



National Archives and Records Administration

Office of the Inspector General

Semiannual Report to Congress

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MESSAGE FROM THE INSPECTOR GENERAL

On behalf of the National Archives and Records Administration (NARA) Office of Inspector General (OIG), I am pleased to present this Semiannual Report to Congress covering the six-month period ending March 31, 2024. As always, our work reflects the legislative mandate of the Inspector General Act, which is to promote the economy and efficiency of agency operations and to prevent and detect, fraud, waste, and abuse through the conduct of audits, evaluations, and investigations. However, I would like to note that to continue providing effective oversight of important NARA programs and operations, it will require the necessary resources for staffing and contracts. NARA and this nation's history deserve to have OIG oversight to help NARA efficiently and effectively meet its mission.

During this reporting period, our office issued an audit of NARA's compliance with the Federal Information Security Modernization Act, an audit of NARA's fiscal year (FY) 2023 Financial Statements, and an audit of NARA's Offboarding Process. These reports contained findings and recommendations to improve agency operations. Once again, I am honored to have the opportunity to lead the audit, investigative, and support staff who do this important oversight.

This reporting period is the last where our Semiannual Report is mandated to contain an update on the records request backlog at the National Personnel Records Center by Section 5301(b)(3) of the James M. Inhofe National Defense Authorization Act for FY 2023. During the last reporting period, we issued an evaluation of the records request backlog at the National Personnel Records Center. We found opportunities for automation and increased staffing to address the backlog. The findings and recommendations in the report will improve the request fulfillment process and ensure our nation's estimated 18.5 million living veterans receive the highest level of service they deserve. On January 20, 2024 NARA issued a press release stating the pandemic related backlog had been eliminated. We have not done any work related to NARA's assertion the backlog has been eliminated and look forward to working with NARA on all NPRC related issues.

Our office conducted work on a total of three issued audit reports and one related management letter, while closing 66 open recommendations. There were 227 open recommendations at the end of the reporting period and we continue to work closely with the agency as they implement corrective actions. Our investigative activities continued to focus attention on ensuring integrity in NARA operations and programs. We opened 9 new investigative matters while referring 40 matters to other parties, such as NARA.

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



Dr. Brett M. Baker
Inspector General

Table of Contents

Message From the Inspector General	<i>i</i>
Executive Summary	2
Audits and Reports	3
NARA's FY 2023 Federal Information Security Modernization Act Audit	3
Audit of NARA's FY 2023 Financial Statements	3
Management Letter: Control Deficiencies Identified During the Audit of National Archives and Records Administration's Financial Statements for Fiscal Year 2023. 3	
Audit of NARA's Off-boarding Process	4
Other Audits and Evaluations In Progress.....	4
Investigations.....	5
Significant Investigations and Updates	5
Investigations of Senior Officials	6
Hotline Information	7
Veteran's Records Request Backlog.....	8
Other Activities	10
Top Management Challenges.....	11
Background Information	12
Reporting Requirements	13
Open Audit Recommendations.....	18
Contact the OIG.....	22

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

Executive Summary

This is the 70th 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 three reports:

1. Audit of NARA's FY 2023 Federal Information Security Modernization Act Audit
2. Audit of NARA's FY 2023 Financial Statements and Management Letter: Control Deficiencies Identified During the Audit of National Archives and Records Administration's Financial Statements for Fiscal Year 2023
3. Audit of NARA's Off-boarding Process

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

Investigations

The Office of Investigations receives and evaluates complaints and conducts investigations related to fraud, waste, and abuse in NARA programs and operations. The OIG may also issue reports detailing specific issues or vulnerabilities. These reports are focused overviews of potential issues used to alert management. In this period, we received and reviewed 236 complaints and other intake actions, referred 40 of those to other parties, and opened 9 new investigative matters.



Photo: National Archives II Panoramic. NARA Identifier 184341499.

Audits and Reports

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

Audit and Evaluation Summaries

[NARA's FY 2023 Federal Information Security Modernization Act Audit](#)

We contracted with CliftonLarsonAllen LLP (CLA) to perform an independent audit of NARA's information security program and practices in accordance with FISMA for FY 2023. 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, one functional area (Identify) achieved a maturity level of "Ad Hoc," one functional area (Protect) achieved a maturity level of "Defined," and three functional areas (Detect, Respond and Recover) achieved a maturity level of "Consistently Implemented" for an overall maturity level of "Consistently Implemented" for the security program. NARA has improved maturity levels for six of nine domains (Configuration Management, Identity and Access Management, Data Protection, and Privacy Information Security Continuous Monitoring, Incident Response and Contingency Planning), with three of nine domains remaining at the same maturity level as last year (Risk Management, Supply Chain Risk Management, and Security Training).

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, and contingency plan documentation and testing. CLA made three new recommendations and 14 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, CLA noted another 14 recommendations related to prior FISMA audits are still open which have not missed their target completion date, and 19 recommendations were closed. (OIG Report No. 24-AUD-01, dated October 24, 2023)

[Audit of NARA's FY 2023 Financial Statements and Management Letter: Control Deficiencies Identified During the Audit of National Archives and Records Administration's Financial Statements for Fiscal Year 2023](#)

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, 2023, and 2022. The audit was conducted to express an opinion on whether NARA's financial statements were presented fairly in all material respects, in accordance with U.S. generally accepted accounting principles (GAAP). In CLA's opinion, NARA's financial statements were presented fairly in all material respects, in accordance with U.S. GAAP. CLA identified no material weaknesses but found a significant deficiency for FY 2023 internal control over financial reporting based on the limited procedures performed. In addition, CLA identified no reportable noncompliance for FY 2023 with provisions of applicable laws, regulations, contracts, and grant agreements tested, and no other matters. CLA made 10 recommendations, which NARA agreed with. (OIG Audit Report No. 24-AUD-02, dated November 15, 2023; and Management Letter: Control Deficiency Identified

Audits and Reports

During the Audit of National Archives and Records Administration's Financial Statements for Fiscal Year 2023, dated December 1, 2023)

Audit of NARA's Off-boarding Process

We conducted this audit to assess the effectiveness of controls over the off-boarding process for separating and reassigned employees, contractors, and volunteers. We found NARA's exit clearance processes need improvement. Specifically, we found instances in which information technology (IT) system access and Personnel Identification Verification (PIV) cards were not timely disabled, exit clearance documents were not always maintained, departing individuals were not provided with timely notification of their financial obligations, and accountable property of separated or reassigned individuals was not adequately tracked. Overall, these conditions existed because NARA did not have adequate oversight and internal controls in place to ensure the exit clearance process was operating as intended. Without effective internal controls over NARA's off-boarding process, there is an increased risk of loss, misuse, unauthorized access to, or modification of government information and property, and unauthorized access to NARA's facilities and IT systems. The OIG made seven recommendations, which NARA agreed with. (OIG Audit Report No. 24-AUD-03, dated March 14, 2024)

Other Audits and Evaluations In Progress

Audit of NARA's Information Security Oversight Office (ISOO): The objectives of our audit are to determine the effectiveness of ISOO's information security program as it relates to its role of establishing policy and oversight of the government-wide classified national security information system and Controlled Unclassified Information during the period of January 1, 2021 through June 30, 2023; and identify best practices and potential improvements to the ISOO's information security program to better achieve its mission.

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

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

Audit of Office of the Chief Records Officer Records Management Oversight and Reporting: To determine the effectiveness of Records Management Oversight and Reporting Program (ACO) inspections, and if ACO produces a reliable and complete understanding of the inspected entity's records management practices.

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

Audit of NARA's Compliance with the Payment Integrity Information Act of 2019 (PIIA) in FY 2023: To assess NARA's compliance with the PIIA in accordance with OMB guidance.

NARA's FY 2024 Federal Information Security Modernization Act of 2014 (FISMA)

Audit: To assess the effectiveness of NARA's information security program in accordance with the FISMA and applicable instructions from OMB and the DHS IG FISMA Reporting Metrics.

Investigations

Investigations Overview

The OIG receives and evaluates complaints and conducts investigations related to fraud, waste, and abuse in NARA programs and operations. This includes investigating wrongfully alienated NARA holdings, such as missing and stolen records. Investigations showing violations of law, regulations, rules, or contract terms may result in administrative, civil, or criminal actions. These can include things such as terminations, suspensions and debarments, prison terms, probation, fines, restitution, and other actions. The OIG may alert management to potential problems or vulnerabilities through other reports if a full investigation is not warranted or appropriate. For this reporting period there are no investigations of whistleblower reprisal, or investigations of senior government employees¹, to report.

Significant Investigations and Updates

NARA Impersonator Faces Immigration Action

As previously reported, an investigation substantiated allegations that a non-citizen impersonated a NARA official and fraudulently took possession of properties owned by private citizens and the California Department of Transportation. The subject was released after being sentenced to 18 months' imprisonment, and faces a deportation hearing in May 2024.

Author Who Stole NARA Holdings Banned from NARA Facilities

An author admitted stealing a map from NARA in 2005, but prosecution is hindered by legal limitations. NARA issued a ban on the author, barring them from NARA facilities for one year; the subject did not challenge the ban, which went into effect October 2023.

Record Cleared for Return to Owner

An item on NARA's publicly-available Missing Items List (the List), identified as "Letter-Secretary of War Jefferson Davis to General John Wool, May 30, 1854," was alleged to have been sold to a private citizen. Review of the document by NARA, the Library of Congress, and various universities and historical societies, determined that the sold item was not identical with the item on NARA's List, and it was returned to the purchaser in this reporting period.

Vandal Permanently Banned from NARA Facilities

A visitor who used a marker to deface the housing of the Declaration of Independence has been permanently banned from all NARA facilities.

Potential Government Employee Conflict of Interest

An employee of another Federal agency may have engaged in a conflict of interest by leveraging their position as a Federal Government employee to represent a private company in contract negotiations with NARA. The subject has been referred for criminal prosecution in the jurisdictions for both agencies.

¹ 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.

Investigations

Administrative Action Pending for False Statement on Employment Application

A recently-hired NARA employee failed to disclose their criminal history in their employment application. Criminal prosecution was declined, but administrative disciplinary action is pending.

Activists to Appear in Court After Action in Archives Rotunda

On February 14, 2024, two activists dumped a fine red powder over the U.S. Constitution's display case in the Rotunda of NARA's building in Washington, DC. The powder was not toxic, and there was no permanent damage to the collection or to the facility, but response, clean-up, and restoration costs are expected to run in the tens of thousands of dollars. Both persons were apprehended at the scene, a status hearing for their prosecution is scheduled for May 24, 2024, and both individuals have been banned from NARA facilities for at least one year.

Previously-Sought Trove of Potentially Classified Documents Obtained

In 2009 the Office of Inspector General (OIG) had reason to believe that an author's collection of research materials contained documents, some potentially classified, that should have been in the custody of the Federal Government. At the time, the OIG was unable to establish the probable cause that would justify a search warrant, and the author did not consent to NARA staff reviewing their collection. Recently, the author passed-away and their partner allowed the OIG, in partnership with NARA's Holdings Protection and Recovery Staff and NARA's Textual Reference Archives, to take the entire collection for review. In this reporting period, NARA obtained 167 boxes of documents, some of which do appear at first impression appear to contain classified documents, that are currently being reviewed by staff in NARA's National Declassification Center. A criminal referral has been made pending determination of whether other persons, still living, were also involved in amassing the document collection.

Employee Resigns After Careless Release of Personally-Identifiable Information

A NARA employee working remotely filmed themselves at their home workstation, and posted the video to *tik tok* without noticing that work-related data, including personally-identifiable information, was visible and readable on their computer monitor in the background. Although the incident was in clear violation of NARA and unit policy, it was isolated and inadvertent. The employee resigned before disciplinary action could be taken, and a policy reminder was issued throughout the unit about protecting agency data and professional conduct even when working offsite.

Investigations of Senior Officials

None this reporting period.

Investigations

OIG Hotline

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

<u>Hotline Activity for the Reporting Period</u>	
Hotline and Complaints received	236
Hotline and Complaints referred to NARA or another entity	40



Photo: National Archives Building Photos. NARA Identifier 184341383.

Veteran's Records Request Backlog

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

The NPRC's backlog of unprocessed veteran records requests grew from a normal work in process level of approximately 55,569 at the beginning of the COVID-19 pandemic restrictions on March 23, 2020 to as high as 603,663 on March 14, 2022. On January 24, 2024 NARA put out a press release reporting they had eliminated the pandemic related backlog, and as of March 25, 2024 they reported they had 61,009 pending requests for veteran's records at the NPRC. At NARA's current capacity of processing 36,000 requests per week, this represents about 2.2 weeks worth of pending requests. Due to requests coming in every day, NARA has always had pending records requests at the NPRC. However in FY2023 NPRC serviced more than 1.5 million requests, the largest number of requests the NPRC has ever completed in a single year. During FY 2023 NPRC received an average of 24,500 requests per week, which is a significant increase from its pre-pandemic average of 21,000 weekly requests. This represents an increase of 182,000 requests for the year over its typical annual receipts.

Factors causing the NPRC's backlog included limited onsite staffing due to facility occupancy restrictions in place from March 2020 to February 2022, and the NPRC having limited remote processing capabilities. With assistance from other entities like the Department of Veteran's Affairs and additional effort such as hiring and working additional shifts, the NPRC was able to reduce the backlog as stated above. However, more work needs to be done to ensure America's estimated 18.5 million living veterans are being serviced timely, and are receiving the records they need for service-related benefits and necessary medical treatment.

In a previous reporting period the OIG issued an evaluation to assess the backlog of records requests at the NPRC and make recommendations to reduce the backlog and improve the process moving forward. This was done after the OIG identified the backlog as a Top Management Challenge and received a request from the House of Representatives Committee on Oversight and Reform (COR) on October 20, 2021 to conduct an evaluation of the factors contributing to the backlog at the NPRC, NARA's efforts to resolve it, and make recommendations for improvements. Our report included three findings and seven recommendations to improve management oversight and accountability over the backlog. Management indicated they had no comments for inclusion in the report. The findings and associated recommendations are:

Veteran's Records Request Backlog

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

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

Recommendation 2: Collaborate with the Office of Human Capital to improve the current hiring processes at the National Personnel Records Center, develop workforce strategies to build the National Personnel Records Center workforce of the future, and enhance National Personnel Records Center employee retention strategies.³

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

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

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

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

Recommendation 6: Update Archives.gov to communicate the status of the backlog to veterans and emphasize other potential sources.⁴

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

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

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

² This recommendation was closed July 2023.

³ This recommendation was closed December 2023.

⁴ This recommendation was closed July 2023.

Other Activities

Other Efforts With NARA

In addition to audits and investigations, the OIG continued other work, including running the Whistleblower Protection Coordinator program, processing 29 requests for OIG records under the Freedom of Information Act (FOIA) including a request in litigation, presenting to a meeting of Health and Human Services OIG attorneys with the head of NARA's Congressional Affairs office, providing suggestions to improve NARA issuances, and responding to 7 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 new OIG managers and Inspectors General. The Inspector General is the CIGIE Audit Committee Vice Chair and is on the Legislative, Budget, Investigation, and Tech Committees while being involved with others. OIG staff are active in, or associated with, a multitude of CIGIE committees and groups. In this reporting period the Counsel to the Inspector General was asked to give a presentation to over 100 attorneys from another OIG.

Peer Review Information

Peer Review of NARA OIG's Audit Organization

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

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

Peer Review of NARA OIG's Office of Investigations

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

Response to Congressional Items

The OIG continues to keep Congress informed about agency and OIG activities. The OIG actively worked with the CIGIE Legislation Committee to provide comments on various pieces of potential legislation and help communicate the views of CIGIE and the NARA OIG to relevant congressional committees. The OIG also worked on requests from various Congressional staffers.

Top Management Challenges

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

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

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

2. Information Technology (IT) Security

In FY 2023, NARA again identified controls over IT security a "material weakness." Further, over the past decade annual Federal Information Security Modernization Act (FISMA) audits or assessments have consistently identified IT areas in need of significant improvement.

3. Electronic Records Archives (ERA)

ERA has become a "system of systems," and the original ERA Base System was not capable of meeting the nation's needs. Thus, NARA is developing ERA 2.0, with an estimated lifecycle cost of \$94 million. However, until ERA 2.0's functionality is completely built, longstanding deficiencies may continue to impact NARA. Further, the vast volumes of electronic records that will need to be preserved is significant, and NARA is challenged to meet data storage requirements for them. NARA's on premise data storage is reaching capacity, impacting the agency's digitization efforts and other IT programs.

4. Transition to Electronic Records

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

5. Expanding Public Access to Records

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

6. Human Capital Management

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

Background Information

About the National Archives and Records Administration

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

NARA holds more than 5 million cubic feet of traditional records, maintains over 730,000 artifacts, and approximately 838 terabytes of electronic records. In FY 2023, NARA reported 53,893,485 online visits, and they responded to 1,574,355 written requests from the public. The impact of the COVID-19 pandemic has decreased, and in FY 2023 NARA reported over 2.5 million physical visits. With approximately 2,668 employees, NARA operates 41 facilities nationwide.

In FY 2024, NARA was appropriated \$427.3 million for operating expenses, including \$2 million to make publicly available records related to missing Armed Forces and civilian personnel, and \$30 million of which shall remain available until expended for expenses necessary to enhance the Federal Government's ability to electronically preserve, manage, and store Government records; \$25.5 million for Repairs and Restoration, including \$17.5 million for improvements to the Dwight D. Eisenhower Presidential Library in Abilene, Kansas; \$48.4 million for National Historical Publications Records Commission grants; and \$5.9 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 2024, Congress provided \$5.920 million for the OIG's appropriation. At the close of the period, the OIG had 11 employees on board.

Reporting Requirements

<u>5 U.S.C. § or Law</u>	<u>Subject</u>	<u>Page(s)</u>
§ 404(a)(2)	Review of legislation and regulations.	10
§ 405(a)(1)	Significant problems, abuses, and deficiencies relating to the administration of agency programs and operations and associated reports and recommendations.	2–4, 8–9, 11, 18–21
§ 405(a)(2)	Recommendations made before the reporting period, for which corrective action has not been completed.	18–21
§ 405(a)(3)	Summary of significant investigations closed during the reporting period.	none
§ 405(a)(4)	Total number of convictions during the reporting period resulting from investigations.	none
§ 405(a)(5)(A)	Listing of each audit, inspection, or evaluation.	16
§ 405(a)(5)(B)	The total dollar value of questioned costs (including a separate category for the dollar value of unsupported costs) and the dollar value of recommendations that funds be put to better use, including whether a management decision had been made by the end of the reporting period.	17
§ 405(a)(6)	Any management decision made during the reporting period with respect to any audit, inspection, or evaluation issued during a previous reporting period.	16–21
§ 405(a)(7)	The information described under section 804(b) of the Federal Financial Management Improvement Act of 1996 (P.L. 104-208).	none
§ 405(a)(8)	The results of any peer review conducted by another OIG during the reporting period; or if no peer review was conducted, a statement identifying the date of the last peer review conducted by another OIG.	10
§ 405(a)(9)	Any outstanding recommendations from any peer review conducted by another OIG that may have not been fully implemented, including describing the status of the implementation and why it is not complete.	10 (none)
§ 405(a)(10)	Any peer reviews of another OIG during the reporting period, including a list of any outstanding recommendations made from any previous peer review (including any peer review conducted before the reporting period) that remain outstanding or have not been fully implemented.	10

Reporting Requirements

§ 405(a)(11)	Statistical table showing the total number of investigative reports issued during the reporting period; the total number of persons referred to the Department of Justice for criminal prosecution during the reporting period; the total number of persons referred to State and local prosecuting authorities for criminal prosecution during the reporting period; and the total number of indictments and criminal informations during the reporting period that resulted from any prior referral to prosecuting authorities.	15
§ 405(a)(12)	A description of the metrics used for developing the data for the statistical table under § 405(a)(11).	15
§ 405(a)(13)	Report on each investigation conducted by the Office where allegations of misconduct were substantiated involving a senior Government employee.	6 (none)
§ 405(a)(14)	Description of any instance of whistleblower retaliation, including information about the official found to have engaged in retaliation; and, if any, consequences the establishment imposed to hold the official accountable.	16 (none)
§ 405(a)(15)(A)	Information related to interference by the establishment, including any attempt by the establishment to interfere with the independence of the OIG, including with budget constraints designed to limit the capabilities of the OIG; and incidents where the establishment has resisted or objected to oversight activities or restricted or significantly delayed access to information, including the justification of the establishment for such action.	16 (none)
§ 405(a)(15)(B)	A summary of each report made to the head of the establishment under section § 406(c)(2) when information or assistance was unreasonably refused .	none
§ 405(a)(16)(A)	Each inspection, evaluation, and audit conducted by the OIG that is closed and was not disclosed to the public.	16 (none)
P.L. 110-181	Annex on completed contract audit reports	14 (none)
P.L. 104-106	Open audit recommendations	18–21
EO 14074	Use of force incidents involving NARA OIG personnel	15 (none)
EO 14074	No-knock entries conducted by NARA OIG personnel	15 (none)
P.L. 117-348	Number of Suspected Violations Reported	15 (none)
P.L. 117-348	Number of Investigations	15 (none)
P.L. 117-348	Status and Outcomes of Such Investigations	15 (N/A)
P.L. 117-348	Improvement Recommendations	15 (none)

ANNEX ON COMPLETED CONTRACT AUDIT REPORTS

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

Reporting Requirements

SUMMARY OF INVESTIGATIONS AND PROSECUTORIAL REFERRALS

Requirement § 405(a)(4), (11)

<i>Investigative Workload</i>	
Hotline and complaints received this reporting period	236
Hotlines and complaints referred to other parties during this reporting period	40
Investigative matters opened this reporting period	9
Investigative matters closed this reporting period	0
Closing investigative reports written this reporting period	0
<i>Investigative Results</i>	
Total individuals referred to DOJ for prosecution	7
Individuals referred to DOJ – accepted for prosecution	3
Individuals referred to DOJ – declined for prosecution	2
Individuals referred DOJ – pending prosecution decision	2
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	1
Convictions	0
Fines, restitutions, judgments, and other civil and administrative recoveries	\$0
<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	4
<i>EO on Advancing Effective, Accountable Policing & Criminal Justice Practices to Enhance Public Safety</i>	
Use of force incidents involving NARA OIG personnel	0
No-knock entries conducted by NARA OIG personnel	0
<i>Trafficking Victims Prevention and Protection Reauthorization Act</i>	
Number of Suspected Violations Reported	0
Number of Investigations	0
Status and Outcomes of Such Investigations	N/A
Improvement Recommendations	none

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

Reporting Requirements

LIST OF AUDIT, INSPECTION, AND EVALUATION REPORTS ISSUED

Requirement § 405(a)(5)(A)

Report No.	Title	Date	Questioned Costs	Unsupported Costs	Funds Put to Better Use
24-AUD-01	Audit of NARA's FY 2023 Federal Information Security Modernization Act Audit	10/24/2023	\$0	\$0	\$0
24-AUD-02	Audit of NARA's FY 2023 Financial Statements and Management Letter: Control Deficiencies Identified During the Audit of National Archives and Records Administration's Financial Statements for Fiscal Year 2023	11/15/2023	\$0	\$0	\$0
24-AUD-03	Audit of NARA's Off-boarding Process	3/14/2024	\$0	\$0	\$0

OTHER REQUIRED INFORMATION

REQUIREMENT	CATEGORY	SUMMARY
§ 405(a)(6)	Any management decision made during the reporting period with respect to any audit, inspection, or evaluation issued during a previous reporting period.	We meet and engage with NARA staff at all levels to coordinate addressing open recommendations. During this period, 66 of them were closed.
§ 405(a)(14)	Any instance of whistleblower retaliation, including information about the official found to have engaged in retaliation; and, if any, consequences the establishment imposed to hold the official accountable.	None.
§ 405(a)(15)(A)	Interference by the agency, including any attempt by the agency to interfere with the independence of the OIG, including with budget constraints designed to limit the capabilities of the OIG; and incidents where the agency has resisted or objected to oversight activities or restricted or significantly delayed access to information, including the justification of the agency.	None.
§ 405(a)(16)(A)	Closed inspections, evaluations, and audits not disclosed to the public	All closed audits and evaluations were disclosed to the public; no inspection products were produced.

Reporting Requirements

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

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

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

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

Reporting Requirements

SUMMARY OF OPEN AUDIT RECOMMENDATIONS

An important responsibility of the OIG is to follow up on previously issued reports with outstanding recommendations. Although NARA has made significant progress in the past, closing the remaining open audit recommendations remains important to improving NARA's programs and operations. As of this semi-annual reporting period NARA has 227 outstanding open recommendations, with the oldest issued over 14 years ago. Per *OMB Circular No. A-50, Revised*, audit follow-up is an integral part of good management, and is a shared responsibility of agency management officials and auditors. The OIG continues to meet and engage NARA staff at all levels to coordinate addressing open recommendations. Further, NARA may also be leaving itself vulnerable to IT security and other risks by not implementing agreed upon actions to close open recommendations. We encourage NARA to place additional emphasis on addressing open recommendations.

During this period, 66 recommendations were closed. At the close of the period, there were 227 total open recommendations. The full text of each open recommendation, as well as links to the report they came from, can be found on www.oversight.gov at our [open recommendations link](#) toward the bottom of the page on the left side.

Report Number	Date Issued	Title	Number of Open Recommendations
09-15	9/29/2009	Work at Home System	1
10-04	4/2/2010	Oversight of Electronic Records Management in the Federal Government	1
11-02	11/8/2010	Network Vulnerability and Penetration Testing	1
12-09	5/10/2012	Data Center Consolidation Initiative	1
12-11	8/27/2012	Network Discovery and Assessment	2
12-15	7/23/2012	Classified Systems	3
13-01	12/10/2012	Internal Controls Program	1
13-08	7/9/2013	Preservation Program (Textual)	2
13-10	7/9/2013	Archival Facilities	4
13-14	9/18/2013	Processing of Textual Records	2
14-01	1/30/2014	Management and Oversight of NARA's Energy Savings Performance Contracts (ESPCs)	1
14-08	4/17/2014	Capital Planning and Investment Control (CPIC) Process	6

Reporting Requirements

Report Number	Date Issued	Title	Number of Open Recommendations
14-10	5/9/2014	Enterprise Wireless Access	1
15-02	11/12/2014	Mobile Device Management	2
15-03	2/6/2015	Specially Protected Holdings	9
15-11	5/5/2015	Digitization Storage and Transfer Capabilities	1
15-13	8/24/2015	Human Resources Systems and Data Accuracy	1
15-15	9/30/2015	Assessment of Cable Infrastructure	3
16-01	10/19/2015	Web Hosting Environment	8
16-05	3/25/2016	Publicly Accessible Websites	4
16-07	5/17/2016	Refile Processes at Selected Federal Records Centers	3
17-AUD-01	10/28/2016	Enterprise-Wide Risk Assessment of NARA's Internal Controls	7
17-AUD-03	11/4/2016	Compliance With the Federal Managers Financial Integrity Act for FY15	8
17-AUD-04	11/18/2016	Management Control Over Microsoft Access Applications and Databases	4
17-AUD-06	11/15/2016	Procurement Program	10
17-AUD-07	2/19/2017	Compliance with Homeland Security Presidential Directive 12	3
17-AUD-08	3/15/2017	Adoption and Management of Cloud Computing	9
17-AUD-16	9/27/2017	FOIA Program	1
18-AUD-06	3/29/2018	Legacy Systems	1
18-AUD-09	6/4/2018	Human Capital Practices	1
18-AUD-14	8/20/2018	Continuity of Operations (COOP) Readiness	3
19-AUD-03	12/20/2018	Presidential Libraries' Analog Processing	1
19-AUD-07	3/29/2019	Purchase Card Program <i>Questioned Costs - \$131,816</i>	9

Reporting Requirements

Report Number	Date Issued	Title	Number of Open Recommendations
20-AUD-03	12/12/2019	Classified Information Systems	9
20-AUD-06	3/4/2020	Oversight and Management of Information Technology Contracts	2
20-AUD-12	6/18/2020	Personnel Security and Suitability Program	2
20-AUD-15	8/27/2020	Cybersecurity Risk Management Process	2
21-AUD-03	11/10/2020	FY 2020 Financial Statements	1
21-AUD-08	6/14/2021	Controls Over the Use of Information Technology Equipment and Resources	6
21-AUD-10	8/26/2021	Controls over Loans of NARA Holdings	5
21-AUD-11	8/26/2021	NARA's High Value Assets	4
21-AUD-12	9/7/2021	NARA's Records Disposal Processes	8
21-AUD-13	9/29/2021	NARA's Travel Card Program	2
22-AUD-01	11/2/2021	Compliance under the DATA Act of 2014	1
22-AUD-04	12/21/2021	FY 2021 FISMA of 2014	3
22-AUD-05	3/30/2022	Corporate Records Management Program	1
22-AUD-06	04/25/2022	Audit of NARA's Holdings Protection Program	2
22-AUD-07	04/29/2022	Audit of NARA's Processing of Discrimination Complaints	6
22-AUD-09	09/29/2022	NARA's FY 2022 Federal Information Security Modernization Act of 2014 Audit	11
23-AUD-03	5/4/2023	Audit of NARA's Software Asset Management Process <i>Funds Put to Better Use - \$2,663,966</i>	3
23-R-05	5/5/2023	Evaluation of Records Request Backlog at NPRC	4
23-AUD-06	9/1/2023	Audit of NARA's Electronic Records Archives (ERA) 2.0 System	6
24-AUD-01	10/24/2023	Audit of NARA's FY 2023 Federal Information Security Modernization Act Audit	17

Reporting Requirements

Report Number	Date Issued	Title	Number of Open Recommendations
24-AUD-02	11/15/2023	Audit of NARA's FY 2023 Financial Statements <i>and</i> Management Letter: Control Deficiencies Identified During the Audit of NARA's Financial Statements for FY 2023	11
24-AUD-03	3/14/2024	Audit of NARA's Off-boarding Process	7

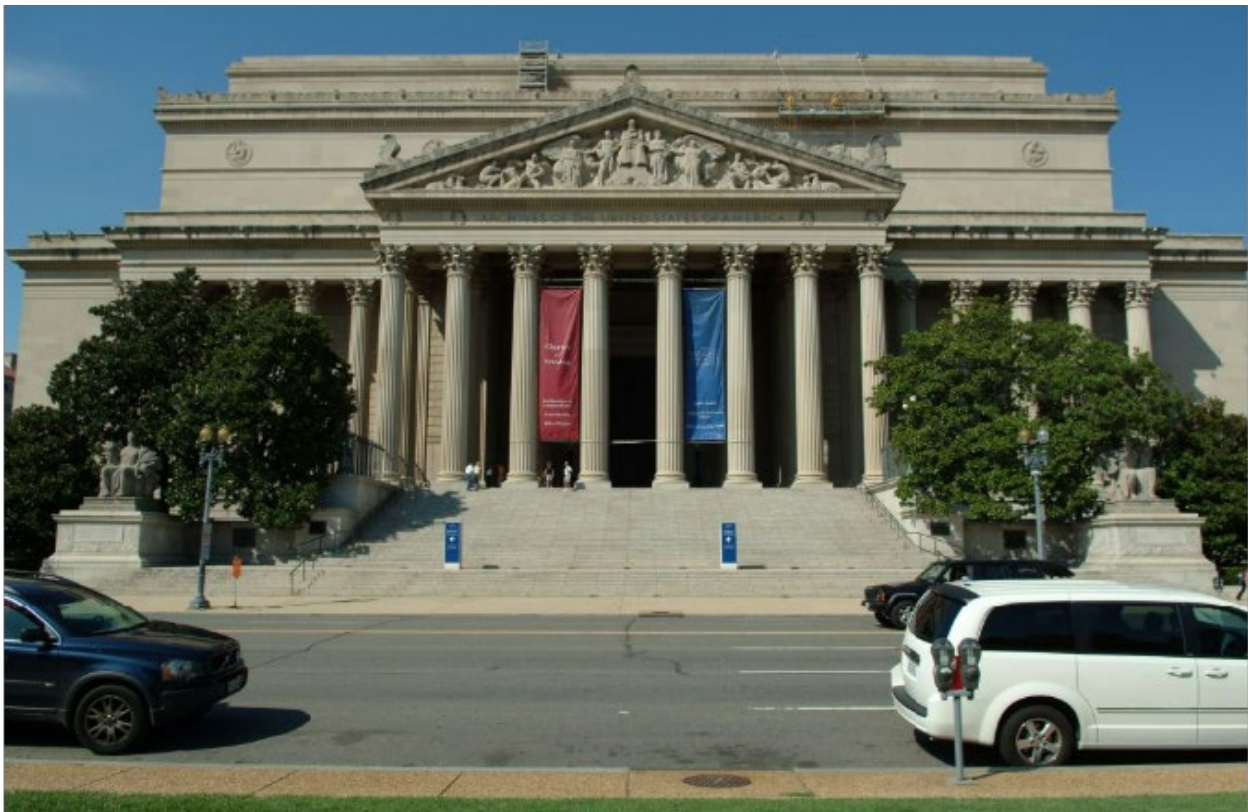


Photo: National Archives Building in Washington, DC. NARA Identifier 184341098.

Contact the OIG

OIG Hotline

The OIG Hotline provides a confidential channel for reporting fraud, waste, abuse, and mismanagement to the OIG. In addition to receiving telephone calls at a toll-free Hotline number, we also accept contacts through an online referral form. Walk-ins are always welcome at suite 2800 in the National Archive's College Park facility. Visit www.archives.gov/oig/ or <https://naraoig.oversight.gov/> for more information, or contact us:

- **By telephone**
Washington, DC, Metro area: 301-837-3500
Toll-free: 800-786-2551
- **By facsimile**
301-837-3197
- **By online referral form**
<https://naraoig.oversight.gov/online-complaint-form>

Contractor Self-Reporting

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

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

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

Disclosures and/or supporting documentation can be submitted via the online referral form at <https://naraoig.oversight.gov/oig-contractor-reporting-form>.

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

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