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Semiannual Report to Congress

Office of Inspector General
1 October 2021 – 31 March 2022

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MESSAGE FROM THE INSPECTOR GENERAL

It is with great satisfaction that I provide this report from the National Geospatial-Intelligence Agency (NGA) Office of Inspector General (OIG) for the period of 1 October 2021 through 31 March 2022. During these six months, the OIG continued to discover and eliminate fraud, waste, and abuse and to evaluate and offer recommendations for improving agency programs and processes.

The OIG worked closely with NGA elements to close 14 recommendations. There are now 63 open recommendations, including five issued this period. Under the Inspector General (IG) Empowerment Act of 2016, OIG continues to expand our use of metrics resulting from recommendations to the agency.

The Audit Division (OIGA) examined NGA's Purchase Card Program and provided oversight of the contracted independent auditors' work on NGA's financial statement audit and evaluation of adherence to the Federal Information Security Modernization Act (FISMA) of 2014. Recommendations from these projects focused on improving policies, procedures, and requirements compliance; internal controls; and process efficiency and effectiveness. OIGA closed 10 recommendations and continues to oversee the work of the contracted independent auditing firm. Ongoing projects include examining NGA's Assignments Program, GEOINT Search and Retrieval Program, software license management, procurement of products and services in response to the COVID-19 pandemic, and assessing Payment Integrity Information Act (PIIA) of 2019 compliance.

The Inspections Division (OIGE) assessed application of pay limits in deployment cases and found the agency is using a documented, audited, and enforced process to apply pay caps. The division also evaluated the agency's program, processes, and activities for IC contractor badge issuance and turn-in and made one recommendation regarding Intelligence Community standards. OIGE closed four recommendations and announced two inspections: one assessing compliance of the agency's Polygraph Program and one congressionally directed action evaluating the agency's Personnel Security Program. The division is also completing an inspection on the agency's use of security cameras and an assessment on the impact of the COVID-19 pandemic on the agency's essential functions.

The Investigations Division (OIGI) closed 31 cases this period and substantiated 13 cases involving false claims, employee misconduct, and reprisal. The division continues to work on several investigations of senior officials.

The OIG established the Data Analytics Division (OIGD) in January 2022 to leverage data analytics across OIG. The OIG has positioned the team to address three OIG mission-support focus areas: fraud analytics, business analytics, and metrics. For this period, the team identified government purchase card fraud, time and attendance fraud, contractor labor mischarging, and potential violations of the Coronavirus Aid, Relief, and Economic Security (CARES) Act by NGA employees. Overall, the team will identify key metrics to improve OIG corporate processes and procedures.

I am currently engaged in ongoing discussions with NGA leadership regarding the need for OIG budget independence. More specifically, I have requested that N GA not reduce the OIG budget once allocated to eliminate any impediment to OIG's independent oversight responsibilities. As always, I remain grateful for the support of the NGA Director, senior leaders, and the agency's exceptional workforce.

Cardell K. Richardson, Sr.
Inspector General

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OVERVIEW

The National Geospatial-Intelligence Agency (NGA), as a Department of Defense (DoD) combat-support agency and member of the Intelligence Community (IC), receives guidance and oversight from the DoD, Office of the Director of National Intelligence (ODNI), and Congress. NGA provides cutting-edge geospatial intelligence (GEOINT) to support U.S. national security and defense; offer humanitarian assistance and disaster relief; and inform national policy decisions.

The NGA Office of the Inspector General (OIG) fulfills its mission by performing independent, objective audits, inspections, and investigations assiduously to strengthen effectiveness, efficiency, and integrity and to detect and prevent fraud, waste, and abuse in the agency's programs and operations.

The OIG conducts its assessments of NGA's worldwide programs and operations in accordance with the Inspector General (IG) Act of 1978 (IG Act), 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 (CIGIE).

The OIG also serves as the principal NGA agent responsible for investigating potential violations of law, rule, or regulation; incidents of gross mismanagement or misconduct; abuse of authority; and denial of due process. Additionally, the OIG functions as NGA's external liaison with federal, state, and local Inspectors General; for congressional oversight of IG related matters; and with external law enforcement agencies, such as the FBI.

RESOURCES AND ORGANIZATION

The OIG is authorized 61 billets with staff allocated among three core divisions, Audit, Inspections, and Investigations; and a support function, the Plans and Programs Division; with a newly established Data Analytics Division, which will focus on fraud and business analytics and metrics. The OIG also has a dedicated legal counsel who reports directly to the IG.

The Deputy IG is the head of the IG Career Service (IGCS). OIG established the IGCS to protect IG personnel from undue outside influence in recruiting, hiring, development, and promotion. The IGCS provides career development, training, and assignments management for IG professionals. The IGCS has a dedicated career service manager (a human resource professional) who reports directly to the Deputy IG.

As of 31 March 2022, OIG has filled 48 of the 61 billets. The OIG experienced a high employee attrition of 16% (10/61) during this reporting period. Financial auditors and information technology (IT) auditors continue to rank as the most critical work roles to fill. The hiring pipeline attrition rate (new hires who accepted a position and then later declined) decreased from 40% to 20% this period, in part due to the IGCS aggressively tracking the hiring requirements and consistently engaging with NGA's Human Development (HD) Directorate and NGA's Office of Security to efficiently process new hires. The IGCS employed a multi-sector workforce hiring approach by using joint duty rotations and Pay Band 3 term-hires to slow attrition and provide potential candidates for permanent positions. Although in its infancy, this strategy has already proven successful as OIG has employed its first term-hire, who has since been promoted

into a Pay Band 4 position. With permanent and additional term-hire candidates in the hiring pipeline and an upcoming joint duty rotation offering, the fill rate is expected to increase in the next reporting period.

The IGCS continued to focus on refining customized development plans for each OIG employee. The ICGS briefed and shared this effort across NGA and with other agencies through the IC OIG. The IGCS also developed a training and education plan for all new Pay Band 5 employees in the career service. This plan combines NGA mandatory requirements with leadership electives, mentoring, and coaching from across the IC.

Figure 1. OIG Organization Chart
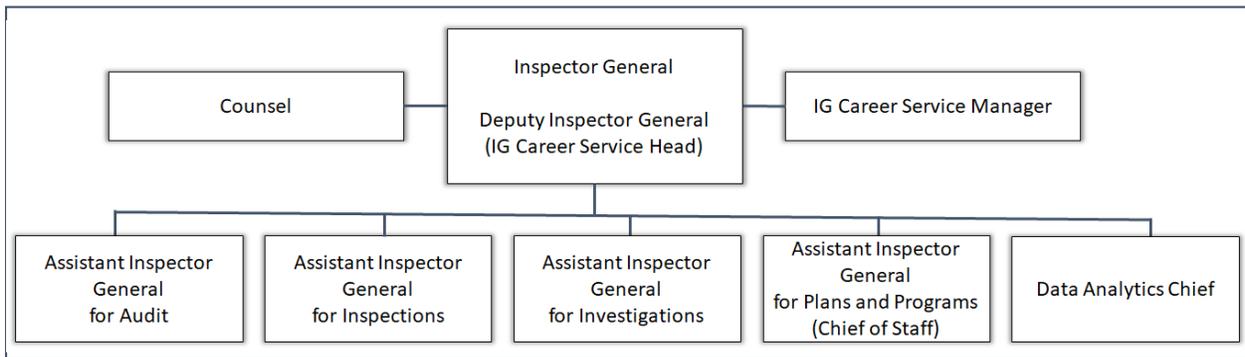
COUNSEL TO THE INSPECTOR GENERAL

The Counsel to the Inspector General is an in-house legal asset. Counsel provides legal advice directly to the IG and provides legal assistance to all OIG elements. Counsel also represents the OIG in litigation arising out of or affecting OIG operations; manages the OIG legislative and regulatory reviews; and reviews all plans, audits, inspections, investigations, and final reports for legal sufficiency. On behalf of the IG and OIG, the Counsel liaises with, among others, DoD and IC IG counsels, other federal IG counsels, federal and state prosecutors, NGA's Office of General Counsel (OGC), and other NGA components.

AUDIT

The Audit Division (OIGA) provides independent and objective audits and promotes the effectiveness, efficiency, and accountability of NGA programs and operations. Audits are conducted in accordance with generally accepted government auditing standards and the IG Act, as amended. Audit findings and recommendations seek to reduce costs; improve overall performance; and eliminate fraud, waste, and abuse. The recommendations resulting from the projects offer insight for management, help improve internal controls, and ensure compliance with laws, regulation, and policy.

INSPECTIONS

The Inspections Division (OIGE) is responsible for evaluating, reviewing, and analyzing NGA's programs and activities, including authorities, policies, procedures, and controls. The division independently assesses the reliability of information, compliance with regulations and policies, management of resources, and achievement of program results. The division conducts inspections in accordance with CIGIE *Quality Standards for Inspection and Evaluation* and the IG Act, as amended, and provides information that is timely, credible, and useful for agency managers, policymakers, and others. The recommendations resulting from the projects offer insight for management and help improve effectiveness and efficiency of agency operations and programs.

INVESTIGATIONS

The Investigations Division (OIGI) conducts independent administrative investigations of complaints and other information of possible violations of civil law. OIGI liaises with the Defense Criminal Investigative Service (DCIS) on criminal investigations. The division is the principal NGA agent for investigating potential violations of rule or regulation, incidents of gross mismanagement or misconduct, abuse of authority, and denial of due process. The Investigations Division closed 31 cases this period, substantiating 13 cases involving false claims, employee misconduct, conflicts of interest, and reprisal.

The Counsel to the IG completed an internal review of OIG investigative processes and procedures, with an emphasis on whistleblower reprisal cases. The review resulted in process and resource recommendations to improve efficiency and effectiveness. The OIGI is currently working to implement the approved recommendations, which will include revisions to the *Investigative Handbook*.

SUMMARIES OF AUDITS

As of 31 March, the Audit Division (OIGA) completed three audits and has seven ongoing audits.

COMPLETED

Fiscal Year (FY) 2021 Evaluation of NGA Pursuant to the Federal Information Security Modernization Act (FISMA), Report No. OIGA 22-01 (External Report), issued 28 October 2021, and Report No. OIGA 22-02 (Internal Report), issued 16 November 2021

Overview. OIG contracted KPMG LLP, an independent public accounting firm, to perform the FY 2021 evaluation required by FISMA. The objectives of the evaluation were to assess NGA's information security program in accordance with IG FISMA reporting metrics issued by the Department of Homeland Security and determine whether NGA implemented recommendations from the FY 2020 evaluation. The evaluation included a sample of six systems for testing to support the IG metrics. Two reports were issued in relation to the evaluation: the external report to the IC IG, for transmission to Office of Management and Budget (OMB), that provided the results of the reporting metrics; and the internal report to NGA management that included the detailed findings and recommendations.

Findings. KPMG issued 12 findings. The auditors found that NGA made some progress in strengthening its information security program, including the remediation of 12 prior-year recommendations; however; the FISMA evaluation identified continued deficiencies in all five cybersecurity framework function areas: (1) Identify, (2) Protect, (3) Detect, (4) Respond, and (5) Recover. Each function was rated as ineffective. Deficiencies were related to the metric domains of risk management, supply chain risk management (SCRM), configuration management, identity and access management, data protection and privacy, security training, information security continuous monitoring, incident response, and contingency planning. KPMG concluded that these deficiencies exist because NGA did not consistently implement and enforce information security policies and procedures in accordance with requirements.

Results. KPMG issued 12 findings and 33 accompanying recommendations. KPMG will follow up on the findings and evaluate the adequacy of corrective actions taken when it performs the FY 2022 evaluation.

Independent Auditors' Report on the NGA Financial Statements for Fiscal Years 2021 and 2020, Report No. OIGA 22-03, issued 9 November 2021

Overview. OIG contracted KPMG LLP, an independent public accounting firm, to audit NGA's FY 2021 financial statements. The objective was to provide an opinion on whether NGA's financial statements were presented fairly, in all material respects, in accordance with U.S. generally accepted accounting principles. KPMG also considered NGA's internal control over financial reporting and performed tests to determine whether NGA complied with applicable provisions of laws, regulations, contracts, and grant agreements.

Findings. For certain material account balances and disclosures, NGA was unable to provide sufficient appropriate audit evidence for, or make representations to, the facts and circumstances that support them. In addition, KPMG reported four material weaknesses in internal control related to: the procurement process; property, plant, and equipment; the fund balance with Treasury; entity-level controls; and a significant deficiency related to key financial systems. KPMG also reported that NGA did not fully comply with the *Federal Managers' Financial Integrity Act of 1982;* and that NGA's financial management systems did not substantially comply with federal financial management systems requirements, applicable federal accounting standards, and the U.S. Government Standard General Ledger at the transaction level as required under Section 803(a) of the *Federal Financial Management Improvement Act (FFMIA) of 1996*.

During the audit engagement, KPMG also identified three internal control deficiencies that were not considered significant deficiencies or material weaknesses but were important enough to merit management's attention. These deficiencies were communicated to management in the Independent Auditors' Management Letter for the FY 2021 Financial Statement Audit Engagement (Report No. OIGA 22-04, issued 16 December 2021).

Results. The audit engagement resulted in a disclaimer of opinion on NGA's FY 2021 and FY 2020 financial statements because KPMG was unable to obtain sufficient, appropriate audit evidence on which to base an opinion. KPMG issued 32 accompanying recommendations (28 with the auditors' report and four with the management letter). KPMG will follow up on the findings and evaluate the adequacy of corrective actions taken when it performs the FY 2022 financial statement audit.

Audit of NGA's Purchase Card Program, Report No. OIGA 22-05, issued 10 March 2022

Overview. The objectives of this audit were to determine whether (1) NGA's internal controls over the Purchase Card Program were properly designed, implemented, and operating effectively to prevent abuse or misuse; and whether (2) NGA government purchase card (GPC) transactions were valid, properly authorized, and supported.

Findings. NGA needs to strengthen its key controls over the Purchase Card Program to prevent possible abuse or misuse of purchase cards and to ensure transactions are consistently and properly authorized and supported. Four of the five key controls OIG tested were either not properly implemented or not operating effectively. Additionally, more than half of the GPC transactions OIG tested were not properly authorized or supported. The issues noted increase the risk that approving officials and cardholders may not understand or properly execute their GPC responsibilities, which could lead to noncompliance with laws and regulations and increased susceptibility to fraud, waste, and abuse in the program.

Results. The report contains four recommendations to improve NGA's management of the Purchase Card Program and strengthen internal controls. These recommendations include updating policies and procedures related to documentation retention requirements, implementing oversight of non-appropriated fund GPC accounts, establishing succession and contingency planning for the program management office, and monitoring and enforcing internal controls throughout the program.

Audit of NGA's Assignments Program, Project No. 21-A01

Overview. The objective of this audit is to determine whether the development and implementation of NGA's Assignments Program achieves program goals effectively and efficiently and supports related NGA plans for the workforce.

Status. The project, announced in October 2020, is 95% complete. OIGA plans to issue a report in April 2022.

Audit of NGA's GEOINT Search and Retrieval Program, Project No. 22-A01

Overview. The objective of this audit is to determine whether NGA effectively and efficiently managed the GEOINT Search and Retrieval Program

Status. The project, announced in October 2021, is 40% complete. OIGA plans to issue a report in September 2022.

Audit of NGA's Software License Management, Project No. 22-A02

Overview. The objective of this audit is to determine whether NGA has implemented a software license management program to ensure government resources are used efficiently.

Status. The project, announced in November 2021, is 25% complete. OIGA plans to issue a report in October 2022.

Audit of NGA's Procurement of Products and Services in Response to the COVID-19 Pandemic, Project No. 22-A03

Overview. The objective of this audit is to evaluate NGA's procurement of products and services in response to the COVID-19 pandemic for compliance with the Federal Acquisition Regulation (FAR), Defense Federal Acquisition Regulation Supplement, and applicable NGA acquisition requirements.

Status. The project, announced in November 2021, is 15% complete. OIGA plans to issue a report in July 2022.

Assessment of NGA's Compliance with the Payment Integrity Information Act (PIIA) of 2019, for Fiscal Year 2021, Project No. 22-A04

Overview. The objective of this assessment is to determine whether NGA complied with requirements of the PIIA of 2019 for fiscal year 2021.

Status. The project, announced in December 2021, is 30% complete. OIGA plans to issue a report in April 2022.

FY 2022 Evaluation of NGA Pursuant to FISMA, Project No. 22-A05

Overview. OIG contracted KPMG LLP, an independent public accounting firm, to perform the FY 2022 evaluation required by FISMA. The 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 prior year's evaluation. The evaluation will include testing a sample of information systems to support the IG metrics.

Status. The project, announced in February 2022, is 10% complete. In accordance with OMB Memorandum M-22-05, OIGA will issue a report covering core metrics in July 2022. Per OMB M-22-05, OMB will select the group of core metrics to be reported on.

Audit of the NGA Financial Statements for FY 2022, Project No. 22-A06

Overview. OIG contracted KPMG LLP, an independent public accounting firm, to audit NGA's FY 2022 financial statements. The audit objective is to determine whether NGA's financial statements are presented fairly, in all material respects, in accordance with U.S. 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 law, regulations, contracts, and grant agreements.

Status. The project, announced in January 2022, is 5% complete. KPMG's report will be issued no later than 15 November 2022. If necessary, KPMG will issue a management letter by 31 December 2022.

SUMMARIES OF INSPECTIONS

As of 31 March, the Inspections Division (OIGE) has completed two inspections and has three ongoing inspections and one congressionally directed action in progress.

COMPLETED

Inspection of NGA's Security and Installations (SI) Contractor Badging Process, Report No. OIGE-22-02, issued on 21 December 2021

Overview. The objective of this inspection was to determine SI's program, processes, and activities controlling contractor badge issuance and turn-in.

Findings. OIG found issues with SI's processes not aligning with requirements from IC Standard (ICS) 704-01, IC Badge System. The ICS outlines specific requirements for security programs and badging processes.

Results. The report contains one recommendation designed to bring the agency into compliance with ICS 704-01.

Inspection of NGA's Application of Pay Caps for Deployment and Overtime Pay, Report No. OIGE-22-01, issued on 5 November 2021

Overview. The objective of the inspection was to determine whether pay caps are accurately applied in the cases of deployment and overtime pay.

Findings. OIG found NGA is using a documented, audited, and enforced process to apply pay caps in deployment cases. OIG also found that NGA employs deliberate oversight mechanisms to ensure consistent application of pay caps.

Results. OIG made no recommendations.
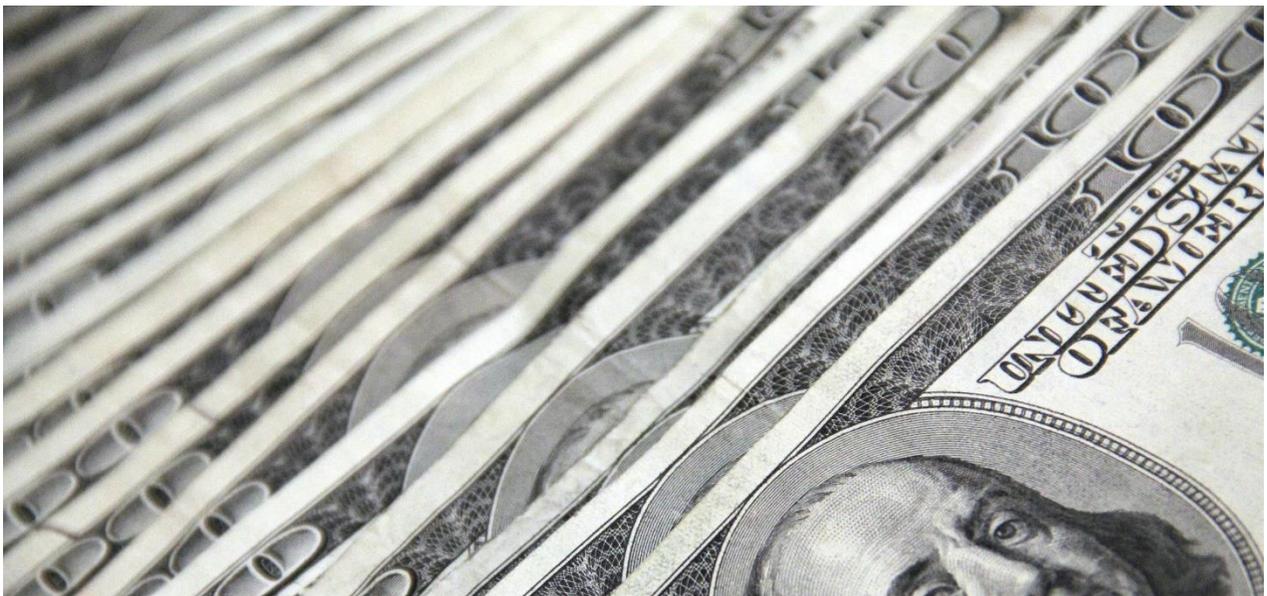
Inspection of NGA's Enhanced Personnel Security Program, Project No. II-22-01

Overview. The objective of this inspection is to assess whether NGA implemented the enhanced Personnel Security Program effectively and fairly, in accordance with performance measures and standards established by the Director of National Intelligence (DNI). This inspection is a congressionally directed action announced in the Intelligence Authorization Act for FY 2016 (Public Law 114-113) as codified in 5 U.S.C. § 11001.

Status. OIGE announced the inspection in February 2022 and plans to issue a report in September 2022.

Inspection of NGA's Polygraph Program, Project No. QL-22-03

Overview. The objective of this inspection is to determine whether NGA's Polygraph Program is compliant with IC, DoD, and other U.S. government policies and procedures.

Status. OIGE announced the inspection in January 2022 and OIGE plans to issue a report in April 2022.

Inspection of NGA's Security Cameras, Project No. QL-22-02

Overview. The objective of this inspection is to evaluate the policies and procedures regarding use of security cameras and retention of security camera data.

Status. OIGE announced the inspection in November 2021and plans to issue a report in April 2022.

Inspection of NGA's COVID-19 Response: GEOINT Continuity, Recovery, Reconstitution, and Impact, Project No. QL-22-01

Overview. The objective of this inspection is to evaluate policies and processes in place that support the continuity, recovery, and reconstitution of NGA's GEOINT essential functions and determine the impact of the COVID-19 pandemic.

Status. OIGE announced the inspection in October 2021 and plans to issue a report in April 2022.

SUMMARIES OF INVESTIGATIONS

As of 31 March, the Investigations Division (OIGI) closed 31 cases (of which it substantiated 13 cases), opened 26 new cases, and has 47 ongoing.

JUDICIAL ACTIONS AND PROSECUTIONS

OIGI has nothing to report during this period.

CASES INVOLVING SENIOR GOVERNMENT OFFICIALS (SUBSTANTIATED)

OIGI has six pending investigations on senior officials. During this period, OIGI completed four investigations that substantiated allegations against senior government officials. OIGI provided the DoD OIG the required notification of these allegations and cases.

OIG Case No. 20-077, closed February 2022

OIGI investigated an allegation that a senior government official did not properly follow NGA hiring processes and procedures. The investigation disclosed evidence of this activity and the official received an oral admonishment.

OIG Case No. 21-001, closed November 2021

OIGI opened a case to investigate allegations that a senior government official created a hostile work environment toward a subordinate employee and misused NGA government computer systems. An inquiry revealed evidence of these activities and the official received a five-day suspension without pay.

OIG Case No. 21-021, closed November 2021

OIGI opened a case to address an allegation that a senior government official did not comply with the NGA Part-Time Employment Program. An inquiry disclosed evidence to support the allegation. The official received an oral admonishment.

OIG Case No. 21-030, closed January 2022

OIGI investigated an allegation that a senior government official did not act impartially prior to the official posting of an NGA vacancy announcement. The investigation disclosed evidence of this activity and the official received an oral admonishment.

CASES INVOLVING SENIOR GOVERNMENT OFFICIALS (UNSUBSTANTIATED)

OIG Case No. 21-044, closed November 2021

OIGI investigated an allegation that a senior government official sexually harassed an NGA employee. OIGI found that the allegation was unsubstantiated.

WHISTLEBLOWER RETALIATION

OIGI closed one whistleblower reprisal case, which is summarized below.

OIG Case No. 21-024, closed October 2021

OIGI investigated an allegation of retaliation against a Pay Band 4 analyst by a supervisor for making a protected disclosure regarding COVID-19 protocols. The OIGI investigation concluded that the allegation of reprisal was unsubstantiated. These findings were reported to the DoD OIG and the analyst.

TIME AND ATTENDANCE FRAUD

OIGI continued to address matters of significant time and attendance fraud through investigations, including the following case. Many lesser time and attendance issues are handled directly with management, which ensures the recovery of funds and other remedies.

OIG Case No. 20-054, closed November 2021

OIGI received a request for assistance from a supervisor who suspected an employee of time and attendance fraud. OIGI conducted the analysis and substantiated the allegation, identifying a loss of $16,263. The employee received an oral admonishment.

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. OIGI also received contractor self-disclosure letters from NGA contractors.

OIG Case 20-045, closed December 2021

OIGI received an allegation from a government employee who suspected that two contractors mischarged the government. OIGI conducted the analysis and substantiated the allegation against one of the contractors. The contractor's company reimbursed NGA in the amount of $7,258.

CRIMINAL INVESTIGATIONS

During this period, OIGI worked on investigations with the DCIS, other criminal investigative agencies, and Department of Justice attorneys. The issues included false claims, cost mischarging, post-government employment violations, theft of government funds, and conflicts of interest.

DATA ANALYTICS

OIG established the Data Analytics Division (OIGD) on 30 January 2022 to leverage data analytics across OIG. The division comprises data scientists who formerly worked under OIGI. OIG has positioned the team to address three OIG mission-support focus areas: fraud analytics, business analytics, and metrics.

The division conducts proactive fraud detection agency-wide, through fraud analytics, using data science and analytic tools and capabilities. Projects include identifying potential violations of law and recognizing latent trends that lead to fraud detection. OIGD refers substantive results to the OIG audit, inspection, and investigation divisions to deter fraud, waste, and abuse.

OIGD applies business analytics using statistical research methods that exploit various software products to analyze historical data, gain new insights, and improve strategic decision-making within OIG. The division creates information graphics derived from analyzed data to convey meaningful results that enable decision-makers to easily understand the story the data tells and make informed decisions.

OIGD also develops metrics for the OIG divisions through collaboration with division experts to drive process improvements and ensure OIG customers receive effective and efficient products to point them toward appropriate actions. Accurate visualizations of OIGD's analysis and metrics illustrate to customers the value of OIG to NGA.

The division's open recommendations dashboard and tracker identify the number of open recommendations by OIG division and NGA office of primary responsibility. Sixty-three recommendations are currently open. During the reporting period, NGA and OIG management opened five new recommendations and closed 14 for a net of nine (13%) closed of the previously reported total of 72 open recommendations. The number of recommendations open for between three and five years increased from 13 to 17. NGA and OIG management will continue working together to address the remaining open recommendations.

Figure 2. Analysis of Open Recommendations from 1 October 2021 to 31 March 2022

Open Recommendations				
1 October 2021 → 31 March				
Total	72 → 63	13%	↓	Good
1–3 yrs.	31 → 18	42%	↓	Good
3–5 yrs.	13 → 17	31%	↑	Opportunity

Figure 3. Open Recommendations Dashboard as of 31 March 2022

Total Recommendations
63

Recommendation Count by OIG Division

Inspections 29
Audits 34

Recommendation Count and % by Timeframe

> 3 Yrs 17 27%
1-3 Yrs 18 29%
< 6 Mo 9 14%
6 Mo - 1 Yr 19 30%

Recommendation Count by OPR

15 HD	8 FM	5 A	4 ADC	4 S
10 OCS	7 T	4 SI	3 ADE	1
			2	

< 6 Mo	6 Mo - 1 Yr	1-3 Yrs	> 3 Yrs
9	19	18	17

By Report Title (Years Since Report Date) *Hover over first row and click "+" to drill down.*

Report/Case ..

Report/Case	Value
Inspection of NG..	6.288
Audit of NGA's D..	4.940
Inspection of NG..	3.540
Inspection of Insi..	3.030
Inspection of NG..	3.027
Audit of NGA's S..	2.734
Audit of NGA's F..	2.436
Inspection of NG..	2.277
Audit of NGA's A..	2.005
Audit of NGA's P..	1.427
Inspection Repor..	0.874
Inspection of the..	0.874
Audit of NGA's A..	0.647
NGA's Telework ..	0.551
Audit of Maintain..	0.518
NGA's GEOINT ..	0.507
NGA's Applicatio..	0.441
Audit of NGA's L..	0.436
Quick Look Insp..	0.208
Audit of NGA's	0.011

13

NGA Coronavirus Aid, Relief, and Economic Security (CARES) Act Fraud Analytics

CIGIE's independent Pandemic Response Accountability Committee encouraged all federal OIGs to compare pandemic loan information against agency employee, contract, and grant data to identify potential fraud within the administration of programs. OIGD is conducting proactive fraud analytics to identify potential instances of fraud, double dipping, or identity theft in NGA-relevant COVID-19 assistance (such as received under the Paycheck Protection Program, Economic Injury Disaster Loans Program, and Section 3610 of the CARES Act) by NGA employees and contractor companies. The efforts conducted thus far have detected potential violations of law by one NGA employee.
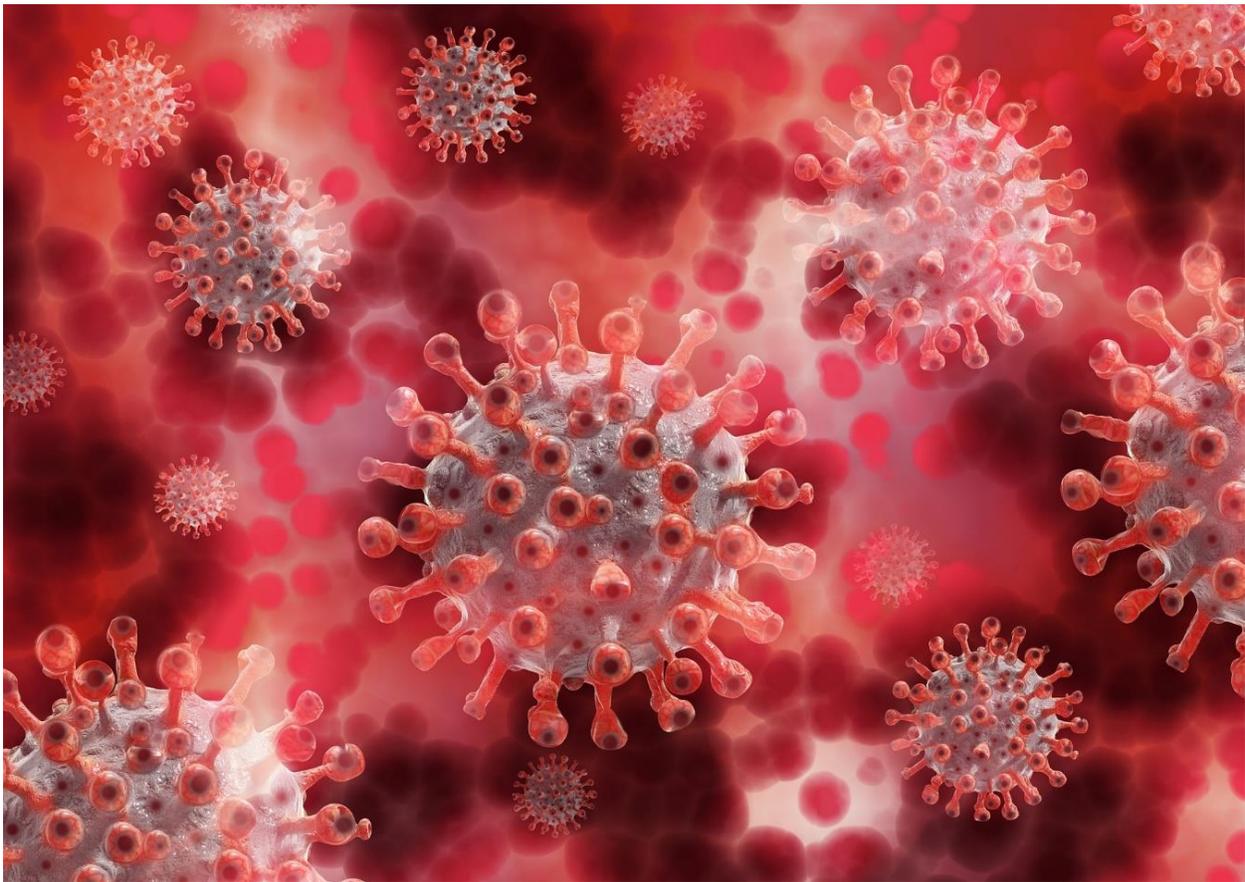
Government Purchase Card Fraud Analytics

OIGD conducted an analysis of NGA GPC transactions for FY 2021 to determine if NGA employees or contractors had engaged in any potentially improper or fraudulent activity. The division's initial review identified potentially improper or fraudulent activity representing more than $2.6 million.

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 31 March 2022

This table provides the number of NGA 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 or the FISMA evaluation.

Report Title, Report Number, Date	No. Closed	No. Open
Audit of NGA's Disposal of Electronic Waste, Report No. OIGA-17-06, March 2017	**0**	**2**
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 Support of U.S. Strategic Command Mission Requirements, Report No. OIGA-19-06, June 2019	**1**	**4**
Objective: To determine whether NGA effectively and efficiently satisfied STRATCOM requirements.		
Audit of NGA's Funds Reprogramming Activities, Report No. OIGA-19-07, 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.		
Audit of NGA's Analysis Event Response for National Security and Natural Disasters, Report No. OIGA-20-05, March 2020	**1**	**5**
Objective: To determine whether Analysis Directorate-related crisis and event response plans were in place, executed, and managed effectively. Specifically, to determine whether the execution and management of those plans facilitated coordination among stakeholders, standardization of procedures where practical, reduction in duplication of efforts, and efficient allocation of available resources.		
Audit of NGA's Supply Chain Risk Management, Report No. OIGA-20-06, June 2020	**4**	**0**
Objective: To determine whether the NGA Supply Chain Risk Management (SCRM) Program is effectively managed in accordance with federal, DoD, IC, and other applicable policy and guidance.		

Report Title, Report Number, Date	No. Closed	No. Open
Audit of NGA's Permanent Duty Travel, **Report No. OIGA-21-01, October 2020**	0	4
Objective: To determine the effectiveness and efficiency of NGA's permanent duty travel (PDT) program. Specifically, determine whether NGA complied with the laws and regulations governing reimbursement for PDT.		
Audit of NGA's Contractor Personnel Qualifications, **Report No. OIGA-21-04, November 2020**	2	0
Objective: To determine whether NGA ensures its contractors provide qualified personnel commensurate with labor category requirements and rates established in their contracts.		
Audit of NGA's Award Fee Contracts, **Report No. OIGA-21-08, July 2021**	0	5
Objective: To determine the adequacy and appropriateness of the process used to assess contractor performance, justification for fees awarded, and obligation of award fees.		
Audit of Maintaining Cybersecurity in the COVID-19 Telework **Environment, Report No. OIGA-21-09, August 2021**	0	3
Objective: To determine (1) whether change control, acquisition/procurement, and risk management processes for system enhancements made to promote telework capabilities, including new software and the migration of information systems from the classified to unclassified networks, were in accordance with federal, DoD, and NGA requirements; (2) whether NGA conducted exercises to test the effectiveness of telework security training, including exercises in security awareness training in accordance with federal, DoD, and NGA requirements; and (3) whether NGA identified minimum security configuration requirements for remote connections and implemented controls to prevent and monitor for remote connections that did not meet defined requirements in accordance with federal, DoD, and NGA requirements.		
Audit of NGA's Laptop Inventory, **Report No. OIGA-21-10, September 2021**	2	3
Objective: To determine whether all laptops were accurately accounted for in accordance with federal, DoD, and NGA requirements.		
Audit of NGA's Purchase Card Program, **Report No. OIGA-22-05, March 2022**	0	4
Objective: To determine whether (1) NGA's internal controls over the Purchase Card Program were properly designed, implemented, and operating effectively to prevent abuse or misuse; and whether (2) NGA GPC transactions were valid, properly authorized, and supported.		

Report Title, Report Number, Date	No. Closed	No. Open
Inspection of NGA's Acquisition Function, Phase II: Human Capital, **Report No. OIGE-16-03, November 2015**	0	1
Objective: 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 the (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.		
Inspection of NGA's Medical Services, **Report No. OIGE-18-05, August 2018**	0	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.		
Inspection of Insider Threat Case Management, **Report No. OIGE-19-01, February 2019**	3	2
Objective: This objective is classified.		
Inspection of NGA's GEOINT Services Initiative, **Report No. OIGE-19-02, February 2019**	0	2
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 (1) has been effectively and efficiently implemented, and (2) has effectively and efficiently fulfilled NGA's designated responsibilities of Geospatial Platform as a Service.		
Inspection of NGA's Acquisition Function, Phase III, **Report No. OIGE-20-01, November 2019**	0	1
Objective: 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.		
Inspection of NGA's Contract Writing System, **Report No. OIGE-21-05, April 2021**	0	1
Objective: To determine whether NGA's contract writing system provides adequate contract data for principal users. The specific subobjectives were to (1) determine if the current NGA contract writing system sufficiently allows for storage, discoverability, and retrieval of required contract documentation and (2) if the planned (follow-on) NGA contract writing system will adequately store, manage, and make accessible all required contract information.		

| Report Title, Report Number, Date	No. Closed	No. Open
Inspection of the NGA Promotion Process, Report No. OIGE-21-04, April 2021	**0**	**2**
Objective: To determine whether the current promotion process is effective and efficient, and to evaluate HD's oversight of the promotion process. Specific subobjectives of the inspection were to (1) assess the NGA promotion process and procedures and determine any needed improvements, (2) determine whether the process is cost effective and efficient in terms of money and manpower, and (3) evaluate HD's measures of success and determine whether the results map back to the agency's strategic goals.		
Inspection of NGA's Telework Policy, Report No. OIGE-21-06, August 2021	**0**	**2**
Objective: To determine and evaluate NGA's telework policy posture prior to the COVID-19 pandemic, and to determine and assess NGA's application of U.S. Government telework policy in response to the COVID-19 pandemic.		
Inspection of NGA's GEOINT Standards Program, Report No. OIGE-21-07, September 2021	**0**	**6**
Objective: To assess whether NGA effectively organized, staffed, and resourced its GEOINT Standards Program to fulfill the program's designated responsibilities.		
Inspection of NGA's Application of Classification for Fiscal Year 2020, Report No. OIGE-21-08, September 2021	**1**	**1**
Objective: To evaluate the accuracy of NGA's application of classification and handling markers on a representative sample of finished reports, including such reports that are compartmented; evaluate NGA's compliance with declassification procedures; evaluate the effectiveness of NGA's processes for identifying topics of public or historical importance that merit prioritization for a declassification review.		
Inspection of Contractor Badging, Report No. OIGE-22-02, December 2021	**0**	**1**
Objective: To determine NGA's program, processes, and activities for green IC contractor badge issuance and turn-in.		
Total	**14**	**63**

Table A-2. Recommendations for Corrective Action for 1 October 2021 – 31 March 2022

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.

Report Title, Report Number, Date	Rec. Number	Recommendations for Corrective Action
FY 2021 Evaluation of the NGA Pursuant to the FISMA, Report No. OIGA-22-02, November 2021	01.01	Update agency policies and procedures to include stakeholder roles and responsibilities for configuration management, flaw remediation, and maintenance of baseline configurations for information systems hardware and software inventory.
	02.01	Implement ▮▮▮▮▮▮▮▮▮▮ policy and procedures in accordance with ODNI, Committee on National Security Systems (CNSS), and National Institute of Standards and Technology (NIST) guidance.
	02.02	Implement ▮▮▮▮▮▮▮▮▮▮▮▮▮▮▮▮▮ plans in accordance with ODNI, CNSS, and NIST guidance.
	02.03	Perform ▮▮▮▮▮▮▮▮▮▮ over NGA IT security and performance metrics, and common information system security controls in accordance with ODNI, CNSS, and NIST guidance.
	03.01	Document and implement procedures to review security training procedures annually in accordance with NGA policy.
	03.02	Update procedures to include training requirements for NGA job positions to align with NCWF coding and DoD 8570.01-M roles.
	03.03	Perform a cybersecurity workforce assessment, including all position assignments for the entire agency.
	03.04	Implement automated controls to enforce that active NGA users have taken security awareness training within the required timeframe.
	03.05	Ensure privileged users are aware of initial and annual privileged user training requirements and responsibilities by supervisor, program, and management communication.
	04.01	Identify individuals who have increased access and exposure to data containing personally identifiable information (PII) and develop the implementation plan to administer the role-based training to those personnel.
	04.02	Enforce the Privacy Program Instruction and related standard operating procedure to ensure individuals with privacy responsibilities take required role-based privacy training.

Report Title, Report Number, Date	Rec. Number	Recommendations for Corrective Action
	05.01	███████
	05.02	███████
	05.03	█████
	06.01	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.
	06.02	Review and approval timeline to ensure that policies and procedures, including the annexes, are reviewed and approved annually.
	06.03	Document procedures to establish and communicate responsibilities for external reporting requirements for incidents investigated by the Office of Counter Insider Threat (SII).
	07.01	Establish SCRM policies and procedures.
	07.02	Establish an action plan within the SCRM Program that outlines its processes to address the SCRM strategy and related policy and procedural requirements of the SECURE Technology Act.
	07.03	Establish policies and procedures for detecting counterfeit components and devices in NGA's supply chain.
	07.04	Define a process for collecting and implementing lessons learned for the SCRM Program.
	08.01	Ensure all information systems in production have completed ██████████████████████████████ approved by all required parties.
	08.02	Ensure information system personnel with ████████ ███████ responsibilities participate ████████ and document after action reports and lessons learned.
	08.03	Conduct ████████████████ in accordance with the process documented in the ████████ and NGA policy.
	09.01	Review the ██████████████████████ to ensure that the results ████████████████ are complete and accurate in accordance with ODNI, CNSS, and NIST guidance.
	09.02	Remediate ████████ deviations in accordance with ODNI, CNSS, and NIST guidance.

Report Title, Report Number, Date	Rec. Number	Recommendations for Corrective Action
	10.01	Develop and implement a process to ensure that system plan of action and milestones (POA&M) address all requirements in accordance with policy and procedures.
	10.02	Document program-level POA&M(s), including all POA&M elements required by NGA policy.
	10.03	Document program-level POA&M(s), including all POA&M elements required by NGA policy.
	11.01	Ensure that NGA information system management performs risk assessments and documents the required results within XACTA 360 in accordance with ODNI, CNSS, and NIST guidance.
	11.02	Ensure that XACTA 360 elements supporting documentation of system security plans reflect the current environment, in accordance with ODNI, CNSS, and NIST guidance.
	11.03	Ensure systems operating in production have an approved authorization, documented security control baseline, and a security controls assessment in accordance with ODNI, CNSS, and NIST guidance.
	12.01	Document procedures for the enforcement of: - The quarterly review ███████████████████████; - Review of ██████████; and - Annual completion of access agreements ████████ ██████████ in accordance with NGA policy.
Independent Auditors' Report on the NGA Financial Statements for FYs 2021 and 2020, Report No. OIGA-22-03, November 2021		*Recommendations to address material weaknesses:*
	1A	The Component Acquisition Executive (CAE), Financial Management (FM) Directorate, and Office of Contract Services (OCS) should develop, document, and implement procedures and training to ensure FM personnel, program managers (PMs), contracting officer's representatives (CORs), and contracting officer's technical representatives (COTRs) continuously assess obligations for validity, communicate the need for de-obligation timely, and maintain documentation to support the validity of obligations.

Report Title, Report Number, Date	Rec. Number	Recommendations for Corrective Action
	1B	FM should update and finalize NGA Instruction (NGAI) 7210.3 to document the Dormant Account Review-Quarterly (DAR-Q) as a higher-level monitoring control, including the timely resolution of identified outliers, and disseminate the instruction to the responsible control operators/owners.
	1C	FM and OCS should allocate the necessary resources to fully complete the DAR-Q process in accordance with DoD guidance.
	1D	CAE, OCS, and FM should develop and/or update policies and procedures over the receiving report certification process to ensure FM personnel, PMs, CORs, and COTRs consistently perform the control, including verification of the receipt of goods and services and allocation of costs to the appropriate program; and
	1E	CAE, OCS, and FM should review, update, and disseminate periodic training for approving officials that includes all considerations and steps to properly certify receiving reports.
	2A	SI, FM, and the Chief Information Officer (CIO) and IT Services (CIO-T) Directorate should continue their efforts to remediate personal property deficiencies, including a review of software-in-development (SID) and construction-in-progress (CIP). As part of the review, NGA should reclassify completed projects from the SID account to software and from CIP to the applicable in-service personal property account and remove non-capitalizable costs.
	2B	As part of the remediation efforts described in recommendation 2A., SI, FM, and CIO-T should continue to implement a process for summarizing SID and personal property CIP by project to allow for better tracking and data analysis and more timely movement from in-development or in-process to in-service accounts.
	2C	SI should work with FM and CIO-T to assess the feasibility of implementing system configuration changes to capture personnel costs incurred for SID. As an alternative, SI should work with FM and CIO-T to develop and implement a standard methodology to allocate capitalizable government personnel costs incurred during system development to SID at the project level.

Report Title, Report Number, Date	Rec. Number	Recommendations for Corrective Action
	2D	SI, in coordination with FM, should continue to update, implement, and communicate its policy for identifying and monitoring completed personal and real property assets. The policy should include necessary approvals and requirements for completed assets to be recognized in the financial system in a timely manner.
	2E	SI, in coordination with FM, should enforce existing procedures and update NGA Manual 4160.1 related to the timely review and disposal of assets. The updates should clarify who is responsible for the disposal of capital assets and include a documented process to account for property that is no longer in use and is pending disposal.
	2F	SI, in coordination with FM, should implement corrective actions related to the identification and assessment of leased equipment, and if applicable, inclusion of personal property leases in the leases note.
	3A	FM complete the implementation and documentation, including the timing and frequency of control performance, of the Treasury Index (TI) 97 control to assess the risk of material misstatement to NGA's Fund Balance with Treasury (FBwT) resulting from differences between TI-97 FBwT reported by the Defense Finance and Accounting Service (DFAS) and reported by Treasury.
	3B	FM document how NGA's compensating controls address the risks related to the reliability of DFAS' TI-97 reconciliation.
	3C	FM continue to seek permanent reduction authority for any portion of legacy funding no longer needed to reduce the total amount of legacy FBwT.
	3D	FM report the deposit fund asset and liability in NGA's financial statements and related notes in accordance with U.S. generally accepted accounting principles.
	4A	NGA continue to 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) and periodically communicating audit progress and challenges to the Director and Deputy Director.
	4B	NGA develop and implement posting logic in its financial management system to record transactions in accordance with the United States Government Standard General Ledger at the transaction level for deficiencies identified in NGA's FY 2021 evaluation.

Report Title, Report Number, Date	Rec. Number	Recommendations for Corrective Action
	4C	CIO-T, in coordination with the relevant components, completely implement internal control over financial reporting guidelines to address the GAO's *Standards for Internal Control in the Federal Government* and OMB Circular No. A-123 requirements.
	4D	CIO-T. in coordination with the relevant components, completely implement the internal control over financial systems guidelines to address the GAO's *Standards for Internal Control in the Federal Government* and OMB Circular No. A-123 requirements, and document the scope of and related rationale for its internal control testing.
	4E	OCS develop, document, and implement procedures to review POA&Ms monthly.
	4F	CIO-T, in coordination with HD, document and implement policies and procedures to maintain evidence of the annual review of security training procedures.
	4G	CIO-T, in coordination with HD, develop, document, and implement policies and procedures to monitor and enforce compliance for mandatory trainings, and document follow-up actions taken when trainings are not completed timely.
		Recommendations to address significant deficiency:
	1A	The CIO and CIO T, in coordination with the relevant components, develop, document, implement, and enforce consistent ▮▮▮▮▮ policies and procedures, including those related to ▮▮▮▮▮. Such procedures should include the retention of documentation to support ▮▮▮▮▮ and evidence of ▮▮▮▮▮.
	1B	The CIO and CIO T, in coordination with the relevant components, implement ▮▮▮▮▮ on key systems to address all NGA ▮▮▮▮▮, and implement technical solutions to incorporate ▮▮▮▮▮ in accordance with NGA policy.
	1C	CIO-T and OCS develop, approve, and implement procedures to ▮▮▮▮▮ to the production environment by the ▮▮▮▮▮. If ▮▮▮▮▮ cannot be implemented, approved deviations from policy should be documented. Such procedures should include retention of evidential matter demonstrating that reviews of ▮▮▮▮▮ occurred.

Report Title, Report Number, Date	Rec. Number	Recommendations for Corrective Action
	1D	CIO-T and OCS develop, document, implement, and enforce ▮▮▮▮▮▮▮▮▮▮ procedures for all systems in accordance with NIST requirements and NGA policy. Such procedures should include the retention of documentation to support approvals and evidence of review for each instance of the control occurrence.
		Recommendations to address instances of noncompliance:
		1. FM, the Office of Strategic Operations, and CIO T completely implement the Enterprise Risk Management requirements of OMB Circular No. A 123.
		2. NGA implement the recommendations provided in Exhibits I and II and improve its processes to achieve compliance with the requirements of the FFMIA section 803(a).
Management Letter Comment on the NGA Financial Statements for FY 2021 Audit, Report No. OIGA-22-04, November 2021	4	OCS enforce compliance with the FAR and NGA Acquisition Regulation Implementation by implementing a control over contracting officers' adherence to their authorized appointment limitations, and timely ratify the three identified unauthorized obligations.
Inspection of Contractor Badging, Report No. OIGE-22-02, December 2021	1	Develop a plan to address issues with accountability of IC contractor badges in accordance with ICS 704-01 and provide a copy of the plan to the OIG by May 2022.

Table A-3. OIG Recommendations for Corrective Action Not Yet Completed Before 1 October 2021

Report Title, Report Number, Date	Rec. Number	Recommendations for Corrective Action
Audit of Maintaining Cybersecurity in the COVID-19 Telework Environment, Report No. OIGA-21-09, August 2021	1	Update agency policies and procedures to include stakeholder roles and responsibilities for configuration management, flaw remediation, and maintenance of baseline configurations for information systems hardware and software inventory.
	2	Consistently perform phishing exercises in accordance with the frequency established by Cyber Assessment Division.
	3	Create policies and procedures for minimum remote access security configuration and continuous monitoring that need to occur due to the increase in telework.
Audit of NGA's Award Fee Contracts, Report No. OIGA-21-08, July 2021	1	Require all award-fee plans, including plans from contracts transferred to NGA, be reassessed for compliance with Federal, DoD, and NGA award-fee standards and updated as needed. Updated award-fee plans should include: a. fee-determining official (FDO) approval prior to use; b. clear identification of the performance evaluation board (PEB) chair and separation between the PEB chair and FDO roles; c. award-fee evaluation criteria and how they are linked to relevant acquisition objectives that shall be defined in terms of contract cost, schedule, and technical performance; d. A description of how contractor performance will be measured against the award-fee evaluation criteria; and e. Total award-fee pool amount and how this amount is allocated across each evaluation period. Furthermore, award-fee plans should be reassessed for compliance with Federal, DoD, and NGA award-fee standards when there is a change to a contract's scope, scheduled delivery, or scheduled performance.
	2	Ensure all NGA personnel overseeing contractor performance and preparing documentation related to an award-fee contract are aware of the requirements related to the content, approval, and use of award-fee plans to monitor and evaluate whether a contractor achieved the desired program outcomes.
	3	Identify and communicate to personnel overseeing contractor performance all award-fee contract documents with elements that must be maintained to comply with Federal, DoD, and NGA requirements.
	4	Enhance procedures to ensure all personnel providing performance input and overseeing award-fee contracts are aware of the requirements for evaluating, documenting, and communicating contractor performance and award-fee decisions.

Report Title, Report Number, Date	Rec. Number	Recommendations for Corrective Action
	5	Develop and document procedures to measure the effectiveness of award fees as a tool for improving contractor performance, which, at minimum, should include metrics for measuring the effectiveness of award fees, a system for collecting data on the use of award-fee contracts, and regular examinations of the effectiveness of award fees in achieving desired program outcomes.
Audit of NGA's Funds Reprogramming Activities, Report No. OIGA-19-07, September 2019	1	Revise the reprogramming policy to align with congressional oversight and the ODNI's definitions of reprogramming.
	2	Implement additional GEOINT-Financial System (GEO-F) 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 ODNI.
Inspection of 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.
Inspection of NGA's Acquisition Function, Phase III, Report No. OIGE-20-01, November 2019	2	In accordance with best practices and DoD Instruction (DoDI) 5000.02, realign the CAE responsibilities into a position that is directly accountable to the Director, NGA, and oversees all acquisition functions within the agency in accordance with statute and policy. This is a reissuance of recommendation 1 from the Inspection of NGA's Acquisition Function, Phase I: Organizational Alignment and Leadership. The IG closed that recommendation in February 2016, when the agency responded by dual-hatting the deputy director as the CAE. However, the deputy director was not acquisition qualified, and the CAE should not be encumbered by duties other than acquisition. Additionally, OIG recommend that the Director appropriately staff the CAE's office and have subordinate staff report directly to the CAE. Finally, we recommend the Director realign and consolidate acquisition programs and activities (including contracting, research, pilots, prototypes, and acquisition of services) under the CAE.

| Report Title, Report Number, Date	Rec. Number	Recommendations for Corrective Action
Inspection of NGA's GEOINT Services Initiative, 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.
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 interservice support agreement (ISSA) (DD Form 1144) and (2) ensure the support is explained in relevant internal standard operating procedures (SOPs).
	5	Implement a secure electronic transfer of NGA pre- and post-deployment health activity requirements to the Defense Medical Surveillance System.
	6	Ensure HD's respective primary information officer and information officer responsible for all medical program records performs records and information lifecycle management requirements including updating the office file plan with the proper file series.
Inspection of NGA's GEOINT Standards Program, Report No. OIGE-21-07, September 2021	2	Evaluate how NGA is using its authority, derived from DoD Directive (DoDD) 5105.60, to compel National System for Geospatial Intelligence (NSG) elements to implement GEOINT standards requirements and compliance and address any identified gaps or shortfalls.
	3	Submit an annual GEOINT standards report identifying the goals, objectives, and accomplishments of NGA's GEOINT standards elements to assist the Director of NGA in advising the DNI and the Directors of Defense Intelligence (DDI) under DoDD 5105.60.
	6	Develop and implement a process to compel NSG programs to submit self-assessment documentation for acquisitions, as required by NSG Directive 3201, Section 6(b)(3).
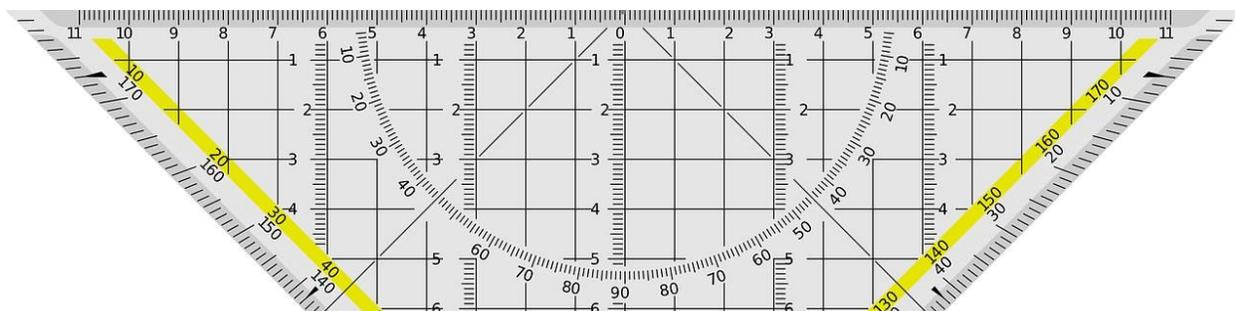
Table A-4. Financial Results from Reports Issued During 1 October 2021 – 31 March 2022

Report Title, Report Number, Date Issued	Questioned Costs	Unsupported Costs	Funds to Be Put to Better Use
None	$0	$0	$0
Total	$0	$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	$160,374
B. Issued during reporting period	0	0	$0
Total A + B	1	1	$160,374
C. Management decision made during reporting period			
(i) Dollar value of recommendations that were agreed to (disallowed costs)	0	0	$0
(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]	1	1	$160,374

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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	0	0	$0
Total A + B	0	0	$0
C. Management decision made during reporting period			
(i) Dollar value of recommendations that were agreed to (disallowed costs)	0	0	$0
(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 October 2021

Unresolved as of 31 March 2022	Reports with Unimplemented Recommendations	Number of Unimplemented Recommendations	Questioned Costs	Funds to Be Put to Better Use
Audits	7	30	$160,374	$0
Inspections	10	28	$0	$0
Total	17	58	$160,374	$0

STATUTORY REPORTING

Information or Assistance Refused by NGA

Section 5(a)(5) of the IG Act requires IGs to promptly report to the head of the establishment if information requested is unreasonably refused or not provided.

> During this reporting period, the IG had no instances where NGA refused to provide information or assistance.

OIG Revisions to Significant Management Decisions

Section 5(a)(11) of the IG Act requires IGs to describe and explain the reasons for any significant revised management decisions made during the reporting period.

> The OIG is 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 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 the Federal Financial Management Improvement Act of 1996 (FFMIA)

Section 5(a)(13) of the IG Act requires IGs to provide information described under section 804(b) of the FFMIA. 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, as amended by the IG Empowerment Act, requires IGs to provide detailed descriptions of any attempts by their establishments to interfere with their independence.

> The OIG did not experience any attempts to interfere with the office's independence during this reporting period. The IG is currently engaged in ongoing discussions with NGA leadership regarding the need for OIG budget independence. If the OIG is subject to budget constraints that limit its capabilities, the IG will report such activity in accordance with Section 5(a)(21) of the IG Act, as amended.

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

Section 5(a)(22) of the IG Act, 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 4.
- Inspections closed during this reporting period are described beginning on page 8.
- Investigations closed during this reporting period are described beginning on page 10.

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.

- The most recent external peer review of OIGA was performed by the CIA OIG. In the CIA OIG's report of 16 March 2021, OIGA received a rating of "pass" for its system of quality control in effect for the three-year period ending 30 September 2020. NGA OIG has no outstanding recommendations from any peer reviews of OIGA.
- The most recent peer review of OIGE was completed by the DIA OIG on 26 August 2021. No findings or recommendations were identified.
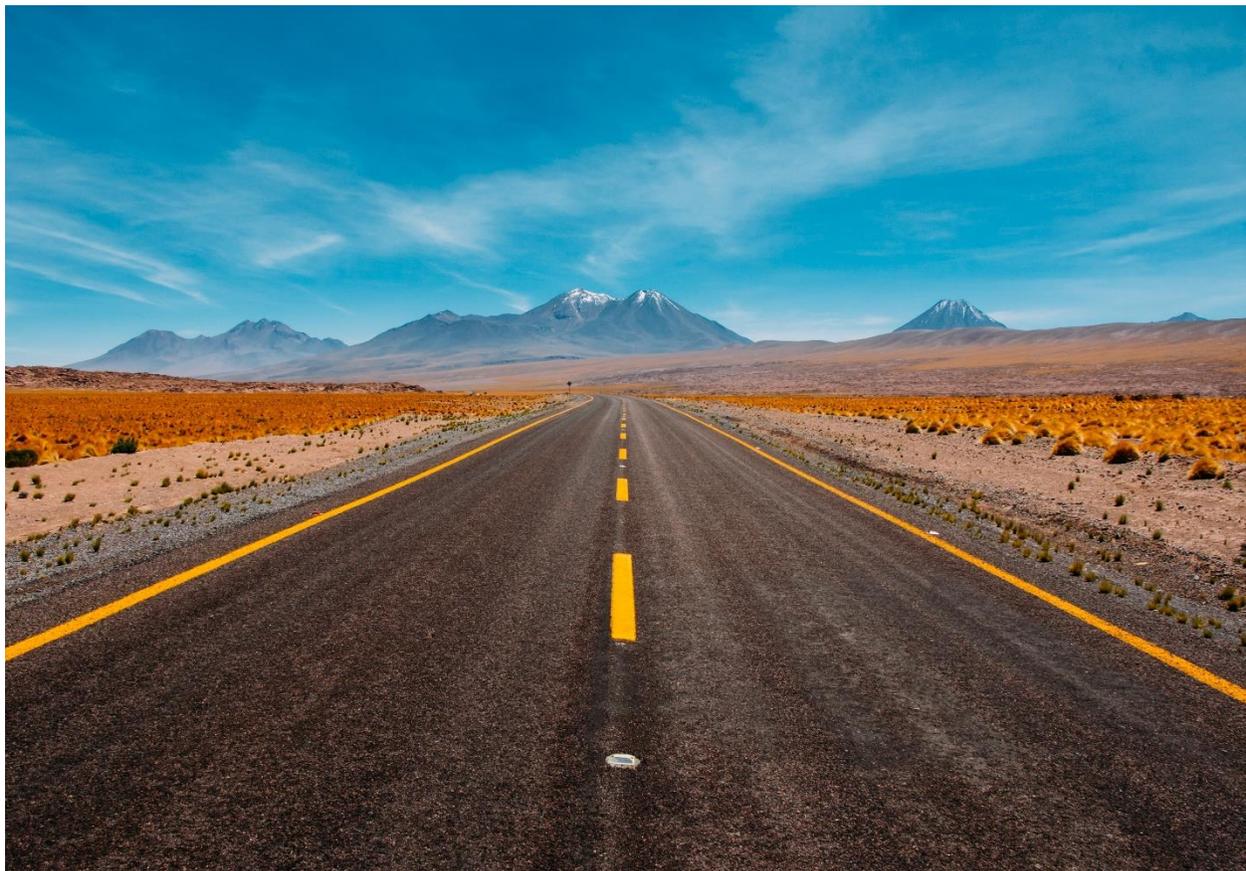
APPENDIX B. INVESTIGATIVE METRICS

Table B-1. Number of Cases Referred for Criminal or Civil Prosecution

Action	Number of Cases		
	Referred	Accepted	Declined
Criminal	0	0	0
Civil	0	0	0

Table B-2. Judicial Actions

Action	Number
Indictments	0
Convictions	0
Years of incarceration	0
Years of supervised release	0
Years of probation	0

Table B-3. Criminal Prosecutions and Referrals

Action	Number
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 information resulting from any prior referral to prosecuting authorities	0

Table B-4. Investigations of Unauthorized Public Disclosures of Classified Information

Action	Number
The number of investigations opened by the covered official regarding an unauthorized public disclosure of classified information.	0
The number of investigations completed by the covered official regarding an unauthorized public disclosure of classified information.	0
Of the number of such completed investigations identified under subparagraph (B), the number referred to the Attorney General for criminal investigation	0

APPENDIX C. INDEX OF REPORTING REQUIREMENTS

Semiannual Reporting Requirement		Pages
§ 5(a)(1)	Significant problems, abuses, and deficiencies	4–14
§ 5(a)(2)	Recommendations for corrective action	19–28
§ 5(a)(3)	Significant outstanding recommendations	15–18
§ 5(a)(4)	Matters referred to prosecutorial authorities	33
§ 5(a)(5)	Information or assistance refused	31
§ 5(a)(6)	List of completed audit, inspection, and evaluation reports	4–8
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[1] 50 U.S.C. § 3235(b)(1) requires that "Not less frequently than once every 6 months, each covered official [Inspector General] shall submit to the congressional intelligence committees a report on investigations of unauthorized public disclosures of classified information."

APPENDIX D. ABBREVIATIONS

CAE	Component Acquisition Executive
CIA	Central Intelligence Agency
CIGIE	Council of the Inspectors General on Integrity and Efficiency
CIO	Chief Information Officer
CIO-T	Chief Information Officer and IT Services Directorate
CIP	construction-in-progress
CNSS	Committee on National Security Systems
COR	contracting officer's representative
COTR	contracting officer's technical representative
COVID-19	Corona Virus Disease 2019
DAR-Q	Dormant Account Review-Quarterly
DCIS	Defense Criminal Investigative Service
DD Form	Department of Defense Form
DFAS	Defense Finance and Accounting Service
DIA	Defense Intelligence Agency
DNI	Director of National Intelligence
DoD	Department of Defense
DoDD	DoD Directive
DoDI	DoD Instruction
FAR	Federal Acquisition Regulation
FDO	fee-determining official
FFMIA	Federal Financial Management Improvement Act of 1996
FISMA	Federal Information Security Modernization Act of 2014
FM	Financial Management Directorate
FBwT	Fund Balance with Treasury
GAO	Government Accountability Office
GEO-F	GEOINT-Financial System
GEOINT	geospatial intelligence
HD	Human Development Directorate

IG	Inspector General
IG Act	Inspector General Act of 1978
IGCS	Inspector General Career Service
IC	Intelligence Community
IC IG	Inspector General of the Intelligence Community
IT	information technology
NGA	National Geospatial-Intelligence Agency
NGAI	NGA Instruction
NIST	National Institute of Standards and Technology
NSG	National System for Geospatial Intelligence
OCS	Office of Contract Services
ODNI	Office of the Director of National Intelligence
SII	Office of Counter Insider Threat
OIG	Office of Inspector General
OIGA	OIG Audits Division
OIGD	Data Analytics Division
OIGE	OIG Inspections Division
OIGI	OIG Investigations Division
OMB	Office of Management and Budget
PDT	permanent duty travel
PEB	performance evaluation board
PII	personally identifiable information
PIIA	Payment Integrity Information Act
PM	program manager
POA&M	plan of action and milestones
SCRM	supply chain risk management
SI	Security and Installations Directorate
SID	software-in-development
SOPs	standard operating procedures
STRATCOM	U.S. Strategic Command
TI	Treasury Index

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