered the potential to address in part the OIG's concerns about underutilized reading rooms and other space. I-900 involved consolidating collection materials into a Center of Knowledge within the Main Reading Room and some adjacent space. However, the Library made a significant management decision recently to discontinue I-900 and instead focus on its Futures Program. The Futures Program will provide the basis for defining and implementing, in 2016, a new strategic plan for the Library. OIG will assess the impact of the Library's decision on space utilization efforts and other long-term challenges as more information about the Futures Program becomes available.

## **SIGNIFICANT MANAGEMENT DECISIONS WITH WHICH OIG DISAGREES**

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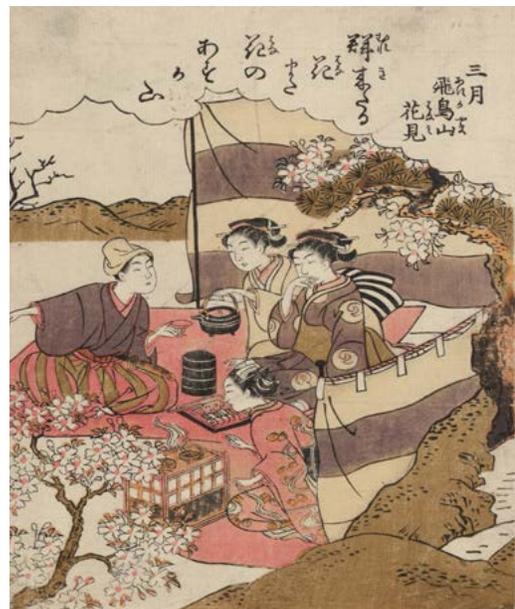
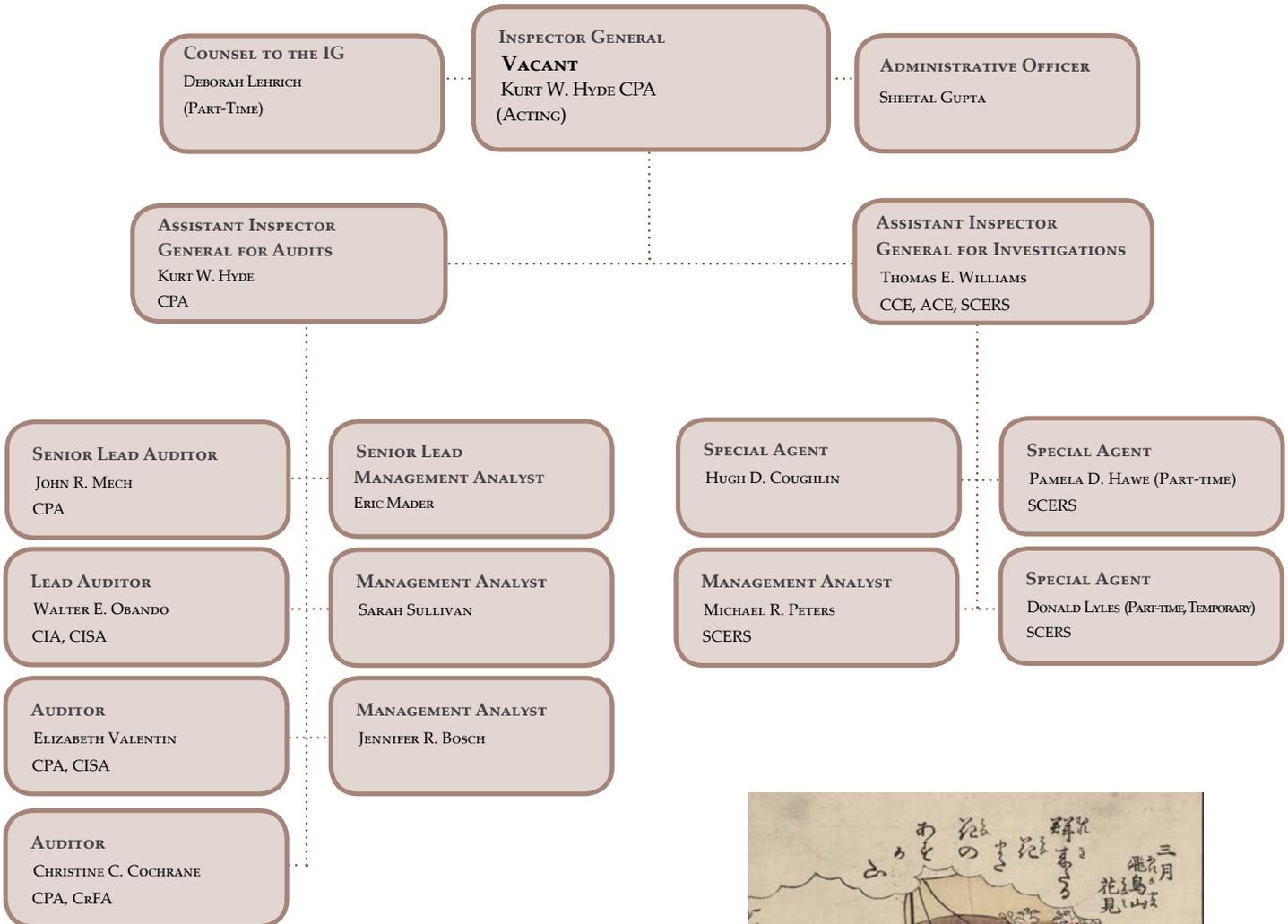
During this reporting period, there were no significant management decisions with which we disagreed.

## **FOLLOW-UP ON PRIOR PERIOD RECOMMENDATIONS**

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In this semiannual period, we followed up on all open recommendations from our prior semiannual period. Management's comments on the status of individual recommendations appear in table 4A. Recommendations that management asserts it implemented during the period appear in table 4B. In order to confirm that recommendations were implemented as reported, we perform periodic follow-up on selected projects to verify implementation; however, all assertions contained in table 4B are the representations of management.

# OIG ORGANIZATIONAL CHART 1



BELOW: SYAYOI ASUKAYAMA HANAMI, TEA PARTY BENEATH CHERRY BLOSSOMS BY SHIGEMASA KITAO. C. 1772-76 1

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