



NATIONAL  
ARCHIVES

OFFICE *of* INSPECTOR GENERAL  
SEMIANNUAL REPORT  
*to* CONGRESS

APRIL 1, 2022 *to* SEPTEMBER 30, 2022

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## MESSAGE FROM THE INSPECTOR GENERAL

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*On behalf of the National Archives and Records Administration (NARA) Office of Inspector General (OIG), I am pleased to present this Semiannual Report to the Congress covering the six-month period ending September 30, 2022. 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 relating to NARA programs and operations. During the reporting period, our office issued four audit reports with recommendations to improve agency operations. In addition, we issued one Report of Investigation to the agency that helped ensure integrity and accountability. I am honored for the opportunity to lead the audit, investigative, and support staff who do this important oversight work.*

*During the reporting period, our office conducted work on eight audit reports, one evaluation, and closed 129 open recommendations. There were 265 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. During the reporting period, the OIG received 380 new complaints. While many of these matters were not actionable, we opened 5 investigative matters and closed 10 others. We also referred 59 matters to other parties, including 24 matters to NARA.*

*NARA OIG is committed to helping the agency maximize the integrity, efficiency, and effectiveness of NARA programs and operations, and our audits, evaluations, and investigations, and other activities highlighted in this report demonstrate our ongoing commitment. Further, our success would not be possible without the collaborative efforts between the OIG, NARA, and Congress to promote effective stewardship of agency programs and operations. I thank all parties for their dedication, and I look forward to continued cooperation as we work together to ensure the integrity and efficiency of agency operations. I would also like to thank the Honorable David Ferriero for his exemplary service as the Archivist of the United States and wish him the best in the next chapter of his life. I also look forward to working with the Acting Archivist of the United States, Debra Steidel Wall, as she leads the agency's important records management and preservation mission.*



*Dr. Brett M. Baker  
Inspector General*

# Table of Contents

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|  |          |
|--|----------|
| Message From the Inspector General .....   | <i>i</i> |
| Executive Summary .....  | 2        |
| Audits and Reports .....   | 3        |
| Audit of NARA’s Holdings Protection Program.....   | 3        |
| Audit of NARA's Processing of Discrimination Complaints .....  | 3        |
| Audit of NARA's Compliance with the Payment Integrity Information Act of 2019<br>in Fiscal Year 2021 ..... | 4        |
| NARA's Fiscal Year 2022 Federal Information Security Modernization Act of 2014<br>Audit.....               | 4        |
| Other Audits and Evaluations In Progress.....  | 5        |
| Investigations.....  | 6        |
| Significant Investigations and Updates.....  | 6        |
| Investigations of Senior Government Employees .....  | 7        |
| Oversight.....   | 7        |
| Hotline Information .....  | 7        |
| Other Activities .....   | 8        |
| Top Management Challenges.....   | 10       |
| Background Information .....   | 11       |
| Reporting Requirements .....   | 12       |
| Open Audit Recommendations.....  | 16       |

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# *Executive Summary*

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This is the 67th 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 audit reports:

1. Audit of NARA's Holdings Protection Program
2. Audit of NARA's Processing of Discrimination Complaints
3. Audit of NARA's Compliance with the Payment Integrity Information Act of 2019 in Fiscal Year 2021
4. National Archives and Records Administration's Fiscal Year 2022 Federal Information Security Modernization Act of 2014

At the end of the reporting period, four audits and one evaluation were in process. During this period, we tracked \$131,816 in questioned costs and \$45,352,745 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 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 382 complaints and other intake actions, opened 5 new investigative matters, and issued 7 investigative reports. Highlights for this reporting period include:

- A NARA employee resigned as a result of the findings in a report of investigation that the employee engaged in time and attendance misconduct and made an inappropriate comment concerning "a well-placed explosive device" at NARA.
- A NARA employee was suspended for failing to participate in a compelled interview with the OIG, after serving the suspension the employee participated in the interview.
- Delivered 18 integrity awareness and outreach briefings to NARA employees nationwide including in Presidential Libraries, Federal Records Centers, and Archival Units.
- Three referrals for criminal prosecution were made to United States Attorney's Offices, and one was accepted for prosecution.
- Substantive policy changes were made to reflect and comply with recent updates to the Department of Justice (DOJ) Use of Force policy and new guidance established by the *Executive Order (EO) on Advancing Effective, Accountable Policing and Criminal Justice Practices to Enhance Public Safety*, dated May 25, 2022, regarding the use of body worn cameras, chokeholds, and knock-and-announce requirements.

# ***Audits and Reports***

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During this reporting period, the OIG issued the following four 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 audit below to be taken to the full report on our website.

## **Audit Summaries**

### **[Audit of NARA's Holdings Protection Program](#)**

We conducted the audit to determine whether NARA has controls in place to reasonably secure and protect holdings from theft or vandalism. NARA has substantially increased holdings security, monitoring, and screening at NARA's facilities since 2016 and has taken steps to establish a comprehensive Holdings Protection program. However, additional controls are needed to reasonably secure and protect holdings from theft or vandalism. We found the Holdings Protection and Recovery Staff's (CH) mail inspections, verifications, and incident reporting processes need improvement. Specifically, the Holdings Management System's verification samples conducted by CH were not selected per standard operating procedures; CH walkthroughs, inspections, and verification findings were not adequately tracked; and the corrective actions monitored by CH were not fully documented.

In addition, we found NARA does not currently provide oversight of holdings at its Affiliated Archives. Collectively, these challenges exist because NARA has not yet fully developed and implemented appropriate management and internal controls to ensure program effectiveness. As a result, NARA has limited assurance its Holdings Protection program is as comprehensive as it could be and operating optimally. Without an effective and comprehensive Holdings Protection program, NARA will continue to report agency-wide deficiencies in holdings protection controls as part of its annual internal control assurance statements, and holdings may continue to be at risk. The OIG made 4 recommendations, and NARA agreed with all of them. (OIG Report No. 22-AUD-06, dated April 25, 2022.)

### **[Audit of NARA's Processing of Discrimination Complaints](#)**

We conducted the audit to determine whether NARA processed discrimination complaints in timely and efficient manner. NARA did not always process discrimination complaints in a timely and efficient manner. We found (1) NARA did not effectively and efficiently, track, monitor, and analyze complaint activity in accordance with established guidance; (2) delays in commencing EEO investigations; (3) a majority of discrimination complaint investigations conducted exceeded the prescribed contract period of performance; (4) limited transparency in the Office of General Counsel's (NGC's) role; (5) outdated standard operating procedures (SOPs); and (6) opportunities exist to improve employee participation in Alternative Dispute Resolution (ADR).

These conditions exist because NARA did not have adequate management and internal controls in place to ensure the EEO program was operating as intended. Title 29 of the Code of Federal Regulations (CFR), Part 1614, titled, Federal Sector Equal Employment Opportunity (EEO), mandates specific time frames for federal agencies to process, investigate, and issue agency decisions on discrimination complaints. Without a timely, efficient, and fully defined EEO

# *Audits and Reports*

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process, NARA is unable to ensure it has the necessary foundation for achieving a discrimination-free work environment that includes a fair and impartial complaint resolution process. The OIG made 10 recommendations, and NARA agreed with all of them. (OIG Report No. 22-AUD-07, dated April 29, 2022.)

## **Audit of NARA's Compliance with the Payment Integrity Information Act of 2019 in Fiscal Year 2021**

We contracted with CliftonLarsonAllen (CLA) to conduct an independent audit of NARA's compliance with the Payment Integrity Information Act of 2019 (PIIA), as amended, for fiscal year (FY) 2021 in accordance with Part VI.A. of the Office of Management and Budget (OMB) Memorandum M-21-19 (M-21-19), Appendix C to OMB Circular No. A-123 (A-123), *Requirements for Payment Integrity Improvement*, dated March 5, 2021. CLA concluded that NARA complied with the requirements of the PIIA for FY 2021. As required, NARA published applicable payment integrity information with the annual financial statement and in the accompanying materials to its annual financial statements for the most recent FY in accordance with payment integrity information guidance provided in OMB Circular A-136, posted the annual financial statement and accompanying materials required under the guidance of OMB on the agency website with link to [paymentaccuracy.gov](https://www.paymentaccuracy.gov), conducted improper payment (IP) risk assessment for each program with annual outlays greater than \$10,000,000 at least once in the last three years, and adequately concluded whether the program is likely to make IPs and unknown payments (UP) above or below the statutory threshold. The remaining requirements are not applicable to NARA. CLA also found NARA's reporting of and performance in reducing and recapturing improper payments to be generally accurate and complete. The report included no recommendations. (OIG Report No. 22-AUD-08, dated May 13, 2022.)

## **NARA's Fiscal Year 2022 Federal Information Security Modernization Act of 2014 Audit**

We contracted with CLA to perform an independent audit of NARA's information security program and practices in accordance with FISMA for FY 2022. The audit was conducted to assess the effectiveness of NARA's information security program in accordance with FISMA and applicable instructions from IG FISMA Reporting Metrics. CLA concluded NARA's information security program was "Not Effective." Specifically, the six functional areas achieved a maturity level of "Defined" (Level 2) for an overall maturity level of "Defined" for the security program.

While NARA's overall maturity level has not changed from last year, notable this year was decreased maturation of Identity and Access Management from the "Defined" level to "Ad Hoc." In addition, five domains were assessed at the "Defined" level (Risk Management, Security Training, Information Security Continuous Monitoring, Incident Response, and Contingency Planning) and three domains at the "Ad Hoc" level (Supply Chain Risk Management, Configuration Management, and Data Protection and Privacy). NARA continues to stress its commitment to improving information security throughout the agency and is making steady progress to that end in the areas of security assessment and authorization documentation controls. CLA made one new recommendation and 24 repeat recommendations from prior year FISMA audits (which have missed their targeted completion dates) to help NARA address challenges in its development of a mature and effective information security program. In addition, we noted 9 recommendations related to prior FISMA audits were closed. (OIG Report No. Audit 22-AUD-09, dated September 29, 2022.)

# *Audits and Reports*

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## **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.

**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, 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.

**Audit of NARA’s Fiscal year 2022 Consolidated Financial Statements:** 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 Progress in Implementing Electronic Records Archives 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.



Photo: Press event. Opening of the Nixon Papers at College Park. NARA Identifier 210375405.

# *Investigations*

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## **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**

### **Voluntary Separation from Service Following Investigation of Time and Attendance Fraud and Inappropriate Comment**

Following an OIG investigation substantiating allegations a NARA employee engaged in time and attendance misconduct and made a comment to colleagues about an explosive device, the employee agreed voluntarily to separate from service with NARA.

### **Contractor Whistleblower Issues and Noncompliance with Duties**

A NARA contractor employee stated they resigned under pressure for reporting a concern to the OIG. Company officials failed in their duty to cooperate with the subsequent OIG investigation, and did not provide required training to their employees on their whistleblowing rights. The contractor reached a settlement with the company, and NARA issued a written reminder of the company's mandatory requirements as a federal contractor both to cooperate with OIG staff and to provide their employees with notice of their whistleblowing rights.

### **Employee Misrepresents Their Military Service**

The OI initiated an investigation based on allegations a NARA employee exaggerated their military experience to elevate their career at NARA and earn notoriety as an author and historian. The investigation determined the employee knowingly misrepresented themselves to NARA colleagues and in various non-NARA public engagements, but they did not make misrepresentations as part of their employment with NARA.

### **Employee Suspended for Refusing to Cooperate with OIG Investigation**

A NARA employee was compelled to participate in an interview, but refused to comply with their duty as a NARA employee to cooperate with OIG. They were given a 14-day unpaid suspension. After the suspension, the employee participated in an OIG interview.

# Investigations

## Investigations of Senior Officials<sup>1</sup>

### Senior Official Cleared of Abusing Official Travel for Personal Vacation

A senior-ranking NARA employee acting in their official NARA capacity was reported to have been minimally present during an overseas conference, and instead to have used the NARA-paid travel for a personal vacation. The OIG inquiry did not find evidence of fraud or misconduct.

### Oversight

### Update to Hatch Act Compliance Review Completed in Last Semiannual Report

Following the 2020 Presidential election, the OIG completed a limited review of senior-ranking NARA employee email messages looking for potential Hatch Act violations. No content was discovered in violation of the Hatch Act. However, eight emails were found to contain content inappropriate for transmission by NARA officials on NARA email accounts. As a result, one *Letter of Reprimand* and three *Letters of Counseling* were issued. Two people were not NARA employees when the report was issued, so NARA took no administrative action against them.

### 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                           | 382 |
| Hotline and Complaints referred to NARA or another entity | 59  |



<sup>1</sup>A 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.

# *Other Activities*

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## **Other Efforts With NARA**

In addition to audits and investigations, the OIG continued other work, including running the Whistleblower Protection Coordinator program, processing 21 requests for OIG records under the Freedom of Information Act (FOIA), providing suggestions to improve three NARA issuances, and responding to 33 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.

## **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 Trade Commission OIG. In its report issued March 3, 2020, the NARA OIG received a peer review rating of pass for the three year period ending September 30, 2019. Additionally, the OIG received no letter of comment. The next peer review of the NARA OIG's audit function will be conducted by the Federal Communications Commission OIG, for the three year period ending September 30, 2022.

### **Peer Review of NARA OIG's Office of Investigations**

As previously reported, in January 2016 a team of special agents from the Treasury OIG conducted a comprehensive, multiday, review of the Office of Investigations' operations in accordance with CIGIE's "Quality Standards for Investigations." On February 1, 2016, Treasury'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. The next investigative peer review was scheduled to be conducted by the Pension Benefit Guaranty Corporation OIG in spring 2020. However, due to the COVID-19 pandemic, the peer review has been delayed.

# *Other Activities*

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## **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 and congressional staff 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 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 is ongoing. The OIG also received a records request, but the Department of Justice requested the records not be released at the time as that would compromise an ongoing criminal investigation.



Photo: National Archives Building Photos. NARA Identifier 184341383.

# *Top Management Challenges*

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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 states the overall backlog has been reduced to around 430,000 requests, 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. Management estimates it will take six months to achieve full staffing and one year of operating at full staffing to resolve the entire backlog.

## **2. Information Technology (IT) Security**

In FY 2021, NARA again 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.

## **3. OMB Memorandum M-19-21, Transition 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 across the agency, strengthening internal controls, and monitoring performance.

## **5. Electronic Records Archives**

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.

## **6. Pandemic Response**

Like all employers, NARA is challenged to determine the best path forward during this pandemic. NARA is challenged to both keep agency staff safe and still meet NARA's mission. These are times of near unprecedented change, presenting both opportunities and new challenges. To succeed, NARA must seize the opportunities, potentially changing long-held beliefs and processes, and overcome the challenges. No less than the history of this great republic hangs in the balance.

# ***Background Information***

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## **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 hundreds of thousands of artifacts, and maintains approximately 836 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. However, the impact of the COVID-19 pandemic has decreased, and in FY 2022 NARA reported over 3.1 million traditional visitors. With approximately 2,556 employees, NARA operates 44 facilities nationwide.

In FY 2022, NARA was appropriated \$388.3 million for operating expenses, including \$29 million for expenses necessary to enhance the Federal Government's ability to electronically preserve, manage, and store Government records, and \$2 million to implement the Civil Rights Cold Case Records Collection Act; \$71 million for Repairs and Restoration, including \$20 million for the Ulysses S. Grant Presidential Library in Starkville, Mississippi, and \$11.5 million for the Harry S. Truman Library Institute for National and International Affairs in Kansas City, Missouri; \$12.3 million for National Historical Publications Records Commission grants; and \$5 million for IG operations.

## **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 2022, Congress provided \$4.968 million for the OIG's appropriation. At the close of the period, the OIG had 16 employees on board, including an Inspector General, 7 employees devoted to audits, 6 employees devoted to investigations, an administrative assistant, and a counsel to the Inspector General.

# Reporting Requirements

| <b>IG Act § or Law</b>  | <b>Subject</b>   | <b>Page(s)</b> |
|-------------------------|--|----------------|
| § 4(a)(2)               | Review of legislation and regulations  | 8              |
| § 5(a)(1)               | Significant problems, abuses, and deficiencies discovered during the reporting period  | 3–4, 6         |
| § 5(a)(2)               | Significant recommendations for corrective action  | 3–4, 16–19     |
| § 5(a)(3)               | Prior significant recommendations on which corrective action has not been completed  | 16–19          |
| § 5(a)(4)               | Summary of prosecutorial referrals and convictions   | 6, 13          |
| § 5(a)(5)               | Information or assistance refused and reported to agency head  | 14 (none)      |
| § 5(a)(6)               | List of audit, inspection, and evaluation reports issued   | 14             |
| § 5(a)(7)               | Summaries of significant reports   | 3–4, 6–7       |
| § 5(a)(8)               | Questioned costs in audits, inspections, and evaluations   | 14, 15         |
| § 5(a)(9)               | Funds put to better use in audits, inspections, and evaluations  | 14, 15         |
| § 5(a)(10)              | Prior audit, inspection, and evaluation reports with no management decision, no management comment, or unimplemented recommendations | 16–19          |
| § 5(a)(11)              | Significant revised management decisions   | 14 (none)      |
| § 5(a)(12)              | Significant management decisions with which the OIG disagreed  | 14 (none)      |
| §§ 5(a)(14), (15), (16) | Reporting on OIG peer review   | 8              |
| § 5(a)(17)              | Statistical table on investigations and referrals  | 13             |
| § 5(a)(18)              | Description of metrics used in § 5(a)(17) table  | 14             |
| § 5(a)(19)              | Reporting on substantiated investigations of senior government employees   | 7 (none)       |
| § 5(a)(20)              | Reporting on substantiated whistleblower retaliations  | 14             |
| § 5(a)(21)              | Reporting on agency attempts to interfere with OIG independence  | 14 (none)      |
| § 5(a)(22)(A)           | Closed inspections, evaluations, and audits not disclosed to the public  | 14 (none)      |
| § 5(a)(22)(B)           | Closed investigations of senior government employees not disclosed to the public   | 7              |
| P.L. 110-181            | Annex on completed contract audit reports  | 12 (none)      |
| P.L. 104-106            | Open audit recommendations   | 16–19          |

## **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 5(a)(4), (17), and (18)

| <i>Investigative Workload</i>  |        |
|--|--------|
| Hotline and complaints received this reporting period  | 382    |
| Hotlines and complaints referred to other parties during this reporting period                                   | 59     |
| Investigative matters opened this reporting period   | 5      |
| Investigative matters closed this reporting period   | 10     |
| Closing investigative reports written this reporting period  | 7      |
| <i>Investigative Results</i>   |        |
| Total individuals referred to DOJ for prosecution  | 3      |
| Individuals referred to DOJ – accepted for prosecution   | 1      |
| Individuals referred to DOJ – declined for prosecution   | 2      |
| 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  | 0      |
| Fines, restitutions, judgments, and other civil and administrative recoveries                                    | \$0.00 |
| <i>Administrative Remedies</i>   |        |
| Employee(s) terminated   | 1      |
| Employee(s) resigned   | 1      |
| Employee(s) suspended  | 1      |
| 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   | 1      |
| Individual(s) barred from NARA facilities  | 0      |
| <i>EO on Advancing Effective, Accountable Policing &amp; 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 5(a)(6)

| Report No. | Title  | Date    | Questioned Costs | Unsupported Costs | Funds Put to Better Use |
|------------|--|---------|------------------|-------------------|-------------------------|
| 22-AUD-06  | Audit of NARA's Holdings Protection Program  | 4/25/22 | \$0              | \$0               | \$0                     |
| 22-AUD-07  | Audit of NARA's Processing of Discrimination Complaints                                  | 4/29/22 | \$0              | \$0               | \$0                     |
| 22-AUD-08  | Audit of NARA's Compliance with the Payment Integrity Information Act of 2019 in FY 2021 | 5/13/22 | \$0              | \$0               | \$0                     |
| 22-AUD-09  | NARA's FY 2022 Federal Information Security Modernization Act of 2014 Audit              | 9/29/22 | \$0              | \$0               | \$0                     |

## OTHER REQUIRED INFORMATION

| REQUIREMENT | CATEGORY   | SUMMARY   |
|-------------|--|---|
| 5(a)(5)     | Information or assistance refused  | None.   |
| 5(a)(10)    | Prior audit reports with no management decision  | Management concurred with all issued reports.   |
| 5(a)(11)    | Significant revised management decisions   | None.   |
| 5(a)(12)    | Significant management decisions with which the OIG disagreed  | None.   |
| 5(a)(20)    | Detailed description of instances of whistleblower retaliation, including consequences for the offender  | See write-up on page 6 for contractor issue.  |
| 5(a)(21)(A) | Agency attempts to interfere with OIG independence with budget constraints designed to limit the OIG's capabilities  | None.   |
| 5(a)(21)(B) | Agency attempts to interfere with OIG independence by resisting or objecting to oversight activities, or restricting or significantly delaying access to information | None rising to this level.  |
| 5(a)(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. |

# Reporting Requirements

## AUDIT, INSPECTION, AND EVALUATION REPORTS WITH QUESTIONED COSTS Requirement 5(a)(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               |
| 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 5(a)(9)

| 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   | 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          | 2      | \$45,352,745 |
| E. For which no management decision was made within 6 months of issuance                      | 2      | \$45,352,745 |

# 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 285 outstanding open recommendations, with the oldest issued over 12 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, 129 recommendations were closed. At the close of the period, there were 285 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](http://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  | 5                              |
| 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                          | 7                              |
| 14-10         | 5/9/2014    | Enterprise Wireless Access  | 2                              |
| 15-02         | 11/12/2014  | Mobile Device Management<br><i>Funds Put to Better Use - \$2,745</i>            | 4                              |
| 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<br><i>Funds Put to Better Use - \$45,350,000</i>                 | 2                              |

# 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-02     | 12/21/2018  | Oversight of FY 2018 FISMA Assessment  | 1                              |
| 19-AUD-03     | 12/20/2018  | Presidential Libraries' Analog Processing  | 1                              |
| 19-AUD-07     | 3/29/2019   | Purchase Card Program<br><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   | 2                              |
| 21-AUD-08     | 6/14/2021   | Controls Over the Use of Information Technology Equipment and Resources                              | 8                              |
| 21-AUD-10     | 8/26/2021   | Controls over Loans of NARA Holdings   | 7                              |
| 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-02     | 11/8/2021   | FY 2021 Financial Statements   | 21                             |
| 22-AUD-03     | 11/8/2021   | Management Letter: Control Deficiency Identified during Audit of NARA's FY 2021 Financial Statements | 2                              |
| 22-AUD-04     | 12/21/2021  | FY 2021 FISMA of 2014  | 22                             |
| 22-AUD-05     | 3/30/2022   | Corporate Records Management Program   | 10                             |

# Reporting Requirements

| Report Number | Date Issued | Title   | Number of Open Recommendations |
|---------------|-------------|---|--------------------------------|
| 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                     | 10                             |
| 22-AUD-09     | 09/29/2022  | NARA's FY 2022 Federal Information Security Modernization Act of 2014 Audit | 25                             |

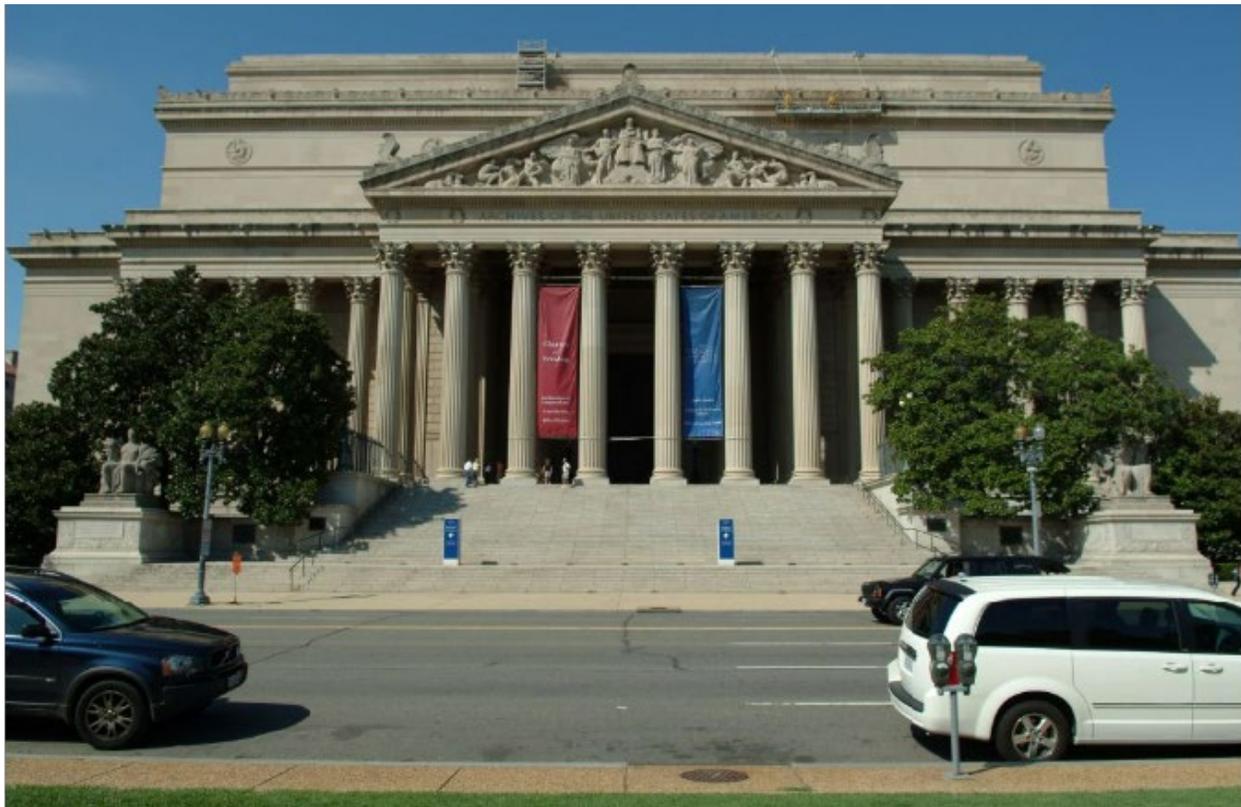


Photo: National Archives Building in Washington, DC. NARA Identifier 184341098.

# Contact the OIG

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## 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/](http://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](http://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](http://www.archives.gov/oig/contractor-form/index.html).