
A U D I T M E M O R A N D U M N O . 1 7

June 8, 1999

To: Ken Fogash

From: Walter Stachnik

Re: Acknowledgment Letters for the Branch of Public Reference

The Office of Inspector General is conducting an audit of the Commission's Investor Education and Assistance Program (IEAP). During the audit, we identified an issue that relates to the Public Reference Branch (PRB) of the Office of Filings and Information Services (OFIS).

The PRB uses the same computer system, the Agency Correspondence and Tracking System (ACTS), as the IEAP to record and track inquiries from the public. ACTS has automatically generated acknowledgment letters for both the PRB and the IEAP. The acknowledgment letters are not applicable to the PRB. Therefore, the letters are discarded. In fiscal year 1998, the PRB received approximately 14,604 inquiries. Thus, 14,604 pieces of paper (*i.e.*, the letters) were discarded.

We discussed the issue with OFIS officials. They examined the issue further and discovered the ability to suppress the acknowledgment letter by manually changing the default. As a result, they issued guidance to instruct their staff in the PRB to manually change the default when creating a new correspondence record in ACTS.

cc: Mike Burnett
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