

2022 Semiannual Report to Congress

Office of Inspector General
1 April – 30 September 2022



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MESSAGE FROM THE INSPECTOR GENERAL

It is with great pleasure that I provide this report from the National Geospatial-Intelligence Agency (NGA) Office of Inspector General (OIG) for the period of 1 April through 30 September 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 28 recommendations. There are now 44 open recommendations, including eight issued this period. In accordance with the Inspector General (IG) Empowerment Act of 2016 the OIG will continue to closely monitor and report any outstanding unimplemented recommendations.

The Audit Division (OIGA) examined NGA's Payment Integrity Information Act (PIIA) of 2019 compliance, Assignments Program, procurement of products and services in response to the COVID-19 pandemic, and Civilian Pay 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. OIG submitted the Fiscal Year (FY) 2022 FISMA evaluation external report to the Intelligence Community (IC) IG in July as required. Recommendations from these projects focused on improving policies, procedures, and requirements compliance; internal controls; and process efficiency and effectiveness. OIGA closed 19 recommendations and continues to oversee the work of the contracted independent auditing firm. Ongoing projects include examining NGA's GEOINT Search and Retrieval Program, software license management, adherence to FISMA, financial statements, external hiring, zero trust, and the external peer review of the NRO audit organization.

The Inspections Division (OIGE), in collaboration with OIGA, developed an automated process to produce the Semiannual Report to Congress, which increased production efficiency for the OIG staff. For mission support OIGE completed the last installment of the series of inspections regarding the Agency's response to the COVID-19 pandemic, an evaluation of the Agency's use of security cameras and data retention, the second required Congressionally-directed review on the Agency's classification management procedures, and an assessment on NGA's Support Teams (NST) Governance and Support. Recommendations OIGE closed during this reporting period focused on improving the Agency's medical services, insider threat case management, and classification management. Ongoing inspections include an assessment of compliance of the Agency's Polygraph Program, a Congressionally-directed evaluation of the Enhanced Personnel Security Program, an assessment of oversight measures for the Office of Small Business Programs, and an evaluation of the Agency's Development Corps (DevCorps) mission.

The Investigations Division (OIGI) closed 39 cases this period and substantiated 16 cases involving false claims, employee misconduct, and reprisal. The division continues to work on several investigations of senior government employees.

The Data Analytics Division (OIGD) 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. The team also conducted business analytic projects, increasing effectiveness and efficiencies within OIG.

I continue to engage NGA leadership on the need for OIG budget independence; specifically, that NGA not reduce the OIG budget once allocated. Budget independence is essential to OIG's independent oversight capabilities. 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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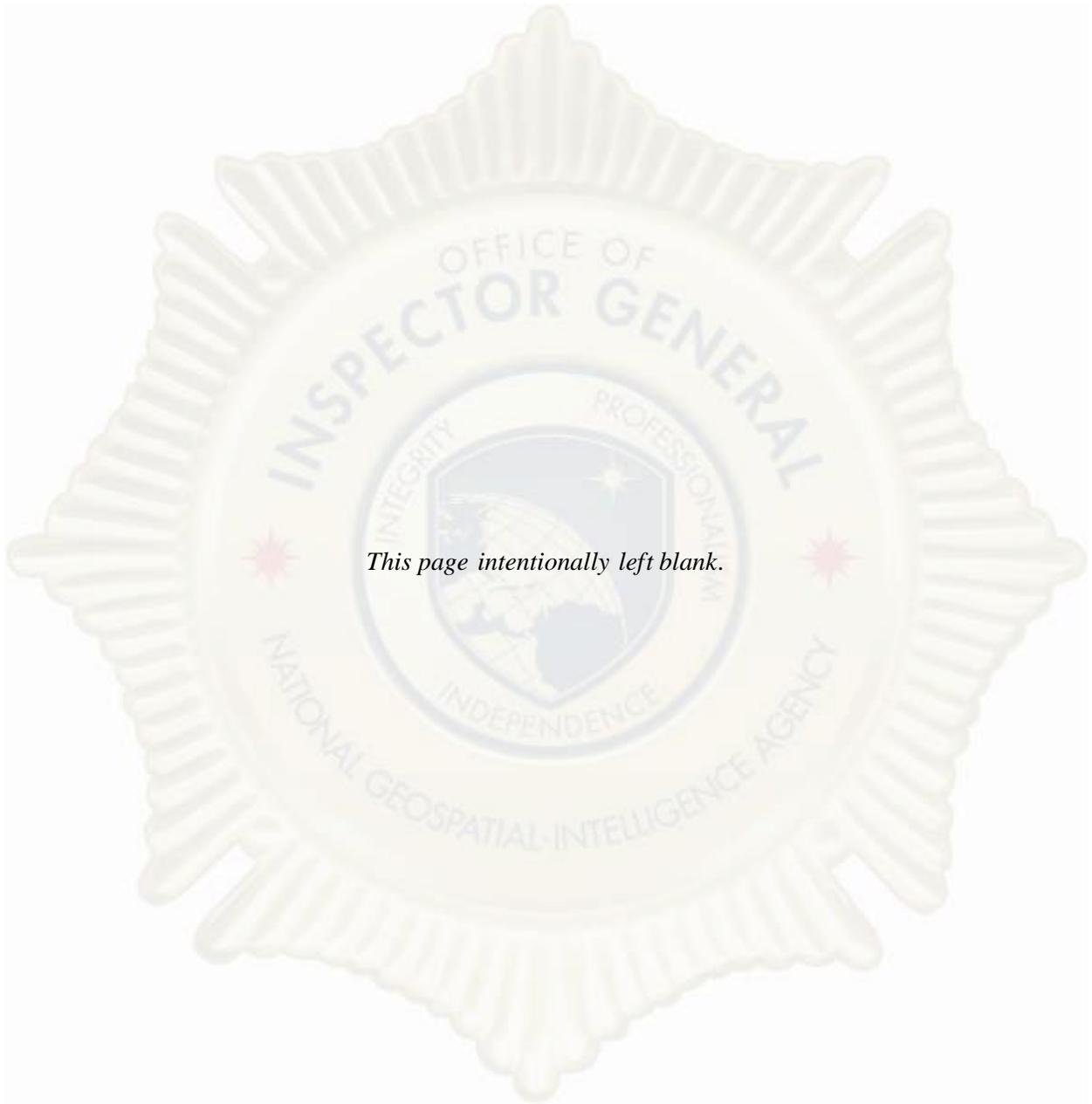
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OVERVIEW

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; reprisal; 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 four core divisions: Audit, Inspections, Investigations, and Data Analytics; and a support function, the Plans and Programs Division. The OIG also has a dedicated legal counsel who reports directly to the IG.

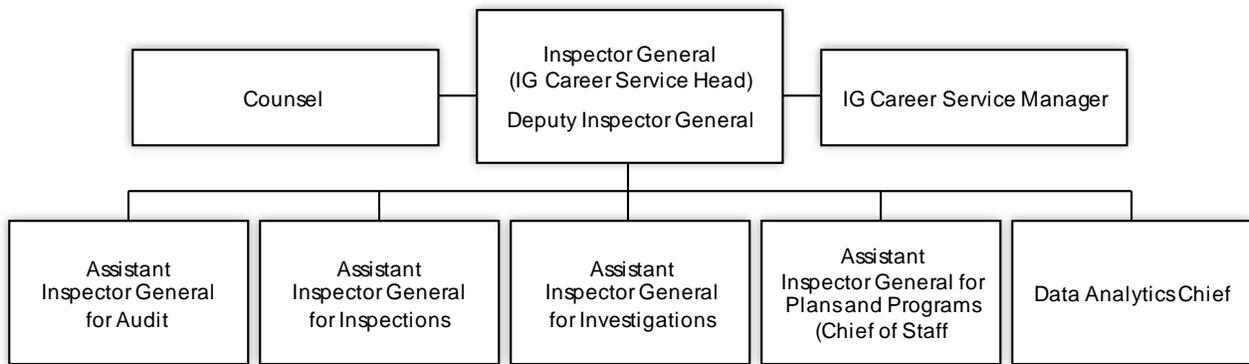
The IG is the head of the IG Career Service (IGCS). OIG established the IGCS to protect IG personnel from undue outside influence in recruiting, hiring, development, and promotion. The IGCS provides career development, training, and assignments management for IG professionals. The IGCS has a dedicated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

As of 30 September 2022, OIG has filled 49 of the 61 billets. The OIG experienced a reduced employee attrition rate of 7% (4/61) during this reporting period. The IGCS hiring team continues to aggressively track the hiring requirements and engage with NGA's Human Development (HD) Directorate and NGA's Office of Security to gain efficiencies and reduce the timeline for processing new hires. The IGCS continued its employment of a multisector workforce hiring approach by using joint duty rotations, Pay Band 3 term-hires, and student interns to slow attrition and provide potential candidates for permanent positions. This strategy continues to demonstrate positive results as multiple term-hires have either been converted to permanent positions or been promoted into Pay Band 4 positions. Although the IGCS used the multisector workforce hiring strategy, the fill rate has only marginally improved since the last reporting period, largely because the hiring pipeline attrition rate (new hires who accepted a

position and then later declined) increased in this reporting period from 20% to 62% (8/13), after seeing a decrease in the previous reporting period from 40% to 20%. Financial auditors and information technology (IT) auditors continue to rank as the most critical work roles to fill as high competition for these skillsets are in demand across the Federal Government and private industry. With projected inbounds and a lower turnover rate over the next few months, the fill rate is expected to increase in the next reporting period.

The IGCS continued to focus on career development for each employee by initiating or refining customized development plans to serve as the one-year individual road map for employees in Exposure, Experience, and Education goals. The ICGS continues to brief and share this effort across NGA and with other agencies through the IC OIG.

Figure 1. OIG Organization Chart



COUNSEL TO THE INSPECTOR GENERAL

The Counsel to the Inspector General (OIGC) is an in-house legal asset consisting of the Chief Counsel to the IG and the Deputy Counsel to the IG. OIGC provides legal advice directly to the IG and provides legal assistance to all OIG elements. OIGC 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 OIGC liaises with, among others, DoD and Inspector General of the Intelligence Community (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) and other federal law enforcement agencies on criminal investigations. The division is the principal NGA agent for investigating potential violations of rule or regulation, incidents of mismanagement or misconduct, abuse of authority, and denial of due process. The Investigations Division closed 39 cases this period, substantiating 16 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*.

DATA ANALYTICS

The OIG Data Analytics Division (OIGD) 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.

SUMMARIES OF AUDITS

From 1 April to 30 September, the Audit Division (OIGA) completed one congressionally-directed action (CDA), two statutorily-required evaluations, and two audits and has seven ongoing audits.

COMPLETED

Assessment of NGA's Compliance with the Payment Integrity Information Act (PIIA) of 2019, for Fiscal Year (FY) 2021, Memorandum U-044-22/OIG, issued 4 April 2022

Overview. The objective of the assessment was to determine whether NGA was compliant with PIIA for FY 2021.

Findings. OIGA concluded that NGA was compliant with PIIA for FY 2021.

Results. OIGA made no recommendations for corrective actions.

Audit of NGA's Assignments Program, Report No. OIGA 22-06, issued 10 May 2022

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

Findings. OIG found that development and implementation of NGA's Assignments Program could achieve program goals more effectively and efficiently. Over the years, stakeholders have shown frustration with the assignments process, stating it had been limiting, restrictive, forced, inconsistent, and unguided. In March 2021, Career Services announced a reimagining effort and, as part of the effort, eliminated some restrictions in the assignments process. In the past, senior leadership responsible for development and execution of the program did not prioritize strategic management planning that included the development of well-defined methodologies and associated metrics. Those methodologies and metrics would have enabled staff to assess to what degree program goals were achieved and to effectively conduct oversight of the program. In addition, senior leadership did not prioritize the establishment of internal control procedures to review and analyze program risk areas, such as the potential for abuse of power or noncompliance with criteria prohibiting discrimination and unfairness. Instead, senior leadership has been reactive, using workforce frustration and impacts created by other Agency priorities as the main drivers of change.

Results. OIG made two recommendations to improve internal control deficiencies and overall implementation and oversight of the Assignments Program.

Review of NGA's Civilian Pay Program, Memorandum S-003-22/OIG, issued 10 June 2022

Overview. The Intelligence Authorization Act for FY 2022 required the NGA Chief Financial Executive, in concert with the IG, to conduct a review of existing methods of forecasting pay, benefits, and hiring to maintain the world-class NGA workforce. OIG conducted an independent evaluation and coordinated with NGA's Financial Management (FM) and HD directorates, which are the primary components responsible for the civilian pay process.

Findings. OIG observed areas in NGA’s forecasting model and methodology that contributed to forecast imprecision. These areas were consistent with what FM and HD management have identified and are working to improve. Specific challenges included: (1) the budget model uses only one pay period as a baseline for the budget estimate, (2) the lack of a consolidated and consistent cost model for budget and execution, (3) the current execution cost model only forecasts salary and benefits, (4) the lack of adequate look-back analysis of the budget, (5) the lag time between budget submission and the Office of Management and Budget (OMB) and congressional decisions on pay increases and certain benefits, (6) the timing and fluctuations in the HD onboarding plan, and (7) the delayed reimbursements from joint duty rotations.

Results. OIG suggested that FM and HD continue to collaborate at both the senior and working level and continue to assess and refine assumptions and methodologies to enable more precision between budgeted and executed civilian pay.

FY 2022 Evaluation of NGA Pursuant to the Federal Information Security Modernization Act (FISMA), Project No. 22-A05, External Report No. OIGA 22-07, issued 27 July 2022

Overview. OIG contracted KPMG LLP, an independent public accounting firm, to perform the FY 2022 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 2021 evaluation. The external report was submitted to the IC IG, for transmission to OMB, and provides the results of the reporting metrics.

Findings. 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 “not effective.” 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, and contingency planning. KPMG concluded that these deficiencies exist because NGA has not fully established and implemented policies and procedures in accordance with current OMB, ODNI, and NGA requirements.

Results. The overall rating for NGA’s information security program was determined to be “not effective.” Detailed findings and recommendations will be included in the FY 2022 FISMA Internal Report, which will be issued in November 2022.

Audit of NGA’s Procurement of Products and Services in Response to the COVID-19 Pandemic, Report No. OIGA 22-08, issued 25 August 2022

Overview. OIG contracted KPMG LLP to perform the Audit of NGA’s Procurement of Products and Services in Response to the COVID-19 Pandemic. The objective of this audit was 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.

Findings. KPMG did not identify any instances of noncompliance with the applicable acquisition requirements; however, they reported one control deficiency.

Results. KPMG identified one recommendation and also one observation, but did not make a formal recommendation related to the observation. OIG acknowledged that the one recommendation is consistent with an open recommendation issued in the FY 2021 financial statement audit report.

ONGOING

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 expected to be completed in October 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 expected to be completed in October 2022.

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

Overview. OIG contracted KPMG LLP 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, will be completed in November 2022. In addition to the previously issued external report (No. OIGA 22-07), KPMG will issue an internal report containing detailed findings and recommendations at project conclusion.

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

Overview. OIG contracted KPMG LLP 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, will be completed by 15 November 2022. If necessary, KPMG will issue a management letter by 31 December 2022.

Audit of NGA's External Hiring Process, Project No. 22-A07

Overview. The objective of this audit is to assess the efficiency of NGA's management of the external hiring process.

Status. The project, announced in April 2022, is expected to be discontinued and a memorandum issued in October 2022.

Evaluation of NGA’s Implementation of Zero Trust, Project No. 22-A09

Overview. OIG contracted KPMG LLP to evaluate NGA’s implementation of zero trust in accordance with applicable requirements. In the current threat environment, the Federal Government can no longer depend on conventional perimeter-based defenses to protect critical systems and data. A transition to a “zero trust” approach to security provides a defensible architecture for this new environment.

Status. The project, announced in June 2022, is expected to be completed in January 2023.

External Peer Review of the National Reconnaissance Office OIG Audit Organization, Project No. 22-A10

Overview. The objectives of the review are to determine whether the NRO OIG audit organization’s quality control system is suitably designed and whether the audit organization is complying with its quality control system in order to provide itself with reasonable assurance of conformance with applicable professional standards and legal and regulatory requirements. The review will also determine whether controls over monitoring of contracted engagements performed by independent public accounting firms, where the independent public accounting firms serve as the auditors, are suitably designed and complied with. Government auditing standards require an external peer review of audit organizations at least once every three years. NGA OIG auditors are leading the peer review of the NRO OIG audit organization with support from NSA and CIA OIG auditors.

Status. The project, announced in August 2022, is expected to be completed in February 2023.



SUMMARIES OF INSPECTIONS

From 1 April to 30 September, the Inspections Division (OIGE) has completed one congressionally-directed action (CDA), two inspections, and one management advisory report and is conducting three inspections and one CDA.

COMPLETED

Inspection of Congressionally Directed Action (CDA) Quick Look Inspection of NGA's Application of Classification for FY 2021, Report No. OIGE-22-05

Overview. This inspection is a CDA announced in the National Defense Authorization Act for Fiscal Year 2020, Pub. L. No. 116–92, § 6721(a), 20 December 2019

NGA OIG completed the first of the three inspections in FY 2021 with the release of NGA OIG Report No. OIGE-21-08. This inspection resulted in three findings and two recommendations designed to improve NGA's management of classification and declassification. The objectives remain the same as the previous year:

- Objective 1: 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.
- Objective 2: Evaluate NGA's compliance with declassification procedures.
- Objective 3: Evaluate the effectiveness of NGA's processes for identifying topics of public or historical importance that merit prioritization for a declassification review.

Findings. For this fiscal year, the inspection division had no major findings and is reporting that Agency has closed all recommendations from the previous year.

Results. With no findings, there are no recommendations for this fiscal year's review.

Inspection of NGA's Security Cameras, Report No. OIGE-22-04

Overview. This inspection was driven by pervasive issues surrounding the Agency's use of the security cameras in the course of its duties and its retention of data. The objective of this inspection was to evaluate the policies and procedures regarding use of security cameras and retention of security camera data.

Findings. OIG found that the Agency's policies and procedures on its use of security cameras and retention of data do not align with DoD regulations. Inspectors also determined the Agency is not providing training by administrators to the operators as recommended by DoD guidance. Consistent training of the operators by administrators is key to maximizing the capabilities of the security cameras and enabling data retention.

Results. OIG recommended the Agency update policies and implement detailed standard operating procedures (SOPs) regarding NGA's use of security cameras for assessment and retention of security camera data, including a schedule for periodic updates in accordance with DoD and federal regulations and guidelines. Additionally, Inspectors recommended the Agency

implement security camera training of operators by administrators in accordance with DoD regulations and to conduct an assessment on camera coverage.

Inspection of NGA's COVID-19 Response: GEOINT Continuity, Recovery, Reconstitution, and Impact, Report No. OIGE-22-03

Overview. This project originated from the OIG's FY 2021 Audit and Inspection Plan and was the last installment of a series of inspections evaluating the Agency's response to the COVID-19 pandemic. These inspections, as a whole, have informed leadership and provided opportunities to improve on NGA's response to future pandemics and emergencies. As the pandemic impacted NGA operations, the OIG determined a review of the impact and how NGA managed its mission essential workforce would benefit the Agency. The objective of this inspection was to evaluate policies and processes in place that support the continuity, recovery, and reconstitution of NGA's GEOINT essential functions and to determine the impact of the COVID-19 pandemic.

Findings. Overall, the inspection verified the Agency responded effectively to the pandemic during its initial stages; however, untested plans drove inefficiencies in continuity and recovery. NGA created a COVID-19 Reimagine, Reconstitution, and Recovery plan that provided a framework for critical Agency functions and programs to continue as COVID-19 cases fluctuated throughout the pandemic. OIGE also found the Agency had not prioritized regular testing of their continuity of operations (COOP) plans as required by Agency and federal policy. Lastly, the inspection determined that while the overall impact of the COVID-19 pandemic is unknown, since it is still ongoing, the Agency has not enforced incorporating best practices derived from lessons-learned during the current pandemic.

Results. OIG recommended the Agency, per Agency policy, establish specific milestones to conduct annual testing, training, and exercises to validate the NGA COOP Program and update continuity and component-specific plans. Inspectors also recommended, per Agency policy, that the Agency coordinate, draft, and prioritize Agency-level lessons-learned and to develop enforcement and tracking mechanisms to track progress towards resolution.

Management Advisory Report on NGA Support Teams (NSTs) Governance and Support, Report No. MAR-22-01

Overview. The Agency established NSTs in late 2001 to provide strong forward support of GEOINT operations to combatant commands (COCOMs) and military services. NGA NSTs also successfully support intelligence agencies, international partners, non-DoD agencies, and service intelligence centers, including the National System for Geospatial Intelligence (NSG) and the Allied System for Geospatial Intelligence. NGA invests significant resources in the NSTs in terms of personnel and locations.

NST support changed in 2015 because of shifts in NGA's mission focus, and NSTs have submitted coinciding concerns to the OIG about staffing. The objective of this Management Advisory Report is to assess the overall effectiveness of NST operational support to the U.S. Central Command and U.S. Indo-Pacific Command missions and assess the NSTs' organizational structure.

Findings. OIG found that the Agency had not reviewed its external footprint since 2018 and had not updated its overall NST concept of operations (CONOPS) since 2016. Because of the amount

of funding provided in terms of personnel, technology, and support to the external presence, the Agency needs to review and update key governing documents for mission assurance and assess its return on investment.

Results. OIG recommended the Agency conduct an NST presence review to evaluate mission, vision, and goals of the external footprint and assess whether NGA is providing partners with the right skills, people, and technology to meet current and future GEOINT mission needs. Additionally, inspectors asked the Agency to assess their external footprint and to update the overall NST CONOPS.

ONGOING

Inspection of NGA’s Small Business Office, Project No. QL-22-05

Overview. In March 2022, the DoD Office of Inspector General published DOD OIG Report No. DODIG-2022-069, Small Business Subcontracting Requirements, 7 March 2022. The DoD IG made several recommendations to increase overall compliance with DoD contracting personnel. As a part of DoD, NGA’s Small Business Program Office and the Office of Contract Support are also required to implement and maintain the standards and processes defined in legislation and IC, DoD, and NGA regulations.

Although NGA was not called out specifically in the DoD IG audit, OIG determined the Agency would benefit from a review based on pervasive issues identified through coordination with other OIG components. The overall objective of this inspection is to evaluate the Agency’s compliance with and adherence to NGA policy to determine whether NGA contracting officials conduct oversight of small business contracts.

Status. This inspection was announced in August 2022 and is projected to be completed in November 2022.



Inspection of NGA's Development Corps (DevCorps) Operations, Project No. II-22-02

Overview. Since its inception, DevCorps has encountered difficulty in augmenting its in-house software development tradecraft and has awarded contracts to increase its staffing. In addition, DevCorps has faced difficulty communicating their strategic plan and value to NGA's leadership, increasing leadership's concerns over the fund's justification for this organization. The objective of this inspection is to evaluate whether DevCorps is effectively achieving its vision, mission, goals, functions, and intended purpose. Specifically, OIG will review and evaluate NGA guidance, short- and long-term plans, and implementation efforts undertaken to establish, mature, and manage the program. In addition, OIG will evaluate the effectiveness and efficiency of DevCorps' execution of software development requirements in support of GEOINT mission operations and priorities.

Status. This inspection was announced in July 2022 and is projected to be completed in March 2023.

Inspection of Congressionally Directed Action (CDA) on NGA's Enhanced Personnel Security Program, Project No. II-22-01

Overview. This inspection was originally announced as a CDA from the Intelligence Authorization Act for Fiscal Year 2016, Pub. L. No. 114-113, as codified in 5 USC § 11001, which requires the IG of the Agency to conduct at least one review to assess the effectiveness and fairness, in accordance with performance measures and standards established by the Director of National Intelligence (DNI), to covered individuals of the Enhanced Personnel Security Program (EPSP). This review was projected to be conducted beginning two years after the date of implementation of the Agency's EPSP. NGA announced to the workforce in September 2020 that continuous evaluation would be implemented in phases due to the complexities associated with implementing new government-wide programs.

The objective of this inspection is to assess whether NGA implemented their EPSP effectively and fairly, in accordance with performance measures and standards originally established by the DNI. While the updated DNI guidance governing the CDA has yet not been released, the inspection team is finding many areas that can be improved based on the original DNI standards and therefore decided to complete the inspection without the promised DNI guidance.

Status. This inspection was announced in February 2022 and is projected to be completed in November 2022.

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

Overview. Polygraph examinations must have adequately safeguard and protect the rights and privacy of persons who undergo them. NGA's Polygraph Program is required to implement the standards and processes defined in legislation and IC, DoD, and NGA regulations. 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. This inspection was announced in January 2022, but because of a lag in resourcing and issues with stakeholder participation, the inspection has been delayed. The inspection is projected to be completed in October 2022.

SUMMARIES OF INVESTIGATIONS

From 1 April to 30 September 2022, the Investigations Division (OIGI) closed 39 cases and 16 of those cases were substantiated, resulting in \$207,155.25 in recoveries. OIGI opened 17 new cases, and has 20 ongoing.

JUDICIAL ACTIONS AND PROSECUTIONS

OIGI has nothing to report during this period.

CASES INVOLVING SENIOR GOVERNMENT EMPLOYEES (SUBSTANTIATED)

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

OIG Case No. 19-063, closed April 2022

Senior government employee had an inappropriate relationship with a subordinate employee. The senior employee received a 15-day suspension without pay.

OIG Case No. 21-029, closed June 2022

Senior government employee failed to follow hiring processes and procedures and displayed a lack of candor during the investigation. The senior employee retired from federal service.

OIG Case No. 21-035, closed July 2022

Senior government employee created a hostile work environment. The senior employee received supervisory counseling.

CASES INVOLVING SENIOR GOVERNMENT EMPLOYEES (UNSUBSTANTIATED)

OIG Case No. 20-038, closed May 2022

Senior government employee engaged in acts of favoritism.

OIG Case No. 21-023, closed May 2022

Senior government employee engaged in acts of misconduct.

OIG Case No. 21-044, closed June 2022

Senior government employee sexually harassed an NGA employee.

WHISTLEBLOWER RETALIATION

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

OIG Case No. 21-042, closed April 2022

OIG inquired into an allegation of reprisal against an NGA employee by a supervisor; however, OIG determined that an investigation was not warranted. The NGA OIG notified the Complainant of the case outcome.

OIG Case No. 22-013, closed June 2022

OIG investigated an allegation of retaliation against a Pay Band 5 scientist by a supervisor for making a protected disclosure regarding waste and program security and legal concerns. The OIG investigation concluded that reprisal did not occur. The NGA OIG notified the Complainant of the case outcome.

OIG Case No. 22-020, closed August 2022

OIG investigated an allegation of retaliation against an NGA employee by a supervisor for making a protected disclosure regarding a security matter and participating in a management inquiry. The OIG investigation concluded that reprisal did not occur. The NGA OIG notified the Complainant of the case outcome.

OIG Case No. 21-036, closed August 2022

OIG investigated an allegation of retaliation against a senior official for making several protected disclosures regarding mismanagement. The OIG investigation found that reprisal did not occur. The NGA OIG notified the Complainant of the case outcome.

TIME AND ATTENDANCE FRAUD

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

OIG Case No. 19-101, closed June 2022

OIG investigated an allegation of time and attendance fraud committed by a Pay Band 3 employee. The OIG investigation found the employee did not properly account for over 400 hours of time. The employee was terminated and the OIG recovered over \$13,000 owed to the U.S. Treasury.

OIG Case No. 20-061, closed June 2022

OIG investigated an allegation of time and attendance fraud committed by a Pay Band 4 employee. The OIG investigation found the employee did not properly account for nearly 400 hours of time. The employee was terminated and NGA initiated a debt collection action against the employee for over \$22,000 with the Defense Finance and Accounting Service (DFAS).

CONTRACTOR LABOR MISCHARGING

OIGI continued to address issues of contractor labor mischarging through outreach efforts with industry and a fraud survey provided to the NGA workforce. OIGI also received contractor self-disclosure letters from NGA contractors.

OIG Case 22-008, closed August 2022

OIG investigated an allegation of contractor labor mischarging. The OIG investigation found that two NGA support contractors did not properly account for over 500 hours of time. The contractor employees were terminated and the contractor company agreed to remit payment to the U.S Treasury for over \$43,000.

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.

OIG Case 22-025, closed June 2022

OIG supported a Social Security Administration (SSA) OIG led investigation that found that a former NGA employee had defrauded the government of over \$50,000 in benefit payments. The SSA OIG and Subject reached a settlement agreement.



DATA ANALYTICS

As of 30 September, the Data Analytics Division (OIGD) was tracking 44 open recommendations and had three data analytic projects ongoing.

OPEN RECOMMENDATIONS

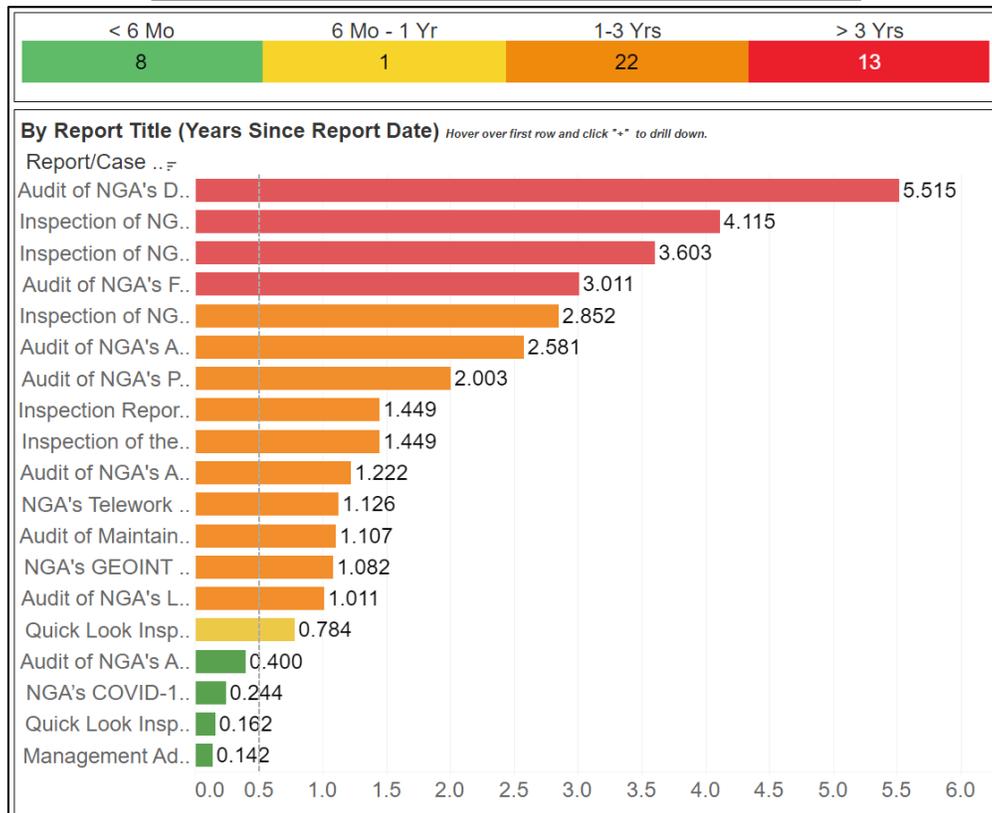
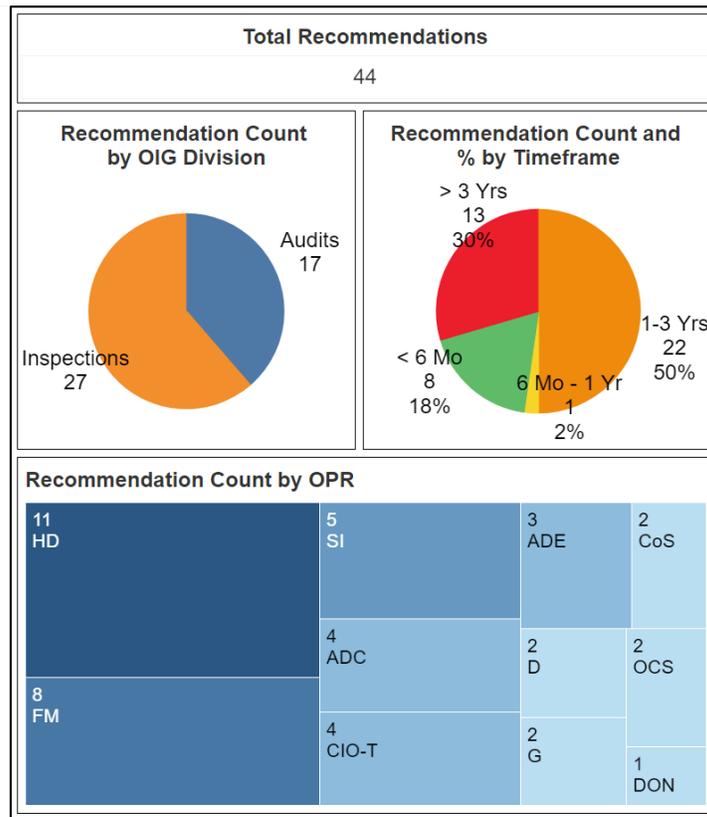
The division's open recommendations dashboard and tracker identify the number of open recommendations by OIG's inspection and audit divisions and the NGA office of primary responsibility. Forty-four recommendations are currently open. During the reporting period, NGA and OIG management had eight new recommendations opened and closed twenty-eight recommendations. The number of recommendations open between one and three years increased from 18 to 22. Recommendations that are three to five years old decreased by nearly 25%. NGA and OIG management will continue working together to address the remaining open recommendations.

Figure 2. Analysis of Open Recommendations from 1 April to 30 September 2022

Open Recommendations				
1 April 2022 → 30 September 2022				
Total	63 → 44	32%	↓	Good
1-3 yrs.	18 → 22	22%	↑	Opportunity
3-5 yrs.	17 → 13	24%	↓	Good



Figure 3. Open Recommendations Dashboard as of 30 September 2022



ONGOING DATA ANALYTIC PROJECTS

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 conducted proactive fraud analytics to identify potential instances of fraud, double dipping, or 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 19 NGA employees, equaling \$1M in question. The facts and circumstances identified by OIGD were referred to OIGI for further investigation and evidence collection.

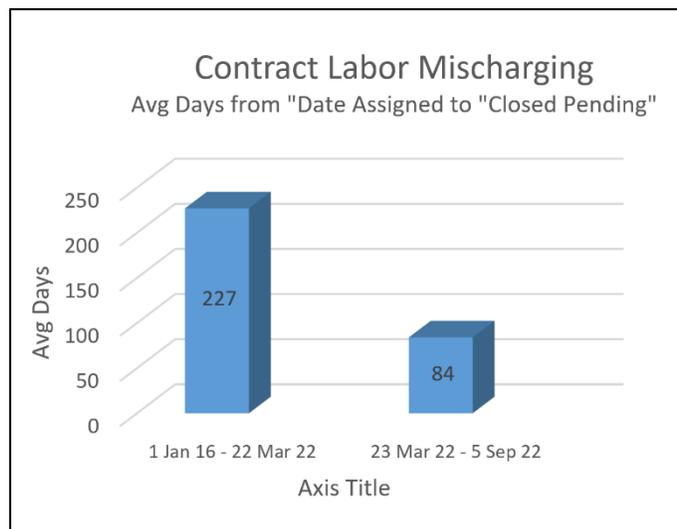
OIGD also established an internal task force composed of auditors, investigators, inspectors, and analysts to review 35 government contractor companies that obtained COVID-19 assistance and that OIGD flagged for potential suspicious activity through the division's proactive fraud analytics. The dollar amount in question equals \$38.9M.

Government Purchase Card Fraud Analytics

OIGD conducted an analysis of NGA Government Purchase Card (GPC) transactions of FY 2021 earlier in the year to determine if NGA employees or contractors had engaged in any potentially improper or fraudulent activity. The division's review identified potentially improper or fraudulent activity representing more than \$2.6M. OIGD is collecting data to conduct an analysis of NGA GPC transactions for FY 2022 and will report findings in the next report.

Contractor Labor Mischarging Analytics

OIGD collected OIGI timeliness metrics of NGA contract labor mischarging cases from 1 January 2016 to 22 March 2022. The average amount of time to conduct a labor mischarging case was 227 days, with an average of \$7.7k recovered. Analysis of the investigative business process identified areas for improving timeliness from the date the allegations are assigned to an analyst or agent to the date the cases are closed pending Agency or judicial action. OIGI and OIGD implemented updated processes and procedures based off the business analytics conducted. As a result, review of labor mischarging cases from 23 March 2022 to 5 September 2022, showed the average amount of time to conduct a labor mischarging case was 84 days, with an average of \$8,600 recovered. This is a 12% increase in recoveries and 63% increase in time saved conducting labor mischarging investigations.



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 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	4	0
Objective: To determine whether NGA effectively and efficiently satisfied U.S. Strategic Command 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	4	1
Objective: To determine whether Analysis component-related crisis and event response plans were in place, executed, and managed effectively. Specifically, OIG determined 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 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.		

Report Title, Report Number, Date	No. Closed	No. Open
Audit of NGA's Award Fee Contracts, Report No. OIGA 21-08, July 2021	3	2
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	2	1
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	1	2
Objective: To determine whether all laptops were accurately accounted for in accordance with federal, DoD, and NGA requirements.		
Audit of NGA's Government Purchase Card Program, Report No. OIGA 22-05, March 2022	4	0
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.		
Audit of NGA's Assignments Program, Report No. OIGA 22-06, May 2022	1	1
Objective: To assess whether the development and implementation of NGA's Assignments Program achieved program goals effectively and efficiently and supported related NGA plans for the workforce.		
Inspection of NGA's Acquisition Function, Phase II: Human Capital, Report No. OIGE-16-03, November 2015	1	0
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 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, Report Number, Date	No. Closed	No. Open
Inspection of NGA's Medical Services, Report No. OIGE-18-05, August 2018	4	6
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	2	0
Objective: This objective is classified.		
Inspection of NGA's GEOINT Services Initiative, Report No. OIGE-19-02, February 2019	1	1
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 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 Report 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 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 FY 2020, Report No. OIGE-21-08, September 2021	1	0
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 NGA's COVID-19 Response: GEOINT Continuity, Recovery, Reconstitution, and Impact, Report No. OIGE-22-03, July 2022	0	2
Objective: 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.		
Quick Look Inspection Report 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.		
Quick Look Inspection Report of NGA's Security Cameras, Report No. OIGE-22-04, August 2022	0	3
Objective: To evaluate NGA's policies and procedures regarding its use of security cameras and retention of security camera data.		
Management Advisory Report for NGA Support Team Governance and Support, Report No. MAR-22-01, August 2022	0	2
Objective: To alert NGA senior leadership that the Agency needs to review its external NST mission footprint and update key related governing documents for mission assurance and to assess return on investment.		
Total	28	44

Table A-2. Recommendations for Corrective Action for 1 April - 30 September 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
NGA’s COVID-19 Response: GEOINT Continuity, Recovery, Reconstitution, and Impact, Report No. OIG-22-03, July 2022	1	Per NGA Policy, establish specific milestones to conduct annual testing, training, and exercises to validate the NGA COOP Program; update continuity and component-specific plans; and develop a tracking mechanism for meeting these requirements.
	2	As required by NGA Policy, coordinate, draft, and prioritize Agency-level lessons learned, including specific actions, associated offices of primary responsibility, and milestones and develop enforcement and tracking mechanisms to track progress towards resolution as appropriate.
Quick Look Inspection Report of NGA’s Security Cameras, Report No. OIG-22-04, August 2022	1	Update Agency policies and implement detailed SOPs regarding NGA’s use of security cameras for assessment and retention of security camera data, including a schedule for periodic updates in accordance with DoD and federal regulations and guidelines.
	2	Implement security camera training of operators by administrators in accordance with DoD guidance for police officers and supervisors to ensure they use security cameras and retain camera data properly and effectively.



Table A-3. OIG Recommendations for Corrective Action Not Yet Completed Before 1 April 2022

Report Title, Report Number, Date	Rec. Number	Recommendations for Corrective Action
Audit of NGA's Government Purchase Card Program, Report No. OIGA 22-05, March 2022	3	Director, Office of Contract Services (OCS), establish succession and contingency plans for the Government Purchase Card Program Management Office.
	4	Director, OCS, update and implement procedures to monitor and enforce internal controls in the GPC program, including: <ol style="list-style-type: none"> a. Timely and proper completion and approval of nomination and appointment forms for GPC approving officials and card holders; b. Timely completion of required GPC training; c. Timely and proper completion of monthly GPC account reconciliations; and d. Timely and proper completion of annual reviews of approving official master accounts.
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.
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: <ol style="list-style-type: none"> 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.

Report Title, Report Number, Date	Rec. Number	Recommendations for Corrective Action
Independent Auditors’ Report on the NGA Financial Statements for FYs 2021 and 2020, Report No. OIGA 22-03, November 2021	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.
	<i>Recommendations to address material weaknesses:</i>	
	1A	Component Acquisition Executive (CAE), FM, and 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.
	1B	FM should update and finalize NGA Instruction 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-	

Report Title, Report Number, Date	Rec. Number	Recommendations for Corrective Action
		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., The Security and Installations Directorate (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.
	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 DFAS and by the U.S. Treasury.
	3B	FM document how NGA's compensating controls address the risks related to the reliability of DFAS' TI-97 reconciliation.

Report Title, Report Number, Date	Rec. Number	Recommendations for Corrective Action
	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 or 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.
	4C	CIO-T, in coordination with the relevant components, completely implement internal control over financial reporting guidelines to address the GAO's <i>Standards for Internal Control in the Federal Government</i> 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 <i>Standards for Internal Control in the Federal Government</i> 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 plans of action and milestones (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.
		<i>Recommendations to address significant deficiency:</i>
	1A	The CIO and CIO T, in coordination with the relevant components, develop, document, implement, and enforce consistent [REDACTED] policies and procedures, including those related to [REDACTED]. Such procedures should include the

Report Title, Report Number, Date	Rec. Number	Recommendations for Corrective Action
		retention of documentation to support [REDACTED] and evidence of [REDACTED].
	1B	The CIO and CIO T, in coordination with the relevant components, implement [REDACTED] on key systems to address all NGA [REDACTED], and implement technical solutions to incorporate [REDACTED] in accordance with NGA policy.
	1C	CIO-T and OCS develop, approve, and implement procedures to [REDACTED] to the production environment by the [REDACTED]. If [REDACTED] cannot be implemented, approved deviations from policy should be documented. Such procedures should include retention of evidential matter demonstrating that reviews of [REDACTED] occurred.
	1D	CIO-T and OCS develop, document, implement, and enforce [REDACTED] procedures for all systems in accordance with National Institute of Standards and Technology (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.
		<i>Recommendations to address instances of noncompliance:</i>
	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 Financial Management Improvement Act of 1996 (FFMIA), Section 803(a).
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 [REDACTED] policy and procedures in accordance with ODNI, Committee on National Security Systems (CNSS), and NIST guidance.
	02.02	Implement [REDACTED] plans in accordance with ODNI, CNSS, and NIST guidance.
	02.03	Perform [REDACTED] over NGA IT security and performance metrics, and common information system

Report Title, Report Number, Date	Rec. Number	Recommendations for Corrective Action
		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 Cybersecurity Workforce Framework 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.
	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 approve 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.
	07.01	Establish SCRM policies and procedures.

Report Title, Report Number, Date	Rec. Number	Recommendations for Corrective Action
	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 [REDACTED] approved by all required parties.
	08.02	Ensure information system personnel with [REDACTED] responsibilities participate [REDACTED] and document after action reports and lessons learned.
	08.03	Conduct [REDACTED] in accordance with the process documented in the [REDACTED] and NGA policy.
	09.01	Review the [REDACTED] to ensure that the results [REDACTED] are complete and accurate in accordance with ODNI, CNSS, and NIST guidance.
	09.02	Remediate [REDACTED] deviations in accordance with ODNI, CNSS, and NIST guidance.
	10.01	Develop and implement a process to ensure that system 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

Report Title, Report Number, Date	Rec. Number	Recommendations for Corrective Action
		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.
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 IC Standard 704-01 and provide a copy of the plan to the OIG by May 2022.
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 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 Director of Defense Intelligence 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).
Inspection of NGA's GEOINT Services Initiative, Report No. OIGE-19-02, February 2019	2	Comply with DoD Instruction (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 Acquisition Function, Phase III, Report No. OIGE-20-01, November 2019	2	In accordance with best practices and 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

Report Title, Report Number, Date	Rec. Number	Recommendations for Corrective Action
Inspection of NGA's Medical Services, Report No. OIG-18-05, August 2018	3	responded by dual-hatting the Deputy Director, NGA, 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 recommends that the Director appropriately staff the CAE's office and have subordinate staff report directly to the CAE. Finally, OIG recommends the Director realign and consolidate acquisition programs and activities (including contracting, research, pilots, prototypes, and acquisition of services) under the CAE.
	4	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 inter-service support agreement (DD Form 1144), and (2) ensure the support is explained in relevant internal SOPs.
	5	Coordinate pre- and post-deployment health activities with the Secretaries of the Military Departments to ensure all DoDI 6490.03 requirements are met.
	6	Implement a secure electronic transfer of NGA pre- and post-deployment health activity requirements to the Defense Medical Surveillance System.
	7	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.
	8	Enroll medical clinics in an accreditation program of a recognized national body, such as The Joint Commission, or the Accreditation Association for Ambulatory Health Care, Inc. The Agency additionally should request assistance from the Defense Health Agency Immunization Healthcare Branch for assistance with vaccine storage and use.
	8	Update the draft SOP related to deployment. The SOP should address the various COCOMs' requirements related to psychological assessment timelines. Further, ensure the SOP is coordinated with the appropriate medical personnel and Department of Energy leadership for accuracy.



Table A-4. Financial Results from Reports Issued During 1 April - 30 September 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	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-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 April 2022

Unresolved as of 30 September 2022	Reports with Unimplemented Recommendations	Number of Unimplemented Recommendations	Questioned Costs	Funds to Be Put to Better Use
Audits	10	81	\$0	\$0
Inspections	8	20	\$0	\$0
Total	18	101	\$0	\$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

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 external peer review OIGE participated in was for the period of 31 March 2022 through 30 September 2022. OIGE assisted in reviewing the NSA OIG.



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	4–17
§ 5(a)(2)	Recommendations for corrective action	22–31
§ 5(a)(3)	Significant outstanding recommendations	18–21
§ 5(a)(4)	Matters referred to prosecutorial authorities	12
§ 5(a)(5)	Information or assistance refused	34
§ 5(a)(6)	List of completed audit, inspection, and evaluation reports	4–10
§ 5(a)(7)	Summaries of significant reports	4–11
§ 5(a)(8)	Statistical table showing questioned costs	32
§ 5(a)(9)	Statistical table showing recommendations that funds be put to better use	32–33
§ 5(a)(10)	Summary of reports for which no management decision was made	32
§ 5(a)(11)	Significant revised management decisions	34
§ 5(a)(12)	Management decision disagreements	34
§ 5(a)(13)	Federal Financial Management Improvement Act of 1996	34
§ 5(a)(14–16)	Peer reviews	35
§ 5(a)(17–18)	Investigations statistics and metrics	36
§ 5(a)(19)	Investigations involving substantiated allegations against senior government employees	12
§ 5(a)(20)	Descriptions of whistleblower retaliation	13
§ 5(a)(21)	Attempts to interfere with IG independence	34
§ 5(a)(22)	Public disclosure	35
50 U.S.C. § 3235(b)(1) ¹	Investigations of Unauthorized Public Disclosures of Classified Information	36



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
CARES Act	Coronavirus Aid, Relief, and Economic Security Act
CDA	congressionally directed action
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
COCOM	combatant command
CONOPS	concept of operations
COOP	continuity of operations
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
DevCorps	Development Corps
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
EPSP	Enhanced Personnel Security Program
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

GEOINT	geospatial intelligence
HD	Human Development Directorate
IG	Inspector General
IG Act	Inspector General Act of 1978, as amended
IGCS	Inspector General Career Service
IC	Intelligence Community
IC IG	Inspector General of the Intelligence Community
IT	information technology
NGA	National Geospatial-Intelligence Agency
NIST	National Institute of Standards and Technology
NSG	National System for Geospatial Intelligence
NST	NGA Support Team
OCS	Office of Contract Services
ODNI	Office of the Director of National Intelligence
OIG	Office of Inspector General
OIGA	OIG Audits Division
OIGD	Data Analytics Division
OIGC	Counsel to the Inspector General
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
SOP	standard operating procedures
SSA	Social Security Administration
TI	Treasury Index



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