

NATIONAL
ARCHIVES

OFFICE *of* INSPECTOR GENERAL

SEMIANNUAL REPORT
to CONGRESS

OCTOBER 1, 2024 *to* MARCH 31, 2025



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 our Semiannual Report to Congress. This report summarizes the NARA OIG's activities and accomplishments from October 1, 2024 through March 31, 2025. It is my honor and privilege to serve as the Acting Inspector General for this office. I thank my predecessor, Dr. Brett Baker, for his years of service to the Federal Government and his dedication to the Inspectors General community.

The office experienced many changes this reporting period with the departure of more than a quarter of our staff, including the Inspector General, a return full-time to the office, and the changes brought about by a change in administration. I commend the OIG staff for their flexibility in taking on new responsibilities, supporting me in this transition of leadership, and their renewed commitment to the mission of this office.

We continued to implement our newly initiated investigative priorities, focusing on the highest risks to agency programs and operations. Our investigative duties are unique insofar as we help to ensure not only the safety of NARA staff, property, and taxpayer funds, but also the history of our country. In that light, I am proud to report this period on the two convictions and \$117,415.18 paid in restitution for the assault on the Constitution at Archives I in February 2024.

We continued important audit work in critical agency program areas, and initiated new audits and evaluations to focus on ensuring taxpayer dollars are spent appropriately. Audit staff collaborated with the agency to address aged audit recommendations, some more than a decade old, and to close out high-priority recommendations. I want to thank NARA personnel for their collaboration and coordination in our engagement efforts with them to improve the economy and efficiency of agency programs.

I look forward to continuing to lead this office forward, as we promote economical and efficient operations both internally and at NARA. We will strive to ensure taxpayer funds are spent wisely, that waste, fraud, and abuse are identified and acted upon, and the American citizen receives a return on their investment in us.



William C. Brown
Acting Inspector General

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Executive Summary

This is the 72nd Semiannual Report to Congress summarizing the activities of the National Archives and Records Administration (NARA) Office of Inspector General (OIG).

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 focus on overviews of potential issues used to alert management. In this period, we received and reviewed 227 complaints and other intake actions and opened 8 new investigative matters.

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 one audit report and one management letter:

1. Audit of NARA's Fiscal Year 2024 Consolidated Financial Statements.
2. Management Letter: Control Deficiency Identified During the Audit of NARA's Financial Statements for Fiscal Year 2024.

At the end of the reporting period ten audits and evaluations 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.

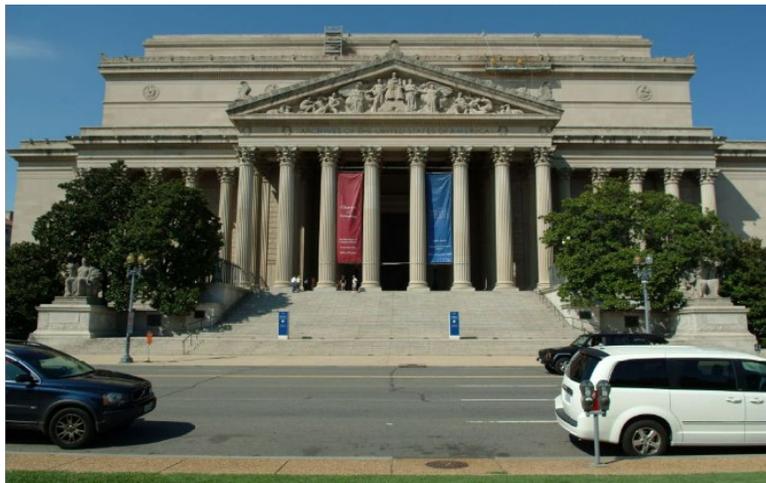


Photo: National Archives Building in Washington, DC. NARA Identifier 184341098.

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 reprisals, or investigations of senior government employees,¹ to report.

Significant Investigations and Updates

Activists Sentenced for Vandalism at Archives Rotunda

As previously reported, on February 14, 2024, two activists dumped a fine red powder over the U.S. Constitution's display case in the Rotunda of the main National Archives and Records Administration building located just north of the National Mall in Washington, D.C. The powder was not toxic, there was no permanent damage to the collection or to the facility, and no one was injured, but response to the incident, and post-incident clean-up and restoration costs ran into the tens of thousands of dollars. Both subjects were apprehended at the scene, were indicted, and subsequently pled guilty. In this reporting period, both subjects were sentenced to restitution in the amount of \$58,607.59, a \$100 special assessment, 24 months' probation, and 150 hours' community service. One of the two subjects was sentenced to 18 months' imprisonment, and the other subject was sentenced to 24 months' imprisonment. Both subjects have been permanently banned from entering any NARA facility.

Employee Resigned and Sentenced for Wire Fraud

During the Federal Government's COVID-19 shutdown, a Federal employee made a false application for a small business loan under the *Paycheck Protection Plan* and received \$41,665 to which they were not lawfully entitled. The Department of Veterans Affairs Office of Inspector General pursued prosecution, assisted by the NARA Office of Inspector General, given the employee had changed positions to work for NARA during the pandemic. In this reporting period, the employee resigned their position with NARA, pled guilty to two felony charges of wire fraud, and was sentenced to two years' probation and restitution in the amount of \$41,665.

Veteran's Identity Stolen by Sibling to Obtain Medical Treatment and Disability Benefits

A private citizen who is not a military veteran admitted to mis-using their military veteran sibling's identity initially to establish a business but later used that identity fraudulently to apply

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.

Investigations

for medical treatment and disability compensation from the U.S. Department of Veterans' Affairs, as well as for other benefits related to the sibling's military status. Prosecution was declined due to the low dollar loss to the Federal Government, to the family relationship between the siblings, and to the subject's current medical status.

Author Who Stole NARA Holding Banned Permanently from NARA Facilities

As previously reported, an author admitted to stealing an original map, dating to the 1940s, from NARA's collection in 2001. The subject was uncooperative, and NARA was unable to recover the original map; however, NARA's collection does contain contemporaneous copies of that map, so the information itself is still available to researchers. An effort was made to prosecute the subject but was hindered by legal limitations. In October 2023 NARA instituted a one-year ban on the subject, preventing them from entering NARA facilities. In this reporting period, the ban was made permanent.

NARA Employee Removed After Marijuana and Firearm Found In Personal Vehicle at NARA Facility

A NARA employee who was reported for smelling of marijuana in the workplace admitted to using the substance outside of working hours. The employee agreed to a search of their onsite personal vehicle, which turned-up marijuana and a loaded pistol. A referral to the Office of the United States Attorney for criminal prosecution was declined, but the employee's position with NARA was terminated.

Criminal Prosecution of Government Employee's Potential Conflict of Interest Declined

As previously reported, an employee of another Federal agency was investigated for potentially having engaged in a conflict of interest by leveraging their position as a Federal Government employee to represent a private company in contract negotiations with NARA. The subject was referred for criminal prosecution, but prosecution was declined by the Office of the United States Attorney in favor of administrative action. The other Federal agency moved for suspension and debarment of the subject.

Investigations

Investigations of Senior Officials

None this reporting period.

OIG Hotline Activity

The OIG Office of Investigations (OI) promptly and carefully reviews Hotline contacts. 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 | 227 |
| Hotline and Complaints referred to NARA and other parties | 26 |



Photo: National Archives Building. NARA Identifier 184341383.

Audits and Reports

During this reporting period, the OIG issued the following reports. 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.

Audits and Reports Summaries

[Audit of NARA's Fiscal Year 2024 Consolidated Financial Statements](#)

We contracted with Sikich CPA LLC (Sikich) to perform an independent audit on the financial statements of the National Archives and Records Administration (NARA) as of and for the fiscal year ended September 30, 2024. Sikich issued an unmodified opinion on the financial statements. The report should be read in conjunction with NARA's financial statements and notes to fully understand the context of the information contained therein. The findings and conclusions presented in the report were the responsibility of Sikich. The OIG's responsibility was to provide adequate oversight of the contractor's work in accordance with Generally Accepted Government Auditing Standards. The report contained ten repeated and three new recommendations to improve NARA's internal controls over financial reporting related to longstanding control deficiency in information technology controls. Management decisions were made regarding all recommendations. (OIG Audit Report No. 25-AUD-01, dated November 13, 2024)

[Management Letter: Control Deficiency Identified During the Audit of NARA's Financial Statements for Fiscal Year 2024](#)

We contracted with Sikich to conduct an independent audit of NARA's Fiscal Year (FY) 2024 consolidated financial statements. During the audit, Sikich identified one internal control deficiency that did not rise to the level of a material weakness or significant deficiency, either individually or in the aggregate, but represented an opportunity to strengthen internal control and operating efficiency. The deficiency reported that NARA's entity-wide travel policy had not been updated timely. This was a repeated finding. A management decision was made regarding the recommendation. (Management Letter: Control Deficiency Identified During the Audit of NARA's Financial Statement for FY ended September 30, 2024, dated December 17, 2024)



National Archives II Panoramic. NARA Identifier 184341499.

Audits and Reports

Other Audits and Evaluations In Progress

Audit of NARA's Office of Human Capital Hiring Practices: To assess the effectiveness of NARA's Office of Human Capital hiring practices.

Audit of NARA's Purchase Card Program: To determine whether NARA's Purchase Card Program adequately designed and appropriately implemented internal controls to effectively deter fraud, waste, or abuse; had effective oversight and management; and was operating in compliance with applicable laws, regulations, and agency policies.

Audit of NARA's Security Management: To evaluate the efficiency and effectiveness of NARA's Security Management program.

Audit of NARA's Compliance with OMB Memorandum M-23-07: To determine NARA's compliance with OMB Memorandum M-23-07 requirements including timely issuance of updated guidance and regulations and NARA's process for granting exceptions to the memorandum requirements. We will also examine NARA's preparedness to accept electronic records.

Audit of NARA's Research Room Activities: To evaluate controls in place at selected research rooms.

Audit of NARA's Freight and Shipping Procurement Process: To determine the effectiveness of NARA's freight and shipping procurement process.

Audit of NARA's Controls Over Grant Programs: To evaluate and assess the effectiveness of the controls over the grants program to ensure grant recipients were eligible to receive funding and to assess whether NARA has an effective monitoring system to ensure funds are being used for authorized purposes and met grant objectives and the intended goals.

Evaluation of NARA's Information Technology Inventory: To assess the completeness and accuracy of NARA's IT inventory and determine if adequate policies and procedures are in place to track IT assets.

Audit of NARA's Compliance with the Payment Integrity Information Act of 2019 for Fiscal Year 2024: The objective of the audit is to determine whether NARA complied with the Payment Integrity Information Act of 2019 for Fiscal Year 2024.

Audit of NARA's Compliance with the Federal Information Security Modernization Act (FISMA) for Fiscal Year 2025: The objective of the audit is to evaluate the effectiveness of NARA's information security program and practices. Specifically, we will assess NARA's information security program in accordance with FISMA of 2014 and the Department of Homeland Security's FY 2025 Inspector General FISMA Reporting Metrics.

Other OIG Activities

Other OIG Efforts

In addition to audits and investigations, the OIG continued work in other areas including overseeing the Whistleblower Protection Coordinator program, receiving Freedom of Information Act (FOIA) requests, and participating with the Council of Inspectors General on Integrity and Efficiency (CIGIE). The OIG remains committed to offering all NARA employees and contractors the means by which they can disclose any wrongdoing in the agency without reprisal. While it is NARA's policy, and the OIG, to provide public access to as many of our records as possible, the OIG processes and administers OIG FOIA requests independent of the agency's FOIA program. Lastly, 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. Past and present OIG staff have participated and maintained active roles in, or associated with, a multitude of CIGIE committees and groups.

Facilitation of Donated Archival Materials

In this reporting period, this office facilitated the donation of two boxes of previously-unknown photographs from a private citizen to NARA. These black-and-white photographs were taken of the joint construction and operation of a U.S. Information Services facility by representatives of the governments of the Republic of Korea (South Korea) and of the United States of America sometime after the signing of the armistice that effectively marked the end of the Korean War. NARA staff in the Still Pictures Branch are evaluating the donated materials.

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, 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.

Other OIG Activities

In this reporting period, NARA OIG investigative staff conducted and completed a CIGIE-mandated peer review of the *AmeriCorps* Office of Inspector General's Office of Investigations. NARA OIG determined that the *AmeriCorps* OIG OI's system of internal safeguards and management procedures for the investigative function follows the quality standards established by CIGIE, by other applicable guidelines, and by relevant statutes. Those safeguards and procedures provide reasonable assurance the *AmeriCorps* OIG OI is conforming with professional standards in the planning, execution and reporting of its investigations.

Response to Congressional Items

The OIG continues to keep Congress informed about agency and OIG activities. The OIG also worked on requests from various Congressional staffers.



Photo: National Archives photo by Susana Raab

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. Information Technology (IT) Security

In FY 2024, NARA downgraded controls over IT security to a significant deficiency. Over the past decade the annual Federal Information Security Modernization Act (FISMA) audits or assessments have consistently identified IT areas in need of significant improvement.

2. 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 completely built, longstanding deficiencies may continue to impact NARA. Further, the vast volumes of electronic records that will need to be preserved are significant, and NARA is challenged to meet data storage requirements for them. NARA's on-premises data storage is reaching capacity, impacting the agency's digitization efforts and other IT programs.

3. 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.

4. 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.

5. 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 2024, NARA removed Human Capital practices as a reportable condition. 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 5.5 million cubic feet of traditional records, maintains over 720,000 artifacts, and approximately 1,320 terabytes of electronic records. The first six months of FY 2025, NARA reported nearly 61 million online visits, and they responded to over 818,000 written requests from the public. In FY 2025 NARA reported over 932,000 physical visits. With approximately 2,900 employees, NARA operates 40 facilities nationwide.

In FY 2025, NARA was appropriated \$474.2 million, including \$450.3 for Operating Expenses; \$10 million for National Historical Publications Records Commission (NHPRC) grants; \$8 million for Repairs and restoration; and \$5.9 million for OIG operations. The FY 2025 appropriations also provided NARA with funding for Presidential transition activities.

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 2025, Congress provided \$5.9 million for the OIG’s appropriation. At the close of the period, the OIG had 9 employees on board.

Reporting Requirements

| <u>5 U.S.C. §</u> | <u>Subject</u> | <u>Page(s)</u> |
|-------------------------|---|---------------------|
| § 405(b)(1) | Significant problems, abuses, and deficiencies | 3-4, 6-7,10 & 15-18 |
| § 405(b)(2) | Recommendations for corrective action with respect to significant problems, abuses, or deficiencies | 14-18 |
| § 405(b)(3) | Prior significant recommendations on which corrective action has not been completed | 13 |
| § 405(b)(4) | Summary of prosecutions and convictions resulting from investigations | 3-5 & 13 |
| § 405(b)(5),(7) | Summary of each audit, inspection, or evaluation report issued, and significant reports | 6 |
| § 405(b)(6) | List of audit, inspection, and evaluation reports | 14 |
| § 405(b)(8),(9) | Audit, inspection, and evaluation statistical tables | 14-15 |
| § 405(b)(10),(11), (12) | Summary of each audit, inspection, or evaluation report on which no management decision has been made | none |
| § 405(b)(13) | Information described under section 804(b) of the Federal Financial Management Improvement Act of 1996 | none |
| § 405(b)(14),(15), (16) | Peer review results | 8 |
| § 405(b)(17),(18) | Investigative statistical tables and supporting metrics | 13 |
| § 405(b)(19) | Investigations involving a senior Government employee where allegations of misconduct were substantiated | 5 |
| § 405(b)(20) | Description of any instance of whistleblower retaliation | 3,14 |
| § 405(b)(21) | Attempts to interfere with the independence of the OIG | 14 |
| § 405(b)(22) | Each inspection, evaluation, and audit conducted by the OIG that is closed and was not disclosed to the public; and investigations conducted by the office involving a senior government employee that is closed and not disclosed to the public. | 14 |

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(b)(17),(18)

| <i>Investigative Workload</i> | |
|--|--------------|
| Hotline and complaints received this reporting period | 227 |
| Hotlines and complaints referred to other parties during this reporting period | 26 |
| Investigative matters opened this reporting period | 8 |
| Investigative matters closed this reporting period | 18 |
| Closing investigative reports written this reporting period | 19 |
| <i>Investigative Results</i> | |
| Total individuals referred to DOJ for prosecution | 2 |
| Individuals referred to DOJ – accepted for prosecution | 1 |
| Individuals referred to DOJ – declined for prosecution | 1 |
| Individuals referred DOJ – pending prosecution decision | 0 |
| 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 | 2 |
| Fines, restitutions, judgments, and other civil and administrative recoveries | \$117,415.18 |
| <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 | 1 |
| <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 | N/A |

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(b)(6)

| Report No. | Title | Date | Questioned Costs | Unsupported Costs | Funds Put to Better Use |
|------------|---|-------------------|------------------|-------------------|-------------------------|
| 25-AUD-01 | Audit of NARA's Consolidated Financial Statements | November 15, 2024 | \$0 | \$0 | \$0 |

OTHER REQUIRED INFORMATION

| REQUIREMENT | CATEGORY | SUMMARY |
|--------------|--|---|
| § 405(b)(2) | 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, 28 of them were closed. |
| § 405(b)(20) | 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(b)(21) | 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(b)(22) | 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. |

AUDIT, INSPECTION, AND EVALUATION REPORTS WITH QUESTIONED COSTS Requirement § 405(b)(8)

| 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 |

Reporting Requirements

| Category | Number of Reports | DOLLAR VALUE | |
|--|-------------------|------------------|-------------------|
| | | Questioned Costs | Unsupported Costs |
| 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 |

AUDIT, INSPECTION, AND EVALUATION REPORTS WITH RECOMMENDATIONS THAT FUNDS BE PUT TO BETTER USE Requirement § 405(b)(9)

| Category | Number | Dollar Value |
|---|--------|--------------|
| A. For which no management decision has been made by the commencement of the reporting period | 1 | \$2,663,966 |
| B. Which were issued during the reporting period | 0 | \$0 |
| 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 |

SUMMARY OF OPEN AUDIT RECOMMENDATIONS Requirement § 405(b)(3)

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 196 outstanding open recommendations, with the oldest issued almost 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

Reporting Requirements

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, 28 recommendations were closed. At the close of the period, there were 196 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 |
|---------------|-------------|---|--------------------------------|
| 12-09 | 05/10/2012 | Data Center Consolidation Initiative | 1 |
| 12-11 | 08/27/2012 | Network Discovery and Assessment | 1 |
| 12-15 | 07/23/2012 | Classified Systems | 3 |
| 13-01 | 12/10/2012 | Internal Controls Program | 1 |
| 13-08 | 07/09/2013 | Preservation Program (Textual) | 1 |
| 13-10 | 07/09/2013 | Archival Facilities | 4 |
| 13-14 | 09/18/2013 | Processing of Textual Records | 2 |
| 14-01 | 01/30/2014 | Management and Oversight of NARA's Energy Savings Performance Contracts (ESPCs) | 1 |
| 14-08 | 04/17/2014 | Capital Planning and Investment Control (CPIC) Process | 2 |
| 14-10 | 05/09/2014 | Enterprise Wireless Access | 1 |
| 15-03 | 02/06/2015 | Specially Protected Holdings | 9 |
| 15-15 | 09/30/2015 | Assessment of Cable Infrastructure | 2 |
| 16-01 | 10/19/2015 | Web Hosting Environment | 2 |
| 16-07 | 05/17/2016 | Refile Processes at Selected Federal Records Centers | 2 |
| 17-AUD-01 | 10/28/2016 | Enterprise-Wide Risk Assessment of NARA's Internal Controls | 7 |
| 17-AUD-03 | 11/04/2016 | 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 | 3 |

Reporting Requirements

| Report Number | Date Issued | Title | Number of Open Recommendations |
|---------------|-------------|---|--------------------------------|
| 17-AUD-06 | 11/15/2016 | Procurement Program | 10 |
| 17-AUD-07 | 02/19/2017 | Compliance with Homeland Security Presidential Directive 12 | 3 |
| 17-AUD-08 | 03/15/2017 | Adoption and Management of Cloud Computing | 2 |
| 19-AUD-03 | 12/20/2018 | Presidential Libraries' Analog Processing | 1 |
| 19-AUD-07 | 03/29/2019 | Purchase Card Program <i>Questioned Costs - \$131,816</i> | 9 |
| 20-AUD-03 | 12/12/2019 | Classified Information Systems | 9 |
| 20-AUD-06 | 03/04/2020 | Oversight and Management of Information Technology Contracts | 1 |
| 20-AUD-12 | 06/18/2020 | Personnel Security and Suitability Program | 2 |
| 20-AUD-15 | 08/27/2020 | Cybersecurity Risk Management Process | 2 |
| 21-AUD-03 | 11/10/2020 | FY 2020 Financial Statements | 1 |
| 21-AUD-08 | 06/14/2021 | Controls Over the Use of Information Technology Equipment and Resources | 4 |
| 21-AUD-10 | 08/26/2021 | Controls over Loans of NARA Holdings | 4 |
| 21-AUD-11 | 08/26/2021 | NARA's High Value Assets | 4 |
| 21-AUD-12 | 09/07/2021 | NARA's Records Disposal Processes | 5 |
| 21-AUD-13 | 09/29/2021 | NARA's Travel Card Program | 2 |
| 22-AUD-01 | 11/02/2021 | Compliance under the DATA Act of 2014 | 1 |
| 22-AUD-05 | 03/30/2022 | Corporate Records Management Program | 1 |
| 22-AUD-06 | 04/25/2022 | Audit of NARA's Holdings Protection Program | 1 |
| 22-AUD-07 | 04/29/2022 | Audit of NARA's Processing of Discrimination Complaints | 6 |
| 23-AUD-03 | 05/04/2023 | Audit of NARA's Software Asset Management Process <i>Funds Put to Better Use - \$2,663,966</i> | 2 |

Reporting Requirements

| Report Number | Date Issued | Title | Number of Open Recommendations |
|---------------|-------------|--|--------------------------------|
| 23-R-05 | 05/05/2023 | Evaluation of Records Request Backlog at NPRC | 1 |
| 23-AUD-06 | 09/01/2023 | Audit of NARA's Electronic Records Archives (ERA) 2.0 System | 2 |
| 24-AUD-01 | 10/24/2023 | Audit of NARA's FY 2023 Federal Information Security Modernization Act Audit | 12 |
| 24-AUD-03 | 03/14/2024 | Audit of NARA's Off-boarding Process | 6 |
| 24-AUD-05 | 06/27/2024 | Audit of NARA's Information Security Oversight Office | 4 |
| 24-AUD-06 | 08/15/2024 | Audit of NARA's Records Preservation Efforts | 8 |
| 24-AUD-07 | 09/27/2024 | NARA's FY 2024 Federal Information Security Modernization Act of 2014 Audit | 14 |
| 24-AUD-08 | 09/30/2024 | Audit of NARA's Office of the Chief Records Officer Records Management Oversight and Reporting | 5 |
| 24-AUD-09 | 09/30/2024 | Audit of NARA's Cloud Computing Services | 4 |
| 24-R-10 | 09/30/2024 | Evaluation of NARA's Controls over Relocation of Records | 6 |
| 25-AUD-01 | 11/14/2024 | Audit of NARA's Fiscal Year 2024 Consolidated Financial Statement | 14 |

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 at suite 2800 in the National Archives' College Park facility. Visit <https://naraoig.oversight.gov/> 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**
<https://naraoig.oversight.gov/online-complaint-form>

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 potential 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 <https://naraoig.oversight.gov/oig-contractor-reporting-form>.

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