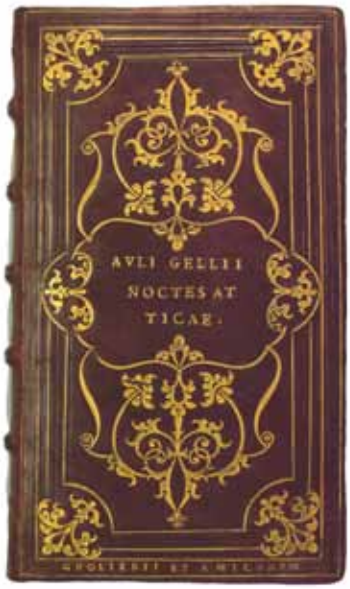
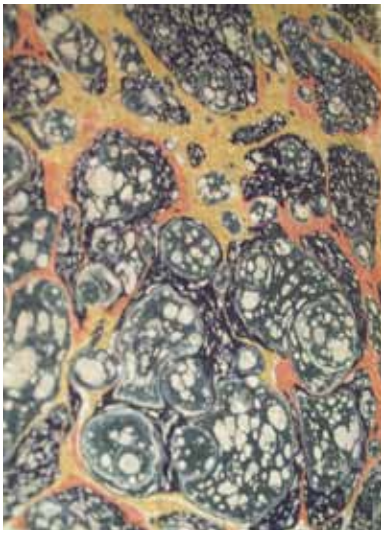
The Library of Congress
Office of the Inspector General





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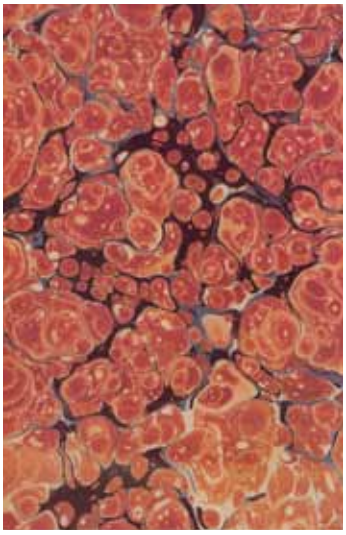

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Semiannual Report to the Congress
September 2013

This semiannual report features Thomas Jefferson's Library, and the Thomas Jefferson Building's pavillions. In January 1815, Congress appropriated $23,950 to acquire President Thomas Jefferson's 6,487 books, laying the foundation for a great national library. The Jeffersonian concept of universality, the belief that all subjects are important to the library of the American legislature, is the philosophy and rationale behind the comprehensive collecting policies of today's Library of Congress. In this vein, the decor in the Library's pavillions feature literature, music, science, and art.

Front and Back Covers: Rare Books and End Papers from the Rare Books and Special Collections Division of the Library of Congress.

Above: Thomas Jefferson Building

Photographs: Restoration Office, Library of Congress, and Walter E. Obando, Office of the Inspector General.

LIBRARY OF CONGRESS

September 30, 2013

Message From the Inspector General

In the last six months we prepared reports on the Library's Web search strategy, collections development, the Open World Leadership Center's fiscal year (FY) 2012 financial statements, and the status of an in-progress facilities planning review. During this period, investigations focused on falsifying time and attendance records, theft of computers, and referrals and assistance to other law enforcement agencies. One investigation resulted in a three-count criminal conviction. 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 2013 financial statements, received a peer review of our audit operations, and peer reviewed the audit operations of another federal Inspector General.

In the next six months, we will report on processing born-digital collection items; collections policy management; strategic sourcing; the Library's FY 2013 financial statements audit; the Alternate Computing Facility; certification and accreditation of information technology systems; the Library's use of the life cycle systems development process; an in-progress facilities planning review; an in-progress investigation of a former Library contractor, and other matters.

The Library implemented two of our recommendations from prior semiannual periods. The Office of the Inspector General (OIG) disagreed with one management decision made by the Library during the last six months.

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

Karl W. Schornagel
Inspector General

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Left: The Northwest Pavilion of the Thomas Jefferson Building, Featuring Art and Science.

Photograph: Carol Highsmith

In Summary . . .

Audits, Surveys, and Reviews

To accomplish its mission, the Library must acquire, preserve, store, and make accessible materials from around the world that it deems relevant to the American people, Congress, and the federal government. We conducted an evaluation to assess the logistical impact of the policies and procedures supporting the development of the Library's collections.

We found that the Library is obtaining a universal collection of material for future generations but there are several critical challenges in accomplishing the Library's mission. Particularly, budget and staff reductions make processing and storing materials a significant challenge and cause great difficulty in making the collections accessible. We offered short- and long-term considerations for Congress and the Library to consider.

During this semiannual period, we also conducted an evaluation to determine whether the Library's enterprise search strategy has resulted in efficiencies and potential cost savings. Enterprise search involves the capability to perform a Library-wide search to locate information from all of the Library's Web sites. We found that the Library is taking the right steps to ensure that its Web search strategy is an enterprise-wide solution and recommended that Library Services determine whether any data from its terminated National Library Catalog project can be migrated into the Library's current enterprise-wide strategy. We also recommended that the Information Technology Steering Committee expand its oversight of information technology projects.

Additionally, we initiated a survey of Library facilities with the objective of evaluating the Library's plans for continuing operations at the National Library Service (NLS) for the Blind and Physically Handicapped's Taylor Street Facility and relocating elements of NLS, the copyright deposits, and Integrated Support Services' Logistics Center at Landover Center Annex to a new multi-purpose facility. The survey is also addressing related logistics, space utilization, and lease agreement concerns and the funding implications of critical facility management projects. The fieldwork will continue into FY 2014 due to extended leave required of the in-charge auditor.

These reports are further discussed beginning on page 13.

Investigations

During this reporting period, we investigated an allegation that an employee was fabricating credit hour requests and falsifying time and attendance records. We also identified a suspect in a laptop theft.

The Library was targeted by an outside party attempting to compromise its external Web servers. The OIG assisted with the coordination between the Library and the FBI in addressing this denial of service attack.

During the previous reporting period, the OIG received a harassment complaint about an employee using their Library computer to threaten a former acquaintance. OIG investigators presented the case to the U.S. Attorney's Office for prosecution and arrested the employee for stalking and two other counts. The employee was indicted and pled guilty to the charges.

The OIG followed up on a hotline complaint from the previous reporting period regarding a government-issued laptop awaiting disposal that was stolen from a locked storage container. The investigation identified two additional missing laptops. Only one of the three was recovered. We suggested that Library management streamline the disposal process and strengthen the safeguards designed to protect equipment.

We also hired a new General Counsel, promoted Thomas E. Williams to the position of the Assistant Inspector General for Investigations, and trained a staff member to be a seized computer evidence recovery specialist. Additionally, we built a fully operational computer forensics lab.

Investigations efforts and follow-up on prior period cases are further discussed beginning on page 25.

Above: Circular Relief Representing Spring, Northwest Pavilion.

Detail of Photograph by Carol Highsmith

Other Activities

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

The OIG also responded to the Bicameral Task Force on Climate Change requesting that the OIG review the Library's efforts to address the increasing threat of climate change. The response included applicable laws and regulations, prior OIG audit work on energy consumption and conservation, and a detailed listing of the Library's related programs and efforts.

During this reporting period the audits division of the OIG received a peer review from the U.S. Securities and Exchange Comission OIG. Federal audit organziations may receive a rating of *pass, pass with deficiencies,* or *fail.* The OIG received a rating of *pass.*

The OIG also conducted a peer review of the audits division of the Corporation for Public Broadcasting (CPB) OIG. We found that the system of internal control for the audit activities of the CPB OIG was suitably designed and functioning and provided the CPB with a rating of *pass.*

These activities are further discussed beginning on page 30.

Above: Frieze of Carved Lion's Head and Pilaster Capitals, Northwest Pavilion.

Photograph: Carol Highsmith

Top Management Challenges

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. During this reporting period, the OIG issued a report that expands on storage conditions and its effect. See page 14.

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, 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. The Library's I-900 program addresses some of these concerns by consolidating collection materials into a Center of Knowledge within the Main Reading Room and some adjacent space. The tentative completion date for this initiative is the first quarter of FY 2016.

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 (IT) Infrastructure

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

Below: Frieze of Carved Lions' Heads and Pilaster Capitals, Northwest Pavilion.

Photograph: Carol Highsmith

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

In late 2011, we followed up on this report. 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 FY 2010, the Library obligated $107 million for IT-related expenditures (37% of its discretionary budget) for services, hardware, software, and maintenance.

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 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. We will report on in-progress reviews of the Alternate Computing Facility, certification and accreditation of information technology systems, and the Library's use of the systems developement life cycle process in our next Semiannual Report to the Congress.

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 has designed 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.

Contracting

A series of OIG reports dating back to 2002 document weaknesses that have beset the Library's contracting function. Principal areas of concern include a questionable understanding of federal contracting by participants in the

Left: The U.S. Capitol as seen from a Northwest Pavillion Window.

Photograph: Michael Dersin.

contracting chain ranging from the service units to the contracting office, poorly trained staff, a lack of continuity in leadership in the Office of Contracts Management, an inefficient financial system contracting module, and ineffective contract review procedures. These deficiencies may prevent the Library from obtaining the best value in contracts and expose the Library to an unacceptably high risk of inefficiency and waste of funds.

Work we conducted during the March 2012 semiannual period concluded that the weaknesses we have reported in the Library's contracting function continued, and in fact, the function had further deteriorated since our last report in 2008.

The 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. OIG testimony can be found at www.loc.gov/about/oig.

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 more than $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. More than 37 million original source analog items have been digitized and are accessible at 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: Library of Congress Book Plate c. 1800

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 11,000 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 (IG) began in 1978 to create and empower independent audit and investigative organizations to focus on fraud, waste, and abuse within federal agencies. The Library of Congress 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 IGs, and serves on the council's Audit and Legislation Committees.

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

- Significant audits, investigations, and other 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.

Right: Thomas Jefferson's Library, on display in the Southwest Pavilion of the Library's Thomas Jefferson Building.

Photograph: David Sharpe

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), four seized computer evidence recovery specialists (SCERS), four special agents, and other highly qualified staff.

OIG reports are available at www.loc.gov/about/oig.

Audits, Surveys, and Reviews

Office of the Librarian
Office of Strategic Initiatives
Library Services

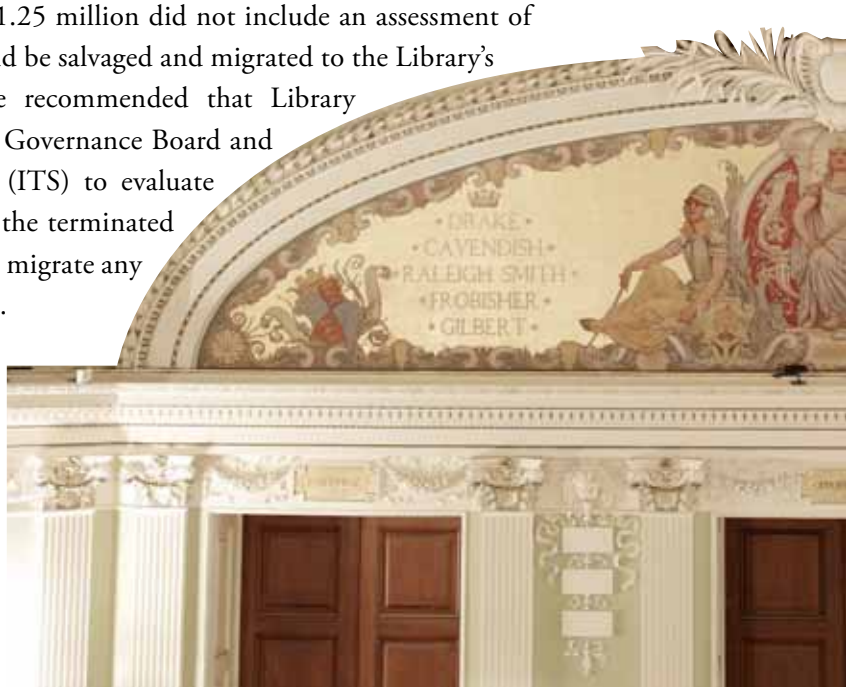
The Library is Taking the Right Steps to Ensure that its Web Search Strategy is an Enterprise-wide Solution but Needs to Expand its Oversight of Other Projects

Audit Report No. 2013-IT-102
September 2013

Enterprise search involves the capability to perform a Library-wide search to locate information from all of the Library's Web sites. A long-standing challenge for the Library is making all of its digital collections easily accessible to the public, researchers, staff, and Congress. For years, the Library lacked policies and procedures for creating and maintaining digital collections in a collaborative environment. We performed this evaluation to determine whether the Library's enterprise search strategy resulted in efficiencies and potential cost savings.

The Library is Taking the Right Steps to Ensure that its Web Search Strategy is an Enterprise-wide Solution—The Library created a Web Governance Board and developed a Web strategy that is standardizing how the Library's digital collections are presented on the Web. The Web Governance Board's work is addressing an issue we identified in a 2009 report by creating a comprehensive search tool and developing a comprehensive index of the Library's multiple digitized collections and Web sites. We believe the Library's search strategy will result in a more effective Web presence.

Library Services Needs to Determine Whether any Data from its Terminated Project can be Migrated into the Library's Enterprise-wide Strategy—Library Services' decision to terminate the entire National Library Catalog project after 34 months of development and $1.25 million did not include an assessment of whether data from the project could be salvaged and migrated to the Library's new Web search platform. We recommended that Library Services collaborate with the Web Governance Board and Information Technology Services (ITS) to evaluate whether there is usable data from the terminated IT project and to develop a plan to migrate any potential data to the new platform.



Right: Mural of Adventure in the Southwest Pavilion.

Photograph: Carol Highsmith

The Information Technology Steering Committee Should Expand Its Oversight of Information Technology Projects—ITSC missed an opportunity to provide oversight on the National Library Catalog project. The ITSC was created in March 2010, nine months after Library Services purchased software to develop the National Library Catalog. However, the ITSC chose to consider only new ("proposed") IT projects rather than current IT projects that would otherwise meet the criteria for oversight. We recommended that the Library determine whether there are any other projects that are currently in development that did not otherwise meet the ITSC's criteria of being a new project, and include them under the ITSC's purview.

Management concurred with our recommendations, but disagreed with our explanation of the discontinuance of the National Library Catalog.

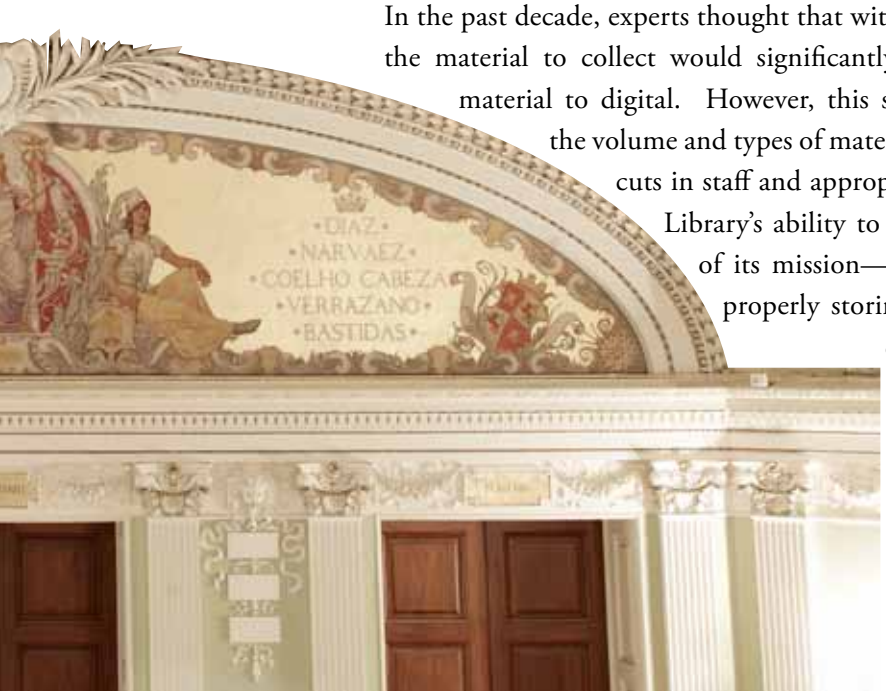
Library-Wide

The Library Collects Extensively but Faces Increasing Challenges in Processing, Controlling, Storing, and Making Accessible all it Collects

Special Project No. 2013-SP-102
September 2013

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. To accomplish this mission, the Library must acquire, preserve, store, and make accessible materials from around the world that it deems relevant to the American people, Congress, and the federal government.

In the past decade, experts thought that with the Internet/digital explosion the material to collect would significantly shift from analog (tangible) material to digital. However, this shift has not occurred. While the volume and types of material have significantly increased, cuts in staff and appropriated funds have hindered the Library's ability to accomplish other critical parts of its mission—that of processing, preserving, properly storing, and providing access to all of its collections.



In response to a 2006 OIG report that recommended that the Library reduce the amount of analog material it acquires to alleviate issues surrounding a lack of space and damage, the Library stated that acquisitions are a top priority that is inescapable in the Library's pursuit of fulfilling its mission. The objective of this evaluation was to assess the framework of policies and procedures supporting the development of Library collections and assess the logistical impact of these policies and procedures. We found that the Library is successful in its mission to obtain a universal collection of material for future generations. However, without relief or substantially adjusting its priorities, the Library is confronted with several critical challenges in its processing and storage of materials. These challenges become increasingly difficult to manage with the recent reductions in budget and staff. Further, these challenges make it difficult for the Library to meet one of its critical mission components: to make its collections accessible. To determine how other national libraries addressed such challenges, we benchmarked the Library with two other national libraries and found that these national libraries approached similar challenges differently. Our findings are discussed below.

The Library has been Meeting its Top Priority of Continually Obtaining a Universal Collection of Both Analog and Digital Materials—Based on its "canons of selection" developed in the early 1940s, the Library's analog and digital collections have grown almost 22 percent since 2003. In FY 2012, the Library acquired more than three million items through purchase, gift, copyright deposit, and exchange and transfer from other government agencies. The U.S. Copyright Office alone forwarded more than 600,000 copies of works to the Library's collections in FY 2012, most of which were in analog format. The Library adds reprints and new editions to its literary works, such as *Wuthering Heights* (with 105 copies in various editions) and *The Adventures of Tom Sawyer* (with 128 copies in various editions). The Library purchased approximately 737,000 U.S. and foreign items in 2012, of which more than 508,000 were foreign items, including some from third-world countries. Further, the Library has the largest collection of Russian, Chinese, Japanese, and Korean materials outside of those countries.

At its National Audio Visual Conservation Center, the Library acquires, catalogs, preserves, and provides access to a collection of audiovisual formats and has collected more than 1.3 million film, television, and video items and nearly 3 million sound recordings containing music, spoken word, and radio broadcasts. In 2012, to help guide it in its effort to collect and preserve relevant material, the Library issued its National Recording Preservation Plan as a result of the National Recording Preservation Act

Left: Detail of Mural of Civilization in the Southwest Pavilion.

Photograph: Carol Highsmith

of 2000. The Act required the establishment of a Board that assists the Library in the development of a coordinated national sound recording and collection policy, among other duties.

Although the majority of the Library's collections are in an analog format, it is also increasing its digital collections. For example, as of September 2012 more than 37 million original source analog items have been digitized since 1990, and 233 billion tweets were collected through February 2013. The Library started its digital collections via the American Memory project, begun in 1990, which provides a digital record of American history and now features more than 100 thematic collections online. In 2000, the Congress appropriated monies to the Library for the creation of the National Digital Information Infrastructure and Preservation Program, and as of 2012, the Library had 200 partners in 47 states and 39 nations working cooperatively to develop standards and preserve at-risk digital content.

Our audit work focused primarily on analog material. We intend to review digital issues in subsequent audit work.

The Library is Not Able to Timely Process the Inflow of Materials it Obtains for its Collections, Hindering Accountability, Security, and Accessibility of Collections—As of September 30, 2012, there were more than 28 million analog and digital items unprocessed in the Library, an increase of almost 50 percent since FY 2000 (not including tweets). The unprocessed arrearage currently represents 18 percent of the Library's total collections. Collections of manuscripts make up more than half the arrearage. Some items, received as far back as the 1980s, have not been processed, and other items are so unique—e.g., Balinese manuscripts written on palm leaves—that they require specialized knowledge to process. The Library states that it must acquire material as it becomes available because it may not be available again, or because its importance may only be known at a later date.

Most unprocessed material is not available to researchers, and the bulk of the material lacks adequate collection controls, including bibliographic, inventory, and security controls. Bibliographic and inventory controls allow the Library to account for and track materials as well as connect users with the Library's resources. Security controls, such as marks and labels, are applied to newly acquired materials to help protect the collections from theft. The lack of these controls increases the risk of material being stolen, lost, or forgotten. Due to the absence of these controls over unprocessed materials, we could not design tests to determine the extent to which the risks exist. However, we observed some instances where unprocessed material was not adequately secured, and other material that we attempted to locate could not be found. With a significant portion of the Library's collections in arrearage, addressing the logistical challenges of accountability and security for these items is key to properly safeguarding and making them accessible to the public, an important component of the Library's core mission.

We were not able to determine a clear cause for the arrearage. One factor could be the reduction in staff while the material collected continues to increase. Other factors contributing to the arrearage could be the lack of: 1) a digital preference for copyright deposits, 2) archivists, preservationists, and catalogers with knowledge in various languages and experience working with rare, old, fragile, or unique material, 3) a system-wide strategy that marries its collections efforts to available staff and proper storage, or, 4) a coordinated national collections effort and policy, similar to that developed under the National Recording Preservation Plan.

The Library Faces a Challenge in its Mission to Properly Store its Collections—The Library's most prized storage facility is the historic Thomas Jefferson Building, opened in 1897, where many of America's Heritage assets are stored. However, the Jefferson Building currently houses upwards of a million overflow volumes, far exceeding its capacity. This excess is causing premature damage and deterioration to some of the items, and requiring staff to periodically shift materials to avoid structural damage to the building due to excessive weight. According to the Architect of the Capitol (AOC), the agency that manages the Library's buildings, the Library's three Capitol Hill buildings are collectively at 110 percent of their capacity.

Preservation of Library materials requires appropriate temperature and relative humidity; different formats have different ideal temperatures and humidity set points. Sophisticated, highly secure storage buildings (modules)

Right: Ornamental Detail in the Southwest Pavilion.

Photograph: Carol Highsmith

were authorized by the Congress, with the first module opened in 2002. However, only four units have been constructed. Even if funding is received and the fifth module is built, the resulting space would not accommodate the overflow. The Library estimates that it needs a new module every two years for its ever-growing collections of books and bound periodicals. The Library leased a temporary facility in 1975, but the facility is not adequate for the Library's security and preservation needs. The Library has paid $51 million in rent over the lease term (which is the equivalent of approximately three new modules) and plans to rent for another 10 years, paying another $36 million—the cost equivalent of two additional modules. The Library identified an additional temporary solution in a National Archives and Records Administration facility in Illinois, but it only accommodates a small part of the overflow, and it is not easily accessible. As the Library adds an average of more than 3 million items, including an average of 447,000 books and periodicals, to its collections annually, the shortage of space will continue to grow.

Other National Libraries Faced Similar Reductions in Funding and Space Issues but have Addressed them Differently—The British Library and Library and Archives Canada (Canadian Library) realized that "staying the course" and "going it alone" in their collection strategy were not viable options because of the economic and budgetary environment and because it was no longer achievable or appropriate to universally collect due to the increasing magnitude of published material. Our benchmarking with these libraries indicated that both institutions:

- *revised their collection strategy.* The British Library will not expend significant funds toward material that is "adequately achieved" in the country of origin, will not acquire in areas well served by other libraries, and focused its approach on a smaller number of subject priorities. The Canadian Library recently adjusted its acquisition strategy to focus on Canadian heritage material and established a more collaborative approach with provincial and territorial libraries to build complimentary collections.

- *recently increased their storage capacity.* The British and Canadian Libraries received funding for storage facilities that enabled the discontinuation of a number of lease-held facilities and increased its storage capacity to accommodate future acquisitions.

- *are transitioning to digital deposit as a preferred method for copyright material.* Going forward, the British Library's preference is digital rather than analog for its material that is similar to the Library's copyright deposits. Also, the British Library has placed greater emphasis on attracting external investments and fundraising to supplement funding for library initiatives (and has secured an agreement with Google to digitize 250,000 out-of-copyright books from the British Library collections at Google's expense). Digital is now the Canadian Library's default choice in the acquisition of material.

Options for the Congress and Library to Consider—The Library acquires materials at rates that exceed its ability to timely process, make accessible, and safely store them. Results of this imbalance are evident by the issues we discuss in this report. We are not making recommendations in this report because some solutions may require congressional action, but we are presenting short- and long-term considerations. According to the Library, "the acquisition policies of the Library are what have made it–and what will keep it–the greatest repository of knowledge in history and a source of national pride. Changing acquisition policies will fundamentally change the nature of the Library of Congress."

Congress may decide to maintain the current acquisition policies and collection rate because it is of vital importance to the Library, Congress, and the nation. Nonetheless, there is an imperative for the short-term that Congress should consider:

1. The Library needs resources to process and obtain sufficient, adequate facilities to store the current arrearage and overflow. The issues that we highlight in our report are symptomatic and, if resources are not provided for processing and storage capacity, will increasingly impair the Library's ability to meet its congressional mission.

For the long-term, some options Congress may want to consider are to:

2. Require the Library to create a system-wide strategy that marries future collections efforts to its ability to timely process, properly store, and make accessible the material it acquires. This strategy may require Congress to establish changes in how the Library collects, such as only digitally for newly copyrighted materials (similar to our benchmark libraries), and the amount it collects in any given year; it may require the Library to aggressively pursue additional private monies to provide for housing and processing its collections, rather than totally relying

Right: Detail of Mural of Civilization in the Southwest Pavilion.

Photograph: Carol Highsmith

on congressional funding; and it may require other tactics such as expanding the Library's internship programs with colleges and universities in preservation and cataloging.

3. Create a board similar to that required in the National Recording Preservation Act of 2000 that can develop, among other things, a coordinated national acquisitions and collections policy and "trusted partnerships" with organizations in the public and private sectors, similar to arrangements that other national libraries have made.

Management Response and OIG Comments— The Library agreed with our finding that it has been meeting its top priority of continually obtaining a universal collection of materials. The Library stated that sustaining a collection that meets the needs of Congress and the American people is essential and is its pre-eminent consideration. The Library acknowledged that it was not able to timely process the current arrearage and attributed delays in processing acquisitions to "primarily a matter of resources." However, it disagreed with our narrative regarding the arrearage in manuscripts and feels that our report does not take into account that many of these collections will be processed at the macro level, and that processing times will often vary even with a consistent level of processing resources. We agree that processing times will vary. The arrearage numbers used in our report are taken directly from the Library's annual reports to Congress; the Library does not report data on processing times of the various types of material it collects, and our evaluation did not attempt to perform such time and motion studies. However, we did analyze the trend of material in arrearage since 2000; regardless of manuscripts' proportion of the arrearage, the arrearage amount continues to increase while the resources to process it diminish. We acknowledge the Library's initiatives to manage the arrearage, but there is no evidence that any or all of them will materially affect the current arrearage trend, and the initiatives will not change the imperative for the short term.

The Library agreed that the growing magnitude of the collections puts an overwhelming demand on the Library's storage space and that it comes at a cost. However, the Library further stated that a number of examples cited in the report, including photographs, mischaracterized the impacts of delayed processing and were not representative of overall conditions at the Library. There are many effects from the delay in processing and our report is not meant to be representative of conditions at each building and division. For example, at Ft. Meade we did not observe any adverse storage conditions; on the other hand, the Architect of the Capitol has stated that the three Capitol Hill buildings are collectively over capacity and requested that excess materials stored on booktrucks be moved around to prevent compromising the structural integrity of the bookstacks. Finally, in assessing OIG benchmarking with the British Library and Canadian Library, the Library stated it is acting on most of the areas we identified, but management does not believe that changing collections development policies is a responsible option for the Library and that reductions in other libraries' collections scopes impose a greater reliance on the Library of Congress to fill the gaps created by those reductions.

Prior to issuing our draft report for the Library's comments, we conducted a meeting with Library Services' senior management to obtain their feedback. Overall, Library Services agreed with the general message of the report and felt that it positively characterized the issues addressed.

The full report included a summary of Library Services senior management's comments.

Open World Leadership Center

Fiscal Year 2012 Financial Statements

Audit Report No. 2012-FN-103
May 2013

The mission of the Open World Leadership Center (Open World) is to enhance understanding and capabilities for cooperation between the United States and the countries of Eurasia. In pursuing its mission, Open World has developed a network of leaders in those regions who have gained significant, firsthand exposure to America's democratic, accountable government and its free-market system.

Since Open World's founding by the Congress in 1999, it has emerged as a unique resource for members of Congress and their staff by assisting Congress in its foreign policy oversight responsibilities. In this capacity,

Open World conducts one of the largest U.S. exchange programs for Eurasia, through which nearly 7,000 volunteer American families in all 50 states have hosted thousands of emerging leaders from former Soviet countries. As a result of these exchanges, hundreds of projects and partnerships beneficial to all have been initiated and enhanced.

Open World is an independent entity in the legislative branch governed by a board of trustees. Board members consist of members of the Congress and private citizens. Serving the board of trustees is an audit committee comprised of three members with extensive experience in Congress, federal agency operations, finance, and accounting. The audit committee provides oversight by assuring that Open World management appropriately carries out its responsibilities for internal control, financial reporting, compliance with laws and regulations, ethics, and economies and efficiencies.

Under contract with the OIG, the accounting firm of CliftonLarsonAllen (CLA) audited Open World's FY 2012 financial statements and issued its Independent Auditor's Report. The audit included Open World's balance sheet and the related statements of net cost, changes in net position, and combined statements of budgetary resources for FY 2012. The auditors concluded that the financial statements were presented fairly in all material respects, and in conformity with U.S. generally accepted accounting principles. The firm's auditors also performed tests of compliance with laws and regulations, and considered internal controls over financial reporting. In its audit of Open World, CLA found no material weaknesses in internal control and no reportable noncompliance with the laws and regulations it tested.

Above: Thomas Jefferson's Library, on display in the Southwest Pavilion of the Library's Thomas Jefferson Building.

Photograph: David Sharpe

Library Services
Office of Support Operations

Facilities and Space Utilization of Critical Management Projects

Project No. 2013-AT-101 (Status Report)
September 2013

The OIG initiated a survey of Library facilities in December 2012. The objective of the survey is to evaluate the Library's plans for continuing operations at the National Library Service (NLS) for the Blind and Physically Handicapped Taylor Street Facility. As part of this process we began reviewing the Library's plans for relocating operational elements of NLS, copyright deposits, and the Library's logistics funtion—currently located at the Landover Center Annex—to a new multi-purpose facility. We also began assessing the Library's progress in addressing facility-related concerns from prior OIG audits including logistics, space utilization, and lease agreements. The goal of our survey is to identify critical facility management projects with material funding implications that require further OIG audit fieldwork during FY 2014.

During the course of our survey the auditor in charge of the project had to take extended leave. Accordingly, we placed the project on hold. We anticipate that the project will resume at the beginning of the second quarter of FY 2014. Although the survey is not fully completed, we issued to management a memorandum that discussed several focus areas for consideration, but made no recommendations.

We observed that the most recent analysis of service unit utilization of collection storage space is outdated with the last analysis occurring in December 2011. Given the continuing flow of new acquisitions and the related growth in collections arrearage, an updated analysis is important to managing storage space.

We identified old inventory held beyond the two-year limitation and noted that the stand-alone system for tracking non-collections inventory at Landover is limited. Furthermore, open purchase orders on file are not reconciled with the issuing service units, nor aged to assure accuracy and aid in managing deliveries and receipts. We were advised that reductions in staff have left this control function undone. Also, due to a staffing shortfall there is no separation of duties for receiving materials and recording the transactions into an inventory tracking system.

Observations by the OIG and the Library's Office of Security and Emergency Preparedness noted that there is uncontrolled access to collections materials and that exposure to unauthorized access increases with limited staff.

We also noted that Landover is not suited for preservation of collections due to its environmental conditions, inadequate storage systems, and other issues, and that AOC considers the Landover Center Annex to be in poor condition.

We intend to complete additional fieldwork in FY 2014 and to formally report our findings to Library management.

Above: Book from the Library of Congress Collections on the Architect Palladio.

Photograph: Carol Highsmith

Investigations

During the reporting period, we opened 37 investigations and closed 49. We forwarded three investigations to Library management for administrative action. Four investigations were forwarded to the Department of Justice for criminal prosecution, two were accepted. None are pending. Investigation case and Hotline activities are detailed below.

Table 1: Investigation Case Activity

	Criminal/Civil	Administrative	Total
From Prior Reporting Period	41	5	46
Opened	17	20	37
Closed	33	16	49
End of Period	25	9	34

Table 2: Hotline Activity

	Count
Allegations received	27
Referred to management	6
Opened as investigations	12
Opened as audit	0
Referred by audit division	1
Closed with no action	9

Significant Criminal, Civil, and Administrative Investigations

Employee Misconduct

In our March 2013 Semiannual Report to the Congress we reported that the OIG received a harassment complaint about an employee using their Library computer to threaten a former acquaintance. The employee had posed as the victim and posted 111 Craigslist ads from his Library of Congress computer for sexual encounters. OIG investigators executed nine search warrants, issued twelve Grand Jury subpoenas, and presented the case to the U.S. Attorney's Office for prosecution. The employee was subsequently arrested and indicted for stalking from a federal facility, violating the terms of a protective order, and identity theft and has been held without bail due to the serious nature of the crimes. During this reporting period, the employee was terminated from the Library. Sentencing is set for November 15, 2013.

As a result of this case, the OIG recommended that the Library block employee access to certain Web sites. Additionally, the OIG issued a report detailing the failure of the employee's manager to identify and effectively deal with prior complaints about the employee.

The OIG also investigated an allegation that an employee was fabricating credit hour requests and falsifying time and attendance records. The employee's former supervisor reported that the employee's productivity records did not justify the overtime and credit hours claimed. During the investigation, the employee admitted to falsely claiming 20 hours of overtime and 91 credit hours. The employee was issued a 30-day suspension for falsifying time and attendance records.

Laptop Theft

A former contractor who was terminated from the Library for failing to pass a required background check was in possession of three Library laptop computers before being removed from the Library contract. Two of the laptops were returned after the contractor was removed, along with an older model laptop not belonging to the Library; one laptop remains missing. Subsequent record searches indicated that the suspect sold several laptops over the past year to pawn shops. However, none of the pawned computers' serial numbers matched the stolen Library laptop. OIG investigators presented the case to the U.S. Attorney's Office but they declined to prosecute.

Referrals and Assistance to Other Law Enforcement Agencies

In April 2013, OIG agents transported the Music Division's Kriesler violin to the Walter Reed Medical Center for a computerized tomography scan. The scan and trip were completed without incident.

In July 2013, an individual in one of the Library's reading rooms was observed stealing headphones from a patron. The OIG referred the incident to the U.S. Capitol Police (Capitol Police) and provided video footage of the theft to assist with their case. Additionally, the individual had accessed the reading room by using a reader registration card issued to another patron. The reader registration card was confiscated and the patron was subsequently banned from the Library.

An August 2013 visitor to the Library's Web site left a threatening message on an electronic contact form. The message originated in Egypt and was referred to the Threat Analysis Division of the Capitol Police.

The OIG assisted the Metropolitan Police Department with an investigation into potentially fraudulent claims filed by a former spouse of a deceased Library employee. The investigation found no wrong-doing on the part of Library staff.

In September 2013, there was an attempt to use social engineering to obtain press credentials to a media area of a Library Web site. This attempt was referred to the FBI for further investigation.

Also in September 2013, the Library was targeted by an outside party attempting to compromise the Library's external Web servers. The OIG assisted with the coordination between the Library and the FBI in addressing this attack to disrupt the Library's publicly-accessible networks.

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 U.S. 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, an installment of $183,432 was received from Securiguard.

Theft of Computers

During the previous reporting period the OIG received a complaint of the theft of a Library laptop computer awaiting disposal. The investigation found that there were three laptops missing from a locked storage container that houses computers prior to decommission and disposal. One of the laptops was recovered and forensic analysis determined that there was no Library sensitive data on the computer. We had previously recommended improving this process in an earlier IT audit. The two remaining laptop computers have not been recovered. The OIG issued a Management Implication Report suggesting improvements in surplus computer processing. These suggestions resulted in Information Technology Services (ITS) taking over the responsibility for wiping all computer disc drives after equipment is pulled from use. This change should help eliminate any potential loss of personally identifiable information from non-sterilized surplus computers.

Disruption of Government Business

In 2012, the Copyright Office notified the OIG of a nuisance caller. We referred the case to the Capitol Police Threat Analysis Division and are continuing to assist in this effort. However, after disrupting the Copyright Office during an in-person visit in May 2013, the patron was barred from the Library for a year.

Attempted Removal of Government Property

The Capitol Police referred a matter to the OIG concerning a property pass forgery and a subsequent attempt to remove a Library laptop computer. The OIG referred the matter to the employee's manager. The employee entered into an alternative discipline agreement with the Library which was the equivalent of a five-day suspension. The employee agreed to forfeit three days of annual leave to the Library's leave bank, and the other two days were held in suspension, pending good behavior for a year.

In a separate case, an employee attempting to remove a Library 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.

Left: Stucco Design on the Barrel-Vaulted Ceiling of the Northwest Gallery. The 'CL' stand for Congressional Library.

Photograph: Carol Highsmith

Based on this and other attempted theft cases, the OIG met with Library management who issued a Library-wide reminder about the proper procedures and property pass requirements to remove Library equipment.

Above: Domed Ceiling of Northwest Pavillion of Art and Science Featuring the Mural, Ambition by William De Leftwich Dodge.

Photograph: Carol Highsmith

Other Activities

Inspector General Responds to Congressional Inquiry

April 2013

The OIG responded to a request from Representatives Henry Waxman and Edward Markey, and Senators Sheldon Whitehouse and Benjamin Cardin, Co-Chairs of the Bicameral Task Force on Climate Change. The task force requested that the OIG conduct an assessment of the Library's efforts to address climate change. We forwarded the Library's Office of the General Counsel evaluation of applicable laws and regulations and a description of our audit work performed on energy consumption and conservation. These audits recommended that the Library collect data to make informed infrastructure decisions such as migrating to cloud-based computing and storage solutions and undertake initiatives to increase awareness among Library staff of the importance of energy conservation and recycling programs. We also provided a listing of the Library's and the AOC's programs and accomplishments in energy conservation and sustainability.

Inspector General Responds to Congressional Inquiry

June 2013

The OIG responded to a request from Representative Darrell Issa, Chair, and Representative Elijah 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 the OIG identify and report on the three most important open and unimplemented recommendations, the number of recommendations accepted and implemented by the Library, and the estimated cost savings associated with the open recommendations.

Peer Review of the Library OIG

During this reporting period, the U.S. Securities and Exchange Commission (SEC) OIG conducted a peer review of our audit division for the year ended March 31, 2013. The objective of the review was to determine whether audit quality controls were designed and operating in conformity with applicable professional standards in all material respects. Federal audit organizations may receive a rating of *pass, pass with deficiencies*, or *fail*. Our office received a rating of *pass*. The SEC OIG issued a separate letter containing a finding related to documenting overall assessments of the col-

lective evidence that is used to support findings and conclusions, but explained that the finding was not considered to be of sufficient significance to affect its opinion of the assessment of our audit operations. The SEC OIG further stated that in reviewing the audit documentation, it found no instances where evidence was insufficient to support audit findings or conclusions. Although the finding was not sufficiently significant, we have addressed the finding by updating our policy and procedures including implementing a template to facilitate documenting overall assessments of collective evidence for every audit.

Peer Review of the Corporation for Public Broadcasting OIG

During this reporting period we conducted a peer review of the audit operations of the Corporation for Public Broadcasting (CPB) OIG. The CPB OIG is responsible for designing a system of quality control and complying with it to provide reasonable assurance of performing and reporting on its audit activity in conformity with applicable professional standards in all material respects. Our peer review responsibility was to express an opinion on the design of the system of quality control and CPB OIG's compliance with that system. Federal audit organizations can receive a rating of *pass*, *pass with deficiencies*, or *fail*.

We reviewed the system of quality control for the audit operations of the CPB OIG in effect for the year ended March 31, 2013. Our review was conducted in accordance with Government Auditing Standards and guidelines established by the Council of the Inspectors General on Integrity and Efficiency. In performing our review, we obtained an understanding of the system of quality control for the CPB OIG's audit organization. In addition, we tested compliance with the CPB OIG's quality control policies and procedures to the extent we considered appropriate. In our opinion, the system of quality control was suitably designed and complied with to provide reasonable assurance of performing and reporting in conformity with applicable professional standards in all material respects. CPB OIG received a peer review rating of *pass*.

Table 3: Review of Library of Congress Regulations (LCRs) and Directives

Reviewed	Comments by the Office of the Inspector General
LCR 414-1 Marking of Tangible Library Materials	We offered no substantive comments regarding this LCR.
LCR 620 Top Treasures: Definition and Policies for Selection, Handling and Care, Viewing and Emergencies	We recommended that the Library periodically inventory all top treasures and further compare the items to preservation documentation to assure authenticity. We recommended that a security escort and dual control be required upon access and that employees have appropriate security clearance for handling these items. We also recommended that the OIG be notified immediately if a top treasure is discovered to be lost, stolen, or missing, and that the LCR clarify the language concerning top treasure loans.
LCR 900 Circulation of Material from the Collections of the Library	We offered no substantive comments regarding this LCR.
LCR 910 Eligible Borrowers of Materials from the Collections of the Library	We recommended clarification of the term 'personally responsible for' regarding collection items borrowed by congressional members and their staff. We suggested clarifying 'a defined period of time' for external use of materials. We opined that it was not clear how the Library will protect materials from mutilation or theft by retired employess.
LCR 911 Lending of Library Materials for Exhibition	We offered no substantive comments regarding this LCR.
LCR 920 Internal Circulation of Materials	We suggested mirroring similar language used in LCR 910-Eligible Borrowers of Materials from the Collections of the Library, regarding disciplinary action.
LCR 1550 Accountable Financial Officers and Government Cashiers	We suggested that the Office of the Chief Financial Officer annually review 1) the validity of certifiers, 2) all imprest cash fund information for accuracy, and 3) validated approved cashiers.
LCR 1615-1 Asset Control of Equipment and Furniture	We suggested that the Office of the Chief Financial Officer identify items that should be treated as accountable property for the purposes of tracking and inventory.
LCR 2014-8 Telework (Working Offsite)	We recommended that all required documents/forms are clearly identified in the LCR. We suggested adding a Continuity of Operations Plan (COOP) section and requiring all employees who are expected to telework during a COOP event to have a telework agreement in place and training for such events. We recommended that supervisors ensure applications are complete and adequately describe the work performed under the telework arrangement and state how it will be measured. We suggested defining the number of days necessary for the advance notice of a telework agreement suspension or cancellation. We also recommended requiring employees to notify supervisors in writing if government-issued equipmnet is lost, damaged, or stolen.
LCR 2010-16 Advertisements for Vacancy Announcements	We commented that all applicible statutes and regulations should be cited in the LCR notes. We suggested that the phrase 'positions difficult to fill' be clarified. We questioned whether the Office of Contracts and Grants Management needs to be involved in vacancy advertisment if the advertisement requires a fee.
LCR 2023-3.1 Patent Rights in Inventions by Library of Congress Employees	We recommended that the Office of the General Counsel (OGC) define Library employment and that the definition include the applicability of leave of absence, sabbaticals, travel time, as well as inventions occurring as a result of collaborations with others as a result of conducting Library business. We recommended that a section/clause be inserted which states that supervisors, division chiefs, or service unit heads that become aware of inventions made by employees as part of their Library employment must consult with the employee to determine if a disclosure report has been made or initiated, and if the employee refuses to comply, the service unit head should consult with OGC.

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 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 and Grants Management (OCGM) for nonpersonal contract services—The Office of the General Counsel (OGC) has provided training to OCGM staff on this issue and intends to provide similar training in the first quarter of FY 2014 to other offices. The issues related to capturing the correct information on the form have been resolved, and the form itself is being revised. The target date for implementation is the first quarter of FY 2014.
Performance-based Budgeting III	2013-PA-101 March 2013	Library-wide	I.1	Revise the performance management directives to address requirements for service unit verification and validation of performance data. Data requirements should compliment the specific, measureable, achievable, relevant, timebound (SMART) criteria applied to performance measurements. Verification requirements should address data completeness, accuracy, and consistency as well as the related quality control practices for ensuring data will be of sufficient quality to document performance and support decision-making. Validation procedures should assure that the data are appropriate for the performance measurement—As a part of the transition to the new Library Manual system, the Strategic Planning Office (SPO) will revise the performance management requirements to include verification and validation. The target to complete the effort 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
Performance-based Budgeting III	2013-PA-101 March 2013	Library-wide	I.2	SPO should take a more effective role in evaluating the adequacy of service unit data used to measure progress towards performance targets. We suggest implementing a process similar to National Archives and Records Administration's metric specification document to define and prequalify performance data and related performance measures during the formulation stage of the performance cycle. That document should require service units to identify and define the performance data used to measure progress towards performance targets. Service units should also document how they intend to both verify the performance data and validate how the data relates to the performance measurement—SPO will develop a template describing how to create a performance target by the fourth quarter of FY 2013. The enhanced eLCplans system, that will go into production in time for the FY 2014 formulation phase of the planning and budgeting framework, will require designated service unit managers and executives to review and approve performance targets. SPO will provide additional hands-on guidance that will culminate in final implementation by the second quarter of FY 2014.
Performance-based Budgeting III	2013-PA-101 March 2013	Library-wide	I.3	SPO should review the metric specification document for completeness and assure that service unit descriptions of its verification and validation activities meet performance methodology requirements—After service units complete their input for the Library's annual plan, SPO will review the completed templates, work to resolve any issues, and recommend changes to the Deputy Librarian. Target date for implementation is the second quarter of FY 2014.
Performance-based Budgeting III	2013-PA-101 March 2013	Library-wide	II.1	Incorporate in the financial statements, where applicable, management discussion and analysis information about why it fell short of performance targets and related goals, plans, and schedules for achieving unmet goals going forward, assessments of whether the performance goals are impractical or infeasible, and if still viable, disclosure of the action management must take for future success—Beginning with year-end performance information for FY 2013, SPO will require explanations of why targets were not fully successful and actions to be taken to improve performance. The Library will include this information in the Management's Discussion and Analysis (MD&A) section of its FY 2013 Financial Statements. Target date for implementation is the first quarter of FY 2014.

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) Continued				
Performance-based Budgeting III	2013-PA-101 March 2013	Library-wide	II.2	Library management add to its MD&A disclosures an explanation of how it ensures the accuracy and reliability of the data used to measure progress towards each of its performance goals, including an identification of: 1) the means used to verify and validate measured values, 2) the sources for the data, 3) the level of accuracy required for the intended use of the data, 4) any limitations to the data at the required level of accuracy, and 5) how the agency has compensated for such limitations if needed to reach the required level of accuracy—Beginning with the Library's FY 2014 Financial Statements, the report will describe the process used to validate and certify accuracy of the performance information recorded in the MD&A section. Target date for implementation is the first quarter of FY 2015.
Performance-based Budgeting III	2013-PA-101 March 2013	Library-wide	II.3	Library management develop a separate performance accountability report tailored to fit the Library's compliance with the spirit of the Government Performance and Results Act and the Modernization Act and fully disclose to stakeholders and the public the annual results of its performance management efforts. The Library should place this report on its public Web site—The Library has begun developing a Performance and Accountability Report (PAR) using FY 2012 performance and accomplishment information. The draft PAR incorporates most of the elements described in the OIG report. At the end of FY 2013, the Library will refine the draft PAR's layout and populate it with FY 2013 performance information. The Library will publish a FY 2014 PAR on its public Web site at the end of 2014. Target date for full implementation is the second quarter of FY 2015.
Office of Support Operations (OSO)				
Telework Program	2010-PA-102 June 2011	Office of Support Operations	I.1	The Library should determine whether centralizing teleworking policy-making authority in a Telework Coordinator would add value to the program—Revisions to the Library's telework regulation include a Telework Steering Committee (TSC) to assess the effectiveness of the Library's telework strategy, review of emerging best practices in other government agencies and the private sector, assessment of infrastructure equipment, and a recommendation of processes to address changes in technology and facilitate telework objectives. The revised telework regulation has been reviewed by the Library of Congress Regulation (LCR) Working Group and comments have been forwarded via OGC to the Human Resources Services (HRS) Director for final revision. The target date for implementation 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
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—See response to recommendation I.1 above. Also, it is anticipated that the TSC, when approved, will conduct a cost-benefit analysis in the second quarter of FY 2014.
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—Under the revised telework regulation, the TSC will develop a health and safety checklist, which each teleworking employee must complete and submit to his/her immediate supervisor. Target date for implementation is the first quarter of FY 2014.
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—An interactive telework training program has been developed and will be released to coincide with the revised telework regulation. Target date for implementation is the first quarter of FY 2014.
Telework Program	2010-PA-102 June 2011	Office of Support Operations	I.6	The Library should revise LCR 2014-8 to address the permissibility of accessing sensitive, unclassified, and "For Official Use Only" data at offsite locations—The LCR is being revised to ensure compliance with existing Library directives on handling of sensitive materials at offsite locations. The revised telework LCR has been reviewed by the LCR Working Group and comments have been forwarded via OGC to the HRS Director for final revision. Target date for implementation is the first quarter of FY 2014.
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—The telework LCR is being revised to require that the nature of the work required of the position must be suitable for telework and that such telework does not adversely affect the workload or effectiveness of the teleworker, the supervisor, or other employees. Target date for implementation is the first quarter of FY 2014.
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—The revised telework LCR will require teleworkers to be available for timely contact by telephone and email during duty hours while on telework. Target date for implementation is the first quarter of FY 2014.

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 Support Operations (OSO) Continued				
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 Library has implemented Library of Congress Remote Environment, which expands remote access capabilities and enables staff to telework during a COOP scenario. It is being pilot-tested with full implementation anticipated in the second quarter of FY 2014.
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 Library's revised telework LCR will allow for episodic telework arrangements, to include a COOP event. The Human Capital Planning Board (HCPB) will ensure that agreements are in place for COOP teleworkers. Target date for implementation is the second quarter of FY 2014.
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 Library's COOP Plan and Emergency Preparedness Annual Training Calendar now includes guidance and a framework for the execution of training workshops and drills (tabletop and functional). This is included under the "emergency situations" section of the revised telework LCR. Target date for implementation is the first quarter of FY 2014.
Office of Contracts and Grants Management (OCGM)				
Weaknesses in the Acquisition Function	2011-SP-106 March 2012	Office of Contracts and Grants Management	I.A.1	Establish a support component to ensure effective and efficient performance of critical functions that support the OCGM. The position should be staffed with a senior, experienced General Schedule 1102, Grade 14—The OGC provides policy support to OCGM. The new Director, OCGM, is assessing the policy, staffing, and resource needs of the office for a decision in the first quarter of FY 2014.
Weaknesses in the Acquisition Function	2011-SP-106 March 2012	Office of Contracts and Grants Management	I.A.2	Rewrite the Contracts Operating Instructions (COI) manual deleting those policies that merely restate the Federal Acquisition Regulations (FAR) and draft specific guidance geared toward the Library's acquisition activities. Organize the COI so that it is easily accessible—The COIs are being incorporated as technical guidance within the Library's governing documents framework to facilitate ready access for members of the acquisition community and other interested parties across the Library. The Director of OCGM is revising and updating the COIs into a consolidated Contracts Technical Guide (CTG) mapped to corresponding FAR sections, providing Library supplemental guidance rather than restating the information contained in the FAR. The CTG is scheduled for publication in 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 and Grants Managementt	I.F.2	Rewrite COI 1003 to be a more comprehensive oversight policy and contract review process—Appropriate language from existing COIs is incorporated into the consolidated CTG. The oversight and review process of COI 1003 is in section 4.7203 of the CTG. The CTG is scheduled for publication in the first quarter of FY 2014.
Weaknesses in the Acquisition Function	2011-SP-106 March 2012	Office of Contracts and Grants Management	II.G.1	Develop directives that clearly set forth the policy and constraints for using LCR 2111—LCR 2111 is being revised, updated, and incorporated into section 5730-37.102 of the consolidated CTG, corresponding with other guidance related to service contracts. The accompanying Form 52 is being revised and updated and incorporated into section 5730-53.2 of the CTG, which corresponds to FAR subpart 53.2 Forms. The CTG is scheduled for publication in the first quarter of FY 2014.
Weaknesses in the Acquisition Function	2011-SP-106 March 2012	Office of Contracts and Grants Management	III.B.1	Restructure the Alert Handbook into a series of user-friendly, PowerPoint® customer service training packages directed at two levels, executive leadership and service units—OCGM and OGC conduct classroom-based training and provide instructional material on the OCGM and OGC internal Web sites. OCGM and service unit training has been scheduled for the first and second quarters of FY 2014. OCGM will form a project team in the first quarter of FY 2014 to update and improve the information contained on the internal sites and assess available collaborative technologies to enhance access to current procurement policies, training, information, templates, and best practices across the Library. Target date for the Web content update is the third quarter of FY 2014.
Weaknesses in the Acquisition Function	2011-SP-106 March 2012	Office of Contracts and Grants Management	III.B.4	Develop a procurement process standard operating procedure (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—The Director, OCGM, is conducting client communication and outreach at the executive and staff levels to ensure a consistent understanding in the expectations by project managers and contracting officer representatives related to acquisition packages. The Director, OCGM, briefed the Library Supervisors Forum and the IT Collaborative Council during the fourth quarter of FY 2013, and will continue to conduct outreach activities to ensure OCGM clients understand their roles and expectations. OCGM will form a project team in the first quarter of FY 2014 to update and improve the information contained on the OCGM Web sites.

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 and Grants Management (OCGM) Continued				
Improper Payments II	2011-SP-101 May 2011	Office of Contracts and Grants Management	I.2	OCGM and the Office of the Chief Financial Officer (OCFO) should update directives to officially reflect the current spending limit for micro purchases of $3,000—Management and oversight of the Library purchase card program was transitioned to the Chief Financial Officer in June 2013. The CTG will reference guidance published by OCFO in section 5730-13.201, which corresponds to FAR 13 related to simplified acquisition procedures for purchases at or below the micro-purchase threshold. The CTG is scheduled for publication in the first quarter of FY 2014 and the next update to the purchase card directive will be completed by December 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—The HCPB -sponsored working group received input from the HCPB and service units, and made final recommendations to the HCPB in August 2013. In addition, OGC presented to the HCPB in March 2013 authoritative guidance on acquiring services from individuals. The National Finance Center Person model has been fully implemented. The Board has been provided a structured process to apply existing procedures, workflows, and approvals to accomplish the objectives within existing policy framework. The target date for completion is the first quarter of FY 2014.
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—Updates to LCR 2010-3.1 have been completed. The proposed changes have not been bargained with the unions pending the outcome of the proposed legislative initiative. The Library of Congress has proposed a legislative initiative that would transfer the Library's Equal Employment Opportunity Program to the Office of Compliance. The Congressional House Oversight Committee is reviewing the proposal. The target completion date is the fourth 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
Follow-Up Review of the Office of Opportunity, Inclusiveness, and Compliance	2011-PA-106 June 2011	Office of Opportunity, Inclusiveness, and Compliance	II.2.b	OIC, in collaboration with the Library's Human Capital Management Flexibilities Working Group should complete the barrier identification and elimination process initiated with the Multi-Year Affirmative Employment Program Plan (MYAEPP) by assessing the success of the plan—The demographic findings were reviewed in the third quarter. The Director of OIC has implemented a MYAEPP Reassessment Working Group, tasked with expanding the scope of the Library's current MYAEPP. Recommendations will be presented to the HCPB during the first quarter of FY2014.
Library Services (LS)				
Top Treasures Security and Preservation Controls	2008-PA-103 January 2009	Library Services	I.a	Establish criteria for specifically defining top treasure collection items and a clear process to nominate or transfer collection items to the category—The Preservation Directorate responded to edits and comments provided by the OIG, Office of Security and Emergency Preparedness, Law Library, and OGC. A revised draft including updated top treasure nomination forms and an emergency release form was forwarded to OGC on 8/30/2013 for review. The target completion date is 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—In July 2013, the Office of Security and Emergency Preparedness reported that assigned staff had finished meetings with stakeholders for implementing a pass designed for SBP use. The next steps will be to incorporate revisions, and schedule another meeting of the group, including Information Technology Services (ITS). Revision of the LCR should follow. Target completion date is the first quarter of FY 2014.
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—The target date may slip beyond the first quarter of FY 2014 because the ITS staff member assigned to this project has periodically been pulled off the SBP project to work on other projects.
Surplus Books Program	2010-PA-106 September 2011	Library Services	II.c.1	LS management should collect the required data to conduct an analysis to determine whether the Library derives tangible benefits from processing other agencies' surplus material transfers—SBP has not accepted transfers from other agencies since October 2011 and expects to keep that policy in effect. The target date for a final decision is the fourth quarter of FY 2014 to allow LS management more time to review this issue.

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) Continued				
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—There is no change in the status of this recommendation. Action remains on hold pending guidance from the Office of the Librarian on Library-wide planning. The target date for guidance is the first quarter of FY 2014.
Office of Strategic Initiatives (OSI)				
Information Technology Strategic Planning Follow-up	2011-IT-103 December 2011	Information Technology Services	I.2.C	All 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. Library management was unable to provide a target date for implementation of this recommendation.
Information Technology Strategic Planning Follow-up	2011-IT-103 December 2011	Information Technology Services	I.3.A	Separate the IT support functions from OSI and establish the Office of the Chief Information Officer (CIO) from the ITS Directorate and other IT support functions of OSI. The CIO will report directly to the Librarian or Deputy Librarian with duties, responsibilities, and authority consistent with best practices—See status of I.2.C. above.
Information Technology Strategic Planning Follow-up	2011-IT-103 December 2011	Information Technology Services	I.5.A	Implement service level agreements to manage customer expectations—ITS is currently working with LS to negotiate a comprehensive Memorandum of Understanding (MOU) document that is intended to cover the full set of technology services that are provided to LS by ITS. Once this document has been finalized it will serve as the model for negotiating similar MOU documents with each Library service unit. The target date for implemntation is the first quarter of FY 2014.
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.

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

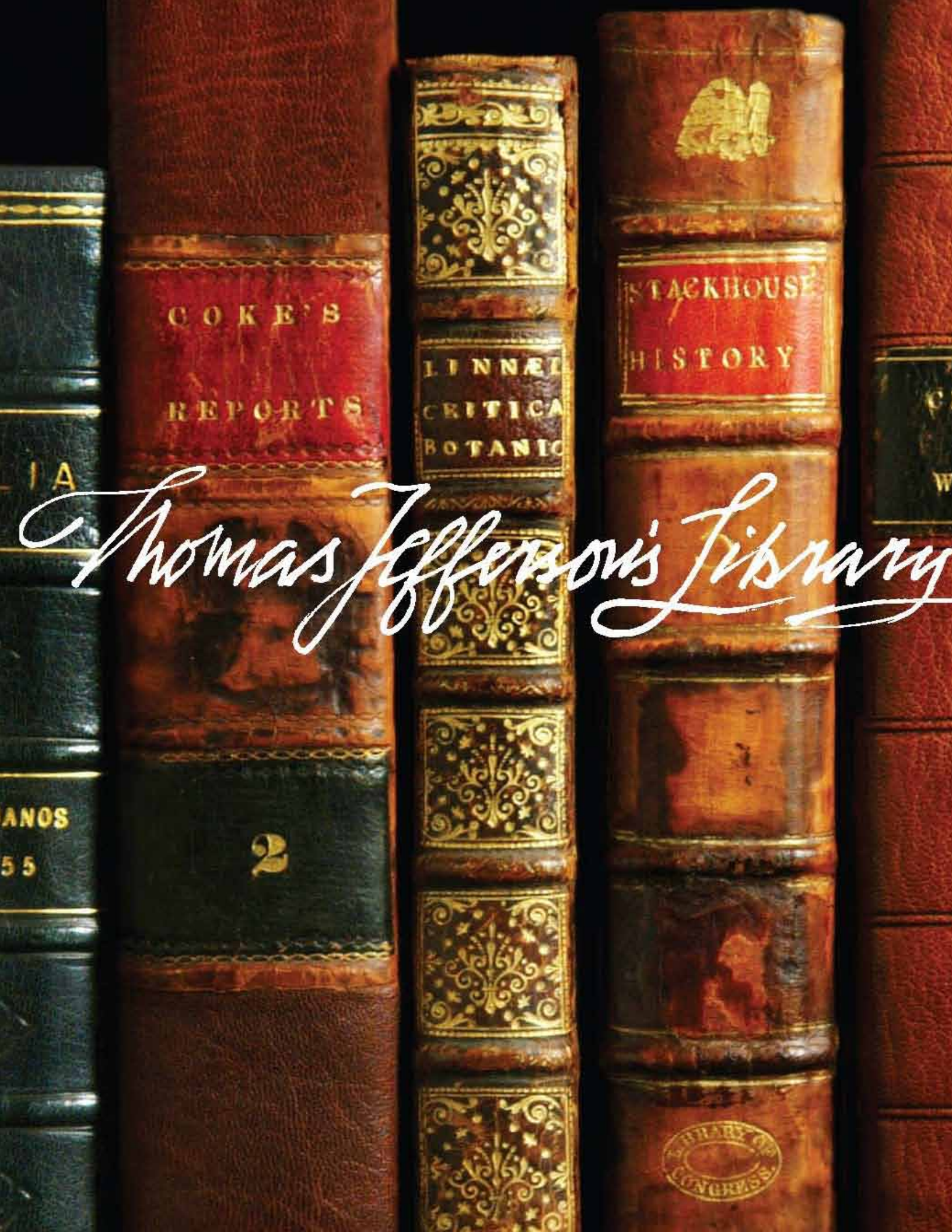
Subject	Report No. Issue Date	Office	Rec. No.	Summary and Status of Recommendation
Information Technology Strategic Planning Follow-up	2011-IT-103 December 2011	Information Technology Services	I.5.F	Develop a set of metrics for ongoing use to measure performance. These metrics should change and evolve over time as one area shows improvement; new metrics should be developed for other areas—A comprehensive set of metrics has been established as part of the recently negotiated and executed IT help desk contract. Over the next several months ITS will be gathering baseline data in order to evaluate the effectiveness of these metrics and determine what refinements are necessary. The target date for completion is the second quarter of FY 2014.
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—At this time ITS anticipates implementing a survey instrument as part of its incident and service request process with a target date for completion in the second quarter of FY 2014.
Information Technology Strategic Planning Follow-up	2011-IT-103 December 2011	Information Technology Services	II.1	Coordinate with service and support units to identify and prioritize the legacy systems/applications that require certification and accreditation evaluations, and determine how the required evaluations should be funded—OGC is executing this as a technical change to the LCR; this recommendation will be completed by October 2013.
Information Technology Workstation Management	2012-PA-101 September 2012	Information Technology Services	I.1	ITS should 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 second quarter FY 2014.
Library-Wide Computing Efficiencies	2013-IT-101 March 2013	Information Technology Services	I.1	Collect data on efficiency levels of servers, maintain comprehensive server inventory data in a central repository, and continuously track data on the power used by its data center—ITS has developed procedures for mananging server inventory data using Symantec's Altiris solution and reviews reports of data center power usage that are produced weekly by the Architect of the Capitol. OSI considers those components of the recommendation to be implemented. Due to resource constraints ITS delayed its efforts to implement tracking of server efficiency levels. At this time OSI is targeting the second quarter of FY 2014 to implement tracking.

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				
Library-Wide Computing Efficiencies	2013-IT-101 March 2013	Information Technology Services	I.2	Report to the Deputy Librarian the progress made in adopting the specific recommendations of the outside consultants' report on server virtualization, and the steps and timeframes it will take to implement such recommendations and the Library's return on investment/cost savings to be achieved—ITS is currently identifying recommendations from the consultant's report that are viable for implementation in the context of other strategic technology initiatives, ongoing operational activities, and fiscal and personnel resource constraints at the Library. As part of this activity ITS intends to document its reasoning for not implementing some of the recommendations from the report. It will also formalize a plan for implementing those recommendations it determines to be viable. ITS anticipates completing this plan by the second quarter of FY 2014.
Library-Wide Computing Efficiencies	2013-IT-101 March 2013	Information Technology Services	II.1	Develop an enterprise-wide plan to guide management decision-making on possible cloud solutions—ITS has developed a plan to guide decision-making on potential cloud solutions. This plan will be fully vetted with Library management and stakeholders over the next several months and expects implementation of the plan to follow. The target date for completion is the second quarter of FY 2014.
Library-Wide Computing Efficiencies	2013-IT-101 March 2013	Information Technology Services	II.2	Instruct ITS to take the lead in initiating evaluations of viable cloud computing solutions for the Library—Implementation of this recommendation is contingent on Library management and stakeholder approval of the plan referenced in recommendation II.1 above. The target date for completion is the second quarter of FY 2014.

Right: Brochure Cover of a Library of Congress Exhibit Depicting Thomas Jefferson's Library.



Thomas Jefferson's Library

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 Contracts and Grants Management (OCGM)				
Weaknesses in the Acquisition Function	2011-SP-106 March 2012	Office of Contracts and Grants 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 OCGM—The position of Director of Contracts and Grants Management was filled in the third quarter of FY 2013.
Office of Strategic Initiatives (OSI)				
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—ITS, with the advice of OGC and OCFO, has revised its procurement procedures to include steps for verifying that a current fiscal year need exists for the goods or services that are the subject of a particular proposed procurement. These procedures were effective May 23, 2013.

Right: Decorative features and marble columns in the Great Hall, Thomas Jefferson Building.

Photograph by: Walter E. Obando, Office of the Inspector General.

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	-	-
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:	-	-

Instances Where Information or Assistance Requests Were Refused

No information or assistance requests were refused during this period.

Status of Recommendations Without Management Decisions

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

Significant Revised Management Decisions

In our Sepetember 2012 audit report, *Improvements Needed to Prevent Wasteful Procurement and Inefficient Disposal of IT Workstations,* we reported that the Library violated the bona fide needs rule when purchasing various information technology equipment, thereby wasting $355,190. Seven months after we received a written reply to our report, and after the recommendations were implemented, the Library sent the IG a memorandum disagreeing with the report without providing any additional facts to support its claim.

Significant Management Decisions with Which OIG Disagrees

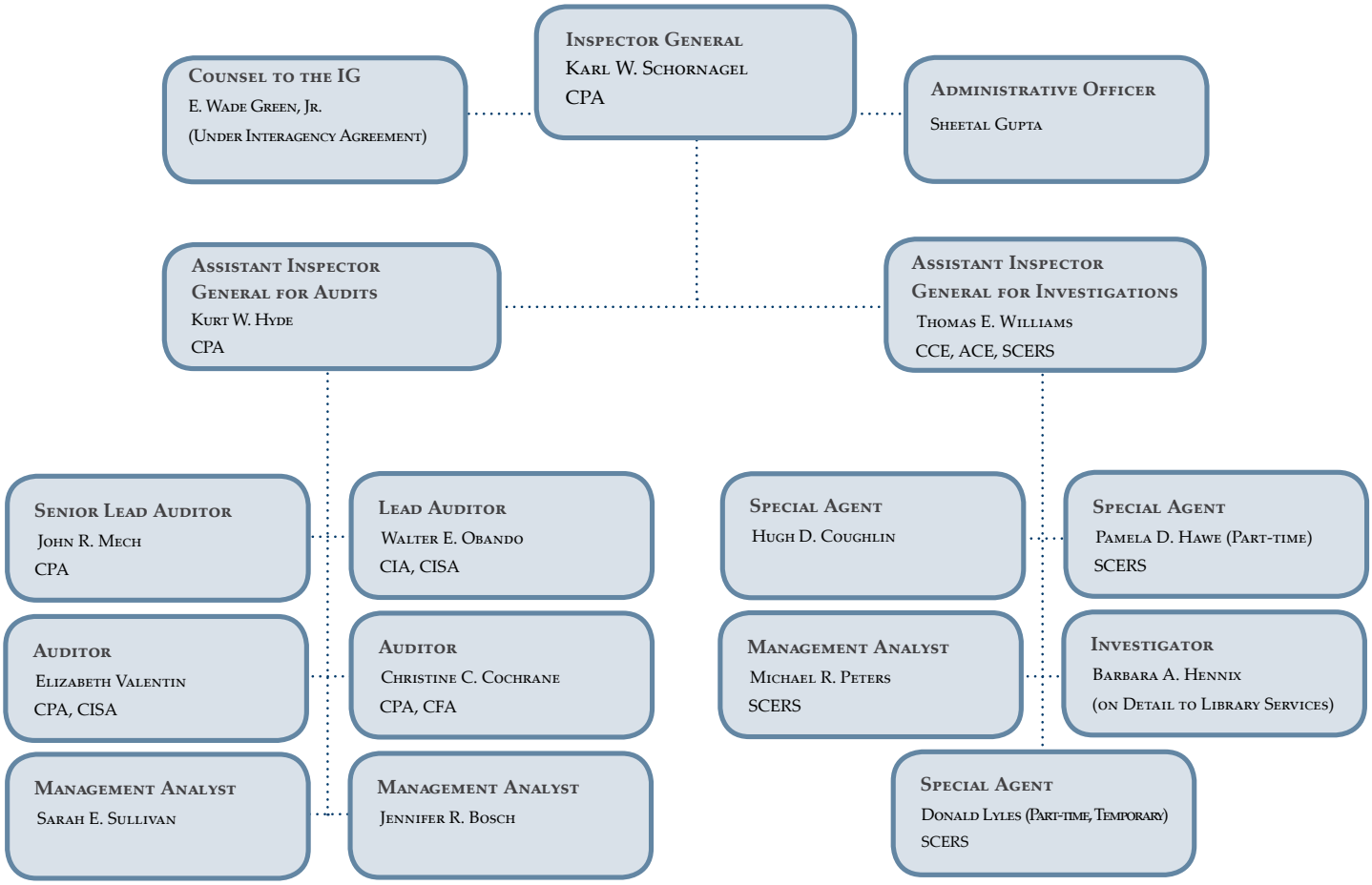
We disagree with management's revised decision in the preceding section.

In February 2013, the Library deleted the narrative that the OIG wrote about the audit for the Library's FY 2014 Congressional Budget Justification, along with the narrative for another FY 2012 OIG audit that identified $771,163 in overpayments and questioned costs relating to a Library contract. Three months later, the Library informed the OIG in a May 2013 memorandum that it disagreed with the report. The OIG reaffirmed its position in a response to the Library's memorandum.

Follow-up on Prior Period Recommendations

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.

OIG Organizational Chart



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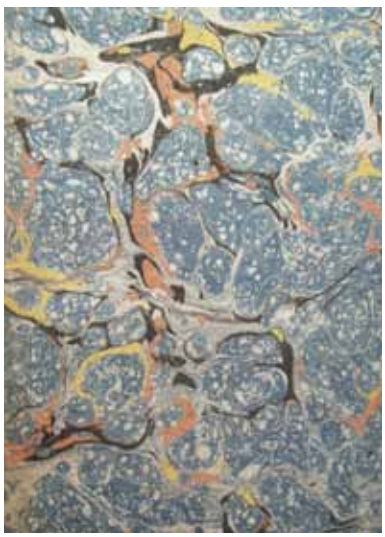

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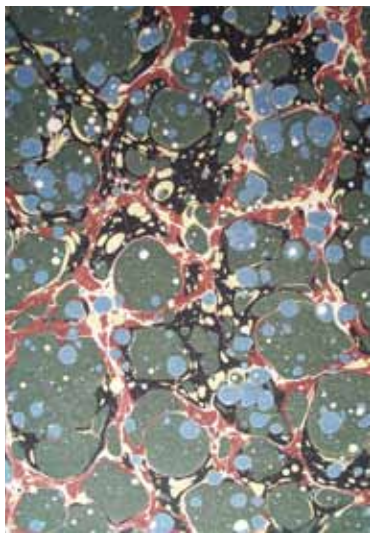

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