

OFFICE OF THE INSPECTOR GENERAL
Strategic Plan



FISCAL YEARS 2012-2016





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LEFT: MEMBERS OF CONGRESS ROOM, THOMAS
JEFFERSON BUILDING OF THE LIBRARY OF CONGRESS.

PHOTOGRAPH: CAROL HIGHSMITH.

COVER: MOSAIC OF "LAW" FROM THE MEMBERS OF
CONGRESS ROOM, THOMAS JEFFERSON BUILDING.

PHOTOGRAPH: COURTESY OF THE OFFICE
OF THE CHIEF FINANCIAL OFFICER.

INTRODUCTION

The concept of an independent review over an operation, dates in part, back some 230 years to the Continental Army, whose custom of having someone review the readiness of combat troops gave rise to the first Inspector General. The U.S. Government adopted the concept with the passage of the Inspector General Act of 1978, which established the first modern offices of inspector general in federal civilian agencies with a mandate to be independent voices for economy, efficiency, and effectiveness.

The Library of Congress Office of the Inspector General (OIG) was first established administratively by the Librarian of Congress in 1988 and later by Congress through the enactment of the Library of Congress Inspector General Act of 2005. The Act mandates the OIG to:

- Conduct and supervise audits, investigations (excluding incidents involving violence and personal property) and other reviews relating to the Library of Congress;
- Provide leadership and coordination and recommend policies to promote economy, efficiency, and effectiveness; and
- Inform the Librarian and the Congress about problems and deficiencies relating to the administration and operations of the Library.

The Library of Congress is the research and information arm of the U.S. national legislature, the world's largest storehouse of knowledge, and the nation's oldest federal cultural institution. It employs nearly 4,000 personnel and operates on about \$800 million annually to fulfill its 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."*

The Library has five major service units:

LIBRARY SERVICES performs the traditional functions of a library: acquisitions, cataloging, preservation, and reference services for both digital and conventional collections; and operates the National Library Service for the Blind and Physically Handicapped and the National Folklife Center, among other roles.

THE COPYRIGHT OFFICE administers the copyright laws of the nation; copyright deposits substantially contribute to the Library's collections.

THE CONGRESSIONAL RESEARCH SERVICE supports the legislative process by providing exclusively to Congress objective, nonpartisan 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 delivers information technology services.

In addition to the five primary service units, the Library's Support Operations provides financial, contracting, human resources, security, and other infrastructure services.

The Library's Executive Committee, comprised of the heads of the major service units, Chief of Staff, and head of Support Operations, is chaired by the Librarian of Congress and sets overall Library policy and practices. An Operations Committee, made up of the deputies of the service units and directors from the Office of the Librarian and Support Operations, addresses Library-wide operational matters.

The Library's Strategic Plan for fiscal years 2011-2016 documents the:

- Mission and organizational structure;
- Goals and strategies;
- Values; and
- External factors that influence the ability to achieve its goals.

The Library's strategic goals are to:

- Provide authoritative research, analysis, and information to the Congress,
- Acquire, preserve, and provide access to a universal collection of knowledge and the record of America's creativity,
- Sustain an effective national copyright system,
- Lead and work collaboratively with external communities to advance knowledge and creativity, and
- Manage proactively for demonstrable results.

The OIG's Strategic Plan documents the OIG's mission and goals for supporting the Library's Strategic Plan.

OIG MISSION

To promote economy, efficiency, and effectiveness in managing the Library of Congress by detecting and preventing fraud, waste, abuse, and mismanagement in the administration and operations of the Library.

AUTHORITY

In addition to the Library of Congress Inspector General Act of 2005, OIG operations are defined by two Library of Congress Regulations that expand and clarify the statutory mandate and define the OIG's relationship with the Library:

- 211-6—*Functions, Authority, and Responsibility of the Inspector General*
- 2023-9—*Rights and Responsibilities of Library Employees to the Inspector General*

OIG Special Agents receive law enforcement authority from the U.S. Marshals Service through special deputation.



PRODUCTS

To accomplish its mission, the OIG produces reports based on several types of analyses:

ATTESTATIONS, which involve examining, reviewing, or applying agreed-upon procedures on a subject matter, or an assertion about a subject matter. Attestations can have a broad range of financial or nonfinancial focuses, such as compliance with specific laws and regulations or assertions made in a cost/benefit analysis.

FINANCIAL AUDITS, which determine whether financial statements present fairly the financial position, results of operations, and cash flows in conformity with specified accounting principles, and whether an entity has adequate internal control systems and complies with applicable laws and regulations.

INVESTIGATIONS, which are conducted based on alleged or suspected wrongdoing by agency employees, contractors, recipients of financial assistance, and others. Violations of Library regulations or fraud committed against the Library can result in administrative sanctions and/or criminal prosecution or civil action.



NON-AUDIT SERVICES, which are equivalent to consulting services in the private sector and usually involve providing advice or assistance to Library managers without necessarily drawing conclusions, or making recommendations.

PERFORMANCE AUDITS, which 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.

REVIEWS, which include traditional forms of analyses such as audits and investigations, but is used most often to collectively describe other analyses the OIG performs such as inspections, which are broadly defined evaluations or studies, and non-audit services.



LEFT: MURAL DEPICTING GOVERNMENT,
THOMAS JEFFERSON BUILDING.

PHOTOGRAPH: CAROL HIGHSMITH.



GOALS, OUTCOMES, AND RESULTS STATEMENTS

GOAL 1: ENHANCE IDENTIFICATION OF IMPEDIMENTS TO EFFECTIVE MANAGEMENT.

Outcome: The OIG identifies risks that pose the most significant threats to economy, efficiency, and effectiveness in managing the Library of Congress.

RESULTS STATEMENTS

- A** Assessments of Library administration and operations are routinely performed to identify the need for, and to prioritize, OIG audits.
- B** There is continuous interaction with the OIG community, and others, to learn about risks facing federal agencies that may apply to the Library of Congress.
- C** The OIG fosters frequent interaction with the Librarian, Chief of Staff, other Executive Committee members, the Operations Committee, and staff to help identify the Library's top management challenges. This communication is focused on challenges that are complex, involve sizable funding, or are known to or expected to have impediments.

GOAL 2: FOSTER COMMUNICATION WITH LIBRARY STAFF AND OTHERS ABOUT REPORTING SUSPECTED FRAUD, WASTE, ABUSE, AND MISMANAGEMENT.

Outcome: Library staff and the public are informed about OIG communication channels to receive and discuss complaints and allegations about the Library.

RESULTS STATEMENT

- A** The OIG promotes economy, efficiency, and effectiveness by maximizing outreach to Library staff, contractors, and the private sector about the role of the OIG and the ways to anonymously report fraud, waste, abuse, and mismanagement at the Library.

GOAL 3: OPTIMIZE THE QUALITY, USEFULNESS, AND TIMELINESS OF OIG ANALYSES AND REPORTS THAT IDENTIFY WAYS TO IMPROVE LIBRARY ADMINISTRATION AND OPERATIONS.

Outcome 1: The OIG produces useful and timely analyses and reports that identify ways to, and are used by the Library to, manage the Library of Congress more economically, efficiently, and effectively.

RESULTS STATEMENTS

- A** The OIG focuses on high-risk and high-cost programs and operations and identifies funds to be put to better use in the administration of the Library, and performs investigative work that focuses on the most significant conduct issues.
- B** OIG communications effectively convey a compelling case for Library managers to take action to improve administration and operations of the Library, to take appropriate administrative action on conduct issues, and for prosecutors to initiate civil or criminal prosecutions when warranted.
- C** Performance standards for time frames on analyses, reporting, and addressing hotline complaints are established and followed.
- D** OIG staff work with Library management to resolve (obtain agreement on) and facilitate implementing audit recommendations and taking administrative actions on investigations.
- E** OIG follows up on all audit recommendations and administrative investigations to determine the Library's actions.

Outcome 2: The OIG maintains and follows internal policy for audits and investigations that align with professional quality standards.

RESULTS STATEMENTS

- A** Comprehensive OIG policy is established, updated, and followed for conducting all audits, investigations, and other reviews.
- B** An internal quality assurance program is maintained.
- C** OIG undergoes external independent peer reviews of its audit and investigation functions to evaluate the quality of management, policy, and individual audits, investigations, and other reviews.



GOALS, OUTCOMES, AND RESULTS STATEMENTS

GOAL 4: PROVIDE A QUALITY WORKING ENVIRONMENT AND RESOURCES THAT SUPPORT INDIVIDUAL DEVELOPMENT AND FULFILLMENT OF THE OIG MISSION.

Outcome 1: Performance and conduct expectations are communicated and there is collaboration and communication among OIG staff.

RESULTS STATEMENTS

- A** All staff members are aware of OIG expectations and policies and are able to provide input.
- B** OIG management interacts with staff about analyzing and reporting on the risks and management challenges facing the Library.
- C** Productivity and high-quality work are rewarded through a performance management system that also effectively addresses internal conduct and performance issues.


Outcome 2: There are sufficient staff resources to perform quality reviews, consistent with available budgets.

RESULTS STATEMENTS

- A** Sufficient staffing levels are maintained and training is provided to address the Library's most significant management challenges.
- B** Professional development and certifications are encouraged and supported.
- C** Performance is continually enhanced by providing applicable research and analysis resources and current technology.

NOTE FROM THE INSPECTOR GENERAL

This plan provides a means for the OIG to facilitate the Library's implementation of its Strategic Plan and will be reviewed and updated as needed in conjunction with revisions to the Library's Strategic Plan. Annual Objectives and specific Performance Targets associated with this plan are included in a separate Implementation Plan.

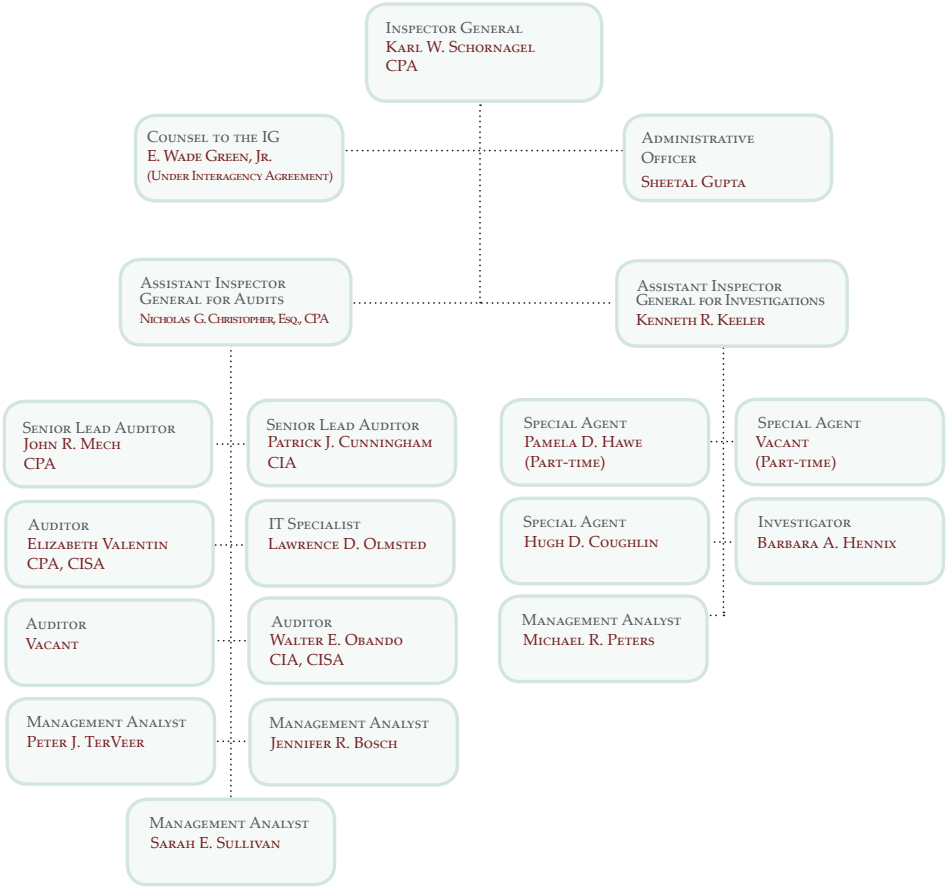


Karl W. Schornagel
Inspector General





ORGANIZATIONAL CHART



INSPECTOR GENERAL HOTLINE

HELP PROMOTE INTEGRITY, ECONOMY, AND EFFICIENCY

REPORT SUSPECTED FRAUD, WASTE, ABUSE, OR MISMANAGEMENT

COMPLAINTS MAY BE MADE ANONYMOUSLY

The seal of the Library of Congress Inspector General Hotline is a large, faint watermark in the background. It features an eagle with wings spread, perched on a shield with vertical stripes. The shield is topped with a crest of a scroll. The eagle is flanked by two olive branches. The entire seal is encircled by the text "LIBRARY OF CONGRESS" at the top and "INSPECTOR GENERAL" at the bottom, with stars interspersed between the words.

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



In "Law," a finely wrought mosaic over the mantle of a large marble fireplace in the Members of Congress Room, the enthroned image of Justice welcomes figures representing industry, peace, and truth on her right while on her left the evil embodiments of fraud, discord, and violence shrink from her imposing presence.



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