



OFFICE *of* INSPECTOR GENERAL

SEMIANNUAL
REPORT *to*
CONGRESS

APRIL 1, 2023 *to* SEPTEMBER 30, 2023



NATIONAL
ARCHIVES

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 September 30, 2023. As always, our work reflects the legislative mandate of the Inspector General Act, which is to promote the economy and efficiency of agency operations and to prevent and detect, fraud, waste, and abuse through the conduct of audits, evaluations, and investigations. During this reporting period, our office issued an evaluation the records request backlog at the National Personnel Records Center, an audit of NARA's software asset management program, and an audit of NARA's Electronic Records Archives 2.0 system. These reports contained findings and recommendations to improve agency operations. Once again, I am honored to have the opportunity to lead the audit, investigative, and support staff who do this important oversight work.

During this reporting period, we issued an evaluation of the records request backlog at the National Personnel Records Center. We found opportunities for automation and increased staffing to address the backlog. The findings and recommendations in the report will improve the request fulfillment process and ensure our nation's estimated 18.5 million living veterans receive the highest level of service they deserve. We also submitted a proposal to the U.S. Sentencing Commission to consider a 2-point sentencing enhancement for criminal cases involving NARA holdings.

Our office conducted work on a total of four reports and closed 13 open recommendations. There were 258 open recommendations at the end of the reporting period and we continue to work closely with the agency as they implement corrective actions. Our investigative activities continued to focus attention on ensuring integrity in NARA operations and programs. We opened 5 new investigative matters. We also referred 75 matters to other parties, such as NARA.

The NARA OIG remains committed to helping the agency maximize the integrity, efficiency, and effectiveness of its programs and operations. Our audits, evaluations, 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 69th 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 four reports:

1. Audit of NARA's Software Asset Management Process
2. Audit of NARA's Compliance with the Payment Integrity Information Act of 2019 in Fiscal Year 2022
3. Evaluation of Records Request Backlog at the National Personnel Records Center
4. Audit of NARA's Electronic Records Archives (ERA) 2.0 System

At the end of the reporting period seven audits and one evaluation were in process. During this period, we tracked \$131,816 in questioned costs and \$2,663,966 in funds to be put to better use.

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 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 215 complaints and other intake actions, and opened 6 new investigative matters.



Photo: National Archives II Panoramic. NARA Identifier 184341499.

Audits and Reports

During this reporting period, the OIG issued the following three final audits and one final evaluation. 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 and Evaluation Summaries

Audit of NARA's Software Asset Management Process

We performed this audit to determine if governance structures were in place to provide adequate direction and establish accountability for procuring, tracking, and monitoring software assets, in order to minimize shortage, waste, and security risks. We found Information Services did not adequately manage the software license process. Specifically, NARA's Software License Management Process did not always adhere to guidance. Information Services did not:

- (1) establish an automated and comprehensive inventory for tracking software licenses;
- (2) always maintain planning documentation to support the procurement of software licenses;
- (3) develop comprehensive software policies to identify clear roles, responsibilities, and central oversight of software licenses; and
- (4) formally appoint a software manager.

These conditions existed because Information Services did not have adequate oversight and accountability over its software license management process. The Making Electronic Government Accountable by Yielding Tangible Efficiencies Act of 2016 (MEGABYTE Act of 2016) states the Office of Management and Budget (OMB) shall issue a directive requiring agencies (including NARA) to take various actions to manage software licenses. OMB Memorandum M-16-12 directs covered agencies to manage their software licenses. While NARA is not a covered agency under OMB Memorandum M-16-12, complying with OMB guidance is a best practice to improve software license management. Without adequate oversight and accountability, NARA cannot make and implement cost-effective decisions, including ensuring only necessary software licenses are purchased. We made three recommendations to strengthen management oversight and accountability over the software license management process, and NARA concurred with them. (OIG Audit Report No. 23-AUD-03, dated May 4, 2023.)

Audit of NARA's Compliance with the Payment Integrity Information Act of 2019 in Fiscal Year 2022

For Fiscal Year (FY) 2022, NARA complied with the requirements of the Payment Integrity Information Act of 2019 (PIIA). As required, NARA published the Agency Financial Report in FY 2022 and included improper payments information in accordance with payment integrity guidance provided in OMB Circular A-136 and posted the report and accompanying materials as required on its website with a link to paymentaccuracy.gov. NARA conducted an improper payment risk assessment for each program with annual outlays greater than \$10 million at least once in the last three years, and adequately concluded whether the program is likely to make IPs and UPs above or below the statutory threshold. The other PIIA reporting requirements were not applicable. The report included no recommendations. (OIG Audit Report No. 23-AUD-04,

Audits and Reports

Audit of NARA's Compliance with the Payment Integrity Information Act of 2019 in Fiscal Year 2022, dated May 5, 2023.)

Evaluation of Records Request Backlog at the National Personnel Records Center

We found the National Personnel Records Center's (NPRC's) backlog of unprocessed veteran records requests grew from a normal work in process level of 55,659 at the beginning of Coronavirus Disease 2019 (COVID-19) pandemic restrictions in March 2020 to as high as 603,663 on March 14, 2022. Factors causing NPRC's backlog include limited on-site staffing due to facility occupancy restrictions in place from March 2020 to February 2022, and NPRC having limited remote processing capabilities. With assistance from Veterans Affairs, funding from Congress, and easing of COVID-19 restrictions, NPRC was able to reduce the backlog (as of April 2023) by more than 37 percent from its highest point in March 2022. Although NARA has put forth effort to reduce the backlog, 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.

We also found opportunities exist for NPRC to improve its records request fulfillment processes moving forward. These opportunities include increased and improved system automation and improved communication with veterans. NPRC has not implemented sufficient internal control over its records request process. Implementing additional controls and system automation in its records request fulfillment process may assist NPRC in more timely responding to requests and help alleviate the growth of records requests backlogs in the future.

In addition, we found NPRC controls for processing medical emergency requests have not been effective in managing the significant increase in medical emergency requests. NPRC did not establish controls to evaluate the legitimacy of a medical emergency request and whether the request met NPRC's definition of medical emergency. As a result, some requesters may be taking advantage of the medical emergency request process to receive records quicker and are delaying NPRC's ability to process requests from veterans with true emergencies from obtaining their records in a timely manner. (OIG Evaluation Report No. 23-R-05, Evaluation of Records Request Backlog at the National Personnel Records Center, dated May 5, 2022.)

Audit of NARA's Electronic Records Archives (ERA) 2.0 System

We contracted with CliftonLarsonAllen LLP (CLA) to perform an independent performance audit of NARA's ERA 2.0 system to evaluate NARA's progress in implementing ERA 2.0 in order to accept, process, store, preserve, search and provide access to records. CLA concluded that although NARA was making progress in the development and implementation of the ERA 2.0 system, the agency's deployment of ERA 2.0 related to the acceptance, processing, storage, preservation, searching and access to records has been delayed and not adequately planned. Specifically, CLA noted the following weaknesses:

- NARA's System Development Life Cycle Methodology does not provide requirements for an agile process;
- An overall program management plan and schedule estimate were not developed during the planning of the system; and
- An overall program baseline budget was not developed during planning of the system.

Audits and Reports

These weaknesses may result in continued delays in timelines resulting in unexpected ongoing maintenance costs for legacy systems and hinder the ability and effectiveness of the project team to assess the nature and risks related to the system being developed in a timely manner. CLA made six recommendations to which NARA agreed (OIG Audit Report No. 23-AUD-06, Audit of NARA's Electronic Records Archives (ERA) 2.0 System, dated September 1, 2023.)

Other Audits and Evaluations In Progress

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.

NARA's FY 2023 Federal Information Security Modernization Act of 2014 (FISMA)

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

Audit of NARA's FY 2023 Financial Statements and Management Letter: Control Deficiencies Identified During the Audit of National Archives and Records

Administration's Financial Statements for Fiscal Year 2023: To express an opinion on whether NARA's financial statements are fairly presented, in all material aspects, in conformity with accounting principles generally accepted in the United States of America.

Audit of NARA's Information Security Oversight Office (ISOO): The objectives of our audit are to:

- 1) Determine the effectiveness of ISOO's information security program as it relates to its role of establishing policy and oversight of the government-wide classified national security information system and Controlled Unclassified Information during the period of January 1, 2021 through June 30, 2023; and
- 2) Identify best practices and potential improvements to the ISOO's information security program to better achieve its mission.

Audit of NARA's Records Preservation Efforts: To evaluate whether NARA established effective strategic plans, policies, and procedures for the Preservation program to ensure all holdings are preserved and available for use.

Audit of NARA's Cloud Computing Services: To assess NARA's efforts relating to cloud computing management. Specifically, we would examine whether the agency has effectively implemented plans and procedures to meet federal requirements.

Audit of Office of the Chief Records Officer Records Management Oversight and

Reporting: To determine the effectiveness of ACO inspections, and if ACO produces a reliable and complete understanding of the inspected entity's records management practices.

Evaluation of NARA's Controls over Relocation of Records: To assess NARA's controls in place to safeguard and account for records during the relocation of records between NARA facilities.

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 other reports if a full investigation is not warranted or appropriate. For this reporting period there are no investigations of whistleblower reprisal, or investigations of senior government employees¹, to report.

Significant Investigations and Updates

NARA Holdings Recovered

The proprietor of a private company contacted NARA concerning some manuscripts brought to them for appraisal. With OIG involvement the proprietor and their client voluntarily turned over to NARA several records NARA determined to have originated within NARA's holdings.

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	215
Hotline and Complaints referred to NARA or another entity	76

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 (as of September 25, 2023) by approximately 58 percent from its highest point in March 2022. NARA reported that on September 25, 2023 NARA had 251,967 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 this reporting period the OIG issued 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 done 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. Our report included three findings and seven recommendations to improve management oversight and accountability over the backlog. Management indicated they had no comments for inclusion in the report. The findings and associated recommendations are:

Finding 1. NPRC Continues to Maintain a Veteran Records Request Backlog Despite Efforts to Resolve It

Recommendation 1: Develop a plan and timeline to eliminate the backlog.²

Recommendation 2: Collaborate with the Office of Human Capital to improve the current hiring processes at the National Personnel Records Center, develop workforce strategies to build the National Personnel Records Center workforce of the future, and enhance National Personnel Records Center employee retention strategies.

² This recommendation was closed July 2023.

Veteran's Records Request Backlog

Finding 2. Opportunities Exist for NPRC to Improve its Records Request Fulfillment Processes Moving Forward

Recommendation 3: Assess the feasibility of implementing an automated system allowing veterans or their representatives to access their records online.

Recommendation 4: Implement controls to require digital delivery of responses on all requests where digital delivery is possible.

Recommendation 5: Update eVetRecs to: ensure the online request process requires requesters provide all information and documentation needed to ensure the request can be filled during initial processing; implement controls to better ensure acceptable entries for requesters' name and provide automated address fields; and ensure eVetRecs has clear attestation language at key points in the record request process to better ensure the request is being made by the veteran or an authorized representative.

Recommendation 6: Update Archives.gov to communicate the status of the backlog to veterans and emphasize other potential sources.³

Finding 3. Additional Controls Needed to Manage the Increase of Medical Emergency Requests

Recommendation 7: Reconsider the National Personnel Records Center's definition of medical emergency, make any necessary changes to policy, communicate the definition to veterans and stakeholders, and implement procedures for how medical emergency requests are made and how they are validated.

This information is provided in accordance with section 5301(b)(3) of the James M. Inhofe National Defense Authorization Act for FY 2023.



Photo: National Archives Building Photos. NARA Identifier 184341383.

³ This recommendation was closed July 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 NARA issuances, and responding to 31 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 ran a CIGIE-wide working group on the implementation of section 5274 of the James M. Inhofe National Defense Authorization Act for FY 2023, issuing guidance to the entire federal OIG community.

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, and we did.

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.

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. The OIG also worked on several request from various Congressional staffers.

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)

The NPRC has a backlog of requests from veterans for their military service records. Without their records, veterans may not have the evidence they need to qualify for health care and other benefits they have earned. The pandemic has both caused some of this backlog and prevented the NPRC from fully using all resources to address it.

2. Information Technology (IT) Security

In FY 2023, NARA again identified controls over 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.

3. Electronic Records Archives (ERA)

ERA has become a "system of systems," and the original ERA Base System was not capable of meeting the nation's needs. Thus, NARA is developing ERA 2.0, with an estimated lifecycle cost of \$94 million. 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. Further, the vast volumes of electronic records that will need to be preserved is significant, and NARA is challenged to meet data storage requirements for them. 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.

4. Transition to Electronic Records

NARA must work with Federal agencies to ensure proper appraisal, scheduling, and transfer of permanent records in all formats. To a large extent, NARA also ensures that proper records are in fact preserved government-wide and sent to NARA in the first place. However, 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 this information.

5. Expanding Public Access to Records

Ten percent 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.

6. Human Capital Management

NARA began identifying Human Capital practices as a material weakness in FY 2018 as the result of OIG Audit No.18-AUD-09, which found numerous internal control issues within NARA's Office of Human Capital. In FY 2023 NARA reported Human Capital practices as a reportable condition. NARA has stated internal controls over the program area are improving, and NARA continues to collaborate with its shared service provider to ensure human resource data is correct for all current and former employees.

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 2023, NARA reported 53,893,482 online visits, and they responded to 1,574,375 written requests from the public. The impact of the COVID-19 pandemic has decreased, and in FY 2023 NARA reported over 2.4 million physical visits. With approximately 2,668 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 11 employees on board.

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.	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, 6–8, 10, 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.	none
§ 405(a)(4)	Total number of convictions during the reporting period resulting from investigations.	none
§ 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.	15–20
§ 405(a)(7)	The information described under section 804(b) of the Federal Financial Management Improvement Act of 1996 (P.L. 104-208).	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.	9
§ 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.	9 (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.	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).	14
§ 405(a)(13)	Report on each investigation conducted by the Office where allegations of misconduct were substantiated involving a senior Government employee.	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 .	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
EO 14074	Use of force incidents involving NARA OIG personnel	14 (none)
EO 14074	No-knock entries conducted by NARA OIG personnel	14 (none)
P.L. 117-348	Number of Suspected Violations Reported	14 (none)
P.L. 117-348	Number of Investigations	14 (none)
P.L. 117-348	Status and Outcomes of Such Investigations	14 (N/A)
P.L. 117-348	Improvement Recommendations	14 (none)

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	225
Hotlines and complaints referred to other parties during this reporting period	75
Investigative matters opened this reporting period	5
Investigative matters closed this reporting period	0
Closing investigative reports written this reporting period	0
<i>Investigative Results</i>	
Total individuals referred to DOJ for prosecution	1
Individuals referred to DOJ – accepted for prosecution	0
Individuals referred to DOJ – declined for prosecution	0
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	0
Fines, restitutions, judgments, and other civil and administrative recoveries	\$0
<i>Administrative Remedies</i>	
Employee(s) terminated	0
Employee(s) resigned	0
Employee(s) suspended	0
Employee(s) given letter of reprimand or warnings/counseled	0
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
<i>Trafficking Victims Prevention and Protection Reauthorization Act</i>	
Number of Suspected Violations Reported	0
Number of Investigations	0
Status and Outcomes of Such Investigations	N/A
Improvement Recommendations	none

The numbers in the table above 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.

Reporting Requirements

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-03	Audit of NARA's Software Asset Management Process	5/4/2023	\$0	\$0	\$2,663,966
23-AUD-04	Audit of NARA's Compliance with the Payment Integrity Information Act of 2019 in Fiscal Year 2022	5/5/2023	\$0	\$0	\$0
23-R-05	Evaluation of Records Request Backlog at the National Personnel Records Center	5/5/2023	\$0	\$0	\$0
23-AUD-06	Audit of NARA's Electronic Records Archives (ERA) 2.0 System	9/1/2023	\$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, 13 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 inspection products were produced.

Reporting Requirements

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

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	0	\$0
B. Which were issued during the reporting period	1	\$2,663,966
Subtotals (A + B)	1	\$2,663,966
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	0	\$0
Based on proposed legislative action	0	\$0
(ii) dollar value of recommendations that were not agreed to by management	0	\$0
D. For which no management decision has been made by the end of the reporting period	1	\$2,663,966
E. For which no management decision was made within 6 months of issuance	1	\$2,663,966

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 258 outstanding open recommendations, with the oldest issued over 14 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, 13 recommendations were closed. At the close of the period, there were 258 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	2
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
13-14	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	2
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	11
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	1
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
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	2
22-AUD-07	04/29/2022	Audit of NARA's Processing of Discrimination Complaints	7
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

Reporting Requirements

Report Number	Date Issued	Title	Number of Open Recommendations
23-AUD-02	11/10/2022	Management Letter: Control Deficiency identified during Audit of NARA's Fiscal Year 2022 Financial Statements	1
23-AUD-03	5/4/2023	Audit of NARA's Software Asset Management Process <i>Funds Put to Better Use - \$2,663,966</i>	3
23-R-05	5/5/2023	Evaluation of Records Request Backlog at NPRC	5
23-AUD-06	9/1/2023	Audit of NARA's Electronic Records Archives (ERA) 2.0 System	6

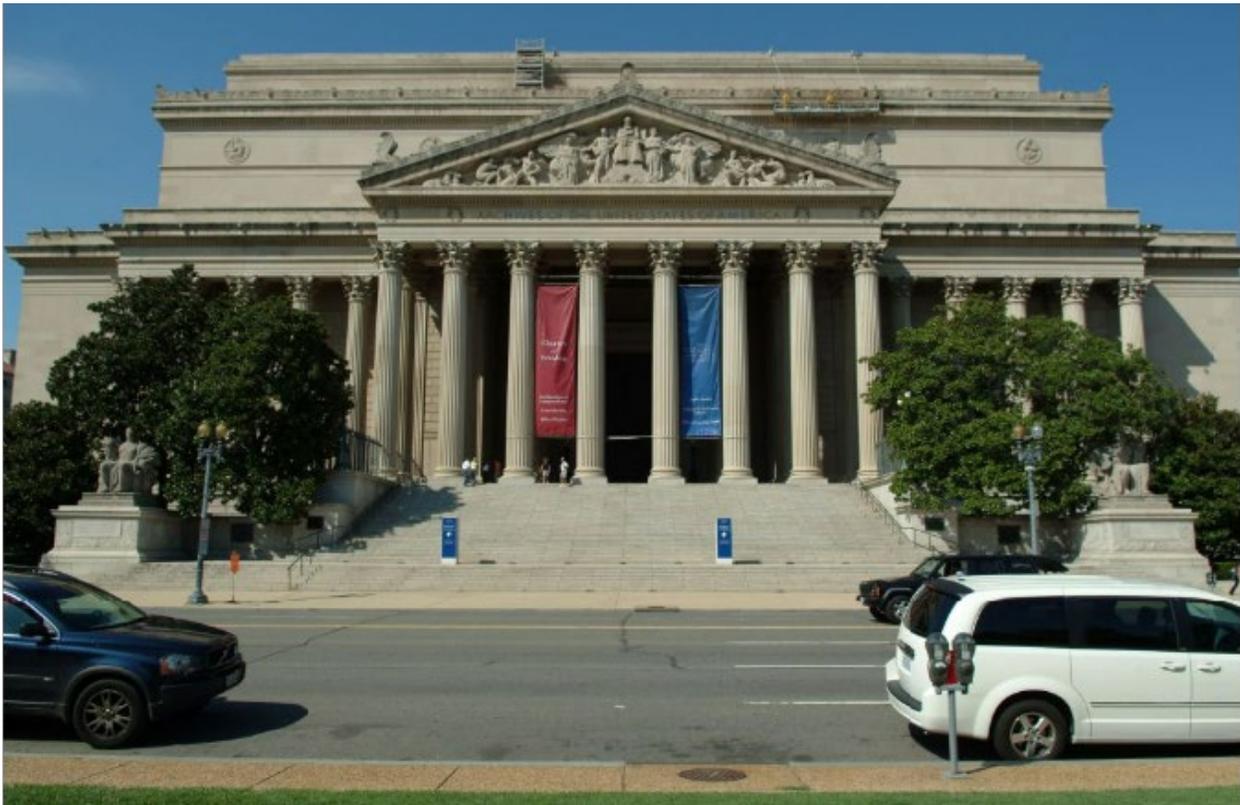


Photo: National Archives Building in Washington, DC. NARA Identifier 184341098.

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, we also accept contacts through 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 facsimile**
301-837-3197
- **By online referral form**
www.archives.gov/oig/referral-form/index.html

Contractor Self-Reporting

Effective December 12, 2008, the Federal Acquisition Regulation (FAR) was amended to, in part, require that contractors timely notify the relevant OIG whenever there is credible evidence to believe that a violation(s) of criminal law and/or the civil False Claims Act have occurred in connection with a Federal contract.

Specifically, contractors must disclose, in writing, to the OIG whenever they have credible evidence that a principal, employee, agent, or subcontractor of the contractor has committed a violation of the civil False Claims Act (31 U.S.C. 3729-3733) or Federal criminal law involving fraud, conflict of interest, bribery or gratuity violations (found in Title 18 of the United States Code) in connection with the award, performance, or closeout of a Government contract or any related subcontract. Disclosures must be made by a senior officer or manager authorized to speak for the contractor.

Penalties for knowing failure to timely disclose include suspension and/or debarment. For additional details see: Contractor Business Ethics Compliance Program and Disclosure Requirements, 73 Fed. Reg. 219, 67064 (Nov. 12, 2008) (48 C.F.R 52.203-13(c)(2)(ii)(F)).

Disclosures and/or supporting documentation can be submitted via the online referral form at www.archives.gov/oig/referral-form/index.html.

Disclosures and/or supporting documentation can also be mailed to:

NARA Office of Inspector General
Attn: Contractor Disclosure
8601 Adelphi Road, Suite 2800
College Park, MD 20740