The Office of the Inspector General is taking you on a road trip by highlighting images from the Library of Congress collections of Carol M. Highsmith and John Margolies. All featured works are from the collections of the Prints and Photographs and Geography and Map Divisions. Digitized images are available online at www.loc.gov.

Over the course of 43 years, Carol M. Highsmith has traveled extensively across the United States capturing images that reflect American life in every state. Highsmith’s collection features over 75,000 copyright- and royalty-free images that she generously donated to the Library of Congress.

The Library’s Roadside America collection features over 11,000 color slide photographs by John Margolies. Margolies traversed America’s highways, byways, and main streets capturing vernacular architecture and eye-catching finds along the way such as motels, diners, gas stations, and rare oddities.
March 31, 2023

MESSAGE FROM THE INSPECTOR GENERAL

In January 2023, after over 30 years of dedicated federal government service, Library of Congress (Library) Inspector General (IG) Kimberly Byrd retired. Ms. Byrd served in several senior executive positions in the Social Security Administration (SSA) and in SSA’s Office of the Inspector General (OIG) before becoming the Assistant Inspector General for Audits (AIGA) and then IG. Ms. Byrd had a significant impact at the Library and in our office, as demonstrated by her accomplishments, which included overseeing the development of a new strategic plan for our office and a new three-year plan for our audit-related activities. I personally admired her ability to boost morale and strengthen office unity while we coped with the COVID-19 pandemic. We congratulate Ms. Byrd on her outstanding career and wish her well in retirement.

Upon Ms. Byrd’s departure, Librarian of Congress Dr. Carla Hayden temporarily appointed me Acting IG in addition to continuing to serve as the AIGA. I am grateful for the opportunity to serve in this role. The Library is an extraordinary organization, and I have deep respect for my Library and OIG colleagues. As stated in our strategic plan, my focus has been to stay true to our commitment to help the Library achieve its strategic goals.

This has been an exciting semiannual period as the Library continues to engage, inspire, and inform Congress and the American people. Of note, the Library celebrated the 125th anniversary of the opening of the Thomas Jefferson Building, rolled out a new Spanish-language website by the National Library Service for the Blind and Print Disabled to expand access to the Library’s resources, and acquired the rare San Salvador Huejotzingo Codex, which adds significantly to the Library’s collection of indigenous manuscripts. The codex documents a 1571 legal proceeding involving indigenous officials in central Mexico. In addition, the Library is preparing to refresh its strategic plan to guide it through the next five years.

During this period we issued reports that covered the Library’s gift and trust funds, financial management system information technology (IT) controls, financial statements for fiscal year 2021, and COVID-19 costs. The Library implemented 46 of our recommendations from prior semiannual periods. We opened five investigations, closed six, and forwarded five investigations to Library management for administrative action. In addition, our criminal investigators identified and investigated a former Library contract employee who stole IT equipment from the Library. The individual pled guilty to one count of theft of government property, was sentenced to one year of probation and six months of home confinement, and was ordered to pay $57,000 in restitution.

Eric N. Mader
Acting Inspector General
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The Library is the research and information arm of the United States’ national legislature and the world’s largest knowledge reserve. The Library’s mission is to engage, inspire, and inform Congress and the American people with a universal and enduring source of knowledge and creativity. This mission is accomplished through the work of approximately 3,400 permanent employees.

Founded in 1800, the Library is also the nation’s first federal cultural institution, holding more than 173 million physical items on approximately 838 miles of bookshelves. These items include books and other print materials, recordings, photographs, maps, sheet music, and manuscripts. The Library occupies three buildings on Capitol Hill and the Taylor Street Annex in Washington, DC, and the Packard Campus of the National Audio-Visual Conservation Center in Culpeper, Virginia. In addition, the Library operates six overseas offices and stores collections material in several other purpose-built facilities in Maryland.¹

The Library has six primary components:

- Office of the Librarian
- Chief Operating Officer Service Unit
- Office of the Chief Information Officer
- Library Collections and Services Group, which manages traditional library operations:
  - Law Library
  - Researcher and Collections Services
  - Discovery and Preservation Services
  - National Library Service for the Blind and Print Disabled
- U.S. Copyright Office
- Congressional Research Service

¹ The Library has materials stored (per interagency contracts) in Maryland, Massachusetts, and Virginia. The Library also has materials stored in its overseas offices.
The Office of the Librarian provides leadership and executive management to the Library, overseeing the implementation of the Library’s mission. It includes the Principal Deputy Librarian, Strategic Planning & Performance Management (SPPM), Office of the General Counsel (OGC), Office of Communications and External Relations, Office of the Chief of Staff, and two centers that focus on user engagement and fostering access to the Library’s collections for research, teaching, and visitor education: the Center for Exhibits and Interpretation and the Center for Learning, Literacy, and Engagement.

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

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

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

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

- **Researcher and Collections Services** (RCS), which links more closely the Library's researcher, reference, and public service work as well as collection development, processing, and selected preservation activities. RCS brings together the Collection Development Office, Special Collections Directorate, General & International Collections Directorate, the National Audio-Visual Conservation Center, the John W. Kluge Center, and programs such as the American Folklife Center and the Veterans History Project;
• **Discovery and Preservation Services** aligns with the Library’s collection acquisition, description, and stewardship activities and brings together the Acquisition and Bibliographic Access Directorate, the Digital Services Directorate, and the Preservation Directorate; and

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

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

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

**Office of the Inspector General**

The Library’s Office of the Inspector General (OIG) was established in 1988 as a non-statutory office deriving its authority from the Librarian of Congress. OIG became statutory with the passage of the *Library of Congress Inspector General Act of 2003* (2 U.S.C. § 185) with a mandate to independently:

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

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

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

At the end of 2019, the *Library of Congress Inspector General Act* was amended for the first time since its enactment, giving the office increased parity with executive branch IGs, statutory law enforcement authority, and defined independence with respect to budget and hiring.
Through the Council of Inspectors General on Integrity and Efficiency (CIGIE), we are part of a community of Inspectors General who collectively conduct and supervise audits and investigations relating to the programs and operations of their agencies in the executive and legislative branches.

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

- the Library’s top management challenges;
- significant audits, investigations, and other OIG activities;
- OIG’s review of legislation and regulations affecting the Library; and
- Library decisions on OIG recommendations and the status of implementation, along with any resulting monetary benefits.

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

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

**The Investigations Division** investigates alleged or suspected wrongdoing by agency employees, contractors, or others responsible for handling federal resources. Violations of Library regulations or fraud committed against the Library can result in administrative sanctions and criminal or civil prosecution. Contact information for the OIG Hotline is located on the inside back cover of this report.
A primary responsibility of Offices of Inspectors General is to annually identify Top Management Challenges (TMC) for the agencies they oversee. This report highlights current and future engagements that address the six TMCs that we have identified for the Library:

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

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

- **Collection Services Workflow.** The Library needs to broaden its capability to perform end-to-end monitoring of its collections services workflow in order to better manage its arrearage and number of items collected and stored. LCSG’s collections storage activities are part of a supply chain of processes that include selection, digitization, preservation, and storage services, among other processes.

- **U.S. Copyright Office’s Modernization Program.** In fiscal year (FY) 2018, OCIO and USCO initiated a joint effort to develop a future-state version of USCO’s IT system as part of USCO's larger modernization program. The program poses a top management challenge because of the complexity, magnitude, and importance of the program to fulfilling USCO's mission.

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

- **IT Modernization.** The key to the Library successfully developing a modern IT environment is OCIO using a strategic approach to improve its IT governance; establishing accountability for IT investments; implementing well-designed, secure, and business-driven networks and computing facilities; and employing IT best practices.
Evaluation of Top Management Challenges

We are committed to evaluating each of the current Library TMCs over the next three years to determine whether sufficient progress has been made to remove that designation. We currently have engagements underway to address most of the TMCs.

Completed Engagements

Financial Management and Reporting—This semiannual period we reported on the results of the FY 2021 financial statements audit. We provide contract oversight of the independent public accounting firm conducting the yearly audit. As stated in our September 2018 Semiannual Report to Congress, the Library needs to take action to make improvements to maintain an unmodified "clean" financial statement audit opinion, which it has received every year since FY 1996. We identified conditions that indicated a deterioration in the Library’s ability to process, record, and manage its financial reporting data. In September 2021, we stated that agency management must have an effective system of internal control over financial reporting to accurately and reliably report on the Library’s financial transactions and position to make well-informed financial decisions and to demonstrate accountability to Congress and the American taxpayer. For the FY 2021 financial statements audit, we reported the independent public accounting firm KPMG’s opinion that the financial statements were fairly presented, in all material respects, in conformity with U.S. generally accepted accounting principles, although KPMG’s consideration of internal control over financial reporting resulted in a material weakness regarding deficiencies in the disclosures for investments. KPMG also identified a significant deficiency regarding the Library’s Legislative Branch Financial Management System (LBFMS).

Current Engagements

We have engagements underway that pertain to the following TMC's: Digital Strategic Planning and Execution, USCO's Modernization Program, IT Modernization, and Collections Services Workflow.

Digital Strategic Planning and Execution—We identified this area as a top management challenge in our September 2014 Semiannual Report to Congress. We stated in our September 2018 Semiannual Report to Congress that the Library had taken steps to strengthen its digital activities, but more needed to be done for the Library to develop a robust capacity to acquire, catalog, preserve, secure, and provide access to a universal collection of digital materials. We noted that the Library’s progress in establishing such a plan organization-wide had been sluggish. In October 2018, the Library developed a
Digital Strategic Plan (Digital Strategy), updated in April 2019 to complement the Library's FY's 2019–2023 Strategic Plan. The Digital Strategy describes what the Library should look like, in terms of its digital transformation, over the next five years, including initiatives that were already in process. We currently have an engagement underway to evaluate how the Library has strengthened its digital strategic planning since the creation of the Digital Strategy. We expect to report on this engagement in the next semiannual period.

U.S. Copyright Office's Modernization Program—This area represents our most recently identified TMC. We stated in our September 2019 Semiannual Report to Congress that the program is a joint effort of USCO and OCIO to 1) build a new enterprise-wide copyright system featuring a user-centered and flexible design, 2) streamline processes and policies, 3) improve access, and 4) re-imagine the entire USCO. One area of concern we identified was the need to improve program and project management practices. Making effective use of project management tools, such as scheduling, critical path, and cost accounting methodologies, will be essential to monitoring progress and ensuring accountability. We have issued two reports on this topic relatively recently and currently have an engagement underway to evaluate USCO's modernization activities with objectives to 1) identify the IT projects underway, 2) assess cost and scheduling activities, and 3) assess progress implementing recommendations made in our prior reports. We expect to report on this engagement in the next semiannual period.

IT Modernization—As the agency’s centralized hub of technology professionals, OCIO plays a pivotal role in making progress on this long-standing TMC. OCIO builds, develops, and sustains the IT necessary for the Library to meet its mission and provides the strategic leadership, governance, and management for technical innovation across the enterprise. It also delivers IT security, network, and technology infrastructure operations and end-user services for all Library employees and certain external legislative branch entities. We addressed this area in our prior semiannual report for the period ending March 2022. We outlined various issues we had observed pertaining to IT cost estimating and scheduling practices in five reports that focused on particular projects. We currently have three engagements underway related to this area: an examination of progress made in the Library’s transition to a new data center, an evaluation of CRS’s IT modernization plans, and an audit of the Library's cybersecurity controls. We expect to report on these engagements in the next semiannual period.
Collections Services Workflow—We initiated an engagement during this semian- 
nual period to assess the Library’s “not-on-shelf” rate (i.e., the rate at which materials 
requested by users cannot be found by Library staff), which is relevant to the delivery 
of materials to users at the end of the collection services workflow. The Library needs 
to broaden its capability to perform end-to-end monitoring of its collections services 
workflow in order to respond as needed where issues are identified. We anticipate 
reporting on this engagement in our March 2024 semiannual report.

Future Engagements

In addition to the current engagements identified, we will next assess Strategic Planning 
and Performance Management with an engagement planned to initiate prior to the end 
of the calendar year.
Mimetic architecture, also known as “novelty” or “programmatic” architecture, is a style of building design popularized in the United States in the first half of the 20th century. It is characterized by catching the eye of a person driving down the highway with unusual building designs that mimic the purpose or function of the building.

Mimetic architecture was particularly popular between the 1920s and 1950s, as cars became widespread and freeways were built across America. Some roadside architecture started to be seen as a means for advertising to passing cars. For example, a drive through in the shape of a donut, a coffee shop in the shape of a coffee pot, or a lemonade stand in the shape of the fruit.

While mimetic architecture fell from favor, many such buildings were redeveloped or demolished; their size and novelty means that many are now viewed as local landmarks to be preserved.
COVID-19 Cost Evaluation
Report No. 2022-SP-102
November 2022

We performed an evaluation to identify and verify COVID-19 pay and non-pay expense data reported by Library service units in order to ensure that payments of such expenses were properly supported and allowable. Based on our review of separate, non-statistical samples of 50 pay and 50 non-pay COVID-19 expenses, we concluded that the Library’s COVID-19 expenses were properly supported and allowable because they responded to Library needs associated with the COVID-19 pandemic. In addition, FSD and other Library service units were able to provide us with adequate and timely supporting documentation regarding these costs. Based on the results of our work, we did not make any recommendations.

Fiscal Year 2021 Library of Congress’s Financial Statements Audit
Report No. 2021-FN-101
November 2022

We contracted with the independent public accounting firm KPMG to audit the Library’s financial statements for FY 2021. For the twenty-sixth consecutive year, the Library received an unmodified (clean) opinion on its financial statements. In KPMG’s opinion, the financial statements were fairly presented, in all material respects, in conformity with U.S. generally accepted accounting principles. KPMG’s consideration of internal control over financial reporting resulted in a material weakness regarding deficiencies in the Library’s controls to identify disclosures for investments. KPMG also identified a significant deficiency with regard to the Library’s LBFMS. KPMG found no instances of non-compliance with laws and regulations tested. Since September 2018, OIG has identified Financial Management and Reporting as a TMC.

Fiscal Year 2022 Audit of the Legislative Branch Financial Management System General IT Controls
Report No. 2020-FN-102
November 2022

We contracted with KPMG to perform the audit of the Library’s FY 2022 financial statements to provide a report on the design, implementation, and operating effectiveness of relevant general IT controls supporting the LBFMS environment.

KPMG’s audit did not identify any material weaknesses or significant deficiencies for LBMS. During its audit, KPMG identified and conveyed to Library management certain deficiencies in internal control it did not deem significant. We are not providing specific information about the weaknesses because of the sensitive nature of the information contained in the report. The report was not issued for public release.

**Performance Audit of the Library of Congress’s Gift and Trust Funds**  
**Report No. 2021-PA-101**  
**October 2022**

We contracted with KPMG to perform an audit of gift and trust funds to determine whether the Library’s internal controls for gift funds were appropriately designed and implemented and whether those controls were working effectively. The audit also determined whether funds were managed and disbursed in accordance with the gift agreement or trust fund requirements.

KPMG concluded that internal controls were appropriately designed and implemented but found instances where the controls were either not working effectively or managed and disbursed in accordance with the gift fund agreement or trust fund requirements.

Library management agreed with all of the report’s recommendations. The Library plans to continue refining its procedures related to grant administration including clarification of the responsibilities for discussions and documentation of changes to grant terms. The Library will also explore control capabilities within financial management or other systems to strengthen compliance and timeliness of Library actions in accordance with gift and trust terms.
Road Trip ACROSS AMERICA
AUDITS DIVISION ACTIVITIES

**FEDLINK Risk Assessment**

We contracted with the independent public accounting firm CLA to conduct a risk assessment of the Library's Federal Library & Information Network (FEDLINK). The assessment was completed in March 2023. The assessment was completed for planning purposes and, therefore, was not issued for public release.

**Early Alert Memorandum on the Library’s Platinum Collection Controls**

In October 2022, we issued an "Early Alert" memorandum to Library management on high-risk physical control deficiencies we identified during the course of our inspection of the Library's platinum collection controls; the Library responded immediately. The memorandum was not issued for public release due to the sensitive nature of the content. We plan to issue our final report for the engagement in May 2023.

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**Wall Drug**

In 1937, husband and wife owners of Wall Drug turned the simple idea of offering thirsty passing families free ice water grew into an emporium of western goods and eccentricities. Soon, tourists heading for Mount Rushmore in the Black Hills of South Dakota were lured to Wall Drug by cleverly written signs miles and miles in advance of town.

Today, most of Wall Drug's advertisement billboards can be found on an approximately 650-mile-long stretch of Interstate 90 from Minnesota to Billings, Montana.
## Table 1: Review of Legislation

<table>
<thead>
<tr>
<th>Reviewed</th>
<th>Comments by the Office of the Inspector General</th>
</tr>
</thead>
<tbody>
<tr>
<td>–</td>
<td>No legislation was reviewed.</td>
</tr>
</tbody>
</table>

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

<table>
<thead>
<tr>
<th>Reviewed</th>
<th>Comments by the Office of the Inspector General</th>
</tr>
</thead>
<tbody>
<tr>
<td>LCR 5-220, <em>Digital Accessibility Standards</em></td>
<td>OIG reviewed and issued no comments.</td>
</tr>
<tr>
<td>LCR 5-310, <em>Project Management</em></td>
<td>OIG made comments of a clarifying/editing nature.</td>
</tr>
<tr>
<td>LCR 6-230, <em>Apportionment and Allotment of Funds</em></td>
<td>OIG made comments of a clarifying/editing nature.</td>
</tr>
<tr>
<td>LCR 6-320, <em>Cash Management</em></td>
<td>OIG made comments of a clarifying/procedural nature.</td>
</tr>
<tr>
<td>LCD 5-110.4, <em>Procurement of Cloud Computing Services</em></td>
<td>OIG reviewed and issued no comments.</td>
</tr>
<tr>
<td>LCD 5-810.3, <em>Essential Records Program</em></td>
<td>OIG made comments of a clarifying/editing nature.</td>
</tr>
</tbody>
</table>

Table 3 provides an overview of our Investigations Division activities over the semiannual period.

**Table 3: Investigative Data**

<table>
<thead>
<tr>
<th>Activity</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Investigative Reports Issued (significant investigations summarized in this report)³</td>
<td>8</td>
</tr>
<tr>
<td>Management Impact Reports Issued</td>
<td>2</td>
</tr>
<tr>
<td>Referrals to the Department of Justice</td>
<td>3</td>
</tr>
<tr>
<td>Referrals to State and Local Authorities</td>
<td>1</td>
</tr>
<tr>
<td>Indictments/Criminal Informations Resulting from Prior Referral to Prosecuting Authorities</td>
<td>1</td>
</tr>
<tr>
<td>Convictions</td>
<td>1</td>
</tr>
<tr>
<td>Investigations Opened</td>
<td>5</td>
</tr>
<tr>
<td>Investigations Closed</td>
<td>6</td>
</tr>
<tr>
<td>Investigations Forwarded to Library Management for Administrative Action</td>
<td>5</td>
</tr>
<tr>
<td>Complaints Opened</td>
<td>11</td>
</tr>
<tr>
<td>Complaints Closed</td>
<td>12</td>
</tr>
<tr>
<td>Complaints Converted to Investigations</td>
<td>2</td>
</tr>
<tr>
<td>Hotline Communications Received</td>
<td>70</td>
</tr>
<tr>
<td>Hotline Communications Converted to Investigations</td>
<td>3</td>
</tr>
<tr>
<td>Hotline Referrals to Management⁴</td>
<td>31</td>
</tr>
</tbody>
</table>

²Data were compiled from a review of the Investigations Division's database and files.
³Eight reports were issued, five of which were forwarded to Library management.
⁴This category includes referrals to OIG’s Audits Division, Library management, or entities outside the Library.
SIGNIFICANT INVESTIGATIONS

THEFT OF GOVERNMENT PROPERTY

The OIG Hotline received notification of an alleged theft of a government laptop. The complainant related that the laptop in question was being sold on eBay. A review of eBay records revealed that a then-Library contractor employee listed Library and U.S. Department of Commerce (DOC) property, which prompted us to initiate a joint investigation with DOC OIG. The investigation determined that starting in November 2019, the Library contract employee sold at least 29 separate Dell laptops, which he knew belonged to the Library and were cumulatively worth a total of approximately $55,590. The investigation also determined that during a prior tenure with DOC, the contractor had engaged in the theft of at least one Microsoft Surface Tablet, worth $1,370, belonging to DOC. The contractor employee was terminated during the initial phase of the investigation.

In September 2022, the contract employee pleaded guilty in the U.S. District Court for the District of Columbia to one count of theft of government property. In January 2023, the contract employee was sentenced to one year of probation, to include six months of home confinement, for stealing government property from DOC and the Library. The contract employee will be required to pay $56,960 in restitution to the affected agencies, and a forfeiture order was issued for the same amount.

EMPLOYEE MISCONDUCT, POSSESSION OF FIREARMS AND DANGEROUS WEAPONS IN FEDERAL FACILITIES

The OIG Hotline received notification that a Library employee brought a gun into the Packard Campus and that the gun was detected by the Library security vendor. We reviewed security footage and Library records and interviewed several key witnesses. We also interviewed Library management who related that they had no reason to believe the employee was a threat to themselves or others.

We interviewed the employee who maintained that they brought the gun on the campus accidentally and did not realize the weapon was in their bag.

The investigation was referred to the Department of Justice and subsequently declined for prosecution. An investigative report was issued and referred to Library management for action. The employee entered into a Resolution Agreement with the Library, which included a suspension and two years of probation.

During this reporting period, we issued a related Management Impact Report to the agency recommending improvements to security measures, which the agency implemented.
Employee Misconduct, Misuse of Government Vehicle

The OIG Hotline was notified that a Library employee-driver was involved in a traffic accident while driving a government vehicle. We interviewed several managers, who confirmed that the employee was dispatched to transport another Library employee back to the Adams Building from Cabin Branch. After completing the transport assignment, the employee-driver continued on in the government vehicle to get lunch, which was not approved. On the way back from lunch in the government vehicle, the employee was in an accident with a civilian vehicle. There were no injuries reported, and a police report was completed. The government vehicle received damage to the front right bumper.

We determined that once the drop-off was complete the driver was no longer in an official capacity and should have dropped the government vehicle off at the Library before going to lunch.

We interviewed the employee, who admitted that he used the government vehicle in an unofficial capacity that was not approved. An investigative report was issued and referred to Library management for action. The employee received a five-workday suspension.

Employee Misconduct, Misuse of Government Cell Phone

The OIG Hotline was notified by a Library supervisor that one of their employees was misusing their government-issued cell phone. We reviewed the employee’s Library phone records, which revealed that between August 24, 2022, and November 23, 2022, the employee misused their government-issued cell phone when they used it for personal use.

We interviewed the employee who maintained that they had after-hours official commitments. They also said that no instructions were given when the phone was provided and understood that there were no limits. Library management related that the employee had not been given permission to use the phone for any reason other than official use. An investigative report was issued and referred to Library management for action. The employee received a policy reminder.

Semiannual Law Enforcement Certification

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

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

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

<table>
<thead>
<tr>
<th>Subject</th>
<th>Report No. Issue Date</th>
<th>Office</th>
<th>Rec. No.</th>
<th>Summary of Recommendation and Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Office of the Librarian / Strategic Planning &amp; Performance Management Office (SPPM)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Enterprise Risk Management</td>
<td>2020-PA-104 June 2021</td>
<td>COO/ FSD/ SPPM</td>
<td>4</td>
<td>Report Summary: We reported on the adequacy of the Library’s Enterprise Risk Management policies and procedures maintained by the Strategic Planning &amp; Performance Management Office (SPPM), including compliance with those procedures. Incorporate risk considerations into the Library's budgeting and resource approach—The 2024 New and Extended Program Request (NEPR) guidelines require that each NEPR have a tie to the strategic plan. All NEPRs submitted must list any Library/Service Unit Directional Plan Initiatives, Agency Performance Goals, U.S. Government Accountability Office (GAO), Inspector General, or congressional mandates that the NEPR satisfies. NEPRs are also reviewed by SPPM, the Operations Committee, and the Executive Committee. This work is dependent upon the successful implementation of the Enterprise Planning and Management (EPM) project, which aims to link work streams, such as planning, performance, and risk to budgeting. This effort is led by Chief Operating Officer (COO) and Office of the Chief Information Officer (OCIO), who expect to select the vendor for system implementation in the third quarter of fiscal year (FY) 2023. The estimated date of completion is the fourth quarter of FY 2023.</td>
</tr>
<tr>
<td>Enterprise Risk Management Audit</td>
<td>2020-PA-104 June 2021</td>
<td>SPPM</td>
<td>7</td>
<td>Revisit Library of Congress Regulations (LCRs) and Library of Congress Directives (LCDs) to ensure that any adjustments made to risk identification in the system are captured—SPPM is currently reviewing its LCRs and LCDs to identify opportunities for ensuring all new risk management processes, roles, and expectations are identified and described. The estimated date of completion is the first quarter of FY 2024.</td>
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</table>
### Office of the Librarian / Equal Employment Opportunity & Diversity Programs

<table>
<thead>
<tr>
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<tr>
<td>Library's Anti-Harassment Policy</td>
<td>2020-PA-102</td>
<td>EEO/DP</td>
<td>4</td>
<td>Report Summary: We evaluated the Library's anti-harassment policy administered by the Office of Equal Employment Opportunity and Diversity Programs (EEO/DP), assessed whether it adhered to best practices, and examined relevant training practices. Implement mandatory sexual harassment prevention training, or broader training on employment discrimination that addresses sexual harassment regularly, such as annually or biennially, for all Library employees—Courses are being reviewed for mandatory training on harassment training including sexual harassment. The estimated date of completion is the fourth quarter of FY 2023.</td>
</tr>
<tr>
<td>Library's Anti-Harassment Policy</td>
<td>2020-PA-102</td>
<td>EEO/DP</td>
<td>5</td>
<td>Update the out-of-date information in EEO policies (i.e., the appropriate regulations and directive) for the anti-harassment, EEO complaint, and ADR processes—EEO policies are being reviewed. The estimated date of completion is the third quarter of FY 2023.</td>
</tr>
<tr>
<td>Library's Anti-Harassment Policy</td>
<td>2020-PA-102</td>
<td>EEO/DP</td>
<td>6</td>
<td>Establish a system to update EEO policies for the anti-harassment, EEO complaint, and ADR processes as soon as possible when changes are made—Drafted language on reviewing EEO/DP processes for inclusion in the annual assessment review as part of a comprehensive standard operating procedure to address all the audit findings regarding program assessment. The estimated date of completion is the fourth quarter of FY 2023.</td>
</tr>
<tr>
<td>Library's Anti-Harassment Policy</td>
<td>2020-PA-102</td>
<td>EEO/DP</td>
<td>13</td>
<td>Require EEO/DP to report on the timeliness of its EEO complaint activities, and the EEO complaint process generally, to the Chief of Staff and in its annual report—Drafted language on reviewing EEO/DP processes for inclusion in the annual assessment review as part of a comprehensive standard operating procedure to address all the audit findings regarding program assessment. The estimated date of completion is the fourth quarter of FY 2023.</td>
</tr>
<tr>
<td>The Library's Anti-Harassment Policy</td>
<td>2020-PA-102</td>
<td>EEO/DP and OGC</td>
<td>14</td>
<td>Establish timeframes in Library policy for the Librarian to issue a final agency decision with or without a hearing—The Office of General Counsel (OGC) will revise the LCRs to include timeframes determined by the Librarian and negotiated with the unions. The estimated date of completion is the fourth quarter of FY 2023.</td>
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</table>
## UNIMPLEMENTED RECOMMENDATIONS

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

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<tr>
<td>Library's Anti-Harassment Policy</td>
<td>2020-PA-102 June 2022</td>
<td>EEO/DP</td>
<td>15</td>
<td>Develop a more rigorous EEO/DP quality control program, thoroughly document the program in EEO/DP’s standard operating procedures, and initiate the program in full—Drafted language on reviewing EEO/DP processes for inclusion in the annual assessment review as part of a comprehensive standard operating procedure to address all the audit findings regarding program assessment. The estimated date of completion is the third quarter of FY 2023.</td>
</tr>
<tr>
<td>Library's Anti-Harassment Policy</td>
<td>2020-PA-102 June 2022</td>
<td>EEO/DP</td>
<td>16</td>
<td>Require EEO/DP to complete an annual self-assessment of its operations that includes evaluating compliance with Library EEO-related regulations and directives as appropriate and submit the assessment to the Chief of Staff for review. EEO/DP should document these activities in its standard operating procedures—Drafted language on reviewing EEO/DP processes for inclusion in the annual assessment review as part of a comprehensive standard operating procedure to address all the audit findings regarding program assessment. The estimated date of completion is the fourth quarter of FY 2023.</td>
</tr>
<tr>
<td>Library's Anti-Harassment Policy</td>
<td>2020-PA-102 June 2022</td>
<td>EEO/DP</td>
<td>17</td>
<td>Require the Chief of Staff to determine the necessity of a qualified outside entity conducting periodic assessments of EEO/DP’s compliance with the Library EEO-related regulations and directives as appropriate as well as with EEO/DP’s own standard operating procedures—Providing input to the assessment areas for the EEO/DP program. The estimated date of completion is the fourth quarter of FY 2023.</td>
</tr>
<tr>
<td>Library's Anti-Harassment Policy</td>
<td>2020-PA-102 June 2022</td>
<td>EEO/DP</td>
<td>23</td>
<td>Direct EEO/DP to develop an overall mission statement and then align whatever goals and performance measures it has in support of its stated mission—Working on aligning goals and measures processes for inclusion in the annual assessment review as part of a comprehensive standard operating procedure to address all the audit findings regarding program assessment. The estimated date of completion is the fourth quarter of FY 2023.</td>
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</table>
Report summary: We reviewed the joint effort involving OCIO and the U.S. Copyright Office (USCO) to develop the future-state version of USCO's Copyright Recordation system, which is part of the larger USCO IT modernization plan. Develop and implement guidance on tracking and resolving project health issues, on development projects that follow an agile, hybrid, or other similar methodology—The Library has developed an Earned Value Management (EVM) process for agile, hybrid, or similar projects and programs that follows GAO’s Agile Assessment Guidelines. In March 2023, OCIO submitted evidence, which is under review, to demonstrate that this recommendation had been implemented.

Report summary: We reported on OFORS, a $1.7 million custom-built, IT system originally scheduled for completion by September 2012 that was not partially installed until FY 2015. Develop and implement policies and procedures that clearly establish service unit stakeholder accountability and define program/project and cost management responsibilities for the development and implementation of IT systems based on relevant best practices—OCIO updated the Project Management LCR 5-310, which emphasizes the policy and principles associated with the project management framework, rather than the activities of the Project Management Office. OGC circulated revisions to the LCR working group and is addressing comments received. Upon resolution of comments and approval by the Librarian, the LCR will be promulgated. The estimated date of completion is the fourth quarter of FY 2023.

Report summary: We assessed the protection of network file shares that store sensitive data, such as personally identifiable information (PII). Perform an inventory of its various data types and create a data catalog scheme—The Library implemented the Varonis tool to identify High Value Asset (HVA) data from the file shares. The HVA data was then categorized into a Data Catalog. The Library also briefed the OGC on the tool and the process used to perform the inventory in light of the privacy data the HVA systems hold. In March 2023, OCIO submitted evidence, which is under review, to demonstrate that this recommendation had been implemented.

Report summary: OCIO is now working with Records Management to map the Data Catalog against the Records Management schedules for HVA systems. Once the mapping has been completed, OCIO will coordinate with the Library's service units to assess and catalog the data. The estimated date of completion is the fourth quarter of FY 2023.
### UNIMPLEMENTED RECOMMENDATIONS

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<tr>
<td>Network File Shares Security Evaluation</td>
<td>2020-IT-102</td>
<td>February 2022</td>
<td>OCIO</td>
<td>1.3</td>
<td>Identify and appropriate operational and technical controls to safeguard cataloged and sensitive data other than Personally Identifiable Information (PII) commensurate with the risk if such information was improperly disclosed—The Library identified appropriate operational and technical controls to safeguard cataloged and sensitive data other than PII. The list of controls has been incorporated into the Enterprise Common Control Catalog. The Library will publish the Enterprise Common Control Catalog and submit the evidence to OIG. The estimated date of completion is the fourth quarter of FY 2023.</td>
</tr>
<tr>
<td>Network File Shares Security Evaluation</td>
<td>2020-IT-102</td>
<td>February 2022</td>
<td>OCIO</td>
<td>1.4</td>
<td>Ensure that Information System Business Owners (ISBOs) are documenting the annual FIPS-199 data categorization and ratings (in addition to the PII annual reviews) within the Archer system—In June 2022, the Library modified Archer’s configuration to include fields denoting the ISBOs annual review of the FIPS 199. The Library then developed procedures for the ISBOs to accompany the next annual review which was performed in parallel with the annual privacy documentation review in January 2023 through March 2023. The Information System Security Officers created Plan of Action and Milestone (POA&amp;Ms) for IT systems where the ISBO did not review and approve their IT system’s FIPS-199 by the end of March 2023. In March 2023, OCIO submitted evidence, which is under review, to demonstrate this recommendation has been implemented.</td>
</tr>
<tr>
<td>Network File Shares Security Evaluation</td>
<td>2020-IT-102</td>
<td>February 2022</td>
<td>OCIO</td>
<td>2.1</td>
<td>Ensure that access to shared data systems is being properly requested, approved, and granted, and retain records of the actions—The Library created and finalized documentation outlining a process that ensures access to shared data systems is requested, approved, and granted. The Library has published the procedures on OCIO’s IT Security intranet. In March 2023, OCIO submitted evidence, which is under review, to demonstrate this recommendation has been implemented.</td>
</tr>
<tr>
<td>Network File Shares Security Evaluation</td>
<td>2020-IT-102</td>
<td>February 2022</td>
<td>OCIO</td>
<td>2.2</td>
<td>Conduct periodic reviews of permissions to file shares and retain documentation of the results—The Library created and finalized documentation outlining a process that ensures periodic reviews of permissions for file shares. OCIO is currently assessing the available tools that would assist with the review of permissions for file shares. The estimated date of completion is the fourth quarter of FY 2023.</td>
</tr>
<tr>
<td>Network File Shares Security Evaluation</td>
<td>2020-IT-102</td>
<td>February 2022</td>
<td>OCIO</td>
<td>3.1</td>
<td>Enable sensitive file share logs which are to be defined, captured, monitored, and transferred to the Library’s Security Information Event Management system for timely monitoring, reporting, and investigation of suspicious activity—The Library implemented the Varonis tool to identify HVA data from the file shares. The HVA data was then categorized into a Data Catalog. IT Security is currently identifying the logs that need to be transferred from the file share to the SIEM tool allowing the Library to monitor, report, and investigate suspicious activity. The estimated date of completion is the fourth quarter of FY 2023.</td>
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### Table 4: Significant Recommendations from Previous Semiannual Reports for which Corrective Action Has Not Been Completed

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<tr>
<td>Cloud Service Provider Governance</td>
<td>2020-IT-103 January 2022</td>
<td>OCIO</td>
<td>1.2</td>
<td>Report summary: We tested the Library’s practices in implementing cloud technology. Enhance and document the Library’s capabilities to ensure that OCIO can automatically track and report on the Library’s current-state cloud systems at a level of granularity that can support enterprise architecture (EA) and OCIO reporting of cloud migration metrics and track the Library’s progress toward a planned future state—with modifications to Archer’s configurations recently implemented, the Library can now track and report IT systems hosted in the cloud. To track migration of remaining IT systems identified in this audit, OCIO will monitor and report on execution of the migration project. The estimated date of completion is the fourth quarter of FY 2023.</td>
</tr>
<tr>
<td>Cloud Service Provider Governance</td>
<td>2020-IT-103 January 2022</td>
<td>OCIO</td>
<td>4.2</td>
<td>Perform an OCIO-wide skills gap assessment in support of the Library cloud strategy—The Library is finalizing the agreement with the US Office of Personnel Management (OPM) to conduct the OCIO skills gap assessment in support of the Library cloud strategy. In addition, OCIO has been working with the Library’s Human Capital Directorate (HCD) to determine if this assessment can be done internally. The estimated date of completion is the fourth quarter of FY 2024.</td>
</tr>
<tr>
<td>Cloud Service Provider Governance</td>
<td>2020-IT-103 January 2022</td>
<td>OCIO</td>
<td>4.3</td>
<td>Based on the results of the OCIO-wide skills gap assessment, implement any necessary corrective actions—The Library will implement corrective actions that may result from the skills gap assessment being conducted in Recommendation 4.2 of this report. The estimated date of completion is the first quarter of FY 2025.</td>
</tr>
<tr>
<td>Cloud Service Provider Governance</td>
<td>2020-IT-103 January 2022</td>
<td>OCIO</td>
<td>6.5</td>
<td>Conduct an analysis to determine if System Support Programs (SSPs) for other systems have insufficient tailoring or inheritance statements and create a plan to address any identified gaps—OCIO reviewed the Archer configuration and determined the move of IT security controls from Rev. 4 to Rev. 5 would correct the inherited controls issues. Following the implementation of the NIST 800-53 Rev 5 controls at the end of June 2022, the inheritance of controls within the systems has been re-aligned. In FY 2022, OCIO submitted the SPP Compliance Review Report to OIG who requested additional information. OCIO further reviewed the control inheritance data within Archer and will submit the SSP Compliance Review Report showing that the controls with an Associated Control Status of Inherited has the correct IT system linked in the Partial Control Provider. The estimated date of completion is the fourth quarter of FY 2023.</td>
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<tr>
<td>Cloud Service Provider Governance</td>
<td>2020-IT-103 January 2022</td>
<td>OCIO</td>
<td>7.3</td>
<td>Plan and monitor the implementation of its cloud IT investments and complete and submit quarterly and annual IT investment reports with documentation supporting the reported status, if necessary—In February 2022, the Library submitted a FY 2023 funding request as part of the FY 2023 Congressional Budget Justification to establish a Cloud Program Office which was approved in December 2022 as part of the enacted FY 2023 budget. OCIO has now initiated the hiring process for the required full time equivalent positions. Once hired, the staff in the newly formed Cloud Program Office will plan and monitor the implementation of cloud IT investments and be able to submit IT investment reports. The estimated date of completion is the second quarter of FY 2024.</td>
</tr>
<tr>
<td>FY 2021 Cybersecurity Controls Maturity Evaluation</td>
<td>2021-IT-101 July 2022</td>
<td>OCIO</td>
<td>2.1</td>
<td>Report summary: We evaluated selected cybersecurity control areas and the effectiveness of such control areas. Develop formal procedures for maintaining an up-to-date inventory of hardware assets and removing unauthorized or unmanaged hardware assets in a timely manner—The Library is developing formal procedures for maintaining an up-to-date inventory of hardware assets as part of the IT asset management tool implementation. The Library is reviewing IT asset management solution implementation proposals. The award is due to be approved in the third quarter of FY 2023. The estimated date of completion is the fourth quarter of FY 2024.</td>
</tr>
<tr>
<td>FY 2021 Cybersecurity Controls Maturity Evaluation</td>
<td>2021-IT-101 July 2022</td>
<td>OCIO</td>
<td>2.2</td>
<td>Implement tools to a) track and monitor all authorized hardware assets on the Library network and b) report or prevent unauthorized devices connecting to the network—The Library is reviewing IT asset management solution implementation proposals. The award is due to be approved in the third quarter of FY 2023. The estimated date of completion is the fourth quarter of FY 2024.</td>
</tr>
<tr>
<td>FY 2021 Cybersecurity Controls Maturity Evaluation</td>
<td>2021-IT-101 July 2022</td>
<td>OCIO</td>
<td>2.3</td>
<td>Maintain a complete, accurate, and centralized repository of all hardware assets connected to the Library network—The Library will maintain a centralized repository of all hardware assets connected to the Library network once an IT asset management tool has been implemented. The Library is reviewing IT asset management solution implementation proposals. The award is due to be approved in the third quarter of FY 2023. In addition, the Library is implementing an IT Operations Management solution that will provide a centralized repository of hardware assets on the Library network. The estimated date of completion is the fourth quarter of FY 2024.</td>
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Develop formal policies and procedures over their process for maintaining an up-to-date software inventory that incorporates security controls requirements from National Institute of Standards and Technology (NIST) Special Publication (SP) 800-53, *Configuration Management (CM-8)* and industry practices from NIST SP 800-37 and NIST SP 800-128—As part of implementing an IT asset management solution, the Library is developing formal policies and procedures for maintaining a software inventory for the IT asset management tool implementation. The formal policies and procedures will incorporate security controls requirements from NIST SP 800-53, CM-8 and industry practices from NIST SP 800-37 and NIST SP 800-128. The Library is reviewing IT asset management solution implementation proposals. The award is due to be approved in the third quarter of FY 2023. The estimated date of completion is the fourth quarter of FY 2024.

Complete the implementation of its Configuration Management Database (CMDB) to track and manage the inventory of software assets—The Library acquired the IT Operations Management (ITOM) suite of tools which is needed to complete the implementation of the CMDB. The Library is currently preparing the acquisition package for additional professional resources needed to implement the ITOM tools. A project charter has been drafted and is being processed for approval. The Library is extending the estimated completion date to the first quarter of FY 2026 in order to align it with the ITOM project charter. The estimated date of completion is the first quarter of FY 2026.
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| Chief Operating Officer (COO)                          |                       |                      |          | **Comprehensive Redesign Needed of Gift Shop Financial Management and Accounting**  
2017-PA-102 April 2019  
COO/ Business Enterprises  
1  
Report summary: We audited the internal controls of the Library's Gift Shop. Comprehensively review and redesign the financial and accounting processes and systems. It should implement a financial reporting system for Gift Shop operations that includes an automated trial balance based on double entry accounting, and one that produces a full complement of financial statements (i.e., balance sheet, profit and loss (P&L) statement, and cash flow statement) that is compliant with generally accepted accounting principles on a monthly, quarterly, and annual basis—In September 2022, the Library began implementing an interface between Counterpoint (the enterprise system) and Momentum (the Library’s financial system of record). The Retail Services (Gift Shop) and Financial Services Directorate (FSD) are currently in the design phase of the project. This project will also create financial statements for the Gift Shop in the Momentum Form and Content module. The interface and reports are projected to go live by September 2023. The estimated date of completion is the fourth quarter of FY 2023. |
| FEDLINK Hotline Complaint Regarding the Timeliness of Processing Customer Orders | 2018-SP-104 May 2019 | COO/ FEDLINK          | 1        | Report summary: We evaluated a hotline complaint regarding the Federal Library and Information Network (FEDLINK) and two of its customers. FEDLINK serves federal libraries and information centers as a purchasing, training, and resource-sharing consortium.  
Create a formal process for tracking, reviewing, and resolving issues from customers and vendors. Implementing a formal process for centrally documenting customer issues could benefit FEDLINK, as it would allow FEDLINK to quickly identify and resolve systemic issues, thereby improving the services that FEDLINK provides to its customers. Implementing a formal process for tracking customer service issues related to contracts would also assist in ensuring that FEDLINK sufficiently documents issues to enable it to resolve the issues regardless of possible employee turnover. A formalized process would also assist in ensuring that all customer issues received are available to the FEDLINK personnel assigned to the relevant contract, regardless of the process by which the issue was submitted—FEDLINK continues to work to create a formal process for tracking, reviewing, and resolving issues from customers and vendors. Based on the results of a consultant assessment of Customer Relationship Management (CRM) software tools which identified formal workflows and commercially available CRM platforms, COO prepared and submitted an acquisition package to purchase a CRM. This requirement is scheduled to be awarded before the end of FY 2023. The estimated date of completion is the third quarter of FY 2024. |
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<td>Library Continues to Face Challenges Ensuring Effective Financial Management and Reporting</td>
<td>2019-SP-101 May 2020</td>
<td>COO/ FSD</td>
<td>2</td>
<td>Report summary: We evaluated progress made by the Library in addressing the material weakness, significant deficiencies, and noncompliance with laws and regulations reported by the independent public accountants during their FY 2017 Library Financial Statements Audit. Take a greater leadership role with implementing Technology Business Management (TBM). In order to do so, FSD must take steps to equip itself with the required skills and resources it needs to improve and further develop TBM, such as hiring cost accountants—FSD continues its efforts to expand its workforce capacity, including a cost management specialist whose responsibilities will include supporting evolving TBM requirements. The estimated date of completion is the fourth quarter of FY 2023.</td>
</tr>
<tr>
<td>Library Collections Access Platform Project Cost Evaluation</td>
<td>2021-SP-102 June 2022</td>
<td>COO/ FSD and OCIO</td>
<td>2</td>
<td>Report summary: We evaluated the cost estimate of the Library Collections Access Platform (L-CAP) project. Consider updating NEPR guidance to require Library personnel to prepare cost estimates in accordance with the GAO’s Cost Estimating and Assessment Guide, to the extent the Library determines it applicable—The 2024 NEPR guidelines implemented a more detailed Funding Breakdown Spreadsheet. For complex multiyear projects, the spreadsheet isolates multiyear implementation costs and outyear sustainment costs. To match the implementation costs profile, a critical path of major project milestones are mandated along with project management information requiring an integrated master plan, critical path, and other project management documentation. It is anticipated that the FY 2025 NEPR instructions will include more stringent costing documentation with possible additional capability for in-depth costing review. For any development projects or modernization requirements that are somewhat complex and involve the development of systems, facilities or major process improvements, NEPR guidelines require project management plans. This will include schedules for developing and submitting an integrated master plan and a critical path for the project. Also, required is specific project manager information, and any other related information. The estimated date of completion is the fourth quarter of FY 2023.</td>
</tr>
<tr>
<td>Library Collections Access Platform Project Cost Evaluation</td>
<td>2021-SP-102 June 2022</td>
<td>COO/ FSD and Service Units</td>
<td>3</td>
<td>Obtain additional resources and personnel with technical knowledge to enhance its NEPR review process and technical evaluations—Funding in the fiscal 2023 budget which will significantly increase the cost estimation capability within FSD. This expertise will be utilized in the NEPR process and will enhance the review of complex projects. OCIO has developed the Position Descriptions (PDs) for the hiring of two full time equivalent positions that will support IT cost analysis and estimating. The PDs are with HCID for classification after which the vacancy announcement will be issued. The estimated date of completion is the second quarter of FY 2023.</td>
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<td>Library Collections Access Platform Project Cost Evaluation</td>
<td>2021-SP-102 June 2022</td>
<td>COO/ FSD and Service Units</td>
<td>4a</td>
<td>Design and implement clearer guidance on completing the NEPR, including guidance addressing how to: a) Specify what costs are included in the total costs and project profile sections—The 2024 NEPR guidelines document includes a detailed explanation for developing costing information in the Funding Breakdown Spreadsheet. FSD will continue to review and update in future budget cycles. The estimated date of completion is the second quarter of FY 2023.</td>
</tr>
<tr>
<td>Library Collections Access Platform Project Cost Evaluation</td>
<td>2021-SP-102 June 2022</td>
<td>COO/ FSD and Service Units</td>
<td>4b</td>
<td>Design and implement clearer guidance on completing the NEPR, including guidance addressing how to include all documentation supporting the cost estimate, including the cost estimate spreadsheet and the Cost Estimating Document—Additional detailed costing documentation outside the NEPR form is required by the NEPR guidelines. The NEPR form itself is not equipped to accommodate such costing information such as a work breakdown schedule. This type of costing documentation is requested as &quot;additional cost estimates&quot; mandated in the NEPR guidelines. The estimated date of completion is the second quarter of FY 2023.</td>
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Report summary: We assessed the Library's capability to perform end-to-end monitoring of the effectiveness of its collections storage process across different collection formats through the use of performance measures. This included assessing activities in relation to performance targets for arrearage.

Develop and implement performance measures for the collection services workflow that measure desired outcomes aligned with the first goal of the Library's new strategic plan to expand user access and the goal's first objective to increase the discoverability and availability of collection materials, including measures for analog and electronic collection materials of cycle time and the age of LS's inventory of unprocessed materials—LCSG's Planning, Assessment and Communications Team (LCSG/PAC) continues to manage Collection Services Workflow report recommendations. PAC is developing a report outlining measures related to user access and increasing the discoverability and availability of collection materials. One complete measure for cycle time will be challenging if not impossible to accomplish—as discussed during the closure of former Rec. 3—LCSG has documented dozens of workflows for acquisitions of various types, languages, and formats of content. These workflows are tied to available staff resources, the changing nature of technology, consistently iterative workflows to enable better, more efficient work, etc. As workflows branch and rejoin based on the format and mode of acquisition, the Library will not be able to provide one cycle times for every format/type/etc. of material from acquisition to access, and as there are a large number of possible variants developing bespoke processes for providing cycle times for all may have a limited return on investment. LCSG will continue to submit surrogate and select measures in the meantime, including the biennial Age of Arrearage report, which was sent to OIG in late 2022. The estimated date of completion is the fourth quarter of FY 2023.

Utilize baseline and trend data in measuring progress in fulfillment of the first goal of the Library's new strategic plan to expand user access and the goal's first objective to increase the discoverability and availability of collection materials—The report PAC is developing for Rec. 1 (outlining measures related to user access and increasing the discoverability and availability of collection materials) includes baseline and trend data for current measures, and will include methodology we plan to use for measures we have not fully implemented. The estimated date of completion is the fourth quarter of FY 2023.

Create a complete and accurate inventory of unprocessed electronic collection materials—PAC and others continue to work to conduct an updated pilot for both special and general collections, and develop repeatable, auditable processes for accurate and sustained measurement. The revised estimated date of initial completion of this recommendation remains the fourth quarter of FY 2023.
<table>
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<tr>
<th>Subject</th>
<th>Report No.</th>
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<th>Rec. No.</th>
<th>Summary of Recommendation and Action</th>
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<tr>
<td>Library Services Needs to Strengthen Its Performance Measurement of the Collection Services Workflow</td>
<td>2018-SP-101 August 2019</td>
<td>LCSG</td>
<td>6</td>
<td>Use complete and accurate data to establish an outcome-oriented target for reducing the size of its inventory of unprocessed analog collection materials (e.g., using a ratio of unprocessed analog materials to analog collection materials overall) and use the target to measure performance—Staff completed FY 2022 Count Week activities from Sept. 12–14, 2022. PAC has reviewed and compiled data; the findings have been drafted in an analysis report to be presented to management. The report includes statistics and lessons learned, and preparation for next year’s count week has begun with the date already announced to staff and managers. The estimated date of completion is the fourth quarter of FY 2023.</td>
</tr>
<tr>
<td>Library Services Needs to Strengthen Its Performance Measurement of the Collection Services Workflow</td>
<td>2018-SP-101 August 2019</td>
<td>LCSG</td>
<td>7</td>
<td>Use complete and accurate data to establish plans to set an outcome-oriented target for reducing the size of its inventory of unprocessed electronic collection materials (e.g., using a ratio of unprocessed electronic materials to electronic collection materials overall)—Once a complete, accurate, and maintainable inventory of unprocessed digital collection materials has been completed, it will be used to establish plans to set an outcome-oriented target for reducing the size of that inventory of unprocessed digital collection materials. This effort will be helped by the reporting of eSerials and eNewspapers digital acquisitions received via Copyright. Counting efforts will be expanded to all born digital formats in subsequent years. The estimated date of completion is the fourth quarter of FY 2023.</td>
</tr>
<tr>
<td>Library Services Needs to Strengthen Its Performance Measurement of the Collection Services Workflow</td>
<td>2018-SP-101 August 2019</td>
<td>LCSG</td>
<td>8</td>
<td>Establish outcome-oriented measures focused on LS’s performance related to meeting user needs associated with the collection services workflow—In development of FY 2023 performance goals, LCSG continued to implement an outcome oriented approach for performance measurement. LCSG will continue in FY 2024 to increase the percentage of outcome and customer-need performance measures. The estimated date of completion is the fourth quarter of FY 2023.</td>
</tr>
<tr>
<td>Library Services Needs to Strengthen Its Performance Measurement of the Collection Services Workflow</td>
<td>2018-SP-101 August 2019</td>
<td>LCSG</td>
<td>9</td>
<td>Adopt a cross-organizational approach to performance measurement related to the collection services workflow that facilitates collaboration across LS’s organizational units—See the response provided above for 2018-SP-101, Recommendation 8. The estimated date of completion is an, as of yet, unspecified quarter of FY 2023.</td>
</tr>
<tr>
<td>Library Services Needs to Strengthen Its Performance Measurement of the Collection Services Workflow</td>
<td>2018-SP-101 August 2019</td>
<td>LCSG</td>
<td>10</td>
<td>Track the allocation of resources associated with outcome-based performance measures for all stages of the collection services workflow for analog and electronic collection materials—LCSG has requested data linking resources to directional plan elements, which will be used to begin linkage to various outcome-based performance measures for all stages of the collection services workflow for analog and electronic collection materials. LCSG is also hopeful about leveraging the Library’s new EPM system to conduct some of this work in the future. The estimated date of completion remains FY 2023. The estimated date of completion is the fourth quarter of FY 2023.</td>
</tr>
</tbody>
</table>
Table 4A: Significant Recommendations from Previous Semiannual Reports for which Corrective Action Has Not Been Completed

<table>
<thead>
<tr>
<th>Subject</th>
<th>Report No. Issue Date</th>
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<td>Library Services Needs to Strengthen Its Performance Measurement of the Collection Services Workflow</td>
<td>2018-SP-101 August 2019</td>
<td>LCSG</td>
<td>11</td>
<td>Establish capacity utilization performance measures that track the effectiveness of the collection services workflow—LCSG has requested data linking staffing to directional plan elements, which will be used to begin linkage to various outcome-based performance measures for all stages of the collection services workflow for analog and electronic collection materials. LCSG is also hopeful about leveraging the Library’s new EPM system to conduct some of this work in the future. The estimated date of completion is the fourth quarter of FY 2023.</td>
</tr>
<tr>
<td>National Library Service for the Blind and Print Disabled's IT Modernization Evaluation</td>
<td>2020-IT-105 September 2021</td>
<td>LCSG/NLS, COO/FSD, and OCIO</td>
<td>1.1</td>
<td>Report summary: We reported on the NLS’s IT modernization projects. FSD, in consultation with the OCIO PMO, continue efforts to align actual cost tracking practices with the GAO’s Cost Estimating and Assessment Guide, as previously recommended by OIG’s report 2019-IT-104, IT Modernization Evaluation Report, February 2021. Until such time that FSD can implement actual cost tracking practices that are aligned with GAO’s Cost Estimating and Assessment Guide Library-wide, we recommend that FSD implement cost accounting procedures to close the gap while the ideal solution is being designed—OCIO has implemented all current FSD draft guidance pertaining to this recommendation. FSD has informed OIG that additional time is needed to finalize a transition plan and FSD is in process of developing a memo outlining strengthened procedures for tracking the actual costs of IT Projects. The estimated date of completion is the third quarter of FY 2023.</td>
</tr>
</tbody>
</table>
The Lincoln Highway is the first transcontinental highway in the United States and one of the first designed expressly for automobiles. The Lincoln Highway, affectionately known as the "Main Street of America," was dedicated in 1913. It runs coast-to-coast from Times Square in New York City to the Pacific Ocean in San Francisco. It initially ran through 13 states bringing prosperity to the cities and towns along the way. Today's Lincoln Highway spans 3,389 miles through 14 states: New York, New Jersey, Pennsylvania, West Virginia, Ohio, Indiana, Illinois, Iowa, Nebraska, Colorado, Wyoming, Utah, Nevada, and California.
Route 66 is known as the "Mother Road." This great American road has everything from vintage motels with neon signs, to classic cars, to giant cowboys that pierce the desert sky. Established in 1926, the road spans from Chicago to Los Angeles, running through Illinois, Missouri, Kansas, Oklahoma, Texas, New Mexico, Arizona, and California. For decades, this historic road served a path for those who were migrating west—especially during the Dust Bowl in the 1930s. Route 66 was officially decommissioned in 1985, but it still serves as a way of travel for thousands that enjoy vintage experiences along the old highway.
### Table 5: Reporting Requirements under the Inspector General Act of 1978, as Amended, and the Library of Congress Inspector General Act of 2005, as Amended

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<td>4(a)(2)</td>
<td>Review of legislation and regulations.</td>
<td>18</td>
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<td>5(a)(1)</td>
<td>Significant problems, abuses, and deficiencies.</td>
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<tr>
<td>5(a)(2)</td>
<td>Recommendations for which corrective action has not been completed, including potential associated cost savings, when applicable.</td>
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<td>5(a)(3)</td>
<td>Significant closed investigations.</td>
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<td>5(a)(4)</td>
<td>Number of convictions from investigations.</td>
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<tr>
<td>5(a)(5)</td>
<td>Listing of completed audits, inspections and evaluations, and associated information.</td>
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<tr>
<td>5(a)(6)</td>
<td>Management decisions made with respect to issued audits, inspections, or evaluations.</td>
<td>13–14, 19-22</td>
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<tr>
<td>5(a)(8), (9), (10)</td>
<td>Information regarding peer reviews involving OIG.</td>
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<tr>
<td>5(a)(11)</td>
<td>Statistical tables pertaining to OIG investigations.</td>
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<td>5(a)(12)</td>
<td>Description of the metrics for OIG investigative table.</td>
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<tr>
<td>5(a)(13)</td>
<td>Reports involving senior Government employees where allegations of misconduct were substantiated.</td>
<td>20–22</td>
</tr>
<tr>
<td>5(a)(14)</td>
<td>Instances of whistle-blower retaliation and related information.</td>
<td>N/A</td>
</tr>
<tr>
<td>5(a)(15)/ 6(c)(2)</td>
<td>Attempted agency interference with OIG independence and related information.</td>
<td>N/A</td>
</tr>
<tr>
<td>5(a)(16)</td>
<td>Circumstances of audits, inspections, and evaluations and investigations of senior Government employees undisclosed to the public.</td>
<td>13–22</td>
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<table>
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<td>(d)(3)(c)(i)</td>
<td>Semiannual certification of law enforcement program.</td>
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*This section was derived from section 5 of the Inspector General Act of 1978 (IG Act), Pub. L. 95–452, which was set out in a former Appendix to Title 5. On December 23, 2022, the IG Act was amended by Pub. L. 117–263, div. E, title LII, which recodified the IG Act at 5 U.S.C. §§ 401-424 (including the semiannual reporting requirements), prior to being repealed and reenacted on December 27, 2023 by Pub. L. 117–286. For applicability of those amendments to this section, see section 5(b) of Pub. L. 117–286, Transitional and Savings Provisions. The semiannual reporting requirements of section 5 (except (a)(7)) apply to the Library’s OIG through the Library of Congress Inspector General Act of 2005, as amended, 2 U.S.C. § 185. Section 5 states, “Each Inspector General shall, not later than April 30 and October 31 of each year, prepare semiannual reports summarizing the activities of the Office during the immediately preceding six-month periods ending March 31 and September 30.”*
Our Audits Division undergoes external peer reviews at least once every three years for our compliance with the GAO’s audit standards and standards set by CIGIE for inspections and evaluations.

We underwent a peer review for compliance with audit standards by the U.S. Consumer Product Safety Commission (CPSC) OIG for the period ending March 31, 2022. The CPSC OIG concluded that we met the standards under review and made no recommendations. OIG’s system of quality control was suitably designed and complied with to provide reasonable assurance of conforming with applicable professional standards in all material respects. Accordingly, the CPSC OIG provided a “pass” rating, and no recommendations were made; this is the highest available rating. There were no outstanding recommendations from a previous peer review.

We completed an audit peer review of the AmeriCorps OIG in June 2022 for the period ending September 30, 2021. We concluded that the OIG met the standards under review, issued a “pass” rating, and made no recommendations.

We underwent a peer review for compliance with inspection and evaluation standards by the Office of Personnel Management (OPM) OIG for the period ending March 31, 2021. The OPM OIG concluded that OIG met the standards under review. OPM OIG did not make any recommendations for improvement. There were no outstanding recommendations from the previous peer review.

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

Cover:
Grogan, Brian, photographer.

Highsmith, Carol M., photographer.

Verso Cover Page:
Jones, Otto M., photographer.

Highsmith, Carol M., photographer.
A Classic Roadside Advertising Figure, the “Big Boy.” Dixon Rio Arriba County, New Mexico, 2021; Neon Sign at the Twist Cone Ice Cream Stand in Aberdeen. Aberdeen, South Dakota, 2021.

Atlantic Highway Association Contributor, EE. Cartographer Jenkins, John C. Cartographer Mulford, and National Highways Association Creator.

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Margolies, John, photographer.

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It’s Chilly November, but the Fun Stop Family Action Park’s Ice-Cream Stand. Pigeon Forge, Tennessee, 2021; Lemonade Stand at the Zapata County Fair. Zapata, Texas, 2014.

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A Fiberglass Figure of a Teenager...Outside the Circle T Drive-In Restaurant. Belen, New Mexico, 2021; French Quarter Detail, New Orleans, Louisiana, 2006; Pete’s Famous Hot Dogs. Birmingham, Alabama, 2010.

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R.C. Maxwell Company.

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Automobile Club of Southern California.
Lincoln Highway from Omaha to Chicago and Philadelphia [Strip Maps]. ca. 1921.

Twachtman, Phyllis, photographer.

Davis, Charles Henry, Everett press company.

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Highsmith, Carol M., photographer.

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Highsmith, Carol M., photographer.

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Margolies, John, photographer.

Highsmith, Carol M., photographer.
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