

OFFICE *of* INSPECTOR GENERAL

SEMIANNUAL
REPORT *to*
CONGRESS

OCTOBER 1, 2021 *to* MARCH 31, 2022



NATIONAL
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MESSAGE FROM THE INSPECTOR GENERAL

I am pleased to submit this Semiannual Report to Congress on the activities and accomplishments of the Office of Inspector General (OIG) for the six-month period ending March 31, 2022. Our office issued five audit reports with recommendations to improve the agency. In addition, we issued a special assessment of compliance with the Hatch Act. The important work of this office provides greater assurance of integrity and efficiency in the National Archives and Records Administration's (NARA's) programs and operations.

During the reporting period, our office conducted work on six ongoing audits and closed 30 recommendations. There were 345 recommendations remaining open at the end of the period, and we are working 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 on ensuring integrity in NARA's programs and operations. During the reporting period, the OIG received 393 new complaints. While many of these complaints were not actionable, we closed 12 more substantive issues and opened 10 investigative matters. We referred 16 matters to NARA and other parties as well.

The OIG is committed to ensuring the integrity, efficiency, and effectiveness of NARA's programs and operations. I would like to acknowledge the hard work of our auditors, investigators, and support staff in executing our important oversight mission.

Our success would not be possible without the important coordination between OIG staff and agency staff to address our findings and implement recommendations designed to help ensure effective and efficient operations. I thank all of these parties for their stewardship of a most important mission. I would also like to express my gratitude to Congress and the Council of the Inspectors General on Integrity and Efficiency for their support.

In closing, I congratulate David Ferriero on his retirement after more than 12 years of dedicated service as the Archivist of the United States. His leadership during the government's pandemic response and the nation's earlier economic challenges helped ensure the continuity of NARA's mission and kept the public trust during those trying times. We wish him the best.



*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 66th 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 five audit reports:

1. Audit of NARA's Compliance under the Digital Accountability and Transparency Act of 2014
2. Audit of NARA's Fiscal Year (FY) 2021 Financial Statements
3. Management Letter: Control Deficiencies Identified During the Audit of NARA's Financial Statements for FY 2021
4. NARA's FY 2021 Federal Information Security Modernization Act of 2014 Audit
5. Audit of NARA's Corporate Records Management Program

At the end of the reporting period, six audits were in process. The OIG also conducts evaluations. These reports follow the Council of Inspectors General on Integrity and Efficiency (CIGIE) Quality Standards for Inspections and Evaluations. 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 393 complaints and other intake actions, opened 10 new investigative matters, and issued 2 reports of investigation and a special report to the agency for consideration of administrative action. Highlights for this reporting period include:

- A NARA employee retired in lieu of termination as a result of a referral concerning allegations the employee attempted to access a significant number of sexually explicit websites using NARA information technology (IT) resources while on duty.
- Delivered 18 integrity awareness briefings to NARA employees nationwide including in our Presidential Libraries, Federal Records Centers, and Archival Units.
- Outreach related to the Stolen Valor and Military Records Fraud initiative has resulted in nearly 40 percent of the total number of complaints to our office in this reporting period. The OIG continues to collaborate with partners at the National Personnel Records Center and other government agencies to identify relevant fraud.

Other Efforts With NARA

In addition to audits and investigations, the OIG continued other work, including running the Whistleblower Protection Coordinator program, responding to 18 requests for OIG records under the Freedom of Information Act (FOIA), providing suggestions to improve two NARA issuances, and responding to 21 requests for reviews of proposed legislation, Office of Management and Budget (OMB) regulations, congressional testimony, and other items.

Audits and Reports

During this reporting period, the OIG issued the following five 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 Compliance under the Digital Accountability and Transparency Act of 2014](#)

We contracted with CliftonLarsonAllen, LLP (CLA) to perform an independent audit of NARA's compliance under the Digital Accountability and Transparency Act of 2014 (DATA Act). The audit was conducted to assess:

- (1) the completeness, accuracy, timeliness, and quality of NARA's FY 2021 first quarter financial and award data submitted for publication on USASpending.gov, and
- (2) NARA's implementation and use of the Government-wide financial data standards established by OM) and the U.S. Department of the Treasury (Treasury).

CLA found NARA's FY 2021 first quarter submission was generally complete, accurate and timely. Although NARA's data included some errors in data elements not attributable to NARA, the data was of excellent quality, which is the highest rating level. CLA also found that NARA implemented and used the Government-wide financial data standards established by OMB and Treasury. CLA made three recommendations, and NARA agreed with all of them. (OIG Report No. 22-AUD-01, dated November 2, 2021).

[Audit of NARA's FY 2021 Financial Statements and Management Letter: Control Deficiencies Identified During the Audit of NARA's Financial Statements for FY 2021](#)

We contracted with CLA to perform an independent audit of the financial statements of NARA as of and for the fiscal years ended September 30, 2021 and 2020. The audit was conducted to express an opinion on whether NARA's financial statements were fairly presented, in all material respects, in conformity with accounting principles generally accepted in the United States of America. In CLA's opinion, NARA's financial statements were presented fairly, in all material respects, in accordance with generally accepted accounting principles. CLA identified no material weaknesses, but found a significant deficiency for FY 2021 internal control over financial reporting based on the limited procedures performed. In addition, CLA identified no reportable noncompliance for FY 2021 with provisions of applicable laws, regulations, contracts, and grant agreements tested, and no other matters. Between the two reports CLA made 24 recommendations, and NARA agreed with all of them. (OIG Report No. 22-AUD-02, and 22-AUD-03, dated November 8, 2021).

[NARA's Fiscal Year 2021 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 the FISMA for FY 2021. The audit was conducted to assess the effectiveness of NARA's information security program in accordance with the FISMA and applicable instructions from OMB and the Department of Homeland Security (DHS) 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

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of 5 possible) for an overall maturity level of “Defined” for the security program. While NARA’s overall maturity level had not changed from last year, notable in FY 2021 were increased maturation of Risk Management, Identity and Access Management, and Information Security Continuous Monitoring from the “Ad Hoc” level to “Defined.” Three additional domains were assessed at the “Defined” level (Security Training, 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 continued to stress its commitment to improving information security throughout the agency and is making steady progress in the areas of security assessment and authorization, and account management controls. CLA made 35 recommendations, which NARA agreed with, and listed 34 open recommendations from prior reports. (OIG Report No. 22-AUD-04, dated December 21, 2021).

Audit of NARA’s Corporate Records Management Program

We conducted the audit to evaluate the effectiveness of NARA’s Corporate Records Management Program (CM) and its compliance with applicable Federal records management policies and procedures. We found additional controls were needed to improve the efficiency of the program. CM is challenged to meet M-19-21 targets, and had not:

- (1) provided effective oversight of NARA’s electronic records management systems;
- (2) fully instituted effective controls over its disposition process;
- (3) effectively used NARA’s Records and Information Management (RIM) Network; and
- (4) ensured directives are established and/or up to date.

These conditions were attributed to insufficient internal and oversight controls, training, competing staff priorities, and COVID-19 restrictions. Without meeting the targets of M-19-21, the CM Program may need to continue to devote resources to creating, using, and storing analog records which should more effectively be applied to electronic records thus increasing the burden on citizens conducting business with the government. Additionally, without effective controls and planning coupled with necessary training, NARA may not be aware of increased risk to temporary and permanent records and gaps in program office compliance. NARA may also experience records eligible for disposition continuing to become past due, and additional storage costs to NARA. The OIG made 18 recommendations, and NARA agreed with all of them. (OIG Report No. 22-AUD-03, dated March 30, 2022).

Other Audits and Evaluations In Progress

Audit of NARA’s Holdings Protection Program: To determine whether NARA has controls in place to reasonably secure and protect holdings from theft or vandalism.

Audit of NARA’s Processing of Discrimination Complaints: To determine whether NARA processed discrimination complaints in a timely and efficient manner.

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,

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

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

Evaluation of Records Request Backlog at the National Personnel Records Center (NPRC): To evaluate the backlog of records requests at the NPRC and make recommendations for how NARA can more effectively and efficiently reduce the backlog of NPRC records requests to restore service to veterans and their families.



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

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 identifying and recovering 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, 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

Joint Investigation with VA OIG Stops Illegitimate Benefits

The OIG participated in a joint investigation with the U.S. Department of Veterans Affairs (VA) OIG into an allegation a non-military veteran misused a relative's legitimate military records fraudulently to obtain medical treatment and other financial benefits from the VA. With assistance from NPRC staff, we determined the proof-of-service documents submitted by the subject were not related to the subject.

Allegations of Stolen Valor and Military Records Fraud Found Unsubstantiated

The OIG reviewed an allegation a person had used false claims of being a highly decorated combat veteran suffering from *Post-Traumatic Stress Disorder* (PTSD), in order to obtain a position of employment related to supporting military veterans. Although the OIG determined the veteran made several misrepresentations to the perspective employer, with assistance from NPRC staff we determined that the subject was a legitimate military veteran who had been awarded several medals and served in active-duty operations in a combat area. Accordingly, the OIG did not find any evidence that the subject violated the Stolen Valor Act or engaged in military records fraud.

Potential False Statement Not within OIG Jurisdiction, Referred to State Authorities

As part of our ongoing *Stolen Valor and Military Records Fraud Initiative*, the OIG reviewed an allegation a person used a false claim of military service and related injury to fraudulently obtain state vehicle license plates showing they are a Purple Heart recipient. With assistance from NPRC staff we determined there was no record of military service on file for the subject. Additionally, the OIG further established there was no record of the subject making requests for military records from the NPRC. Although the OIG determined that no NPRC records were misused to make fraudulent claims, the OIG referred the matter to the appropriate state police.

Joint Investigation with GSA OIG Results in Return of Government Artwork

The OIG participated in a joint investigation with the U.S. General Services Administration (GSA) OIG in an action to recover an oil painting that had been commissioned by the Federal Government as part of the *Federal Art Project* in the 1930s. The painting was valued at approximately \$7,000.00 and was legally sent to a municipal institution or Federal building in the 1930s/1940s. It was never properly returned to GSA headquarters. Research of NARA

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records did not find any evidence the U.S. government divested the legal ownership of the painting. As a result of the investigation, the auction house returned the painting.

Significant Referrals

Employee Retires In Lieu of Termination for Viewing Sexually Explicit Content at Work

As previously reported, the OIG discovered an employee with a persistent pattern of attempting to access pornographic websites using NARA information technology (IT) resources while on official duty. In two prior referrals the agency determined this appeared to be the activity of malware or a virus. In the previous reporting period, OIG analysis indicated the same employee again attempted to access inappropriate websites using NARA IT while on official duty. As a result, the OIG referred the matter to NARA, which proposed termination. In this reporting period, the employee retired in lieu of termination.

Previous Administration Official May Have Violated the Presidential Records Act

The OIG received an allegation from NARA that a former administration official may not have transferred official records to NARA in violation of the Presidential Records Act. We consulted with the Department of Justice and referred the matter back to NARA for any potential action.

NARA Contractor Alleges Multiple Procurement Violations

The OIG received an allegation of multiple contractual violations by NARA from a contractor. These allegations included failure of the agency to comply with the terms and conditions of the contract, failure to fund the contract, requesting work outside the scope of the contract, assigning procurement officials to the contract without required certifications and training, and wasting government funds by recompeting the contract at a significantly higher cost. The OIG referred this matter to NARA.

Oversight

Hatch Act Review Identifies Inappropriate E-mails Sent by NARA Executives

During the 2020 national election season, the OIG performed a limited review of senior-ranking NARA employee email messages, searching for potential violations of the Hatch Act of 1939, as amended (Hatch Act). Our office did not identify any specific instances of clear violations of the Hatch Act but did identify several emails containing political content that may be inappropriate to be transmitted using an official NARA email account. Though this was not an investigation, we found these emails included derogatory and disparaging comments. The OIG has referred its findings to the agency and awaits formal response.

Stolen Valor and Military Records Fraud Initiative

During previous reporting periods, the OIG reported on an initiative to investigate potential instances of stolen valor and military records fraud. The OIG previously identified individuals fraudulently altering military records after possibly obtaining them from the NPRC in order to obtain financial benefits. NPRC is the nation's repository of military records and one of NARA's largest operations. Furthermore, the Stolen Valor Act of 2013 makes it a crime for an individual who – with intent to obtain money, property, or other tangible benefit – fraudulently purports to be a recipient of certain military awards, including the Purple Heart, Bronze Star and

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others. Outreach related to this initiative has resulted in nearly 40 percent of the total number of complaints to our office in this reporting period. The OIG continues to collaborate with partners at the NPRC and other government law enforcement offices, such as the VA OIG, to identify relevant fraud.

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	393
Hotline and Complaints referred to NARA or another entity	16



Photo: National Archives Building Photos. NARA Identifier 184341383.

Other Activities

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 its system of quality control for the year ended September 30, 2019. Additionally, the OIG received no letter of comment. The next peer review will review the OIG's audit function for the year 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 until winter 2022.

NARA OIG Peer Review of Other OIGs

The NARA OIG Office of Audits completed the peer review of the Board of Governors of the Federal Reserve System (Board) and Bureau of Consumer Financial Protection (Bureau), Office of Inspector General Audit Organization for the period ending March 31, 2020. In this report, issued on October 13, 2020, the Board/Bureau received an External Peer Review rating of pass for its system of quality control.

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.

Top Management Challenges

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

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 of over 500,000 requests. While service to the Veterans Benefits Administration (VA) has been restored, the backlog of public requests continues to grow. Adding to this challenge, NPRC also has a related backlog of records to be refiled; records which have been retrieved from storage for reference purposes and must now be returned to their proper storage location.

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 this information.

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

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 825 terabytes of electronic records. In FY 2021, NARA reported more than 54 million online visits and responded to hundreds of thousands of written requests from the public. The COVID-19 pandemic dramatically limited NARA's traditional visitors, but there were still over 764,000 of them. With approximately 2,568 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 2021, Congress provided \$4.968 million for the OIG's appropriation. At the close of the period, the OIG had 18 FTEs on board, including an Inspector General, 9 FTEs devoted to audits, 6 FTEs devoted to investigations, an administrative assistant, and a counsel to the Inspector General.

Reporting Requirements

IG Act § or Law	Subject	Page(s)
§ 4(a)(2)	Review of legislation and regulations	2, 9
§ 5(a)(1)	Significant problems, abuses, and deficiencies discovered during the reporting period	3–4, 6–7
§ 5(a)(2)	Significant recommendations for corrective action	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	6–7, 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	15
§ 5(a)(9)	Funds put to better use in audits, inspections, and evaluations	15
§ 5(a)(10)	Prior audit, inspection, and evaluation reports with no management decision, no management comment, or unimplemented recommendations	14–19
§ 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	9
§ 5(a)(17)	Statistical table on investigations and referrals	13
§ 5(a)(18)	Description of metrics used in § 5(a)(17) table	13
§ 5(a)(19)	Reporting on substantiated investigations of senior government employees	(none)
§ 5(a)(20)	Reporting on substantiated whistleblower retaliations	14 (none)
§ 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	(none)
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 conducted audit work involving contracts during this period, they were 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 and opened this reporting period	393
Hotlines and complaints referred to other parties during this reporting period	16
Investigative matters opened this reporting period	10
Investigative matters closed this reporting period	12
Closing investigative reports written this reporting period	13
<i>Investigative Results</i>	
Total individuals referred to DOJ for prosecution	4
Individuals referred to DOJ – accepted for prosecution	1
Individuals referred to DOJ – declined for prosecution	2
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	\$0.00
<i>Administrative Remedies</i>	
Employee(s) terminated	0
Employee(s) resigned	1
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

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 5(a)(6)

Report No.	Title	Date	Questioned Costs	Unsupported Costs	Funds Put to Better Use
22-AUD-01	Audit of NARA's Compliance under the Digital Accountability and Transparency Act of 2014	11/2/21	\$0	\$0	\$0
22-AUD-02	Audit of National Archives and Records Administration's Fiscal Year 2021 Financial Statements	11/8/21	\$0	\$0	\$0
22-AUD-03	Management Letter: Control Deficiencies Identified During the Audit of National Archives and Records Administration's Financial Statements for Fiscal Year 2021	11/8/21	\$0	\$0	\$0
22-AUD-04	National Archives and Records Administration's Fiscal Year 2021 Federal Information Security Modernization Act of 2014	12/21/21	\$0	\$0	\$0
22-AUD-05	Audit of NARA's Corporate Records Management Program	3/30/21	\$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 issued reports, prior reports with monetary findings are summed in tables for 5(a)(8) and 5(a)(9), and the end of this report lists open recommendations.
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	None.
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 were disclosed to the public; no other inspection or evaluation 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 345 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, 30 recommendations were closed. At the close of the period, there were 345 total open recommendations. Links to full reports, and the text of each open recommendation, can be found at our [open recommendations link](#) on www.oversight.gov. To see individual recommendations you must click on the "Open Recommendations" link for each audit report.

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	5
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	3
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 <i>Funds Put to Better Use - \$2,745</i>	4
15-03	2/6/2015	Specially Protected Holdings	12
15-11	5/5/2015	Digitization Storage and Transfer Capabilities	1
15-13	8/24/2015	Human Resources Systems and Data Accuracy	2
15-15	9/30/2015	Assessment of Cable Infrastructure	5
16-01	10/19/2015	Web Hosting Environment	12
16-02	1/16/2016	Compliance With FISMA, As Amended	5
16-05	3/25/2016	Publicly Accessible Websites	6
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	10
17-AUD-04	11/18/2016	Management Control Over Microsoft Access Applications and Databases	4
17-AUD-06	11/15/2016	Procurement Program	14
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

Reporting Requirements

Report Number	Date Issued	Title	Number of Open Recommendations
18-AUD-06	3/29/2018	Legacy Systems <i>Funds Put to Better Use - \$45,350,000</i>	2
18-AUD-09	6/4/2018	Human Capital Practices	4
18-AUD-14	8/20/2018	Continuity of Operations (COOP) Readiness	3
19-AUD-01	11/15/2018	Audit of NARA's FY 2018 Financial Statements	4
19-AUD-02	12/21/2018	Oversight of FY 2018 FISMA Assessment	17
19-AUD-03	12/20/2018	Presidential Libraries' Analog Processing	1
19-AUD-07	3/29/2019	Purchase Card Program <i>Questioned Costs - \$131,816</i>	9
19-AUD-10	6/11/2019	Oversight of Electronic Records Management in the Federal Government	1
20-AUD-03	12/12/2019	Classified Information Systems	11
20-AUD-06	3/4/2020	Oversight and Management of Information Technology Contracts	4
20-AUD-08	4/22/2020	Audit of NARA's FY 2019 Financial Statements	7
20-AUD-09	4/22/2020	Management Letter: Control Deficiencies Identified During Audit of NARA's FY 2019 Financial Statements	1
20-R-11	5/15/2020	Use of the 2017 Women's March Image	3
20-AUD-12	6/18/2020	Personnel Security and Suitability Program	4
20-AUD-15	8/27/2020	Cybersecurity Risk Management Process	2
21-AUD-03	11/10/2020	FY 2020 Financial Statements	14
21-AUD-04	11/10/2020	Management Letter: Control Deficiency Identified during Audit of NARA's FY 2020 Financial Statements	1
21-AUD-08	6/14/2021	Controls Over the Use of Information Technology Equipment and Resources	9
21-AUD-10	8/26/2021	Controls over Loans of NARA Holdings	7

Reporting Requirements

Report Number	Date Issued	Title	Number of Open Recommendations
21-AUD-11	8/26/2021	NARA's High Value Assets	4
21-AUD-12	9/7/2021	NARA's Records Disposal Processes	13
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	2
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	3
22-AUD-04	12/21/2021	FY 2021 FISMA of 2014	35
22-AUD-05	3/30/2022	Corporate Records Management Program	18

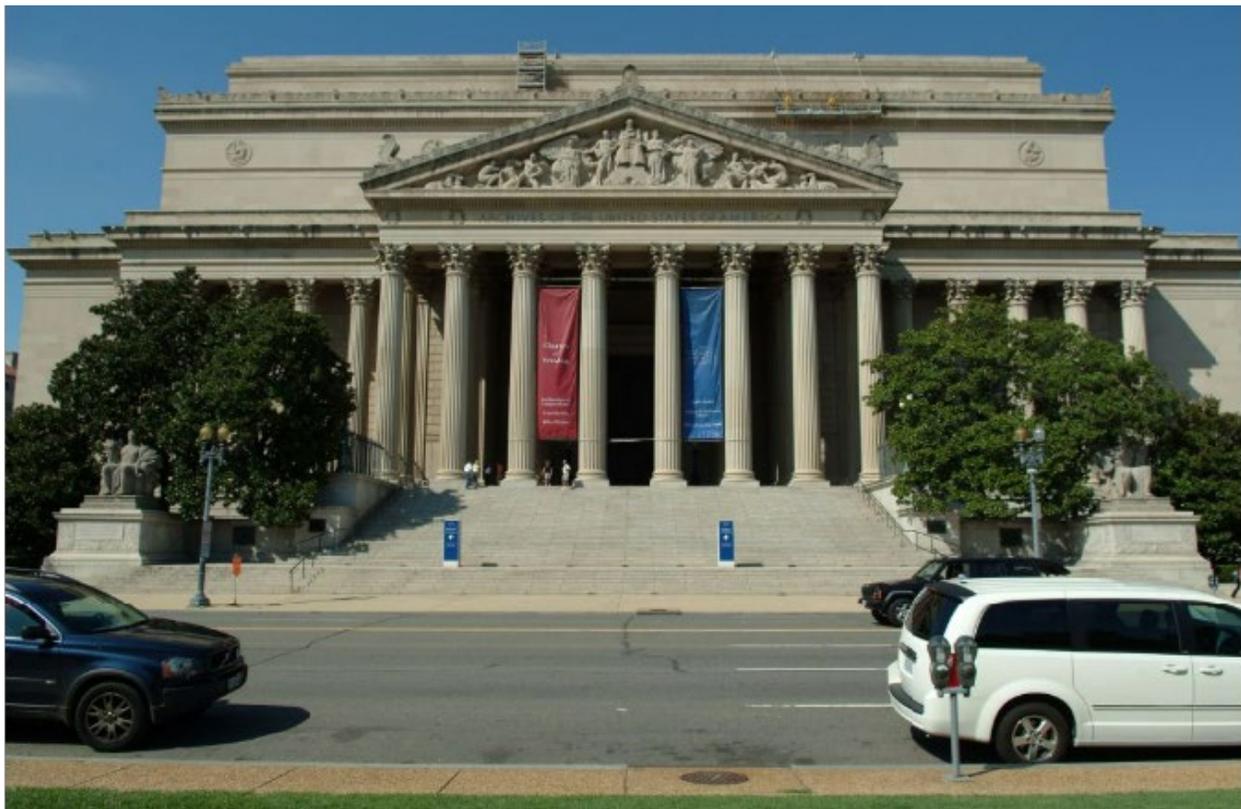


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Contact the OIG

OIG Hotline

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

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

Contractor Self-Reporting Hotline

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