

NATIONAL
ARCHIVES

OFFICE *of* INSPECTOR GENERAL

SEMIANNUAL REPORT
to CONGRESS

OCTOBER 1, 2022 *to* MARCH 31, 2023



MESSAGE FROM THE INSPECTOR GENERAL

On behalf of the National Archives and Records Administration (NARA) Office of Inspector General (OIG), I am pleased to present this Semiannual Report to Congress covering the six-month period ending March 31, 2023. As always, our work reflects the legislative mandate of the Inspector General Act, which is to prevent and detect, fraud, waste, and abuse through the conduct of audits, evaluations, and investigations, and making other reports relating to NARA programs and operations. During this reporting period, our office issued an audit of NARA's Fiscal Year 2022 financial statements, along with its associated management letter. These reports contained recommendations to improve agency operations. In addition, we issued eight investigative reports to the agency that helped ensure integrity and accountability. Once again, I am honored to have the opportunity to lead the audit, investigative, and support staff who do this important oversight work.

During the reporting period, our investigative and audit offices were both peer reviewed by other OIGs. Both offices passed their peer reviews by showing the high quality of the work OIG staff perform, and confirming the confidence placed in them and their work. Further, during this reporting period staff continued working on an evaluation of the National Personnel Records Center (NPRC). This review, looking at the causes of the backlog of veteran's requests for records at the NPRC and recommending ways to improve going forward, is vital to helping ensure our nation's estimated 18.5 million living veterans receive the highest level of service they deserve. Also, an impersonator of a NARA officer was sentenced to, among other things, 18 months' imprisonment (time served) for various violations.

Our office conducted work on a total of seven audit reports, the NPRC evaluation, and closed 52 open recommendations. There were 255 open recommendations at the end of the reporting period and we continue to work closely with the agency as they implement corrective actions. More information on our audit work can be found in the Audits section of this report. Our investigative activities continued to focus attention on ensuring integrity in NARA operations and programs, and working with the agency's Archival Recovery Program we recovered a letter from Ambrose Hill which had been stolen from NARA. During the reporting period, the OIG received 241 new complaints. While many of these matters were not actionable, we opened 5 investigative matters and closed 8 others. We also referred 64 matters to other parties, such as NARA.

NARA OIG remains committed to helping the agency maximize the integrity, efficiency, and effectiveness of its programs and operations. Our audits, evaluations, and investigations, and other activities highlighted in this report demonstrate our ongoing commitment. As I have said before, our success would not be possible without the collaborative efforts between the OIG, NARA, and Congressional leaders to promote effective stewardship of agency programs and operations. I thank all parties for their dedication, appreciate their efforts, and look forward to continued cooperation as we work together to ensure the integrity and efficiency of agency operations.



Dr. Brett M. Baker
Inspector General

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Visit www.archives.gov/oig/ to learn more about the National Archives Office of Inspector General.

Executive Summary

This is the 68th Semiannual Report to Congress summarizing the activities of the National Archives and Records Administration (NARA) Office of Inspector General (OIG).

Audits and Reports

The Office of Audits continued to assess the economy and efficiency of NARA's programs and operations and to examine NARA's Information Technology (IT) systems. During the reporting period, the OIG issued two audit reports:

1. Audit of NARA's FY 2022 Financial Statements
2. Management Letter: Control Deficiencies Identified During the Audit of NARA's Financial Statements for FY 2022.

At the end of the reporting period, five audits and one evaluation were in process. Further, the audit function received a peer review rating of pass from the Federal Communications Commission OIG. During this period, we tracked \$131,816 in questioned costs.

Investigations

The Office of Investigations receives and evaluates complaints and conducts investigations related to fraud, waste, and abuse in NARA programs and operations. The OIG may also issue special reports detailing specific issues or vulnerabilities. These reports are focused overviews of potential issues used to alert management. In this period, we received and reviewed 241 complaints and other intake actions, opened 5 new investigative matters, and issued 8 investigative reports. Highlights for this reporting period include:

- An individual impersonating a NARA official in a scheme to defraud private citizens and the state government of California of various properties was sentenced to 18 months' imprisonment (time served), three years of supervised probation, and a Special Assessment fee, after being found guilty in a three-day trial.
- Working with various law enforcement partners in response to an increased in threats being made to NARA officials and assisting with threat assessment investigations resulting from the threats.
- Peer review determined the system of internal safeguards and management procedures for investigations were in full compliance with all applicable guidelines and regulations. Additionally, a letter of observation noted the organization of OI's policy and training documents are systematic and well structured; the Special Agent Handbook policies are concise and address all requirements including the recent Presidential Executive Order from May 2022 concerning the use of Body Worn Camera recording equipment; closed case files were methodical and investigations followed a well-ordered path leading to logical conclusions based on the unbiased and independent reporting of the facts; and OI had detailed documentation of quarterly firearm training and on the Department of Justice deadly force policy.

Audits and Reports

During this reporting period, the OIG issued the following two final audits. The information below is based on results at the conclusion of field work, as depicted in the final reports. It is possible that NARA may have made improvements and/or addressed some of the issues after such time. Please click on the title of any report below to be taken to the full report on our website.

Audit Summaries

[Audit of NARA's FY 2022 Financial Statements and Management Letter: Control Deficiencies Identified During the Audit of National Archives and Records Administration's Financial Statements for Fiscal Year 2022](#)

We contracted with CLA to perform an independent audit of the financial statements of NARA as of and for the fiscal years ended September 30, 2022 and 2021. The audit was conducted to express an opinion on whether NARA's financial statements were presented fairly in all material respects, in accordance with United States of America generally accepted accounting principles. In CLA's opinion, NARA's financial statements were presented fairly in all material respects, in accordance with generally accepted accounting principles. CLA identified no material weaknesses but found one significant deficiency for FY 2022 internal control over financial reporting based on the limited procedures performed. In addition, CLA identified no reportable noncompliance for FY 2022 with provisions of applicable laws, regulations, contracts, and grant agreements tested, and no other matters. Between the two reports CLA made 22 recommendations and NARA agreed with all of them. (OIG Audit Report No. 23-AUD-01, and 23-AUD-02, dated November 10, 2022).

Other Audits and Evaluations In Progress

Audit of NARA's Progress in Implementing Electronic Records Archives (ERA) 2.0: To evaluate NARA's progress in implementing ERA 2.0 in order to accept, process, store, preserve, search, and provide access to records.

NARA's FY2023 Federal Information Security Modernization Act of 2014 (FISMA) Audit: To assess the effectiveness of NARA's information security program in accordance with FISMA and applicable instructions from the Office of Budget and Management and the Department of Homeland Security Inspector General FISMA Reporting Metrics.

Audit of NARA's Compliance with the Payment Integrity Information Act of 2019 (PIIA) for FY 2022: To assess NARA's compliance with the PIIA in accordance with OMB Memorandum M-21-19, Appendix C to Circular No. A-123, Requirements for Payment Integrity Improvement dated March 5, 2021.

Audit of NARA's Off-boarding Process for Separating Employees, Contractors, and Volunteers: To assess the effectiveness of controls over the off-boarding process for separating employees, contractors, and volunteers.

Audit of NARA's Software Asset Management Process: To determine if governance structures were in place to provide adequate direction and establish accountability for procuring,

Audits and Reports

tracking, and monitoring software assets, in order to minimize shortage, waste, and security risks.

Evaluation of Records Request Backlog at the National Personnel Records Center (NPRC):

To evaluate the backlog of records requests at the NPRC and make recommendations for how NARA can more effectively and efficiently reduce the backlog of NPRC records requests to restore service to veterans and their families.



Photo: National Archives Rotunda Ceiling. NARA Identifier 184341382.

Investigations

Investigations Overview

The OIG receives and evaluates complaints and conducts investigations related to fraud, waste, and abuse in NARA programs and operations. This includes investigating wrongfully alienated NARA holdings, such as missing and stolen records. Investigations showing violations of law, regulations, rules, or contract terms may result in administrative, civil, or criminal actions. These can include things such as terminations, suspensions and debarments, prison terms, probation, fines, restitution, and other actions. The OIG may alert management to potential problems or vulnerabilities through special reports if a full investigation is not warranted or appropriate.

Significant Investigations and Updates

NARA Impersonator Sentenced to 18 Months' Imprisonment

Following a multi-year OIG investigation substantiating allegations that an individual impersonated a NARA official and fraudulently took possession of properties owned by private citizens and the California Department of Transportation, the individual was criminally charged and convicted in the U.S. District Court for the Central District of California for violations of false impersonation of a federal officer, possession of fraudulent seals of departments and agencies of the United States, and wrongful use and transfer of documents bearing fraudulent government seals. During this period, the individual was sentenced to 18 months' imprisonment (time served), three years of supervised probation, and a \$300 Special Assessment fee. Immigration and restitution hearings are pending.

Stolen NARA Holding Recovered

An OIG investigation of a NARA holding advertised for sale on a company website resulted in the recovery of the NARA holding. The holding was a signed, 1849 letter from later-Confederate States of America Lieutenant General Ambrose Hill. The letter was listed on NARA's website of Missing Items and had previously been determined to have been stolen as part of a large-scale theft in 2004. The letter, valued at approximately \$2,500, was recovered. With the assistance of NARA's Holdings Protection and Recovery Staff, we established that the letter had been purchased and sold several times by various records dealers. The investigation did not find evidence of any wrongdoing by the company. With the company's cooperation, NARA was able to identify additional missing items previously obtained by the company and will continue to collaborate with the OIG in recovery efforts for those holdings.

Employee Misrepresents Their Military Service

As previously reported, an OIG investigation substantiated allegations that a NARA employee knowingly misrepresented themselves as a servicemember to NARA colleagues and in various non-NARA engagements, but did not make misrepresentations as part of their employment with NARA. The investigation did not find evidence the employee violated the Stolen Valor Act of 2013. During this period, the employee served a suspension.

Employee Previously Suspended for Refusing to Cooperate with OIG Investigation

As previously reported, a NARA employee under OIG investigation was compelled to participate in an interview, but refused to comply with their duty to cooperate with OIG. They

Investigations

served a suspension. After the suspension, and under threat of progressive discipline, the employee participated in an OIG interview. During this reporting period, the OIG completed the investigation, which did not find evidence of misconduct.

Investigations of Senior Officials¹

Senior Official Resigns After Failing Drug Tests

A senior-ranking NARA official failed a random drug test and the follow-on drug test. The OIG referred the matter to NARA management to be handled administratively, and the official resigned.

OIG Hotline

The OI promptly and carefully reviews calls, letters, and email to the Hotline. Hotline intakes that warrant further action may be processed as preliminary inquiries to determine whether they should be investigated as numbered investigations. Some Hotline intakes may not warrant further action by the OI. Where appropriate, referrals may be made to OIG audit staff, NARA management, or external authorities.

<u>Hotline Activity for the Reporting Period</u>	
Hotline and Complaints received	241
Hotline and Complaints referred to NARA or another entity	64



Photo: National Archives II Panoramic. NARA Identifier 184341499.

¹A senior government employee is defined as anyone occupying a position classified at or above GS-15, or for those not on the General Schedule, whose rate of basic pay is equal to or greater than 120% of the GS-15 minimum.

Veteran's Records Request Backlog

The National Personnel Records Center (NPRC) is the central repository of personnel-related records for both the military and civil services of the United States Government. The NPRC is one of NARA's largest operations with over 700 employees. For an estimated 56 million veterans, the NPRC stores more than 2 million cubic feet of military personnel and medical records in paper form. Prior to 2020, the NPRC processed approximately 1.2 million requests annually, or approximately 23,000 requests each week, most of which staff completed within 10 working days. In March 2020, NARA closed all facilities across the country to help limit the spread of Coronavirus Disease 2019 (COVID-19). This unprecedented move dramatically impacted operations as the NPRC was closed, except for essential staff responding to high-priority requests when records were necessary for burials, medical emergencies, and homeless veterans.

The NPRC's backlog of unprocessed veteran records requests grew from a normal work in process level of approximately 55,569 at the beginning of the COVID-19 pandemic restrictions on March 23, 2020 to as high as 603,663 on March 14, 2022. Factors causing the NPRC's backlog include limited onsite staffing due to facility occupancy restrictions in place from March 2020 to February 2022, and the NPRC having limited remote processing capabilities. With assistance from other entities and additional effort, the NPRC was able to reduce the backlog by approximately 37 percent from its highest point. NARA reported that on March 27, 2023 NARA had 381,126 pending requests for records from the NPRC. NARA has put forth effort to reduce the backlog, such as by implementing additional shifts, weekend and holiday work, and using space in another federal facility to fulfill records requests. However, more work needs to be done to ensure America's estimated 18.5 million living veterans are being serviced timely, and are receiving the records they need for service-related benefits and necessary medical treatment.

In 2022 the OIG initiated an evaluation to assess the backlog of records requests at the NPRC and make recommendations to reduce the backlog and improve the process moving forward. This was after the OIG identified the backlog as a Top Management Challenge and received a request from the House of Representatives Committee on Oversight and Reform (COR) on October 20, 2021 to conduct an evaluation of the factors contributing to the backlog at the NPRC, NARA's efforts to resolve it, and make recommendations for improvements. At the end of this reporting period that evaluation was not yet completed, but will be soon. Since our report has not been issued in final, we can not yet provide recommendations from it. Once the report is issued, this section of the Semiannual Report to Congress will be updated with more detailed information in accordance with section 5301(b)(3) of the James M. Inhofe National Defense Authorization Act for FY 2023.

Other Activities

Other Efforts With NARA

In addition to audits and investigations, the OIG continued other work, including running the Whistleblower Protection Coordinator program, processing requests for OIG records under the Freedom of Information Act (FOIA) including a request in litigation, providing suggestions to improve four NARA issuances, and responding to 20 requests for reviews of proposed legislation, Office of Management and Budget (OMB) regulations, congressional testimony, and other items.

Involvement in the Inspector General Community

The Council of Inspectors General on Integrity and Efficiency (CIGIE) is an independent entity within the executive branch created to address integrity, economy, and effectiveness issues that transcend individual agencies and aid in establishing a professional, well-trained, and highly skilled workforce in the federal OIGs. While the Inspector General is a member of CIGIE, many staff are involved in CIGIE groups and issues, such as providing community-wide training for investigators and new Inspectors General. OIG staff are active in, or associated with, a multitude of CIGIE committees and groups. In this reporting period the Inspector General began running a CIGIE-wide working group on the implementation of section 5274 of the James M. Inhofe National Defense Authorization Act for FY 2023.

Peer Review Information

Peer Review of NARA OIG’s Audit Organization

The most recent peer review of the NARA OIG audit function was performed by the Federal Communications Commission OIG. In its report issued March 16, 2023, the NARA OIG received a peer review rating of pass for its system of quality control for the year ended September 30, 2022. The next peer review of the OIG’s audit function is planned for FY 2026.

The peer review report’s accompanying letter of comment, while not affecting the overall opinion, was designed to further strengthen our system of quality control. In response to the letter of comment, we committed to completing recommended actions by June 30, 2023.

Peer Review of NARA OIG’s Office of Investigations

In January 2023, a team of special agents from the Pension Benefit Guaranty Corporation (PBGC) OIG conducted a comprehensive review of the Office of Investigations’ operations in accordance with CIGIE’s “Quality Standards for Investigations.” On March 27, 2023, PBGC’s team found our system of internal safeguards and management procedures for investigations to be in full compliance with all applicable guidelines and regulations. There are no outstanding recommendations from this review. NARA OIG is scheduled to peer review AmeriCorps OIG in winter 2023.

Other Activities

Response to Congressional Items

The OIG continues to keep Congress informed about agency and OIG activities. The OIG actively worked with the CIGIE Legislation Committee to provide comments on various pieces of potential legislation and help communicate the views of CIGIE and the NARA OIG to relevant congressional committees. Previously, the OIG received a request from the Chairwoman and Ranking Member of the Committee on Oversight and Reform to review the backlog of requests for veteran’s records at the National Personnel Records Center. This review was ongoing during the current reporting period. During the period the IG recommended, and CIGIE adopted, a legislative priority for each OIG to have a separate line item in their agency’s appropriation and to have multi-year funding. This would help Inspectors General be more independent, and better ensure OIG continuity of operations.



Photo: National Archives Building Photos. NARA Identifier 184341383.

Top Management Challenges

The following summarizes NARA's most significant management and performance challenges based on legislative mandates, our experience, stakeholder input, and our observations.

1. Records Request Backlog at the National Personnel Records Center (NPRC)

One of NARA's most important responsibilities is to provide access to military service records to veterans and other stakeholders. The pandemic has had a significant, adverse impact on NPRC's performance in this regard, resulting in an unprecedented backlog peaking at over 600,000 requests in March 2022. Since then, NPRC reports making progress, particularly with regard to requests for separation documents (the documents most often needed by veterans to obtain benefits). NARA has stated the overall backlog was reduced, with around 380,000 requests outstanding, and service on routine requests for separation documents and to the Department of Veteran's Affairs (VA) has been restored to pre-pandemic levels. However, the backlog remains a significant challenge as the remaining part includes most of the complex reference transactions. Furthermore, recent legislative actions are leading to an increase in demand for NPRC holdings. Previously management estimated it would take one year of operating at full staffing to resolve the entire backlog.

2. Information Technology (IT) Security

In FY 2021 and 2022, NARA labeled IT security a "material weakness." Further, over the past decade annual Federal Information Security Modernization Act (FISMA) audits or assessments have consistently identified IT areas in need of significant improvement. NARA has introduced initiatives to promote a mature program, and has made progress. However, NARA needs to establish an effective system of internal control for information security.

3. OMB Memoranda M-19-21 and M-23-07 and Transitioning to Electronic Records

NARA needs to ensure the proper records are in fact preserved government-wide and sent to NARA in the first place. NARA must work with federal agencies to ensure proper appraisal, scheduling, and transfer of permanent records in all formats. The major challenge is how best to accomplish this in a rapidly changing technological environment. Further, it is not currently known what amount, or exact formats, of data and electronic records will be coming to NARA. Thus it is not known whether the systems in place will be able to ingest, process, preserve, store, and provide access to these records.

4. Expanding Public Access to Records

Some of NARA's analog holdings (by series) have not been processed, so the public does not have efficient and effective access to them. To meet its mission, NARA must work to ensure it has the processes and resources necessary to establish intellectual control over this backlog of unprocessed records. In addition, the transition of federal record-keeping to a fully electronic environment will present additional challenges to making records accessible to the public. This work includes standardizing processing procedures, strengthening internal controls, and monitoring performance.

5. Electronic Records Archives

NARA must become a world leader in preserving, storing, and presenting electronic records to meet its mission. Many core requirements from initial ERA plans have never been addressed, and ERA does not have the capabilities originally envisioned. Thus NARA is developing ERA 2.0. However, until ERA 2.0's functionality is built and put into full production, the current ERA's longstanding deficiencies may continue to impact NARA. Additionally, NARA's in-house data storage is reaching capacity, impacting the agency's digitization efforts and other IT programs. Without sufficient storage, NARA would have difficulty accepting, storing, and processing electronic records or make them available to the public. Without action, pieces America's unique history may be lost.

6. Pandemic Response

Like all employers, NARA is challenged to determine the best path forward during and after the pandemic. NARA must keep agency staff safe and still meet the mission. These times present both opportunities and new challenges, especially when it comes to return to work.

Background Information

About the National Archives and Records Administration

The National Archives and Records Administration (NARA) drives openness, cultivates public participation, and strengthens our nation's democracy through public access to high-value government records. Simply put, NARA's mission is to preserve and provide public access to federal records in its custody and control. Public access to these records strengthens democracy by allowing Americans to claim their rights of citizenship, hold their government accountable, and understand their history in order to participate more effectively in government.

NARA holds more than 5 million cubic feet of traditional records, maintains over 700,000 artifacts, and approximately 837 terabytes of electronic records. In FY 2022, NARA reported fewer online visits, but still had more than 40 million of them and responded to hundreds of thousands of written requests from the public. The impact of the COVID-19 pandemic has decreased, and in FY 2022 NARA reported over 3.2 million physical visits. With approximately 2,597 employees, NARA operates 44 facilities nationwide.

In FY 2023, NARA was appropriated \$427.5 million for operating expenses, including \$2 million to implement the Civil Rights Cold Case Records Collection Act; \$22.2 million for Repairs and Restoration, including \$6 million for the Ulysses S. Grant Presidential Library in Starkville, Mississippi, and \$7.3 million for the Jimmy Carter Presidential Library in Atlanta, GA; \$34.6 million for National Historical Publications Records Commission grants; and \$6 million for IG operations. Funding was also provided to advance racial equity by digitizing, describing, and providing free, online access to records that document the history of underserved communities in America, and for a NHPRC grants program to preserve and digitize the records of the creation of Historically Black Colleges and Universities.

About the Office of Inspector General (OIG)

The OIG serves the American citizen by improving the effectiveness, efficiency, and economy of NARA programs and operations while keeping our stakeholders informed. As part of our mission, we detect and prevent fraud and abuse in NARA programs and strive to ensure proper stewardship over federal funds. We accomplish this by providing high-quality, objective audits, investigations, and other products and serving as an independent internal advocate. Unique to our mission among other OIGs is our duty to ensure NARA protects and preserves the items belonging in our holdings while safely providing the American people with the opportunity to discover, use, and learn from our documentary heritage. Our vision is to impartially deliver independent, thorough oversight that transforms the agency into a more efficient and effective organization.

In FY 2023, Congress provided \$5.980 million for the OIG's appropriation. At the close of the period, the OIG had 15 employees on board, including an Inspector General, 6 employees devoted to audits, 6 employees devoted to investigations, an administrative assistant, and a counsel to the Inspector General.

Reporting Requirements

<u>5 U.S.C. § or Law</u>	<u>Subject</u>	<u>Page(s)</u>
§ 404(a)(2)	Review of legislation and regulations.	8–9
§ 405(a)(1)	Significant problems, abuses, and deficiencies relating to the administration of agency programs and operations and associated reports and recommendations.	2–4, 15–20
§ 405(a)(2)	Recommendations made before the reporting period, for which corrective action has not been completed.	17–20
§ 405(a)(3)	Summary of significant investigations closed during the reporting period.	5–6
§ 405(a)(4)	Total number of convictions during the reporting period resulting from investigations.	14
§ 405(a)(5)(A)	Listing of each audit, inspection, or evaluation.	15
§ 405(a)(5)(B)	The total dollar value of questioned costs (including a separate category for the dollar value of unsupported costs) and the dollar value of recommendations that funds be put to better use, including whether a management decision had been made by the end of the reporting period.	16
§ 405(a)(6)	Any management decision made during the reporting period with respect to any audit, inspection, or evaluation issued during a previous reporting period.	15–17
§ 405(a)(7)	The information described under section 804(b) of the Federal Financial Management Improvement Act of 1996 (P.L. 104-208).	N/A (none)
§ 405(a)(8)	The results of any peer review conducted by another OIG during the reporting period; or if no peer review was conducted, a statement identifying the date of the last peer review conducted by another OIG.	8
§ 405(a)(9)	Any outstanding recommendations from any peer review conducted by another OIG that may have not been fully implemented, including describing the status of the implementation and why it is not complete.	8 (none)
§ 405(a)(10)	Any peer reviews of another OIG during the reporting period, including a list of any outstanding recommendations made from any previous peer review (including any peer review conducted before the reporting period) that remain outstanding or have not been fully implemented.	8 (none)

Reporting Requirements

§ 405(a)(11)	Statistical table showing the total number of investigative reports issued during the reporting period; the total number of persons referred to the Department of Justice for criminal prosecution during the reporting period; the total number of persons referred to State and local prosecuting authorities for criminal prosecution during the reporting period; and the total number of indictments and criminal informations during the reporting period that resulted from any prior referral to prosecuting authorities.	14
§ 405(a)(12)	A description of the metrics used for developing the data for the statistical table under § 405(a)(11).	15
§ 405(a)(13)	Report on each investigation conducted by the Office where allegations of misconduct were substantiated involving a senior Government employee.	6 (none)
§ 405(a)(14)	Description of any instance of whistleblower retaliation, including information about the official found to have engaged in retaliation; and, if any, consequences the establishment imposed to hold the official accountable.	15 (none)
§ 405(a)(15)(A)	Information related to interference by the establishment, including any attempt by the establishment to interfere with the independence of the OIG, including with budget constraints designed to limit the capabilities of the OIG; and incidents where the establishment has resisted or objected to oversight activities or restricted or significantly delayed access to information, including the justification of the establishment for such action.	15 (none)
§ 405(a)(15)(B)	A summary of each report made to the head of the establishment under section § 406(c)(2) when information or assistance was unreasonably refused .	N/A (none)
§ 405(a)(16)(A)	Each inspection, evaluation, and audit conducted by the OIG that is closed and was not disclosed to the public.	15 (none)
P.L. 110-181	Annex on completed contract audit reports	13 (none)
P.L. 104-106	Open audit recommendations	17–20

ANNEX ON COMPLETED CONTRACT AUDIT REPORTS

Section 845 of the 2008 Defense Authorization Act, Public Law 110-181, requires certain information on completed contract audit reports containing significant audit findings be included as an annex to this report. While the OIG conducts audit work involving contracts, these are generally program audits as opposed to contract audits.

Reporting Requirements

SUMMARY OF INVESTIGATIONS AND PROSECUTORIAL REFERRALS

Requirement § 405(a)(4), (11)

<i>Investigative Workload</i>	
Hotline and complaints received this reporting period	241
Hotlines and complaints referred to other parties during this reporting period	64
Investigative matters opened this reporting period	5
Investigative matters closed this reporting period	8
Closing investigative reports written this reporting period	8
<i>Investigative Results</i>	
Total individuals referred to DOJ for prosecution	3
Individuals referred to DOJ – accepted for prosecution	0
Individuals referred to DOJ – declined for prosecution	3
Individuals referred DOJ – pending prosecution decision	1
Total individuals referred to state and local authorities for prosecution	0
Individuals referred to state and local authorities – accepted for prosecution	0
Individuals referred to state and local authorities – declined for prosecution	0
Individuals referred state and local authorities – pending prosecution decision	0
Arrest	0
Indictments and information	0
Convictions	1
Fines, restitutions, judgments, and other civil and administrative recoveries	\$300.00
<i>Administrative Remedies</i>	
Employee(s) terminated	0
Employee(s) resigned	2
Employee(s) suspended	1
Employee(s) given letter of reprimand or warnings/counseled	2
Employee(s) taking a reduction in grade in lieu of administrative action	0
Contractor (s) removed	0
Individual(s) barred from NARA facilities	0
<i>EO on Advancing Effective, Accountable Policing & Criminal Justice Practices to Enhance Public Safety</i>	
Use of force incidents involving NARA OIG personnel	0
No-knock entries conducted by NARA OIG personnel	0

Reporting Requirements

The numbers in the table on the previous page were compiled by our electronic case management system and only reference actions that happened within the reporting period. If the case was a joint case worked with another investigative office, the statistics above show the total numbers for the case and do not apportion numbers to each office.

LIST OF AUDIT, INSPECTION, AND EVALUATION REPORTS ISSUED Requirement § 405(a)(5)(A)

Report No.	Title	Date	Questioned Costs	Unsupported Costs	Funds Put to Better Use
23-AUD-01	Audit of NARA's FY 2022 Financial Statements	11/10/22	\$0	\$0	\$0
23-AUD-02	Management Letter: Control Deficiencies Identified During the Audit of National Archives and Records Administration's Financial Statements for Fiscal Year 2022	11/10/22	\$0	\$0	\$0

OTHER REQUIRED INFORMATION

REQUIREMENT	CATEGORY	SUMMARY
§ 405(a)(6)	Any management decision made during the reporting period with respect to any audit, inspection, or evaluation issued during a previous reporting period.	We meet and engage with NARA staff at all levels to coordinate addressing open recommendations. During this period, 52 of them were closed.
§ 405(a)(14)	Any instance of whistleblower retaliation, including information about the official found to have engaged in retaliation; and, if any, consequences the establishment imposed to hold the official accountable.	None.
§ 405(a)(15)(A)	Interference by the agency, including any attempt by the agency to interfere with the independence of the OIG, including with budget constraints designed to limit the capabilities of the OIG; and incidents where the agency has resisted or objected to oversight activities or restricted or significantly delayed access to information, including the justification of the agency.	None.
§ 405(a)(16)(A)	Closed inspections, evaluations, and audits not disclosed to the public	All closed audits and evaluations were disclosed to the public; no evaluation or inspection products were produced.

AUDIT, INSPECTION, AND EVALUATION REPORTS WITH QUESTIONED COSTS Requirement § 405(a)(5)(B)

Reporting Requirements

Category	Number of Reports	DOLLAR VALUE	
		Questioned Costs	Unsupported Costs
A. For which no management decision has been made by the commencement of the reporting period	1	\$131,816	\$0
B. Which were issued during the reporting period	0	\$0	\$0
Subtotals (A + B)	1	\$131,816	\$0
C. For which a management decision has been made during the reporting period	0	\$0	\$0
(i) dollar value of disallowed cost	0	\$0	\$0
(ii) dollar value of costs not disallowed	0	\$0	\$0
D. For which no management decision has been made by the end of the reporting period	1	\$131,816	\$0
E. For which no management decision was made within 6 months	1	\$131,816	\$0

AUDIT, INSPECTION, AND EVALUATION REPORTS WITH RECOMMENDATIONS THAT FUNDS BE PUT TO BETTER USE Requirement § 405(a)(5)(B)

Category	Number	Dollar Value
A. For which no management decision has been made by the commencement of the reporting period	2	\$45,352,745
B. Which were issued during the reporting period	0	\$0
Subtotals (A + B)	2	\$45,352,745
C. For which a management decision has been made during the reporting period	0	\$0
(i) dollar value of recommendations that were agreed to by management	0	\$0
Based on proposed management action	1	\$2745
Based on proposed legislative action	0	\$0
(ii) dollar value of recommendations that were not agreed to by management	1	\$45,350,000
D. For which no management decision has been made by the end of the reporting period	0	\$0
E. For which no management decision was made within 6 months of issuance	0	\$0

Reporting Requirements

SUMMARY OF OPEN AUDIT RECOMMENDATIONS

An important responsibility of the OIG is to follow up on previously issued reports with outstanding recommendations. Although NARA has made significant progress in the past, closing the remaining open audit recommendations remains important to improving NARA's programs and operations. As of this semi-annual reporting period NARA has 255 outstanding open recommendations, with the oldest issued over 13 years ago. Per OMB Circular No. A-50, Revised, audit follow up is an integral part of good management, and is a shared responsibility of agency management officials and auditors. The OIG continues to meet and engage NARA staff at all levels to coordinate addressing open recommendations. Further, NARA may also be leaving itself vulnerable to IT security and other risks by not implementing agreed upon actions to close open recommendations. We encourage NARA to place additional emphasis on addressing open recommendations.

During this period, 52 recommendations were closed. At the close of the period, there were 255 total open recommendations. The full text of each open recommendation, as well as links to the report they came from, can be found on www.oversight.gov at our [open recommendations link](#) toward the bottom of the page on the left side.

Report Number	Date Issued	Title	Number of Open Recommendations
09-15	9/29/2009	Work at Home System	1
10-04	4/2/2010	Oversight of Electronic Records Management in the Federal Government	1
11-02	11/8/2010	Network Vulnerability and Penetration Testing	1
12-09	5/10/2012	Data Center Consolidation Initiative	1
12-10	9/13/2012	Follow-up Review of OIG Audit Report 08-01: Audit of the Process of Safeguarding and Accounting for Presidential Library Artifacts	3
12-11	8/27/2012	Network Discovery and Assessment	2
12-15	7/23/2012	Classified Systems	3
13-01	12/10/2012	Internal Controls Program	1
13-08	7/9/2013	Preservation Program (Textual)	2
13-10	7/9/2013	Archival Facilities	4
13-11	9/19/2013	Base ERA's Ability to Ingest Records	2
13-14	9/18/2013	Processing of Textual Records	2

Reporting Requirements

Report Number	Date Issued	Title	Number of Open Recommendations
14-01	1/30/2014	Management and Oversight of NARA's Energy Savings Performance Contracts (ESPCs)	1
14-08	4/17/2014	Capital Planning and Investment Control (CPIC) Process	6
14-10	5/9/2014	Enterprise Wireless Access	1
15-02	11/12/2014	Mobile Device Management	3
15-03	2/6/2015	Specially Protected Holdings	9
15-11	5/5/2015	Digitization Storage and Transfer Capabilities	1
15-13	8/24/2015	Human Resources Systems and Data Accuracy	1
15-15	9/30/2015	Assessment of Cable Infrastructure	3
16-01	10/19/2015	Web Hosting Environment	12
16-05	3/25/2016	Publicly Accessible Websites	5
16-07	5/17/2016	Refile Processes at Selected Federal Records Centers	3
17-AUD-01	10/28/2016	Enterprise-Wide Risk Assessment of NARA's Internal Controls	7
17-AUD-03	11/4/2016	Compliance With the Federal Managers Financial Integrity Act for FY15	8
17-AUD-04	11/18/2016	Management Control Over Microsoft Access Applications and Databases	4
17-AUD-06	11/15/2016	Procurement Program	10
17-AUD-07	2/19/2017	Compliance with Homeland Security Presidential Directive 12	3
17-AUD-08	3/15/2017	Adoption and Management of Cloud Computing	9
17-AUD-16	9/27/2017	FOIA Program	1
18-AUD-06	3/29/2018	Legacy Systems	1

Reporting Requirements

Report Number	Date Issued	Title	Number of Open Recommendations
18-AUD-09	6/4/2018	Human Capital Practices	4
18-AUD-14	8/20/2018	Continuity of Operations (COOP) Readiness	3
19-AUD-03	12/20/2018	Presidential Libraries' Analog Processing	1
19-AUD-07	3/29/2019	Purchase Card Program <i>Questioned Costs - \$131,816</i>	9
19-AUD-10	6/11/2019	Oversight of Electronic Records Management in the Federal Government	1
20-AUD-03	12/12/2019	Classified Information Systems	9
20-AUD-06	3/4/2020	Oversight and Management of Information Technology Contracts	2
20-AUD-12	6/18/2020	Personnel Security and Suitability Program	2
20-AUD-15	8/27/2020	Cybersecurity Risk Management Process	2
21-AUD-03	11/10/2020	FY 2020 Financial Statements	1
21-AUD-08	6/14/2021	Controls Over the Use of Information Technology Equipment and Resources	6
21-AUD-10	8/26/2021	Controls over Loans of NARA Holdings	5
21-AUD-11	8/26/2021	NARA's High Value Assets	4
21-AUD-12	9/7/2021	NARA's Records Disposal Processes	11
21-AUD-13	9/29/2021	NARA's Travel Card Program	8
22-AUD-01	11/2/2021	Compliance under the DATA Act of 2014	1
22-AUD-04	12/21/2021	FY 2021 FISMA of 2014	22
22-AUD-05	3/30/2022	Corporate Records Management Program	1
22-AUD-06	04/25/2022	Audit of NARA's Holdings Protection Program	4
22-AUD-07	04/29/2022	Audit of NARA's Processing of Discrimination Complaints	7

Reporting Requirements

Report Number	Date Issued	Title	Number of Open Recommendations
22-AUD-09	09/29/2022	NARA's FY 2022 Federal Information Security Modernization Act of 2014 Audit	20
23-AUD-01	11/10/2022	Audit of NARA's FY 2022 Financial Statements	20
23-AUD-02	11/10/2022	Management Letter: Control Deficiency identified during Audit of NARA's FY 2022 Financial Statements	1

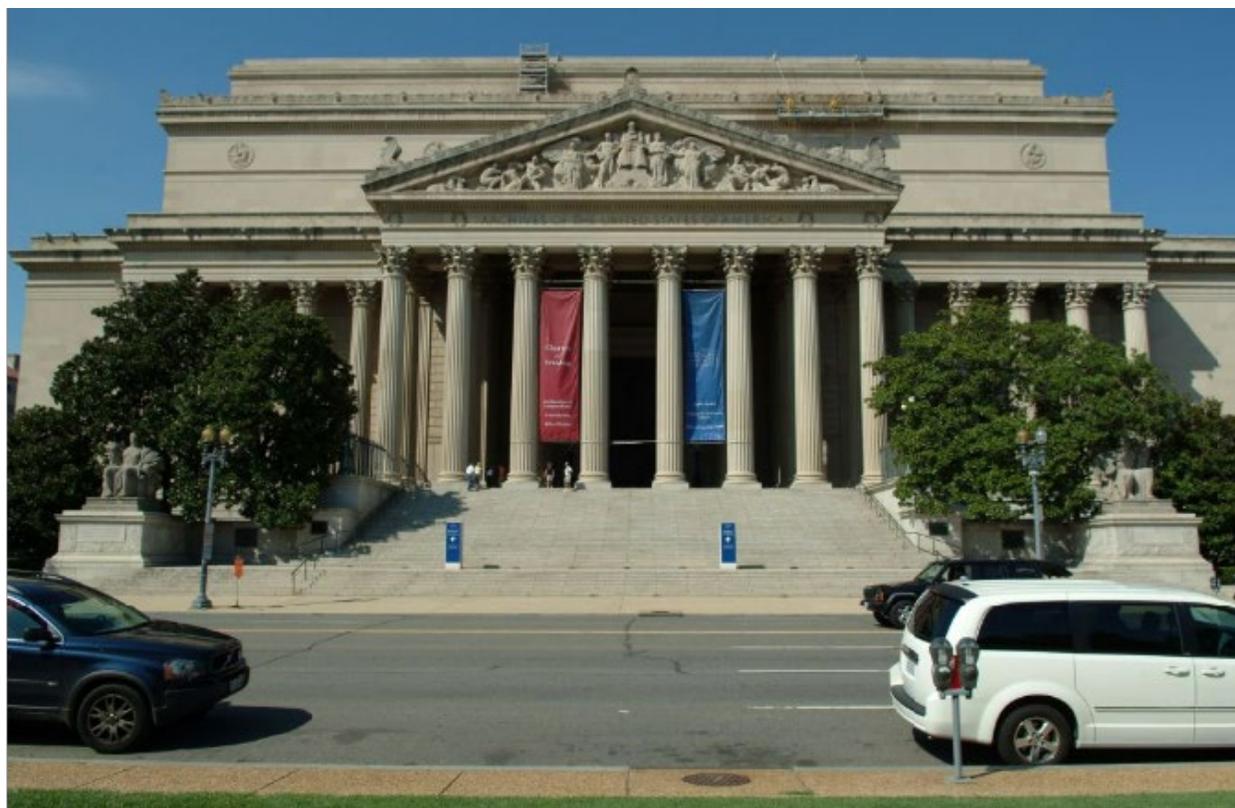


Photo: National Archives Building in Washington, DC. NARA Identifier 184341098.

Contact the OIG

OIG Hotline

The OIG Hotline provides a confidential channel for reporting fraud, waste, abuse, and mismanagement to the OIG. In addition to receiving telephone calls at a toll-free Hotline number and letters to the Hotline Post Office box, we also accept emails through the Hotline email system and an online referral form. Walk-ins are always welcome. Visit www.archives.gov/oig/ for more information, or contact us:

- **By telephone**
Washington, DC, Metro area: 301- 837-3500
Toll-free: 800-786-2551
- **By mail**
NARA OIG Hotline
P.O. Box 1821
Hyattsville, MD 20788-0821
- **By facsimile**
301-837-3197
- **By online referral form**
www.archives.gov/oig/referral-form/index.html

Contractor Self-Reporting Hotline

As required by the Federal Acquisition Regulation, a web-based form allows NARA contractors to notify the OIG, in writing, whenever the contractor has credible evidence a principal, employee, agent, or subcontractor of the contractor has committed a violation of the civil False Claims Act or a violation of federal criminal law involving fraud, conflict of interest, bribery, or gratuity violations in connection with the award, performance, or closeout of a contract or any related subcontract. The form can be accessed through the OIG's home page or found directly at www.archives.gov/oig/contractor-form/index.html.