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SEMIANNUAL REPORT TO THE CONGRESS  
March 31, 2013



This semiannual report features the resources, services, collections, and exhibitions of the Library of Congress. The Library’s mission 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 images contained in this report illustrate some of the ways that the Library accomplishes its mission.

FRONT AND BACK COVERS: VARIOUS IMAGES OF THE RESOURCES, SERVICES, COLLECTIONS, AND EXHIBITIONS OF THE LIBRARY OF CONGRESS.

ABOVE: COVER OF RECENT LIBRARY OF CONGRESS MAGAZINE.

RIGHT: NATIONAL BOOK FESTIVAL WEB SITE ADVERTISEMENT BY WEB-SERVICES.



# LIBRARY OF CONGRESS

March 31, 2013

## MESSAGE FROM THE INSPECTOR GENERAL

In the last six months we prepared reports on efficient computing technologies, implementing the Government Performance and Results Modernization Act, and the Library of Congress fiscal year (FY) 2012 financial statements. During this period, investigations focused on stalking; theft of Copyright deposits; misuse, attempted removal, and control of government computers; an illegal lottery; and employee threats and disruption of government business. We also assisted outside law enforcement organizations in various investigations. Finally, in the last six months, we responded to two Congressional inquiries, oversaw the audit of the Council of the Inspectors General on Integrity and Efficiency's FY 2012 financial statements, and reviewed and commented on the FY 2012 financial statements of the Charitable Trust for the Benefit of the Library of Congress.

In the next six months, we will report on in-progress reviews of the acquisition and management of collections, facilities, information technology planning and development, and other matters.

This period, the Office of the Inspector General (OIG) recovered \$377,190 in stolen Library of Congress property. The Library identified \$47,408 in funds to be put to better use resulting from a prior period OIG audit. The Library also implemented 18 of our recommendations from prior semiannual periods.

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 black ink, appearing to read 'Karl Schornagel'.

Karl W. Schornagel  
Inspector General



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## IN SUMMARY . . .

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### AUDITS, SURVEYS, AND REVIEWS

During this period, we initiated an audit survey to determine whether the Library is making efficient use of the Information Technology (IT) servers it currently employs, and has taken steps to evaluate the feasibility of using cloud computing to perform some of its information processing needs.

Our work revealed that the Library has taken steps toward improving server efficiency. However, we found that the Library does not collect and maintain the data needed to make informed management assessments regarding its IT infrastructure. As a result, the Library cannot readily identify potential areas for consolidation or areas where optimization through server virtualization alternatives may be used.

Additionally, the Library has not made significant progress in addressing recommendations from a 2011 consultant's report to improve its existing virtualization environment. The lack of progress in its virtualization environment reduces potential savings from reduced energy, hardware, and maintenance costs.

Further, the Library lacks an enterprise-wide cloud migration strategic plan to guide management evaluations of possible IT service migrations to cloud-based solutions. Without such a plan, the Library may miss opportunities to improve its IT operational efficiency and achieve substantial savings.

Also in this semiannual period, we conducted an audit to evaluate the Library's progress in complying with the spirit of the Government Performance and Results Modernization Act of 2010 (Modernization Act) and reviewed the Library's plans for enhancing its planning and budgeting structure in fiscal year (FY) 2014.

We found that the Library has made significant progress in addressing the spirit of the Modernization Act and that both senior level managers and service units are demonstrating a strong commitment to the principles of the Modernization Act. However, we noted that the Library needs to improve the quality of performance target data and transparency initiatives to comply with the Modernization Act's intent.

Our review revealed that in one-third of the cases we sampled data was not valid for measuring performance, and in more than half of the cases, performance data was either inaccurate or incomplete. As a result, we believe program performance assessments reported by those units were not reliable.

We also believe the Library needs to improve and expand its performance management reporting to fulfill Congress' goal of increasing the transparency of agency program results. Without full transparency into the Library's performance, agency management cannot successfully demonstrate its program results and challenges.

The Library identified \$47,408 in funds to be put to better use stemming from an audit completed during the last semiannual period.

Lastly, under contract with our office, CliftonLarsonAllen, LLP, issued a "clean" audit opinion on the Library's FY 2012 financial statements.

These reports are further discussed beginning on page 13.

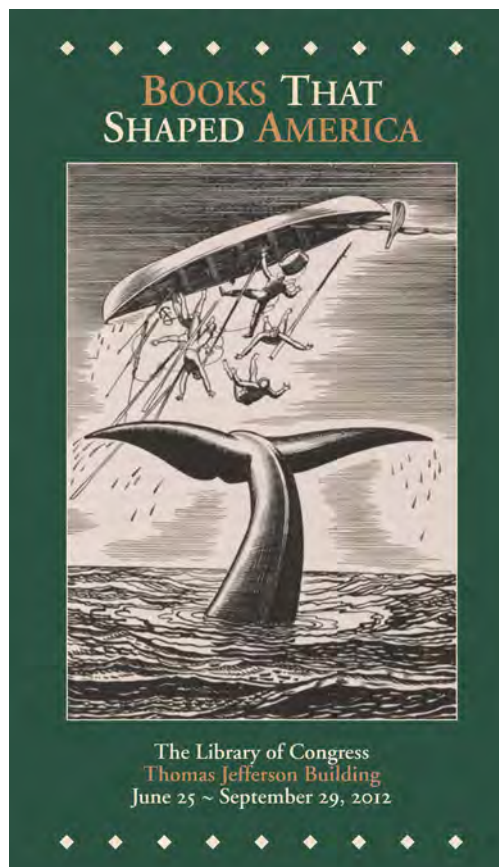
## INVESTIGATIONS

During this reporting period, the Office of the Inspector General (OIG) received a harassment complaint about an employee using their Library computer to threaten a former acquaintance. The investigators presented the case to the United States Attorney's Office for prosecution and subsequently arrested the employee for stalking and violating the terms of a protective order.

In two separate incidents the United States Capitol Police (Capitol Police) stopped Library employees from removing government laptops with forged property passes.

The OIG hotline received an anonymous call stating that a keyworker for the Combined Federal Campaign was creating fake participants to improve divisional numbers. OIG confirmed the allegation and referred the conduct to the Deputy Librarian and the Office of General Counsel as a potential ethics violation.

OIG received a complaint from a software designer that received registration requests for software submitted for copyright but not yet publicly released. OIG tracked the



ABOVE AND OPPOSITE: BOOKS THAT SHAPED AMERICA, A LIBRARY OF CONGRESS FEATURED EXHIBIT.

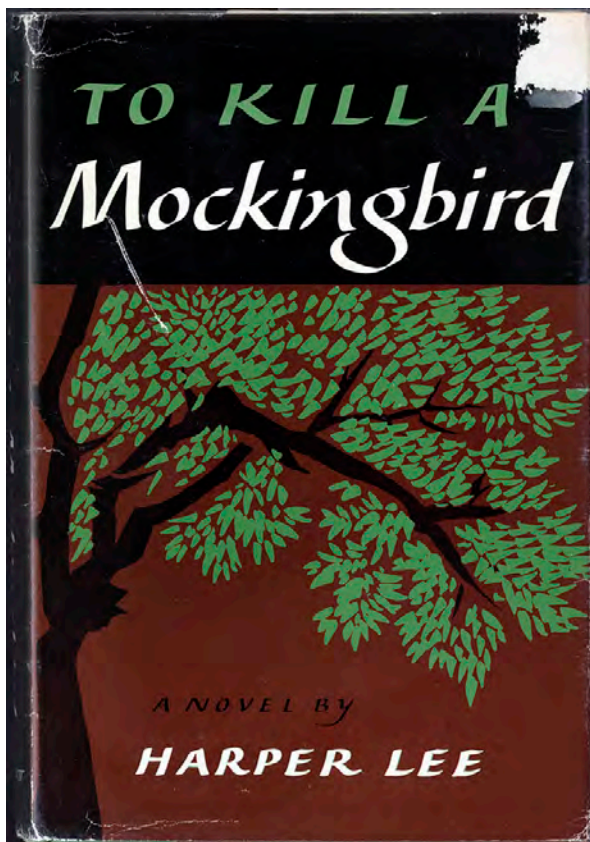
software from the Copyright Office (Copyright) to the Library's Surplus Books Program, where a clerk processes materials for donation or disposal. Based upon evidence obtained from the clerk's Library computer, the OIG attained a search warrant and recovered \$377,190 in software and government property from the employee's residence.

The Capitol Police notified the OIG of a suspected lottery. The OIG subsequently discovered that 21 contract employees and their supervisors were involved. We referred the matter to the Office of Contracts and Grants Management who notified the contracting company. The contractor provided proof of its corrective actions, which included eliminating the lottery, suspending the two supervisors, and conducting ethics and compliance training for all employees and supervisors.

Copyright informed the OIG that its employees were receiving threats and slanderous letters. The matter was referred to the Capitol Police, who provided guidance to the employees. The OIG also notified the local police department where the threatening individual resides.

In 2012, numerous staff from Copyright notified the OIG of a nuisance caller. The caller alleged that their copyright submission was mismanaged regarding enforcement of infringed copyrights, royalties owed, and other issues not within Copyright's jurisdiction. In the months before the investigation, the individual called staff members multiple times a day in addition to leaving more than 400 voice mail complaints. Our review determined that there was no evidence of wrongdoing by Copyright staff and we referred the case to the Capitol Police. The OIG and the Capitol Police are continuing to coordinate with local law enforcement.

The OIG hotline received a complaint of a theft of a government issued laptop computer awaiting disposal. The resulting investigation found that three laptops were missing from a locked storage container. One of the laptops was located. We suggested to Library management a more streamlined surplus equipment disposal process to provide adequate safeguards. The two remaining laptops have not been recovered.



ABOVE: *TO KILL A MOCKINGBIRD*, A NOVEL BY HARPER LEE.



The OIG assisted the U.S. Secret Service in locating and interviewing an emotionally disturbed Library patron who threatened the President of the United States, via email, from a reading room computer.

The Library was targeted by an outside party attempting to disrupt publicly available information technology services. The OIG assisted the FBI's investigation into this and similar attacks elsewhere on federal agencies.

Investigations efforts and follow-up on prior period cases are further discussed beginning on page 20.

## **OTHER ACTIVITIES**

The OIG responded to a request from the Chairman and Ranking Member, House Committee on Oversight and Government Reform. The request asked OIG to identify high-priority recommendations to improve efficiency and reduce waste and asked how Library management solicits input from the OIG on improving efficiency and reducing waste.

The OIG oversaw the Council of the Inspectors General on Integrity and Efficiency's (CIGIE)'s FY 2012 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 U.S. generally accepted government auditing standards. The OIG also conducted an agreed upon procedures engagement to confirm the CIGIE's Sunshine Fund balance as of December 11th, 2012.

During this period, OIG reviewed the Charitable Trust for the Benefit of the Library of Congress Trust Fund Board and affiliates' financial statements for the year ended December 31, 2011 and presented inquiries about the Trust's operations to the Trustee.

These activities are further discussed beginning on page 25.

## TOP MANAGEMENT CHALLENGES

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

### FACILITIES

**Collections Storage**—The Library currently faces a challenge in its mission to properly store and preserve its collections. The floors in the stacks of the Jefferson and Adams buildings are now being used to store the general collections and the Library is double- and triple-shelving materials. There are upwards of a million overflow volumes. The original construction schedule for Fort Meade collection storage modules would have provided space to house these collections and space for continuing expansion, but the last module intended to store general collections was completed in 2005 and filled in 2011. Modules 3 and 4, completed in 2009, were intended for special format collections, which include items such as maps, globes, manuscripts, prints and photographs, sheet music, and more. The modules are now nearly filled to capacity. Only a few special format collections remain for transfer, with a small amount of space being allocated for “must sends,” new acquisitions that are automatically forwarded off-site. No funding has been appropriated for future modules at this time.

The Library is currently addressing the overflow issue through a number of interim measures. Among these is the installation of shelving for high-density storage at its Landover warehouse to store an estimated 800,000 items, and an initiative to pursue alternative methods of shelving items on Capitol Hill to maximize capacity. As the Library adds about 250,000 books and periodicals to the collections each year, the shortage of space will continue to grow. Further exacerbating this issue is the lack of secure storage for some rare and valuable collections. 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 environmental point of view.

**Reading Room Space Allocations**—The Internet age has allowed the Library to increase public access to its collections by digitizing and placing them online. The Library, through various cutting-edge programs, including the National Digital Information Infrastructure and Preservation Program is at the forefront of preserving digital content. Today, the Library’s Web site, [www.loc.gov](http://www.loc.gov), is among the Internet’s most visited, with billions of page hits annually, and unrivaled depth and richness of content. 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. Despite the downward trend in readership, the Library has delayed making decisions about possibly consolidating reading rooms. Better utilization of reading room space could result in significant economy and efficiency by shifting space to collections storage.

**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 and managing 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 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.

*BELOW: FOR WHOM THE BELL  
TOLLS, BY ERNEST HEMINGWAY.*



In FY 2010, the Library obligated \$107 million for IT-related expenditures (37% of its discretionary budget) for services, hardware, software, and maintenance. We followed up on this report last year. In general, we found that the Library had implemented, or was implementing, most of our recommendations, although 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.

In 2002, the Library opened a new Alternate Computing Facility (ACF). The purpose of the facility was to provide backup storage for data located on Capitol Hill and a recovery mechanism for important software applications so that the Library could resume business, at least in a limited capacity, in the absence of its Capitol Hill data center. In 2009, we reported that it was unclear whether or not the ACF could successfully provide service to its customers in the event of a catastrophic failure of the main data center. Since then, the Library has begun limited testing of the ACF. However, further testing is still needed to assure essential functions can be restored should the primary site become inoperable. As the Library's financial system is now cross-servicing four external clients, delays in failover testing become increasingly important.

One OIG report was issued during this semiannual period to address IT related management challenges. A detailed description of this work begins on page 13 of this report and it is publicly available at [www.loc.gov/about/oig](http://www.loc.gov/about/oig).



## PERFORMANCE REPORTING

As a result of an OIG audit, 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. Following the lessons learned by the executive agencies' GPRA experiences, Library management should be able to tailor its GPRA approach to fit its unique operations and maximize the benefits of its GPRA efforts.

In passing the GPRA Modernization Act of 2010 (the Modernization Act), 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. The Library has not yet developed a mechanism for evaluating programs, provided a framework for assuring consistent, valid, and verifiable metrics, or established a methodology to relate resource allocations to program performance. To its credit, Library management is in the process of designing a more comprehensive performance management approach for FY 2014 to address these challenges. To ensure success, the Library must design and implement a GPRA framework that efficiently provides valid and reliable performance metrics to support management decision-making.

During this period we reported on the Library's progress to implement the spirit of the Modernization Act. Details about our findings begin on page 15 and the report is publicly available at [www.loc.gov/about/oig](http://www.loc.gov/about/oig).

## 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 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, a technically questionable financial system contracting module, and ineffective contract review 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 continue, and in fact, the function has further deteriorated since our last report in 2008.

The Committee on House Administration conducted a hearing on our report of the Library's contracts function. Based on testimony and discussions with the Deputy Librarian about management actions in response to our report, we believe the Library is on its way to making substantial improvements to its contracting activities. Total improvement in the Library's contracting function is the only acceptable outcome. We will actively monitor and report on progress in this area.



*LEFT: ADVERTISEMENT FOR BUCKAROOS IN PARADISE, A FEATURED EXHIBIT AT THE LIBRARY OF CONGRESS. IMAGE BY WEB SERVICES.*

*OPPOSITE: ADVERTISEMENT FOR THE GIBSON GIRL'S AMERICA, A FEATURED EXHIBIT AT THE LIBRARY OF CONGRESS.*

## PROFILES

### LIBRARY OF CONGRESS



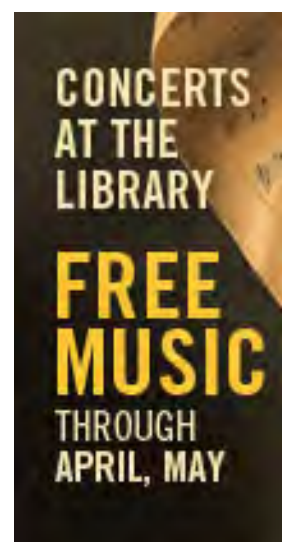
The Library of Congress is the research and information arm of the United States' national legislature and the world's largest storehouse of knowledge. The mission of the Library is to support the Congress in fulfilling its constitutional duties and to further the progress of knowledge and creativity for the benefit of the American people. The mission is accomplished through more than 4,000 employees and contractors, and \$800 million in annual appropriated funds and other financing sources.

Founded in 1800, the Library of Congress 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 and at the National Audio Visual Conservation Center in Culpeper, Virginia. Nearly 37.6 million original source analog items have been digitized and are accessible at [www.loc.gov](http://www.loc.gov). The Library also holds an exponentially 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.



ABOVE: CENTURY THEATRE ADVERTISEMENT FEATURING HARRY HOUDINI.

RIGHT: ADVERTISEMENT FOR FREE MUSIC CONCERTS AT THE LIBRARY OF CONGRESS.

**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 (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 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 540,489 reference requests,
- Circulating 25 million disc, cassette, and Braille items to more than 800,000 blind and physically handicapped patrons,
- Registering 511,539 copyright claims,
- Receiving 22,000 items daily and adding more than 10,000 items daily to its collections,
- Responding to more than 700,000 congressional reference requests and delivering to Congress more than 1 million research products and approximately 30,000 volumes from the Library's collections, and
- Providing to Congress access to more than 8,100 reports on legislative issues and preparing more than 3,200 tailored analyses.

The Library of Congress also recorded 87 million visits and 545 million page-views of its primary source files on its Web site, and received 1.7 million on-site visitors.



## OFFICE OF THE INSPECTOR GENERAL

The establishment of statutory federal Inspector Generals 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 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 of Congress,
- 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 of Congress.

The IG is a member of the Council of the Inspectors General on Integrity and Efficiency (CIGIE), a unified council of all federal statutory Inspectors General, and serves on the council's Audit, Investigations, and Legislation Committees.

This Semiannual Report to the Congress is a part of the OIG's statutory reporting requirement and is organized to address the major functions of the office including:

- Significant audits, investigations, and other reviews and 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.

**Audits** are in-depth reviews that address the efficiency, effectiveness, and economy of the Library's programs, activities, and functions; provide information to responsible parties to improve public accountability; facilitate oversight and decision-making; and initiate corrective action as needed.



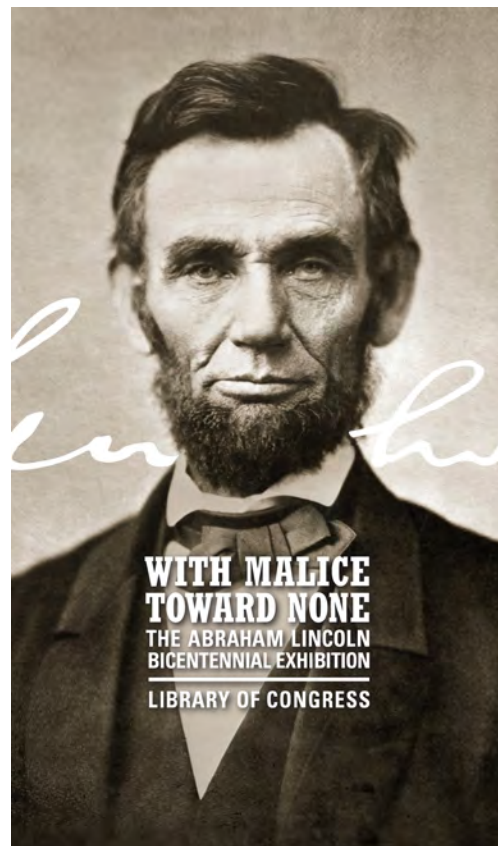


Some audits address whether financial statements fairly present financial positions, results of operations, and cash flows. They also assess whether an entity has adequate internal control systems and complies with applicable laws and regulations. The OIG also performs related types of reviews such as inspections and attestations.

**Investigations** are typically based on 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 rear cover of this report.

Our staff is educated and certified in various disciplines. We are, collectively, five certified public accountants (CPA), one attorney, one certified internal auditor (CIA), two certified information systems auditors (CISA), one certified computer examiner (CCE), one access data certified examiner (ACE), one certified forensic accountant (CFA), two seized computer evidence recovery specialist (SCERS), three special agents, an investigator, and other highly qualified staff.

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



ABOVE: WITH MALICE TOWARD NONE: THE ABRAHAM LINCOLN BICENTENNIAL EXHIBITION AT THE LIBRARY OF CONGRESS.

## AUDITS, SURVEYS, AND REVIEWS

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### LIBRARY-WIDE INFORMATION TECHNOLOGY SERVICES

THE LIBRARY HAS AN OPPORTUNITY TO BE MORE PROACTIVE  
IN ADOPTING MORE EFFICIENT CLOUD COMPUTING TECHNOLOGIES

AUDIT REPORT NO. 2013-IT-101  
MARCH 2013

During this time of severe fiscal constraint, the Library of Congress, like all federal agencies, must continuously be alert to opportunities to reduce the costs of its operations. Server virtualization and cloud computing are technologies that have emerged in prominence in recent years, and would likely increase the efficiency of the Library's information technology (IT) infrastructure, while yielding substantial savings in associated hardware, energy, and maintenance costs.

We initiated an audit survey to determine whether the Library is making efficient use of the IT servers it currently employs, and has taken steps to evaluate the feasibility of using cloud computing to perform some of its information processing needs. Our survey work revealed that the Library has taken steps toward improving server efficiency by converting, over the past 7 years, 7.6 percent of its physical servers to a more efficient virtualization configuration. However, the Library can do more.

Our findings indicate that the Library is missing opportunities to achieve significant cost savings.



**The Library Needs to Make More Progress with Server Virtualization to Achieve Greater Cost Savings**—The Library does not collect and maintain the data needed to make informed management assessments regarding its IT infrastructure. Specifically, it does not 1) collect data on efficiency levels of servers, 2) maintain comprehensive server inventory data in a central repository, and 3) continuously track data on the power used by its data center. As a result, the Library cannot readily identify potential areas for consolidation or areas where optimization through server virtualization alternatives may be used.

ABOVE: LITERACY AWARDS, A FEATURED COMPETITION AT THE LIBRARY OF CONGRESS.

OPPOSITE TOP: BY THE PEOPLE FOR THE PEOPLE, POSTERS FROM THE WORKS PROGRESS ADMINISTRATION, 1936-1943.



Further, the Library has not made significant progress with addressing recommendations from a 2011 consultant's report to improve its existing virtualization environment. Particularly, the Library has not achieved a significant level of server virtualization as envisioned and recommended in the report. The consultant's report addressed weaknesses in the Library's IT environment by making recommendations to improve server virtualization, provide decision-making criteria for selecting both virtualization and cloud computing options, and provide cost efficient solutions to support the Library's expanding charter and storage needs. The lack of further progress in its virtualization environment minimizes potential savings from reduced energy, hardware, and maintenance costs. We recommended that Information Technology Services (ITS) collect the data to make informed IT assessments of its infrastructure and report to the Deputy Librarian its progress on adopting the recommendations from the consultant's report.

**The Library Needs to Develop an Enterprise-wide Plan to Evaluate Use of Cloud Computing and Achievable Cost Savings**—The Library lacks an enterprise-wide cloud migration strategic plan (enterprise-wide plan) to guide management evaluations of possible IT service migrations to cloud-based solutions. Without such an enterprise-wide plan, the Library may miss opportunities to improve its IT operational efficiency and achieve substantial savings. At a minimum, the Library's enterprise-wide plan should include determining milestones and targets to measure progress, risks involved, required resources, and a retirement plan for legacy systems. We recommended that the Library create an enterprise-wide plan to guide management decisions on migrating to cloud-based solutions and instruct ITS to take the lead in initiating evaluations of viable cloud computing solutions.

We issued a report at the end of our audit survey since the Library has made some progress on its server virtualization infrastructure but has not adopted a cloud computing initiative. In the future, we will revisit the Library's progress with implementing cloud computing technologies.

Management concurred with three of our four recommendations. They consider the implementation timeline in the consultant's report unrealistic and do not consider the consultant's recommendations as the basis for the Library's implementation plan for virtualization.

## LIBRARY-WIDE

### WORKING TOWARD THE SPIRIT OF THE GOVERNMENT PERFORMANCE AND RESULTS MODERNIZATION ACT

AUDIT REPORT NO. 2013-PA-101  
MARCH 2013

A primary purpose of the Government Performance and Results Act (GPRA) of 1993 was to improve the confidence of the American people in the capability of the federal government by holding agencies accountable for achieving program results. Congress enhanced GPRA with the GPRA Modernization Act of 2010 (Modernization Act), which focuses on two key areas to improve agency performance management—verifying and validating performance data, and providing transparency to Congress and stakeholders about agency performance. GPRA initially applied only to executive branch agencies, but Congress subsequently directed legislative branch agencies to comply with the spirit of the act and embrace its performance management principles.

The Deputy Librarian announced a new planning and budgeting structure starting in FY 2014 that expands the Library's performance management approach. This new framework will continue to require service units to link their annual program objectives to the strategic plan and to report on program results with performance targets. The reliability, accuracy, and validity of performance data remains the cornerstone of the performance process.

Our objective was to evaluate the Library's progress in complying with the spirit of the Modernization Act. We also reviewed the Library's plans for enhancing its planning and budgeting structure beginning with its FY 2014 Congressional Budget Justification.

Our report provided the results of the latest OIG review of the Library's implementation of the performance management principles explained in GPRA and the Modernization Act. This is the third in a series of audits on this topic.

We found that the Library has made significant progress in addressing the spirit of the Modernization Act and that both senior level managers and service units are demonstrating a strong commitment to the principles of GPRA and the Modernization Act. However, we noted that the Library needs to improve the quality of performance target data as previously reported in our March 2010 report, *Managing in the Spirit of GPRA*:

*Developing Credible Performance Data is the Next Step.* Additionally, to meet the Modernization Act's transparency goals, the Library should include in its performance reporting more information about performance targets not achieved. Following is a summary of our findings and recommendations.

**The Library Needs to Improve the Quality of Performance Target Data**—We reviewed the FY 2012 annual program performance plans and assessments of three Library service units. Our review revealed that the quality of performance data that those units collected and used to support their program performance strategies varied significantly. In one-third of the cases we sampled, data was not valid for measuring performance. In more than half of the sampled cases, performance data was either inaccurate or incomplete. As a result, we believe program performance assessments reported by those units were not reliable.

We recommended that the Library improve the validity and reliability of its performance measurements by revising service unit requirements for verifying and validating performance data, and expanding the Strategic Planning Office's role in documenting and vetting performance data.

**The Library Needs to Strengthen Its Transparency Efforts**—Our review of the Library's FY 2012 performance reporting found that the public and stakeholders do not have access to all of the Library's performance management plans and results. We believe the Library needs to improve and expand its performance management reporting to fulfill Congress' goal of increasing the transparency of agency program results. Without full transparency into the Library's performance, agency management cannot successfully demonstrate its program results and challenges.

We recommended that the Library expand its disclosures to include unmet annual program targets, including corrective actions it plans to achieve in succeeding periods.

Management concurred with all of our findings and recommendations.



ABOVE: COAST TO COAST, THE FEDERAL THEATRE PROJECT, A FEATURED EXHIBIT AT THE LIBRARY OF CONGRESS.

## LIBRARY OF CONGRESS

### FISCAL YEAR 2012 FINANCIAL STATEMENTS

#### AUDIT REPORT NO. 2012-FN-101

We are pleased to report that for the 17th consecutive year, the Library has received a “clean” opinion on its consolidated financial statements. Under contract with our office, the independent accounting firm of CliftonLarsonAllen, LLP (CLA), audited the Library’s FY 2012 consolidated financial statements. In the auditor’s opinion, the financial statements, including the accompanying notes, present 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 (including the safeguarding of assets) resulted, however, in the identification of a significant deficiency. The auditors noted multiple exceptions in internal controls within the procurement and contracting area of the Library that when aggregated, are considered to be a significant deficiency. The auditors found no instances of noncompliance with laws and regulations or other matters requiring reporting under generally accepted government auditing standards.

For this financial statements audit, we performed the following steps to ensure the quality of CLA’s work:

- Reviewed the auditor’s approach and planning of the audit,
- Reviewed significant workpapers,
- Evaluated the qualifications and independence of the auditors,
- Monitored the progress of the audit at key points,
- Coordinated meetings with Library management to discuss progress, findings, and recommendations,
- Performed other procedures we deemed necessary, and
- Reviewed and accepted CLA’s report.

RIGHT: IN 1815 JAMES MADISON APPROVED AN ACT OF CONGRESS APPROPRIATING \$23,950 FOR THE ACQUISITION OF THOMAS JEFFERSON’S LIBRARY OF 6,487 VOLUMES. JEFFERSON’S LIBRARY IS A FEATURED EXHIBIT AT THE LIBRARY OF CONGRESS.

COKE'S  
REPORTS

LINNAEUS  
CRITICA  
BOTANICA

STACKHOUSE  
HISTORY

*Thomas Jefferson's Library*

2

LIBRARY OF  
CONGRESS



# MAPS IN OUR LIVES



ABOVE: MAPS IN OUR LIVES, A FEATURED EXHIBIT AT THE LIBRARY OF CONGRESS.



## INVESTIGATIONS

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During this reporting period, we opened 45 investigations and closed 30. We forwarded three investigations to Library management for administrative action. One investigation was forwarded to the Department of Justice for criminal prosecution and none are pending. Investigation case and hotline activities are detailed below.

<b>TABLE 1: INVESTIGATION CASE ACTIVITY</b>			
	CRIMINAL/CIVIL	ADMINISTRATIVE	TOTAL
From Prior Reporting Period	30	1	31
Opened	35	10	45
Closed	24	6	30
End of Period	41	5	46

<b>TABLE 2: HOTLINE ACTIVITY</b>	
	COUNT
Allegations received	23
Referred to management	4
Opened as investigations	13
Opened as audit	0
Closed with no action	6

## SIGNIFICANT CRIMINAL, CIVIL, AND ADMINISTRATIVE INVESTIGATIONS

### EMPLOYEE MISCONDUCT

The Office of the Inspector General (OIG) received a harassment complaint about an employee using their Library computer to threaten a former acquaintance. After investigating the allegation, OIG investigators presented the case to the United States Attorney's Office for prosecution. The case was accepted, and over the course of several months the investigators swore and executed nine search warrants and issued twelve Grand Jury subpoenas. The employee was subsequently arrested and indicted for stalking from a federal facility and violating the terms of a protective order. Both of these violations are prohibited under the *Violence Against Women Act*. The prosecution is ongoing.

### THEFT OF COPYRIGHT DEPOSITS

OIG received a complaint from software designer, Autodesk, Inc. that they were receiving registration requests for software submitted for Copyright but not yet publicly released. OIG tracked the Autodesk, Inc. software from Copyright to the Library's Surplus Books Program, where a clerk processes copyrighted materials, such as books and electronic media, for donation or disposal. Instead of disposing of the Autodesk, Inc. software (the Library does not acquire software for its collections), or donating the books, the clerk sold the items online. Based upon evidence obtained from the employee's Library computer, the OIG obtained a search warrant for the clerk's residence and recovered more than \$377,000 in government and Autodesk, Inc. property.

The employee pled guilty in the Federal District Court for the District of Columbia and was sentenced to three years probation, four months home confinement, 100 hours of community service, and more than \$1,000 in fines.

### ATTEMPTED REMOVAL OF GOVERNMENT PROPERTY

The United States Capitol Police (Capitol Police) referred a matter to the OIG concerning property pass forgery and an employee attempting to remove a government laptop computer. The Capitol Police stopped the employee and noticed that the property pass used lacked an expiration date. The officer sent the employee back to obtain the expiration date from an authorized person. The employee returned a few minutes later with the ex-



piration date completed. The officer questioned the employee because the officer did not believe the employee obtained the expiration date information from an authorized person. The employee initially denied completing the pass, but later admitted the forgery. The OIG referred the matter to the employee's manager. A five-day proposed suspension is pending.

In a separate case, an employee attempting to remove a government laptop computer without a valid property pass was stopped by the Capitol Police. With the same property pass, the employee attempted to leave via another building exit and was stopped at that post. The matter was referred to the OIG, who notified the employee's management team. The employee received a formal counseling letter.

#### FICTICIOUS COMBINED FEDERAL CAMPAIGN PARTICIPANTS

The OIG hotline received an anonymous call stating that a keyworker for the Combined Federal Campaign was creating fake participants and paying cash for these donations to improve divisional participation numbers. OIG referred the matter to the Deputy Librarian and the Office of the General Counsel as an ethics violation. The Office of the General Counsel issued a memorandum concurring with the OIG's assessment of the incidents and outlining the corrective actions to be taken by the division director. The division director verbally counseled the key worker, and destroyed the falsified forms.

#### ON-SITE LOTTERY OPERATION

The Capitol Police notified the OIG of their belief that two contractor employees were participating in a "tanda," or lottery operation common in Latin America. The OIG discovered that the tanda involved twenty-one contractor employees and their supervisors. Each employee contributed \$100 a week for 21



LEFT: MEETING OF FRONTIERS, A FEATURED EXHIBIT AT THE LIBRARY OF CONGRESS.

weeks with each employee receiving the lottery funds once. The matter was referred to the Office of Contracts and Grants Management who notified the contracting company. The contractor provided proof of their corrective actions, which included eliminating the lottery, suspending the two supervisors, removing one supervisor from the contract, and conducting ethics and compliance training for all employees and supervisors.

#### COPYRIGHT MAIL THREAT

The Copyright Office (Copyright) informed the OIG that its employees were receiving a series of vaguely threatening and slanderous letters. The matter was referred to the Capitol Police Threat Analysis Division, which provided guidance to the employees on how to handle threatening correspondence. Additionally, the OIG notified the local police department where the threatening individual resides and the police met with the letter writer to discourage future threats.

#### DISRUPTION OF GOVERNMENT BUSINESS

In 2012, numerous staff from Copyright notified the OIG of a nuisance caller. The caller alleged that their copyright submission was mismanaged regarding enforcement of infringed copyrights, royalties owed, and other issues not under the purview of Copyright. In the months before the investigation, the individual called staff members multiple times a day in addition to leaving more than 400 voice mail complaints.

The OIG interviewed Copyright management and staff and researched staff application processing requirements. We determined that there was no evidence of wrongdoing by Copyright staff. The OIG supplied this evidence to the caller but they were not deterred by the results of the investigation or a cease and desist letter. When ITS blocked the caller in January 2013, the caller anonymously made 300 more calls containing harassing and abusive language. OIG referred the case to the Capitol Police Threat Analysis Division. Coordination with local law enforcement is ongoing.

#### RECOVERY OF LAPTOP ON LOADING DOCK

The OIG received a complaint of the theft of a government-issued laptop computer awaiting disposal. The investigation found that there were three laptops missing from the locked storage container holding the computers. One of the laptops was recovered and although forensic analysis determined that there was no Library sensitive data on the computer, we suggested a more streamlined surplus equipment disposal process to provide adequate safeguards. The two remaining laptop computers have not been recovered.

## REFERRALS AND ASSISTANCE TO OTHER LAW ENFORCEMENT AGENCIES

After the presidential inauguration, the OIG assisted special agents from the United States Secret Service in locating and interviewing an emotionally disturbed patron who threatened the President, via email, from a Library reading room computer. The agents recommended counseling services.

The OIG assisted the Capitol Police in arresting a Library employee with an outstanding warrant for domestic violence. The arrest was without incident.

In December 2012, the Library was targeted by an outside party attempting to make the Library's public network resources unavailable to users. The OIG assisted with the coordination between the Library and the FBI in addressing this denial of service attack.

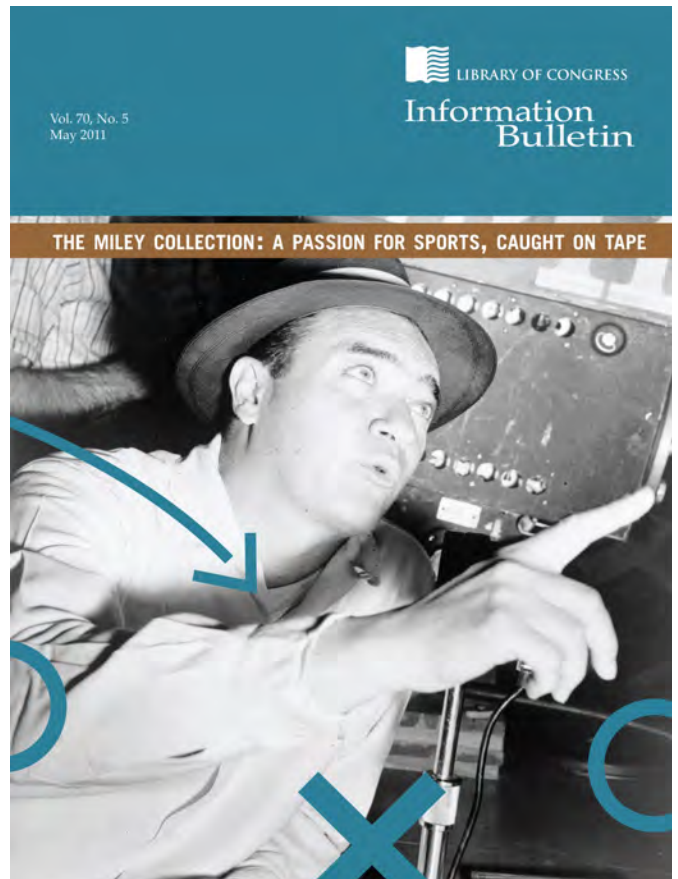
## FOLLOW-UP ON INVESTIGATIVE ISSUES FROM PRIOR SEMIANNUAL REPORTS

### SECURIGUARD SETTLEMENT PAYMENT BEGINS

In our September 30, 2012 Semiannual Report to the Congress, we reported on overbilling by the Library's security contractor, Securiguard, Inc. (Securiguard). Working with the United States Attorney for the District of Columbia, OIG investigators successfully demonstrated their case and Securiguard agreed to pay a \$1 million settlement. During this semiannual period, the initial installment of \$242,500 was received from Securiguard.

### MISUSE OF LIBRARY COMPUTER

In our September 2012 report, we stated that the Library's Security Operations Center informed the OIG that an employee's computer was repeatedly accessing Web sites containing pornography, and possibly child pornography. An OIG investigation confirmed that the employee regularly accessed inappropriate Web sites containing adult pornography and nudity using the Library's resources. In response to these findings, the employee served a 30-day suspension by donating 30 days of annual leave to the Library's Leave Bank.



ABOVE: MAY 2011 COVER OF THE LIBRARY OF CONGRESS PUBLICATION, *INFORMATION BULLETIN*, FEATURING THE MILEY COLLECTION.

## **OTHER ACTIVITIES**

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### **INSPECTOR GENERAL RESPONDS TO CONGRESSIONAL INQUIRIES**

December 2012

The OIG responded to a request from Representative Darrell E. Issa, Chair, and Representative Elijah E. Cummings, Ranking Member, House Committee on Oversight and Government Reform, about information on open and unimplemented OIG recommendations, and recommendations with estimated cost savings. The Congressmen requested that OIG identify and report on the three most important open and unimplemented recommendations, and the number of recommendations accepted and implemented by the Library since April 2011.

In a separate inquiry, Representative Issa requested information about OIG reporting to the Congress about serious or flagrant Library issues.

### **COUNCIL OF THE INSPECTORS GENERAL ON INTEGRITY AND EFFICIENCY FISCAL YEAR 2012 FINANCIAL STATEMENTS AUDIT OVERSIGHT**

November 2012

The OIG oversaw the Council of the Inspectors General on Integrity and Efficiency's (CIGIE)'s FY 2012 financial statements audit. CIGIE contracted with the independent public accounting firm of Martin & Wall (M&W), a division of Choritek & Gottschalk, LLP to conduct the audit.

M&W issued an unqualified (clean) opinion on CIGIE's FY 2012 financial statements, finding that they were fairly presented, in all material respects, in conformity with U.S. generally accepted accounting principles. Also, M&W did not find any deficiencies in internal control over financial reporting that they considered to be material weaknesses or significant deficiencies, or instances of noncompliance with laws and regulations tested.

OIG's oversight included reviewing M&W's report, workpapers, and related documentation, and inquiring of its representatives. OIG's review found no instances where M&W did not comply, in all material respects, with U.S. generally accepted government auditing standards. The OIG also conducted an agreed upon procedures engagement to confirm the CIGIE Sunshine Fund balance as of December 11, 2012. OIG conducted the agreed upon procedures engagement in accordance with generally accepted government auditing standards.



The CIGIE Sunshine Fund is a voluntary fund that accepts donations from CIGIE and federal employees for purchasing food and beverages for meetings conducted at the CIGIE headquarters in Washington, DC. The results of OIG's engagement determined that the Fund amount on hand was in agreement with the account balance records.

### **CHARITABLE TRUST FOR THE BENEFIT OF THE LIBRARY OF CONGRESS TRUST FUND BOARD 2011 FINANCIAL STATEMENTS**

December 2012

Created in 1987, the Charitable Trust for the Benefit of the Library of Congress Trust Fund Board (the Trust) is a supporting organization of the Library of Congress. In conjunction with the Leonore S. Gershwin (wife of Ira Gershwin) 1987 Trust, its mission is to perpetuate the works of Ira and George Gershwin. The Trust is funded with a percentage of Leonore S. Gershwin's estate residual and makes annual distributions to the Library. The assets of the Trust are to be distributed to the Library 50 years from the date of death (1987) of Ira Gershwin or earlier at the discretion of the trustee. As part of its oversight role, the OIG, in addition to the Office of the Chief Financial Officer and the Office of the General Counsel, reviews the annual financial statements of the Trust and its affiliates and presents inquiries about the Trust's operations to the Trustee. During this period, OIG received the Trust's and its affiliates' financial statements for the year ended December 31, 2011. OIG submitted questions and comments regarding the Trust's activities during that period to the trustee and received his responses.

## UNIMPLEMENTED RECOMMENDATIONS

**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 the Librarian (LIBN)				
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 Library's current solution for log management requires customization to monitor Raiser's Edge. FY 2013 funding is unavailable for this or an alternative log management solution. Library management defers action on this until the second quarter of FY 2014.
Multi-Sector Workforce	2010-PA-105 March 2011	Office of the General Counsel	III.1	Create a policy using Internal Revenue Service (IRS) rules to properly classify workers as independent contractors or employees and require service units to submit documentation on the test to the Office of Contracts Management for nonpersonal contract services—The Office of the General Counsel assesses the IRS behavioral, financial, and relationship factors for contracts with individuals over \$25K. Library-wide training will be completed by the fourth quarter of FY 2013 along with revising the form to request contracts with individuals to reflect IRS factors.
Office of Support Operations (OSO)				
Telework Program	2010-PA-102 June 2011	Office of Support Operations	I.1	The Library should determine if centralizing teleworking policy-making authority in a Telework Coordinator would add value to the program—In March 2013, the Human Capital Planning Board (HCPB) presented recommendations to the Library's Operating Committee (OC) to establish a permanent steering committee to review telework policies, practices, and recommend enhancements. A decision on this recommendation is targeted for the fourth quarter of FY 2013.
Telework Program	2010-PA-102 June 2011	Office of Support Operations	I.3	The Library should 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 has data on telework utilization. The HCPB drafted a revised telework regulation for OC review. A decision is targeted for the fourth quarter of FY 2013.
Telework Program	2010-PA-102 June 2011	Office of Support Operations	I.4	The Library should develop a telework health and safety checklist and incorporate it into its telework agreement forms—The HCPB recommended a health and safety checklist that prospective teleworkers would be required to complete as part of the telework application process. The target date for implementation is the fourth quarter of FY 2013.



**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.5	The Library should develop an interactive telework training program and require teleworkers and their managers to successfully complete it before beginning telework—Human Resources Services’ target date for implementing an interactive telework training program is the fourth quarter of FY 2013.
Telework Program	2010-PA-102 June 2011	Office of Support Operations	I.6	The Library should revise Library of Congress Regulation (LCR) 2014-8 to address the permissibility of accessing sensitive, unclassified, and “For Official Use Only” data at offsite locations—The HCPB’s proposed revised telework regulation would prohibit the removal of classified information and sensitive, personally identifiable information from Library premises. The target date for implementation is the fourth quarter of FY 2013.
Telework Program	2010-PA-102 June 2011	Office of Support Operations	II.1	The Library should review positions to determine whether they are prone to telework and do not create an additional burden on other areas—HCPB’s proposed telework regulation is targeted for implementation by the fourth quarter of FY 2013 and includes a review of position suitability for telework.
Telework Program	2010-PA-102 June 2011	Office of Support Operations	II.2	The Library should 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—HCPB’s proposed telework regulation is targeted for implementation by the fourth quarter of FY 2013 and includes the recommended teleworker availability requirement.
Telework Program	2010-PA-102 June 2011	Office of Support Operations	IV.1.a	The Library should require employees who are expected to telework during a Continuity of Operations (COOP) event to have adequate training, infrastructure support, and practice—The HCPB has included the Office of Security and Emergency Preparedness (OSEP) in integrating COOP planning with telework planning, policies, and practices. The target date for implementation is the fourth quarter of FY 2013.
Telework Program	2010-PA-102 June 2011	Office of Support Operations	IV.1.b	The Library should have a telework agreement in place that provides for a COOP event—The HCPB has included OSEP in integrating COOP planning with telework planning, policies, and practices. The target date for implementation is the fourth quarter of FY 2013.
Telework Program	2010-PA-102 June 2011	Office of Support Operations	IV.2	The Library should incorporate teleworking scenarios in the Library’s COOP exercises—The HCPB has included OSEP in integrating COOP planning with telework planning, policies, and practices. The target date for implementation is the fourth quarter of FY 2013.

## UNIMPLEMENTED RECOMMENDATIONS

**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 Management (OCM)				
Weaknesses in the Acquisition Function	2011-SP-106 March 2012	Office of Contracts Management	I.A.1	Establish a support component to ensure effective and efficient performance of critical functions that support the OCM. The position should be staffed with a senior, experienced General Schedule (GS) 1102, Grade 14—The Office of the General Counsel (OGC) now provides policy support to OCM with no plans to hire another GS-14 due to current fiscal constraints. The new director of OCM will reevaluate this decision by the first quarter of FY 2014.
Weaknesses in the Acquisition Function	2011-SP-106 March 2012	Office of Contracts Management	I.A.2	Rewrite the Contracts Operating Instructions (COI) manual deleting those policies that merely restate the Federal Acquisition Regulation and draft specific guidance geared toward the Library's acquisition activities. Organize the COI so that it is easily accessible—The review of the COI is complete and a plan to revise or eliminate each COI is progressing. The new Director of OCM will review and approve the COI by the first quarter of FY 2014.
Weaknesses in the Acquisition Function	2011-SP-106 March 2012	Office of Contracts Management	I.B.1	Fill the Director slot with a permanent, qualified, and experienced acquisition professional. This will signal the importance of the acquisition function within the Library and provide much-needed guidance and leadership to the OCM—The vacancy announcement for this position closed March 4, 2013. The review of applicants is in progress. The target date for selection is the third quarter of FY 2013.
Weaknesses in the Acquisition Function	2011-SP-106 March 2012	Office of Contracts Management	I.F.2	Rewrite COI 1003 to be a more comprehensive oversight policy and contract review process— The review of the COI is complete and a plan to revise or eliminate each COI is progressing. The new Director of OCM will review and approve the COI by the first quarter of FY 2014.
Weaknesses in the Acquisition Function	2011-SP-106 March 2012	Office of Contracts Management	II.G.1	Develop directives that clearly set forth the policy and constraints for using Library of Congress Regulation (LCR) 2111—OGC is working on revisions to LCR 2111 and its accompanying Form 52. Once the LCR is approved for implementation, OCM will issue guidance that clearly sets forth the policy and constraints. Training has been conducted with OCM to ensure that they understand the intent of this authority. The target date for issuing the LCR is the fourth quarter of FY 2013.
Weaknesses in the Acquisition Function	2011-SP-106 March 2012	Office of Contracts 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—Training plans for service units include classroom presentations, online courses, and resources on the OCM website; the new Director of OCM will determine handbook revisions. New training will be implemented by the first quarter of FY 2014.

**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
Weaknesses in the Acquisition Function	2011-SP-106 March 2012	Office of Contracts Management	III.B.4	Develop a procurement process standard operating procedure (SOP) 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 SOP should include a procurement package checklist—Training plans for service units include classroom presentations, online courses, and resources on the OCM website; the new Director of OCM will determine handbook revisions. The new training will be implemented by the first quarter of FY 2014.
Improper Payments II	2011-SP-101 May 2011	Office of Contracts Management	I.2	OCM 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 directive was reviewed last year; additional revisions are in process by OCFO with a target implementation date of third quarter FY 2013.
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—An HCPB working group is developing recommendations to guide service units in multi-sector workforce planning via a structured procedure, including a means to identify inherently governmental activities and determine best value to the Library. Approval and implementation are targeted for the fourth quarter of FY 2013.
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—LCR 2010-3.1 has been revised and approved, but requires union negotiation to implement. The Library is pursuing alternatives, including a legislative initiative to move the equal employment opportunity process out of the Library. This would affect the requirement to bargain the LCR. Target date is unknown.
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	Office of Opportunity, Inclusiveness, and Compliance, 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 by assessing the success of the plan—HCPB received the findings of the Library's demographic workforce profile in July 2012, with recommendations for further review of the Multi-Year Affirmative Employment Program Plan, including barrier identification and elimination. Final assessment is targeted for the third quarter of FY 2013.

## UNIMPLEMENTED RECOMMENDATIONS

**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
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—A draft LCR on Top Treasures circulated to stakeholders produced security concerns leading to alternative consideration of a confidential directive. The new Director of Preservation and the new Chief of Conservation are assessing the alternatives with a target date for the decision in the fourth quarter of FY 2014.
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—Revisions to LCR 1816 to simplify the pass system and accommodate collections and other capitalized/accountable property is targeted for implementation in the fourth quarter of FY 2013.
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—SBP management has presented Information Technology Services (ITS) with a high-level requirements document for automation of SBP functions. The ITS target for implementation is the first quarter of FY 2014.
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 moved back to its permanent space in March 2013. SBP has not accepted transfers from other agencies since October 2011 and expects to keep that policy in effect. The final decision is targeted for the first quarter of FY 2014.
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—LS started work on this recommendation in FY 2011 and continued in FY 2012. Action is on hold pending guidance from the Librarian's Office on Library-wide planning and budgeting structure changes. Target date for resumption and completion is the first quarter of FY 2014.

**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	All information technology (IT) costs including computer security should be accounted for 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 will determine whether any organizational or resource allocation changes are warranted. ITS was unable to supply a target date.
Information Technology Strategic Planning Follow-up	2011-IT-103 December 2011	Information Technology Services	I.3.A	Separate the IT support functions from the Office of Strategic Initiatives (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 Chief Operating Officer 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 will determine whether any organizational or resource allocation changes are warranted. ITS was unable to supply a target date.
Information Technology Strategic Planning Follow-up	2011-IT-103 December 2011	Information Technology Services	I.5.A	Implement service level agreements (SLAs) to manage customer expectations—ITS is in the process of determining what tasks will be required to implement meaningful and effective SLAs. The target completion date is the third quarter of 2013.
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 of the first quarter of FY 2015.
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—ITS is determining what tasks will be required to implement meaningful and effective metrics to measure customer service performance. The target completion date is the third quarter of FY 2013.
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—ITS is in the process of determining what tasks are required to develop meaningful and effective metrics to measure customer service performance. The target date for completion is the third quarter of FY 2013.

## UNIMPLEMENTED RECOMMENDATIONS

**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) Continued				
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 (C&A) evaluations, and determine how the required evaluations should be funded—ITS proposed changes to LCR-1620 to address the C&A of legacy systems and those changes are under OGC review. Target date for implementation is the third quarter of FY 2013.
Information Technology Workstation Management	2012-PA-101 September 2012	Information Technology Services	I.1	ITS improve its communications and transparency with service and support units by keeping them informed about IT equipment which is available in inventory—The implementation of asset management capabilities within the ITS service management system will provide complete transparency into the hardware inventory available through the personal computer store. The target implementation date is the first quarter of FY 2014.
Information Technology Workstation Management	2012-PA-101 September 2012	Information Technology Services	I.3	ITS work in consultation with the Budget Office and the OGC to establish a procedure that ensures that ITS purchases of IT equipment will conform to restrictions of the bona fide needs rule—OGC, OCFO, and ITS will work together to ensure a better understanding of the bona fide needs rule. OGC began this initiative by providing training to Contracts Office staff on fiscal law requirements, including the bona fide needs rule. OGC and OCFO will work to assist ITS in developing a process to verify that purchases comply with the bona fide needs rule. The target implementation date is the third quarter of FY 2013.



ABOVE: STATEWIDE LIBRARY PROJECT, WORKS PROGRESS ADMINISTRATION, CHICAGO, ILLINOIS.

# IMPLEMENTED AND CLOSED RECOMMENDATIONS

**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
Office of Support Operations (OSO)				
Office of Contracts Management (OCM)				
Weaknesses in the Acquisition Function	2011-SP-106 March 2012	Office of Contracts Management	I.F.1	Strengthen the oversight process by putting a more rigorous Contract Review Board (CRB) process in place—A formal review process with increased authority and accountability for the Chair of the CRB has been implemented and enforced by the Acting Director of OCM.
Weaknesses in the Acquisition Function	2011-SP-106 March 2012	Office of Contracts Management	II.A.1	Institute a set of controls to ensure COI 1002, Acquisition Planning Policy, is adhered to—Coordinated action by the Deputy Librarian, and OCM management has focused on improving Library compliance with acquisition planning policy. The Acting Director of OCM monitors compliance and takes corrective action where needed.
Weaknesses in the Acquisition Function	2011-SP-106 March 2012	Office of Contracts Management	II.H.2	Utilize performance-based acquisition methodologies as a method to promote thinking in terms of outcomes and deliverables—Performance-based contracting methodologies have been discussed with service units during acquisition planning and is used when appropriate.
Weaknesses in the Acquisition Function	2011-SP-106 March 2012	Office of Contracts Management	II.I.2	Ensure that the contracting officer and management carefully review the use and exercise of options—Management has reduced the number of contracting officers to ensure options are only approved by the most experienced contract specialists. OCM supervisors and CRB members ensure these actions are done correctly.
Weaknesses in the Acquisition Function	2011-SP-106 March 2012	Office of Contracts Management	II.J.1	Ensure Momentum is properly configured to meet contracting specialists' needs—There is an ongoing effort to review the needs of contract specialists and the requested Momentum changes have been completed.
Weaknesses in the Acquisition Function	2011-SP-106 March 2012	Office of Contracts Management	II.J.2	Modify Momentum acquisitions to create all of the different types of contract documents needed—This is an ongoing effort with the Blanket Purchase Agreement being the most recent example of adding a contract type in the Momentum acquisitions module.
Weaknesses in the Acquisition Function	2011-SP-106 March 2012	Office of Contracts Management	III.A.4	Develop an automated tool to enable customers to quickly and easily track progress of their requisitions and to further promote effective communication—Actions have been taken to ensure customers are informed and engaged in the procurement process. Library management stated that the cost of creating a new automated system is not justified with the current fiscal constraints.
Weaknesses in the Acquisition Function	2011-SP-106 March 2012	Office of Contracts Management	III.D.1	Develop a knowledge center in a SharePoint environment for the acquisition workforce, providing them with a single point of entry to Web sites, electronic tools, reporting, templates, policy, people, organizations, wikis, blogs, and discussion groups relevant to their mission—The OCM Web site currently serves as a knowledge center for providing acquisition guidance, templates, and forms to customers. The current effort to improve performance emphasizes direct conversations rather than relying on electronic communications.



**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
Improper Payments II	2011-SP-101 May 2011	Office of Contracts Management	II	HRS and OCM should enhance information they collect and maintain on employees and contractors and develop internal control procedures to identify situations where a conflict of interest may exist—To identify situations where a conflict of interest may exist service units have been trained to enter, update, and review employee and non-employee data in the National Finance Center Person Model.
<b>Office of Opportunity, Inclusiveness, and Compliance (OIC)</b>				
Dispute Resolution Center	2002-PA-104 September 2003	Office of Opportunity, Inclusiveness, and Compliance	III	Revise LCR 2020-7 to allow complainants to use dispute resolution during the formal complaint process—Revised LCR 2020-7, “Alternative Dispute Resolution Process for Non-Bargaining Unit Employees” was approved by the Executive Committee and issued on November 3, 2012.
<b>Library Services (LS)</b>				
NLS Requirements	2011-PA-104 October 2011	Library Services	V	National Library Service for the Blind and Physically Handicapped (NLS) should explore the cost/benefits of testing digital talking book machine (DTBM) inventories as part of its periodic site visits to network regional libraries to ensure that the machines provided to the agencies are being appropriately accounted for—Effective October 1, 2012, NLS incorporated the DTBM inventory review into all consultant visits.
Surplus Books Program	2010-PA-106 September 2011	Library Services	I.b.2	Create and maintain a perpetual inventory listing of all Congressional franking labels on hand with management periodically physically inventorying the labels—Franking labels are kept in a locked file cabinet and currently manually inventoried. ITS expects Surplus Books Program automation will follow completion of Web Duplicate Materials Exchange Program project automation.
<b>Office of Strategic Initiatives (OSI)</b>				
Information Technology Strategic Planning Follow-up	2011-IT-103 December 2011	Information Technology Services	I.2.D	The Library should develop a cost-benefit analysis (analysis of alternatives) process for all IT investments and include risk criteria—ITS published requirements, standards, and templates for cost benefit analysis on the Project Management Office intranet site.
Information Technology Strategic Plan- ning Follow-up	2011-IT-103 De- cember 2011	Information Technology Services	I.2.E	The Library should develop a methodology to maintain and track all Library IT expenses—Recommendation closed. Library management stated that it prevents duplicative IT spending through its IT investment management, enterprise architecture (EA), and other governance programs and maintains their approach is more effective. OIG agrees with closing this recommendation based on new budget functionality provided by the Clarity7 system.

## IMPLEMENTED AND CLOSED RECOMMENDATIONS

**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
Office of Strategic Initiatives (OSI) Continued				
Information Technology Strategic Planning Follow-up	2011-IT-103 December 2011	Information Technology Services	I.4.D	Include all EA costs in a single budget line item for the entire Library to avoid creating a burdensome or costly process for system owners—Recommendation closed. Library management states the overhead cost to create a separate cost center for EA exceeds the benefit. OIG agrees with closing this recommendation based on new budget functionality provided by the Clarity7 system.
Information Technology Strategic Planning Follow-up	2011-IT-103 December 2011	Information Technology Services	III.3	Develop an LCR that establishes the responsibilities of the Architecture Review Board—New LCR 1600, “Information Resource Management Policy and Responsibilities” was issued on October 3, 2012. See section 8.A., Architecture Review Board.
Information Technology Workstation Management	2012-PA-101 September 2012	Information Technology Services	I.2	ITS ensure that Integrated Support Services (ISS) distributes IT equipment items based on first-in, first-out methodology—ITS implemented a first-in, first-out methodology for the distribution of IT equipment. In addition, periodic inspections of the inventory held in Landover will help to ensure that this methodology is followed.
Information Technology Workstation Management	2012-PA-101 September 2012	Information Technology Services	II.1	ITS and ISS work in collaboration to sanitize the hard disks of all Library computers declared to be excess property, and ensure that the computers are subsequently donated to the Computers for Learning program in a timely manner—ISS cleans and offers all Library computers that are under three years of age and support Windows 7 to the Computers for Learning Program. All computers and laptops that do not meet newer operating system requirements now have their hard drives degaussed and destroyed.
Information Technology Workstation Management	2012-PA-101 September 2012	Information Technology Services	II.2	ITS and ISS work in collaboration to identify and implement an efficient and effective solution for sanitizing the hard disks of excess computers before the computers are delivered to the Landover warehouse for further out-processing—Computers deemed incapable of running currently supported operating systems will be declared excess property and ITS will remove and degauss the hard drives from all of these machines. ITS is working with ISS to establish a suitable location and to set up the equipment necessary to carry out this process. The target date for implementation is the third quarter of FY 2013.



LIBRARY OF CONGRESS

# WORDS LIKE SAPPHIRES

*100 Years of Hebraica at the Library of Congress • 1912-2012*



ABOVE: WORDS LIKE SAPPHIRES, 100 YEARS OF HEBRAICA, FEATURED EXHIBIT AT THE LIBRARY OF CONGRESS.

## FUNDS QUESTIONED OR PUT TO BETTER USE

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

	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	1	\$47,408*
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**

	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:	-	-

\*Office of Strategic Initiatives, Information Technology Services: *Inadequate Contract Oversight Exposed the Library to Questionable Contractor Payments*, Audit Report No. 2011-PA-109, March 2012 (see page 19 of our March 2012 Semiannual Report). The Library has made an initial request for this amount to be returned, but further review is being done of this and other applicable task orders.

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

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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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During the reporting period, there were no significant revised management decisions.

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

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

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

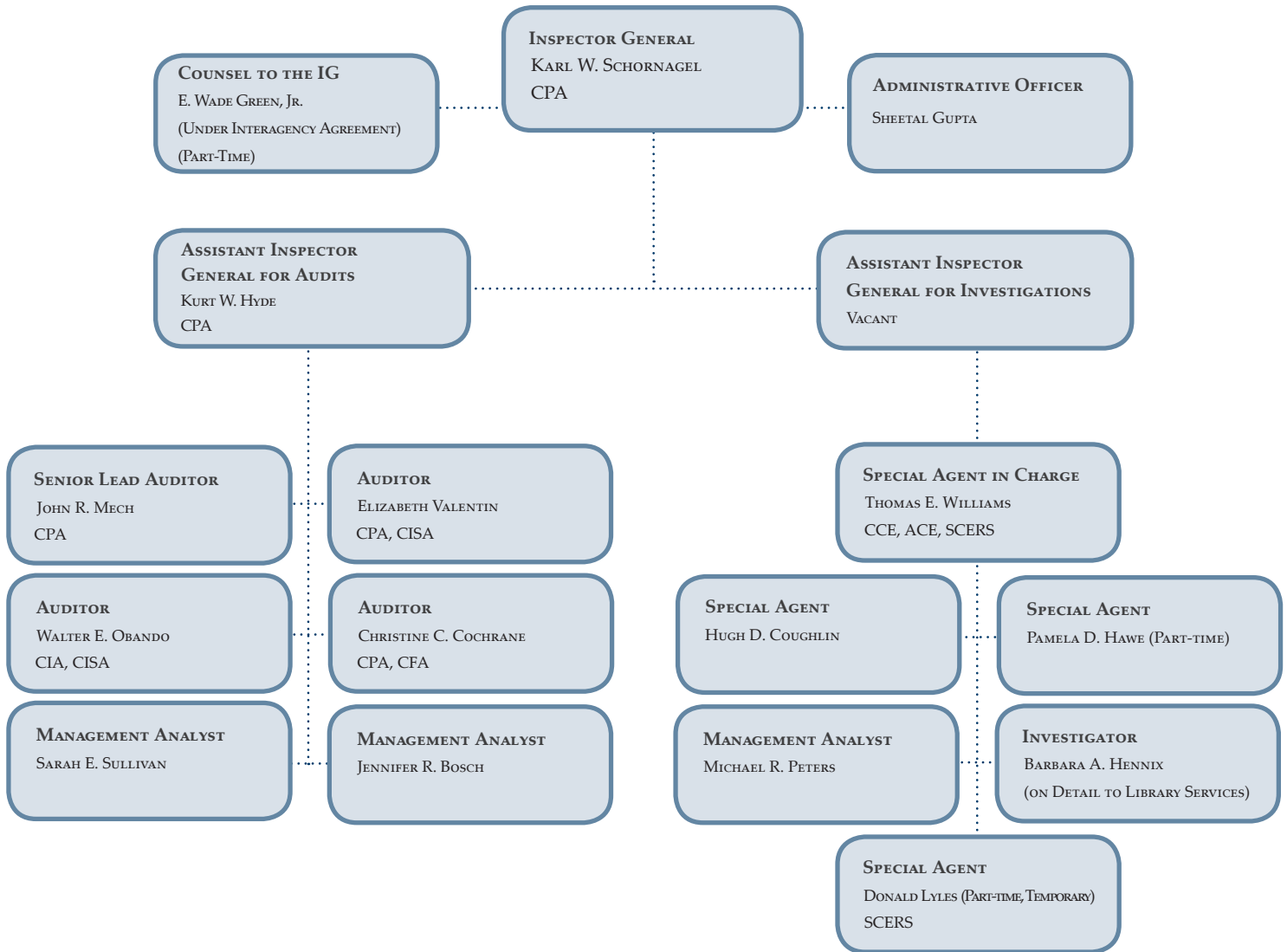
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In this semiannual period, we followed-up on all open recommendations from our prior semiannual period. Management's comments on the status of individual recommendations appear in table 4A. Recommendations management asserts it has implemented during the period appear in table 4B. In order to confirm that recommendations have been 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.



ABOVE: *COMPELLING TOPICS, IGNITING CONVERSATIONS ILLUMINATING MINDS*, FEATURED EXHIBIT AT THE LIBRARY OF CONGRESS.

# OIG ORGANIZATIONAL CHART



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HOTLINE TELEPHONE NUMBER: (202) 707-6306

HOTLINE EMAIL: [oighotline@loc.gov](mailto:oighotline@loc.gov)

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Washington, DC 20003-9997

ANY INFORMATION YOU PROVIDE WILL BE HELD IN CONFIDENCE.  
HOWEVER, PROVIDING YOUR NAME AND A MEANS OF COMMUNICATING  
WITH YOU MAY ENHANCE OUR ABILITY TO INVESTIGATE.

America's First Look into



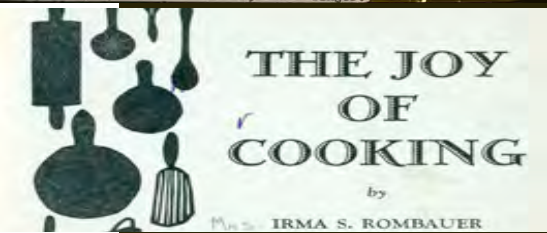
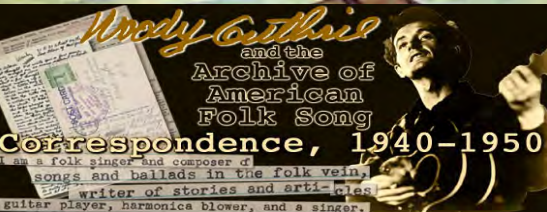
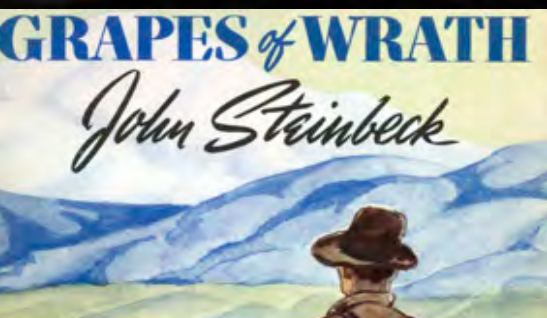
Daguerreotype Portraits and Vi

# CONFLICT



# & CULTURE

## BOOKS THAT SHAPED AMERICA



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