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Description of document: **List of National Archives and Records Administration (NARA) Office of the Inspector General (OIG) audit reports, 1986-2008**

Requested date: 01-December-2008

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Title of document: FY 08, 07, 06, 06, 04, 03, 02, 01, 2000, 1999, 1998, 1997, 1996, 1995, 1994, 1993, 1992, Audit Reports, Summary Of Audit Reports Projected to be Issued During Fiscal Year 1991, Summary Of Audit Reports Issued During Fiscal Year 1990, 1989, 1988, 1987, 1986

Source of document: Office of the Inspector General
FOIA Request
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National Archives and Records Administration
Office of the Inspector General

8601 Adelphi Road, Suite 1300
College Park, Maryland 20740

January 13, 2008

Re: Your FOIA request for a list of all OIG audit reports

This is in response to your letter of December 1, 2008 requesting “a copy of the listing of all NARA OIG audit reports.” I have reviewed the responsive records controlled by the Office of the Inspector General (OIG) at the National Archives and Records Administration (NARA), and provided redacted copies. Furthermore, in regards to your January 4, 2009 letter requesting status updates on both this request and your December 1 request, the December 1 request is being processed and I hope to have a response soon.

Redactions to the audit list fall under exemption (b)(6) and included information that constituted a clearly unwarranted invasion of personal privacy involving names. Please note that the redactions were done by “whiting out” the relevant information and replacing it with a line.

While your request has been granted substantively, you have the right to administratively appeal the denial of the redacted material by writing to the Archivist, National Archives and Records Administration, 8601 Adelphi Road, College Park, MD, 20740, within 35 calendar days of the date of this letter. If you choose to appeal, your appeal letter and its envelope should be clearly marked “Freedom of Information Act Appeal,” and you should explain why you believe NARA should release the withheld information.

If you have immediate questions, you may contact me directly at 301-837-1966 or john.simms@nara.gov. Thank you for contacting the National Archives and Records Administration Office of Inspector General.

Sincerely,

John M. Simms
Counsel to the Inspector General
National Archives & Records Administration

Enclosure

National Archives and Records Administration

Office of Inspector General

Listing of Audit Reports Issued

From 1986 - 2008

FY 08 Audit Reports

Rpt No.	Report Title	Issue Date
08-01	Audit of the Process of Safeguarding and Accounting for Presidential Library Artifacts	10/26/07
08-02	Audit of NARA's Purchase Card Program	11/14/07
08-03	Clifton Gunderson Audit of NARA's FY 2007 Financial Statements	11/20/07
08-04	Audit of NARA's Development of the Holdings Management System	3/11/08
08-05	Audit of NARA's Compliance with FISMA for FY 2007	3/20/08
08-06	Audit of NARA's FY 2007 Management Control Program	3/7/08
08-07	Researcher ID Program Audit	4/24/08
08-08	Review of Electronic Records Archives Contract Direct Labor Costs	6/10/08
08-09	Audit of Management Controls Over Accounting for Lost Property	8/14/08
08-10	Audit of the FDCC	8/27/08
08-11	Audit of ERA Subcontractor Costs	
08-12	Mgmt Letter: Update on Conditions of the Museum Collection at the Ronald Reagan Presidential Library	8/12/08
08-13	Audit of NARA's Central Receiving Function	9/29/08
08-14	Mgmt Letter: Work-at-Home System Project	9/4/08
08-15	Clifton Gunderson, Review of PII	9/29/08
08-16	Mgmt Letter: Security Response at A-1	9/30/08

FY 07 Audit Reports

Rpt No.	Report Title	Issue Date
07-01	Audit of Management Controls for Safeguarding NARA's Specially Protected Records and Artifacts Stored in Secured Stacks, Vaults, and Safes	10/12/06
07-02	Review of Archives II File Server Disk Space Utilization	12/4/06
07-03	Suitability Determination of Contract Employees Audit	11/28/06
07-04	Audit of NARA's Hurricane Katrina Related Mission Assignments	11/20/06
07-05	Audit of NARA's FY 06 Financial Statements	12/6/06
07-06	Audit of the Processing of Records Accessioned into NARA	2/28/07
07-07	Evaluation of NARA's FY 2006 Management Control Program	2/27/07
07-08	Audit of NARA's Energy Usage	5/7/07
07-09	Peer Review of Farm Credit Administration's Audit Operations	4/30/07
07-10	Review of Selected Security Aspects of NARA's Computer Network Environment	7/2/07
07-11	The Electronic Records Archive Program Requires Independent , Objective Oversight	7/13/07
07-12	Contingency Planning for Information Technology Systems	9/20/07

FY 05 Audit Reports

Rpt No.	Report Title	Issue date
05-01	Review of NARA's Acquisition of Storage Management Software	3/9/05
05-02	Clifton Gunderson LLP (CG) Audit of the National Archives and Records Administration FY 2004 Financial Statements	1/24/05
05-03	PricewaterhouseCoopers (PwC) Audit of the National Archives Trust and Gift Funds FY 2003 Financial Statements	1/24/05
05-04	PricewaterhouseCoopers (PwC) Audit of the National Archives Revolving Fund FY 2003 Financial Statements	1/24/05
05-05	Review of the Management and Operation of NARA'S Help Desk	2/23/05
05-06	Evaluation of NARA'S Processes for Handling Personal Information Collected from the Public	3/14/05
05-07	Audit of the National Archives Trust Fund Representational Fund	3/18/05
05-08	Evaluation of NARA's FY 2004 Management Control Program	2/10/05
05-09	Audit of NARA'S Intrusion Detection System	4/1/05
05-10	Review of NARA'S Information Technology Investment Management Decide Process Accomplished for the Novell Software Upgrade Project	3/30/05
05-12	NARA's Investment Management Decide Process	4/7/05
05-13	Evaluation of NARA's Preservation Program	6/22/05
05-14	Quality Assessment/ Quality Control Audit	8/12/05
05-15	Audit of the Travel Card Program	7/22/05
05-16	Prompt Payment Audit	7/22/05
05-17	Mgmt Letter: Server Vulnerability	6/16/05
05-19	Review of Proposed Modification of the ITSS Task Order Security Program Requirements	7/6/05
05-20	Review of NHPRC Grant Program	7/13/05
05-21	Review of Contractor Resources Utilized on the ITSS Contract	9/30/05
05-22	Management Letter: NARA's Ability to Inspect Employee's Personal Property	7/25/05

FY 04 Audit Reports

Rpt No.	Report Title	Issue Date**
04-02	Audit of the National Archives Gift Fund FY 2002 Financial Statements	11/14/03
04-03	Audit of the National Archives Trust Fund FY 2002 Financial Statements	11/14/03
04-04	Peer Review of the Farm Credit Administration Office of Inspector General	
04-05	Audit of a Subcontractor's Proposal for the National Archives Building Stack Lighting	12/17/03
04-06	Audit of the NARA's Records Center Revolving Fund FY 2002 Financial Statements	12/16/03
04-07	Audit of the Transit Benefit Program	3/31/04
04-08	Review of Contractor Compliance with Government Auditing Standards on the National Archives Trust and Gift Funds FY 2002 Financial Statements	1/29/04
04-09	Review of Contractor Compliance with Government Auditing Standards for NARA's Records Center Revolving Fund FY 2002 Financial Statements	1/29/04
04-10	Assessment of the Controls and Security of NARA Classified Systems	3/31/04
04-11	Audit of NARA's Interagency Agreements	3/31/04
04-12	Evaluation of NARA's FY 2003 Management Control Program	3/2/04
04-13	Assessment of NARA's Efforts to Comply with New Facility Standards	5/14/04
04-14	Follow-Up Review of OIG Report #00-02, Review of NARA's Process for Investing in IT Projects	6/23/04
04-15	Review of NARA's Water and Sewer Billing Adjustment Charge from WSSC	5/11/04
04-16	Evaluation of NARA's Computer Security Incident Response Capability	6/22/04
04-17	Review of a Contractor's Invoice for Utility Costs for the Lyndon B. Johnson Library	6/4/04
04-18	Evaluation of the First Performance Period Award Fee Determination Process for the Fixed-Price-Award-Fee Contract	6/8/04
04-21	Review of NARA's Contract for the Telephone System	8/2/04
04-22	Review of NARA's Administration of the Information Technology Support Services Contract Award Fee	9/21/04
04-23	Evaluation of NARA's Password Controls	7/30/04

FY 03 Audit Reports

Audit Rpt No.	Title	Issue Date
03-01	NARANET Penetration Testing Report	11/19/02
03-02	Review of a NARA Contractor Billings	12/4/02
03-03	Floorcheck of a NARA Contractor	1/14/02
03-04	Review of the NARA Trust Fund's Disposition of Non-sufficient Funds Checks and Uncollected Credit Card Transactions	3/24/03
03-05	Audit of NARA's Controls over the Staff's Usage of the Internet	4/24/03
03-06	Evaluation of the Accuracy of NARA's Performance Measurement Data	6/25/03
03-07	Audit of the Management Controls Over NARA's Telecommunication Program	4/28/03
03-08	Audit of a NARA Contractor's G&A and Overhead Rates	3/21/03
03-10	Audit of NHPRC Grantee Reveals That Opportunities Exist to Strengthen Program Oversight	8/14/03
03-11	Review of NARA's Computer Network Infrastructure Upgrade	9/29/03
03-12	Assessment of NARA's Targeted Assistance Program	9/26/03
03-14	Review of the Final Invoice of a NARA Contractor	9/10/03
03-17	Evaluation of NARA's FY 2002 Management Control Program	9/29/03

FY 02 Audit Reports

Audit Rpt No.	Title	Issue\ Date
02-01	Controls Over the Charters of Freedom	10/21/01
02-02	Assessment of Records Center Program Billing System	2/19/02
02-03	Records Center Program "Per Unit" Rate Formulation	12/4/01
02-04	Audit of NARA's Performance Appraisal Process	2/5/02
02-05	Assessment of NARA's Grant Management Process	5/29/02
02-06	Evaluation of Internal Controls For NARA Trust Fund Deposits	4/18/02
02-07	Inclusion of Alternative System Development Methodologies in NARA's SDLC Process	1/29/02
02-08	Review of Contract Warrants and Sole Source Justification	8/19/02
02-09	Assessment of Procedures Governing the Release of Federal Population Census Records	5/6/02
02-10	Assessment of Management Controls Over Contractor Access and Pass Holder Temporary IDs	9/17/02
02-11	Security Over Charters of Freedom Continues to Raise Concerns	6/7/02
02-12	Firewall and Network Configuration Advisory Report	8/21/02
02-13	Evaluation of NARA's Complaints Processing Program	9/30/02
02-14	Personnel Security Advisory Report	9/13/08
02-15	Review of Contractor Compliance with GAGAS for NAR FY 02 Financial Statement Audit	
02-16	Review of Contractor Compliance with GAGAS for NAT and Gift Fund Financial Statement Audit	
02-17	PWC Audit of NARA NAR FY 2001 Financial Statement	9/16/02
02-18	PWC Audit of NAR FY 2001 Financial Statements	9/16/02
02-19	PWC Audit of the NARA Gift Fund FY 2001 Financial Statements	9/16/02
02-20	OIG Review of NARA's Purchase Credit Card	9/27/02
02-21	Mgmt Ltr. Security of NARA Classified Systems	9/3/02
02-22	Evaluation of NARA's Management Control Program FY 2001	9/27/02

FY 01 Audit Reports

Audit Rpt No.	Title	Issue Date
01-01	Floorcheck Audit of Consolidation Engineering Services Inc	12/1/2000
01-02	Evaluation of the Accuracy of PMRS Data	3/2/2001
01-03	Clinton Website Vulnerability	1/19/01
01-04	Review of NARA's Anti-Virus Program	3/28/01
01-05	Audit of the NARA Systems Security Program	3/28/01
01-06	Survey of NARA's Order Fulfillment & Accounting System (POS) and (OFAS)	2/28/01
01-07	Evaluation of NARA's Records Disposal and Concurrence Process	7/18/01
01-08	Review of the Billing System for the Reimbursable Program	3/29/01
01-09	Questioned Costs on NARA's Waterbill	3/29/01
01-10	Review of Contractor's Compliance with Gov't Auditing Stds for the Audit of the NAT Trust and Gift FY 2000 Financial Statements	7/18/01
01-11	Review of Contractor's Compliance with Gov't Auditing stds for the Audit of the Reimbursable FY 2000 Financial Statements	7/18/01
01-12	PWC Audit of NAT FY 2000 Financial Statements	7/16/01
01-13	PWC Audit of Revolving Fund 2000 Financial Statements	7/16/01
01-14	PWC Audit of Gift Fund FY 2000 Financial Statements	7/16/01
01-15	Audit of NARA's Web Privacy Policies and Practices	8/2/01
01-16	Evaluation of NARA's Management Control Program for FY 2000	9/13/01
01-17	Review of Pegasys Implementation	
01-18	Review of the Signal Bill	10/5/01

FY 2000 Audit Reports

Audit Rpt No.	Title	Issue Date
00-01	Review of NARA's Management Control Program for FY 1999	5/26/2000
00-02	Review of NARA's Process for Investing in Information Technology	4/17/2000
00-03	Evaluation of the Accuracy of NARA's Performance Measurement Data	1/28/2000
00-04	Evaluation of Property Management Software	12/10/1999
00-05	Evaluation of NARA's Business Continuity and Contingency Plan	2/4/2000
00-06	Review of NW's Administrative Operations and Procedures	3/31/2000
00-07	Review of NARA's Computer Network Backup Procedures	9/9/2000
00-08	Review of Erroneous Disposal at the WNRC	4/25/2000
00-09	Peer Review of the Farm Credit OIG	9/7/2000
00-10	Floorcheck of Signal Corporation Employees	6/19/2000
00-11	Audit of Equitable Adjustment Proposals by CESI	5/31/2000
00-12	Implementation of Agency Records Centers Regulation 36 CFR Part 1228	7/20/2000
00-13	Evaluation of Duluth Georgia Issues	7/21/2000
00-16	Review of Contractor Compliance with GAS	7/17/2000

FY 1999 Audit Reports

Audit Rpt No.	Title	Issue Date
99-01	Evaluation of NARA's Management Control Program for FY 1998	8/4/99
99-02	Records Center Reimbursable Program	10/21/99
99-03	Audit of Selected Aspects of Foreign and Domestic Travel	1/7/99
99-04	Management Controls Over Change Funds	3/8/99
99-05	Evaluation of NARA's Progress on Year 2000 Project	4/22/99
99-06	Review of NARA Personal Property Management Program	4/14/00
99-07	Inventory of NARA Activities (FAIR Act)	3/25/99
99-08	Review of NARA's Intermittent Work Force	5/3/99
99-09	Review of Contractor Compliance with Government Auditing Standards on NARA Contract No. NAMA-OP-95-00018	4/20/99
99-16	Annual Reporting of Real Property Owned	
99-17	Reducing NARA Travel Costs	

FY 1998 Audit Reports

Audit Rpt No.	Title	Issue Date
98-01	Review of NARA's Management Control Program for FY 1997	5/20/98
98-02	Review of Procurement Operations: Interim Report: Review of Contract Monitoring	8/13/98
98-03	Peer Review of Peace Corps OIG	8/3/98
98-04	Audit of Trust Fund Reimbursements to NARA Appropriations	9/17/98
98-05	Evaluation of NARA's Physical and Recordkeeping Controls over Outgoing Shipments of Permanent Records and Artifacts	8/28/98

FY 1997 Audit Reports

Audit Rpt No.	Title	Issue Date
97-01	Review of NARA's Management Control Program for FY 1999	5/30/97
97-02	Review of the Methodology used to Decide Where to Consolidate Federal Records Centers	4/28/97
97-04	Review of NARA's Procurement Operations and Training	9/29/07

FY 1996 FINAL AUDIT REPORTS

Updated: July 23, 1996
 File: H:\WPFILES\AUDITS\FINALRPT.96

9601	November 4, 1995	Review of NARA's Internal Controls Program for FY 1995	-b6-		96-01
9404	January 11, 1996	Review of NARA Lobbying Activities	-b6-	February 15, 1996	96-02
9605	February 29, 1996	Review of NARA Federally-Funded Education Programs	-b6-	March 20, 1996	96-03
9602	November 8, 1995	Review of the Proposed Archives I Renovation	-b6-	May 24, 1996	96-04
9407	June 1, 1994	Review of FY 1993-94 FPDS Reporting of Consulting Contracts	-b6-		96-05
9604	January 30, 1996	Peer Review of NEH-OIG	-b6-		96-06

FY 1995 FINAL AUDIT REPORTS

Updated: February 9, 1996
 File: H:/AUDITS/FINALRPT.95

FINAL REPORT NUMBER	REPORT TITLE	AUDITOR-IN-CHARGE	ISSUE DATE
95-01	Review of NARA's Internal Control Programs for FY 1994	bb	February 15, 1995
95-02	Survey of Cleaning Contract/Reductions	— bb —	February 24, 1995
95-03	Follow-up Review of Copier Cost Reduction Efforts	— bb —	September 29, 1995
95-04	ICASS Training	— bb —	December 19, 1995

FY 1994 FINAL AUDIT REPORTS

Updated: March 4, 1996
File: H:/AUDITS/FINALRPT.94

FINAL REPORT NUMBER	REPORT TITLE	AUDITOR-IN-CHARGE	ISSUE DATE
94-01	Federal Employee Compensation Act Program	— 66 —	November 17, 1993
94-03	Review of NARA's Internal Control Program for FY 1993	— 66 —	December 30, 1993
94-04	Survey of Archives II Construction Fund	— 66 —	July 21, 1994
95-05	Review of FY 1993 SES Appraisals and the Presidential Library System	— 66 —	September 2, 1994

FY 1993 Audit Reports

Audit Rpt No.	Title	Issue Date
93-1-M	Review of NARA's Management Control Program for FY 1992	12/16/92
93-2-M	Review of Compliance With Restriction on Lobbying	2/18/93
93-3-M3	Survey of Compliance with Executive Order 12759 Federal Energy Management	3/31/93

FY 1992 Audit Reports

Audit Rpt No.	Title	Issue Date
92-2-M	Review of NARA's Management Control Program for FY 1991	1/31/92
92-3-M	Audit of Grant 88-077, Rhode Island State Archives	2/28/92
92-4-M	Review of Compliance with Restrictions on Lobbying	3/31/92
92-5-M	Request for Assistance Regarding Commission on Grants	4/15/92

SUMMARY OF AUDIT REPORTS PROJECTED TO BE ISSUED DURING
FISCAL YEAR 1991

<u>Name of Audit</u>	<u>Date of Report</u>
Audit of Compliance with OMB Circular A-123, Internal Control Systems (91-101)	
Audit of Compliance with OMB Circular A-127, Financial Management Systems (91-102)	
Audit of Reimbursable Microfilming Services for Federal Agencies (89-601) (DRAFT REPORT - 09/04/90)	
Audit of Alternative for Leasing the Pickett Street Facility (90-501) (DRAFT REPORT - 09/18/90)	
Review of Allegation of an Improper Contractual Payment (90-403) (DRAFT REPORT - 09/24/90)	
Review of Procurements Through Blanket Purchase Agreement, Property and Procurement Branch (89-503)	
Audit of Government Cost Estimates for Federal Records Centers (90-103) (ONGOING)	
Audit of Christopher Columbus Quincentenary Jubilee Commission (90-104) (ONGOING)	
Audit of Rhode Island Avenue State Archives Program (90-201)	
Review Employee Complaint Regarding Contracts with Management Analysis, Inc. (90-402) (ONGOING)	
Review of Employee Complaint Regarding Protest on Security Guard Services Solicitation (90-404) (copy of letter sent to GAO in file)	
Unemployment Compensation (91-601)	

SUMMARY OF AUDIT REPORTS ISSUED DURING FISCAL YEAR 1990

<u>Name of Audit</u>	<u>Date of Report</u>
Audit of Compliance with OMB Circular A-123, Internal Control Systems (90-101)	12/26/89
Audit of Compliance with OMB Circular A-127, Financial Management Systems (90-102)	12/26/89
Use of Mastercards, National Archives, Central Plains, Region, Kansas City, Missouri (90-3)	03/13/90
Access Controls over Military Service Records, National Personnel Records Center, St. Louis, Missouri (90-4)	03/13/90
Evaluation of Travel by Groups, Office of the Federal Records Centers (89-504)	09/19/90
Evaluation of Controls over Keys, Facilities Management Branch, Office of Management and Administration (89-505)	09/19/90

SUMMARY OF AUDIT REPORTS ISSUED DURING FISCAL YEAR 1989

<u>Name of Audit</u>	<u>Date of Report</u>
Independent A-76 Review of the Federal Records Centers	11/22/88
Review of NARA's Compliance with OMB Circular A-127, Financial Management Systems	12/20/88
Review of NARA's Compliance with OMB Circular A-123, Internal Controls	12/23/88
Review of Service Order System	01/09/89
Audit of Operations of the Mid-Atlantic Region	01/11/89
Financial Audit of the National Audiovisual Center	03/09/89
Audit of NARA's Internal Control Reviews	03/23/89

SUMMARY OF AUDIT REPORTS ISSUED DURING FISCAL YEAR 1988

<u>Name of Audits</u>	<u>Date of Report</u>
Survey of NC Inspection of Records Centers	10/07/87
Audit of Selected Aspects of the Franklin D. Roosevelt Library	11/13/87
Review of NARA's Compliance with OMB Circular No. A-127, Financial Management Systems	12/16/87
Review of NARA's Internal Control Program	12/23/87
Survey of the Office of the Federal Register	01/06/88
Audit of NARA's Telecommunication Resources	02/11/88
Audit of NARA's Long Distance Calls	03/14/88
Observation of Taking of Physical Inventory by the Publications Division's Marketing and Fulfillment Branch	05/20/88
Audit of Grants Awarded to the Papers of Margaret Sanger Project located at the Institute for Research in History	06/07/88
Review of Time and Attendance Recordkeeping	07/15/88
Follow-up on Audit Findings	08/08/88
Audit of Department of Labor Unemployment Payments	08/11/88
Audit of the Dwight D. Eisenhower Library	09/26/88

SUMMARY OF AUDIT REPORTS ISSUED DURING FISCAL YEAR 1987

<u>Name of Audits</u>	<u>Date of Report</u>
Audit of Pioneer Printer	01/07/87
Final Audit Report of Prompt Payment	10/02/86
Examination of Cashiers Operation	11/05/86
Final Audit Report of the National Archives, Ft. Worth Branch	02/11/87
Final Audit Report of the Internal Control Program	02/12/87
Final Audit Report of NARA's Financial Control Program	03/05/87
Financial Audit Report of Washington National Records Center (NCW) Occupant Emergency Operating Plan	04/09/87
Final Audit Report of the Acquisition and Utilization of Electrostatic Copying Equipment	06/29/87
Survey of the Purchase of Computer Equipment	07/13/87
Final Audit Report of the Operation of the Diplomatic Branch	08/26/87

SUMMARY OF AUDIT REPORTS ISSUED DURING FISCAL YEAR 1986

<u>Name of Audits</u>	<u>Date of Report</u>
NARA's Internal Control Program	12/18/85
NARA's Financial Control Program	01/10/86
*Auditability Survey of the Museum Store	01/29/86
Review of the Allegation Made Regarding Unnecessary Purchase of the Service Order System	02/18/86
Inventory by the Publications Division	03/13/86
Time & Attendance Recordkeeping Procedures	04/21/86
John F. Kennedy Library	04/23/86
Fee Schedule at the National Personnel Records Center	09/29/86

* No audit report contained therein. Just references thereto.