LIBRARY
LIBRARY OF CONGRESS

CELEBRATING THE OLYMPIC GAMES

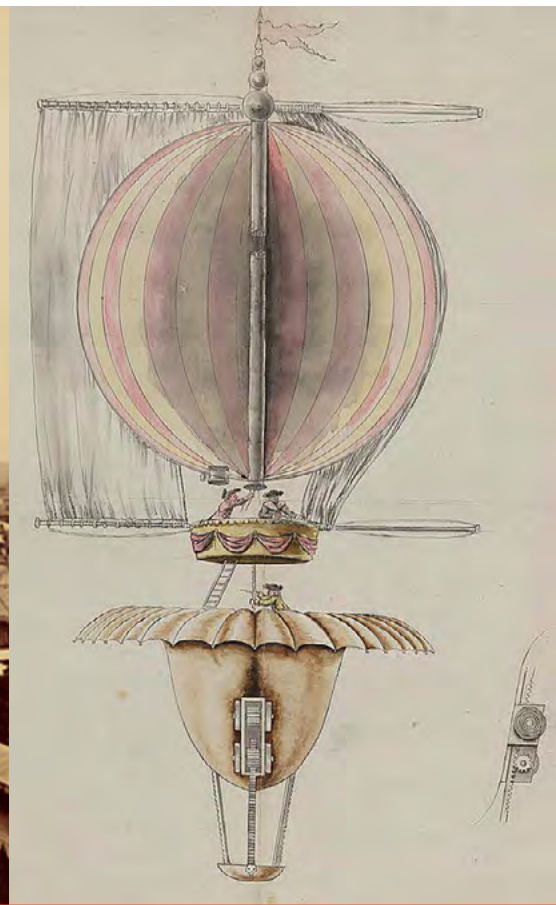FRANK C. IRONS

OFFICE OF THE INSPECTOR GENERAL
SEMIANNUAL REPORT TO CONGRESS

SEPTEMBER 2024

The 2024 Summer Olympic Games were hosted in Paris, France. The games featured more than 10,000 athletes, 329 events, and 32 sports, including "breaking" also known as breakdancing, making its Olympic debut.

As a symbol of the games, the Olympic cauldron holds the Olympic flame as it burns from the opening ceremony to the closing ceremony. The cauldron for the 2024 Paris games, designed by French designer Mathieu Lehanneur, was a ring of fire floating in the sky held up by a giant balloon. The balloon is a nod to the Montgolfier brothers who demonstrated their invention in 1783 with the first documented hot air balloon flight.

The Office of the Inspector General's Semiannual Report to Congress celebrates the Olympic Games by featuring items in the Library of Congress's collections. All featured works are from the Library's digitized collections and are available online at WWW.LOC.GOV.

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Message from the Acting Inspector General

September 30, 2024

This semiannual period, the Library of Congress (Library) continued to advance its mission of engaging, inspiring, and informing Congress and the American people. Of note, in April, the Library celebrated the 85th anniversary of the John Adams Building, the second of the three buildings that comprise the Capitol campus, and the first to open with elevators and air conditioning. In May, Librarian of Congress Carla Hayden presented the inaugural Librarian of Congress awards to 94 Library employees (12 individuals and five teams) for outstanding contributions in helping the Library connect with all Americans pursuant to the Library's vision as laid out in its strategic plan. In June, the Library opened its first ever permanent exhibition space, the David R. Rubenstein Treasures Gallery, the first phase of the Library's Visitor Experience project. And in August, the Library staged the 24th National Book Festival at the D.C. Convention Center where crowds enjoyed 10 hours rife with author talks and book signings across all genres, Library demonstrations, and other activities for all ages.

In the OIG, we also furthered our mission of improving the economy, efficiency, and effectiveness of Library programs and operations and detecting and deterring fraud, waste, abuse, and mismanagement. This semiannual period we issued several audit reports and conducted various investigative activities. Our Audits Division issued reports on the Library's Jakarta Overseas Field Office, the Library's strategic planning and performance management, inventory controls for end user devices (e.g., laptops, desktops, and multifunction devices), certain cybersecurity controls, the Library's tracking of information technology (IT) project direct labor costs, and an inspection of the Federal Library & Information Network (FEDLINK). In addition, we oversaw the completion of three financial statements audits and issued related reports. Summaries of all of these reviews can be found on pages 15-17.

In terms of our investigative activities, our Investigations Division opened nine investigations, closed eight, and forwarded two investigations to Library management for administrative action in addition to issuing a management impact report and a fraud alert.

During this semiannual period, the Library implemented 24 of our audit recommendations made in reports issued during prior semiannual periods.

We look forward to welcoming a new permanent IG in the next semiannual period.

Debbie Lehrich
Acting Inspector General

Library of Congress

The Library is the research and information arm of the United States' national legislature and the world's largest knowledge reserve. The Library's mission is to engage, inspire, and inform Congress and the American people with a universal and enduring source of knowledge and creativity. This mission is accomplished through the work of approximately 3,200 permanent employees.

Founded in 1800, the Library is also the nation's first federal cultural institution, holding more than 175 million physical items on over 840 miles of bookshelves. These items include books and other print materials, recordings, photographs, maps, sheet music, and manuscripts. The Library occupies three buildings on Capitol Hill and the Taylor Street Annex in Washington, D.C.,[1] and the Packard Campus of the National Audio-Visual Conservation Center in Culpeper (NAVCC), Virginia. In addition, the Library operates six overseas offices and stores collections material in several other purpose-built facilities in Maryland.[2]

The Library has six primary components:

- Office of the Librarian

- Chief Operating Officer Service Unit

- Office of the Chief Information Officer

- Library Collections and Services Group, which manages traditional library operations:

  - Law Library

  - Researcher and Collections Services

  - Discovery and Preservation Services

  - National Library Service for the Blind and Print Disabled

- U.S. Copyright Office

- Congressional Research Service

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[1] After 57 years, the National Library Service for the Blind and Print Disabled moved back to Capitol Hill from the Taylor Street Annex during this semiannual period.
[2] The Library has materials stored (per interagency contracts) in Maryland, Massachusetts, and Virginia. The Library also has materials stored in its overseas offices.

The **Office of the Librarian** provides leadership and executive management to the Library, overseeing the implementation of the Library's mission. It includes the Principal Deputy Librarian of Congress, Strategic Planning & Performance Management (SPPM), Office of the General Counsel (OGC), Office of Communications and External Relations, Office of the Chief of Staff, and two centers that focus on user engagement and fostering access to the Library's collections for research, teaching, and visitor education: the **Center for Exhibits and Interpretation** and the **Center for Learning, Literacy, and Engagement**.

The **Chief Operating Officer Service Unit (COO)** manages and administers the Library's non-IT infrastructure functions and daily operations—including oversight of the Human Capital Directorate, the Financial Services Directorate (FSD), the Contracts and Grants Directorate, the Integrated Support Services Directorate (ISS), the Security and Emergency Preparedness Directorate, and Library Enterprises—that operate on a cost recovery basis.

The **Office of the Chief Information Officer** (OCIO) has agency-wide responsibility for the Library's IT strategies and resources and manages the Library's Digital Strategy. This includes guiding Library leadership on digital futures, advising on the technology market, and serving as a solution broker for the agency. It also includes assessing, designing, developing, maintaining, standardizing, optimizing, and protecting the Library's technology resources. Technology resources include all Library budgetary, personnel, equipment, data, and facilities resources and services that are primarily used for the management, operation, acquisition, disposition, and transformation or other activity related to the lifecycle of IT. The Library's digital collections content is managed by the appropriate service unit with statutory or curatorial responsibilities for a given collection.

The **Library Collections and Services Group** (LCSG) oversees units responsible for acquiring, stewarding, describing, and serving Library collections. LCSG is comprised of:

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

- **Researcher and Collections Services** (RCS) links more closely the Library's researcher, reference, and public service work as well as collection development, processing, and selected preservation activities. RCS brings together the Collection Development Office, NAVCC, the John W. Kluge Center, the General & International Collections Directorate, and the Special Collections Directorate, which includes programs such as the American Folklife Center and the Veterans History Project;

- **Discovery and Preservation Services** aligns with the Library's collection, acquisition, description, and stewardship activities and brings together the Acquisition and Bibliographic Access Directorate, the Digital Services Directorate, and the Preservation Directorate; and

- **National Library Service for the Blind and Print Disabled** is a national program that circulates books and magazines in braille and audio formats to people with temporary or permanent low vision, blindness, or a physical disability that prevents them from reading or holding the printed page.

The **U.S. Copyright Office** promotes creativity and free expression by administering the nation's copyright laws and by providing impartial, expert advice on copyright law and policy for the benefit of all.

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

Office of the Inspector General

The Library's 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* (2 U.S.C. § 185) with a mandate to independently:

- conduct and supervise audits and investigations of fraud, waste, and abuse relating to the Library;

- lead, coordinate, and recommend policies to promote economy, efficiency, and effectiveness; and

- keep the Librarian of Congress and Congress fully and currently informed about problems and deficiencies relating to the administration and operations of the Library.

In 2019, the *Library of Congress Inspector General Act* was amended for the first time since its enactment, giving the office increased parity with executive branch IGs, statutory law enforcement authority, and defined independence with respect to budget and hiring.

Through the Council of Inspectors General on Integrity and Efficiency (CIGIE), we are part of a community of Inspectors General who collectively conduct and supervise audits and investigations relating to the programs and operations of their agencies in the executive and legislative branches.

Every six months we provide Congress with this report detailing our independent oversight of Library programs and operations. Our semiannual report presents information on:

- the Library's top management challenges;

- significant audits, investigations, and other OIG activities;

- our review of legislation and regulations affecting the Library; and

- Library decisions on OIG recommendations and the status of implementation.

The **Audits Division** conducts in-depth reviews that address the efficiency, effectiveness, and economy of the Library's programs, activities, and functions; provide information to Library management to improve accountability; facilitate oversight and decision-making; and recommend corrective action as needed.

The Audits Division also contracts with an independent public accounting firm that examines whether the Library's financial statements fairly present financial positions, results of operations, and budgetary resources. The firm also assesses whether the Library and its various service units have adequate financial reporting internal control systems that comply with applicable laws and regulations. OIG reports are available at www.loc.gov/about/oig.

The **Investigations Division** investigates 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 at the end of this report.
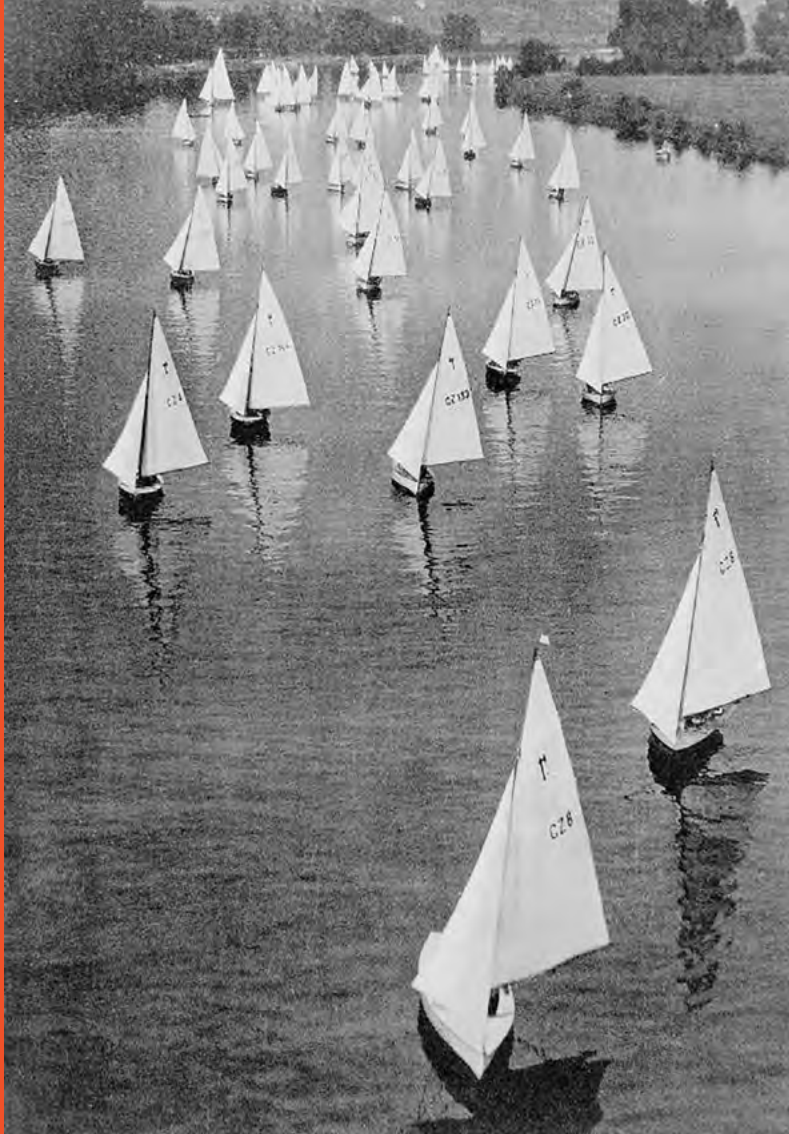
A primary responsibility of Offices of Inspectors General is to annually identify Top Management Challenges (TMC) for the agencies they oversee. We are committed to monitoring each of the current Library TMCs. In this report, we highlight the IT Modernization TMC. We have previously identified five other TMCs for the Library:

- **Strategic Planning and Performance Management.** Many of the Library's management challenges over the years have flowed from a historic lack of proper strategic planning and performance management.

- **Digital Strategic Planning and Execution.** A more strategic approach to digital services and collections is necessary because of the pace of digital innovation and the need for the Library to act on many fronts to execute a timely and cost-effective digital transformation.

- **Collection Services Workflow.** The Library needs to broaden its capability to perform end-to-end monitoring of its collections services workflow in order to better manage its arrearage and number of items collected and stored. LCSG's collections storage activities are part of a supply chain of processes that include selection, digitization, preservation, and storage services, among other processes. Our "not on shelf" report, issued this semiannual period, grew out of this top management challenge.

- **Financial Management and Reporting.** A reliable system of internal controls over financial reporting is vital for an agency to accurately and reliably report on its financial transactions and position.

- **Visitor Experience Master Plan (VEMP) Project.** In fiscal year (FY) 2018, the Library began the planning and development of the VEMP project. Located in the Thomas Jefferson Building, the initiative is a public/private partnership intended to enhance the Library's ability to bring its collections into public spaces. In FY 2019, Congress approved the VEMP project as a joint effort between the Library and the Architect of the Capitol. The VEMP project has experienced significant schedule delays and projected cost overruns.

Library's IT Modernization Effort

During this semiannual period, we issued two reports highlighting challenges associated with the Library's IT Modernization top management challenge (TMC) and demonstrating the need to strengthen accountability for IT investments.[3] In July, we reported that the Library did not have an accurate physical inventory of laptops and related devices,[4] and in September we reported that the Library was relying on inaccurate data on direct labor costs to monitor IT projects.[5] Each report's findings are discussed below. The Library needs accurate and reliable information on its IT investments to make informed, resource-related IT decisions and more effectively address the IT Modernization TMC.
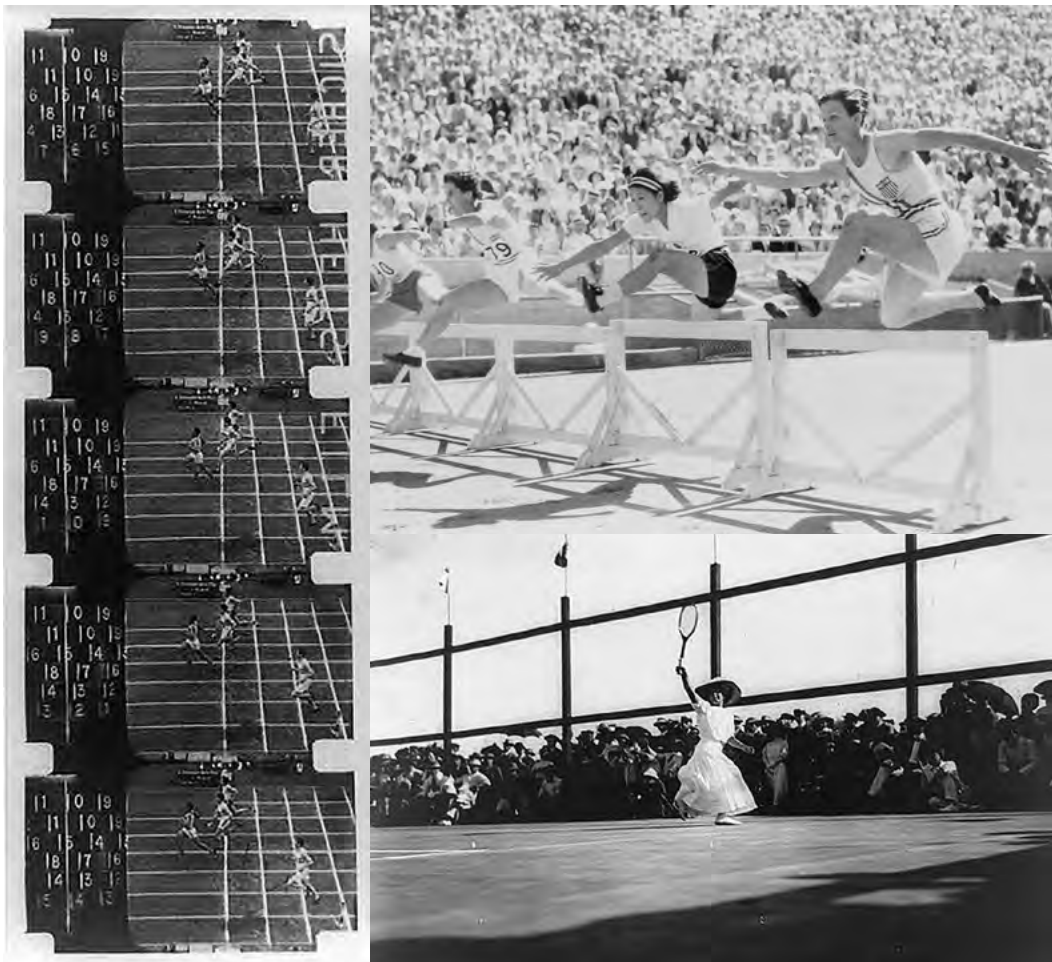
[3] As noted in prior semiannual reports, we believe the key to the Library successfully developing a modern IT environment is OCIO using a strategic approach to improve its IT governance; establishing accountability for IT investments; implementing well-designed, secure, and business-driven networks and computing facilities; and employing IT best practices.
[4] *Inventory Controls for End User Devices Audit,* July 2024, 2023-IT-101.
[5] Direct labor costs are costs associated with the work performed by Library full time employees. *Audit of the Library of Congress's Tracking of Information Technology Project Direct Labor Costs,* September 2023, 2023-IT-103.

Inaccurate physical inventory of end-user devices

We have previously reported weaknesses in the Library's controls related to end user devices (i.e., laptops, desktops, and multi-function devices, such as printers/scanners that have memory and connect to the network). In 2020, our investigators identified a contractor employee who stole Library laptops and sold them on eBay. We identified losses of $56,960 to the government. The contractor employee pled guilty to the theft and was sentenced to one year of probation, to include six months of home confinement, for stealing government property. The contractor employee was required to pay $56,960 in restitution to the affected agencies, and a forfeiture order was issued for the same amount.

In our July 2022 report evaluating select cybersecurity controls,[6] we identified weaknesses related to the Library's inventory of IT hardware and system assets. We recommended that the Library "develop formal procedures for maintaining an up-to-date inventory of hardware assets and removing unauthorized or unmanaged hardware assets in a timely manner." We also recommended that the Library "maintain a complete, accurate, and centralized repository of all hardware assets connected to the [Library] network."

Our July 2024 report concluded the Library did not have an accurate inventory of end user devices because the Library was not performing an annual physical inventory on a timely basis. The last complete physical inventory of Library end user devices was conducted in December 2019, and one was underway during the time of the audit. We recommended that the Library complete the inventory on an ongoing basis.

Further, OCIO and ISS were relying on different information to fulfill their shared responsibility of tracking the Library's end user devices. Life cycle management begins when ISS receives end user devices from vendors and stores them. ISS provides the devices to OCIO, which performs maintenance and physical inventories of the devices in its custody. After OCIO prepares the devices for disposal, they are then returned to ISS to complete the cycle. We identified discrepancies in the information used by ISS and OCIO to perform their monitoring activities and concluded that the discrepancies raised various risks. These included increasing the likelihood of theft, misuse, or misappropriation of the devices and potentially of wasteful purchases of such equipment. Accordingly, we recommended that the Library complete the development and implementation of an automated IT asset management solution designed to provide an integrated solution. The Library has stated that it expects to deploy this solution in the first quarter of FY 2025.

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[6] *Fiscal Year 2021 Cybersecurity Controls Maturity Evaluation,* July 2022, 2021-IT-101.

Inaccurate data on direct labor costs

We concluded in our September 2024 report that the Library had not implemented effective controls over its reporting of direct labor costs for IT projects. OCIO's Project Management Office (PMO) helps to ensure that Library IT projects are effectively planned, selected, resourced, and managed. Specifically, the PMO tracks actual project progress against planned results, which includes monitoring cost variances, such as those related to direct labor costs. To track project direct labor costs, the PMO uses the Library's time and attendance system for employees[7] and the Library's project management system, Project Portfolio Management (PPM). PPM reports direct labor costs in Project Status Reports (PSRs). Actual costs in PSRs are an aggregate of direct labor costs, contractor labor costs, and hardware and software costs. PSRs summarize a project's progress against the approved project charter to give a quick, easy-to-read assessment of a project's status. Library stakeholders, including Library management, receive PSRs weekly. However, as part of our engagement, we could not reconcile direct labor cost data in the Library's time and attendance system and PPM by IT project. As a result, we concluded that the data being reported in PSRs, and being used by Library management for monitoring purposes and resource-related decision-making, was not reliable.

Going forward

The Library continues to face challenges associated with IT Modernization. As described above, to more effectively address the key area of strengthening accountability for IT investments, the Library needs to acquire reliable data on IT hardware assets and IT project costs. We will continue our work in this area in the new fiscal year as we work to complete engagements that pertain largely to another key area: whether the Library has implemented well-designed, secure, and business-driven networks and computing facilities.

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[7] The Library's time and attendance system for employees used to be WebTA. The Library switched to GovTA after the auditors completed their fieldwork; this was a planned activity. Therefore, our report's recommendations referenced GovTA.

OLYMPIC ATHLETES
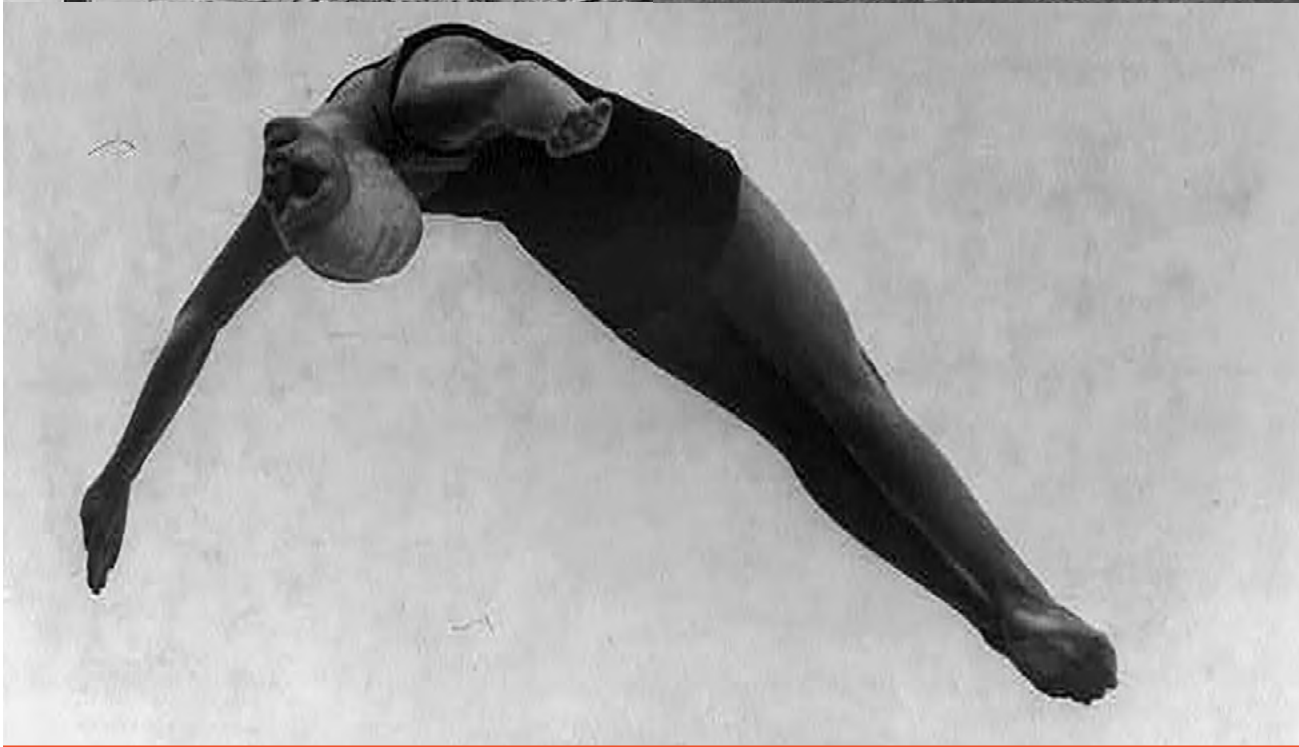
Audit of the Library of Congress's Tracking of Information Technology Project Direct Labor Costs

REPORT No. 2023-IT-103
SEPTEMBER 2024

We contracted with Sikich CPA LLC (Sikich) to conduct an audit of the Library's consistency, timing, and accuracy of IT project direct labor costs and updates with the original estimates and Project Status Reports for projects started in October 2021 or later. Direct labor costs are costs associated with the work performed by Library full time employees. The results of the engagement are previously described in this semiannual report's Top Management Challenges section. Management concurred with our four recommendations.

Federal Library & Information Network (FEDLINK) Inspection

REPORT No. 2023-SP-103
SEPTEMBER 2024

We contracted with Sikich to determine whether the Library had established adequate internal controls over FEDLINK to minimize its risks in the following areas: FEDLINK Financial Reporting, FEDLINK Available Reserve Balance, Vendor Administrative Fees, and the G-Invoicing[8] Interface with the Legislative Branch Financial Management System. FEDLINK is an organization of federal agencies working together to achieve optimum use of the resources and facilities of federal libraries and information centers. Management concurred with our three recommendations.

Evaluation of Cybersecurity Controls for GitHub and GitLab

REPORT No. 2023-IT-102
JULY 2024

We contracted with KPMG to evaluate selected cybersecurity controls implemented for GitHub and GitLab to determine their design, implementation, and operating effectiveness. Git is a specific, open-source version control system that software developers use as a central repository. GitHub is a for-profit company that offers a cloud-based Git repository hosting service. GitLab is a particular software package that can develop, secure, and operate software. Management concurred with our five recommendations. We are not providing specific information about the findings because of the sensitive nature of the information contained in the report. The report was not issued for public release.

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[8] G-Invoicing is a government initiative managed by the U.S. Department of Treasury aimed at addressing accounting and reporting challenges around buy and sell transactions by providing a common platform for inter-governmental transactions.

Inventory Controls for End-user Devices Audits

Report No. 2023-IT-101
July 2024

We contracted with Sikich to examine the Library's IT inventory controls for end user devices to determine the accuracy of the Library's inventory, the validity of the procure-to-disposal process, and the effectiveness of controls in operation. For the purposes of the audit, end user devices referred to laptops, desktops, and multi-function devices (printers/scanners that have memory and connect to the network). The results of the engagement are previously described in this semiannual report's Top Management Challenges section. Management concurred with our six recommendations.

Results of the Library of Congress's FY 2023 Financial Statements Audit

Report No. 2023-FN-101
June 2024

We contracted with KPMG to audit the Library's financial statements for FY 2023; we have identified Financial Management and Reporting as a top management challenge. For the twenty-eighth consecutive year, the Library received an unmodified (clean) opinion on its financial statements. In KPMG's opinion, the financial statements were fairly presented, in all material respects, in conformity with U.S. generally accepted accounting principles. Of note, KPMG's consideration of internal control over financial reporting resulted in a significant deficiency[9] concerning a lack of policy over accounting for costs in the appropriate accounting period. KPMG found no instances of noncompliance with laws and regulations tested. The Library subsequently made the audit results publicly available in the *Library of Congress Agency Financial Report for Fiscal Year 2023*.[10]

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[9] A material weakness is a deficiency, or combination of deficiencies, in internal control, such that there is a reasonable possibility that a material misstatement of the Library's financial statements will not be prevented, or detected and corrected, on a timely basis. A significant deficiency is a deficiency, or combination of deficiencies, in internal control that is less severe than a material weakness, yet important enough to merit attention by those charged with governance. A deficiency in internal control exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, misstatements on a timely basis.

[10] www.loc.gov/about/reports-and-budgets/financial-reports

RESULTS OF THE LIBRARY OF CONGRESS'S FY 2023 FIDUCIARY FUND FINANCIAL STATEMENTS AUDIT

REPORT NO. 2023-FN-102
JUNE 2024

We contracted with Sikich to audit the Library's fiduciary fund financial statements as of and for the fiscal years ending September 30, 2023, and 2022, and to provide a report on internal control over financial reporting and compliance with laws and other matters. Sikich reported the financial statements were fairly presented, in all material respects, in accordance with U.S. generally accepted accounting principles; no material or significant weaknesses in internal controls over financial reporting; and no reportable noncompliance with provisions of laws and regulations tested or other matters. The United States Copyright Office subsequently made the audit results publicly available in *Statutory Licensing Fiduciary Assets Financial Statements* and *Independence Auditors' Report* for the fiscal year ended September 30, 2023.[11]

EVALUATION OF LIBRARY OF CONGRESS STRATEGIC PLANNING AND PERFORMANCE MANAGEMENT

REPORT NO. 2023-SP-105
JUNE 2024

We contracted with Sikich to assess whether the Library is exercising proper strategic planning and performance management at the agency-wide level. Because we have found that Library management challenges have historically flowed from a lack of proper strategic planning and performance management, we identified strategic planning and performance management as a Library top management challenge. Management concurred with our five recommendations. We plan to assess the status of this TMC, to include the results of this engagement, at a later date.

AUDIT OF AN OVERSEAS FIELD OFFICE – JAKARTA, INDONESIA

REPORT NO. 2023-PA-101
MAY 2024

We performed an audit of the Library's overseas field office in Jakarta, Indonesia, to evaluate controls in select areas, including financial management and reporting, collection acquisition and processing, asset management, IT security, payroll, and physical and preservation controls. We made 15 recommendations to help the Library and the Jakarta overseas field office improve the effectiveness of their management across most of these areas. Management concurred with the recommendations. Some portions of the report were redacted because of the sensitive nature of the information contained therein.

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[11] www.copyright.gov/licensing/

RESULTS OF THE CONGRESSIONAL OFFICE FOR INTERNATIONAL LEADERSHIP
FY 2023 FINANCIAL STATEMENTS AUDIT

The Congressional Office for International Leadership (COIL) hosts emerging political and civic leaders from post-Soviet countries through its congressionally-sponsored exchange program. COIL is not a Library service unit, however the Librarian of Congress sits on COIL's Board of Trustees. Through an interagency agreement, we provided oversight of a contract with KPMG to audit COIL's financial statements for FY 2023. In a report issued in May 2024, KPMG found COIL's financial statements were fairly presented, in all material respects, in conformity with U.S. generally accepted accounting principles. KPMG also examined internal controls over financial reporting and did not identify any reportable conditions, nor did it find any noncompliance with laws and regulations or other matters that were required to be reported in accordance with U.S. generally accepted government auditing standards.

Table 1: Review of Legislation

Reviewed	Comments by the Office of the Inspector General
A draft bill to correct technical errors in the codification of chapter 4 of title 5, United States Code	The OIG reviewed the bill and provided technical amendments to CIGIE, which coordinated comments across the IG community.

Table 2: Review of Library of Congress Regulations (LCRs) and Directives (LCDs)

Reviewed	Comments by the Office of the Inspector General
LCR 4-212, *Third Party Applications and Services on Library Web Sites*	The OIG made comments related to authorities, updating a link, definitions, controls, and authorizations and approvals.
LCR 9-1730, *Outside Employment and Activities* and related form	The OIG made comments related to the scope of the LCR. The OIG had no comments on the form.
LCD 6-510.1, *Gift and Trust Fund Procedures*	The OIG made comments and sought clarification on issues related to legal reviews, roles and responsibilities, training, and approvals.

OLYMPIC ATHLETES COMING ON FIELD –

SULLIVAN & KIRBY

ROSE & McGRATH

OPENING DAY STOCKHOLM OLYMPIC GAMES.
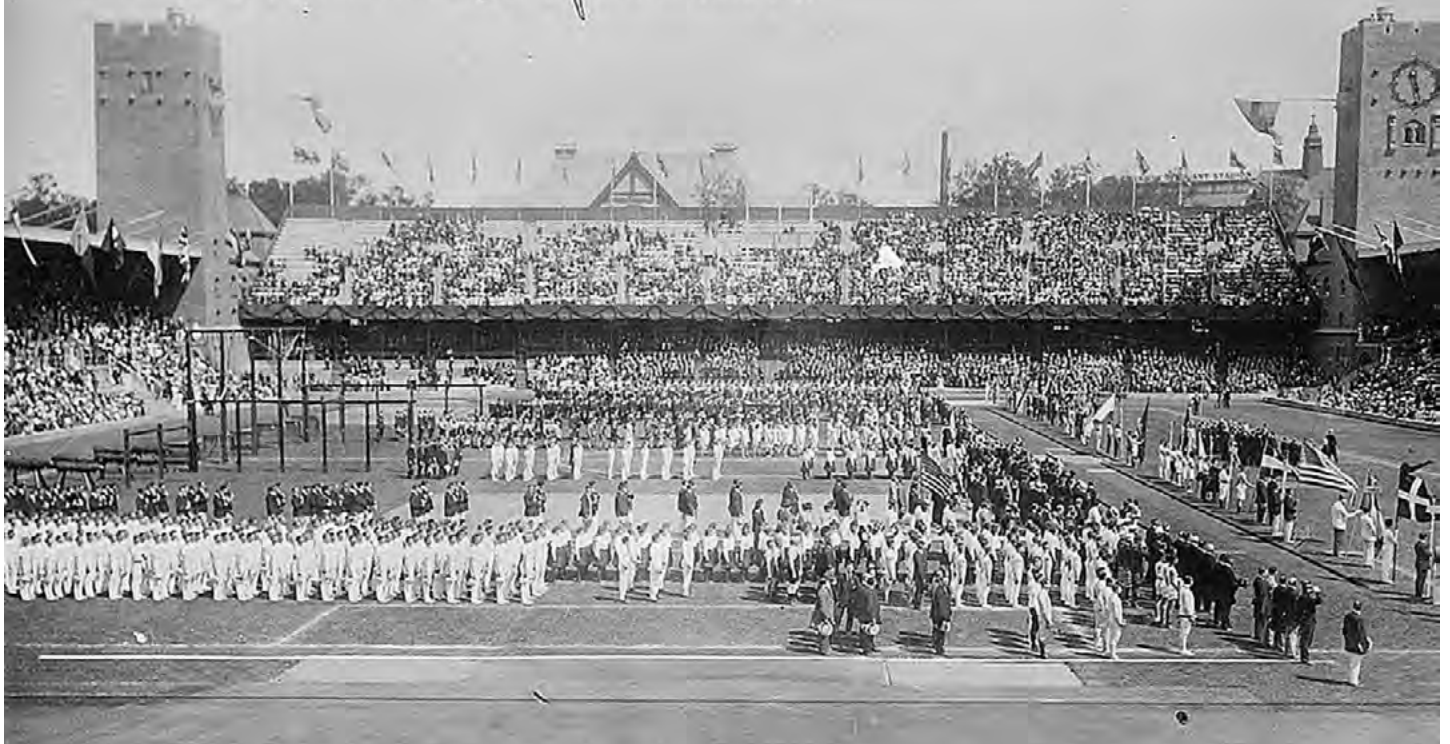
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Table 3 provides an overview of our Investigations Division activities over the semiannual period.

Table 3: Investigative Data[12]

Activity	Total
Investigative Reports Issued (significant investigations summarized in this report)[13]	7
Management Impact Reports Issued/Fraud Alerts Issued	2
Referrals to the Department of Justice (DOJ)	1
Referrals to State and Local Authorities	0
Indictments/Criminal Informations Resulting from Prior Referral to Prosecuting Authorities	0
Suspensions and Debarments	0
Number of Convictions from Investigations	0
Investigations Opened	9
Investigations Closed	8
Investigations Forwarded to Library Management for Administrative Action	2
Complaints Opened	12
Complaints Closed	10
Complaints Converted to Investigations	2
Hotline Communications Received	67
Hotline Communications Converted to Investigations	7
Hotline Referrals to Management[14]	33

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[12] Data were compiled from a review of the Investigations Division's database and files.

[13] Seven reports were issued, two of which were forwarded to Library management.

[14] This category includes referrals to the OIG's Audits Division, Library management, or entities outside the Library.

Significant Investigations

Contract Fraud

As reported in the last semiannual report, an OIG audit, conducted by an independent audit firm, revealed several fraud risk indicators on a Library contract. Due to the findings of the audit, the OIG began an investigation into the contractor's operational and billing processes. The investigation revealed that the Contracting Officer's Representative did not provide adequate oversight on the contract. The investigation was referred to the DOJ and subsequently declined for prosecution. We issued an interim report of investigation to Library management to consider administrative action. The employee entered into an agreement with the Library. The investigation we conducted into other aspects of the case revealed no evidence of invoice fraud by the vendor. The investigation was closed.

Contract Fraud

The OIG Hotline was notified that a Library vendor was allegedly inflating contract labor costs. We interviewed key witnesses and reviewed Library documents. Our investigation determined that the contracts in question were firm fixed priced; labor costs were not negotiable after the contract was awarded. The allegation of contract fraud was not substantiated, and the investigation was closed

PII Spillage

The OIG Hotline was notified of a possible loss of Personally Identifiable Information (PII) in a document sharing platform. This was the third incident involving this associated system vendor. Our investigation determined that the compromise occurred in an external environment and that the compromised PII consisted of inactive credit card numbers. The Library has since removed all of its data from the external platform. The major issues identified in this investigation were provided to the Library's Privacy Officer. The investigation was closed.

Employee Misconduct, Time and Attendance Irregularities

The OIG Hotline received an allegation that a Library employee was working an external job during Library hours. We interviewed key witnesses and reviewed Library documents to determine whether the employee engaged in outside employment and determined that the claim of time and attendance fraud was unsubstantiated. Systemic weaknesses identified during the investigation were reported to the Library. The Library concurred with the recommendations, and the investigation was closed.

Employee Misconduct, Improper Sharing of Personnel Security Information

The OIG Hotline received an allegation that, while in the process of responding to a security suitability issue, a Library employee's personnel security information was inappropriately shared to those without a need to know. We interviewed key witnesses and reviewed Library documents and determined that the allegation was unsubstantiated. The investigation was closed.

Employee Misconduct, Misuse of Government Computer

Pursuant to proactive efforts, the OIG identified a Library employee who was possibly misusing their Library-issued computer. We investigated and determined that the employee had used their computer to visit inappropriate Internet sites. We issued a report of investigation to Library management for action. The employee received a written reprimand. The investigation was closed.

National Book Festival Fraud Alert

The OIG learned that fraudsters misrepresented their involvement with the Library's National Book Festival by targeting authors in an advanced fee scheme. Several authors reported they had been scammed by companies or individuals claiming to sell exhibit space, the opportunity to be a featured author, or the opportunity to promote and/or sell books at the National Book Festival. The Library does not charge authors to participate in the National Book Festival. We issued a fraud alert related to this ongoing scheme.

Closed, Undisclosed Investigations Involving Senior Level Employees

Alleged Reprisal Complaint for Filing a Protected Disclosure

The OIG Hotline received an allegation that a Senior Level Library manager retaliated against a Library employee for making a protected disclosure. We interviewed key witnesses and reviewed emails, personnel, and other records. A review of the evidence determined that this case did not meet the elements of retaliation. The investigation was closed.

Semiannual Law Enforcement Certification

In accordance with the requirements of the *Library of Congress Inspector General Act of 2005,* as amended,[15] the Acting Inspector General hereby certifies that the OIG's law enforcement program has adequate internal safeguards and management procedures that comply with standards for investigations. All supporting documentation is maintained in our office.

Annual Law Enforcement Certification[16]

Consistent with the requirements of Executive Order 14074, *Advancing Effective, Accountable Policing and Criminal Justice Practices to Enhance Public Trust and Public Safety*, the OIG has voluntarily adopted a requirement to publicly report information related to no-knock entries carried out by our office. In FY 2024, the OIG did not execute any no-knock entries.

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[15] 2 U.S.C. § 185.
[16] A "no-knock entry" is one in which law enforcement officers enters a premises without first announcing their presence.
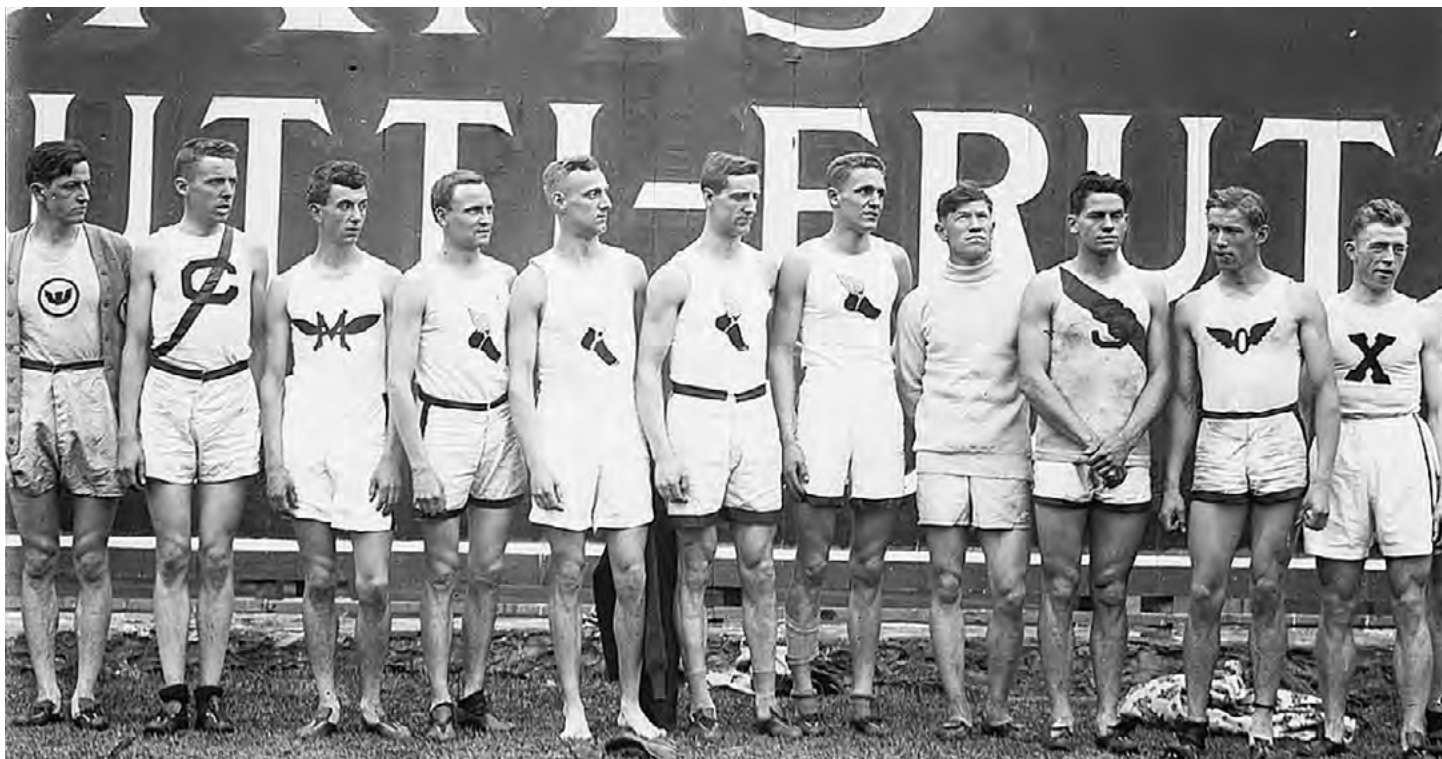
KAHANAMOKU IN OLYMPIC PARADE —WOMEN SWIMMERS S'307-13

UNIMPLEMENTED RECOMMENDATIONS

We obtained comments from Library management on the status of all open recommendations. We summarized the comments provided for recommendations made in our publicly released reports and provide them in Table 4. Responses to recommendations are the representations of Library management, not the OIG, although the OIG may summarize the updates. The status of recommendation updates have not been audited. We periodically perform follow-up audits, inspections and evaluations, and reviews to verify implementation of our recommendations.

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

SUBJECT	REPORT NO. ISSUE DATE	OFFICE	REC. NO.	SUMMARY OF RECOMMENDATION AND ACTION
Office of the Librarian / Strategic Planning & Performance Management Office (SPPM)				
Enterprise Risk Management	2020-PA-104 June 2021	COO/ FSD/ SPPM	4	Report Summary: We reported on the adequacy of the Library's Enterprise Risk Management policies and procedures maintained by the Strategic Planning & Performance Management Office (SPPM), including compliance with those procedures.
				Incorporate risk considerations into the Library's budgeting and resource approach—The Library continues to work with the vendor on design and implementation of the first phase of the Enterprise Planning and Management (EPM) project, which will support the Planning, Performance, and Risk (PPR) Management workstreams. Testing and training will begin in the third quarter with an expected release of the Minimum Viable Product in the fourth quarter. However, any capability to link the PPR workstreams and budget remains dependent upon the second phase of the EPM project, which is not scheduled for kick-off until FY 2025. The estimated date of completion is the third quarter of FY 2025.
Office of the Chief Information Officer (OCIO)				
Cloud Service Provider Governance	2020-IT-103 January 2022	OCIO	4.2	Report summary: We tested the Library's practices in implementing cloud technology.
				Perform an OCIO-wide skills gap assessment in support of the Library cloud strategy—The Office of Personnel Management (OPM) conducted workshops and meetings with OCIO staff to develop a cloud services competency model as part of the enterprise-wide skills gap assessment. OPM presented their progress to OCIO supervisors and proposed a methodology to administer the survey to OCIO staff. OPM administered the survey in September 2024 and OCIO staff have until the end of October 2024 to complete the survey. The estimated date of completion is the fourth quarter of FY 2025.
Cloud Service Provider Governance	2020-IT-103 January 2022	OCIO	4.3	Based on the results of the OCIO-wide skills gap assessment, implement any necessary corrective actions—The Library will implement corrective actions that may result from the skills gap assessment being conducted in Recommendation 4.2 of this report. The estimated date of completion is the first quarter FY 2026.

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

SUBJECT	REPORT NO. ISSUE DATE	OFFICE	REC. NO.	SUMMARY OF RECOMMENDATION AND ACTION
FY 2021 Cyber-security Controls Maturity Evaluation	2021-IT-101 July 2022	OCIO	2.1	Report summary: We evaluated selected cybersecurity control areas and the effectiveness of such control areas. Develop formal procedures for maintaining an up-to-date inventory of hardware assets and removing unauthorized or unmanaged hardware assets in a timely manner—OCIO has developed procedures for maintaining an up-to-date inventory of hardware assets and removing unauthorized or unmanaged hardware assets in a timely manner. OCIO submitted the evidence to the OIG to demonstrate this recommendation has been implemented. The recommendation is under review for closure at the Library's request.
FY 2021 Cyber-security Controls Maturity Evaluation	2021-IT-101 July 2022	OCIO	2.2	Implement tools to (a) track and monitor all authorized hardware assets on the Library network and (b) report or prevent unauthorized devices connecting to the network—OCIO has deployed Information Technology Asset Management Solution (ITAM) and Discovery to allow the Library to track and monitor all authorized hardware assets on the Library network. The Library has deployed technical controls at the network device level to report and prevent unauthorized devices connecting to the network. The recommendation is under review for closure at the Library's request.
FY 2021 Cyber-security Controls Maturity Evaluation	2021-IT-101 July 2022	OCIO	2.3	Maintain a complete, accurate, and centralized repository of all hardware assets connected to the Library network—OCIO has deployed ITAM and Discovery to allow the Library to maintain a centralized repository of all hardware assets connected to the Library network. The recommendation is under review for closure at the Library's request.
FY 2021 Cyber-security Controls Maturity Evaluation	2021-IT-101 July 2022	OCIO	3.1	Develop formal policies and procedures over their process for maintaining an up-to-date software inventory that incorporates security controls requirements from National Institute of Standards and Technology (NIST) Special Publication (SP) 800-53, *Configuration Management* (CM-8) and industry practices from NIST SP 800-37 and NIST SP 800-128—OCIO developed the Software Update Standard Operating Procedure which provides a standard formal procedure for managing IT systems software asset inventory within each IT systems Information Technology Contingency Plan (ITCP). The recommendation is under review for closure at the Library's request.
FY 2021 Cyber-security Controls Maturity Evaluation	2021-IT-101 July 2022	OCIO	3.2	Complete the implementation of its Configuration Management Database (CMDB) to track and manage the inventory of software assets—The acquisition process for acquiring professional services to implement the IT Operations Management suite of tools is complete. The vendor has been onboarded and the project has begun. OCIO is now identifying sprints and developing user stories for implementation. The estimated date of completion is the first quarter of FY 2026.

UNIMPLEMENTED RECOMMENDATIONS

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

SUBJECT	REPORT NO. ISSUE DATE	OFFICE	REC. NO.	SUMMARY OF RECOMMENDATION AND ACTION
Chief Operating Officer (COO)				
Comprehensive Redesign Needed of Gift Shop Financial Management and Accounting	2017-PA-102 April 2019	COO/ Business Enterprises	1	Report summary: We audited the internal controls of the Library's Gift Shop. The Gift Shop should comprehensively review and redesign the financial and accounting processes and systems. It should implement a financial reporting system for Gift Shop operations that includes an automated trial balance based on double entry accounting, and one that produces a full complement of financial statements (i.e., balance sheet, profit and loss (P&L) statement, and cash flow statement) that is compliant with generally accepted accounting principles on a monthly, quarterly, and annual basis— The Library continues to work to implement a financial report system that meets all the requirements outlined in the audit recommendation. The updated Legislative Branch Financial Management System version 8.1 is planned to go live in April 2025. The Library will complete its review of the accounting processes and posting models by the end of FY 2024. Phase 2 of the Interface Project will be initiated in the fourth quarter of FY 2025 so that updates are made in FY 2026. The estimated date of completion is the second quarter of FY 2026.
Performance Audit of the Library of Congress Gift and Trust Funds	2021-PA-101 October 2022	COO/FSD and the Development Office	1.1	Report summary: We assessed the Library's internal controls for gift and trust funds and whether the funds were managed and disbursed in accordance with requirements. Design and implement controls to strengthen communication and monitoring of grant agreement terms and create safeguards to prevent and detect noncompliance with the grant agreement—The Library drafted a directive that supports current Library regulations, as well as policies and procedures within service units, and will clarify and delineate the shared responsibility of soliciting, accepting, executing, modifying, and reporting donations. The Office of the General Counsel is currently reviewing the draft directive. Once the review process is completed, the directive will be published. The estimated date of completion is the second quarter of FY 2025.

Table 4: Significant Recommendations from Previous Semiannual Reports for which Corrective Action Has Not Been Completed

Subject	Report No. Issue Date	Office	Rec. No.	Summary of Recommendation and Action
Library Collections & Services Group (LCSG)				
Library Services Needs to Strengthen Its Performance Measurement of the Collection Services Workflow	2018-SP-101 August 2019	LCSG	5	Report summary: We assessed the Library's capability to perform end-to-end monitoring of the effectiveness of its collections storage process across different collection formats through the use of performance measures. This included assessing activities in relation to performance targets for arrearage. Create a complete and accurate inventory of unprocessed electronic collection materials—A draft Request for Closure document for both Recommendations 5 and 7 is about halfway completed, and is scheduled to be reviewed by Discovery & Preservation Services, followed by Library Collections & Services Group, and then submitted to the OIG by the end of the fourth quarter of this calendar year. The estimated date of completion is the first quarter of FY 2025.
Library Services Needs to Strengthen Its Performance Measurement of the Collection Services Workflow	2018-SP-101 August 2019	LCSG	7	Use complete and accurate data to establish plans to set an outcome-oriented target for reducing the size of the Library's inventory of unprocessed electronic collection materials (e.g., using a ratio of unprocessed electronic materials to electronic collection materials overall)—See the response for 2018-SP-101, recommendation 5.
Library Services Needs to Strengthen Its Performance Measurement of the Collection Services Workflow	2018-SP-101 August 2019	LCSG	10	Track the allocation of resources associated with outcome-based performance measures for all stages of the collection services workflow for analog and electronic collection materials—Data is largely complete, but methodology needs review by and approval of LCSG leadership. The estimated date of completion is the third quarter of FY 2024.
Library Services Needs to Strengthen Its Performance Measurement of the Collection Services Workflow	2018-SP-101 August 2019	LCSG	11	Establish capacity utilization performance measures that track the effectiveness of the collection services workflow—Data is largely complete, but methodology needs review by and approval of LCSG leadership. The estimated date of completion is the third quarter of FY 2024.

UNIMPLEMENTED RECOMMENDATIONS

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

SUBJECT	REPORT NO. ISSUE DATE	OFFICE	REC. NO.	SUMMARY OF RECOMMENDATION AND ACTION
Assessment of the Library of Congress's Digital Strategy	2022-SP-103 September 2023	LCSG	1	Report Summary: We assessed how the Library has strengthened its digital strategy in recent years. Maintain a connection among the overall Library Strategic Plan goals and digital collections and digitization strategies through Service Units' directional plans. We also recommend LCSG more prominently share its process to enable reporting on annual performance outcomes established in LCSG's directional plans that implement LCSG's Digital Collections Strategy and Digitization Strategy to facilitate ongoing awareness by Library management and continued cooperation among Library service units— During FY 2025, key digital collections and digitization goals were directly included in Library-wide strategic planning processes, rather than only being included "by reference" and tracked via separate processes. This provides additional visibility into those efforts within and across LCSG. The recommendation is under review for closure at the Library's request.
Not on Shelf Rate Remains Largely Unchanged but Improvements to Customer Service Can Be Made	2023-SP-101	LCSG	1	Report summary: We assessed the Library's "not on shelf" (NOS) rate, which refers to when materials request by users cannot be found by the Library, and the timeliness and quality of the Library's material retrieval service. Perform an assessment to determine the desired quality of the Collections Management Division (CMD) material retrieval service and, accordingly, establish customer service standards—Work on this recommendation will commence upon completion of 2023-SP-101, recommendation 2. The estimated date of completion is the second quarter of FY 2025.
Not on Shelf Rate Remains Largely Unchanged but Improvements to Customer Service Can Be Made	2023-SP-101	LCSG	2	Establish performance measures to begin measuring performance against the customer service standards for the CMD material retrieval service— Work will commence in October 2024. The estimated date of completion is the first quarter of FY 2026.
Not on Shelf Rate Remains Largely Unchanged but Improvements to Customer Service Can Be Made	2023-SP-101	LCSG	3	Develop and implement via documented policies and procedures CMD staff responsibilities assocatied with: a) following up on not on shelf items through the CMD Quality Assurance Process; b) ensuring reliable delivery of status updates via emails; and c) monitoring the condition of collection items—A quality assurance procedure guide was completed describing the workflow followed by CMD staff when a NOS item is discovered. To ensure that patrons get updates on their requests, CMD staff use Automated Call Slip to trigger an email alerting the patron that the volume is now available. Any books identified as NOS undergo a condition review step and are sent to the Conservation Division for treatment if necessary. The recommendation is under review for closure at the Library's request.

Cover:
Jesse Owens and teammate competing in the 400-meter relay at the Berlin Olympics, 1936; American Tobacco Company. *Frank C. Irons*, 1910; Lucas, Charles J. P., *The Olympic games. Finish of the 110-meter hurdles*, Woodward & Tiernan printing co., 1905.

Verso Cover Page:
The Eiffel Tower and Champ de Mars seen from Trocadéro Palace, Paris Exposition, 1889; *Proposed design for balloon utilizing sails for propulsion, Paris*, 1912; *Olympiasieger Toni Merkens und der Amerikaner Sellinger beim Start zum Ausscheidungslauf des -Meter-Malfahrens, Berlin, Germany*, 1936.

Page 5:
Bearden, Romare, *The Olympics where men & women of all nations engage in peaceful competition*. Montréal Québec, ca. 1974; Smith, Laura, *LA Summer Games*. New Orleans, Louisiana, ca. 1983; *Tokyo*. Tokyo, Japan: Dai Nippon Printing Co., 1964; Saunders, Raymond, *Los Angeles Olympic Games*. Los Angeles California, ca. 1982.

Page 6:
Bain News Service, *Boyle & Bleibtrey*, ca. 1915; Highsmith, Carol M., *John D. Hair's sculpture "Olympic Strength" at the U.S. Olympic Training Center in Colorado Springs, Colorado*. Colorado Springs Colorado, 2015; Leffler, Warren K., *TV monitor at WRC-TV Summer Olympics from Tokyo*, 1964; *Yachts on water*, Czechoslovakia, ca. 1956.

Page 8:
Results of photo-timing by Zeiss-Ikon, AG, at the Olympic games, Berlin. Mens' 400-meter race, 1936; *Mildred "Babe" Didrikson Zaharias, competing in the first heat of the 80-meter hurdles, winning in a record-breaking 11.8 seconds, August 3, in the Olympics at Los Angeles*, Los Angeles California, 1932; *Hazel Hotchkiss Wightman playing tennis*, ca. 1910.

Page 11:
Bain News Service, *Ederle*, 1924; Bain News Service, *Oliver Kirk, American boxer and two-time Olympic gold medal winner*, ca. 1910; Lucas, Charles J. P., *The Olympic games. Weight Lifting*, Woodward & Tiernan printing co., 1905; *Cornelius Johnson, winner of the gold medal at the Olympics, in a high jump*, 1936.

Page 12:
Miss Catherwood of Canada doing the high jump in the Olympic Games at Amsterdam, Holland, ca. 1928; *Czechoslovak women's team playing basketball*, Czechoslovakia, ca. 1956; *Marjorie Gestring diving. Berlin Olympics*, 1936.

Page 16:
Bain News Service, *McGrath* 1911; Bain News Service, *Platt Adams*, ca. 1910; Bain News Service, *Pat McDonald examines tape*, 1912; Bain News Service, *Jos. Waitzer*, ca. 1910.

Page 17:
Organizing Committee Of The Games Of The Xth Olympiad, Copyright Claimant, *All Nation's Rowing Teams. Los Angeles, California*, ca. 1932.

Page 19:
Underwood & Underwood, *Scholz qualifies in 200-meter run. Then wins!* France Paris, ca. 1924; Historic American Buildings Survey, *Olympic Bicycle Track, View South, Los Angeles, California*, 1932; Historic American Buildings Survey, *Rose Bowl Stadium, Los Angeles, California*, 1933; Bain News Service, *Olympic Athletes Coming on Field*, 1912.

Page 20:
Bain News Service, *Opening Day, Stockholm Olympic Games*, 1912; Lucas, Charles J. P., *The Modern Trophy*, Woodward & Tiernan printing co., 1905; Bain News Service, *Archery Meet.*, ca. 1915; *Olympic games at Amsterdam, Holland. The finish of the 100-meter dash finals, won by Percy Williams*, Netherlands Amsterdam, ca. 1928.

Page 25:
Underwood & Underwood, *Victorious Olympic team members return aboard the S.S. America*. France Paris, 1924; *Jim Thorpe greeted by Mayor Gaynor third from left and other dignitaries in Olympic ceremony at City Hall*. New York, 1912; *Aileen Riggin, Olympic diving champ, at aquatic carnival of the Huguenot Boat Club*, New Rochelle, New York, 1922.

Page 26:
Bain News Service, *Send off of Olympic Athletes*, 1912; Bain News Service, *Kahanamoku in Olympic parade*, ca. 1915.

TABLE 5: REPORTING REQUIREMENTS UNDER THE *INSPECTOR GENERAL ACT OF 1978*, AS AMENDED,[17] AND THE *LIBRARY OF CONGRESS INSPECTOR GENERAL ACT OF 2005*, AS AMENDED

IG ACT SECTION	OIG REPORTING REQUIREMENTS	PAGE NUMBER
4(a)(2)	Review of legislation and regulations.	18
5(a)(1)	Significant problems, abuses, and deficiencies.	7–24
5(a)(2)	Recommendations for which corrective action has not been completed, including potential associated cost savings, when applicable.	27–31
5(a)(3)	Significant closed investigations.	21–24
5(a)(4)	Number of convictions from investigations.	21
5(a)(5)	Listing of completed audits, inspections and evaluations, and associated information.	13–17
5(a)(6)	Management decisions made with respect to issued audits, inspections, or evaluations.	13–17
5(a)(8), (9), (10)	Information regarding peer reviews involving the OIG.	34
5(a)(11)	Statistical tables pertaining to the OIG investigations.	21
5(a)(12)	Description of the metrics for the OIG investigative table.	21
5(a)(13)	Reports involving senior government employees where allegations of misconduct were substantiated.	N/A
5(a)(14)	Instances of whistleblower retaliation and related information.	N/A
5(a)(15)	Attempted agency interference with OIG independence and related information.	N/A
5(a)(16)	Circumstances of audits, inspections, and evaluations and investigations of senior government employees undisclosed to the public.	15–24
2 U.S.C. § 185(d)(3)(c)(i)	Semiannual certification of law enforcement program.	24

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[17] This section was derived from section 5 of the *Inspector General Act of 1978* (*IG Act*), Pub. L. 95–452, which was set out in a former Appendix to Title 5. On December 23, 2022, Pub. L. 117–263, div. E, title LII, amended the *IG Act*, including the semiannual reporting requirements. On December 27, 2023, Pub. L. 117–286 codified the *IG Act* at 5 U.S.C. §§ 401–424. For applicability of the December 23, 2022 amendments to this section, see section 5(b) of Pub. L. 117–286, *Transitional and Savings Provisions*. The semiannual reporting requirements of section 5 (except (a)(7)) apply to the Library's OIG through the *Library of Congress Inspector General Act of 2005*, as amended, 2 U.S.C. § 185. Section 5 states, "Each Inspector General shall, not later than April 30 and October 31 of each year, prepare semiannual reports summarizing the activities of the Office during the immediately preceding six-month periods ending March 31 and September 30."

Our Audits Division undergoes external peer reviews at least once every three years for our compliance with GAO's audit standards and standards set by CIGIE for inspections and evaluations.
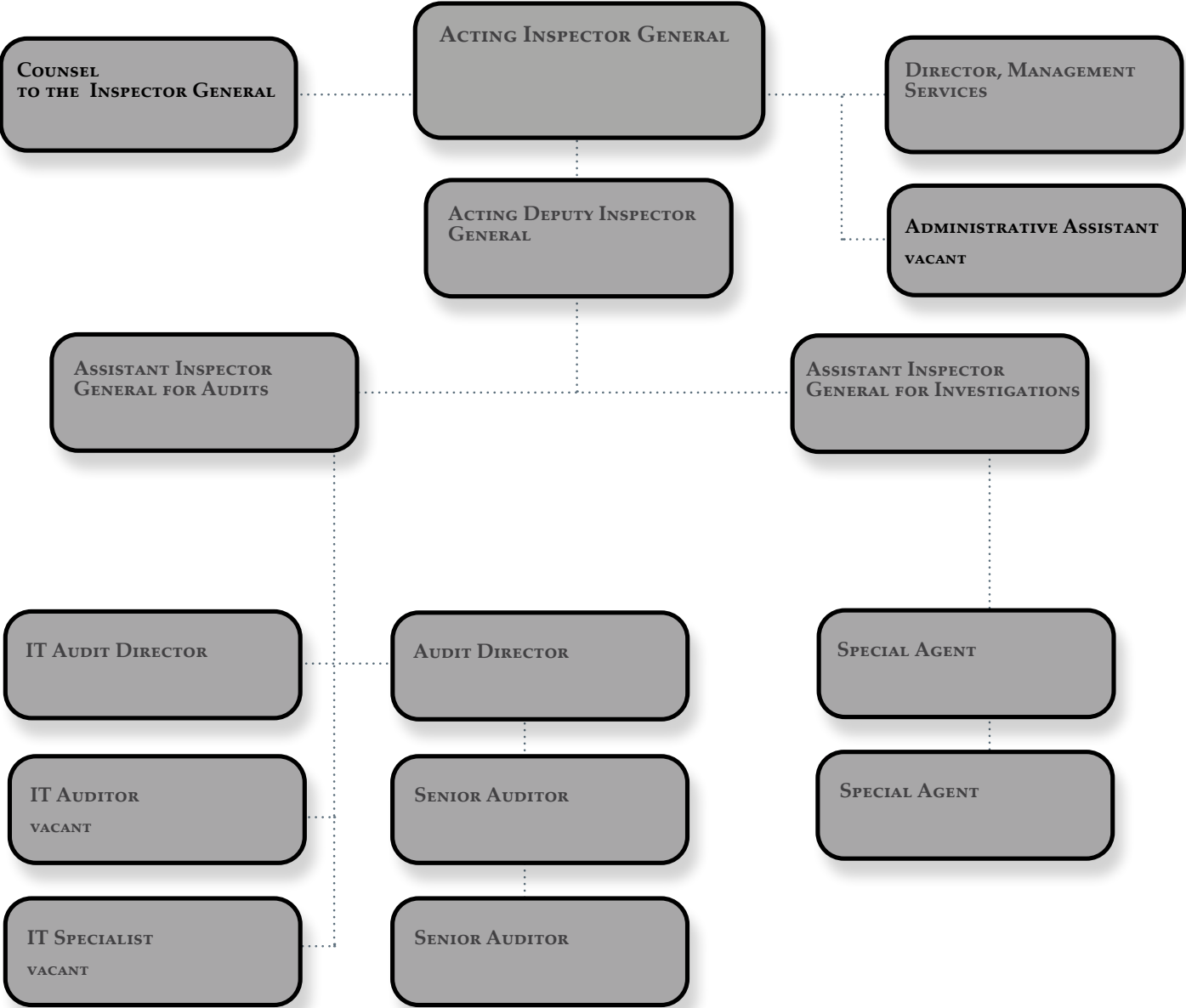
This semiannual period we underwent a peer review for compliance with inspection and evaluation standards by the Equal Employment Opportunity Commission (EEOC) OIG for the period ending March 31, 2024. The EEOC OIG concluded that we met the standards under review, provided a "pass" rating, the highest possible rating, and made no recommendations. There were no outstanding recommendations from the previous peer review.

We completed an audit peer review of the Smithsonian Institution OIG in September 2023 for the period ending September 30, 2023. We concluded that the OIG met the standards under review, issued a "pass" rating, and made one recommendation.

We underwent a peer review for compliance with audit standards by the U.S. Consumer Product Safety Commission (CPSC) OIG for the period ending March 31, 2022. The CPSC OIG concluded that we met the standards under review, provided a "pass" rating, the highest possible rating, and made no recommendations. There were no outstanding recommendations from a previous peer review.

We completed a peer review of the Department of Commerce OIG for compliance with inspection and evaluation standards for the period ending June 30, 2020. We determined that the Department of Commerce OIG met the standards under review and made no recommendations.

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