



2020

# Semiannual Report to Congress

Office of Inspector General

April 1 - 30 September 2020



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## MESSAGE FROM THE INSPECTOR GENERAL



I am pleased to present this National Geospatial-Intelligence Agency (NGA) Office of Inspector General (OIG) report for the period ending 30 September 2020. OIG conducted audit and inspection oversight, produced recommendations for improvements in agency programs, and pursued allegations of fraud, waste, and abuse.

We worked closely with NGA elements and closed 10 of 75 (13 percent) audit and inspection recommendations during this period. Under the Inspector General Empowerment Act of 2016, we continue to expand our metrics resulting from our recommendations to the Agency.

The Audit Division examined NGA's supply chain risk management and provided recommendations that focused on improving internal controls and program effectiveness and efficiency. We terminated our examination of NGA's management of the implementation of the Agile software development methodology and provided our observations and suggestions for improvement. We continue to examine NGA's permanent duty travel program, contractor personnel qualifications, award fee contracts, information security continuous monitoring program, classified laptop inventory, and purchase card program. We also continue to oversee the contract independent auditors' work on NGA's financial statement audit and evaluation of adherence to the Federal Information Security Modernization Act (FISMA). In addition, we are conducting an External Peer Review of the Defense Intelligence Agency, Office of Inspector General, Audit Organization.

The Inspections Division continues to work on increasing effectiveness and efficiency in the agency's programs and processes. Current inspections include assessing the agency's promotion process; evaluating the Contract Writing System, which is used as a depository for all of the agency's contractual documentation; and measuring the agency's use of GEOINT standards. The division announced its first of several inspections related to the COVID-19 pandemic and closed four recommendations with the agency this period.

The Investigations Division closed 18 cases this period, substantiating 6 (33 percent) cases involving time and attendance fraud, computer misuse, security, and travel, and recovering \$27,980. The division continues to work on several investigations of senior officials. The Fraud Analytics Support Team used data analytics to identify potential fraud in contracts, government purchase and travel cards, and potential misconduct.

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

Cardell K. Richardson, Sr.  
Inspector General

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## OVERVIEW

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



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

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

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

## RESOURCES AND ORGANIZATION

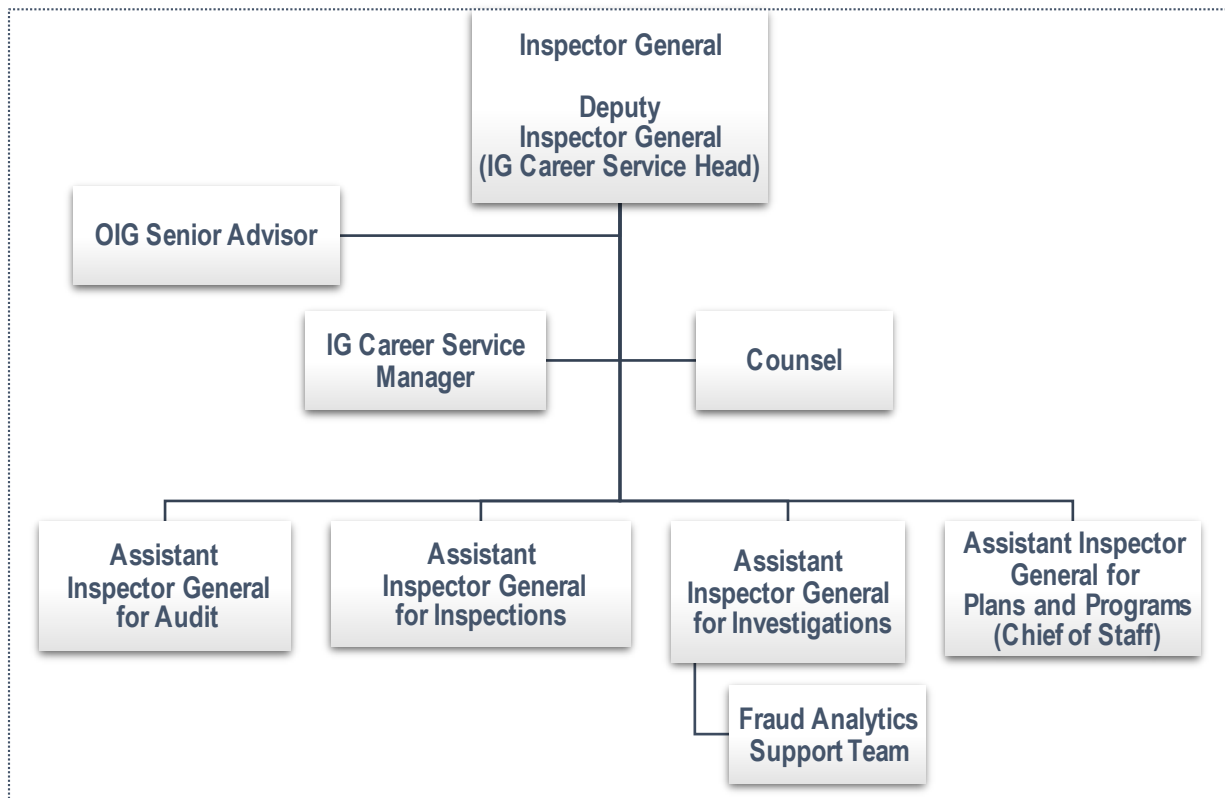
The OIG is authorized 60 billets, and as of 30 September 2020, 57 employees were on board. The OIG staff is allocated among three core divisions—Audit, Inspections, and Investigations—and a support function—the Plans and Programs Division. A Counsel and Senior Advisor report directly to the IG.

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

The IGCS focused on creating career progression roadmaps and developing deep IG expertise and career broadening through rotational assignments across the IG community. The goal of the IGCS is to strengthen core IG competencies, broaden career opportunities, and safeguard independence.

The IGCS emphasized partnering across the IG community with a focus on sharing lessons learned. Engagements highlighted the IG best practices across collaboration partnerships. The IGCS created a career progression roadmap that assists IG professionals in identifying career planning goals to enhance their career development. The guide sets a framework for individual or supervisory conversations about experience, exposure, and education needs for future growth in the seven occupational work roles in the IGCS. The IGCS Career Resource Guide was broadly shared across the IG Community and highlighted by the CIGIE and the IC IG communities as a best practice across their respective communities. The IGCS also took a leading role in expanding mentoring opportunities across the IG community during this period. IGCS members led in the CIGIE mentoring sub-group and spearheaded a recruiting event for mentors during the CIGIE annual conference.

**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 review, and reviews all plans, 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, DoD IG, federal and state prosecutors, NGA's Office of General Counsel (OGC), and other NGA components.

## SENIOR ADVISOR TO THE INSPECTOR GENERAL

The Senior Advisor serves as Executive Advisor to the Inspector General and Deputy Inspector General. The Senior Advisor focuses on OIG operational activities and mission accomplishment including providing advice and leadership on substantive and technical issues, optimizing partnerships (internal and external), and improving effectiveness and efficiency. In addition, the Senior Advisor champions the design and implementation of long-range strategies for reimagining and transforming OIG to meet the organization's vision, mission, and goals.

## AUDIT

The Audit Division 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 Inspector General Act of 1978, 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 has responsibility for the evaluation, review, and analysis of NGA's programs and activities, including authorities, policies, procedures, and controls. The division provides independent assessment of the reliability of information, compliance with regulations and policies, management of resources, and achievement of program results. Inspections are conducted in accordance with the Council of the Inspectors General on Integrity and Efficiency

(CIGIE) Quality Standards for Inspection and Evaluation and the IG Act of 1978, as amended, and provide information that is timely, credible, and useful for agency managers, policy makers, 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 conducts independent administrative and criminal investigations of complaints and other information of possible violations of criminal and civil law. The division is the principal NGA agent for investigating potential violations of rule or regulation, as well as incidents of gross mismanagement, gross misconduct, abuse of authority, and denial of due process. The Investigations Division closed 18 cases this period, substantiating 6 (33 percent) of its cases involving time and attendance fraud, computer misuse, security, and travel, and recovered \$27,980.

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

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



# SUMMARIES OF AUDITS

## COMPLETED

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### **Audit of NGA's Supply Chain Risk Management, Report No. OIGA 20-06, issued 18 June 2020**

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

*Findings.* NGA did not effectively manage the Supply Chain Risk Management program in accordance with established requirements. Specifically, NGA did not implement requirements in the SECURE Technology Act, Intelligence Community Directive 731, Committee on National Security Systems Directive 505, and DoD Instruction 5200.44.

*Results.* The report contains six recommendations to strengthen NGA's supply chain risk management program and internal controls. The recommendations focus on establishing an office of primary responsibility, assessing program resources, establishing policies and procedures that implement program requirements, and establishing appropriate training programs.

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### **Audit of NGA's Management of the Implementation of the Agile Software Development Methodology, Memorandum U-136-20/OIG, issued 29 July 2020**

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

*Findings.* We made observations based on interviews and review of contract and program documentation during the audit planning phase. In May 2020, NGA issued its Technology Strategy and, if effectively implemented, the strategy will address several of our observations.

*Results.* After careful evaluation, we determined it impractical to continue the interviews or access the required classified documents necessary to complete this audit under the current COVID-19 operating environment. Therefore, we terminated the audit and issued a memorandum to NGA management to communicate our observations and suggestions.

## ONGOING

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### **Audit of NGA's Permanent Duty Travel Program, Project No. 19-A03**

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

*Status.* The project, announced in March 2019, is 95 percent complete. OIGA plans to issue a report in October 2020.

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

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

*Status.* The project, announced in April 2019, is 95 percent complete. OIGA plans to issue a report in October 2020.

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### **FY2020 Federal Information Security Modernization Act Evaluation of the NGA Information Security Program, Project No. 20-A02**

*Overview.* OIG contracted KPMG LLP, an independent public accounting firm, to perform the FY2020 evaluation required by FISMA. The overall objectives of the evaluation are to assess NGA's information security program in accordance with the IG FISMA reporting metrics issued by the Department of Homeland Security and determine whether NGA implemented recommendations from the prior year's evaluation. The evaluation will include testing a sample of information systems to support the IG metrics.

*Status.* The project, announced in January 2020, is 75 percent complete. OIGA plans to issue the final external metrics report to the Intelligence Community Inspector General in October 2020, and the detailed internal report to NGA management in January 2021.

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### **Audit of NGA's Award Fee Contracts, Project No. 20-A03**

*Overview.* The objective of this audit is to assess NGA's management of award fee contracts. Specifically, we will evaluate the adequacy and appropriateness of the (1) process used to assess contractor performance, (2) justification for fees awarded, and (3) obligation of award fees.

*Status.* The project, announced in February 2020, is 50 percent complete. OIGA plans to issue a report in March 2021.

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#### **Evaluation of NGA's Information Security Continuous Monitoring Program, Project No. 20-A04**

*Overview.* OIG contracted KPMG LLP to conduct an evaluation of NGA's information security continuous monitoring (ISCM) program. Specifically, KPMG will determine why NGA has not consistently implemented an ISCM program.

*Status.* The project, announced in March 2020, is 65 percent complete. KPMG's report is expected to be issued in January 2021.

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#### **Audit of NGA's Classified Laptop Inventory, Project No. 20-A05**

*Overview.* The objective of this audit is to determine whether NGA's classified laptop inventory is managed in accordance with federal, DoD, and NGA requirements.

*Status.* The project, announced in February 2020, is 40 percent complete. OIGA plans to issue a report in April 2021.

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#### **Audit of the NGA Financial Statements for FY2020, Project No. 20-A06**

*Overview.* OIGA contracted KPMG LLP, an independent public accounting firm, to audit NGA's FY2020 financial statements. The audit objective is to determine whether NGA's financial statements are presented fairly, in all material respects, in accordance with US generally accepted accounting principles. To meet requirements for federal financial statement audits, KPMG is also assessing internal control over financial reporting and performing tests to determine whether NGA complied with applicable provisions of laws, regulations, contracts, and grant agreements.

KPMG is following up on the status of management's corrective actions to address the findings and recommendations communicated in the *Independent Auditors' Report on the NGA Financial Statements for FYs 2019 and 2018* (Report No. OIGA 20-03), and the *Independent Auditors' Management Letter for the FY2019 Financial Statement Audit* (Report No. OIGA 20-04).

*Status.* The project, announced in February 2020, is 70 percent complete. KPMG's report will be issued no later than 16 November 2020. If necessary, a management letter will be issued by 31 December 2020.

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**Audit of NGA's Purchase Card Program, Project No. 20-A07**

*Overview.* The objectives of this audit are to determine whether: (1) NGA's internal controls over the purchase card program are properly designed and implemented, and operating effectively to prevent abuse or misuse, and (2) NGA government purchase card transactions are valid, properly authorized and supported.

*Status.* The project, announced in March 2020, is 25 percent complete. OIGA plans to issue a report in April 2021.

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**External Peer Review of the Defense Intelligence Agency, Office of Inspector General, Audit Organization, Project No. 20-A08**

*Overview.* The objectives of the review are to determine whether the Defense Intelligence Agency, 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 firm serves as the auditor, are suitably designed and complied with. Audit organizations that perform audits in accordance with generally accepted government auditing standards are required to undergo an external peer review at least once every three years.

*Status.* The project, announced in June 2020, is 50 percent complete. OIGA plans to issue a report in December 2020.



## SUMMARIES OF INSPECTIONS

### COMPLETED

Due to delays resulting from the Coronavirus Disease 2019 (COVID-19) pandemic and division resources challenges, we did not issue any inspection reports during this reporting period.

### ONGOING

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

*Overview.* The NGA Director, as Geospatial Intelligence (GEOINT) Functional Manager (GFM), established the National System of Geospatial-Intelligence (NSG) GFM Standards Assessment program, which defines and implements NSG methods and processes to assess and assert information technology (IT) and National Security Systems (NSS) conformance with GEOINT data and service standards within the DoD and the IC. During our 2019 annual planning process, we learned of potential negative effects resulting from NGA Career Service manpower initiatives and constrained contract funding for the GEOINT Standards program. Management raised concerns that the Career Service initiatives created a critical shortfall in qualified cadre. Additionally, we learned of concerns regarding possible reductions to the GEOINT standards-related contract funding. The overall objective of the inspection is to assess whether the GEOINT Standards program is currently organized, staffed, and resourced to effectively fulfill its GFM responsibilities.

*Status.* The final report was delayed due to unplanned attrition in the Inspections Division staff and a reduced manning profile for a temporary period. Additional delays occurred due to the COVID-19 pandemic. The report is planned for publication in December 2020.

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

*Overview.* NGA contract data must be completed and tracked in a system that is searchable. Currently, NGA contract data is housed in a system called PRISM. We received complaints that contract data is incomplete and kept on manual spreadsheets. In addition, the ability for NGA's Office of Contract Services (OCS) and program offices to readily track, obtain metrics, and evaluate contracts during the lifecycle cannot be effectively performed without a standardized contract writing system. The overall objective of this inspection is to determine whether NGA's contract writing system delivers the capability to provide adequate contract data for principal users. Specifically, we will determine whether the current NGA contract writing system

sufficiently allows for storage, discoverability, and retrieval of required contract documentation and whether the planned system will adequately store, manage, and make accessible all required contract information, as required by Federal Acquisition Regulation §4.8, “Government Contract Files.”

*Status.* The final report was delayed due to unplanned attrition in the Inspections Division staff and a reduced manning profile for a temporary period. Additional delays occurred due to the COVID-19 pandemic. The report is planned for publication in November 2020.

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### **Inspection of the NGA Promotion Process, Project No. II-20-01**

*Overview.* Beginning in 2016, NGA began transitioning to a new promotion process, which differs significantly from the system that had been in place. The new promotion process was fully implemented in 2019. The overall objective of this inspection is to determine whether the current promotion process is effective and efficient and to evaluate HD’s oversight of the promotion process. Specific subobjectives are to assess the process and ascertain any needed improvements, cost effectiveness in terms of money and manpower, and whether the Human Development Directorate’s measures of success map to the NGA Strategic Goals.

*Status.* The final report was planned for publication in July 2020; however, the inspection was delayed due to the COVID-19 pandemic and significant personnel changes. Publication is planned for January 2021.

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### **Inspection of NGA’s Telework Policy, Project No. LS-20-01**

*Overview.* OIG will conduct several phased inspections evaluating NGA’s planning, preparedness, response, and recovery during the COVID-19 pandemic. These inspections will inform leadership and provide opportunities to improve on NGA’s future pandemic or emergency response. The first of five reviews focuses on the agency’s telework policy and posture. The objectives of this inspection are to determine and evaluate NGA’s Telework Policy posture prior to the COVID-19 pandemic, and to determine and assess NGA’s application of US Government Telework Policy in response to the COVID-19 pandemic.

*Status.* The project was announced in September 2020 and is in the planning phase. Publication is planned for January 2021.

## SUMMARIES OF INVESTIGATIONS

As of 30 September, the Investigations Division (OIGI) has closed 18 cases, six (or 33 percent) of which were substantiated, opened 15 new cases, and has 65 ongoing investigations.<sup>1</sup>



## JUDICIAL ACTIONS AND PROSECUTIONS

OIGI has nothing to report during this period.

## CASES INVOLVING SENIOR GOVERNMENT OFFICIALS (SUBSTANTIATED)

OIGI has 14 pending investigations on senior officials. During this period, OIGI did not complete any investigations that substantiated allegations against senior government officials. OIGI provided the DoD OIG the required notification of these allegations and cases.

## CASES INVOLVING SENIOR GOVERNMENT OFFICIALS (UNSUBSTANTIATED)

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

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### OIG Case No. 19-008, closed September 2020

A senior government official, who was the Source Selection Authority for a competitive contract, was alleged to have had an improper relationship with a bidder; not substantiated.

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### OIG Case No. 19-055, closed April 2020

A senior government official, alleged that NGA employed discriminatory practices by using annual performance scores as a discriminator to make final promotion decisions. Additionally, the senior government official alleged reprisal after questioning senior leadership regarding the official's concerns. The allegations were not substantiated.

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<sup>1</sup> As of 31 March 2020, OIGI had 70 open cases. During this reporting period, 17 of those cases have been closed; 15 new cases have been opened, and one of those new cases have been closed for a total of 18 closed cases. An additional two cases are in closed-pending status and are not included in the 65 ongoing cases.

## WHISTLEBLOWER RETALIATION

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

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### **OIG Case No. 19-055, closed April 2020**

A senior government official alleged that NGA employed discriminatory practices by using annual performance scores as a discriminator to make final promotion decisions. Additionally, the senior government official alleged reprisal after questioning senior leadership regarding the official's concerns. The allegations were not substantiated.

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### **OIG Case No. 19-126, closed June 2020**

OIGI investigated an allegation of retaliation against a Pay Band 3 analyst by a supervisor for reporting a hostile work environment and bullying to the NGA Office of Diversity and EEO and the NGA Ombudsman. The analyst reported that the performance appraisal was negatively impacted and that the analyst had to relocate to a different state to avoid the alleged hostile environment. The OIGI investigation concluded that reprisal did not occur. These findings were reported to the analyst.

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### **OIG Case No. 20-067, closed August 2020**

OIGI opened a case to address an allegation that a Pay Band 3 employee received a lower performance appraisal score from their second-line supervisor for grieving a letter of reprimand. The OIGI investigation concluded that reprisal did not occur. The finding was reported to the employee.

## TIME AND ATTENDANCE FRAUD

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



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### **OIG Case No. 19-014, closed September 2020**

OIGI received an allegation that a Pay Band 3 data management specialist slept at their desk and used government resources to manage a personal business. OIG investigators found evidence to support the allegation. The value of this shortage was \$14,108.83. The employee received a 14-day suspension without pay and actions were initiated to recover these funds.



## CONTRACTOR LABOR MISCHARGING

OIGI continued to address issues of contractor labor mischarging through outreach efforts with industry and a fraud survey that was provided to the NGA workforce. One labor mischarging case, summarized below, resulted in the recovery of funds.

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### **OIG Case No. 20-081, closed August 2020**

OIGI opened a case after receiving a report from an NGA contractor that one of its employees assigned to NGA mischarged 25.4 hours of labor, valued at \$1,313.64. The contractor terminated the employee, and OIGI ensured that the NGA Office of Contract Services was notified of the disclosure and that the money was credited back to NGA.

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## OTHER NOTEWORTHY INVESTIGATIONS

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### **OIG Case No. 18-047, closed September 2020**

OIGI investigated allegations that an NGA employee falsified hiring panel documents, which resulted in the government paying travel expenses to conduct in-person interviews for applicants who were not qualified. The investigation disclosed evidence of this activity, and the employee resigned before any disciplinary action was taken.

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### **OIG Case No. 19-016, closed September 2020**

The OIGI investigated allegations that an NGA imagery analyst and an NGA contractor employee engaged in inappropriate and unprofessional activity in the workplace and fraudulently reported hours worked on time sheets. Evidence showed that they did engage in an inappropriate relationship and inappropriate activity at NGA. The contractor was found to have reported 58 hours on time sheets that were not worked. The contractor's employer reimbursed the government \$4,343.48 for the 58 hours not worked. Both parties inappropriately misused NGA communication systems and equipment. The imagery analyst received a 14-day suspension without pay.

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## CRIMINAL INVESTIGATIONS

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

## FRAUD ANALYTICS SUPPORT TEAM

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

### COMPLETED

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#### **Proactive Time and Attendance/Labor Mischarges, Project No. F20-001**

The Proactive Time and Attendance and Labor Mischarge (P-TA/LM) project's primary objective is to detect false claims, and its secondary objective is to deter future false claims against the government. The P-TA/LM model identified 23 possible timecard abusers. After preliminary analysis, seven cases were opened, four have been closed as unsubstantiated, and three were found to be substantiated.

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#### **OIG Annual Plan Support - Analysis of FY 2019 Employee Complaints, Project No. F20-002**

In support of the FY 2021 OIG Annual Plan, FAST initiated a text analysis project of the OIG's Hotline complaints received in FY2020 to date. Hotline complaints usually regard individual misconduct, but an analysis of all complaints received in FY2020 revealed several systemic issues that were considered for the Annual Plan.

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#### **System of Award Management (SAM) Exclusion List, Project No. F20-004**

SAM is the registration system vendors must use to do business with the Federal Government. FAST initiated a project to check NGA vendors against the SAM exclusion list. FAST developed a script to cross reference over 150,000 companies and individuals disbarred from doing business with the Federal Government with tens-of-thousands of contractors and companies contracted by NGA. This effort ensured that no disbarred companies or individuals were doing business with NGA, thereby, significantly lowering the agency's risk of fraudulent activity and ensuring internal controls are functioning as intended.

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#### **FY2020 Analysis of NGA Employee Complaints for Systemic Issues, Project No. F20 005**

OIG Hotline complaints typically involve allegations of employee misconduct; however, FAST has initiated an annual review of OIG Hotline complaints for potential systemic issues as part of its support to the OIG Annual Audit and Inspections Plan process. FAST cross-referenced

keywords derived from the FY2021 proposed Audit and Inspection Plan with FY19 and FY20 intakes and performed unsupervised topic modeling on OIGI complaints to identify any systemic issues present and inform the annual planning process. FAST developed a dashboard to present results in an interactive manner and facilitate decision making by assistant inspectors general, the deputy IG and the IG.

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### **Inspections Support – Employee Engagement Survey Text Analytics, Project No. F20 007**

FAST conducted an analysis of NGA Employee Engagement Survey responses to identify potential systemic issues related to NGA Career Services and employee promotions. This collaborative effort resulted in the identification of several topics that may be indicative of systemic issues for inspection in the future.

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### **FY2019 Proactive Government Purchase Card Analytics, Project No. F20-008**

FAST conducted an annual review of Government Purchase Card (GPC) transactions made in FY2019 for indicators of fraud, waste, or misuse. FAST identified 104 high-risk transactions for further review. FAST requested supporting documentation and justification for all questionable purchases from GPC program managers. After further review, FAST concluded that the Office of Contract Services has effective procedures in place to monitor GPC purchases.

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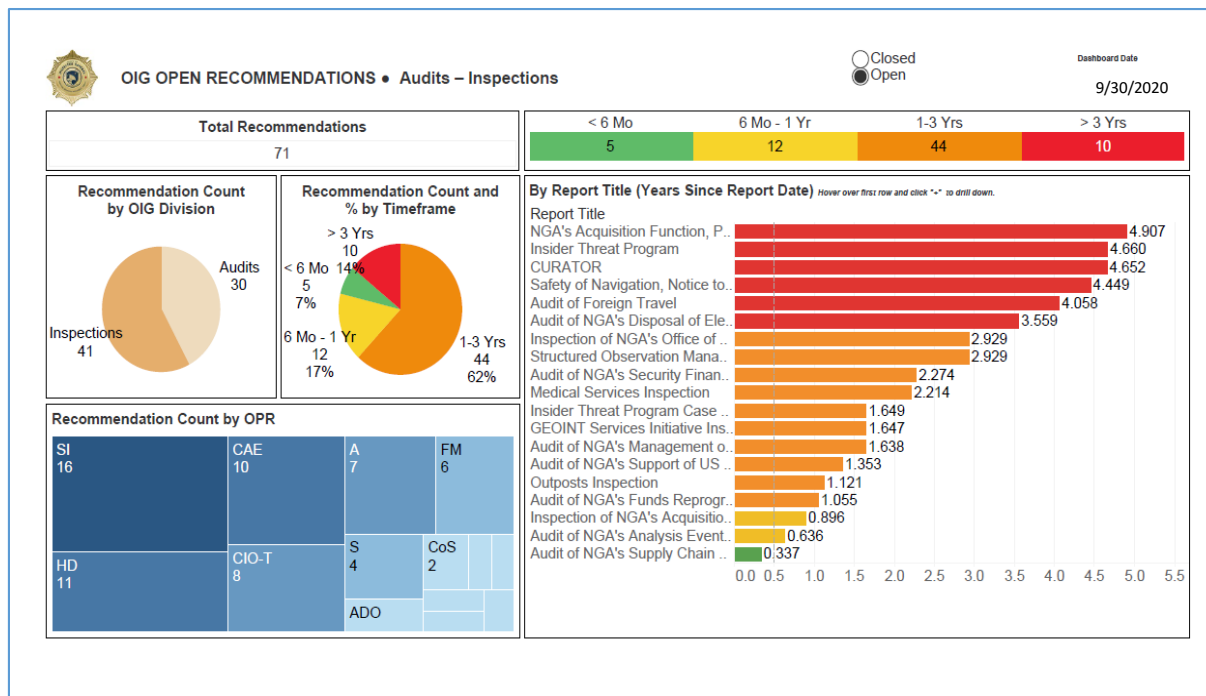
### **FY2020 NGA OIG Open Recommendations Dashboard, Project No. F20-009**

This dashboard provides NGA management a status of all OIG open recommendations. The dashboard also shows the number of open recommendations by responsible NGA organization and by age of recommendations.

**Figure 2. Analysis of Open Recommendations from March 2020 to September 2020**

Open Recommendations			
Mar 2020 → Sep 2020			
Total	75 → 71	5%	↓ Good
1-3 yrs.	37 → 44	19%	↑ Opportunity
3-5 yrs.	10 → 10		

**Figure 3. Open Recommendations Dashboard as of September 2020**



### Detection of Toxic Employee Chats, Project No. F20-011

FAST developed a model that classifies employee chats on IC-wide platforms as instances of harassment, employee misconduct, or Hatch Act violations with an 87-percent accuracy. This model eliminates the need for investigators to manually review thousands of comments for computer misuse or employee misconduct cases and reduces the effort from approximately 40 hours to two hours per case.

### Predictive Model: Case Substantiation, Project No. F20-012

FAST developed and deployed a predictive model that utilizes natural language processing to retrieve relevant information from complaint intakes to predict complaint substantiation with an 80-percent accuracy. The model aims to augment the decision making process at initial case selection to improve investigative targeting, increase the number of medium-/high-impact cases, and improve investigative resource allocation. The model will increase substantiation rate by 29 percent and result in an average annual savings of \$611,000 in investigative resources.



## ONGOING

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### **Proactive Contract Fraud Detection Model, Project No. F20-003**

Contracts pose one of the highest risks for fraud at NGA. In response, FAST initiated an annual review of NGA contracts. The objective of this project was to identify high-risk contracts based on risk rankings derived from available data and outlier detection methods. The goal is to find the outliers in the data and identify contracts with potential fraud, waste, and abuse. This project is expected to be completed by September 2021.

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### **FY2019 Proactive Government Travel Charge Card Analytics, Project No. F20-006**

The OIG FAST will perform an annual review of Government Travel Charge Card (GTCC) transactions made in FY2019 and FY2020 for indicators of misuse. FAST will refer misuse cases to management for action and to NGA's GTCC Team for remedial action. This project is expected to be completed by September 2021.

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### **Paycheck Protection Program Loan Fraud Proactive Project, Project No. F20-010**

FAST is currently collaborating with the Defense Criminal Investigative Service to develop a model to proactively detect Paycheck Protection Program (PPP) fraud by NGA contracting companies. This project is expected to be completed by September 2021.

## NEW

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### **FY2021 NGA OIG Strategic Implementation Plan Dashboard, Project No. F21-001**

FAST will develop an interactive dashboard to track the progress of OIG strategic goals. This dashboard aims to capture key performance indicators associated with each goal, will help ensure the on-time delivery of strategic objectives, and enable executive decision making. This project is expected to be completed by September 2021.

## 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 2020**

This table provides the number of NGA OIG and DoD OIG audit and inspection recommendations issued to NGA management that were closed or remained open at the end of the reporting period. This table does not include recommendations from the Financial Statement Audit (41 open) and FISMA evaluation (42 open). Recommendations that closed prior to 1 April 2020 are not included.

Report Title, Number, Date	Recommendations	
	No. Closed	No. Open
<b>Audit of Foreign Travel, Report No. OIGA 16-13, September 2016</b>	<b>0</b>	<b>1</b>
Objective: To determine whether management of foreign temporary duty (TDY) travel was effective and efficient. Specifically, the OIG determined whether NGA travelers and approving officials complied with applicable laws and regulations governing reimbursement for foreign TDY travel.		
<b>Audit of NGA's Disposal of Electronic Waste, Report No. OIGA 17-06, March 2017</b>	<b>0</b>	<b>3</b>
Objective: To determine whether NGA sanitized and disposed of e-waste in accordance with IC, DoD, and NGA policies and procedures.		
<b>Audit of NGA's Information Assurance Certification Program, Report No. OIGA17-09, June 2017</b>	<b>1</b>	<b>0</b>
Objective: To determine whether the NGA workforce performing information assurance functions have met appropriate certification requirements in accordance with DoD and NGA policies and procedures.		

Report Title, Number, Date	Recommendations	
	No. Closed	No. Open
<b>Audit of NGA's Security Financial Disclosure Program, Report No. OIGA18-06, July 2018</b>	<b>1</b>	<b>4</b>
Objective: To determine whether the NGA Security Financial Disclosure Program is effectively managed in accordance with applicable Federal, DoD, and NGA policy and guidance.		
<b>Audit of NGA's Management of the Defense Acquisition Workforce Improvement Act (DAWIA) Program, Report No. OIGA19-05, March 2019</b>	<b>1</b>	<b>1</b>
Objective: To determine whether NGA effectively and efficiently managed the DAWIA Program.		
<b>Audit of NGA's Support to US Strategic Command (STRATCOM) Mission Requirements, Report No. OIGA19-06, June 2019</b>	<b>2</b>	<b>5</b>
Objective: To determine whether NGA effectively and efficiently satisfied STRATCOM requirements.		
<b>Audit of NGA's Funds Reprogramming Activity, Report No. OIGA19-07, September 2019</b>	<b>0</b>	<b>4</b>
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.		
<b>Audit of NGA's Analysis Event Response for National Security and Natural Disasters, Report No. OIGA 20-05, March 2020</b>	<b>0</b>	<b>7</b>
Objective: To determine whether Analysis component-related crisis and event response plans were in place, executed, and managed effectively. Specifically, we 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.		
<b>Audit of NGA's Supply Chain Risk Management, Report No. OIGA 20-06, June 2020</b>	<b>1</b>	<b>5</b>
Objective: To determine whether the NGA Supply Chain Risk Management program was effectively managed in accordance with federal law, DoD, Intelligence Community, and other applicable policy and guidance.		

Report Title, Number, Date	Recommendations	
	No. Closed	No. Open

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

0

1

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

**Inspection of the CURATOR Program, Report No. OIGE 16-04, February 2016**

0

3

Objectives: To determine compliance with its statement of capabilities.

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

1

0

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

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

0

1

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

**Inspection of Structured Observation Management (SOM), Report No. OIGE 18-01, November 2017**

0

3

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



Report Title, Number, Date	Recommendations	
	No. Closed	No. Open
<b>Inspection of NGA's Office of Counterintelligence, Report No. OIGE 18-02, November 2017</b>	<b>0</b>	<b>1</b>
Objective: To determine whether NGA's counterintelligence program complies with DoD and IC policies and standards. The inspection also assessed the effectiveness, efficiency, and execution of counterintelligence processes and activities. Subobjectives of the inspection were to: (1) determine whether the Office of Counterintelligence programs and activities comply with DoD and IC policies and standards; (b) assess the Office of Counterintelligence program and organizational structure; and (c) assess the Office of Counterintelligence for effectiveness and efficiency.		
<b>Inspection of NGA's Medical Services, Report No. OIGE 18-05, August 2018</b>	<b>0</b>	<b>10</b>
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.		
<b>Inspection of NGA's Insider Threat Program Case Management, Report No. OIGE 19-01, February 2019</b>	<b>0</b>	<b>10</b>
Objective: To assess the NGA Insider Threat Program's processes and procedures used for managing cases and complying with applicable laws, DoD, and IC policies.		
<b>Inspection of NGA's GEOINT Services Initiative, Report No. OIGE 19-02, February 2019</b>	<b>0</b>	<b>5</b>
Objective: To assess the effectiveness and efficiency of the implementation of GEOINT Services against IC requirements; agency objectives, plans, and milestones; and assigned responsibilities. Specific subobjectives of the inspection were to determine the extent to which GEOINT Services has: (1) been effectively and efficiently implemented, and (2) effectively and efficiently fulfilled NGA's designated responsibilities of Geospatial Platform as a Service (GPaaS).		
<b>Quick Look Inspection Report of NGA Outposts Report No. OIGE-19-05, September 2019</b>	<b>4</b>	<b>1</b>

Objectives: To evaluate the effectiveness of the NGA Outposts with respect to return on investment.

Report Title, Number, Date	Recommendations	
	No. Closed	No. Open
Inspection of NGA's Acquisition Function, Phase III: Policies and Processes, Report No. OIGE 20-01, November 2019	0	5
<p>Objectives: 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. Specifically, we discovered the Agency's acquisition policies and processes, assessed how well the policies and processes supported the Agency's program managers in performing their duties, and assessed how the policies and processes supported the Agency's ability to assess and monitor its own acquisition performance.</p>		
<b>TOTAL</b>	<b>10</b>	<b>71</b>

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

**Table A-2. OIG Recommendations for Corrective Action, Current Reporting Period (1 April 2020 – 30 September 2020)**

Report Title, Number, Date	Rec. Number	Recommendation for Corrective Action
<b>Audit of NGA’s Supply Chain Risk Management, Report No. OIGA 20-06, issued 18 June 2020</b>	2.	Develop a [REDACTED] and implementation plan for instituting a SCRM program that complies with federal, DoD, and Intelligence Community laws and policy.
	4.	Ensure NGA policies and procedures are established that [REDACTED] implement SCRM program requirements. Policies and procedures should include the requirements detailed in the SECURE Technology Act, Intelligence Community Directive 731, DoD Instruction 5200.44, and DoD Chief Information Officer Memorandum, Guidance for the Procurement and Integration of Information and Communications Technology Components into Critical Information Systems and Networks, 24 March 2016. Coverage should include responsibilities for criticality assessments, vulnerability assessments, threat assessments, impact analyses, and overall risk decisions.

**Table A-3. Recommendations for Corrective Action Not Yet Completed, Reporting Periods Before 1 April 2020.**

<b>Report Title, Number, Date</b>	<b>Rec. Number</b>	<b>Recommendation for Corrective Action</b>
<b>FY2019 Evaluation of the NGA Pursuant to the Federal Information Security Modernization Act, Report No. OIGA 20-02 (Internal Report), issued 5 November 2019</b>	1.01	Develop and approve a process for the enforcement of HTTPS and HSTS for all current and future public facing websites.
	1.02	Implement the enforcement of HTTPS and HSTS on all public facing websites as required by policy.
	2.01	Develop and implement an agency-wide continuous monitoring strategy in accordance with ODNI, CNSS, and NIST guidance.
	2.02	Develop and implement a continuous monitoring policy and procedures in accordance with ODNI, CNSS, and NIST guidance.
	2.03	Develop and implement ISCM plans in accordance with ODNI, CNSS, and NIST guidance.
	2.04	Perform continuous monitoring over NGA IT security and performance metrics, and common and information system security controls in accordance with ODNI, CNSS, and NIST guidance.
	3.01	Develop policies and procedures for security awareness and role-based training to identify the required trainings for persons with specialized responsibilities in accordance with ODNI, CNSS, and NIST guidance.
	3.02	Provide and track role-based training for information security personnel in accordance with ODNI, CNSS, and NIST guidance.

Report Title, Number, Date	Rec. Number	Recommendation for Corrective Action
FY2019 Evaluation of the NGA Pursuant to the Federal Information Security Modernization Act, Report No. OIGA 20-02 (Internal Report), issued 5 November 2019 (continued)	3.03	Develop policies and procedures for the execution of the cybersecurity workforce assessment.
	3.04	Perform a cybersecurity workforce assessment to include all position assignments for the entire agency.
	4.01	Finalize and approve the NGA Privacy Program Instruction and related Standard Operating Procedures (SOP) to define the monitoring and reporting of potential PII incidents and privacy role-based training requirements.
	4.02	<p>"Enforce the Privacy Program Directive and related Instruction to ensure:</p> <ul style="list-style-type: none"> <li>a. Individuals with privacy responsibilities take required role-based privacy training.</li> <li>b. PTAs and PIAs are completed and approved within the risk management information system's body of evidence for monitoring the risk to the environment.</li> <li>c. All potential privacy incidents are consistently monitored and reported to appropriate individuals and parties.</li> </ul>
	4.03	Track all programs, information systems, and applications that collect and maintain PII.



Report Title, Number, Date	Rec. Number	Recommendation for Corrective Action
FY2019 Evaluation of the NGA Pursuant to the Federal Information Security Modernization Act, Report No. OIGA 20-02 (Internal Report), issued 5 November 2019 (continued)	5.01	<p>"Consistently implement the internal control environment of external service providers, which may include:</p> <ul style="list-style-type: none"> <li>• Complete the [REDACTED] as required by the NGA Risk Management Framework process.</li> <li>• Document applicable [REDACTED] as noted within the ATO</li> <li>• [REDACTED] security impact levels for [REDACTED]." </li></ul>
	6.01	Establish notification, investigation, and reporting timelines for all defined incident categories and analyst groups.
	6.02	Establish a training program for incident handlers to be trained within 30 working days of assuming an incident response role, when required by system changes or responsibility and annually thereafter.
	6.03	Finalize the implementation of cyber tools for all traffic routed into the agency, to include the cloud.
	6.04	Finalize cloud incident response procedures.
	7.01	Establish a configuration controls process to ensure the SBUNet remote session timeout settings cannot be updated without proper approval and access, in accordance with NIST guidance and NGA requirements.
	8.01	Establish and implement a [REDACTED].
	9.01	Ensure all systems in production have ISCPs approved by all required parties.

Report Title, Number, Date	Rec. Number	Recommendation for Corrective Action
FY2019 Evaluation of the NGA Pursuant to the Federal Information Security Modernization Act, Report No. OIGA 20-02 (Internal Report), issued 5 November 2019 (continued)	9.02	Ensure information system personnel with contingency planning responsibilities participate in ISCP exercises and document AARs and lessons learned per SPID.
	9.03	██████████ are performed in accordance with CNSS, NIST, NGA, and system guidance.
	9.04	Identify, track, and oversee the implementation of system alternate processing sites in accordance with CNSSI, NIST, and NGA guidance. Perform evaluations to determine whether management should implement alternate processes to enable the system to meet recovery objectives in the event of a disaster at the primary processing site, prior to the establishment of an alternate processing site.
	9.05	Complete an agency-level BIA in accordance with FCD requirements.
	10.01	Review the compliance baseline scans to ensure that the results ██████████ are complete and accurate in accordance with ODNI, CNSS, and NIST guidance.
	10.02	Remediate ██████████ in accordance with ODNI, CNSS, and NIST guidance.
	10.03	Continue to implement milestones needed to remediate the ██████████
	11.01	Update agency policies and procedures to reflect the current operating environment, including ██████████.
	11.02	Ensure information system management implements agency CM policies and procedures, to include the ██████████.

Report Title, Number, Date	Rec. Number	Recommendation for Corrective Action
<b>FY2019 Evaluation of the NGA Pursuant to the Federal Information Security Modernization Act, Report No. OIGA 20-02 (Internal Report), issued 5 November 2019 (continued)</b>	11.03	Develop and implement processes to [REDACTED] to information systems in accordance with ODNI, CNSS, and NIST guidance.
	12.01	Document [REDACTED] to address weaknesses identified at a program level in accordance with NGA policy.
	12.02	Develop and implement a process to ensure that [REDACTED] address all requirements in accordance with policy and procedures.
	13.01	Develop risk assessment policy and procedures over mission and business processes in accordance with ODNI, CNSS, and NIST guidance.
	13.02	Ensure security control assessments are completed for information systems in accordance with NGA policy.
	13.03	Perform risk assessments on NGA information systems in accordance with ODNI, CNSS, and NIST guidance.
	13.04	Categorize and authorize all NGA information systems to operate in accordance with ODNI, CNSS, NIST, and NGA guidance.
	13.05	Ensure its information systems' security plans are updated and maintained to reflect the current environment, in accordance with ODNI, CNSS, and NIST guidance.
	13.06	Ensure systems define the responsible entity for all required security controls and enhancements within security documentation.

Report Title, Number, Date	Rec. Number	Recommendation for Corrective Action
FY2019 Evaluation of the NGA Pursuant to the Federal Information Security Modernization Act, Report No. OIGA 20-02 (Internal Report), issued 5 November 2019 (continued)	14.1	Ensure information systems implement and document the [REDACTED] in accordance with ODNI, CNSS, and NIST guidance.
	14.2	Consistently implement an approved [REDACTED].
	14.3	Ensure strong [REDACTED] is consistently implemented for NGA networks.
Independent Auditors' Report on the NGA Financial Statements for FYs 2019 and 2018, Report No. OIGA 20-03, issued 12 November 2019		Recommendations to address material weaknesses:
	1A.	The Financial Management component (FM) and Office of Contract Services (OCS) should enhance their standard operating procedures related to the dormant obligations review, and continue to implement the dormant account review in accordance with NGA's policy
	1B.	FM and OCS should prioritize and allocate sufficient resources to completely and timely perform the dormant obligation review control and de-obligate invalid obligations.
	1C.	As part of its dormant obligation review activities, FM should develop and implement a methodology for adjusting the year-end financial statements for dormant obligations that have been identified as invalid but have not been de-obligated.

Report Title, Number, Date	Rec. Number	Recommendation for Corrective Action
Independent Auditors' Report on the NGA Financial Statements for FYs 2019 and 2018, Report No. OIGA 20-03, issued 12 November 2019	1D.	The CAE should define and assign accountable roles and responsibilities for key personnel involved in the execution of the agency's acquisition strategy, and apply resources to validate dormant obligations, analyze past expenditures to project future needs, and adjust funding strategies as considered appropriate.
	1E.	FM should improve its documentation of policies and procedures over the control to analyze the completeness of TBOs reported to DFAS. The documentation should include the definitions of assumptions and thresholds for outliers, and procedures performed to conclude that data used in the control is reliable.
	1F.	FM and the Security and Installations component (SI) should continue to remediate capitalization issues identified in Material Weakness No. 2, while taking into consideration the effects on gross costs.
	1G.	FM and OCS should ensure finalized agreements are prepared in accordance with NGA Instruction 7260.1 to improve control performance documentation to consistently record invoice costs to the appropriate line of accounting, and review and apply these procedures to existing contracts.
	1H.	FM should establish monitoring controls to determine if the capital asset versus expense allocation is appropriate and program costs are accurately presented on the statement of net cost.



Report Title, Number, Date	Rec. Number	Recommendation for Corrective Action
Independent Auditors' Report on the NGA Financial Statements for FYs 2019 and 2018, Report No. OIGA 20-03, issued 12 November 2019 (continued)	2A.	FM, SI, and NGA's Chief Information Officer and IT Services component (CIO-T) should continue their efforts to remediate personal property deficiencies, including a review of software-in-development and CIP. As part of the review, management should reclassify completed projects from the software-in-development account to software and from CIP to the relevant in-service personal property account. Going forward, FM, SI, and CIO-T should develop and implement a process that allows for completed assets to be placed in-service in the financial system in a timely manner.
	2B.	As part of the remediation efforts described in recommendation 2A, FM, SI, and CIO-T should develop and implement a process for summarizing software-in-development and personal property CIP by project to allow for better tracking and data analysis and more timely movement from in-development or in-process to in-service.
	2C.	SI should work with CIO-T and FM to assess the feasibility of implementing system configuration changes to capture personnel costs incurred for software-in-development. As an alternative, SI should work with CIO-T and FM to develop and implement a standard methodology to allocate capitalizable Government personnel costs incurred during system development to software-in-development at the asset level.
	2D.	SI should continue to develop, document, and implement policies and procedures for accounting for personal property as part of its corrective action plan. Such policies and procedures should include a floor-to-book inventory of capital assets, including personal property.

Report Title, Number, Date	Rec. Number	Recommendation for Corrective Action
Independent Auditors' Report on the NGA Financial Statements for FYs 2019 and 2018, Report No. OIGA 20-03, issued 12 November 2019 (continued)	2E.	SI, in coordination with FM, should continue to update, implement, and communicate its policy for identifying and monitoring completed personal property assets. The policy should include necessary approvals and requirements for completed assets to be recognized in the financial system in a timely manner
	2F.	SI, in coordination with FM, should develop, document, implement, and communicate a policy for identifying completed real property assets. The policy should include necessary approvals and requirements for completed assets to be recognized in the financial system in a timely manner.
	2G.	SI should enforce existing procedures in the Accountability Manual to timely review and dispose of assets that are no longer in-service and update the manual to account for property that is no longer in use but has not yet been through all of the necessary disposal procedures.
	2H.	SI should approve and implement its updated PP&E impairment monitoring policy to include all required components of SFFAS No. 10 and No. 44 and document the impairment analyses performed.
	2I.	FM and SI should develop and implement corrective actions related to the identification of leased equipment and enhance its lease classification determination procedures to address unique assumptions made related to certain leases, and compliance with budgetary funding requirements.

Report Title, Number, Date	Rec. Number	Recommendation for Corrective Action
Independent Auditors' Report on the NGA Financial Statements for FYs 2019 and 2018, Report No. OIGA 20-03, issued 12 November 2019 (continued)	3A.	To address the deficiencies noted above, we recommend that FM continue its remediation efforts to support the completeness and accuracy of material Funds Balance with Treasury amounts that NGA cannot reconcile directly to the GWA system, without relying on the DFAS CMR.
	4A.	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), enforcing accountability for corrective action plans and timelines, and periodically communicating audit progress and challenges to the Director or Deputy Director.
	4B.	Develop and implement posting logic in GEO-F to record transactions in accordance with the USSGL at the transaction level.
	4C.	Complete, document, and implement their internal controls over financial reporting and internal controls over financial systems guidelines to address the GAO's Standards for Internal Control in the Federal Government and OMB Circular A-123 risk assessment requirements.
	4D.	Include in its policy documentation detailed situations when a valid business need exists for management to override internal controls and who has the authority to approve those circumstances.
	4E.	Enforce requirements in the DoD Instruction 1300.26 to complete DoD FM training requirements timely, and develop, document, and implement procedures for ensuring individual training requirement plans are in place and ensuring the accuracy of related monitoring reports.

Report Title, Number, Date	Rec. Number	Recommendation for Corrective Action
Independent Auditors' Report on the NGA Financial Statements for FYs 2019 and 2018, Report No. OIGA 20-03, issued 12 November 2019 (continued)	4F.	Update and disseminate formal POA&Ms in compliance with NGA policy.
	4G.	Incorporate all internal POA&Ms and the remediation of vulnerabilities in its Enterprise Cybersecurity Analytics and Monitoring dashboard for monthly review.
	4H.	Update and implement policies and procedures to monitor and enforce training compliance for cybersecurity awareness and document follow-up actions taken when trainings are not completed timely.
	4I.	Update and implement policies for role-based training in accordance with applicable guidance in order to reflect current training courses and to identify required trainings for persons with specialized responsibilities.
		Recommendations to address significant deficiency:
	1A.	<p>"Regarding access controls:</p> <ol style="list-style-type: none"> <li>1. Develop, document, implement, and enforce consistent [REDACTED] policies and procedures, including those related to [REDACTED]. Such procedures should include the retention of documentation to support approvals and evidence of periodic reviews.</li> <li>2. Enforce [REDACTED] supporting the financial systems in compliance with CNSSI and NGA policy, or document approved deviations from policy.</li> </ol>

Report Title, Number, Date	Rec. Number	Recommendation for Corrective Action
Independent Auditors' Report on the NGA Financial Statements for FYs 2019 and 2018, Report No. OIGA 20-03, issued 12 November 2019 (continued)	1B.	<p>"Regarding segregation of duties controls:</p> <ol style="list-style-type: none"> <li>1. Develop, approve, and implement procedures to [REDACTED] approved deviations from policy should be documented</li> <li>2. Enforce [REDACTED] including retention of evidential matter showing reviews occurred."</li> </ol>
	1C.	<p>"Regarding [REDACTED] develop, approve, and implement procedures that address the [REDACTED]"</p>
	1D.	<p>To address the control deficiencies identified in the [REDACTED] FM should monitor corrective actions and continue to assess the impact, if any, on NGA's internal controls.</p>
		<p>"Recommendations to address instances of noncompliance:</p> <ol style="list-style-type: none"> <li>1. We recommend that the Financial Management, Office of Strategic Operations, and Chief Information Officer – Information Technology Services components revise NGA's FMFIA process to fully incorporate the ERM requirements of OMB Circular No. A-123.</li> <li>2. We recommend that NGA implement the recommendations provided in Exhibits I and II and improve its processes to achieve compliance with the requirements of FFMIA section 803(a)."</li> </ol>

Report Title, Number, Date	Rec. Number	Recommendation for Corrective Action
<b>Audit of NGA's Management of the Defense Acquisition Workforce Improvement Act Program, Report No. OIGA 19-05, issued March 1, 2019</b>	1	<p>The NGA Component Acquisition Executive, in coordination with the Director of Human Development, and the component organizations with acquisition positions, develop additional procedures to monitor and enforce compliance with DAWIA requirements to ensure only qualified and credentialed personnel occupy AWF positions. The additional procedures should address, but not be limited to, the enforcement of:</p> <ul style="list-style-type: none"> <li>• Inclusion of DAWIA requirements in AWF vacancy announcements.</li> <li>• Coordination between the DAWIA Program Management Office and Career Services Heads to ensure that when updates or changes are made to Career Services standard operating procedures, the procedures align with the established DAWIA procedures.</li> <li>• Inclusion of the DAWIA requirements in AWF annual performance plans.</li> <li>• Accountability for not complying with the requirements of the DAWIA.</li> </ul>
<b>Audit of NGA's Funds Reprogramming Activity, Report No. OIGA 19-07, issued 30 September 2019</b>	2	<p>Financial Management implement additional GEOINT Financial system document types to record funding movements and restrict the use of the RPB document type to the recording of true Below Threshold Reprogramming transactions, as defined by congressional oversight and the Office of the Director of National Intelligence.</p>
<b>Inspection of NGA's Acquisition Function, Phase III: Policies and Processes, Report No. OIGE-20-01, November 2019</b>	1	<p>Revise NGAI 5000.1 so that it is consistent with DoD and IC acquisition requirements, as detailed on pages 4–20 of Finding 1.</p>



Report Title, Number, Date	Rec. Number	Recommendation for Corrective Action
<b>Inspection of NGA's Acquisition Function, Phase III: Policies and Processes, Report No. OIGE-20-01, November 2019</b>	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. Additionally, we recommend that the D/NGA staff CAE's office appropriately with subordinate staff reporting directly to the CAE. In addition, we recommend that the D/NGA realign and consolidate acquisition programs and activities (including contracting, research, pilots, prototypes, and acquisition of services) under the CAE.
	3	Identify all NGA Key Leadership Position and Critical Acquisition Position billets, and ensure their inclusion on the APL. Ensure that individuals assigned to all KLPs and CAPs are qualified IAW DoDI 5000.66 (Defense Acquisition Workforce Education, Training, Experience, and Career Development Program) requirements
<b>Inspection of NGA's Insider Threat Case Management, Report No. OIGE-19-01, February 2019</b>	1	Update and publish NGAI 5200.1 and NGAI 5240.2 to ensure an authoritative basis for all SII activities.
	9	In accordance with NIST 800.53A, establish and enforce procedures to review audit logs and report the disposition of those results to SII leadership.
<b>Inspection of NGA's GEOINT Services, Report No. OIGE-19-02, February 2019</b>	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.
	5	Comply with the NGA Records Management program for the GEOINT Services Office (TD).

<b>Report Title, Number, Date</b>	<b>Rec. Number</b>	<b>Recommendation for Corrective Action</b>
<b>Inspection of NGA's Medical Services, Report No. OIGE 18-05, August 2018</b>	3	Consistent with the Economy Act, reassess whether inter-agency support is available for medical services that would be advantageous to the government. For all such support, (1) ensure documentation in an ISSA (DD Form 1144) and (2) ensure the support is explained in relevant internal SOPs.
	5	Implement a secure electronic transfer of NGA pre- and post-deployment health activity requirements to Defense Medical Surveillance System.
	6	Ensure Human Development Component's respective Primary Information Officer (PIO) and Information Officer (IO) responsible for all medical program records perform Records and Information Lifecycle Management requirements including updating the office file plan with the proper file series.
<b>Inspection of Structured Observation Management, Report No. OIGE 18-01, November 2017</b>	5	Develop and issue, across the NSG, SOM tradecraft standards that address: accuracy requirements with rules for capturing objects, observations, and judgements; a quality control process; and sourcing and data disclaimers consistent with ICDs 203 & 206.
<b>Inspection of the CURATOR Program, Report No. OIGE 16-04, February 2016</b>	3	Identify and review data.

**Table A-4. Financial Results from Reports Issued During Reporting Period (1 April 2020 – 30 September 2020)**

<b>Report Title, Number, Date Issued</b>	<b>Questioned Costs</b>	<b>Unsupported Costs</b>	<b>Funds To Be Put to Better Use</b>
Audit of NGA’s Supply Chain Risk Management, Report No. OIGA 20-06, issued 18 June 2020	\$0	0	\$0
Audit of NGA’s Management of the Implementation of the Agile Software Development Methodology, U-136-20/OIG, issued 29 July 2020	\$0	\$0	\$0
<b>Total</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

**Table A-5. Status of Recommendations That Questioned Costs**

<b>Recommendation Status</b>	<b>Number of Reports</b>	<b>Number of Recommendations</b>	<b>Questioned Costs</b>
A. No management decision made by start of the reporting period	0	0	
B. Issued during reporting period	0	0	0
Total A + B	0	0	0
C. Management decision made during reporting period	0	0	0
(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**

<b>Recommendation Status</b>	<b>Number of Reports</b>	<b>Number of Recommendations</b>	<b>Funds To Be Put to Better Use</b>
A. No management decision made by start of the reporting period	0	0	\$0
B. Issued during reporting period	0	0	0
<b>Total A + B</b>	<b>0</b>	<b>0</b>	<b>0</b>
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]	<b>0</b>	<b>0</b>	<b>\$0</b>

**Table A-7. Management Decisions Regarding OIG Recommendations in Reports Issued Before 1 April 2020**

<b>Unresolved as of 30 September 2019</b>	<b>Reports with Unimplemented Recommendations</b>	<b>Number of Unimplemented Recommendations</b>	<b>Questioned Costs</b>	<b>Funds to Be Put to Better Use</b>
Audits	10	108	\$0	\$0
Inspections	11	41	\$0	\$0
<b>Total</b>	<b>21</b>	<b>149</b>	<b>\$0</b>	<b>\$0</b>

## STATUTORY REPORTING

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### Information or Assistance Refused by NGA

Section 5(a)(5) of the Inspector General (IG) Act of 1978 requires IGs to promptly report to the head of the establishment if information requested is unreasonably refused or not provided.

Section 5(a)(5) of the IG Act of 1978, as amended, requires IGs to promptly report to the head of the establishment if information requested is unreasonably refused or not provided. As part of NGA's financial statements audit, the NGA Designated Agency Ethics Official (DAEO)—acting NGA General Counsel— would not provide all the data requested concerning the NGA Ethics' Program. It is the DAEO's position that the information requested is beyond the scope of the audit. The DAEO has raised the issue to the DoD Office of General Counsel, the DoD Standards of Conduct Office, and the Office of Government Ethics. The Director, NGA (head of the establishment) has been notified. As of this reporting, the DAEO still has not provided the requested information.

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### Significant Revised Management Decisions

Section 5(a)(11) of the IG Act of 1978 requires IGs to describe and explain the reasons for any significant revised management decisions made during the reporting period.

We are not aware of revisions to any significant management decisions during this reporting period.

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### OIG Disagreement with Significant Management Decisions

Section 5(a)(12) of the IG Act of 1978 requires IGs to provide information concerning any significant management decisions with which they disagree.

During this reporting period, the IG had no instances of disagreement with significant management decisions.

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### Compliance with Federal Financial Management Improvement Act of 1996

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

NGA has developed and implemented remediation plans to address areas causing noncompliance for financial management systems. NGA has met the intermediated target dates in the plans.



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## **Attempts to Interfere with the IG's Independence**

Section 5(a)(21) of the IG Act of 1978, as amended by the IG Empowerment Act, requires IGs to provide detailed descriptions of any attempts by their establishments to interfere with their independence.

We did not experience any attempts to interfere with our office's independence during this reporting period.

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

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

- Audits closed during this reporting period are described beginning on page 5.
- Inspections closed during this reporting period are described beginning on page 9.
- Investigations closed during this reporting period are described beginning on page 11.

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## **Peer Reviews**

Section 5(a)(14-16) of the IG Act requires IGs to report information about peer reviews that their offices have conducted or been subject to.

No peer review of NGA OIG was conducted by another OIG during this reporting period.

- The most recent external peer review of the NGA OIG Audit Division was performed by the National Security Agency's OIG. In its report of 23 February 2018, we received a rating of "pass" for our system of quality control in effect for the three-year period ending 30 September 2017. NGA OIG has no outstanding recommendations from any peer reviews of the Audit Division.
- The most recent peer review of the NGA OIG Inspections Division was completed by Central Intelligence Agency's OIG on 19 September 2017. There were no findings or recommendations identified in the 2017 peer review.

During the reporting period, the NGA OIG Audit Division conducted an External Peer Review of the Defense Intelligence Agency, OIG, Audit Organization, Project No. OIGA 20-08. The project was announced in June 2020. We plan to issue our report in December 2020.

## APPENDIX B. INVESTIGATIVE METRICS

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

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

**Table B-2. Judicial Actions, During Reporting Period**

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

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

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 informations resulting from any prior referral to prosecuting authorities	0

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

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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

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## APPENDIX C. INDEX OF REPORTING REQUIREMENTS

Semiannual Reporting Requirement		Page
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§6718 of IAA <sup>2</sup> for FY2018, 2019, 2020)	Investigations of Unauthorized Public Disclosures of Classified Information	45

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<sup>2</sup> IAA is the Intelligence Authorization Act for FYs 2018, 2019, and 2020, Section 6718, which requires that “[n]ot less frequently than once every 6 months, each covered [Inspector General] shall submit to the congressional intelligence committees a report on investigations of unauthorized public disclosures of classified information.

## APPENDIX D. ABBREVIATIONS

AWF	Acquisition Workforce
CIO-T	Chief Information Officer and IT Services component
CIP	Construction-in-Progress
CNSS	Committee on National Security Systems
COVID-19	Corona Virus Disease 2019
DAWIA	Defense Acquisition Workforce Improvement Act
DFAS	Defense Finance and Accounting Service
FAST	Fraud Analytics Support Team
FISMA	Federal Information Security Modernization Act of 2014
FM	Financial Management component
GEO-F	GEOINT-Financials
GEOINT	geospatial intelligence
GFM	GEOINT Functional Manager
GPC	Government Purchase Card
GTCC	Government Travel Charge Card
HD	Human Development component
IAA	Intelligence Authorization Act
IC	Intelligence Community
ICD	Intelligence Community Directive
IO	intelligence oversight
IT	information technology
NIST	National Institute of Standards and Technology
NRO	National Reconnaissance Office
NSG	National System for Geospatial Intelligence
OCS	Office of Contract Services
OGC	Office of General Counsel
ODNI	Office of the Director of National Intelligence
OIG	Office of Inspector General
OMB	Office of Management and Budget
PII	Personally Identifiable Information
POA&M	plan of action and milestones
SI	Security and Installations component
SOM	Structured Observation Management
STRATCOM	US Strategic Command

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