



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

OCTOBER 1, 2020 *to* MARCH 31, 2021

MESSAGE FROM THE ACTING INSPECTOR GENERAL

On behalf of the U.S. National Archives and Records Administration (NARA) Office of Inspector General (OIG), I am pleased to present our Semiannual Report to Congress. This report summarizes the OIG's activities and accomplishments from October 1, 2020 through March 31, 2021.

During this period, NARA has continued to move forward with its mission of making valuable government records available to future generations. It has increased online access to digital records and is working with federal agencies to prepare for the mandate to submit all government records to NARA digitally by December 31, 2022. It is also continuing to work through pandemic challenges to address the needs of veterans seeking military service documentation.

As this semiannual period ends, the world continues to address the challenges of the pandemic. While the transition to the next normal is approaching, we will continue to adjust the way we perform our work so we can keep delivering high-quality results. NARA and our office had effective telework programs before the pandemic began that have allowed staff to perform high-quality work remotely while keeping our employees safe. During these unprecedented times, our professional and dedicated staff remain focused on identifying fraud, waste, and abuse affecting NARA's ability to achieve its mission.

Our office closed 26 investigative matters including five referrals for prosecution to the Department of Justice. We also issued two audit reports, and four other reports. These other reports included a review of NARA's actions resulting in an Antideficiency Act violation, our Federal Information Security Modernization Act narrative, a review of NARA's progress implementing an Executive Order, and a report on open audit recommendations. Investigations work continues in our Stolen Valor initiative to ensure integrity in the use of veterans records to obtain benefits. In addition, we worked with NARA managers to close 12 of 286 open recommendations this reporting period.

The success of the NARA OIG would not be possible without the collaboration between the OIG and NARA to address our findings and implement recommended corrective actions that strengthen internal controls and enhance programs. I appreciate their efforts and look forward to continued cooperation as we work together to ensure the integrity and efficiency of agency operations. I also thank the Archivist of the United States, agency leadership and their staff, and Congress for their continued support of the OIG's mission. I would also like to express my gratitude to the Council of the Inspectors General on Integrity and Efficiency members, leaders, and staff for their support. Lastly, I thank the former Inspector General James E. Springs for his commitment to the mission of the OIG, NARA, and the federal government during his impressive 33-year federal career, including 24 years with the NARA OIG.



Dr. Brett M. Baker
Acting 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 64th Semiannual Report to Congress summarizing the activities and accomplishments of the National Archives and Records Administration (NARA) Office of Inspector General (OIG).

Audits and Reports

The OIG 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 the following audit reports and other non-audit reports concerning NARA programs and operations.¹ During this period, the Office of Audits (OA) tracked \$131,816 in questioned costs and \$45,352,745 in funds to be put to better use.

Audits of Programs and Operations

- **Audit of NARA's Fiscal Year (FY) 2020 Financial Statements and Management Letter: Control Deficiency Identified during Audit of NARA's FY 2020 Financial Statements.** NARA received an unmodified opinion on its financial statements. However, there were two significant deficiencies in internal control over financial reporting related to longstanding control deficiency in information technology and inadequate internal control over timely resolution of error. There were also two instances of reportable noncompliance with laws and regulations. Further, there was one deficiency in internal control related to the entity-wide travel policy. (OIG Audit Reports No. 21-AUD-03 and 21-AUD-04, dated November 10, 2020. See page 13.)
- **Review of NARA's Compliance with the Payment Integrity Information Act of 2019 for FY 2020.** NARA complied with the requirements of Payment Integrity Information Act (PIIA). (OIG Audit Report No. 21-AUD-06, dated March 31, 2021. See page 13.)

Other Reports Concerning NARA Programs and Operations

- **Review of NARA's Actions Resulting in the FY 2019 Antideficiency Act (ADA) Violation.** In FY 2019 NARA obligated \$789,730 in excess of available appropriations resulting in a violation of the ADA. This was initially based on the failure of system controls of NARA's financial management shared services provider. However, the Office of the Chief Acquisition Officer, Office of the Chief Financial Officer and Information Services failed to detect, investigate, correct the actions, and/or prevent the obligation error. In these offices, internal and management controls were not adhered to, oversight processes were not in place, and timely communications did not occur. (OIG Report No. 21-R-01, dated October 9, 2020. See page 14.)
- **Federal Information Security Modernization Act (FISMA) FY 2020 Narrative.** NARA continues to stress its commitment to improving information security throughout

¹ Each report portrays a snapshot in time at the end of the fieldwork, and may not reflect the current situation at the end of the reporting period. Only products labeled as audits are conducted in accordance with the Government Auditing Standards. All audits are posted online, while management alerts generally are not.

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the agency and is making steady progress to that end. However, to fully progress towards the “consistently implemented” maturity level, NARA will need to address the weaknesses in its policies and procedures to ensure they are accurate, complete, consistent, and communicated to all information security stakeholders. (OIG Report No. 21-R-02, dated October 29, 2020. See page 14.)

- **Review of NARA's Progress in Implementing Executive Order 13950 on Combating Race and Sex Stereotyping.** NARA generally complied with the applicable requirements of Executive Order 13950 on Combating Race and Sex Stereotyping when it was in effect. (OIG Report No. 21-R-05, dated December 30, 2020. See page 15.)
- **2021 2nd Quarter Open Audit Recommendations Report.** The OIG issued a report to each NARA office summarizing their open audit recommendations, including data on new, closed, and open audit recommendations at the end of the quarter. (OIG Report No. 21-R-07, dated March 31, 2021. See page 15.)

Investigations

The Office of Investigations (OI) 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 terminations, debarments, prison terms, probation, fines, restitution, and other actions. The OI may also issue special reports or other reports detailing specific issues or vulnerabilities we observe concerning areas of specific interest or potential fraud. These reports are limited overviews of potential agency vulnerabilities used to alert management to issues and do not follow any set standards or procedures. The Inspector General has decided not to post some of these special and other reports online as they do not represent fully explored or detailed audit or investigative efforts. However, any special or other report issued is summarized in this report. These products may contain observations, but do not include recommendations for corrective action. In this period, the OI received and reviewed 325 complaints and other intake actions, opened 17 new investigative matters, and closed 26 existing investigative matters.

The cost savings calculations attributed to OI work product for this period totaled \$5,025.00. This resulted from a criminal conviction of a former NARA employee who pleaded guilty to a conflict of interest violation. Cost savings include recoveries made as a result of investigations, including the appraised value of NARA holdings. Additionally, they include any identified misused agency resources and time, theft, and other monetary calculations identified during investigations. Time abuses are calculated as three years' worth of the offending behavior.

OI highlights for this reporting period include:

- A NARA employee was issued a 28-day suspension without pay as the result of an investigation which substantiated allegations of time and attendance, and other, misconduct.

Executive Summary

- Outreach by the OI resulted in a more than 50 percent increase in hotline complaints.
- The ongoing Stolen Valor Initiative resulted in increased public awareness and joint investigations with other agencies, and comprised nearly one third of all complaints received by the OI.

Management Assistance and Other Work

In addition to audits and investigations, the OIG continued to assist NARA and others in various ways, including the following highlights from the period.

- Continued running the Whistleblower Protection Coordinator program, providing training and information to potential whistleblowers on various rules and protections available. This work included one-on-one consultations with individuals and working with other IG offices in the Federal community on various issues. During this period, COVID-19 prevented in-person training and visits to NARA field offices.
- Responded to multiple requests for OIG records under the Freedom of Information Act (FOIA).
- Provided substantial suggestions for improving multiple NARA issuances and ensuring they do not interfere with OIG independence. Some of the issuances reviewed included NARA 235 on safety and occupational health programs, NARA 831 on social media, NARA 121 on proposals to the National Archives Foundation, and NARA 1621 on NARA exhibits and public programs.
- Responded to 17 requests from NARA for reviews of proposed legislation, Office of Management and Budget (OMB) regulations, congressional testimony, and other items.



Other Matters Affecting OIG Operations

NARA's Inspector General Retires

After dedicating 33 years of his life to public service in the federal OIG community, NARA Inspector General (IG) James Springs announced his retirement, effective April 24, 2021. IG Springs will be dearly missed at NARA, where he served for nearly 24 years in the OIG. Starting as a senior auditor, his leadership was recognized and he was promoted to Assistant Inspector General for Audits before rising to become the Inspector General. Leading an independent unit, IG Springs made numerous contributions to NARA by improving the agency. These improvements directly resulted in improvements to NARA's ability to carry out its mission, and history owes IG Springs a debt of gratitude for his hard work.

Prior to joining NARA, IG Springs improved other agencies, serving as an auditor in both the Government Printing Office (now the Government Publishing Office) and the Small Business Administration. Before that, IG Springs worked in the banking industry for ten years.

A dedicated family man, IG Springs has said he is looking forward to spending time with his loved ones and being more involved in his community. Please join the Archivist of the United States, and all of us in the OIG, in thanking IG Springs for his service to the National Archives and the nation and in wishing him a fulfilling retirement.

Information Technology Independence Issues

The OIG has traditionally used NARA's information technology (IT) resources for our email and file storage needs. However, we have recognized several issues with the current setup and reported on them in our previous Semiannual Report. NARA has recognized the importance of these issues and assigned an IT Program Manager to work with the OIG to explore options that ensure OIG independence. NARA will be going through the acquisition process next year for the agency's network and system and supports structuring the acquisition vehicle in a way to separate and protect the OIGs emails and information. As this would represent significant cost savings versus setting up a separate OIG system, the OIG currently plans to pursue this option.



Introduction

About the National Archives and Records Administration

Mission

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.

Background

By preserving the nation's documentary history, NARA serves as a public trust on which our democracy depends. It ensures continuing access to essential evidence documenting the rights of American citizens, the actions of Federal officials, and the national experience. Through NARA, citizens can inspect for themselves the public record of what the government has done. Thus it enables agencies to review their actions and helps citizens hold them accountable.

Federal records reflect and document America's development over more than two centuries. They are great in number, diverse in character, and rich in information. NARA holds more than 5 million cubic feet of traditional records. These holdings include, among other things, letters, reports, architectural/engineering drawings, maps and charts, moving images and sound recordings, and photographic images. Additionally, NARA maintains over a million artifacts and 823 terabytes of electronic records. The number of records born and stored solely in the electronic world will only continue to grow; thus NARA developed the Electronic Record Archives to attempt to address this burgeoning issue.

NARA involves millions of people in its public programs, including exhibitions, tours, educational programs, film series, and genealogical workshops. In FY 2020, NARA reported more than 45 million online visits and responding 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 1.4 million of them. NARA also publishes the *Federal Register* and other legal and reference documents, forming a vital link between the Federal Government and those affected by its regulations and actions. Through the National Historical Publications and Records Commission (NHPRC), NARA helps preserve and publish non-Federal historical documents that also constitute an important part of our national heritage. Additionally, NARA administers 15 Presidential Libraries preserving the papers and materials of Presidents since Herbert Hoover.

Resources

In FY 2021, NARA was appropriated \$377 million for operating expenses, including \$9.2 million to enhance the government's ability to electronically preserve, manage, and store government records, and up to \$2 million to implement the Civil Rights Cold Case Records Collection Act of 2018; \$9.5 million for repairs and restoration of archives facilities, \$6.5 million for the NHPRC, and \$4.8 million for IG operations. NARA was subsequently provided with an extra \$50 million in emergency funds to address problems caused by the coronavirus pandemic at Federal Records Centers, and to accelerate processing of requests for military service records received during the pandemic. With approximately 2,583 employees, NARA operates 44 facilities nationwide.

Introduction

About the Office of Inspector General (OIG)

The OIG Mission

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.

Background

The Inspector General Act of 1978, as amended, along with the Inspector General Reform Act of 2008, establishes the OIG's independent role and general responsibilities. The Inspector General keeps both the Archivist of the United States and Congress fully and currently informed on our work. The OIG evaluates NARA's performance, makes recommendations for improvements, and follows up to ensure economical, efficient, and effective operations and compliance with laws, policies, and regulations. In particular, the OIG:

- assesses the effectiveness, efficiency, and economy of NARA programs and operations;
- recommends improvements in policies and procedures to enhance operations and correct deficiencies;
- recommends cost savings through greater efficiency and economy of operations, alternative use of resources, and collection actions; and
- investigates and recommends actions to correct fraud, waste, abuse, or mismanagement.

Further, the OIG investigates criminal and administrative matters concerning the agency, helping ensure the safety and viability of NARA's programs, customers, staff, and resources.

Resources

In FY 2021, Congress provided \$4.8 million for the OIG's appropriation. At the close of the period the OIG had 20 FTEs on board, including an Inspector General, 10 FTEs devoted to audits, 7 FTEs devoted to investigations, an administrative assistant, and a counsel to the Inspector General.

Activities

Involvement in the Inspector General Community

Council of Inspectors General on Integrity and Efficiency (CIGIE)

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. The Inspector General is a CIGIE member and regularly attends meetings discussing government-wide issues and congressional items affecting the Inspector General community.

Pandemic Response Accountability Committee (PRAC)

Created by the Coronavirus Aid, Relief, and Economic Security Act of 2020 (the CARES Act), the PRAC is a part of CIGIE dedicated to oversight of the \$2.2 trillion provided in the CARES Act. Counsel assisted in standing up the PRAC and compiled lessons learned for oversight of disasters from throughout the Federal IG community for PRAC's first publication. As NARA is a recipient of CARES Act funds, the OIG is also active in PRAC issues and attends monthly PRAC meetings.

CIGIE Legislation Committee

The Legislation Committee provides timely information about congressional initiatives to the IG community; solicits the views and concerns of the community in response to legislative initiatives and congressional requests; and presents views and recommendations to congressional committees and staff, the Government Accountability Office, and the Office of Management and Budget on issues and legislation affecting the IG community. The OIG counsel attends committee meetings for the IG, who serves as a member. Counsel remains involved in various aspects of the committee's work, including reviewing CIGIE's legislative priorities, answering various data calls, monitoring legislation for developments of interest to the community, and developing input for proposed legislative actions.

CIGIE Audit Committee

The Audit Committee provides leadership to, and serves as a resource for, the federal IG audit community. Specifically, the Audit Committee sponsors and coordinates audit-related activities addressing multiagency or government-wide issues, maintains professional standards for OIG audit activities, and administers the audit peer review program. The Audit Committee also provides input to the CIGIE Professional Development Committee on training and development needs of the CIGIE audit community and gives advice to the Chairperson, Vice Chairperson, and Executive Director regarding CIGIE's contracts for audit services. The AIGA attends committee meetings for the Inspector General, who serves as a committee member.

CIGIE Investigations Committee

The Investigations Committee advises the community on issues involving criminal investigations and investigative personnel. The committee also works on establishing criminal investigative guidelines. The AIGI attends these meetings for the Inspector General, who is a member. The AIGI is involved in helping provide guidance, assistance, and support to the Investigations Committee in the performance of its duties.

Activities

Council of Counsels to Inspectors General (CCIG)

The CCIG provides a rich environment wherein legal issues can be raised and interpretations can be presented and reviewed with an experienced network of OIG lawyers from across the Federal community. Monthly meetings have become virtual due to COVID-19, but have featured speakers such as the Special Counsel, the House of Representatives Whistleblower Ombudsman, and Department of Justice experts in various topics.

CIGIE Technology Committee Data Analytics Working Group (DAWG)

The OI and OA regularly attend and participate in the DAWG. The DAWG was created to assist IGs in acquiring tools and knowledge to better assess fraud, waste, and abuse within agency programs.

CIGIE Audit Peer Review Subcommittee (Appeals Process)

The AIGA serves on the Audit Peer Review Subcommittee's Review Report Appeals Process Group. This group receives OIGs' requests for the Audit Committee's Panels of Assistant Inspectors General for Audits' and IGs decision(s) on unresolved issues between OIGs.

CIGIE Training Institute

The OIG counsel continued to work with the CIGIE Training Institute. While COVID-19 prevented OIG counsel from teaching IG criminal investigators at the Federal Law Enforcement Training Center (FLETC), counsel did train several new IGs on OIG related laws and authorities.

Whistleblower Protection Coordinator Working Group (WPCWG)

In accordance with the spirit of the Whistleblower Protection Enhancement Act of 2013, the IG appointed the OIG counsel as the whistleblower protection coordinator. Counsel meets with the group to develop best practices, discuss community issues, and learn about training programs.

CIGIE Enterprise Risk Management Working Group (ERMWG)

The OA regularly attends and participates in the ERMWG. The ERMWG contributes to the promotion and implementation of ERM principles in accordance with OMB Circular A-123 within the OIG community. OA is also a member of a subgroup with the ERMWG responsible for implementing an ERM Risk Assessment Approach for audit planning purposes.

CIGIE Technology Committee

The OA regularly attends and participate in the Technology Committee. The Technology Committee facilitates effective information technology (IT) audits, evaluations, and investigations by Inspectors General and provides a vehicle for the expression of the IG community's perspective on government-wide IT operations.

CIGIE Technology Committee, Emerging Technology Subcommittee

The OA regularly attends and participates on the Emerging Technology Subcommittee. The Subcommittee reviews different emerging technologies employed by OIGs and how oversight is conducted over those activities, as well as how each OIG can use emerging technologies in its own work.

Activities

CIGIE Audit Committee, 0511 Series Working Group

The OA regularly attends and participates in the 0511 Series Working Group. This group gains insight on the challenges and opportunities to reduce misunderstanding in the implementation of OPM guidance allowing OIGs to classify staff without accounting degrees into the 0511 series as Performance Auditors.

CIGIE Audit Committee, Connect, Collaborate, Learn Planning Group

The OA regularly attends and participates on the Connect, Collaborate, Learn Planning Group. This group identifies pertinent topics and speakers/presenters for virtual learning opportunities relevant to CIGIE audit professionals in performing their work.

Oversight.gov Information Sharing

The OIG fully participates in oversight.gov, a CIGIE-driven single-source portal to search through reports of multiple OIGs.

CIGIE Federal Audit Executive Council (FAEC)

The OA regularly attends and participates in the FAEC. The FAEC discusses and coordinates issues affecting the Federal audit community with special emphasis on audit policy and operations of common interest to FAEC members

FAEC Digital Accountability and Transparency Act (DATA Act) Working Group

The OA regularly attends and participates in the DATA Act Working Group. The Working Group's mission is to assist the IG community in understanding and meeting its DATA Act oversight requirements by (1) serving as a working-level liaison with the Department of the Treasury (Treasury), (2) consulting with the Government Accountability Office (GAO), (3) developing a common approach and methodology, and (4) coordinating key communications with other stakeholders.

FAEC Financial Statement Audit Network

The OA regularly attends and participates with the FSAN. The FSAN was created to address financial statement audit issues that transcend individual Government agencies; and to discuss changes in accounting standards, auditing standards, laws, and regulations that impact federal financial statement audits.

CIGIE Top Management and Performance Challenges

The OA participated in crafting the second version of the community-wide Top Management and Performance Challenges that CIGIE released in February 2021.

Small/Unique OIG Working Group

The OA regularly attends and participates in the Small/Unique OIG Working Group. The working group discusses issues affecting smaller/unique OIGs.

Activities

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 2021.

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 review legislative priorities, provide comments on various pieces of potential legislation, and help communicate the views of CIGIE and the NARA OIG to relevant congressional committees.

This reporting period these activities also included notifications of potential impacts of the COVID-19 pandemic on OIG operations. They also included a significant project responding to a House Committee’s questions regarding records management actions and issues at another federal agency, including questions on the actions NARA had taken. This involved extensive coordination with both the OIG at the other agency and various NARA offices.

Audits and Reports

Audit and Reports Overview

During this reporting period, the OIG issued two final audits and four other reports. These other reports include such things as special reports (which are used to convey information or issues to management officials without the technicalities of an audit) and do not follow the Government Auditing Standards. 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.

Additionally, we initiated or continued work on the following audits or other non-audit reports:

- Controls Over Loans of NARA Holdings, determining whether proper controls are in place for loans of NARA holdings;
- Travel Card Program, determining whether NARA's Travel Card Program has effective internal controls to safeguard against unauthorized use, abuse, and improper transactions not associated with official travel;
- Controls over Use of IT Equipment and Resources, determining whether controls are adequate and effective to prevent and deter inappropriate use of the internet on government-assigned computing resources and mobile devices, as defined by NARA Directive 802, *Use and Monitoring of NARA Office and IT Equipment and Resources*;
- High Value Assets (HVAs), determining whether NARA has controls in place to adequately protect its HVAs relating to cybersecurity;
- Holdings Protection Program, determining whether NARA has controls in place to reasonably secure and protect holdings from theft or vandalism.
- Accountability for Actions Taken on Civil Rights Complaints, determining whether NARA processed discrimination complaints in a timely and efficient manner.
- Records Disposal Processes, determining whether adequate controls are in place for disposing of federal records in NARA's custody.
- Compliance with the DATA Act of 2014, assessing the completeness, timeliness, quality, and accuracy of financial and award data NARA submitted for publication on USASpending.gov and the implementation and use of the government-wide financial data standards established by the OMB and the U.S. Department of the Treasury.
- Controls Over Off-boarding Process for Separating Employees, Contractors, and Volunteers, evaluating and assessing the effectiveness of controls over the off-boarding process for separating employees, contractors, and volunteers.

Audits and Reports

Audit Summaries

Audit of NARA's FY 2020 Financial Statements and Management Letter: Control Deficiencies Identified during Audit of NARA's FY 2020 Financial Statements

NARA received an unmodified opinion on its financial statements from the independent certified public accounting firm. There were two significant deficiencies in internal control over financial reporting. The firm found a longstanding control deficiency in information technology controls still existed. While NARA was able to remediate one prior year finding related to IT general controls, NARA did not substantially address deficiencies in its IT general control categories of security management, access controls, and configuration management that have existed since FY 2008. These longstanding unresolved deficiencies impact the effectiveness of NARA's information technology security program and internal controls over financial reporting. They also found an inadequate internal control over NARA's monitoring controls over its service provider, Treasury's Administrative Resource Center (ARC), processes was inadequate to provide timely feedback to ensure errors are adequately and appropriately resolved by NARA and ARC.

This resulted in two instances of reportable noncompliance for FY 2020 with provisions of applicable laws, regulations, contracts and grant agreements tested and other matters. The firm reported NARA was not compliant with the Accountability of Tax Dollars Act (ATDA) when it did not submit its FY 2019 audited financial statements to the Congress and the Director of OMB. It also reported NARA has not reported an Antideficiency Act (ADA) violation that occurred in FY 2019 to Congress, the President, and the Comptroller General of the Government Accountability Office as required by 31 U.S.C. 1351, 1517(b) and OMB Circular A-11, section 145.

There was also one deficiency in internal control. NARA's travel policy still has not been updated since March 2008.

The reports included 18 recommendations to strengthen NARA's information technology and financial management controls. (OIG Audit Reports No. 21-AUD-03 and 21-AUD-04, dated November 10, 2020.)

Review of NARA's Compliance with the Payment Integrity Information Act (PIIA) of 2019 for FY 2020

For FY 2020, NARA complied with the requirements of the PIIA. As required, NARA published an Agency Financial Report in FY 2020, including a section on improper payments, and posted that report and accompanying materials as required by OMB on its website. The information in those documents was generally accurate and complete. NARA conducted improper payment risk assessments for each program with annual outlays greater than \$10 million and adequately concluded none of NARA's programs were susceptible to significant improper payments. The other PIIA reporting requirements were not applicable. The report included no recommendations. (OIG Audit Report No. 21-AUD-06, dated March 31, 2021.)

Audits and Reports

Summaries of Other Reports

Review of NARA's Actions Resulting in the FY 2019 Antideficiency Act Violation

In FY 2019, NARA obligated \$789,730 in excess of available appropriations resulting in a violation of the ADA. The obligation error resulting in the ADA was initially based on the failure of system controls of NARA's financial management shared services provider, the ARC. However, the Office of the Chief Acquisition Officer (CAO), Office of the Chief Financial Officer (CFO) and Information Services also failed to detect, investigate, correct the actions, and/or prevent the error. In these offices, internal and management controls were not adhered to, oversight processes were not in place, and timely communications did not occur.

Specifically, these conditions were not detected or prevented due to:

- (1) The CFO and CAO relied on ARC's system interfaces;
- (2) ARC did not adhere to its own oversight controls;
- (3) The CAO did not use appropriate cost allocations for Contract Line Item Numbers (CLIN) and, when the error was detected, the Contracting Officer (CO) did not require a new Purchase Request (PR) to correct the allocation; and
- (4) Interim Guidance 400-8, *Quarterly Reconciliation of Open Items for all NARA Funds*, does not require program offices to review open obligations for completeness.

Had controls been in place and functioning as intended, the ADA violation may have been averted.

This report identified four recommendations to ensure NARA has controls in place to prevent and detect similar incidents from occurring in the future. (OIG Report No. 21-R-01, dated October 9, 2020.)

Federal Information Security Modernization Act (FISMA) FY 2020 Narrative

NARA has not changed from last year, having five domains assessed at the lowest "Ad -hoc" level, and three domains assessed one level above the lowest at the "Defined" level. However, NARA continues to stress its commitment to improving information security throughout the agency and is making steady progress to that end. NARA also continues to work to address open OIG audit recommendations related to information security.

In FY 2020, NARA continued its progress toward a more mature information security program, including:

- (1) Acquiring additional Information System Security Officer (ISSO) resources, which helped the agency create and maintain up-to-date security documentation for many sampled systems;
- (2) Improving its master system inventory process to include more accurate and comprehensive system information compared to prior years; and
- (3) Introducing new channels of communication to update information security stakeholders on the newest security topics and changes in information technology (IT) policies and procedures.

Audits and Reports

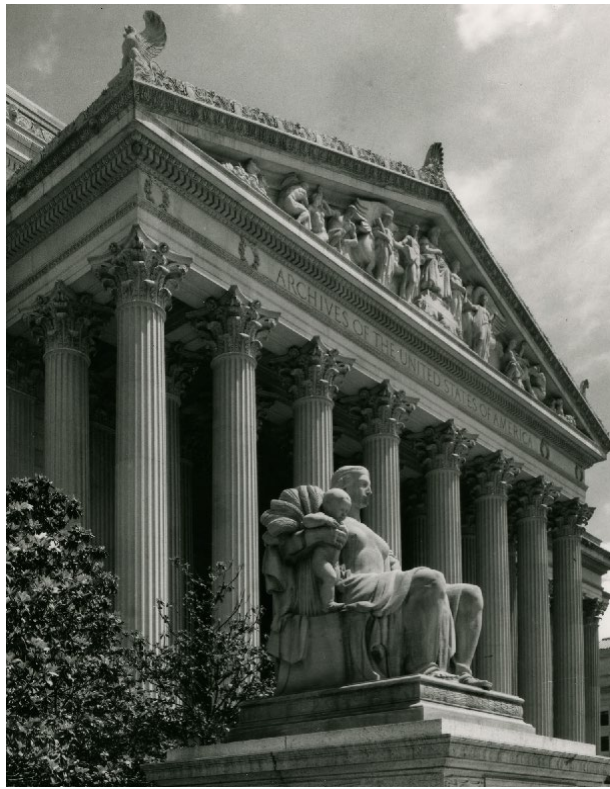
However, to fully progress towards consistently implemented, NARA will need to address the weaknesses in its policies and procedures to ensure they are accurate, complete, consistent, and communicated to all information security stakeholders. Consistent implementation of security controls throughout the agency can only be achieved when there are sound and reliable policies and procedures, the foundational levels of a mature information security program. (OIG Report No. 21-R-02, dated October 29, 2020.)

Review of NARA's Progress in Implementing Executive Order on Combating Race and Sex Stereotyping

We found based on our limited review, NARA generally complied with the applicable requirements of Executive Order (EO) 13950 on Combating Race and Sex Stereotyping when it was in effect. (OIG Report No. 21-R-05, dated December 30, 2020.)

2021 2nd Quarter Open Recommendations Report

The OIG issues reports to each NARA office summarizing their open audit recommendations, including data on new, closed, subsumed, and open audit recommendations. These reports are intended to ensure closing open audit recommendations remain a priority and NARA senior managers are aware of the outstanding audit issues in their respective areas in order to expedite efforts towards addressing the recommendations. (OIG Report No. 21-R-07, dated March 31, 2021.)



Investigations

Investigations Overview

The OI 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 OI may alert management to potential problems or vulnerabilities through special reports or other products if a full investigation is not warranted or appropriate. Their purpose is to alert management to issues, and they do not follow any set standards or procedures. While they may offer potential suggestions, the IG has decided they do not make recommendations for corrective action and they are not generally posted online.

Significant Investigations and Updates

Status of Previously Reported Investigations:

Unapproved Outside Employment and Time and Attendance Misconduct

As previously reported, the OI initiated an investigation concerning allegations that an employee was engaged in multifaceted time and attendance misconduct involving telework abuse, inappropriate claims for credit hours, unapproved outside employment, and potential outside employment during the same time as official NARA duty. The investigation substantiated several allegations and uncovered multiple time and attendance issues, including timesheets with irregular credit hours which were approved by supervisors despite violating NARA policy. The United States Attorney's Office declined criminal prosecution, and the results of the investigation were provided to management to determine whether corrective action may be warranted. In this reporting period, NARA management reported the employee received a 28-day suspension without pay.

Open and Completed Significant Investigations:

Conflict of Interest Violation by Employee that Accepted Third-Party Payment for Performing Their Official NARA Duties

The OI initiated an investigation based on information alleging that an employee developed and sold photographic images to private companies and institutions for profit, despite the fact that they were a full-time U.S. Government employee being paid to do this work as part of their official duties. The investigation substantiated that for at least ten years the employee had been accepting direct payments from these institutions for faster and otherwise enhanced access to NARA's holdings, to the delay of and detriment to, the employee's legitimate work. The investigation further revealed that the employee received a substantial amount of money in compensation for this unauthorized work, and the employee re-directed legitimate NARA clients to vendors who would then engage, and pay, the employee directly for the work that they should have performed in the normal course of their NARA duties. In December 2020, the employee pleaded guilty to receipt of unauthorized compensation by a government employee. The employee was sentenced to four months of home detention as part of one year of probation and

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ordered to pay a \$5,000 fine. The employee, who by then no longer worked for NARA, was also barred from all NARA facilities.

Allegations of Time and Attendance Fraud and Unauthorized Outside Employment

The OI investigated allegations that an employee abused their pre-COVID-19, full-time telework status, by being consistently unreachable during working hours, possibly due to running an unauthorized personal business. Our investigation did not substantiate that the employee was “consistently unreachable” while teleworking. Additionally, the investigation determined that the employee had an approved NARA Form 3015, *Application to Engage in Outside Employment, Business, or Professional Activities*, but denied ever having acted on the authorization actually to begin outside employment. There were no filings or other business activities attributable to the employee, and surveillance of the employee’s primary and secondary residences during working hours did not reveal evidence that the employee was operating a personal business, either on- or off-duty as a NARA employee. The allegations of time and attendance fraud and unauthorized outside employment were unsubstantiated.

Mismatch in Records for Security Clearance Holders

The OI conducted an investigation based on a referral from OA, which during the course of an audit uncovered a discrepancy in the Security Management Division’s records, noting that two NARA employees who were listed as holding security clearances had no supporting documentation in their personnel files. Security personnel were unable to account for the discrepancy, and the Office of Human Capital had no record of the employees. The OI determined that in both cases the “employee” was a person to whom NARA had offered employment, and who had initially accepted the offer of employment, but who had subsequently declined employment offers. In both instances the employment offers were contingent on security clearances. The OI further determined that in these two instances the Office of Human Capital was required to send an electronic mail message to the Security Management Division notifying them of the declination so that the Security Management Division could stop the security clearance process, and remove the candidates from the security clearance system. Due to the length of time since the applications were initially submitted, the electronic mail record that might have established specifically where the error occurred in the process for these two applicants was no longer available for review. As a result of the audit, the discrepant names of the two non-employees were removed from “active” status, and a manual review of all NARA security clearance holders was completed to ensure that every name on the list belongs to a current, valid, and cleared NARA employee. The OI determined that no security clearances had been inappropriately issued, nor were NARA funds expended on security background checks for either applicant.

Medical Documentation Provided for a Reasonable Accommodation Request

The OI opened an investigation into an allegation that an employee provided false documentation related to a reasonable accommodation request. Specifically, after meeting with their supervisor and being advised that the current medical documentation was not sufficient for the reasonable accommodation being requested, the employee provided the supervisor with a conflicting medical note containing the same date as the initial note, different restrictions, and with a different name spelling for the same physician. The investigation established that both sets of medical notes were legitimate, having been prepared by the same person in the physician’s

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office, the first at the time of an office visit, and the second after being contacted with a request to provide a document containing more detail. The discrepancy in the spelling of the physician's name was reported by the physician's office to be a typographical error. There were neither fake documents nor illicit alterations made to legitimate documents, and there was no attempt to commit fraud.

NARA Records Recovered from Stolen Vehicle

At the request of another Federal agency, one of NARA's Federal Records Centers sent records via the *United Parcel Service (UPS)*, and those records were subsequently discovered in a stolen private vehicle along with other sent items. The OI, in coordination with the U.S. Department of Veterans Affairs (VA) and with the local police department, determined that two individuals with extensive local criminal histories not related to NARA were arrested in connection with the stolen vehicle. Neither individual cooperated with the investigation with respect to revealing how they had obtained the items, but the evidence suggested that there had been no involvement from NARA employees and that the pair had stolen the items from a *UPS* truck. The NARA records were recovered and successfully transmitted to their originally-intended destination. The United States Attorney's Office declined criminal prosecution of the matter.

Original Documents of Interest to a Presidential Library Found for Auction

The OI received information that three original documents attributed to U.S. President Franklin D. Roosevelt were available for sale on an auction website. Two of the documents were drafts of speeches, and the third document was an inventory of President Roosevelt's stamp collection. In coordination with subject matter experts from the Franklin D. Roosevelt Presidential Library and Museum (the Library), the OI determined that President Roosevelt often exercised his privilege to give away copies of his speeches, and microfilmed copies of the complete collection of presidential speeches did not contain the two speeches that were available for sale. The OI investigation determined that none of the three documents had ever been in the Library's collection, and that the person who put them up for auction had obtained them legitimately.

Stolen Valor – U.S. Navy Veteran was not a U.S. Navy SEAL

As part of an ongoing stolen valor initiative, the OI received allegations that a private citizen falsely claimed to have been a U.S. Navy SEAL, and may have used that false claim to obtain ongoing disability payment benefits as a disabled veteran. The OI obtained records from NARA's National Personnel Records Center and determined that, while the individual had never been a U.S. Navy SEAL, they really were a U.S. Navy veteran. In coordination with the VA, the OI determined that the false claim did not result in a material impact on the treatment that they received from the VA. Furthermore, the individual did not otherwise receive anything of value by claiming to have been a U.S. Navy SEAL, and there was no evidence that they accessed or altered any confidential or secure records from NARA.

Stolen Valor – U.S. Navy Seal and Purple Heart Recipient Misrepresentations

As part of a joint investigation with the Naval Criminal Investigative Service (NCIS), the OI investigated allegations that a person was misrepresenting themselves as someone who was a former U.S. Navy SEAL and Purple Heart recipient. The OI obtained records from NARA's National Personnel Records Center and determined that the person's claims were false. The OI further determined that the individual had used their claims to take at least ten free fishing trips

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from a company that normally reserves its services for wounded military veterans, and that the company would otherwise have charged the person about \$800 per excursion. Moreover, the person accepted at least \$1,000 in tips from the company's legitimate customers, who believed they were a decorated U.S. Navy SEAL. The facts were presented to the United States Attorney's Office, which declined the matter for criminal prosecution.

Stolen Valor - VA Medical Treatment, and Driver's License Status

The OI opened an inquiry into allegations that a private citizen who had never been in military service was using their deceased parent's military records fraudulently to obtain medical treatment from the VA, and to obtain a driver's license showing military veteran status. NARA's National Personnel Records Center did not have any records to support that the individual served in the military, and there were no records showing that either the person or the person's parent had ever received medical treatment from the VA. The OI did not find any evidence that records obtained from NARA were misused, and the driver's license issue was referred to the state.

Stolen Valor – GoFundMe Pages for Green Beret

The OI opened an inquiry into allegations that a person had created multiple *GoFundMe* pages fraudulently soliciting charitable contributions on their own behalf as a disabled Green Beret, and on behalf of their special-needs child. The allegations stated that the person exaggerated their military service, was not a Green Beret, is not disabled, receives monthly disability support checks from the federal government, works an unreported job that requires significant physical exertion, and does not have a special-needs child. Our inquiry showed that the person is an honorably-discharged U.S. Army veteran receiving monthly payments from both the U.S. Social Security Administration and from the VA, and the individual had created *GoFundMe* pages in which they described themselves as a "disabled veteran." However, the pages appeared to be inactive and had not generated funds. Our inquiry did not turn-up any evidence the person worked an outside job. Further, the OI did not find any evidence they falsified military records obtained from NARA or made fraudulent representations that resulted in financial gains.

Citizen Offered to Return Item Potentially Stolen from Presidential Library

A private citizen came across an article about thefts from NARA, and recognized the thief's name as someone who had years earlier gifted them an item of clothing that the thief had claimed was given to their mother, who worked for a U.S. President. The citizen was concerned that the item might have been stolen from NARA, and offered to return it. The OI conducted an inquiry and determined that there was no evidence that the item had ever been part of NARA's holdings, nor was there any NARA claim to or interest in possessing it.

Original, World War II-Era Debriefing Records Obtained for NARA

The OI previously reported that it had been contacted by a private citizen who had discovered among his deceased parent's effects several boxes of original transcripts, in both the original German and in English translation, of post-World War II interrogations of *Einsatzgruppen* officials – members of paramilitary death squads responsible for mass killings in occupied Europe in World War II. The citizen donated 13 sets of records valued at over \$17,000. In this reporting period, the citizen contacted the OI after discovering two more of their parent's original interview transcripts, and offered them to NARA as well. The OI is engaged in the process of transferring the records to NARA's holdings.

Investigations

Breaking and Entering at the John F. Kennedy Presidential Library and Museum

The OI received information the John F. Kennedy Presidential Library and Museum was broken into by an unidentified intruder, who nailed and hung a small Andrew Woodward canvas painting with a Versace scarf draped over it on a wall at the library. In collaboration with the Boston Police Department, the OI learned of a recent string of similar activity in Boston, MA, which were believed to be the result of a local individual. Surveillance camera footage and other videos posted to social media confirmed the breaking and entering appeared to be by the same person. As a result, the individual was arrested and remains in custody pending further judicial action. The investigation remains ongoing.

Investigations of Senior Government Employees²

Post-Employment Conflict of Interest Involving Retired Supervisor

The OI received an allegation a NARA retiree obtained employment, weeks after retiring from NARA, as a consultant to a contractor they had overseen when they were a NARA employee. The OI determined the retiree was not employed by the company in any capacity, and that while there had been some contacts between the retiree and current NARA officials, those contacts were not made in any capacity as an employee or sub-contractor of the company. No violations of post-employment conflict-of-interest rules or reporting were substantiated.

Significant Referrals

Time and Attendance Misconduct

The OI administratively referred an allegation that an employee had repeatedly ended their work day and departed from their workplace earlier than their sign-out time. Based on limited data available, the agency verified a limited number of instances where the employee was not working their required number of hours. The agency reported the employee confessed to having engaged in time and attendance misconduct, apologized, and pledged not to do it again. The agency issued the employee a Letter of Counseling.

Improper Channel Used to Transmit Personally-Identifiable Information

The VA notified the OI that a NARA employee had used an inappropriate, cloud-based, file-sharing system (the system) to transmit information as part of their job interacting with the VA, potentially exposing personally-identifiable information (PII). The OI conducted an initial review of the matter, identifying the NARA employee, establishing that the employee had made one attempt to transfer information by the system, and finding that NARA's information technology unit had neither blocked nor flagged the transmission. The OI administratively referred its finding to NARA management, which issued a definitive statement that the system was no longer to be used, and providing an alternate channel for similar information transfers in the future. There was no indication that PII had been compromised in the initial transmission, and future material for transmission will undergo a new screening and redaction review by NARA personnel.

² 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

Oversight

Stolen Valor Initiative

During the previous reporting period, the OI reported on the inception of an initiative to investigate potential instances of stolen valor. Specifically, the OI previously identified instances of individuals fraudulently altering military records after possibly obtaining them from the National Personnel Records Center (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 purport to be a recipient of certain military awards, including the Purple Heart, Bronze Star, and others. Outreach related to this initiative has resulted in nearly one third of the total number complaints to our hotline and our office in this review period. The OI continues to collaborate with partners at the NPRC and other government agencies to identify relevant fraud.



Investigations

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 and outside the Washington, DC, Metro area: 800-786-2551
- **By mail**
NARA OIG Hotline
P.O. Box 1821
Hyattsville, MD 20788-0821
- **By email**
oig.hotline@nara.gov
- **By facsimile**
301-837-0879
- **By online referral form**
www.archives.gov/oig/referral-form/index.html

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	325
Hotline and Complaints referred to NARA or another entity	50

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.

Top Ten Management Challenges

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

1. Electronic Records Archives

Electronic records are the future of government archiving as we transfer away from paper. NARA's plan to tackle this mission critical issue of preserving permanent electronic records is the Electronic Records Archives (ERA) system. However, many core requirements from initial plans have never been addressed in the original ERA Base system deployed in 2008, and the ERA lacks the capabilities originally envisioned. NARA is now developing ERA 2.0. NARA has started using two main components of ERA 2.0, but until it is built and all major components of the system are put into full production governmentwide, ERA's challenges may continue to impact NARA.

2. Improving Records Management

NARA needs to ensure that across the Federal Government the proper electronic and traditional records are in fact preserved and sent to NARA. This includes traditional paper records and electronic records, *with appropriate metadata meeting NARA standards*, as mandated by OMB.

3. Information Technology (IT) Security

IT Security has been a material weakness at NARA for years. While management has developed an action plan, NARA does not expect to fully implement it until FY 2023. Many issues stem from underdeveloped or ineffectively implemented policies and procedures and put the agency's mission and the national security information in its custody at risk.

4. Expanding Public Access to Records

Records that cannot be accessed have little use, and NARA has committed to put the nation's archives online. However, NARA's historic digitization approaches were not large enough to make significant progress. Further, NARA must process or physically control the records and know what they are. However, more than 18 percent of NARA's analog holdings (by series) have not been processed, so the public does not have effective access to them.

5. Meeting Storage Needs of Growing Quantities of Records

NARA is running out of room and is challenged with acquiring and budgeting for sufficient archival space to store its current volume of textual records and digital storage of electronic records.

6. Preservation Needs of Records

Every day NARA's holdings age and degrade. Preserving records is a fundamental element of NARA's duties, as NARA cannot provide access to records unless it can preserve them for as long as needed.

7. Improving Project and Contract Management

NARA faces significant challenges concerning project and contract management. NARA does not effectively identify and track the agency's acquisition workforce or coordinate with program areas when designating Contracting Officer Representatives (CORs).

8. Physical and Holdings Security

People continue to steal documents and artifacts from NARA for their monetary and historical value. Further, the priceless history represented in these records are threatened by fire and other manmade and natural disasters. NARA's security has improved, but more work is needed.

9. Human Resources Management

NARA's employees are the backbone of the agency. However, NARA is challenged to correct past deficiencies in Human Capital practices, including Human Resources data.

10. Enterprise Risk Management

Federal managers are supposed to effectively manage risks by implementing Enterprise Risk Management (ERM) practices and internal controls. However, NARA management has not made ERM a strategic priority and has yet to implement an effective ERM program.

Reporting Requirements

MANDATED BY THE INSPECTOR GENERAL ACT OF 1978, AS AMENDED, AND OTHER LAWS

IG Act § or Law	Subject	Page(s)
§ 4(a)(2)	Review of legislation and regulations	4, 8, 11
§ 5(a)(1)	Significant problems, abuses, and deficiencies discovered during the reporting period	2–4, 13–21
§ 5(a)(2)	Significant recommendations for corrective action	2–3, 13–15, 29–31
§ 5(a)(3)	Prior significant recommendations on which corrective action has not been completed	29–31
§ 5(a)(4)	Summary of prosecutorial referrals and convictions	16–21, 25
§ 5(a)(5)	Information or assistance refused and reported to agency head	28
§ 5(a)(6)	List of audit, inspection, and evaluation reports issued	26
§ 5(a)(7)	Summaries of significant reports	2–4, 13–21
§ 5(a)(8)	Questioned costs in audits, inspections, and evaluations	27
§ 5(a)(9)	Funds put to better use in audits, inspections, and evaluations	27
§ 5(a)(10)	Prior audit, inspection, and evaluation reports with no management decision, no management comment, or unimplemented recommendations	29–31
§ 5(a)(11)	Significant revised management decisions	28
§ 5(a)(12)	Significant management decisions with which the OIG disagreed	28
§§ 5(a)(14), (15), (16)	Reporting on OIG peer review	11–12
§ 5(a)(17)	Statistical table on investigations and referrals	25
§ 5(a)(18)	Description of metrics used in § 5(a)(17) table	25
§ 5(a)(19)	Reporting on substantiated investigations of senior government employees	20
§ 5(a)(20)	Reporting on substantiated whistleblower retaliations	28
§ 5(a)(21)	Reporting on agency attempts to interfere with OIG independence	28
§ 5(a)(22)(A)	Closed inspections, evaluations, and audits not disclosed to the public	28
§ 5(a)(22)(B)	Closed investigations of senior government employees not disclosed to the public	20
P.L. 110-181	Annex on completed contract audit reports	26
P.L. 104-106	Open audit recommendations	29–31

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	325
Hotlines and complaints referred to other parties during this reporting period	50
Investigative matters opened this reporting period	17
Investigative matters closed this reporting period	26
Closing investigative reports written this reporting period	29
<i>Investigative Results</i>	
Total individuals referred to DOJ for prosecution	5
Individuals referred to DOJ – accepted for prosecution	0
Individuals referred to DOJ – declined for prosecution	5
Individuals referred DOJ – pending prosecution decision	0
Total individuals referred to state and local authorities for prosecution	1
Individuals referred to state and local authorities – accepted for prosecution	1
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	1
Fines, restitutions, judgments, and other civil and administrative recoveries	\$5,025.00
<i>Administrative Remedies</i>	
Employee(s) terminated	0
Employee(s) resigned	0
Employee(s) suspended	1
Employee(s) given letter of reprimand or warnings/counseled	3
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
21-AUD-03	Audit of NARA's FY 2020 Financial Statements	11/10/2020	\$0	\$0	\$0
21-AUD-04	Management Letter: Control Deficiency Identified during Audit of NARA's FY 2020 Financial Statements	11/10/2020	\$0	\$0	\$0
21-AUD-06	Review of NARA's Compliance with the Payment Integrity Information Act of 2020	3/31/2021	\$0	\$0	\$0

LIST OF OTHER REPORTS ISSUED

Report No.	Title	Date
21-R-01	Review of NARA's Actions Resulting in FY 2019 Antideficiency Act Violation	10/9/2020
21-R-02	FY 2020 FISMA Narrative	10/29/2020
21-R-05	Review of NARA's Progress in Implementing EO on Combating Race and Sex Stereotyping	12/30/2020
21-R-07	Compendium of Open Audit Recommendations to NARA as of March 31, 2021	3/31/2021

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

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 (see note below)	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

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 has concurred or disagreed with all issued reports.
5(a)(11)	Significant revised management decisions	None.
5(a)(12)	Significant management decisions with which the OIG disagreed	None.
5(a)(20)	Detailed description of instances of whistleblower retaliation, including consequences for the offender	No closed investigations this period substantiated whistleblower retaliation.
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, other inspection or evaluation products which were not are summarized throughout this report.



Reporting Requirements

SUMMARY OF OPEN AUDIT RECOMMENDATIONS

An important responsibility of the OIG is to follow up on previous issued reports with outstanding recommendations. During this period, 12 audit recommendations were closed. At the close of the period, there were 274 total open recommendations.

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	2
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	4
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)	8
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
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

Reporting Requirements

Report Number	Date Issued	Title	Number of Open Recommendations
15-03	2/6/2015	Specially Protected Holdings	16
15-11	5/5/2015	Digitization Storage and Transfer Capabilities	1
15-13	8/24/2015	Human Resources Systems and Data Accuracy	2
15-14	9/29/2015	Space Management (Textual)	1
15-15	9/30/2015	Assessment of Cable Infrastructure	6
16-01	10/19/2015	Web Hosting Environment	16
16-02	1/16/2016	Compliance with FISMA, As Amended	5
16-05	3/25/2016	Publicly Accessible Websites	9
16-07	5/17/2016	Refile Processes at Selected Federal Records Centers	5
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	16
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 <i>Funds Put to Better Use - \$45,350,000</i>	7
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

Reporting Requirements

Report Number	Date Issued	Title	Number of Open Recommendations
19-AUD-02	12/21/2018	Oversight of FY 2018 FISMA Assessment	19
19-AUD-03	12/20/2018	Presidential Libraries' Analog Processing	6
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	4
20-AUD-03	12/12/2019	Classified Information Systems	11
20-AUD-06	3/4/2020	Oversight and Management of Information Technology Contracts	7
20-AUD-08	4/22/2020	Audit of NARA's FY 2019 Financial Statements	8
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	6
20-AUD-15	8/27/2020	Cybersecurity Risk Management Process	2
21-AUD-03	11/10/2020	Audit of NARA's FY 2020 Financial Statements	17
21-AUD-04	11/10/2020	Management Letter: Control Deficiency Identified during Audit of NARA's FY 2020 Financial Statements	1