



2019
**Semiannual Report
to Congress**

Office of Inspector General
April 1 - September 30, 2019

This page intentionally left blank.



MESSAGE FROM THE INSPECTOR GENERAL

I am pleased to present this National Geospatial-Intelligence Agency (NGA) Office of Inspector General (OIG) report for the period ending 30 September 2019. OIG conducted audit and inspection oversight, produced recommendations for improvements in agency programs, and pursued allegations of fraud, waste, and abuse.

We worked closely with NGA elements and closed 16 of 104 (15 percent) audit and inspection recommendations during this period. Under the Inspector General Empowerment Act of 2016, we continue to expand our metrics resulting from our recommendations to the Agency.

The Audit Division assessed Improper Payments Elimination and Recovery Act compliance, examined NGA's follow-up on recommendations to correct findings from external cybersecurity inspections, and reviewed US Strategic Command mission support and NGA's funds reprogramming process. Recommendations focused on improving internal controls and process effectiveness and efficiency. We continue to examine NGA's crisis and event response to national security and natural disasters, supply chain risk management, permanent duty travel, contractor personnel qualifications, and implementation of Agile software development methodology. We continue to oversee the independent public accounting firm's work on NGA's financial statement audit and NGA's compliance with the Federal Information Security Modernization Act.

The Inspections Division examined the effectiveness and efficiency of the NGA Aeronautical Navigation Office and its safety of navigation mission and NGA's Outposts. The Outposts (Silicon Valley, California, and Austin, Texas) state that they elicit, compile, and assess NGA technology requirements to enable cooperation, collaboration, and development of a shared strategic vision with partners in industry and academia. Additionally, the team issued the draft report on NGA's acquisition procedures and completed fieldwork for the GEOINT Standards inspection. The team also led a joint team of IC IG inspectors in the peer review of the National Security Agency's OIG Inspections Division. Finally, the team announced a new inspection of the agency's Contract Writing System.

The Investigations Division closed 84 cases this period, substantiating 28 (33 percent) involving time and attendance fraud, computer misuse, security, and travel, recovering \$1,418,813. The division continues to work on several investigations of senior officials. The Fraud Analytics Support Team used data analytics to identify potential fraud in contracts, government purchase and travel cards, and potential misconduct.

I appreciate the ongoing support from the Director, senior leadership, and NGA workforce.

Cardell K. Richardson, Sr.
Inspector General

This page intentionally left blank.

CONTENTS

Overview

[Resources and Organization](#)

[Counsel to the Inspector General](#)

[Audit](#)

[Inspections](#)

[Investigations](#)

Summaries of Audits

[Completed](#)

[Ongoing](#)

Summaries of Inspections

[Completed](#)

[Ongoing](#)

Summaries of Investigations

[Judicial Actions and Prosecutions](#)

[Cases Involving Senior Government Officials
\(Substantiated\)](#)

[Cases Involving Senior Government Officials
\(Unsubstantiated\)](#)

[Whistleblower Retaliation](#)

[Time and Attendance Fraud](#)

[Contractor Labor Mischarging](#)

[Computer Misuse](#)

[Other Noteworthy Investigations](#)

[Criminal Investigations](#)

1

1

3

3

3

4

5

5

7

9

9

10

12

12

12

12

13

14

15

16

17

17



<u>Fraud Analytics Support Team</u>	18
<u>Completed</u>	18
<u>Ongoing</u>	23
<u>New</u>	23
<u>Appendix A. Status of Audit and Inspection Recommendations</u>	24
<u>Table A-1. Open and Closed OIG Recommendations as of 30 September 2019</u>	24
<u>Table A-2. OIG Recommendations for Corrective Action, Current Reporting Period</u>	30
<u>Table A-3. Recommendations for Corrective Action Not Yet Completed, Reporting Periods Before 1 April 2019</u>	31
<u>Table A-4. Financial Results from Reports Issued During Reporting Period</u>	49
<u>Table A-5. Status of Recommendations That Questioned Costs</u>	50
<u>Table A-6. Status of Recommendations That Funds Be Put to Better Use</u>	51
<u>Table A-7. Management Decisions Regarding OIG Recommendations in Reports Issued Before 1 April 2019</u>	51
<u>Statutory Reporting</u>	52
<u>Information or Assistance Refused by NGA</u>	52
<u>Significant Revised Management Decisions</u>	52
<u>OIG Disagreement with Significant Management Decision</u>	52
<u>Compliance with Federal Financial Management Improvement Act of 1996</u>	52



<u>Attempts to Interfere with the IG’s Independence</u>	52
<u>Public Disclosure (Closed But Undisclosed Audits, Inspections, Investigations)</u>	53
<u>Peer Reviews</u>	53
<u>Appendix B. Investigative Metrics</u>	54
<u>Table B-1. Number of Cases Referred for Criminal or Civil Prosecution, During Reporting Period</u>	54
<u>Table B-2. Judicial Actions, During Reporting Period</u>	54
<u>Table B-3. Criminal Prosecutions and Referrals, During Reporting Period</u>	54
<u>Appendix C. Index of Reporting Requirements</u>	55
<u>Appendix D. Abbreviations</u>	56

This page intentionally left blank.

OVERVIEW

The National Geospatial-Intelligence Agency (NGA) is a Department of Defense combat-support agency and a member of the Intelligence Community (IC). The Agency receives guidance and oversight from DoD, Office of the Director of National Intelligence, and Congress. NGA provides geospatial intelligence—GEOINT—that supports US national security and defense, as well as humanitarian assistance and disaster relief, and informs national policy decisions.



The mission of the Office of Inspector General (OIG) is to conduct independent and objective audits, inspections, and investigations to strengthen the effectiveness, efficiency, and integrity of NGA programs and operations.

We undertake and perform our assessments of NGA’s worldwide programs and operations in accordance with the Inspector General Act of 1978, as amended, and in compliance with the standards of the Government Accountability Office (GAO) and the Council of the Inspectors General on Integrity and Efficiency.

The OIG also serves as the principal NGA agent responsible for investigating potential violations of law, rule, or regulation, as well as incidents of gross mismanagement, gross misconduct, abuse of authority, and denial of due process. In addition, the OIG performs the NGA external liaison function for federal, state, and local Inspectors General and Congressional oversight of IG-related matters. The OIG is NGA’s liaison to external law enforcement agencies, such as the FBI.

RESOURCES AND ORGANIZATION

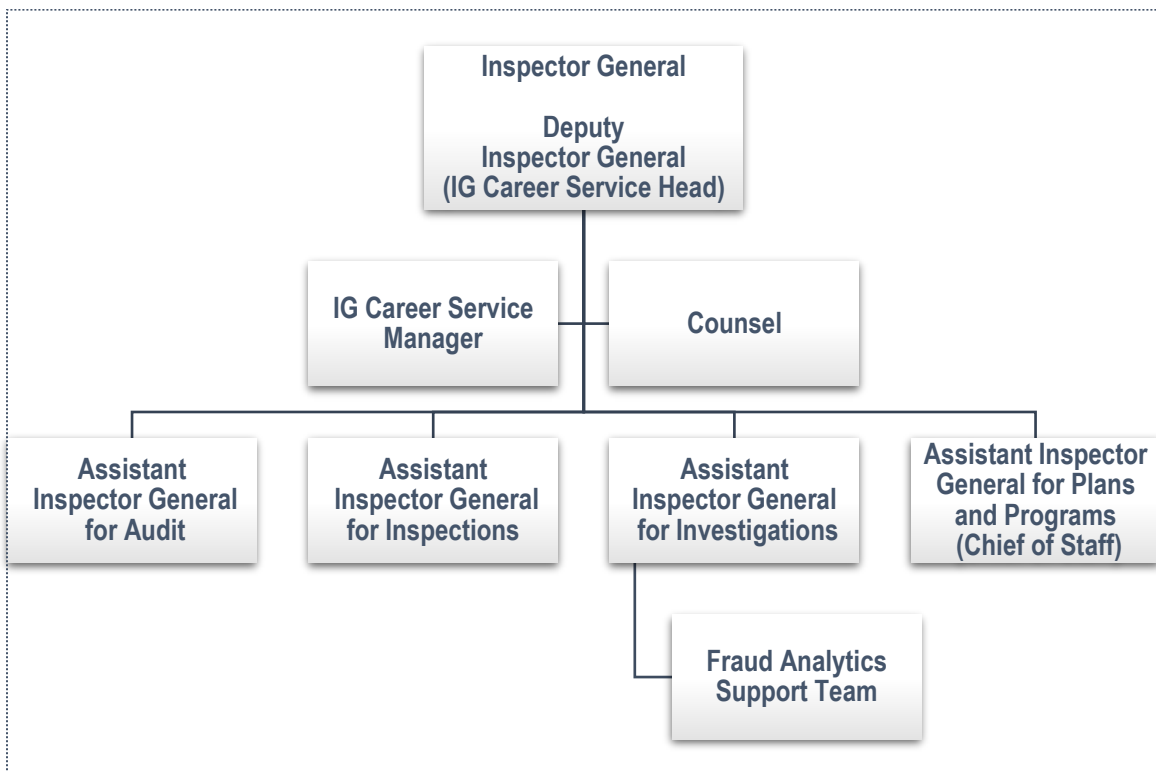
The OIG is authorized 60 billets, and as of 30 September 2019, 55 employees were on board. The OIG staff is allocated among three core divisions—Audit, Inspections, and Investigations—and a support function—the Plans and Programs Division. A Counsel reports directly to the IG.

The Deputy IG is the head of the IG Career Service (IGCS). The IGCS was established to protect IG personnel from undue influence in recruiting, hiring, development, and promotion. The IGCS provides career development, training, and assignments management for the IG professionals. The IGCS has a dedicated Career Service Manager (Human Resource Professional) who reports directly to the Deputy IG.

As the IGCS head, the Deputy IG focused this year on developmental actions in deep expertise, rotation into NGA work roles, and career broadening in the IG community. The Deputy IG hosts monthly discussions and open communications on opportunities centered on each of the developmental actions. The goal of the IGCS: strengthen core IG competencies, broaden career opportunities, and safeguard independence.

The IGCS Manager led a comprehensive study of IG best practices across the IC aimed at ensuring IG independence while improving integration with NGA Human Capital Management programs. As a result, IG integration in NGA Human Capital Management processes increased from 20 percent to 90 percent. The improved integration in Agency processes created programmatic efficiencies while protecting the statutory independence of the IG. A benefit of the IGCS integration is the OIG workforce now participates in the NGA Career Service Change Open Season for the first time since the career service was established. Participation in the Career Service Change program has allowed OIG to identify a pipeline of qualified NGA professionals available for assignment in OIG. The IGCS team completed the inaugural IGCS Career Resource Guide as a primary reference for career planning and professional development. The guide provides measurable or observable knowledge, skills, abilities, and behaviors needed to perform in each of the seven occupational work roles in the IGCS.

Figure 1. OIG Organization Chart



INVESTIGATIONS

The Investigations Division conducts independent administrative and criminal investigations of complaints and other information of possible violations of criminal and civil law. The division is the principal NGA agent for investigating potential violations of rule or regulation, as well as incidents of gross mismanagement, gross misconduct, abuse of authority, and denial of due process. The Investigations Division closed 84 cases this period, substantiating 28 (33 percent) of its cases involving time and attendance fraud, computer misuse, security, and travel, and recovered \$1,418,813.

The division also incorporates the Fraud Analytics Support Team (FAST), which conducts an agency-wide fraud detection program using data mining and forensic analyses tools. FAST also identifies policy violations and weaknesses in internal and management controls. Systemic findings are referred to the Inspections Division or Audit Division for further analysis and review. The funds recovered involve time and attendance fraud, contractor labor mischarging, and contractor self-disclosure cases.

The division is included in the *GAO Whistleblower in the IC* review, which includes a review of the DIA, NRO, CIA, IC IG, NSA, and NGA processes and procedures in handling whistleblower complaints. The GAO review is ongoing.

SUMMARIES OF AUDITS

COMPLETED

Assessment of NGA's Compliance with the Improper Payments Elimination and Recovery Act of 2010 (IPERA) for Fiscal Year 2018, Memorandum U-106-19/OIG, issued 23 April 2019

Overview. The objective of our assessment was to determine whether NGA was compliant with IPERA for FY2018.

Findings. We concluded that NGA was compliant with IPERA for FY2018

Results. We made no recommendations for corrective actions.

Audit of NGA's Corrective Action Implementation, Memorandum U-148-19/OIG, issued 15 May 2019

Overview. The objective of this audit was to determine whether NGA effectively and efficiently followed up on recommendations to correct findings identified through external cybersecurity inspections. Specifically, this audit was to determine whether NGA used the Defense Information Systems Agency inspection results to correct enterprise-wide deficiencies and improve cybersecurity readiness.

Observation. OIG observed that NGA took appropriate actions for four of four sampled DISA Cybersecurity Service Provider inspection vulnerabilities reviewed. For the DISA Command Cyber Readiness Inspection, we noted management did not regularly manage information to assess corrective actions for vulnerabilities identified.

Results. Because of issues associated with the audit and similarities between the observation identified and a finding documented in the FY2018 Federal Information Security Modernization Act of 2014 (FISMA) evaluation, we issued a memorandum that communicated our observations and terminated the audit.

Audit of NGA's Support of US Strategic Command Mission Requirements, Report No. OIGA 19-06, issued 13 June 2019

Overview. NGA supports US Strategic Command (STRATCOM) by satisfying requirements, including providing reliable navigation and planning charts. The objective of this audit was to determine whether NGA is satisfying STRATCOM requirements effectively and efficiently.

Findings. NGA did not effectively or efficiently satisfy STRATCOM requirements. NGA is facing challenges to produce timely, relevant, and accurate tactical pilotage charts, jet navigation charts, and global navigation charts (navigation and planning charts) that meet STRATCOM's needs because of various factors. These factors include NGA's challenges with maintaining accurate navigation and planning chart requirements for STRATCOM, producing navigation and planning charts for STRATCOM consistent with the developed prioritization, establishing and maintaining product specifications for the navigation and planning charts, and reestablishing and maintaining in-house cartographic expertise. Over the past nine years, NGA has worked on various efforts to address the deficiency related to navigation and planning charts for STRATCOM. Starting in FY2011, with production of prototype charts, and in FY2012, with the Next Generation program, NGA produced and made available to the customer the required charts to satisfy STRATCOM requirements. However, in FY2014 the charts were removed from circulation because of clarity and readability issues when converting the charts to the required Compressed Arc-Second Raster Chart Digitized Raster Graphic format. In FY2017 with the GEOINT Data Services program, NGA reinitiated production of the required charts. However, the customer reviewed the recently produced charts and identified inaccuracies related to critical features required in the tactical pilotage charts. We identified that NGA spent over \$25 million in navigation and planning chart production contracts alone without meeting STRATCOM requirements for the subject charts. In today's uncertain environment, it is imperative that NGA provides STRATCOM the support it needs to gain advantage over and defeat any potential adversary with its nuclear missile defense capabilities.

Results. The report contains eight recommendations that focus on improving management controls over production of navigation and planning charts.

Audit of NGA's Funds Reprogramming Activity, Report No. OIGA 19-07, issued 30 September 2019

Overview. OIGA engaged KPMG LLP, an independent public accounting firm, to audit NGA's funds reprogramming activity. The audit objectives were to (1) assess NGA's funds reprogramming activity for gaps in compliance with applicable laws, regulations, policies, and procedures; and (2) provide information on the root cause of reprogramming activities.

Findings. KPMG did not identify any instances of non-compliance with applicable funds reprogramming laws, regulations, policies, and procedures in its testing. KPMG identified one finding related to defining and recording reprogramming activities. In addition, KPMG identified three common root causes of reprogramming activity related to the budgeting process, lookback analyses, and leadership decisions.

Results. The report contains four recommendations that focus on improving reprogramming policies and procedures to increase the effectiveness and efficiency of NGA's funds reprogramming.

Audit of NGA’s Analysis Event Response for National Security and Natural Disasters, Project No. 17-A08

Overview. The objective of this audit is to determine whether Analysis component-related crisis and event response plans are in place and are executed and managed effectively. Specifically, the audit will determine whether the execution and management of those plans facilitate coordination among stakeholders, standardization of procedures where practical, and reduction in duplication of efforts. In addition, the audit will determine whether the plans efficiently allocate available resources.

Status. OIGA announced the project in May 2017, and plans to issue a report in November 2019.

Audit of NGA’s Supply Chain Risk Management, Project No. 19-A01

Overview. The objective of this audit is to determine whether the NGA Supply Chain Risk Management program is effectively managed in accordance with federal, DoD, Intelligence Community, and other applicable policy and guidance.

Status. OIGA announced the project in April 2019 and plans to issue a report in January 2020.

Audit of NGA’s Permanent Duty Travel, Project No. 19-A03

Overview. The objective of this audit is to determine the effectiveness and efficiency of NGA’s permanent duty travel program. Specifically, the audit will determine whether NGA complied with applicable laws and regulations governing reimbursement for permanent duty travel.

Status. OIGA announced the project in March 2019 and plans to issue a report in February 2020.

FY2019 Federal Information Security Modernization Act Evaluation of the NGA Information Security Program, Project No. 19-A04

Overview. OIG contracted KPMG LLP, an independent public accounting firm, to perform the FY2019 evaluation required by FISMA. The overall objectives of the evaluation are to assess NGA’s information security program in accordance with the IG FISMA reporting metrics issued by the Department of Homeland Security and determine whether NGA implemented recommendations from the FY2018 assessment. The evaluation will include a sample of seven systems for testing to support the IG metrics.

Status. OIGA announced the project in February 2019 and plans to issue the final external metrics results to the Office of Management and Budget (OMB) in October 2019 and the detailed internal report to NGA management in November 2019.

Audit of the NGA Financial Statements for FY2019, Project No. 19-A05

Overview. OIGA contracted KPMG LLP, an independent public accounting firm, to audit NGA's FY2019 financial statements. The audit objective is to determine whether NGA's financial statements are presented fairly, in all material respects, in accordance with US generally accepted accounting principles. To meet requirements for federal financial statement audits, KPMG is also assessing internal control over financial reporting and performing tests to determine whether NGA complied with applicable provisions of laws, regulations, and contracts.

KPMG is following up on the status of management's corrective actions to address the findings and recommendations communicated in the *Independent Auditors' Report on the NGA Financial Statements for FYs 2018 and 2017* (Report No. OIGA 19-03), and the *Independent Auditors' Management Letter for the FY2018 Financial Statement Audit* (Report No. OIGA 19-04).

Status. OIGA announced the project in February 2019. KPMG's report will be issued no later than 15 November 2019. If necessary, a management letter will be issued by 31 December 2019.

Audit of Contractor Personnel Qualifications, Project No. 19-A06

Overview. The objective of this audit is to determine whether NGA ensures its contractors provide qualified personnel commensurate with labor category requirements and rates established in their contracts.

Status. OIGA announced the project in April 2019 and plans to issue a report in April 2020.

Audit of NGA's Implementation of Agile Software Development Methodology, Project No. 19-A08

Overview. The objective of this audit is to determine whether NGA is effectively managing the implementation of Agile software development methodology.

Status. OIGA announced the project in May 2019 and plans to issue a report in May 2020.

SUMMARIES OF INSPECTIONS

COMPLETED

Inspection of NGA’s Aeronautical Navigation Office, Report No. OIGE-19-03, issued July 2019.

Overview. According to Title 10 US Code (USC) §442, Missions: “NGA shall, in support of the national security objectives of the US, provide maps, charts, books, and geodetic products.” To support Title 10, the NGA Aeronautical Navigation (SFA) mission is to provide timely, relevant, and validated worldwide aeronautical geospatial intelligence (GEOINT), online and on demand, to enable Safety of Navigation and DoD military operations and support national security objectives. This project originated from the OIG FY2019 Audit and Inspection Plan as a continuation of our evaluations into NGA’s Safety of Navigation mission. The overall objective of this inspection was to assess the effectiveness and efficiency of the NGA Aeronautical Navigation Office and its safety of navigation mission. Specifically, we assessed the office’s manning, policies, products, and services for compliance, effectiveness, and efficiency.

Findings. We found NGA’s Aeronautical Navigation Office effectively and efficiently provides worldwide aeronautical information and products to support global aeronautical safety of navigation for the DoD, the IC, and international partners. We also found the NGA Aeronautical Navigation Office has improved relationships with the Services through transparency and collaboration. We found that SFA’s performance-based navigation concept, which endeavors to provide worldwide coverage of aeronautical products, should be fully realized by FY2024. Lastly, we found the SFA director initiated a number of creative practices that contributed to a positive workforce engagement. These practices have improved the overall atmosphere of the office and may have directly improved workforce engagement indicators that have progressively increased under the current director’s leadership.

Results. We made one recommendation to improve the Aeronautical Navigation Office. The recommendation focuses on the need for NGA to engage with the Services and Combatant Commands to prioritize product publication.

Inspection of NGA’s Outposts, Report No. OIGE-19-05, September 2019

Overview. NGA’s Outposts create a presence at the point of origin for new technology to innovate and develop new solutions for NGA’s current and future challenges. The Outposts (Silicon Valley, California, and Austin, Texas) state that they elicit, compile, and assess NGA technology requirements to enable cooperation, collaboration, and development of a shared strategic vision with partners in industry and academia. They also assess commercial technologies against identified problem sets for potential NGA investment. The Outposts team

has also focused on fostering relationships with the academic community. The overall objective of the inspection was to evaluate the effectiveness of the NGA Outposts with respect to return on investment. Specific subobjectives of the inspection were to discover the Outposts' stated mission and outcomes, resource expenditures, and deliverables.

Findings. We found that NGA Outposts lacked a consolidated list of problems and needed improvement for the unclassified website to solicit technology solutions. Furthermore, Outposts needed to improve how they advertise success. In addition, NGA lacked a working technology transition process for Outposts technology solutions. We also found that Outposts is not efficiently using the space at 50 United Nations Plaza in San Francisco. Finally, the Outposts need improved personnel resources.

Results. We identified six recommendations to build the capacity of NGA Outposts focused on the following:

- Refining NGA Tech Focus Areas
- Improving NGA's unclassified website by posting NGA's problems for solicitation
- Creating a framework for measuring the successes of the Outposts
- Engaging in outreach efforts to educate agency stakeholders about the value of innovation
- Determining whether the physical space is adequately meeting mission needs
- Conducting a resource study to assess whether personnel resources from CIO-T, Research, Human Development (HD), Office of Contract Services (OCS), OGC, and perhaps more, can support Outposts

ONGOING

Inspection of NGA's Acquisition Processes and Procedures (Phase III), Project No. II-18-02

Overview. This inspection is the third, and final, in a series of acquisition-function inspections. Due to the complexity of the NGA acquisition function, we divided the inspection into three phases to provide the most relevant and timely assistance to NGA senior management. The phases were generally based on a framework established by GAO and OMB. The overall objective of the inspection is to assess NGA's acquisition policies and processes to determine the effectiveness and efficiency of the Agency's acquisition program management and compliance with oversight requirements.

Status. The final report is planned for publication in October 2019.

Inspection of GEOINT Standards, Project No. II-19-01

Overview. NGA Director, as Geospatial Intelligence (GEOINT) Functional Manager (GFM), established the National System of Geospatial-Intelligence (NSG) GFM Standards Assessment program, which defines and implements NSG methods and processes to assess and assert

information technology (IT) and National Security Systems (NSS) conformance with GEOINT data and service standards within the DoD and the IC. During our 2019 annual planning process, we learned of potential negative impact resulting from NGA Career Services manpower initiatives and constrained contract funding for the GEOINT Standards program. Management raised concerns that the Career Services' initiatives created a critical shortfall in qualified cadre. Additionally, we learned of concerns regarding possible reductions to the GEOINT standards-related contract funding. The overall objective of the inspection is to assess whether the GEOINT Standards program is currently organized, staffed, and resourced to effectively fulfill its GFM responsibilities.

Status. The final report is planned for publication in November 2019.

Inspection of NGA's Contract Writing System, Project No. QL-19-02

Overview. NGA contract data must be complete and tracked in a system that is searchable. Currently, NGA contract data is housed in a system called PRISM. We received complaints that contract data is incomplete and kept on manual spreadsheets. In addition, the ability for NGA's Office of Contract Services and program offices to readily track, obtain metrics, and evaluate contracts during the lifecycle cannot be effectively performed without a standardized contract writing system. The overall objective of this inspection is to determine whether NGA's contract writing system delivers the capability to provide adequate contract data for principal users. Specifically, we will determine whether the current NGA contract writing system sufficiently allows for storage, discoverability, and retrieval of required contract documentation and whether the planned system will adequately store, manage, and make accessible, all required contract information, as required by Federal Acquisition Regulation §4.8, "Government Contract Files."

Status. The project is currently in the planning phase.

SUMMARIES OF INVESTIGATIONS

The Investigations Division (OIGI) closed 84 cases during the reporting period; 28 were substantiated, or 33 percent of its cases for the reporting period. The division opened 87 cases and has 78 ongoing investigations.



JUDICIAL ACTIONS AND PROSECUTIONS

OIGI was involved in one judicial action during the reporting period. OIGI investigators supported a Defense Criminal Investigative Service Theft of Government Property investigation that resulted in a conviction by the US Attorney's Office for the Eastern District of Virginia. For another case that was reported previously for federal prosecution to the US Attorney's Office for the Eastern District of Missouri involving contractor labor mischarging, prosecution was not pursued and administrative remedies were accomplished. Summaries of these two cases, 17-154 and 16-125, respectively, are provided later in this report.

CASES INVOLVING SENIOR GOVERNMENT OFFICIALS (SUBSTANTIATED)

OIGI provided investigative support to the DoD OIG on one investigation of a senior official that resulted in substantiated allegations, which are summarized below. OIGI has 14 pending investigations on senior officials.

We provided the DoD OIG the required notification of these allegations and cases.

OIG Case No. 18-128, closed July 2019

The OIGI obtained evidence in the form of documents and computer records in support of a DoD OIG Investigations of Senior Officials investigation of the NGA deputy director. The investigation substantiated the allegation that the deputy director engaged in an inappropriate and unprofessional relationship with a subordinate employee. The deputy director resigned from NGA in lieu of an involuntary action.

CASES INVOLVING SENIOR GOVERNMENT OFFICIALS (UNSUBSTANTIATED)

The DoD OIG was provided appropriate notification of the following allegations and cases.

OIG Case No. 19-075, closed August 2019

A senior government official retaliated against a subordinate employee; not substantiated.

OIG Case No. 19-078, closed June 2019

A senior government official failed to follow hiring policies; not substantiated.

OIG Case No. 19-082, closed June 2019

A senior government official improperly influenced the awarding of a contract; not substantiated.

WHISTLEBLOWER RETALIATION

OIGI closed seven whistleblower reprisal cases, which are summarized below.

OIG Case No. 18-116, closed June 2019

OIGI investigated allegations that Pay Band 5 supervisors did not provide a promotion recommendation and training and provided lower than expected performance scores for a subordinate employee because of the employee's participation in a management inquiry. The OIGI investigation concluded that the supervisors did not retaliate against the employee for making a protected communication. These findings were reported to the employee in writing.

OIG Case No. 18-119, closed September 2019

OIGI investigated an allegation of retaliation against a Pay Band 4 analyst by a supervisor for reporting management issues to management and the NGA Ombudsman. The analyst was concerned that the reporting of issues would result in changes to the analyst's job position and responsibilities. The OIGI investigation concluded that reprisal did not occur. These findings were reported to the analyst.

OIG Case No. 19-033, closed July 2019

OIGI investigated allegations that a Pay Band 5 supervisor directed a Pay Band 4 supervisor to retaliate against a subordinate employee by issuing the employee a Letter of Reprimand for submitting a complaint to the NGA OIG. The employee withdrew the complaint in writing prior to the completion of OIGI's investigation; however, the investigation had proceeded to the stage of showing that the Letter of Reprimand was warranted and would have been issued regardless of any communications to the OIG.

OIG Case No. 19-042, closed July 2019

OIGI investigated allegations that a Pay Band 5 supervisor gave a subordinate employee lower than expected performance scores because of the employee's participation in a management inquiry. An OIG preliminary review found that the complainant did not state a prima facie case of whistleblower reprisal. This was supported by a legal opinion provided by the OIG Counsel. This finding was reported to the employee in writing.

OIG Case No. 19-043, closed July 2019

OIGI investigated allegations that a Pay Band 5 supervisor gave a subordinate employee lower than expected performance scores because of the employee's participation in a management inquiry. An OIG preliminary review found that the complainant did not state a prima facie case of whistleblower reprisal. This was supported by a legal opinion provided by the OIG Counsel. This finding was reported to the employee in writing.

OIG Case No. 19-089, closed May 2019

OIGI investigated allegations that a Pay Band 5 supervisor retaliated against a subordinate employee because of the employee's ethnicity and for reporting issues of discrimination and hostile work environment to the NGA Office of Diversity, Inclusion, and Equal Employment Opportunity (EEO) (ODE). OIGI determined that a personnel action was not taken against the employee. In addition, the employee filed a complaint with ODE, which included the employee's reprisal allegations. OIGI personnel advised the complainant that OIGI would not conduct an investigation of the same reprisal allegations that were being addressed in the EEO complaint, and that the complainant could return to the OIGI after the EEO complaint process concluded if there were still issues that should be addressed by OIGI.

OIG Case No. 18-105, closed September 2019

OIGI investigated allegations that a Pay Band 5 supervisor retaliated by not recommending a Pay Band 4 employee for a promotion due to a disagreement and subsequent filing of a reconsideration request for an annual performance appraisal score. The OIGI investigation found that the nonrecommendation for promotion was not an act of reprisal. This finding was reported to the employee in writing.

TIME AND ATTENDANCE FRAUD

The OIGI continued to address matters of significant time and attendance fraud through investigations. An example of one such case follows below. Many lesser time and attendance issues are handled directly with management, who ensures that recovery of funds and other remedies are accomplished.

OIG Case No. 18-097, closed August 2019

The OIGI received an allegation that a budget analyst used random side exits to walk around to the parking garage and leave early without completing the workday. OIG investigators found evidence that the analyst claimed 492.19 hours on time sheets that were not worked. The value of this shortage is \$36,565. Actions are underway to recover these funds; the analyst retired before any adverse actions could be initiated.



CONTRACTOR LABOR MISCHARGING

OIGI continued to address issues of contractor labor mischarging through outreach efforts with industry and a fraud survey that was provided to the NGA workforce. One labor mischarging case, summarized below, that was worked with the Department of Justice resulted in a major recovery of funds. OIGI also received a number of contractor self-disclosure letters from NGA contractors.

OIG Case No. 16-125, closed September 2019

OIGI investigated allegations that an NGA contractor employee in the Chief Information Officer and Information Technology Services Directorate (CIO-T) did not work the hours that the employee and the employer charged NGA. The investigation found that the employee and the company received payment for 2,128.7 hours that were not worked. OIG investigators worked closely with the Office of the US Attorney for the Eastern District for Missouri on this case. A settlement with the company resulted in a recovery of \$398,368.76, of which \$199,184.38 is restitution. Suspension and debarment actions are pending with the NGA OGC.

OIG Case No. 17-090, closed September 2019

OIGI investigated allegations that an NGA contractor employee in CIO-T did not work the hours that the employee and the employer charged NGA. The investigation found that the employee and the company received payment for 545.46 hours that were not worked. Based on the results of the investigation, the NGA contractor agreed to reimburse the government for \$37,839.24.

OIG Case No. 17-133, closed July 2019

OIGI investigated and substantiated allegations that NGA contractor employees and their employer in the Security and Installations Directorate did not satisfy the company's contractual obligations with NGA because the contractor employees did not work the minimum hours per

day required by the terms of the contract. Based on the results of the investigation, the NGA contractor agreed to reimburse the government for \$45,000. Suspension and debarment actions are pending with the NGA OGC.

OIG Case No. 18-132, closed May 2019

An NGA contractor disclosed that one of its employees on a contract at NGA was not working the hours being claimed and spent excessive amounts of time on NGA computers conducting personal matters. The contractor terminated the employment of its employee and reimbursed NGA for \$43,733.61.

OIG Case No. 19-044, closed May 2019

An NGA contractor disclosed that one of its employees on a contract at NGA was not working the hours being claimed as worked. The contractor terminated the employment of its employee and reimbursed NGA for \$252,362.65. The contractor also terminated a supervisor for knowingly allowing the mischarging to occur.

OIG Case No. 19-071, closed May 2019

An NGA contractor disclosed that one of its employees on a contract at NGA was not working the hours being claimed as worked. The contractor terminated the employment of its employee and reimbursed NGA for \$24,600.05, and filed an adverse action in the Joint Personnel Adjudication System regarding the employee's security clearance.

COMPUTER MISUSE

OIGI investigated acts of computer misuse by government and contractor personnel at NGA. The following are case summaries of investigations of a government and a contractor employee using NGA computer systems excessively for personal use.

OIG Case No. 18-041, closed June 2019

OIGI investigated an allegation that a Pay Band 4 employee in CIO-T was operating a personal business on government time using NGA computer systems. The investigation substantiated the allegations. The employee received a Letter of Caution for computer misuse and conduct unbecoming a Federal employee.

OIG Case No. 19-011, closed May 2019

OIGI investigated an allegation of computer misuse by a contractor employee in the Analysis Directorate. The investigation substantiated that the employee accessed over 100,000 images and text from various websites; most of the activity was devoted to websites pertaining to sexual experiences and adventures, and massage therapists. The employee was removed from the NGA contract and his employment was terminated.

OTHER NOTEWORTHY INVESTIGATIONS

OIGI has no noteworthy investigations to report for this reporting period.

CRIMINAL INVESTIGATIONS

During this period, OIGI worked on investigations with the Defense Criminal Investigative Service, other criminal investigative agencies, and Department of Justice attorneys. The issues included false claims, cost mischarging, conflict of interest, and theft of government equipment.

OIG Case No. 17-154, closed September 2019

OIGI investigators supported a Defense Criminal Investigative Service Theft of Government Property investigation that resulted in a conviction by the US Attorney's Office for the Eastern District of Virginia. This case originated in September 2017 when the NGA Police Department reported to the Army Criminal Investigative Division (CID) at Ft. Belvoir, Virginia, that 19 pieces of Juniper Networks computer hardware was missing. Army CID notified the Defense Criminal Investigative Service who opened a case with NGA OIG. The investigation found that a former facilities contractor at NGA from January 2012 until May 2017 stole over \$517,000 worth of equipment, including computer laptops, toner cartridges, digital light projectors, Ethernet switches, a video conference unit, and other electronics, which he sold to various customers, including on eBay. On 1 March 2019, the former contractor employee pled guilty and was convicted of Theft of Government Property. On 23 May 2019, he was sentenced to 12-months-plus-one-day imprisonment; three years supervised release; restitution of \$468,025.86; forfeiture of \$275,009.00 (including a Rolex watch, Chevrolet Suburban, and diamond ring, bought with the earnings from selling stolen government property); an assessment fee of \$100; and 20 hours of community service speaking or writing articles about the "significant consequences if [other government contractors] succumb to the temptation to steal from their employer."

FRAUD ANALYTICS SUPPORT TEAM

FAST is outsmarting fraud, waste, and abuse through data science. FAST performs two missions: (1) detect fraud, waste, and abuse through data analytics and (2) provide forensic analysis support to the Investigations Division. FAST provides the basis for restitution and recovery of dollars lost due to fraud, waste, and abuse so that corrective actions can be taken to address employee misconduct.

COMPLETED

Proactive Payroll Fraud Detection Model, Project No. F18-002

FAST reviewed NGA Payroll and developed a model that uses algorithms to detect NGA employees that are considered high risk for payroll fraud. The model resulted in the independent detection of an instance of potential nepotism and a potential conflict of interest. Additionally, the OIG model identified one instance of an active pay status for a deceased employee. The employee died in May 2018; however, the pay status was still active in August 2018. No fraud was found because the Defense Finance and Accounting Service (DFAS) and NGA Financial Management were settling the leave balance owed. No true instances of payroll fraud were found, and the model validated that the separation of duties and controls in place are sufficient to mitigate payroll fraud, such as ghost employees, at NGA. This project was completed in April 2019.

Resume Scoring Model, Project No. F19-002

NGA OIG developed a tool to automatically parse unstructured data from NGA resumes and promotion packages and rank them based on a customizable list of keywords through text analytics, natural language processing, and statistical analysis. This tool reduced the initial resume review process from 20 man-hours to approximately 30 minutes. This project was completed in June 2019.

Automated Document Highlighter, Project No. F19-003

NGA OIG developed an automated highlighting tool that aided in reviewing a large number of resumes and promotion packages against a list of key words establishing the criteria for promotion. The script successfully ran through a customizable list of 114 key words in over 900 pages of promotion packet materials in a matter of a few minutes. This reduced the manual review by 95 percent, allowing the reviewer to focus on context and content. This project was completed in August 2019.

Government Purchase Card Analytics, Project No. F19-004

FAST reviewed Government Purchase Card (GPC) transactions made from 1 August 2017 to 31 July 2018. We reviewed 7,431 transactions and found that 167 NGA purchase cardholders made \$6.39 million in purchases over the period analyzed. FAST determined that over 99.9 percent of NGA's Government Purchase Card holders used their cards in accordance with NGA regulations and guidance. Overall, the Office of Contract Services has effective procedures in place to monitor GPC purchases. FAST will continue to review GPC transactions to ensure adherence and coordinate with GPC Account Managers to improve compliance. The project was completed in July 2019.

OIG Contract Fraud Survey, Project No. F19-005

The NGA OIG has developed an online survey tool that allows NGA employees to report potential contract fraud anonymously. The goal of this project is to detect fraudulent activities with the aid of NGA employee input and enable OIG to take necessary action to neutralize or mitigate fraud schemes once detected. Additionally, the OIG Contract Fraud Survey aims to increase fraud awareness among NGA personnel and leadership, improve the prosecution referral rate for cases involving criminal activity, and enhance NGA OIG proficiency and knowledge in procurement fraud investigations. The OIG Contract Fraud Survey is conducted annually. OIG received five survey replies in FY2019. This project was completed in September 2019.

Proactive Flight Upgrades, Project No. F19-008

FAST reviewed FY2019 Government Travel Charge Card (GTCC) and Defense Travel System records for indications of unauthorized flight upgrades at the Government's expense. We did not find any unauthorized flight upgrades in this proactive project. This project was completed in September 2019.

Proactive Government Travel Charge Card, Project No. F19-009

The NGA OIG FAST reviewed GTCC transactions made from 1 October 2017 to 28 September 2018. FAST reviewed 134,659 transactions and found that 5,482 NGA employees used travel cards to make \$22.9 million in purchases and obtain \$310,955 in cash advances. The FAST review identified three NGA employees who misused their GTCCs resulting in the recovery of \$2,440.50 in Case #19-017, \$4,220.63 in case #19-029, and \$7,388.19, in case #19-028, totaling \$14,049.32. FAST referred these three misuse cases to management for action and to NGA's GTCC Team for remedial action. This project was completed in April 2019.

IG Career Service Placemat, Project No. F19-011

The IG Career Service (IGCS) is the formal structure responsible for developing and managing the NGA OIG occupations and work roles. The two-page placemat highlights important key performance indicators of the health of the IGCS. This project was completed in July 2019.

The overall health of the IGCS is excellent due to efficiencies in personnel hiring. The OIG maintains a personnel fill rate of 90 percent or higher and is incorporating new flexibilities to hire in advance of attrition expanding cross-over continuity and leveraging deep expertise currently within the OIG.

Figure 2. Inspector General Operations

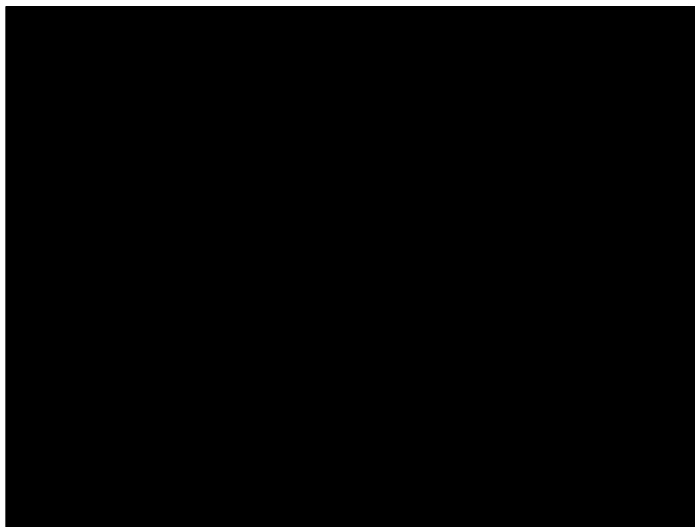
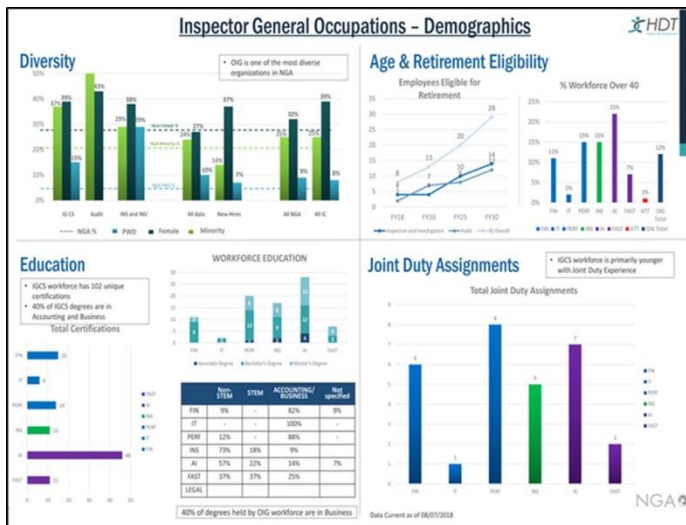


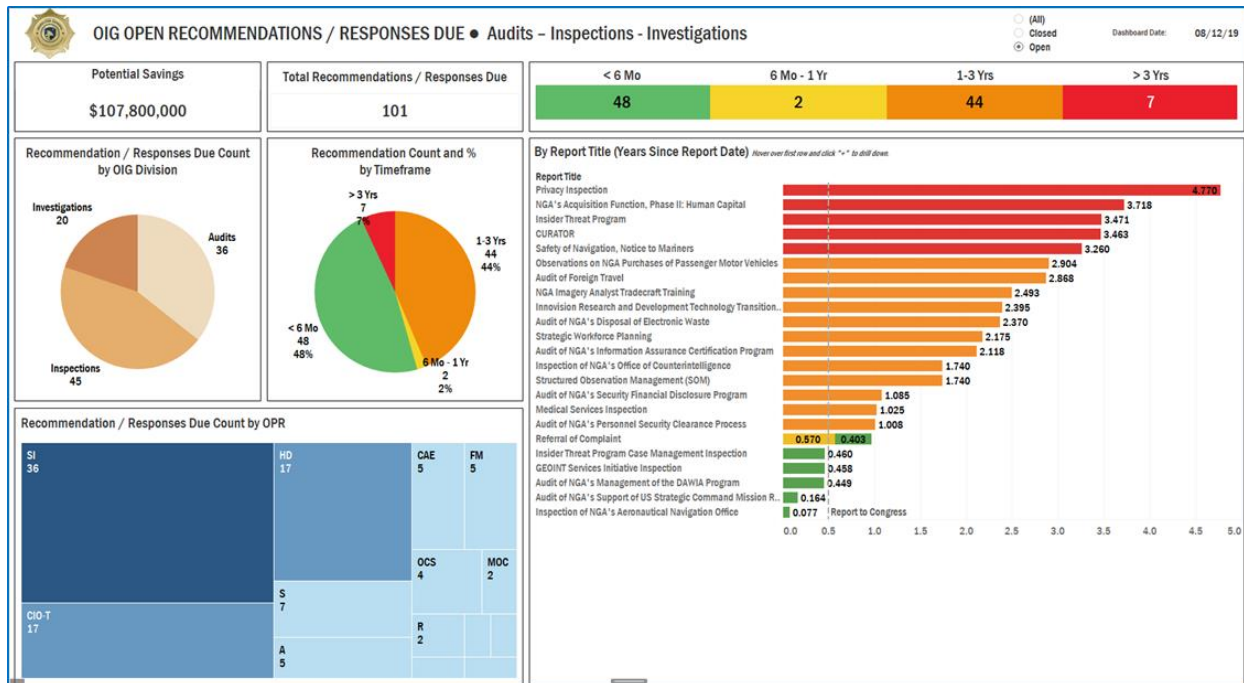
Figure 3. IG Occupations-Demographics



NGA OIG Open Recommendations Dashboard, Project No. F19-012

The purpose of this dashboard is to provide top management with the periodic status of OIG open recommendations and investigative responses due to the OIG from NGA components. The dashboard calls the decisionmaker’s personal attention to areas that are of high priority. The dashboard communicates key performance indicators in the areas of potential savings associated with the recommendations, the number of recommendations and responses due, and the age of the OIG reports and associated recommendations and responses due. In addition, the dashboard identifies the number of open recommendations and responses due by OIG office and by the responsible NGA management organization. The dashboard engages with interactive data and allows the NGA OIG to tell a story quickly and efficiently. Viewers can drill down on any item of interest, such as the oldest recommendations over three years old. This project was completed in September 2019.

Figure 4. OIG Open Recommendations Dashboard



FY2019 Analysis of NGA Employee Complaints for Systemic Issues, Project No. F19-015

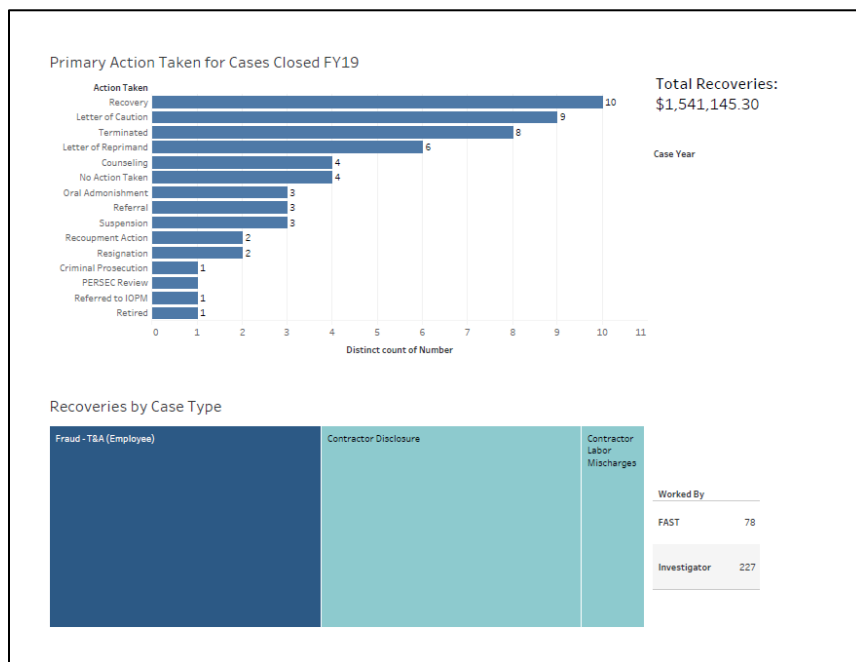
As of 30 August 2019, the OIG had received about 280 employee complaints. Complaints typically involve allegations of employee misconduct; however, FAST reviewed the complaints for potential systemic issues and found three potential issues: (1) Hiring Issues—15 employee complaints were categorized as hiring issues. These complaints ranged from “favoritism in hiring student interns” to a Uniformed Services Employment and Reemployment Rights Act Violation complaint. Other complaints cited “negotiated salary issues,” “prior service credit,” “improper

hiring selection,” “unethical hiring processes,” and other similar complaints. (2) Questionable Intelligence Activities (QIAs)—OIG received 13 QIA complaints. A majority of the QIA complaints were DoD policy violation referrals from the NGA Intelligence Oversight Program in coordination with the NGA OGC. (3) Career Services—15 employee complaints were categorized as career services. These complaints ranged from “billet misrepresentation” to “promotion panel issues.” Other complaints cited “rank-in-person/ promotion process mismanagement” and similar complaints. This project was completed in September 2019.

Employee Adverse Actions Dashboard, Project No. F19-016

The purpose of this dashboard is to provide NGA stakeholders with the value of OIG substantiated cases. The dashboard tells a data-driven story. Beginning with the top left, we highlight the primary adverse action issued to employees as a result of substantiated cases. Prominently highlighted are the cost recoveries associated with substantiated cases. Viewers can direct their attention to the “polygon” chart on the bottom left, which highlights the case type associated with the adverse actions. This project was completed in June 2019.

Figure 5. Employee Adverse Actions Dashboard



ONGOING

Proactive Contract Fraud Detection Model, Project No. F19-006

Contracts pose one of the highest risks for fraud at NGA. In response, FAST initiated a review of NGA contracts. The objective of this project is to identify high-risk contracts based on risk rankings derived from available data and outlier detection methods. The goal is to find the outliers in the data and identify contracts with potential fraud, waste, and abuse. High-risk contracts identified in the project will be referred to the Investigations or Audit divisions for further review. Estimated completion of this project is April 2020.

Proactive Time and Attendance and Labor Mischarge Model, Project No. F19-007

The NGA OIG determined that a large number of cases involve employee time and attendance or contractor labor mischarges. FAST will evaluate the time and attendance of all NGA employees using data analytics. The Proactive Time and Attendance and Labor Mischarge project's primary objective is to detect false claims, and its secondary objective is to deter future false claims against the government. Estimated completion of this project is in April 2020.

NEW

NGA OIG Hotline Call Analytics, Project No. F19-010

FAST initiated a project to transcribe, clean, prepare, and analyze hotline call logs from FY2016 through FY2019 to identify trends. Estimated completion of this project is April 2020.

Audit Assist – Audit of NGA's Implementation of Agile Software Development Methodology, Project F19-014

FAST is assisting OIG Audit Division to compile a list of NGA's Software development effort through data cleaning, preparation, and analysis. Estimated completion of this project is April 2020.

Forensic Tool Kit Link Analysis and Visualization and Project No. F19-013

In support of OIG Special Agents, FAST initiated a new pilot project to implement new Forensic Tool Kit (FTK) software capabilities to visualize communications between case subjects and perform link analysis. Estimated completion of this project is in April 2020.

APPENDIX A. STATUS OF AUDIT AND INSPECTION RECOMMENDATIONS

This appendix includes seven tables that present the status of recommendations according to various parameters.

Table A-1. Open and Closed OIG Recommendations as of 30 September 2019

This table provides the number of NGA OIG and DoD OIG audit and inspection recommendations issued to NGA management that were closed or remained open at the end of the reporting period. This table does not include recommendations from the Financial Statement Audit (52 open) and FISMA evaluation (39 open). Recommendations that closed prior to 1 April 2019 are not included.

Report Title, Number, Date	Recommendations	
	No. Closed	No. Open
Audit of NGA’s Use of Administrative Leave, Report No. OIGA 16-08, May 2016	1	0
Objective: To determine whether NGA policies and procedures ensured the proper use of administrative leave.		
Observations on NGA Purchases of Passenger Motor Vehicles, Report No. OIGA 16-11, September 2016	0	1
Objectives: Observations identified during a formal investigation to determine whether NGA violated the Antideficiency Act (ADA) when it purchased two canine vehicles in FY2013 using the Operation and Maintenance appropriation. While NGA did not violate the ADA when it purchased the vehicles, certain matters were of sufficient importance to communicate to management.		
Audit of Foreign Travel, Report No. OIGA 16-13, September 2016	0	1
Objective: To determine whether management of foreign temporary duty (TDY) travel was effective and efficient. Specifically, the OIG determined whether NGA travelers and approving officials complied with applicable laws and regulations governing reimbursement for foreign TDY travel.		

Report Title, Number, Date	Recommendations	
	No. Closed	No. Open
Audit of NGA’s Disposal of Electronic Waste, Report No. OIGA17-06, March 2017	1	3
Objective: To determine whether NGA sanitized and disposed of e-waste in accordance with IC, DoD, and NGA policies and procedures.		
Audit of NGA’s Information Assurance Certification Program, Report No. OIGA17-09, June 2017	0	1
Objective: To determine whether the NGA workforce performing information assurance functions have met appropriate certification requirements in accordance with DoD and NGA policies and procedures.		
Audit of NGA’s Management of the Personnel Separation Process, Report No. OIGA18-05, April 2018	1	0
Objective: To determine whether NGA management implemented policies and procedures designed to provide reasonable assurance that logical and physical access to government information was secure from personnel who separated from NGA.		
Audit of NGA’s Security Financial Disclosure Program, Report No. OIGA18-06, July 2018	0	8
Objective: To determine whether the NGA Security Financial Disclosure Program is effectively managed in accordance with applicable Federal, DoD, and NGA policy and guidance.		
Audit of NGA’s Personnel Security Clearance Process, Report No. OIGA18-07, August 2018	0	11
Objective: Part 1: To determine whether NGA has a consistent and effective risk-based approach to onboarding NGA employees and contractors who require background investigations, including controls for mitigating risk associated with onboarding prior to the full completion of background investigations. Part 2: To determine whether NGA has a backlog of background investigations, the reasons for the backlog, and the actions taken to reduce the backlog and improve the timeliness of background investigations.		

Report Title, Number, Date	Recommendations	
	No. Closed	No. Open
Audit of NGA’s Management of the Defense Acquisition Workforce Improvement Act (DAWIA) Program, Report No. OIGA19-05, March 2019	1	2

Objective: To determine whether NGA effectively and efficiently managed the DAWIA Program.

Audit of NGA’s Support to US Strategic Command (STRATCOM) Mission Requirements, Report No. OIGA19-06, June 2019	0	8
--	---	---

Objective: To determine whether NGA effectively and efficiently satisfied STRATCOM requirements.

Audit of NGA’s Funds Reprogramming Activity, Report No. OIGA19-07, September 2019	0	4
--	---	---

Objective: To (1) assess NGA funds reprogramming activity for gaps in compliance with applicable laws, regulations, policies, and procedures and (2) provide information on the root cause of reprogramming activities.

Inspection of the NGA Privacy Program and Privacy Protection Management, Report No. OIGE 15-01, November 2014	1	1
--	---	---

Objectives: To assess the effectiveness and efficiency of NGA’s Privacy Program, processes, and procedures. Specifically, we assessed (1) whether the Privacy Program was effectively organized, staffed, and trained to fulfill its responsibilities; (2) the risk of a privacy breach and existing mitigation efforts; (3) key factors in promoting and hindering the effective exercise of privacy protections; and (4) the completeness of required agency privacy documentation.

Inspection of NGA’s Acquisition Function, Phase II: Human Capital, Report No. OIGE 16-03, November 2015	0	1
--	---	---

Objectives: To review NGA’s acquisition human capital policies and practices to evaluate whether NGA has developed and maintained a fully proficient acquisition workforce that is flexible and highly skilled across a range of management, technical, and business disciplines as outlined in OMB’s assessment guide. The subobjectives were to determine (1) whether NGA is conducting effective strategic human capital planning and (2) whether NGA is effectively and efficiently acquiring, developing, and retaining acquisition talent.

Report Title, Number, Date	Recommendations	
	No. Closed	No. Open
Inspection of the CURATOR Program, Report No. OIGE 16-04, February 2016	0	3

Objectives: To determine compliance with its statement of capabilities.

Review of the NGA Insider Threat Program, Report No. OIGE 16-05, February 2016	1	1
---	---	---

Objectives: To determine whether NGA’s Insider Threat Program complies with executive branch, DoD, and IC requirements. The subobjectives were aligned with the following six minimum standards established by the National Insider Threat Policy: (1) designation of senior official(s) and associated responsibilities; (2) information integration, analysis, and response; (3) insider-threat program personnel; (4) access the information; (5) monitoring user activity on networks; and (6) employee training and awareness.

Review of NGA Safety of Navigation, Notice to Mariners, Report No. OIGE 16-06, May 2016	0	1
--	---	---

Objective: To assess the magnitude, primary causes, and impact of the backlog within NGA’s Safety of Navigation, Notice to Mariners Program.

Inspection of NGA Imagery Analyst Tradecraft Training, Report No. OIGE 17-02, February 2017	2	1
--	---	---

Objectives: To determine the extent to which NGA is training its IAs to exploit imagery by taking advantage of the full spectrum of geospatial phenomenologies and making use of traditional and nontraditional sources. Subobjectives were to (1) determine the extent to which IAs have been trained to exploit full-spectrum GEOINT; (2) determine the extent to which IAs are trained to the same tradecraft standards; and (3) assess the mechanisms by which new IA tradecraft content, regardless of origin, is integrated into NGA College learning solutions and curricula.

Inspection of InnoVision’s Research and Development and Technology Transition Outcomes, Report No. OIGE 17-03, March 2017	0	1
--	---	---

Objectives: To assess the effectiveness and efficiency of the processes by which InnoVision selects and transitions new products, processes, and services to the agency. Subobjectives of this inspection were to (1) identify the R&D programs/projects InnoVision has been pursuing over the last 5 years; (2) for each of the above programs/projects, identify its source and the reason it was chosen; and (3) for each program/project, determine the outcome. (Was the project transitioned, did it enhance the mission, what capabilities were delivered, etc.?)

Report Title, Number, Date	Recommendations	
	No. Closed	No. Open
Inspection of NGA’s Strategic Workforce Planning Function, Report No. OIG 17-04, June 2017	1	1

Objective: To assess the effectiveness of NGA’s strategic workforce planning function in meeting the requirement to have a future workforce that is capable of supporting DoD and IC missions. Consistent with Title 10, US Code, and DoD Instruction, the OIG used stages of the Office of Personnel Management’s workforce planning model as the baseline for the assessment and issued five subobjectives: (1) assess strategic direction; (2) assess effectiveness of workforce and skills-gap analysis; (3) assess action plan(s); (4) assess implementation of action plan(s); and (5) assess the effectiveness of monitoring, evaluation, and revision.

Inspection of Structured Observation Management (SOM), Report No. OIG 18-01, November 2017	0	3
---	----------	----------

Objective: To assess SOM implementation against oversight requirements, agency plans and goals, milestones, and customer requirements. Subobjectives of the inspection were: (1) determine the extent to which SOM has been implemented against the agency’s established plan; (b) determine if SOM is meeting customer needs; and (c) assess the implementation of the program with respect to established standards.

Inspection of NGA’s Office of Counterintelligence, Report No. OIG 18-02, November 2017	2	1
---	----------	----------

Objective: To determine whether NGA’s counterintelligence program complies with DoD and IC policies and standards. The inspection also assessed the effectiveness, efficiency, and execution of counterintelligence processes and activities. Subobjectives of the inspection were to: (1) determine whether the Office of Counterintelligence programs and activities comply with DoD and IC policies and standards; (b) assess the Office of Counterintelligence program and organizational structure; and (c) assess the Office of Counterintelligence for effectiveness and efficiency.

Inspection of NGA’s Medical Services, Report No. OIG 18-05, August 2018	1	10
--	----------	-----------

Objective: To assess the effectiveness, efficiency, and compliance with oversight requirements of NGA’s medical services, including the deployer program, during the period of 2014 to 2017.

Report Title, Number, Date	Recommendations	
	No. Closed	No. Open
Inspection of NGA’s Insider Threat Program Case Management, Report No. OIGE 19-01, February 2019	0	10
Objective: To assess the NGA Insider Threat Program's processes and procedures used for managing cases and complying with applicable laws, DoD, and IC policies.		
Inspection of NGA’s GEOINT Services Initiative, Report No. OIGE 19-02, February 2019	2	8
Objective: To assess the effectiveness and efficiency of the implementation of GEOINT Services against IC requirements; agency objectives, plans, and milestones; and assigned responsibilities. Specific subobjectives of the inspection were to determine the extent to which GEOINT Services has: (1) been effectively and efficiently implemented, and (2) effectively and efficiently fulfilled NGA's designated responsibilities of Geospatial Platform as a Service (GPaaS).		
Intelligence Oversight Inspection of the NGA Support Team to US Indo-Pacific Command, Report No. OIGE IO-19-02, March 2019	2	0
Objective: To determine whether the NGA organization is compliant with intelligence oversight (IO) policies and procedures and to assess the efficiency and effectiveness of NGA’s overall IO Program and the organization’s IO Program.		
Inspection of Aeronautical Safety of Navigation, Report No. OIGE-19-03, July 2019	0	1
Objectives: To assess the effectiveness and efficiency of the NGA Aeronautical Navigation Office and its safety of navigation mission. Specifically, we assessed the office’s manning, policies, products, and services for compliance, effectiveness, and efficiency.		
Quick Look Inspection Report of NGA Outposts Report No. OIGE-19-05, September 2019	0	6
Objectives: To evaluate the effectiveness of the NGA Outposts with respect to return on investment.		
TOTAL	16	88

A **recommendation for corrective action** is issued in response to a finding that a Federal standard is not being met; it is intended to bring the agency into compliance with the standard.

Table A-2. OIG Recommendations for Corrective Action, Current Reporting Period

Report Title, Number, Date	Rec. Number	Recommendation for Corrective Action
Audit of NGA’s Funds Reprogramming Activity, Report No. OIGA 19-07, issued September 2019	2	Implement additional GEOINT Financial system document types to record funding movements and restrict the use of the “RPB” document type to the recording of true Below Threshold Reprogramming transactions, as defined by congressional oversight and the Office of the Director of National Intelligence.

Table A-3. Recommendations for Corrective Action Not Yet Completed, Reporting Periods Before 1 April 2019.

Report Title, Number, Date	Rec. Number	Recommendation for Corrective Action
<p>Audit of NGA’s Information Assurance Certification Program, Report No. OIGA 17-09, June 2017</p>	<p>1</p>	<p>Comply with DoD 8570.01-M. If management chooses to accept the risk of not complying with DoD 8570.01-M, perform a comprehensive risk assessment, signed by the Chief Information Officer, that justifies not complying with DoD 8570.01-M requirements. The risk assessment should address the risks to the protection, detection, and reaction capabilities of NGA’s information systems and networks and any other information deemed necessary to support the assessment.</p>
<p>Audit of NGA’s Security Financial Disclosure Program, Report No. OIGA 18-06, issued July 2018</p>	<p>2</p>	<p>[REDACTED] In developing the Security Financial Disclosure Program [REDACTED] [REDACTED].</p>
<p>FY2018 Evaluation of the NGA Pursuant to the Federal Information Security Modernization Act Internal Report, Report No. OIGA 19-02, issued October 2018</p>	<p>01.01. 01.02. 01.03.</p>	<p>Document an entity level POA&M lien to identify and track the completion of the requirements from M-15-13 and M-17-06 to determine the agency allocates appropriate oversight for completion.</p> <p>Develop and approve a process for the enforcement of HTTPS and HSTS for all current and future public facing websites.</p> <p>Implement the enforcement of HTTPS and HSTS on all public facing websites as required by policy.</p>

Report Title, Number, Date	Rec. Number	Recommendation for Corrective Action
FY2018 Evaluation of the NGA Pursuant to the Federal Information Security Modernization Act Internal Report, Report No. OIGA 19-02, issued October 2018 (continued)	02.01.	<p>Consistently implement the IC Directive (ICD) 503 process for monitoring the internal control environment of external service providers, which may include:</p> <ul style="list-style-type: none"> • Obtaining and inspecting documentation that provides the BoE on the implementation and operating effectiveness of internal controls in place at external service providers; • Performing analysis over any identified control deficiencies to evaluate risks; and • Designing and implementing appropriate compensating controls to mitigate against identified risks.
	03.01.	<p>Finalize and approve the NGA Privacy Program Directive and related Instructions to define the monitoring and reporting of potential PII incidents and privacy role-based training requirements.</p>
	03.02.	<p>Enforce the Privacy Program Directive and related Instruction to ensure:</p> <ol style="list-style-type: none"> a. Individuals with privacy responsibilities take required role-based privacy training; b. PTAs and PIAs are completed and approved within the risk management information system's body of evidence for monitoring the risk to the environment. c. All potential privacy incidents are consistently monitored and reported to appropriate individuals and parties.
	04.01.	<p>Develop policies and procedures for security awareness and role-based training to identify the required trainings for persons with specialized responsibilities in accordance with ODNI, CNSS, and NIST guidance.</p>

Report Title, Number, Date	Rec. Number	Recommendation for Corrective Action
FY2018 Evaluation of the NGA Pursuant to the Federal Information Security Modernization Act Internal Report, Report No. OIGA 19-02, issued October 2018 (continued)	04.02.	Provide and track role-based training for information security personnel in accordance with ODNI, CNSS, and NIST guidance.
	05.01.	Develop and implement an organizational continuous monitoring strategy in accordance with ODNI, CNSS, and NIST guidance.
	05.02.	Develop and implement a continuous monitoring policy and procedures in accordance with ODNI, CNSS, and NIST guidance.
	05.03.	Develop and implement information system continuous monitoring plans in accordance with ODNI, CNSS, and NIST guidance
	05.04	Perform continuous monitoring over NGA IT security and performance metrics, and common and information system security controls in accordance with ODNI, CNSS, and NIST guidance.
	06.01.	Establish notification, investigation, and reporting timelines for all defined incident categories and analyst groups.
	06.02.	Establish a training program for incident handlers to be trained within 30 working days of assuming an incident response role, when required by system changes or responsibility and annually thereafter.
	07.01.	Finalize cloud incident response procedures.
	07.02.	Finalize the implementation of cyber tools for all traffic routed into the agency, to include the cloud.

Report Title, Number, Date	Rec. Number	Recommendation for Corrective Action
FY2018 Evaluation of the NGA Pursuant to the Federal Information Security Modernization Act Internal Report, Report No. OIGA 19-02, issued October 2018 (continued)	08.01	Establish SBUNet remote session timeout configuration settings in accordance with NIST guidance and NGA requirements.
	09.01	Ensure information systems develop and maintain configuration management procedures and plans in accordance with the ODNI, CNSS, and NIST guidance.
	09.02.	Ensure information system owners maintain accurate listings of their hardware and software inventories in order to maintain an accurate configuration baseline.
	09.03.	Develop and implement processes to consistently authorize changes to information systems in accordance with ODNI, CNSS, and NIST guidance.
	09.04.	Review the compliance baseline scans to ensure that the results incorporate all assets and are complete and accurate in accordance with ODNI, CNSS, and NIST guidance.
	09.05.	Remediate baseline deviations in accordance with ODNI, CNSS, and NIST guidance.
	10.01	Document program level POA&M(s) to address weaknesses identified at a program level in accordance with NGA policy.
	10.02.	Develop and implement a process to ensure that system POA&Ms address all requirements in accordance with policy and procedures.

Report Title, Number, Date	Rec. Number	Recommendation for Corrective Action
FY2018 Evaluation of the NGA Pursuant to the Federal Information Security Modernization Act Internal Report, Report No. OIGA 19-02, issued October 2018 (continued)	11.01.	Ensure all systems in production have Information System Contingency Plans (ISCPs) approved by all required parties.
	11.02.	Ensure information system personnel with contingency planning responsibilities participate in ISCP exercises and document After-Actions Reports and lessons learned per Security Plan Identification Number.
	11.03.	Ensure information system management establishes processes for all ISCP phases in accordance with NIST and FCD guidance, to include systems in the cloud. Additionally, establish processes for ensuring backups are performed in accordance with CNSS, NIST, NGA, and system guidance.
	11.04.	Identify, track, and oversee the implementation of system alternate processing sites in accordance with CNSS, NIST, and NGA guidance. Perform evaluations to determine whether management should implement alternate processes to enable the system to meet recovery objectives in the event of a disaster at the primary processing site, prior to the establishment of an alternate processing site.
	11.05.	Complete an agency-level BIA in accordance with FCD requirements.
	12.01.	Develop risk assessment policy and procedures over mission and business processes in accordance with ODNI, CNSS, and NIST guidance.

Report Title, Number, Date	Rec. Number	Recommendation for Corrective Action
FY2018 Evaluation of the NGA Pursuant to the Federal Information Security Modernization Act Internal Report, Report No. OIGA 19-02, issued October 2018 (continued)	12.02.	Ensure security control assessments are completed for information systems in accordance with NGA policy.
	12.03.	Perform risk assessments on NGA information systems in accordance with ODNI, CNSS, and NIST guidance.
	12.04.	Categorize and authorize all NGA information systems to operate in accordance with ODNI, CNSS, NIST, and NGA guidance.
	12.05.	Ensure its information systems' security plans are updated and maintained to reflect the current environment, in accordance with ODNI, CNSS, and NIST guidance.
	12.06.	Ensure systems define the responsible entity for all required security controls and enhancements within security documentation.
	13.1.	Ensure information systems implement and document the NIST Access Control family controls, such as account types, access authorization, audit logging, segregation of duties, session locks, and access recertification in security documentation in accordance with ODNI, CNSS, and NIST guidance.
	13.2	Establish and implement an ICAM strategy.
	POA&M 03.01.	Continue to implement milestones needed to remediate the weakness identified within the E-Waste Management and Disposal POA&M 2018-03.

Report Title, Number, Date	Rec. Number	Recommendation for Corrective Action
FY2018 Evaluation of the NGA Pursuant to the Federal Information Security Modernization Act Internal Report, Report No. OIGA 19-02, issued October 2018 (continued)	RTS-L POA&M CM-6.1.01	Continue to implement milestones needed to remediate the weakness identified to implement an automated change control solution. (Real-Time Transfer System-Low POA&M).
Independent Auditors' Report on the NGA Financial Statements for FYs 2018 and 2017, Report No. OIGA 19-03, issued November 2018	1A.	FM should enhance its standard operating procedures related to the dormant obligations review, and FM and OCS should continue to implement the dormant account review in accordance with NGA's policy and the DoD Financial Management Regulation.
	1B.	FM and OCS should prioritize and allocate sufficient resources to completely and timely perform the dormant obligation review control and deobligate invalid obligations.
	1C.	As part of its dormant obligation review activities, FM and OCS should develop and implement a methodology for adjusting the year-end financial statements for dormant obligations that have been identified as invalid but have not been deobligated.
	1D.	FM should work with OCS to complete an assessment to quantify the potential impact of expenditures on advance paid MIPRs incurred outside the period of performance. Considering the results of this assessment, FM should draft, finalize, and implement standard procedures for advance paid MIPRs, including consideration of the period of performance in its advance liquidation process.

Report Title, Number, Date	Rec. Number	Recommendation for Corrective Action
Independent Auditors' Report on the NGA Financial Statements for FYs 2018 and 2017, Report No. OIGA 19-03, issued November 2018 (continued)	1E.	FM should develop, document, and implement controls over the completeness of transactions by others reported to DFAS and determine if an additional undistributed adjustment accrual is necessary.
	1F.	FM and the Security and Installations component (SI) should continue to remediate capitalization issues identified in Material Weakness No. 2, while taking into consideration the effects on gross costs.
	1G.	FM and SI should enforce existing procedures in the Property, Plant and Equipment (PP&E) Work Activity General Ledger Account Code (WAG) Review User Guide and should complete their retrospective application of the Cost Capitalization Decision Matrix to pre-FY2015 contracts.
	1H.	FM, OCS, and the Component Acquisition Executive should clarify procedures related to contract creation and execution and invoice approval to address cost allocation between major programs and documentation of non-severability and to revisit NGA contract language requiring the use of the oldest funding first.

Report Title, Number, Date	Rec. Number	Recommendation for Corrective Action
Independent Auditors' Report on the NGA Financial Statements for FYs 2018 and 2017, Report No. OIGA 19-03, issued November 2018 (continued)	2A.	FM, SI, and NGA's Chief Information Officer and IT Services component (CIO-T) should continue their efforts to remediate personal property deficiencies, including a review of software-in-development and construction-in-progress (CIP). As part of the review, management should reclassify completed projects from the software-in-development account to software and from CIP to the relevant in-service personal property account. Going forward, FM, SI, and CIO-T should develop and implement a process that allows for completed assets to be placed in-service in the financial system in a timely manner.
	2B.	As part of the remediation efforts described in recommendation 2A., FM, SI, and CIO-T should develop and implement a process for summarizing software-in-development and personal property CIP by project to allow for better tracking and data analysis and more timely movement from in-development to in-service.
	2C.	SI should work with CIO-T and FM to assess the feasibility of implementing system configuration changes to capture personnel costs incurred for software-in-development. As an alternative, SI should work with CIO-T and FM to develop and implement a standard methodology to allocate capitalizable Government personnel costs incurred during system development to software-in-development at the asset level.

Report Title, Number, Date	Rec. Number	Recommendation for Corrective Action
Independent Auditors' Report on the NGA Financial Statements for FYs 2018 and 2017, Report No. OIGA 19-03, issued November 2018 (continued)	2D.	SI should continue to develop, document, and implement policies and procedures for accounting for personal property, including property held at off-site locations, as part of its corrective action plan. Such policies and procedures should include a floor-to-book inventory of capital assets, including personal property.
	2E.	SI, in coordination with FM, should develop, document, implement, and communicate a policy for identifying completed real property assets. The policy should include necessary approvals and requirements for completed assets to be placed in-service in the financial system in a timely manner.
	2F.	SI should enforce existing procedures in the Accountability Manual to timely review and dispose of assets that are no longer in-service.
	2G.	FM should enhance and implement its PP&E impairment monitoring policy to include all required components of Statement of Federal Financial Accounting Standards No. 10 and No. 44 and document the impairment analyses performed.
	2H.	FM and SI should develop and implement corrective actions related to the identification of leased equipment and enhance its lease classification determination procedures to address data availability issues, unique assumptions made related to certain leases, and compliance with budgetary funding requirements.

Report Title, Number, Date	Rec. Number	Recommendation for Corrective Action
Independent Auditors' Report on the NGA Financial Statements for FYs 2018 and 2017, Report No. OIGA 19-03, issued November 2018 (continued)	3A.	FM should perform an analysis of incorrectly prepared journal entries during FY2018 and identify the reasons for incorrect preparation and ineffective review. Using the results of this assessment, FM should develop and provide sufficient training to the preparers and reviewers of journal entries. Such training should be delivered periodically, including when new reviewers need to temporarily or permanently fill vacancies.
	3B.	FM should enhance FMD 014 to include clear definition of (1) approval documentation requirements, (2) segregation of duties requirements, and (3) the process to enter and approve entries in GEOINT-Financials (GEO-F).
	3C.	FM should consistently implement controls over the completeness and accuracy of information relied upon to record manual journal entries.
	3D.	FM should work with NRO to enable workflow configuration in GEO-F to enforce segregation of duties and maintain transaction histories, including preparer and reviewer history.
	3E.	FM should develop and implement posting logic in GEO-F to record transactions in accordance with the US Standard General Ledger at the transaction level.

Report Title, Number, Date	Rec. Number	Recommendation for Corrective Action
Independent Auditors' Report on the NGA Financial Statements for FYs 2018 and 2017, Report No. OIGA 19-03, issued November 2018 (continued)	4A.	FM should continue to work with DFAS to correct reconciling differences between the Cash Management Report (CMR) and the Department of the Treasury's Government-Wide Accounting system to allow NGA management to rely on the CMR for the completeness and accuracy of NGA's Fund Balance with Treasury (FBwT). As an alternative, FM should develop appropriate analyses and processes to support the completeness of NGA's FBwT balance without relying on the DFAS CMR.
	4B.	FM should develop, implement, and document procedures for reconciling payroll disbursements to DFAS's Cash Disbursement System or directly to Treasury each payroll cycle.
	5A.	FM should work with the necessary parties throughout the government to establish a no-year reimbursable fund such that the funding availability in NGA's execution fund matches the funding availability associated with customer orders.
	5B.	FM should continue to accrue unbilled revenue as of year-end.
	6A.	Use the Audit Committee as a tool for monitoring audit finding remediation with various stakeholders (i.e., leadership within FM and across other relevant components), enforcing accountability for corrective action plans and timelines, and periodically communicating audit progress and challenges to the Director or Deputy Director.
	6B.	Update contingency plans and succession plans for roles key to maintaining effective internal controls.

Report Title, Number, Date	Rec. Number	Recommendation for Corrective Action
Independent Auditors' Report on the NGA Financial Statements for FYs 2018 and 2017, Report No. OIGA 19-03, issued November 2018 (continued)	6C.	Complete, document, and implement an internal control framework to address the GAO's Standards for Internal Control in the Federal Government requirements, including the development of an internal risk assessment.
	6D.	Develop or update, document, approve, and disseminate remaining end-to-end business processes and related financial management policies and procedures.
	6E.	Enforce requirements in the DoD Instruction 1300.26 to complete DoD FM training requirements timely, and develop, document, and implement procedures for ensuring that compliance is monitored using complete and accurate reports.
	6F.	Update, approve, and disseminate formal security authorization documentation in compliance with NIST SP 800-53 guidance, as required by ICD 503.
	6G.	Perform and document annual reviews of security authorization documentation in compliance with NIST SP 800-53, as required by ICD 503.
	6H.	Update and disseminate formal POA&Ms in compliance with NGA policy.
	6I.	Update and implement policies and procedures for security awareness training in accordance with applicable guidance.
	6J.	Implement procedures to monitor and enforce the training compliance for system administrators.

Report Title, Number, Date	Rec. Number	Recommendation for Corrective Action
Independent Auditors' Report on the NGA Financial Statements for FYs 2018 and 2017, Report No. OIGA 19-03, issued November 2018 (continued)	7A.	Regarding access controls, develop, document, implement, and enforce consistent [REDACTED] policies and procedures, including those related to [REDACTED].
	7B.	Regarding segregation of duties controls: <ol style="list-style-type: none"> 1. Develop, approve, and implement procedures to [REDACTED], approved deviations from policy should be documented. 2. Enforce segregation of duties [REDACTED], including [REDACTED]. 3. Develop, approve, and implement procedures that address the [REDACTED] purpose, scope, responsibilities [REDACTED].
	7C.	Regarding configuration management controls, [REDACTED] policy, or document approved deviations from policy.
	8A.	To address the deficiencies noted above, we recommend that HD develops, documents, and implements procedures to maintain and make readily available supporting documentation for allowances and other pay types. The procedures should be available for new personnel with responsibility for maintaining and accessing such documentation.

Report Title, Number, Date	Rec. Number	Recommendation for Corrective Action
<p>Independent Auditors' Report on the NGA Financial Statements for FYs 2018 and 2017, Report No. OIGA 19-03, issued November 2018 (continued)</p>		<p>Recommendations to address instances of noncompliance:</p> <ol style="list-style-type: none"> <li data-bbox="873 422 1386 905">1. We recommend that Financial Management (FM) and the Office of Strategic Operations, and Chief Information Officer – Information Technology Services Directorate revise NGA's Federal Managers' Financial Integrity Act of 1982 process to fully incorporate the Enterprise Risk Management requirements of OMB Circular No. A-123. FM should also perform additional procedures to identify material weaknesses in NGA's internal control over financial reporting environment. <li data-bbox="873 947 1386 1150">2. We recommend that NGA implement the recommendations provided in Exhibit I and improve its processes to achieve compliance with the requirements of Federal Financial Management Improvement Act of 1996 section 803(a)

Report Title, Number, Date	Rec. Number	Recommendation for Corrective Action
Audit of NGA’s Management of the Defense Acquisition Workforce Improvement Act Program, Report No. OIGA 19-05, issued March 2019	1	<p>The NGA Component Acquisition Executive, in coordination with the Director of Human Development, and the component organizations with acquisition positions, develop additional procedures to monitor and enforce compliance with DAWIA requirements to ensure only qualified and credentialed personnel occupy acquisition workforce (AWF) positions. The additional procedures should address, but not be limited to, the enforcement of:</p> <ul style="list-style-type: none"> • Inclusion of DAWIA requirements in AWF vacancy announcements. • Inclusion of the DAWIA requirements in AWF annual performance plans. • Coordination between the DAWIA Program Management Office and Career Services Heads to ensure that when updates or changes are made to Career Services standard operating procedures, the procedures align with the established DAWIA procedures. • Accountability for not complying with the requirements of the DAWIA.
Inspection of NGA’s Insider Threat Case Management, Report No. OIGE-19-01, February 2019	1	Update and publish NGAI 5200.1 and NGAI 5240.2 to ensure an authoritative basis for all SII activities.
	4	Clarify and prominently post reporting requirements for personnel with access to classified information in accordance with Security Executive Agent Directive 3 and NGAM 5200.2.
	9	In accordance with NIST 800.53A, establish and enforce procedures to review audit logs and report the disposition of those results to SII leadership.

Report Title, Number, Date	Rec. Number	Recommendation for Corrective Action
Inspection of NGA's GEOINT Services, Report No. OIGE-19-02, February 2019	2	Comply with DoDI 8410.01 by transitioning GEOINT Services' unclassified environment to the .mil environment or by obtaining authorization/waiver from the NGA CIO.
	3	For the geo-capability mission tools identified as wasteful or questioned costs (finding 2), determine whether NGA should continue investing in or cease these programs.
	5	Comply with the NGA Records Management program for the GEOINT Services Office (TD).
	8	For the geo-capability mission tools identified as wasteful (finding 3), determine whether NGA should continue investing in or cease these programs.
Inspection of NGA's Medical Services, Report No. OIGE 18-05, August 2018	3	Consistent with the Economy Act, reassess whether inter-agency support is available for medical services that would be advantageous to the government. For all such support, (1) ensure documentation in an ISSA (DD Form 1144) and (2) ensure the support is explained in relevant internal SOPs.
	5	Implement a secure electronic transfer of NGA pre- and post-deployment health activity requirements to Defense Medical Surveillance System.
	6	Ensure Human Development Component's respective Primary Information Officer (PIO) and Information Officer (IO) responsible for all medical program records perform Records and Information Lifecycle Management requirements including updating the office file plan with the proper file series.

Report Title, Number, Date	Rec. Number	Recommendation for Corrective Action
Inspection of Structured Observation Management, Report No. OIG 18-01, November 2017	5	Develop and issue, across the NSG, SOM tradecraft standards that address: accuracy requirements with rules for capturing objects, observations, and judgements; a quality control process; and sourcing and data disclaimers consistent with ICDs 203 & 206.
Inspection of NGA's Strategic Workforce Planning Function, Report No. OIG 17-04, June 2017	1	In accordance with statute and policies, develop and issue a strategic workforce plan that looks at a total workforce mix with an emphasis on critical skills and competencies needed to perform the agency's evolving mission.
Inspection of the CURATOR Program, Report No. OIG 16-04, February 2016	3	Identify and review data.
Inspection of the NGA Privacy Program and Privacy Protection Management, Report No. OIG 15-01, November 2014	19	Establish a systematic process to ensure that all forms and other PII collection methods have accurate Privacy Act statements associated with them. Update and publish agency-level privacy policy with the statement procedures. Conduct periodic checks of the agency's forms and e-mails to evaluate the use of Privacy Act statements.
	21	In accordance with previous recommendations, after establishing a method to identify IT systems that contain PII, ensure that IT system owners (program managers) complete Privacy Impact Assessments and submit them to the Senior Component Official for Privacy. Publish completed Privacy Impact Assessments on NGA's webpages.

Table A-4. Financial Results from Reports Issued During Reporting Period

Report Title, Number, Date Issued	Questioned Costs	Unsupported Costs	Funds To Be Put to Better Use
Assessment of NGA's Compliance with the Improper Payments Elimination and Recovery Act of 2010 (IPERA) for Fiscal Year 2018, Memorandum U-106-19/OIG, issued April 2019	\$0	0	\$0
Audit of NGA's Corrective Action Implementation, Memorandum U-148-19/OIG, issued May 2019	\$0	\$0	\$0
Audit of NGA's Support of US Strategic Command Mission Requirements, Report No. OIGA 19-06, issued June 2019	\$25,200,000	\$0	\$0
Audit of NGA's Funds Reprogramming Activity, Report No. OIGA 19-07, issued September 2019	\$0	\$0	\$0
Total	\$25,200,000	\$0	\$0

Table A-5. Status of Recommendations That Questioned Costs

Recommendation Status	Number of Reports	Number of Recommendations	Questioned Costs
A. No management decision made by start of the reporting period	1	1	\$8,500,000
B. Issued during reporting period	1	2	\$25,200,000
Total A + B	2	3	\$33,700,000
C. Management decision made during reporting period	1	2	\$33,700,000
(i) Dollar value of recommendations that were agreed to (disallowed costs)	2	3	\$33,700,000
(ii) Dollar value of recommendations that were not agreed to (allowed costs)	0	0	0
D. Total remaining for management decision at end of reporting period [(A + B) – C]	0	0	0

Table A-6. Status of Recommendations That Funds Be Put to Better Use

Recommendation Status	Number of Reports	Number of Recommendations	Funds To Be Put to Better Use
A. No management decision made by start of the reporting period	0	0	\$0
B. Issued during reporting period	1	5	\$72,700,000
Total A + B	1	5	\$72,700,000
C. Management decision made during reporting period			
(i) Dollar value of recommendations that were agreed to (disallowed costs)	1	5	\$72,700,000
(ii) Dollar value of recommendations that were not agreed to (allowed costs)	0	0	\$0
D. Total remaining for management decision at end of reporting period [(A + B) – C]	0	0	\$0

Table A-7. Management Decisions Regarding OIG Recommendations in Reports Issued Before 1 April 2019

Unresolved as of 31 March 2019	Reports with Unimplemented Recommendations	Number of Unimplemented Recommendations	Questioned Costs	Funds to Be Put to Better Use
Audits	10	118	\$0	\$0
Inspections	11	32	\$0	\$0
Total	21	150	\$0	\$0

STATUTORY REPORTING

Information or Assistance Refused by NGA

Section 5(a)(5) of the Inspector General (IG) Act of 1978 requires IGs to promptly report to the head of the establishment if information requested is unreasonably refused or not provided. No such reports were needed or made during this reporting period.

Significant Revised Management Decisions

Section 5(a)(11) of the IG Act of 1978 requires IGs to describe and explain the reasons for any significant revised management decisions made during the reporting period. We are not aware of revisions to any significant management decisions during this reporting period.

OIG Disagreement with Significant Management Decisions

Section 5(a)(12) of the IG Act of 1978 requires IGs to provide information concerning any significant management decisions with which they disagree. During this reporting period, the IG had no instances of disagreement with significant management decisions.

Compliance with Federal Financial Management Improvement Act of 1996

Section 5(a)(13) of the IG Act of 1978 requires IGs to provide information described under section 804(b) of the Federal Financial Management Improvement Act of 1996. This information involves the instances and reasons when an agency has not met target dates within its remediation plan to bring financial management systems into compliance with the law. NGA has developed and implemented remediation plans to address areas causing noncompliance for financial management systems. NGA has met the intermediated target dates in the plans.

Attempts to Interfere with the IG's Independence

Section 5(a)(21) of the IG Act of 1978, as amended by the IG Empowerment Act, requires IGs to provide detailed descriptions of any attempts by their establishments to interfere with their independence. We did not experience any attempts to interfere with our office's independence during this reporting period.

Public Disclosure (Closed But Undisclosed Audits, Inspections, Investigations)

Section 5(a)(22) of the IG Act of 1978, as amended by the IG Empowerment Act, requires IGs to provide detailed descriptions of inspections, evaluations, audits, and investigations involving senior government employees that were closed during the reporting period without being publicly disclosed. Summaries of all such work are included in the appropriate sections of this report.

- Audits closed during this reporting period are described beginning on page 5.
- Inspections closed during this reporting period are described beginning on page 9.
- Investigations closed during this reporting period are described beginning on page 12.

Peer Reviews

Section 5(a)(14-16) of the IG Act requires IGs to report information about peer reviews that their offices have conducted or been subject to. No peer review of NGA OIG was conducted by another OIG during this reporting period.

- The most recent external peer review of the NGA OIG Audit Division was performed by the National Security Agency's OIG. In its report of 23 February 2018, we received a rating of "pass" for our system of quality control in effect for the three-year period ending 30 September 2017. NGA OIG has no outstanding recommendations from any peer reviews of the Audit Division.
- The most recent peer review of the NGA OIG Inspections Division was completed by Central Intelligence Agency's OIG on 19 September 2017. There were no findings or recommendations identified in the 2017 peer review.
- NGA OIG Inspections Division completed the peer review of National Security Agency/Central Security Service's OIG Inspections Division on 23 July 2019. There were no findings or recommendation identified in the review and no outstanding recommendations as this was the Inspections Division's first peer review. The report identified best practices and provided suggestions for consideration to enhance inspection execution and documentation.

APPENDIX B. INVESTIGATIVE METRICS

Table B-1. Number of Cases Referred for Criminal or Civil Prosecution, During Reporting Period

Type of Case	Number of Cases		
	Referred	Accepted	Declined
Criminal	0	0	0
Civil	0	0	0

Table B-2. Judicial Actions, During Reporting Period

Action	Number
Indictments	0
Convictions	1
Years of incarceration	1 year plus 1 Day
Years of supervised release	3
Years of probation	0

Table B-3. Criminal Prosecutions and Referrals, During Reporting Period

No. investigative reports issued	0
No. individuals referred to Department of Justice for criminal prosecution	0
No. individuals referred to state and local prosecuting authorities for criminal prosecution	0
No. indictments and criminal informations resulting from any prior referral to prosecuting authorities	0

APPENDIX C. INDEX OF REPORTING REQUIREMENTS

Semiannual Reporting Requirement		Page
§5(a)(1)	Significant problems, abuses, and deficiencies	5–22
§5(a)(2)	Recommendations for corrective action	30–48
§5(a)(3)	Significant outstanding recommendations	24–29
§5(a)(4)	Matters referred to prosecutorial authorities	17
§5(a)(5)	Information or assistance refused	52
§5(a)(6)	List of completed audit, inspection, and evaluation reports	5–11
§5(a)(7)	Summaries of significant reports	5–11
§5(a)(8)	Statistical table showing questioned costs	50
§5(a)(9)	Statistical table showing recommendations that funds be put to better use	51
§5(a)(10)	Summary of reports for which no management decision was made	51
§5(a)(11)	Significant revised management decisions	52
§5(a)(12)	Management decision disagreements	52
§5(a)(13)	Federal Financial Management Improvement Act of 1996	52
§5(a)(14-16)	Peer reviews	53
§5(a)(17-18)	Investigations statistics and metrics	54
§5(a)(19)	Investigations involving substantiated allegations against senior officials	12
§5(a)(20)	Descriptions of whistleblower retaliation	13-14
§5(a)(21)	Attempts to interfere with IG independence	52
§5(a)(22)	Public disclosure	53

APPENDIX D. ABBREVIATIONS

ADA	Antideficiency Act
AWF	Acquisition Workforce
CIO-T	Chief Information Officer and IT Services component
CIP	Construction-in-Progress
CNSS	Committee on National Security Systems
DAWIA	Defense Acquisition Workforce Improvement Act
DFAS	Defense Finance and Accounting Service
FAST	Fraud Analytics Support Team
FISMA	Federal Information Security Modernization Act of 2014
FM	Financial Management component
GEO-F	GEOINT-Financials
GEOINT	geospatial intelligence
GFM	GEOINT Functional Manager
GPC	Government Purchase Card
GTCC	Government Travel Charge Card
HD	Human Development component
IC	Intelligence Community
ICD	Intelligence Community Directive
IO	intelligence oversight
IPERA	Improper Payments Elimination and Recovery Act
IT	information technology
NIST	National Institute of Standards and Technology
NRO	National Reconnaissance Office
NSG	National System for Geospatial Intelligence
OCS	Office of Contract Services
OGC	Office of General Counsel
ODNI	Office of the Director of National Intelligence
OIG	Office of Inspector General
OMB	Office of Management and Budget
PII	Personally Identifiable Information
POA&M	plan of action and milestones
QIAs	questionable intelligence activities
SI	Security and Installations component
SOM	Structured Observation Management
STRATCOM	US Strategic Command

This page intentionally left blank.

NGA.mil

