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Description of document:	Listing of Smithsonian Institution Office of the Inspector General (OIG) investigations closed January 1, 2005 - December 31, 2006 and a listing of all OIG audit reports
Requested date:	29-November-2008 and 31-December-2008
Released date:	31-December-2008 and 15-January-2009
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Title of Document	Office of the Inspector General Case / Complaint Log Audit List
Source of document:	Office of the Inspector General Smithsonian Institution MRC 524 PO Box 37012 Washington DC 20013-0712
Notes:	This file incorporates two releases of information

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Smithsonian Institution

Office of the Inspector General

December 31, 2008

On December 2, 2008, we received your letter dated November 29, 2008, in which you requested a "printout of the database of OIG investigations closed during the time period January 1, 2005 through December 31, 2006." Even though you wrote "[t]his is NOT a FOIA request," your letter will be treated as a request under the Freedom of Information Act (FOIA), 5 U.S.C. § 552. In response to your request, we have enclosed a two-page list of our investigations that were closed from January 1, 2005 to December 31, 2006.

We are providing this record as a courtesy. The Smithsonian Institution and its Office of the Inspector General (OIG) are not subject to FOIA or the Privacy Act, 5 U.S.C. § 552a. *Dong v. Smithsonian Institution*, 125 F.3d 877 (D.C. Cir. 1997), *cert. denied*, 524 U.S. 922 (1998); Requests for Smithsonian Institution Records, Smithsonian Directive 807 (Nov. 30, 2007). Nevertheless, we provide information to the public in keeping with the Institution's mandate to increase and diffuse knowledge. See 20 U.S.C. § 41 *et seq.* In answering requests such as yours, the Institution and OIG adhere to the principles of FOIA and relevant caselaw. In addition, this office must comply with the requirements of the Inspector General Act of 1978, as amended, 5 U.S.C. App. 3, which places restrictions on what information can be released by OIG.

Accordingly, I have redacted the responsive document consistent with the following FOIA exemptions:

- FOIA exemption 2, which protects from disclosure information relating solely to personnel rules or internal practices that are relatively trivial and of little public interest. 5 U.S.C. § 552(b)(2).
- FOIA exemption 7(C), which protects from disclosure records or information compiled for law enforcement purposes if disclosure "could reasonably be expected to constitute an unwarranted invasion of personal privacy." *Id.* § 552(b)(7)(C).

This completes this office's response to your November 29, 2008 request. Thank you for your interest in the Smithsonian Institution and its Office of the Inspector General.

Sincerely,

Epin H. Christensen
Counsel to the Inspector General

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LAW ENFORCEMENT SENSITIVE INFORMATION
OFFICE OF THE INSPECTOR GENERAL
CASE / COMPLAINT LOG

Case / File No.	Target	Agent	Allegation - Complaint	Date In	Date Closed	Result of Inquiry
(b)(2)		(b)(7)(C)	Theft	01/03/2002	03/04/2005	
(b)(2)		(b)(7)(C)	Computer Misuse	08/06/2002	02/07/2005	
(b)(2)		(b)(7)(C)	Computer Misuse	08/06/2002	02/10/2005	
(b)(2)		(b)(7)(C)	Computer Misuse	08/06/2002	02/10/2005	
(b)(2)		(b)(7)(C)	Missing funds	09/27/2002	12/14/2005	
(b)(2)		(b)(7)(C)	Computer Misuse	10/16/2002	02/28/2005	
(b)(2)		(b)(7)(C)	Betting pool	11/12/2002	03/04/2005	
(b)(2)		(b)(7)(C)	Abuse of Authority	06/09/2003	01/31/2005	
(b)(2)		(b)(7)(C)	Theft	07/16/2003	12/30/2005	
(b)(2)		(b)(7)(C)	Theft	10/28/2003	04/20/2006	
(b)(2)	(b)(7)(C)	(b)(7)(C)	Check Fraud	02/25/2004	09/16/2005	
(b)(2)		(b)(7)(C)	Abuse of Authority	04/01/2004	01/31/2006	
(b)(2)		(b)(7)(C)	Theft/Embezzlement	12/16/2004	09/29/2006	
(b)(2)		(b)(7)(C)	Fraud	05/24/2005	07/25/2005	

LAW ENFORCEMENT SENSITIVE INFORMATION
OFFICE OF THE INSPECTOR GENERAL
CASE / COMPLAINT LOG

Case / File No.	Target	Agent	Allegation - Complaint	Date In	Date Closed	Result of Inquiry
(b)(2)	(b)(7)(C)	(b)(7)(C)	Missing/Theft - Collections	09/15/2005	09/30/2005	
(b)(2)		(b)(7)(C)	Fraud	07/13/2006	08/31/2006	
(b)(2)		(b)(7)(C)	General Criminal Activity	04/27/2005	06/09/2005	



Smithsonian Institution

Office of the Inspector General

January 15, 2009

On January 5, 2009, we received your letter dated December 31, 2008, in which you requested a "printout or listing of all audit reports produced by the Smithsonian Institution Office of the Inspector General." In response to your request, we have enclosed a 3-page document entitled "Audit List."

We are providing this record as a courtesy. The Smithsonian Institution and its Office of the Inspector General are not subject to Freedom of Information Act, 5 U.S.C. § 552, or the Privacy Act, 5 U.S.C. § 552a. *Dong v. Smithsonian Institution*, 125 F.3d 877 (D.C. Cir. 1997), *cert. denied*, 524 U.S. 922 (1998); Requests for Smithsonian Institution Records, Smithsonian Directive 807 (Nov. 30, 2007). Nevertheless, we provide information to the public in keeping with the Institution's mandate to increase and diffuse knowledge. See 20 U.S.C. § 41 *et seq.*

This completes this office's response to your December 31, 2008 request. Thank you for your interest in the Smithsonian Institution and its Office of the Inspector General.

Sincerely,

Epin H. Christensen
Counsel to the Inspector General

Audit List

A-03-01	Financial Statements
A-03-02	Project Management - POB
A-02-05	NMAI Project Management
A-03-04	Information Systems Controls at STRI
A-03-05	Restricted gifts
A-03-06	SI Purchase Card Program
A-03-07	PeopleSoft ERP Program - Financials Phase 1
A-03-08	Information System Controls at NASM
A-04-01	KPMG Audit Assist
A-04-02	Information System Controls at NMAH
A-04-03	Information System Controls at NMNH
A-04-04	Information System Controls at SBV
A-04-05	Security Controls Over SINet
G-03-01	2003 FISMA Review
A-04-06	Udvar-Hazy Center Parking
A-04-07	Human Capital Management
A-04-08	Bank Reconciliation
A-04-09	FONZ Parking
A-04-10	NASM Mall Simulators
G-04-01	2004 FISMA Review
A-04-11	Human Resources Enterprise Resource Planning Implementation
A-05-01	Responsibilities of Contracting Officer's Technical Representatives
A-05-02	Information System Controls at TSA
A-05-03	Information System Controls at NZP
A-05-04	Bank Reconciliation

Audit List

A-05-05	Patent Office Building Courtyard
M-05-02	Review of Inactive Obligations
A-05-06	Physical Security Control Measures to Safeguard the National Collections
A-05-07	Employee and Contractor Screening Measures and Access Controls
A-06-01	Audit of FONZ Revenues
M-06-01	Internal Control Weaknesses in Cash Management and Banking Activities
M-05-03	FISMA Evaluation
A-06-02	Executive Compensation and Revenue Recognition Practices for Smithsonian Business Ventures
A-06-03	Oversight of Financial Statement Audit
A-06-04	Review of Secretary's Expenses, Compensation, and Donations 2000-2005
A-06-05	FISMA Evaluation
A-06-06	Executive Compensation at the Smithsonian
A-06-07	SI Network Review
A-06-08	DMIS Review
A-07-01	FY 2007 SI Financial Statement Audit
A-07-02	Development of OIG Quality Control System
A-07-03	FY 2007 Federal Trade Commission Peer Review
A-07-04	Employee Relocation Expenses
A-07-05	SBV Business Practices Phase 2
A-07-06	Human Resource Management System (HRMS) Review
A-07-07	FISMA Evaluation of the Badging System
A-07-08	FY2007 FISMA
A-07-09	Workers Compensation Program
M-07-25	Investigative Memorandum on Management Issues
A-08-01	Review of Expenses of former Secretary and SBV CEO

Audit List

A-08-02	Travel Oversight
A-08-03	Smithsonian Astrophysical Observatory Scientific Computing System
A-08-04	National Museum of Natural History Collection Information System
A-08-05	FY 2008 SI Financial Statement Audit
A-08-01a	Review of Expenses of former Secretary
A-08-01b	Review of Expenses of former SBV CEO
A-08-06	Federal Reserve Peer Review of Smithsonian OIG
A-08-07	Survey of Non-Travel Expenses of Unit Heads
A-08-08	Review of Controls Over Privacy Data
A-08-09	FY2008 FISMA Overall Evaluation
A-09-01	FY2009 FISMA Audit of SINet
A-09-02	FY2009 FISMA Audit of the SIRIS
A-09-03	Audit of Facilities Maintenance and Safety