



SEMIANNUAL REPORT

OCTOBER 2021 - MARCH 2022

THE OFFICE OF THE INSPECTOR GENERAL OF THE INTELLIGENCE COMMUNITY



REPORT AVAILABILITY

The Office of the Inspector General of the Intelligence Community posts reports regarding audits, inspections, and evaluations; news releases; and information about ongoing work on the IC Inspector General website at www.DNI.gov/ICIG.

Information about the federal Inspector General community is available through the Inspectors General Network at www.IGnet.gov.

Public reports from all federal Inspectors General who are members of the Council of the Inspectors General on Integrity and Efficiency (CIGIE) are available at www.Oversight.gov.

CONTENTS

MESSAGE FROM THE INSPECTOR GENERAL.....	5
ABOUT US	6
SPECIAL TOPIC: Promoting Accountability	
IC IG Response to the Office of Management and Budget.....	11
PRODUCTS	
Intelligence Community Management Challenges	15
Audit Division.....	16
Inspections and Evaluations	22
Investigations Division	28
Mission Support Division.....	38
Center for Protected Disclosures	40
Hotline Metrics	47
Counsel to the Inspector General	48
PARTNERSHIPS	
IC IG Management Advisory Committee	52
Intelligence Authorization Act for Fiscal Year 2022	53
Intelligence Community Inspectors General Forum.....	54
Committees, Subcommittees and Working Groups	55
Peer Review	62
Five Eyes Intelligence and Oversight Review Council	63
The Inspector General Community	64
STATISTICAL DATA	
Recommendations	66
APPENDIX A: Office of Management and Budget Memorandum	71
APPENDIX B: Abbreviations and Acronyms	77



 **ICIG HOTLINE**
... Report suspected fraud, waste, and abuse.

855-731-3260 • WWW.DNI.GOV/ICIG



MESSAGE FROM THE INSPECTOR GENERAL

On behalf of the Office of the Inspector General of the Intelligence Community (IC IG), I am pleased to present our Semiannual Report (SAR) to Congress summarizing the office’s activities between October 1, 2021, and March 31, 2022. This is the first full reporting period since my confirmation as Inspector General by the United States Senate on September 30, 2021, and appointment by President Biden on October 1, 2021. I feel honored and privileged to continue serving the Nation in this important role.

During this reporting period, IC IG started implementing the strategic goals, objectives, and initiatives in the *Strategic Plan 2021-2025* we finalized in September 2021. The plan will guide our efforts and better enable us to take care of our people, accomplish our mission, and realize our vision. We have also remained committed to our core values of integrity, independence, transparency, accountability, and diversity.

In December 2021, the Acting Director of the Office of Management and Budget (OMB) sent a memorandum to the heads of executive departments and agencies entitled *Promoting Accountability through Cooperation among Agencies and Inspectors General*. IC IG commends OMB for focusing on this vital topic. Although OMB did not explicitly request any particular response from the agency heads or inspectors general, in the spirit of transparency and accountability, IC IG independently decided to include a brief “special topic” section in this SAR to address this seminal memo. IC IG currently believes the overall level of accountability at the Office of the Director of National Intelligence (ODNI) is relatively high and the overall state of cooperation between ODNI and IC IG is very good.

The Intelligence Authorization Act for Fiscal Year 2022 included several provisions that harmonized and strengthened whistleblower protections and also made clear that Inspectors General have the authority to make the final determinations regarding what constitutes a matter of “urgent concern” under the Intelligence Community Whistleblower Protection Act. IC IG appreciates the efforts of all those involved in the legislative and executive branches to make these important changes.

Thanks to all the employees, detailees, and contractors whose dedication to the IC IG mission has made the results presented in this SAR possible. We will continue providing independent oversight to the best of our abilities in order to strengthen the Intelligence Community in service to the Nation.

THOMAS A. MONHEIM

Inspector General of the
Intelligence Community

APRIL 30, 2022

About Us

A close-up photograph of a person's hands typing on a silver laptop. The person is wearing a beige, textured knit sweater and a black watch with gold accents on their left wrist. The laptop is resting on a dark brown wooden desk. The background is softly blurred, showing a window with blinds. A semi-transparent yellow banner is overlaid across the middle of the image, containing the text 'About Us' in a white serif font.



AUTHORITY

The Intelligence Authorization Act for Fiscal Year 2010 (IAA), codified at Title 50, United States Code, Section 3033, established the Office of the Inspector General of the Intelligence Community (IC IG) within the Office of the Director of National Intelligence (ODNI). The IC IG has the statutory authority to independently conduct and issue reports on audits, inspections, investigations, and reviews of programs or activities within the Director of National Intelligence’s (DNI’s) responsibility and authority. The IC IG is authorized to receive and investigate complaints or information from whistleblowers, and to conduct independent reviews of Intelligence Community (IC) whistleblower reprisal claims.

The IAA also established the IC Inspectors General Forum (the Forum). The Inspector General of the IC serves as the Chair and Forum members consist of the statutory and administrative Inspectors General with oversight responsibility for an Intelligence Community element. The Forum provides a venue for coordination and collaboration regarding matters of common interest, questions of jurisdiction, and access to personnel and information that may affect more than one Office of the Inspector General.

(U) MISSION

(U) The IC IG’s mission is to promote economy, efficiency, and effectiveness and to prevent and detect fraud, waste, and abuse in the programs and activities within the DNI’s responsibility and authority.

(U) VISION

(U) A premier workforce that exemplifies core values and strengthens the Intelligence Community.

(U) VALUES



INTEGRITY



INDEPENDENCE



TRANSPARENCY



ACCOUNTABILITY



DIVERSITY

ABOUT US

STATEMENT OF INDEPENDENCE

The Inspector General of the Intelligence Community is appointed by the President of the United States, with the advice and consent of the United States Senate. By statute, the Inspector General of the IC must be nominated based on integrity, experience, and demonstrated ability, and without regard to political affiliation. Likewise, the IC IG must perform its duties with independence, objectivity, and impartiality. Accordingly, the IC IG's findings and conclusions are not influenced by bias or external interference; they are based on the facts and applicable law.



The IC IG must perform its duties with independence, objectivity, and impartiality.

STATUTORY REQUIREMENTS

Pursuant to 50 U.S.C. § 3033(k)(1)(A), the IC IG shall, not later than October 31 and April 30 of each year, prepare and submit to the Director of National Intelligence (DNI) a classified and, as appropriate, an unclassified semiannual report summarizing the IC IG's activities during the immediately preceding six-month period ending September 30 and March 31, respectively.

Not later than 30 days after the date of the receipt of the report, the DNI shall transmit the report to the

congressional intelligence committees together with any comments the DNI considers appropriate. The DNI shall transmit to the committees of the Senate and of the House of Representatives with jurisdiction over a department of the United States Government any portion of the report involving a component of such department simultaneously with submission of the report to the congressional intelligence committees.

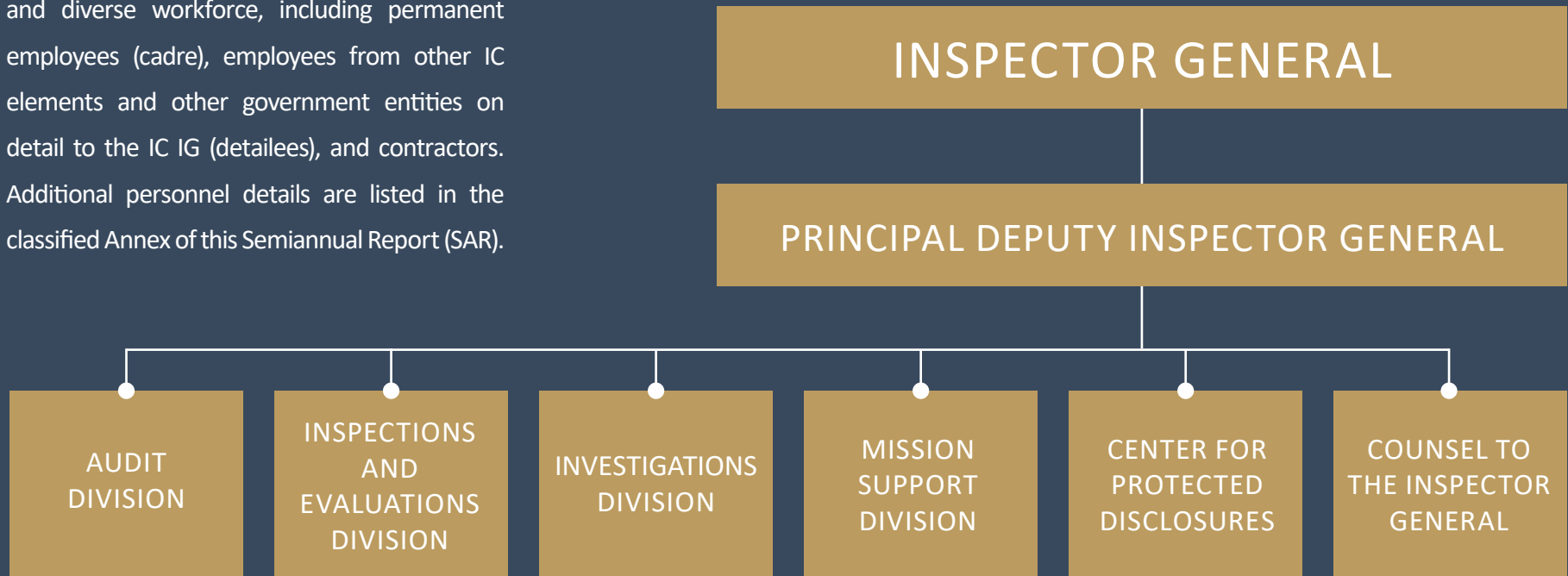
All IC IG inspection and investigation activities conform to standards adopted by the Council of the Inspectors

General on Integrity and Efficiency (CIGIE). The IC IG conducts all audit activities in accordance with generally accepted government auditing standards.

During this reporting period, ODNI provided the IC IG adequate funding to fulfill its mission. The budget covered personnel services and general support, including travel, training, equipment, supplies, information technology support, and office automation requirements. The IC IG also had full and direct access to all information relevant to the performance of its duties.

ORGANIZATIONAL STRUCTURE

The IC IG employs a highly skilled, committed, and diverse workforce, including permanent employees (cadre), employees from other IC elements and other government entities on detail to the IC IG (detailees), and contractors. Additional personnel details are listed in the classified Annex of this Semiannual Report (SAR).



The IC IG’s leadership team comprises the Inspector General, Principal Deputy Inspector General, Counsel to the Inspector General, four Assistant Inspectors General, and one Center Director.

ABOUT US

STRATEGIC PLAN

As reported in the previous SAR, the IC IG issued an updated Strategic Plan in September 2021. The document showcases the IC IG’s revised mission, vision, values, goals, objectives, and initiatives, and highlights leadership’s dedication to the people, products, and partnerships of the organization. The goals and initiatives outlined in the Strategic Plan reflect the impact we are seeking to achieve and how we will accomplish our stated objectives. The plan establishes a path to advance the IC IG mission, expand cross-community engagement, and aligns projects and resources to ensure maximum impact and value added for the ODNI, the Intelligence Community, the public, and the Nation.

In keeping with transparency and accountability—two of IC IG’s core values—we created an internal database accessible to all IC IG personnel. The system allows employees to view goals and associated initiatives and to track the progress that Divisions and the Front Office make toward the initiatives. While changes in mission requirements may cause some targeted timeframes to be adjusted, the IC IG remains committed to the continued implementation of the Strategic Plan.

STRATEGIC GOALS

Strengthen the foundation of the Office of the Inspector General of the Intelligence Community by recruiting, developing, and retaining a premier workforce and fostering a diverse, inclusive, collaborative, and engaging environment.

Conduct high-quality and timely audits, inspections, investigations, reviews, and other activities to improve the integration, economy, and efficiencies of the Office of the Director of National Intelligence and the broader Intelligence Community.

Enhance collaboration, coordination, and communication among Intelligence Community Offices of Inspectors General, Congress, and our domestic and foreign partners.

1

2

3

SPECIAL TOPIC

PROMOTING
Accountability

IC IG RESPONSE TO THE OFFICE OF MANAGEMENT AND BUDGET

SUBJECT: PROMOTING ACCOUNTABILITY THROUGH COOPERATION AMONG AGENCIES AND INSPECTORS GENERAL

On December 3, 2021, the Acting Director of the Office of Management and Budget (OMB) issued a memorandum for the heads of executive departments and agencies entitled *Promoting Accountability through Cooperation among Agencies and Inspectors General*.¹ The memorandum states that “To deliver results for all Americans, now and in the years to come, the Federal Government must undertake its work, and support appropriate oversight activities, in a manner deserving of public trust,” and it reiterates the President’s expectation that executive departments and agencies “restore and respect the integrity and independence of their respective agency inspectors general (IGs), and work with Congress to ensure that IG offices can exercise their vital oversight role.” The OMB memorandum issued guidance regarding agency actions needed to support the role of IGs, including communicating to agency employees about fully cooperating with IGs, and identifying seven other ongoing agency practices to potentially enhance cooperation and accountability.

In developing the guidance, OMB obtained input from the Council of Inspectors General on Integrity and Efficiency (CIGIE) about best practices to strengthen the relationships among agencies and IGs. IC IG commends OMB and CIGIE for undertaking this vital effort, and appreciated the opportunity to provide input to CIGIE during this process.

Although OMB did not explicitly request any particular response from the agency heads or IGs, in the spirit of transparency and accountability (two of IC IG’s core values), IC IG independently decided to include our view of the current state of cooperation and accountability between ODNI and IC IG in this SAR for the benefit of the DNI, the congressional oversight committees, and the American public. These views are based on a snapshot of the current state of cooperation as of the date of this report.

¹ OMB Memorandum, M-22-04, *Promoting Accountability through Cooperation among Agencies and Inspectors General*, dated December 3, 2021; <https://www.whitehouse.gov/wp-content/uploads/2021/12/M-22-04-IG-Cooperation.pdf>.

THE IC IG'S CURRENT VIEW

IC IG currently believes the overall level of accountability at ODNI is relatively high and the overall state of cooperation between ODNI and IC IG is very good. With respect to the specific areas identified in the OMB memorandum, IC IG believes ODNI's current agency practices substantially cover five of the eight areas (i.e., *Communications to Agency Employees*, *Routine Meetings*, *Agency IG Liaison*, *Whistleblower Protections*, and *Response to IG Recommendations*), while three of the eight areas potentially warrant greater consideration by IC IG and ODNI (i.e., *IG Resources*, *Agency-IG Collaboration on New and Changed Programs*, and *Communicating about Enterprise Risk Management*).

IC IG continues to engage with ODNI regarding the specific areas addressed in the memorandum to promote the level of cooperation and accountability that the President and Congress expect and the American people deserve.

* * * *

Products

A photograph of a wooden desk with a laptop, a white mug, a notebook, a pen, and a smartphone. The scene is lit with warm, natural light from a window on the left. A semi-transparent brown banner is overlaid across the middle of the image, containing the word "Products" in white serif font.

INTELLIGENCE COMMUNITY MANAGEMENT CHALLENGES

The Office of the Inspector General of the Intelligence Community issued a Capstone Report summarizing the Intelligence Community's shared management and performance challenges during Fiscal Year (FY) 2021. In accordance with the Reports Consolidation Act of 2000, federal agencies' Inspectors General must prepare a report summarizing the most serious management and performance challenges their agencies face, and briefly assess their respective organization's progress in addressing those challenges. Based on audits, inspections, and investigations conducted during the previous fiscal year, each Intelligence Community Inspector General prepared individual reports identifying challenges.

The IC IG collaborated with the Inspectors General from the Central Intelligence Agency (CIA), the Defense Intelligence Agency (DIA), the National Geospatial-Intelligence Agency (NGA), the National Reconnaissance Office (NRO), and the National Security Agency (NSA) to prepare the consolidated classified Capstone Report that identifies the most significant shared challenges. Identification of an issue does not necessarily denote significant deficiencies or lack of attention on the agencies' part. Rather, these issues are long-standing and inherently difficult challenges that are central to the agencies' core missions, and, as such, will likely remain challenges for many years.

The top management and performance challenges for the Intelligence Community in fiscal year 2021 relate to the following areas (not presented in order of importance):

1. Strengthening Pandemic Response;
2. Strengthening Information System Security and Management;
3. Improving Financial Management;
4. Improving Policy and Procedure Development and Implementation;
5. Improving Sharing and Safeguarding of Information;
6. Countering Insider Threats;
7. Reforming the Personnel Security Clearance Process;
8. Improving Workforce Management;
9. Acquisition Management; and
10. Addressing and Using Emerging Technologies

Audit Division

The Audit Division's mission is to conduct independent and objective audits and reviews of ODNI programs and activities, including those nondiscretionary audits required by law. Audit Division activities improve business practices to better support the IC's mission; promote the economy, efficiency, and effectiveness of programs and operations throughout ODNI and the IC; and help reduce fraud, waste, abuse, and mismanagement. Audit work focuses

on information technology and security, acquisition policies and practices, project management, business practices, human capital, personnel security, and financial management. Auditors assess whether programs are achieving intended results and whether organizations are complying with laws, regulations, and internal policies in carrying out programs. Recommendations made from the results of audits and engagements enable ODNI management

to improve the efficiency and effectiveness of ODNI programs. The Audit Division collaborates with other federal agencies and departments to conduct joint reviews of IC programs and activities, execute peer reviews that assess quality controls, and discuss and address relevant topics of importance to the Inspector General community.

COMPLETED PROJECTS

During the reporting period, the Audit Division completed two projects focused on the policies and practices governing information security and cybersecurity.

AUD-2021-004: FY 2021 Independent Evaluation of the Office of the Director of National Intelligence's Information Security Program and Practices, as Required by the Federal Information Security Modernization Act of 2014 (October 2021)

On October 28, 2021, the Audit Division reported on its evaluation of the effectiveness and maturity of the ODNI's information security program and practices. The Audit Division performed this evaluation using *FY 2021 IG Federal Information Security Modernization Act of 2014 (FISMA) Reporting Metrics* developed by the Office of Management and Budget (OMB), Department of Homeland Security, and the Council of the Inspectors General on Integrity and Efficiency. The auditors assessed ODNI information security policies, procedures, and practices against

the five information security function areas outlined in the National Institute of Standards and Technology, *Framework for Improving Critical Infrastructure Cybersecurity*, using the maturity model included in the metrics. The report made four recommendations.

Additional details may be found in the classified Annex of the IC IG's Semiannual Report.

FY 2021 ODNI MANAGEMENT CHALLENGE:
Strengthening Information Security and Management

COMPLETED PROJECTS

AUD-2021-002: Joint Report on the Implementation of the Cybersecurity Information Sharing Act of 2015 (December 2021)

On December 2, 2021, the Audit Division issued its joint report to Congress on the consolidated results of the ODNI and the Departments of Commerce, Defense, Energy, Homeland Security, Justice, and Treasury Offices of Inspector General audits or evaluations of their respective agencies' implementation of the Cybersecurity Information Sharing Act, Section 107(b) for calendar years (CYs) 2019 and 2020. The Audit Division also issued an unclassified version of the report on December 9, 2021. In CY 2019 and CY 2020, the federal entities reviewed made progress enhancing accessibility to cyber threat information

for improved information sharing with other federal entities. Sharing cyber threat indicators and defensive measures increases the amount of information available for defending systems and networks against cyber attacks. Additionally, efforts are underway to expand accessibility to information. The joint report did not include any recommendations.

FY 2021 ODNI MANAGEMENT CHALLENGE:
Enhancing Intelligence Community Coordination,
Integration, and Information Sharing

ONGOING PROJECTS

AUD-2022-002: FY 2022 Independent Evaluation of the Office of the Director of National Intelligence’s Information Security Program and Practices, as Required by the Federal Information Security Modernization Act of 2014

The IC IG Audit Division has initiated its FY 2022 independent evaluation of ODNI’s information security program and practices required by the Federal Information Security Modernization Act of 2014 (FISMA). The objective of the evaluation is to assess the effectiveness and maturity of ODNI’s information security program and practices. The Office of Management and Budget’s revisions to the FY 2022 Inspector General reporting metrics and timelines are significant and were still in draft form as of March 31, 2022.

FY 2021 ODNI MANAGEMENT CHALLENGE:
Strengthening Information Security and Management

AUD-2022-003: FY 2022 Audit of the Office of the Director of National Intelligence’s Financial Statements

The IC IG contracted with an independent public accounting firm to perform the FY 2022 financial statement audit. The objective of the audit is to provide an opinion on whether ODNI’s financial statements are presented fairly, in all material respects, and in accordance with Generally Accepted Accounting Principles (GAAP). The IC IG Audit Division has initiated this audit and is providing oversight to ensure the independent public accounting firm performs in accordance with professional and auditing standards, Office of Management and Budget requirements, and the terms of the contract.

FY 2021 ODNI MANAGEMENT CHALLENGE:
Improving Financial Management

AUDIT DIVISION

ONGOING PROJECTS

AUD-2022-001: Summary Report on Intelligence Community Offices of Inspectors General (OIG) Information Security Continuous Monitoring Program Assessments

In FY 2019 and FY 2020, the Audit Division facilitated collaboration among OIG officers from NRO, NSA, NGA, CIA, and the DIA on an approach for a cross-community review of information security continuous monitoring (ISCM). Continuous monitoring is a risk management approach to cybersecurity that maintains an agency's security risk posture; provides visibility into assets; and leverages use of automated data feeds to quantify risk, ensure effectiveness of security control, and implement prioritized remedies. In FY 2020, the OIGs agreed on a uniform methodology for conducting the reviews to identify and share common themes and challenges that might help inform solutions and options for improving their agencies' ICSM programs; four of the OIGs assessed their agencies' implementation of information security continuous monitoring using the agreed-on methodologies. The IC IG Audit Division is preparing a capstone report to provide a Community perspective on issues with or lessons learned from the reviews.

FY 2021 ODNI MANAGEMENT CHALLENGE:
Strengthening Information Security and Management

AUD-2020-001: Audit of Integrity and Use of Security Clearance Data Reported to the Office of the Director of National Intelligence

The Audit Division, along with the CIA, NSA, and Department of State OIGs, audited data reported by IC elements in response to *Metrics Reporting Requirements for National Security Vetting in Fiscal Year 2018 and Beyond*. The DNI, as the Security Executive Agent, is responsible for assuring the quality, timeliness, consistency, and integrity of national security vetting practices. The audit determined whether IC elements accurately captured, documented, and reported required security clearance processing timeliness information. The audit team completed field work and testing, and briefed preliminary results to ODNI officials. However, subsequent resource constraints and higher priority statutory project requirements have impacted the schedule for issuing this report.

FY 2021 ODNI MANAGEMENT CHALLENGES:
Reforming the Personnel Security Clearance Process
Improving ODNI's Workforce Management



Inspections and Evaluations

In support of its mission, the Inspections and Evaluations (I&E) Division conducts oversight of programs and activities within the DNI's responsibility and authority. The I&E Division extends beyond traditional audit and investigative disciplines to assess ODNI and IC programs and activities. The I&E Division conducts systematic and independent inspections and evaluations of ODNI and IC elements and its components in accordance with the Council of the Inspectors General on Integrity and Efficiency's (CIGIE's) Quality Standards for Inspection and Evaluation (Blue Book), which provides flexibility to develop tailored approaches for determining efficiency,

effectiveness, impact, and sustainability of agency operations, programs, or policies. The I&E Division leverages a multidisciplinary staff trained in various methods for gathering and analyzing data to conduct expedited management and program evaluations and respond to priority issues of concern to the ODNI, the IC, the Congress, and the public.

The I&E Division issues inspection, evaluation, and special review reports that contain evidence-based findings that are timely, credible, and useful for managers and other stakeholders. Conclusions drawn from findings generate recommendations for

decision makers to streamline operations, reduce unnecessary regulations, improve customer service, and minimize inefficient and ineffective procedures. They also improve the performance and integration of the ODNI and the broader IC. The I&E Division analyzes information; measures performance; determines compliance with applicable law, regulation, and/or policy; identifies savings and funds put to better use; shares best practices or promising approaches; and assesses allegations of fraud, waste, abuse, and mismanagement.

COMPLETED PROJECTS

INS-2020-001: Evaluation of Intelligence Community Implementation of Security Clearance Reciprocity (October 2021)

The IC IG I&E Division completed an evaluation of Intelligence Community implementation of Security Executive Agent Directive (SEAD) 7, *Reciprocity of Background Investigations and National Security Adjudications*. The evaluation examined whether IC elements complied with SEAD 7 from November 9, 2018, through December 31, 2019. The IC IG focused on reciprocity determinations for Top Secret-cleared and Sensitive Compartmented Information-briefed government personnel who sought to transfer to or become contractors with eight IC elements. The IC IG determined that although IC elements generally comply with SEAD 7 requirements for making reciprocity determinations, they do not consistently

make determinations within SEAD 7 timelines. In addition, security clearance repositories are not always accessible and do not always include complete and accurate information needed for IC element security personnel to make timely reciprocity determinations despite requirements to do so. The report included three recommendations, all of which ODNI concurred. The report was submitted to the Director of National Intelligence and the congressional intelligence committees.

FY 2021 ODNI MANAGEMENT CHALLENGE:
Reforming the Personnel Security Clearance Process

COMPLETED PROJECTS

INS-2021-004: Review of the Intelligence Community Analytic Ombudspersons' Complaint Processes (December 2021)

Pursuant to direction set forth in the classified annex to the Joint Explanatory Statement accompanying the Intelligence Authorization Act for Fiscal Year 2021, see Pub. L. No. 116-260, div. W, § 3 (December 27, 2020), the IC IG I&E Division reviewed the Intelligence Community Analytic Ombudspersons' Complaint Processes in March 2021. In July, the IC IG I&E Division provided a memorandum summarizing the results of the review to the congressional intelligence committees.

The IC IG completed a report in December 2021 that detailed the results and included one recommendation focused on improving the IC analytic ombudspersons' structure and governance.

FY 2021 ODNI MANAGEMENT CHALLENGE:
Improving Policy and Procedure Development and Implementation

 INSPECTIONS AND EVALUATIONS DIVISION

ONGOING PROJECTS

INS-2021-002: Review of the Office of the Director of National Intelligence’s Pandemic Planning and Response

The IC IG I&E Division is conducting a review to assess the effectiveness of ODNI’s pandemic planning and response, to include preparedness efforts, the execution of plans and policies, and implementation of workforce safety measures. The review will also identify best practices and areas for improvement. The scope of the review will encompass the period from March 2020 through December 2020, and will require engagement with ODNI’s Office of Preparedness and Mission Resilience (PMR) and mission centers (e.g., National Counterterrorism Center, National Counterproliferation Center, and National Counterintelligence and Security Center).

The report was issued to ODNI for comment and the IC IG is currently resolving the recommendations with the agency.

FY 2021 ODNI MANAGEMENT CHALLENGE:
Pandemic Response

INS-2022-001: Classification Review of the Office of the Director of National Intelligence, Fiscal Year 2021

Pursuant to Section 6721 of the National Defense Authorization Act (NDAA) for Fiscal Year 2020, Pub. L. No. 116-92, the IC IG I&E Division will submit a report to the congressional intelligence committees analyzing the classification procedures and practices of the ODNI. The NDAA requires the IC IG to analyze: (1) the accuracy of ODNI’s application of classification and handling markers on a representative sample of finished reports, including such reports that are compartmented; (2) compliance with declassification procedures; and (3) the effectiveness of processes for identifying topics of public or historical importance that merit prioritization for declassification review. The NDAA requires that the IC IG submit such a report annually, beginning in FY 2021, for three years. This review, covering FY 2021, is ongoing and requires engagement with representatives from various ODNI components.

FY 2021 ODNI MANAGEMENT CHALLENGE:
Strengthening Information Security and Management

INSPECTIONS AND EVALUATIONS DIVISION

ONGOING PROJECTS

INS-2022-002: Inspection of the Office of the Director of National Intelligence's Compliance with the Payment Integrity Information Act of 2019

The IC IG I&E Division is initiating an inspection to assess ODNI's compliance with the Payment Integrity Information Act of 2019, 31 U.S.C. §§ 3351-3358. The Payment Integrity Information Act requires the IC IG to issue a compliance report within 180 days after the ODNI Agency Financial Report (AFR) is published. The inspection will report on ODNI's annual improper payment information included in the AFR to determine compliance with the act. The inspection requires engagement with representatives responsible for ODNI's financial operations, and will encompass the FY 2021 reporting period.

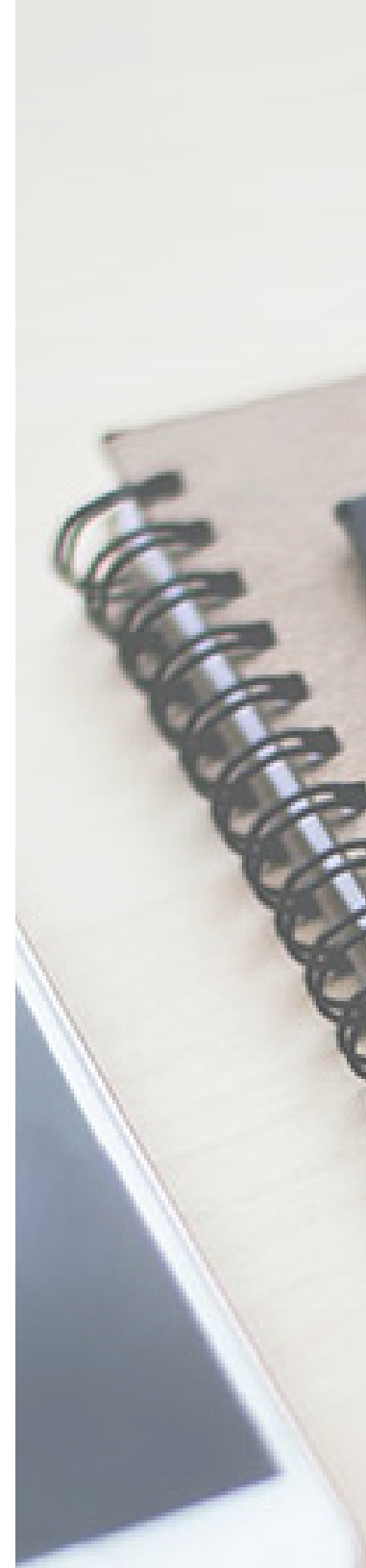
FY 2021 ODNI MANAGEMENT CHALLENGE:
Improving Financial Management

INS-2022-003: Special Review of Intelligence Community Support to Screening and Vetting of Persons from Afghanistan

The IC IG I&E Division, in collaboration with the Defense Intelligence Agency Office of Inspector General and the Department of Homeland Security Office of Inspector General, is conducting a special review of the IC's support to screening and vetting of persons from Afghanistan.

FY 2021 ODNI MANAGEMENT CHALLENGES:
Strengthening Information Security and Management

Enhancing Intelligence Community Coordination, Integration, and Information Sharing





Investigations Division

The Investigations Division conducts criminal and administrative investigations, including those arising from complaints or information from any person concerning the existence of an activity within the authorities and responsibilities of the DNI constituting a violation of laws, rules, or regulations; or mismanagement, gross waste of funds, abuse of authority, or a substantial and specific danger to the public health and safety. These investigations are both proactive and reactive in form. The Investigations Division

also identifies and reports internal control weaknesses that could render ODNI or other IC programs and systems vulnerable to exploitation, or that could be used for illicit activity, and plays a principal role in tracking, monitoring, and investigating unauthorized disclosures of classified information.

The Investigations Division's ability to investigate programs and activities within the authorities and responsibilities of the DNI enables the division to partner with, and

provide assistance to, other OIGs conducting investigations concerning IC programs and activities. In addition, the Investigations Division is able to coordinate and assist with the prosecution of criminal matters arising from the other intelligence agencies, including CIA, DIA, NGA, NRO, NSA, and ODNI.

The IC IG's investigation activities conform to standards adopted by CIGIE.

INVESTIGATIVE ACTIVITY OVERVIEW

During this reporting period, the Investigations Division continued its efforts on cross-Intelligence Community matters, working five joint investigations. The ongoing joint investigations involve a variety of potential offenses, including fraud, unauthorized disclosure, counterintelligence, intelligence oversight, procurement fraud, and contractor misconduct. Partners include other IC Offices of Inspector General, the FBI, other federal investigative agencies, the Department of Justice Public Integrity Section, and

the U.S. Attorney's Office for the Eastern District of Virginia. Due to the size, scope, and complexity of these joint investigations, we expect our investigative and support efforts to continue into the next reporting period. The Investigations Division was able to close two joint matters related to procurement integrity and intelligence oversight. However, the IC IG did not publish a Report of Investigation because the IC IG Investigations Division was not the lead in these investigations.

INVESTIGATIONS DIVISION

The Investigations Division currently has 29 ongoing investigations (see table on page 31), and issued 8 investigative reports this reporting period. The division also recovered \$32,241.68 for the United States Government in response to a previously reported labor mischarging investigation. In the course of its

investigations, the Investigations Division identified numerous internal control deficiencies in ODNI and IC programs. As a result, IC IG made a series of targeted recommendations to ODNI senior leadership designed to mitigate risk associated with these deficiencies and prevent recurrence of problematic circumstances.

29

ONGOING
INVESTIGATIONS



8

INVESTIGATIVE
REPORTS ISSUED

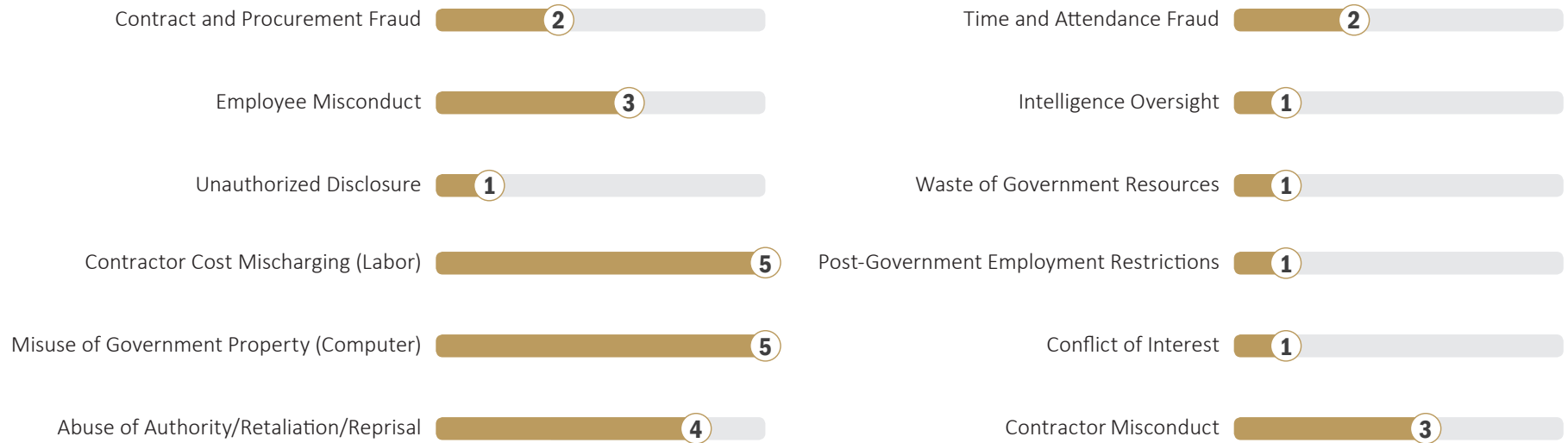


\$32,241

RECOUPED FOR
THE U.S. GOVERNMENT



ONGOING INVESTIGATIONS



29 Open Investigations

Note: Data contained in this report and table was obtained from the IC IG Case Management Tracking System.

THE IC IG DID NOT ISSUE ANY SUBPOENAS UNDER ITS 50 U.S.C. § 3033(g)(5) AUTHORITY DURING THIS REPORTING PERIOD.

SUMMARIES OF PUBLISHED REPORTS

Contractor Cost Mischarging

On February 15, 2022, the IC IG completed its report of investigation for an investigation initiated based on an allegation that a contractor employee performed work in violation of the contract's required business hours that resulted in improper billings to ODNI for Department of Defense work. Our investigation did not identify any credible and substantive evidence to support the allegation. Instead, we determined that changing and conflicting direction from government managers, poor communication between government and contractor employees, and the employee's reluctance to give up certain work may have resulted in the employee performing tasks that had been re-assigned to another contractor employee.

Contractor Cost Mischarging (*Government Resources*)

On February 22, 2022, the IC IG completed its report of investigation for an investigation initiated based on an allegation that a contractor employee was in violation of ODNI's Limited Personal Use policy. Our investigation did not substantiate an allegation that the employee spent an inordinate amount of time using Government computers and unclassified phone lines for personal use during duty hours. We concluded that the contractor committed isolated and infrequent technical violations of the ODNI Limited Personal Use policy; however, the violations were de minimis and not material. The investigation also established that telephone calls made or received by the employee that were longer in duration, were consistent with their job responsibilities.

SUMMARIES OF PUBLISHED REPORTS

Contractor Misconduct

On February 7, 2022, the IC IG completed its report of investigation for an investigation initiated based on an allegation that a contractor employee violated ODNI Instruction 93.04, *Limited Personal Use of Government Office Equipment*, and the Intelink Services Terms of Use Agreement. Our investigation concluded that the employee requested and obtained blog dialog transcripts from Intelink System Administrators to personally “audit” a specific IC individual with whom they disagreed socially and politically. We also determined that while the language used on the Intelink Collaboration Platform Application Services may have been perceived as derogatory and offensive, the employee’s audit activities were not authorized and were outside of the employee’s scope of work. Based on the

investigative findings, we recommended the development and dissemination of a concept of operations, standard operating procedures, or policy that describes the authorized release of Intelink Collaboration Platform Application Services dialog transcripts and penalties for IC individuals who violate the Intelink Services Terms of Use Agreement’s rules of behavior. We also recommended an IC Policy Document, applicable to the entire IC, that addresses the proper and authorized use of community shared resources and collaboration platforms. Responses to the recommendations are pending.

SUMMARIES OF PUBLISHED REPORTS

Abuse of Authority

On October 28, 2021, the IC IG completed its report of investigation for an investigation initiated based on an allegation that an ODNI government employee violated ODNI Instruction 77.20, *Selection of Cadre and Detailees*, by engaging in unfair hiring practices. Our investigation did not substantiate the assertion that the employee engaged in unfair hiring practices by allegedly providing the applicant with the interview questions or coaching the applicant on responses to the hiring panel to give the applicant an unfair advantage over other job applicants. Our investigation did not find any evidence that the ODNI hiring official coached an applicant or influenced the hiring process, and was unable to conclude by a preponderance of the evidence that any improper behavior occurred. Instead, our investigation determined that while the Submitter's complaint to IC IG was made in good faith and partly credible, they had limited insight to the matter and their information was incomplete.

Contractor Cost Mischarging and Misconduct

On March 8, 2022, the IC IG completed its report of investigation for an investigation initiated based on an allegation that five ODNI contractor employees intentionally billed time for work performed at unapproved work locations. Our investigation did not substantiate the allegation. There was insufficient evidence to conclude the contractor employees billed for work not related to the contract. As a result of the investigation, five recommendations were issued and are currently pending.

SUMMARIES OF PUBLISHED REPORTS

Reprisal

On March 22, 2022, the IC IG completed its report of investigation for an investigation initiated based on an allegation that an ODNI senior official retaliated against them for making protected disclosures. Our investigation did not substantiate an ODNI government employee's allegation that an ODNI senior official retaliated against them for making protected disclosures to their supervisory chain regarding an ODNI component's possible violations of law by terminating their Joint Duty Assignment earlier than scheduled. We determined the employee made protected disclosures and that the senior official was cognizant of those disclosures. However, we found clear and convincing evidence that the personnel actions would have taken place even in the absence of the protected disclosures.

Contractor Cost Mischarging

On March 24, 2022, the IC IG completed its report of investigation for an investigation initiated based on an allegation that a contractor employee misused government computers and claimed hours they did not work. Our investigation did not identify evidence to substantiate the allegation. Specifically, it was alleged that an ODNI contractor employee was taking leave and not properly recording it on their timesheet, and was frequently observed using the unclassified network to browse the internet for non-work related purposes. We determined the employee's internet activity was consistent with their job duties and did not identify any inappropriate or illegal activity. Our investigation did not find any evidence of cost mischarging.

Time and Attendance Fraud

On March 31, 2022, the IC IG completed its report of investigation for an investigation initiated based on an allegation that an ODNI government employee committed time and attendance fraud. Our investigation substantiated that an ODNI government employee violated 31 U.S.C. § 3729(a)(1), False Claims, as well as ODNI Instruction 73.04, *Time and Attendance Reporting*, when the employee charged the U.S. Government for 628.75 hours of unaccounted time. The total loss to the U.S. Government is estimated at \$30,442.93. Recoupment of funds and planned disciplinary action, if any, is pending. As a result of the investigation, three recommendations were issued and are currently pending.

REPORTING OF UNAUTHORIZED PUBLIC DISCLOSURE OF CLASSIFIED INFORMATION

Title 50 U.S.C. Section 3235 requires the IC IG to submit to the congressional intelligence committees a semiannual report regarding the number of investigations opened by the IC IG regarding unauthorized public disclosure of classified information; the number of investigations completed by the IC IG regarding an unauthorized public disclosure of classified information; and the number of completed investigations that the IC IG referred to the Attorney General for criminal investigation.

In accordance with the statutory requirement, the IC IG reports that during the period from October 1, 2021, through March 31, 2022, the IC IG did not initiate an investigation of an unauthorized public disclosure of classified information. The IC IG did not complete any such investigations, nor did it refer any such investigations to the Attorney General for criminal investigation during the reporting period.

Notes



Mission Support Division

The Mission Support Division (MSD) provides management and administrative support to the entire IC IG. MSD comprises multidisciplinary officers who provide expertise in financial management, human capital and talent management, facilities and logistics management, continuity of operations, administration, classification reviews, Freedom of Information Act (FOIA) and Privacy Act requests, information technology, communications, and quality assurance. MSD also delivers executive support to the Intelligence Community Inspectors General Forum and its committees.

MSD supports operational matters across a range of functions, including strategy development, strategy performance oversight, internal management and alignment of resources to IC IG goals and priorities, implementation of cross-cutting business processes, management of support to the statutory Intelligence Community Inspectors General Forum, budget, manpower, contracts, security, information technology, facilities, logistics, quality assurance, information management, classification, FOIA operations, and continuity of operations and emergency preparedness. Additionally, MSD supports

human capital and communications activities, including shaping and executing the office's human capital strategy, initiatives, and tactical plan, as well as all IC IG outreach activities, such as media engagements, strategic communications, corporate identity and brand management, and visual communication.

INTELLIGENCE COMMUNITY INSPECTORS GENERAL CONFERENCE AND AWARDS PROGRAM

The Mission Support Division plans and executes the annual Intelligence Community Inspectors General Conference and Awards Program. Given the current state of the pandemic and ongoing concerns over the spread of COVID-19, the 2022 Intelligence Community Inspectors General Conference will be held virtually on April 27, 2022. The virtual conference includes an Inspectors General Panel, and features discussions on resilience building, emerging technologies such as artificial intelligence, whistleblower rights and protections, and other relevant topics of common interest across the OIG community. Additionally, recipients of the IC IG Intelligence Professional Awards for 2019, 2020, and 2021 will be honored at a virtual ceremony on May 11, 2022.



Center for Protected Disclosures

The IC IG's Center for Protected Disclosures (the Center) processes whistleblower disclosures and complaints and provides guidance to individuals about the options and protections afforded to those who may wish to make protected disclosures to the IC IG and/or Congress, or who believe they suffered reprisal because they made a protected disclosure.

Whistleblowing is the lawful disclosure to an authorized recipient of information a person reasonably believes evidences wrongdoing. It is the mechanism to relay the right information to the right people to counter wrongdoing and promote the proper, effective, and efficient performance of the IC's mission. Whistleblowing in the Intelligence Community is extremely important as it ensures that personnel can "say something" when they "see something" through formal reporting procedures without harming national security and without retaliation.



THE CENTER FOR PROTECTED DISCLOSURES PERFORMS FOUR CRITICAL FUNCTIONS FOR WHISTLEBLOWERS IN THE INTELLIGENCE COMMUNITY

1

The Center, through the IC IG Hotline program, receives and processes whistleblower complaints of fraud, waste, abuse, or mismanagement of programs and activities within the responsibility of the DNI. There are six ways for individuals to report their concerns to the IC IG Hotline: (1) public and secure telephone numbers; (2) public and secure websites; (3) walk-in meetings at the IC IG’s offices; (4) USPS mail; (5) fax; and (6) drop boxes in ODNI facilities.

6 Ways to Report Concerns to the IC IG Hotline



TELEPHONE



FAXES



USPS MAIL



EMAIL/WEB



DROP BOX



WALK-IN

2

The Center, through the IC IG Hotline program, also receives and processes allegations of “urgent concerns” pursuant to the Intelligence Community Whistleblower Protection Act (ICWPA), which has been codified as part of the IC IG’s authorizing statute, 50 United States Code § 3033(k)(5). The ICWPA established a process to ensure that the DNI and congressional intelligence committees receive disclosures regarding certain types of wrongdoing, including serious or flagrant problems, abuses, violations of law or executive order, or deficiencies relating to the funding, administration, or operation of an intelligence activity.

In order to submit an “urgent concern” to the IC IG, the law requires that a submitter be “[a]n employee of an element of the intelligence community, an employee assigned or detailed to an element of the intelligence community, or an employee of a contractor to the intelligence community.” The ICWPA also requires that a submitter provide a complaint or information with respect to an “urgent concern,” which is defined as one of the following:

A serious or flagrant problem, abuse, violation of the law or Executive order, or deficiency relating to the funding, administration, or operation of an intelligence activity within the responsibility and authority of the Director of National Intelligence involving classified information, but does not include differences of opinions concerning public policy matters.

A false statement to Congress, or a willful withholding from Congress, on an issue of material fact relating to the funding, administration, or operation of an intelligence activity.

An action, including a personnel action described in Section 2302(a)(2)(A) of title 5, United States Code, constituting reprisal or threat of reprisal prohibited under subsection (g)(3)(B) of this section in response to an employee’s reporting an “urgent concern” in accordance with this paragraph.

If the IC IG determines that the complaint falls within the jurisdiction of the ICWPA, then the IC IG must, within 14 calendar days, determine whether the “urgent concern” allegation “appear[s] credible.” The Center tracks all ICWPA disclosures, ensures review of materials for classified information, and coordinates disclosures with other Offices of Inspector General for appropriate review and disposition.

3

The Center adjudicates requests by IC employees and contractors for the IC IG to review their allegations of reprisal under Presidential Policy Directive-19 (PPD-19), *Protecting Whistleblowers with Access to Classified Information*, and 50 U.S.C. §§ 3234 and 3341(j). These authorities prohibit acts of reprisal against employees and contractors serving in the IC, as well as those who are eligible for access to classified information, who make protected disclosures.

The Center also reviews determinations regarding whistleblower reprisal allegations made by other IC OIGs and determinations by non-IC OIGs regarding security clearance determinations alleged to be in reprisal for making a protected disclosure. A whistleblower who has exhausted his or her home agency's whistleblower protection processes may request an External Review Panel (ERP). Under appropriate circumstances, the IC IG may convene an ERP and review the matter.

4

The Center conducts outreach across the community. The Center provides guidance to personnel seeking more information about the options and protections afforded to individuals who may wish to make a protected disclosure to the IC IG and/or Congress, or who believe they have suffered reprisal because they made a protected disclosure. The IC IG conducts community outreach and training activities to ensure stakeholders have accurate and consistent whistleblowing information relating to these and other matters.

CENTER FOR PROTECTED DISCLOSURES

ACTIVITIES DURING THIS REPORTING PERIOD

The Center routinely engaged with other OIGs to collaborate on a wide range of topics, including specific complaints, document requests, information sharing, and information technology.

The Center received whistleblower disclosures, made referrals to other divisions and agencies, reviewed reports of “urgent concern,” and evaluated requests for ERPs.

The Center submitted to Congress two quarterly reports detailing the number, nature, and trends of complaints processed by the IC IG Hotline in the fourth quarter of FY 2021 and the first quarter of FY 2022. These reports constitute an ongoing series of Hotline reports pursuant to the Intelligence Authorization Act for Fiscal Year 2021. The IC IG continues to refine its intake categories contained in its previous quarterly report to capture more detailed information, which will enhance the IC IG’s ability to identify potential trends and areas of concern based on Hotline reporting. The IC IG further revised its quarterly reports to align with the classified annex accompanying the Intelligence Authorization Act for Fiscal Year 2021, which requires the IC IG to “provide quarterly updates to the congressional intelligence committees on the *complaints* submitted to the IC IG Hotline and an analysis of the trends in the *complaints*, e.g., numbers, topics” (emphasis added). The IC IG Hotline considers a “complaint” any contact in which an individual reports to the Hotline an allegation or information that potentially concerns a program or activity within the responsibility and authority of the Director of National Intelligence. The Semiannual Report includes information on all new “contacts” logged during the reporting period. A contact includes “complaints,” as defined above, and other matters received through the Hotline, such as suitability checks, requests for information, and other, non-substantive, commercial, or frivolous contacts.

The Center received and processed three purported “urgent concern” allegations. One of the filings met the threshold requiring reporting under the ICWPA. A second matter did not meet the ICWPA threshold for immediate reporting; however, the IC IG notified the DNI of the substance of the complaint under other authorities. The IC IG subsequently forwarded these two matters to the congressional intelligence committees on behalf of the DNI and the Filers. After review, the IC IG determined that the third filing failed to establish the minimum urgency and credibility requirements for reporting under 50 U.S.C. § 3033(k)(5) and did not warrant reporting under other authorities.

The Director for the Center for Protected Disclosures participated in outreach training by teaching a seminar at the National Intelligence University (NIU) regarding whistleblowing in the IC, as part of the NIU National Security Law and Intelligence Ethics course.

The Center, with the support of IC IG cadre, hosted an outreach event at ODNI’s Liberty Crossing and Intelligence Community Campus–Bethesda. On November 17, 2021, the IC IG celebrated International Fraud Awareness Week with informational tables at both locations. The event was well attended and focused on engaging with the ODNI workforce through answering questions and providing information about the IC IG and the services it provides to the community. Both events elevated the IC IG’s accessibility and visibility and provided opportunities for IC IG to engage with the workforce.

EXTERNAL REVIEW PANEL REQUESTS²

The Center received 10 new ERP requests during the reporting period and closed 14 requests. The Center conducts an initial assessment and review of materials submitted by both the complainant and the complainant's employing agency prior to reaching a determination. In total, the Center has one open ERP and nine initial

assessments of ERP requests currently pending. Additionally, the IC IG has two ERP requests in abeyance pending receipt of evidence files from the Requestor. During this period there were no External Review Panel determinations issued nor prior Panel recommendations awaiting responses from the heads of agencies.

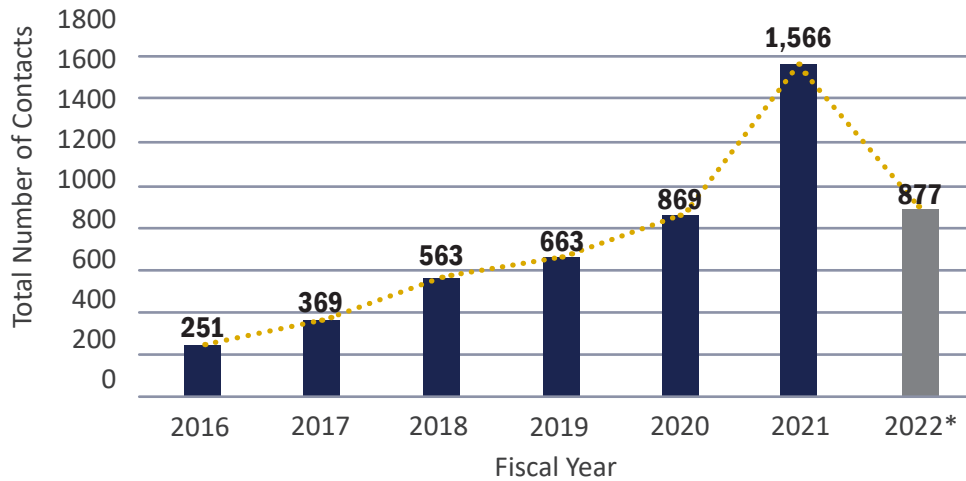
² Specific reporting required under 50 U.S.C. § 3236(e).



IC IG HOTLINE METRICS: OCTOBER 1, 2021 - MARCH 31, 2022

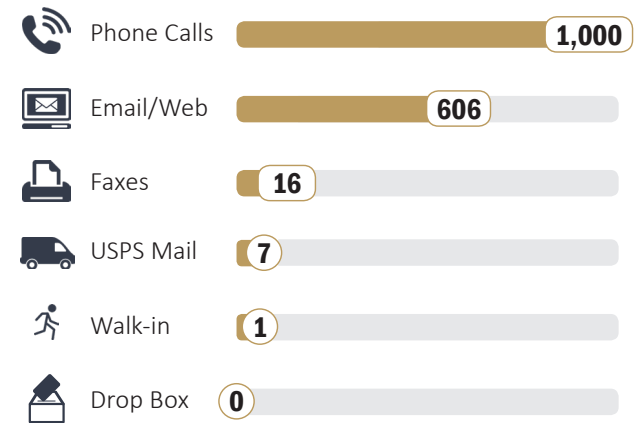
The IC IG Hotline provides a confidential means for Intelligence Community employees, contractors, and the public to report information concerning suspected fraud, waste, and abuse of programs and activities within the responsibility and authority of the Director of National Intelligence. The Hotline can be contacted via classified and unclassified email and phone lines, USPS mail, secure web submissions, walk-ins, and drop boxes located in select ODNI facilities.

(U) IC IG NEW CONTACTS LOGGED BY FISCAL YEAR



*Includes contacts logged during October 1, 2021, through March 31, 2022.

(U) METHODS OF CONTACT



Total 1,630

*Includes all secure calls and calls received through the open line from January to March 2022. Due to system difficulties, information regarding the number of calls received through the open line between October and December 2021 is unrecoverable.



1

“URGENT CONCERNS”

INITIATED DURING THIS REPORTING PERIOD



10

EXTERNAL REVIEW PANEL (ERPS)

INITIATED DURING THIS REPORTING PERIOD



☎ OPEN: 855-731-3260

🌐 OPEN: WWW.DNI.GOV/ICIG

Counsel to the Inspector General

The Counsel's office ensures that the Inspector General and other members of the IC IG receive independent, confidential legal advice and policy counsel.

The Counsel team's legal support and guidance is designed to meet the unique needs of each IC IG division. To support the Investigations Division, Counsel, among other things, highlights and provides advice on potential legal issues that may require additional or redirected investigative efforts throughout the investigative process. To

support the activities of the Audit Division and I&E Division, the Counsel team identifies and interprets key policy, contract, and legal provisions relevant to reported observations, findings, and recommendations. In support of the IC IG's whistleblower program, the Counsel team assists the Center for Protected Disclosures in developing policies and procedures, evaluating whistleblower disclosures, and providing legal advice for External Review Panels. The Counsel's office also provides enterprise-wide legal and policy

guidance and reviews matters related to IC IG personnel, administration, training, ethics, independence, and budgetary functions. Attorneys from the Counsel's office also participate in the Intelligence Community Inspectors General Forum (the Forum), the Forum's Counsels Committee, and working groups of the Five Eyes Intelligence Oversight and Review Council.

COUNSEL TO THE INSPECTOR GENERAL



In addition to its legal support role, the Counsel to the Inspector General serves as the IC IG's congressional liaison. During the reporting period, the Counsel team updated the IC IG's congressional engagement guidance and arranged for and participated in several congressional engagements with the Inspector General and senior IC IG leadership, including a

roundtable discussion with the U.S. Government Accountability Office (GAO) and other IC Inspectors General, and participated in briefings to bipartisan, bicameral staff. The Counsel team also responded to formal congressional requests for information and reported on audits and reviews in response to congressional interest and legislative mandates.

COUNSEL TO THE INSPECTOR GENERAL

ROUNDTABLE

During this reporting period, the Inspector General of the Intelligence Community participated in a roundtable hosted by the Senate Select Committee on Intelligence (SSCI). The IG appeared alongside the Inspectors General of CIA, NSA, and NRO, as well as a representative from GAO. The roundtable provided an opportunity for Committee members and the Inspectors General to engage directly with one another, which resulted in a productive dialogue covering a range of subjects important to the independent, effective oversight of the IC.

BRIEFINGS

During this reporting period, the IC IG participated in multiple engagements on a bipartisan basis with staff of the congressional intelligence committees, including, but not limited to, briefings shared with staff of SSCI and House Permanent Select Committee on Intelligence (HPSCI), as well as the Senate Appropriations Subcommittee - Defense (SAC-D) and House Appropriations Committee - Defense (HAC-D), regarding IC IG staffing.

REQUESTS AND INQUIRES

- During this reporting period, the IC IG responded to a variety of requests and inquiries from the congressional intelligence committees, as well as other Members and congressional staff, to address questions regarding pending legislation and other matters within the IC IG's jurisdiction.
- The IC IG Counsel's office also assisted with responses to requests for information and other inquiries from GAO related to a variety of projects broadly relevant to IC oversight.
- The IC IG Counsel's office coordinated with the Forum's Counsels Committee on memoranda expressing views on pending and proposed legislation; monitored progress of the Intelligence Authorization Act for Fiscal Year 2022 toward passage and provided related information to Counsels Committee counterparts; and tracked and advanced coordination of IC IG Forum responses to congressionally directed actions.
- The IC IG Counsel's office also coordinated with ODNI components in an effort to complete congressionally directed actions. In particular, during the reporting period, the Counsel's office coordinated with ODNI components regarding the following two actions required by the Intelligence Authorization Act for Fiscal Years 2018, 2019, and 2020: Section 5335, *Report on Cleared Whistleblower Attorneys*; and Section 6612, *Report on Protections for Confidentiality of Whistleblower-Related Communications*.

Partnerships



WORKFORCE INITIATIVES

IC IG Management Advisory Committee

The IC IG Management Advisory Committee (MAC) is an employee-driven body that serves as a catalyst for open communication between IC IG leadership and the workforce. The MAC’s mission is to advance the IC IG’s core values, promote employee engagement, and enhance the workplace environment. The MAC provides a mechanism for the workforce (non-supervisory) to raise concerns that are corporate in nature and make recommendations or propose courses of action to leadership to address workforce-identified issues. The committee meets monthly to consider opportunities to guide process improvement, advise on office innovation, and strengthen the IC IG’s ability to efficiently and effectively achieve its mission.

During the reporting period, the MAC sponsored four office-wide forums to promote engagement between leadership and the workforce. The topics, identified as areas of interest by the workforce, focused on data analytics, external training and telework policies, IC IG bonus and promotion processes, and the 2021 ODNI Employee Climate Survey results. The MAC also conducted a survey about IC IG Town Halls to provide relevant insights to the IC IG. In addition, a MAC SharePoint site was created to gather and share information relevant to IC IG personnel.



EVENTS

Four office-wide forums promoted engagement between leadership and the workforce



SURVEY

A workforce survey provided relevant insights to the IC IG



COLLABORATION

IC IG personnel can share information on the newly created MAC SharePoint site.

INTELLIGENCE AUTHORIZATION ACT FOR FISCAL YEAR 2022

The Intelligence Authorization Act (IAA) for Fiscal Year 2022 included statutory amendments that harmonized and strengthened whistleblower protections for IC employees and contractor personnel. Most significantly, the amendments aligned whistleblower protections for IC contractor personnel and codified portions of PPD-19 that were not previously guaranteed by statute. These important updates are the culmination of collaborative efforts among IC IG, IC IG Forum Members, and Congress, to identify and address gaps in whistleblower protection law. IC IG appreciates Congress' work in this critically important area, as well as the efforts of the IC IG team and our Forum colleagues.

IC IG also recognizes Congress' work to clarify "urgent concern" determinations. The IAA's FY 2022 provisions establish that, within the executive branch, Inspectors General have the sole authority to determine whether any complaint or information reported to them is a matter of "urgent concern". This language has been the topic of significant executive, legislative, and public interest.

PARTNERSHIPS

INTELLIGENCE COMMUNITY INSPECTORS GENERAL FORUM

One of the most significant ways the Inspector General of the Intelligence Community works to improve integration of the IC is through the Intelligence Community Inspectors General Forum (the Forum). By statute, the Forum consists of statutory or administrative Inspectors General with oversight responsibility for an element of the IC. The IC IG is the Chair of the Forum.

Through the Forum, members can learn about the work of individual members that may be of common interest and discuss matters related to jurisdiction or access to information and staff. As Chair, the IC IG leads the Forum by coordinating efforts to find joint solutions to mutual challenges for improved integration among the Forum members. Forum committees, topic-specific working groups, and subject matter experts generate ideas to address shared concerns and mutual challenges for consideration and decision by the Inspectors General.



Office of the Inspector General of the Intelligence Community



Central Intelligence Agency
Office of Inspector General



Defense Intelligence Agency
Office of the Inspector General



Department of Defense
Office of Inspector General



Department of Energy
Office of Inspector General



Department of Homeland Security
Office of Inspector General



Department of Justice
Office of the Inspector General



Department of State
Office of Inspector General



Department of the Treasury
Office of Inspector General



National Geospatial-Intelligence Agency
Office of the Inspector General



National Reconnaissance Office
Office of Inspector General



National Security Agency
Office of the Inspector General

INTELLIGENCE COMMUNITY INSPECTORS GENERAL FORUM MEETING SUMMARIES

THE FORUM

The Intelligence Community Inspectors General Forum held quarterly meetings in December 2021 and March 2022. The first session began with a discussion led by IGs who participated in an engagement roundtable hosted by the Senate Select Committee on Intelligence. The Forum also included an overview of the Five Eyes Intelligence Oversight and Review Council's October 2021 annual meeting. Additionally, each IG was offered an opportunity to reflect on work conducted in 2021 and share anticipated projects to commence in 2022.

The Forum assembled in March to discuss ongoing Afghanistan-related work planned for the year. The members provided an overview of the projects, and shared examples of collaboration for existing initiatives. The group also discussed the recently issued IC Management Challenges Capstone, the 2022 Intelligence Community Inspectors General Conference, and their own perspectives of how the Forum is operating and potential areas for future focus.



The Forum will meet again in June.

DEPUTIES COMMITTEE

The Deputies Committee, led by the Principal Deputy Inspector General, met twice during the reporting period. ODNI's Director of the Office of the Ombudsman joined the November 2021 meeting to discuss resiliency as the IC continues to adjust to the ever-changing effects of the pandemic. The Deputies Committee also discussed next steps for the Forum's draft policies and procedures, the status of the

Offices of Inspectors General Joint Duty Assignment Program, and the Management and Administration Committee's current activities.

The Deputies Committee convened again in February 2022. NGA officials briefed the group on best practices and successfully implemented procedures for their Annual Work Plan development process. The conversation led to information sharing as deputies

communicated practices followed by their respective offices. The Deputies also discussed Intelligence Community Directive 701, *Unauthorized Disclosures of Classified National Security Information*, staffing and recruitment, unique skill sets needed for OIG personnel, and business analytics.



The next Deputies Committee meeting is scheduled for May 2022.

COMMITTEES, SUBCOMMITTEES AND WORKING GROUPS



AUDIT COMMITTEE

The Audit Division hosted the Intelligence Community Inspectors General Forum's Audit Committee/Cybersecurity Subcommittee quarterly meetings to discuss multiple topics of interest. In December 2021, the in-person meeting primarily focused on OMB revisions to Federal Information Security Modernization Act of 2014 (FISMA) requirements, which significantly impacted resourcing requirements,

and reporting metrics and timelines. At the March 2022 virtual meeting, members received an informative brief on Zero Trust Architecture, its core principles, and the application of those principles. In addition, the IC IG Assistant Inspector General for Audit updated committee members on the status of the OMB FISMA Working Group progress, the "final draft" core metrics, and the new timeline requirements.



The next Forum Audit Committee quarterly meeting is scheduled for June 2022.



INSPECTIONS COMMITTEE

The Forum's Inspections Committee met virtually in the first and second quarter of FY 2022 to discuss multiple topics of community interest. Committee members discussed FY 2022 work planning activities and shared preliminary project topics to facilitate planning opportunities for future joint or concurrent work, best practices, and lessons learned. Topics included congressionally directed reporting requirements, legislative updates, processes related to peer review scheduling and execution, and re-branding initiatives to more clearly define the impact that inspections and evaluations have on the mission of OIGs.

The working group established to address the provisions of the National Defense Authorization Act for Fiscal Year 2020 § 6721, related to Inspector General reports on classification, continues to coordinate agency OIG objectives to allow for more succinct IC enterprise capstone reporting. The working group continues its focus on addressing key deliverables and synchronizing efforts to ensure information is presented uniformly. Additionally, the Enhanced Personnel Security Program working group was established so the IC OIGs could develop a common framework when addressing the requirements in the

Intelligence Authorization Act for Fiscal Year 2016, Pub. L. No. 114-113. The working group members agreed on definitions, criteria, and a common approach for the objectives, scope, and methodology. The working group will continue as a forum to discuss status updates and the potential synchronization of graphics.

Committee members also prepared to be peer reviewed and nominated personnel to support external peer reviews. The Inspections Committee Chair continues to work with IC OIGs on peer review schedules as appropriate.



INVESTIGATIONS COMMITTEE

The Forum's Investigations Committee met twice during this reporting period to discuss several key initiatives related to IC peer reviews, alleged misuse of IC-wide collaboration tools, and recent implementation guidance related to the reporting of unauthorized disclosures. During the first quarter engagement in October 2021, the Committee focused on ways to de-conflict and handle investigations involving the misuse of internal IC collaboration platforms used by IC contractors and government employees. The Investigations Committee discussed how to adequately oversee internal chat rooms, and the potential need for an internal portal/platform that would allow for IC agencies (DIA, NSA, NGA, NRO, and CIA)

to share documents, de-conflict investigative matters, and improve efficiencies and effectiveness.

The Investigations Committee convened for a second meeting in March 2022 featuring a presentation by a member of the Department of Justice (DOJ) Cyberfraud Working Group. The presentation focused on DOJ's Civil Cyber-Fraud Initiative, born from Executive Order 14028, "Improving the Nation's Cybersecurity," prioritizing prevention, detection, assessment, and remediation of cyber incidents. The presentation included examples and guidance on how to combine the DOJ's expertise in civil fraud enforcement, government procurement, and cybersecurity to promote the critical mission of combating new and emerging cyber threats.



The Investigations Committee also hosted members from the ODNI National Counterintelligence and Security Center (NCSC). NCSC delivered a brief focused on its recent Intelligence Community Directive 701 implementation guidance that applies to IC elements, specifically for unauthorized disclosures that result in a release of classified national security information into the public domain; including, but not limited to podcasts, print articles, internet-based articles, books, journals, speeches, television broadcasts, blogs, and social media postings. NCSC emphasized unauthorized public disclosures, based on the following three-fold rationale:

- To focus attention on unauthorized disclosures to the public domain as an area of growing national security vulnerability;
- To differentiate unauthorized disclosures from improper safeguarding of information, data spills, or other cases of negligence or errors; and
- To differentiate unauthorized disclosures to the public domain from espionage cases involving unauthorized disclosure to a foreign intelligence entity.



MANAGEMENT AND ADMINISTRATION COMMITTEE

The Mission Support Division hosted a meeting of the Forum's Management and Administration Committee in February 2022. The committee focused largely on workforce management topics discussed at the IC IG Deputies Committee, such as Career Mapping; the OIG Joint Duty Program; challenges associated with recruitment, staffing, and attrition across the community; Employee Assistance Programs; and overall employee well-being. Due to the ongoing pandemic, personnel management has been a top challenge for IC elements. The Management and Administration Committee will continue to focus on topics that promote organization and employee resilience.



INFORMATION TECHNOLOGY SUBCOMMITTEE

The Mission Support Division hosted the first quarterly meeting of the Forum's Information Technology (IT) Subcommittee in February 2022. The IT Subcommittee serves as a central point for technical representatives from each IC Inspector General office to meet and discuss shared concerns, future planning, solutions to common issues, and more. In this meeting, the committee focused on establishing a clear picture of the technologies leveraged by each OIG, and then identified multiple areas of interest where offices could help each other, including advising on processes and use cases for data analytics; demonstrating new and more-effective software solutions to existing problems; and investigating options for sharing IT resources where possible.

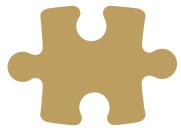


COUNSELS COMMITTEE

The Forum's Counsels Committee meets regularly to discuss legal and policy issues of common interest to the IC and to promote the consistent interpretation of statutes, regulations, policies, and Executive Orders. The Counsels Committee operates with the goal of providing legal analysis of, and options relating to, issues of particular importance to the Forum.

During this reporting period, the Counsels Committee discussed and collaborated on key initiatives, including expressing collective views on proposed legislation, responding to and advancing congressionally directed actions, drafting and discussing Forum governance policy, and addressing other important matters of common interest.

THE CENTER FOR PROTECTED DISCLOSURES LEADS TWO IC IG FORUM WORKING GROUPS



IC HOTLINE WORKING GROUP

In March 2022 the Center for Protected Disclosures hosted an IC Hotline Working Group meeting. The Working Group meets semiannually and includes members from OIGs from CIA, DIA, NGA, NSA, NRO, and the IC IG. Topics discussed during the meeting related to draft implementation workflow to address requirements set forth in the FY 2020 Intelligence Authorization Act, Section 5334, *Oversight by Inspector General of the Intelligence Community Over Intelligence Community Whistleblower Matters*, telework opportunities and challenges specific to the IC, and Hotline's role and process regarding complainant requests for cleared attorneys. These engagements help inform the development and implementation of policy, and further collaboration and engagement throughout the IC.



WHISTLEBLOWER WORKING GROUP

The Center for Protected Disclosures broadened its whistleblower outreach during this period by participating in various Forum and working group discussions. Specifically, the Center participated in the Hotline Working Group, presenting the recently published IC IG ERP standards and taking questions from the working group members concerning FY 2020 IAA, Section 5334. These discussions also provided additional insight on OIG structure and information sharing across the various agencies. The Center Director also engaged directly with Forum partners in tailored, one-on-one discussions concerning whistleblower matters and best practices.

PEER REVIEW

Audit

In December 2020, the NRO OIG issued the final report on its external peer review of the IC IG Audit Division. The NRO conducted its review in accordance with *Government Auditing Standards and the CIGIE Guide for Conducting Peer Reviews of Audit Organizations of Federal Offices of Inspector General*. The NRO OIG reviewed the system of quality control for the IC IG Audit Division in effect for the year ended March 31, 2020. The NRO OIG determined that the system of quality control was suitably designed and complied with to provide the IC IG with reasonable assurance of performing and reporting in conformity with applicable professional standards and applicable legal and regulatory requirements in all material respects. The IC IG Audit Division received an External Peer Review rating of pass. Although this peer review was completed during a prior reporting period, it was inadvertently omitted; we are including it in this Semiannual Report to ensure compliance with the CIGIE *Guide for Conducting Peer Reviews of Audit Organizations of Federal Offices of Inspector General*.

Inspections and Evaluations

In March 2022, the NRO OIG conducted an external peer review of the IC IG to assess organizational implementation of the seven standards in CIGIE's *Quality Standards for Inspection and Evaluation* (Blue Book), January 2012. The seven covered Blue Book standards include Quality Control, Planning, Data Collection and Analysis, Evidence, Records Maintenance, Reporting, and Follow-Up. The external peer review included selected inspections and evaluations issued between FY 2019 and FY 2021 to assess the reports' compliance with Blue Book standards and internal policies and procedures. The reviewing OIG concluded that the IC IG I&E and Audit Divisions' policies and procedures generally met the seven CIGIE Blue Book standards. All IC IG reports reviewed generally met the CIGIE Blue Book standards and complied with relevant IC IG internal policies and procedures. In addition, the reviewing OIG concluded that the IC IG I&E Division had taken appropriate corrective actions to address two 2017 External Peer Review observations. The final report is expected to be completed by June 2022.

Investigations

In 2019, the U.S. Government Accountability Office (GAO) recommended the IC IG develop a process to facilitate external quality assurance reviews of IC OIGs' Investigations programs. In response to GAO's recommendation, in March and June of 2021, the Chair of the IC IG's Assistant Inspector General for Investigations (AIGI) Forum, in collaboration with the Forum's members, implemented a "team approach" concept for conducting external quality assurance (peer) reviews, consistent with CIGIE's *Quality Standards for Investigations*. This approach allows for an investigator from each IC OIG Investigations Division to participate in the scheduled reviews. While a senior investigator will lead each review, it also affords an opportunity to teach and train less-experienced investigators who would not normally participate in such reviews. The first review was concluded in March 2022, in which the IC IG Investigations Division supported the peer review of the NSA's investigations program. IC IG will also support the review of DIA's investigations program by the end of FY 2022.

As Chair of the IC IG's Investigations Committee, the IC IG Assistant Inspector General for Investigations will continue to serve as the peer review coordinator for the Intelligence Community OIGs investigations programs and provide updates to the CIGIE Investigations Committee, as needed or required.



Five Eyes Intelligence Oversight and Review Council

The Five Eyes Intelligence Oversight and Review Council (FIORC) comprises the following non-political intelligence oversight, review, and security entities of the Five Eyes countries: the Office of the Inspector-General of Intelligence and Security (Australia); the Office of the Intelligence Commissioner and National Security and Intelligence Review Agency (Canada); the Office of the Inspector-General of Intelligence and Security (New Zealand); the Investigatory Powers Commissioner's Office (United Kingdom) and the Office of the Inspector General of the Intelligence Community (United States). The Council members exchange views of mutual interest and compare best practices in review and oversight methodology.

The members of FIORC hold conference calls throughout the year, but gather in-person annually, with the host country rotating among the participants. The 2020 meeting, scheduled to be hosted by New Zealand, was postponed due to the COVID-19 pandemic. Due to ongoing health and safety protocols, the Council held the 2021 session virtually in October. Members addressed oversight jurisdiction, approaches to accessing agency information, and sourcing of advanced technical expertise for specific projects, to include Artificial Intelligence and Machine Learning. DIA led a discussion on potential staff exchanges.



The United States will host the next annual Council meeting in the fall of 2022. If health and travel restrictions allow, the conference will be held in-person in Washington, D.C.

THE INSPECTOR GENERAL COMMUNITY

More than forty years ago, President Jimmy Carter signed the Inspector General Act of 1978 and described the new statutory Inspectors General as “perhaps the most important new tools in the fight against fraud.” The Inspector General of the Intelligence Community, one of 74 Inspectors General collectively overseeing the operations of nearly every aspect of the federal government, looks forward to continuing to work with the Council of the Inspectors General on Integrity and Efficiency (CIGIE) on important issues that significantly affect productivity, transparency, and accountability throughout the federal government.

The IG is personally engaged in various CIGIE activities including the Technology Committee, the Budget Committee, and the Diversity, Equity, Inclusion and Accessibility Working Group. Other members of the Office of the IC IG are also engaged in various CIGIE committees and activities.

SORT. SEARCH. FILTER

Oversight.gov allows users to sort, search, and filter the site’s database of public reports from all CIGIE-member OIGs to find reports of interest.

Oversight.gov

On behalf of the federal Inspector General community, CIGIE manages *Oversight.gov*, a “one stop shop” to follow the ongoing oversight work of all OIGs that publicly post reports. The IC IG, like other OIGs, posts reports to its own website, as well as to *Oversight.gov*, to afford users the benefits of the website’s search and retrieval features. *Oversight.gov* allows users to sort, search, and filter the site’s database of public reports from all CIGIE-member OIGs to find reports of interest. In addition, the site features a user-friendly map that allows users to find reports based on geographic location and obtain contact information for each OIG’s hotline. Users can receive notifications when new reports are added to the site by following CIGIE’s Twitter account, @OversightGov.

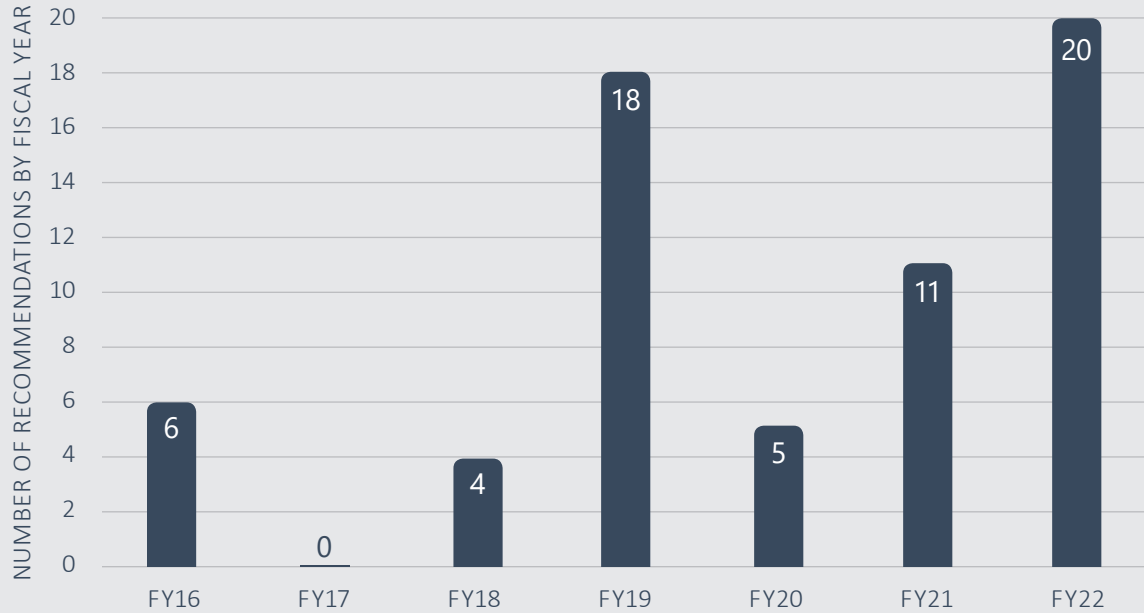
Statistical Data



RECOMMENDATIONS

Following publication of a report, the IC IG’s Audit, Inspections and Evaluations, and Investigations Divisions interact with the responsible ODNI (or other organization, as appropriate) officials at least quarterly to ensure actions are taken to implement report recommendations. IC IG personnel enter a description of the actions into the IC IG’s recommendations tracking database. IC IG Division leadership has the responsibility for approving the closure of a recommendation once it has been demonstrated that responsive actions have met the intent of a recommendation. The Divisions may revisit closed recommendations to ensure actions are fulfilled or to inform follow-on reviews.

NUMBER OF UNIMPLEMENTED RECOMMENDATIONS BY YEAR



RECOMMENDATIONS TABLE

REPORT NAME	DATE ISSUED	TOTAL ISSUED	NEW THIS PERIOD	CLOSED IN PRIOR SAR PERIODS	CLOSED THIS PERIOD	CURRENTLY OPEN
FY 2022						
Audit: FY 2021 Independent Evaluation of the Office of the Director of National Intelligence's Information Security Program and Practices, as Required by the Federal Information Security Modernization Act of 2014	OCT	4	4	0	0	4
Inspection: Evaluation of Intelligence Community Implementation of Security Clearance Reciprocity	OCT	3	3	0	0	3
Inspection: Review of the Intelligence Community Analytic Ombudspersons' Complaint Process	DEC	1	1	0	0	1
Investigation: Contractor Misconduct	FEB	4	4	0	0	4
Investigation: Contractor Cost Mischarging and Misconduct	MAR	5	5	0	0	5
Investigation: Time and Attendance Fraud	MAR	3	3	0	0	3
FY 2021						
Inspection: Review of the Intelligence Community's Implementation of Intelligence Community Directive 701, <i>Unauthorized Disclosures of Classified National Security Information</i>	JUL	3	0	0	3	0
Inspection: Evaluation of the Intelligence Community's Foreign Language Program	AUG	9	0	0	0	9
Inspection: Classification Review of the Office of the Director of National Intelligence, Fiscal Year 2020	SEPT	3	0	0	1	2

RECOMMENDATIONS TABLE

REPORT NAME	DATE ISSUED	TOTAL ISSUED	NEW THIS PERIOD	CLOSED IN PRIOR SAR PERIODS	CLOSED THIS PERIOD	CURRENTLY OPEN
FY 2020						
Audit: Office of the Director of National Intelligence's Government Travel Card Program	JUL	11	0	5	3	3
Audit: FY 2019 Independent Evaluation of the Office of the Director of National Intelligence's Information Security Program and Practices, as Required by the Federal Information Security Modernization Act of 2014	OCT	2	0	0	0	2
FY 2019						
Audit: Office of the Director of National Intelligence's Fiscal Year 2018 Conference Spending	SEPT	2	0	0	0	2
Audit: Management of Privileged Users of Office of the Director of National Intelligence Information Systems	SEPT	9	0	6	0	3
Audit: FY 2018 Independent Evaluation of the Office of the Director of National Intelligence's Information Security Program and Practices, as Required by the Federal Information Security Modernization Act of 2014	FEB	11	0	2	1	8
Inspection: Assessment of the ODNI Methods Used to Substantiate Post-Secondary Education Claims Made by ODNI Employees Subsequent to Entry-on-Duty	AUG	7	0	4	1	2
Inspection: Cyber Threat Intelligence Integration Center	JAN	9	0	6	0	3

RECOMMENDATIONS TABLE

REPORT NAME	DATE ISSUED	TOTAL ISSUED	NEW THIS PERIOD	CLOSED IN PRIOR SAR PERIODS	CLOSED THIS PERIOD	CURRENTLY OPEN	
FY 2018							
Audit: Memorandum to the Chief Operating Officer - Charge Card Program	AUG	2	0	1	0	1	
Inspection: Assessment of IC Freedom of Information Act (FOIA) Programs	SEPT	10	0	7	0	3	
FY 2017							
Inspection: Assessment of ODNI Information System Deterrence, Detection, and Mitigation of Insider Threats	SEPT	19	0	18	1	0	
FY 2016							
Audit: Independent Auditor's Report on the Office of the Director of National Intelligence Fiscal Year 2015 Financial Statements*	NOV	15	0	9	0	6	
		TOTALS	132	20	58	10	64

*Audit performed by CIA OIG; IC IG assumed responsibility in FY 2022 for following up on open recommendations when IC IG assumed responsibility for ODNI financial statements audits.

A P P E N D I C E S

APPENDIX A

EXECUTIVE OFFICE OF THE PRESIDENT | OFFICE OF MANAGEMENT AND BUDGET

MEMORANDUM FOR THE HEADS OF EXECUTIVE DEPARTMENTS AND AGENCIES

SUBJECT: PROMOTING ACCOUNTABILITY THROUGH COOPERATION AMONG AGENCIES AND INSPECTORS GENERAL

EXECUTIVE OFFICE OF THE PRESIDENT
OFFICE OF MANAGEMENT AND BUDGET

WASHINGTON, D.C. 20503

M-22-04

DECEMBER 3, 2021

MEMORANDUM FOR THE HEADS OF EXECUTIVE DEPARTMENTS AND AGENCIES

FROM: Shalanda D. Young
Acting DirectorJason S. Miller
Deputy Director for Management

SUBJECT: Promoting Accountability through Cooperation among Agencies and Inspectors General

As President Biden has made clear, results and accountability go hand-in-hand. To deliver results for all Americans, now and in the years to come, the Federal Government must undertake its work, and support appropriate oversight of its activities, in a manner deserving of public trust. It is the President's expectation that executive departments and agencies (agencies) will restore and respect the integrity and independence of their respective agency inspectors general (IGs), and work with the Congress to ensure that IG offices can exercise their vital oversight role.¹ This memorandum provides guidance regarding agency actions needed to support the important role of agency IGs. In developing this guidance, the Office of Management and Budget (OMB) obtained input from the Council of the Inspectors General on Integrity and Efficiency (CIGIE) on leading strategies to strengthen the relationships among agencies and their IGs.

Role of Federal Inspectors General

Congress enacted the Inspectors General Act of 1978 (IG Act)² to create independent, objective Inspectors General (IG) whose responsibility it is to "promote the economy, efficiency, and effectiveness" and "prevent and detect fraud and abuse" in the programs and operations of each agency. Agency leadership shares these responsibilities with their respective IGs, which means that agency leadership and their IGs must cooperate to achieve those goals.

¹ See section 1.f. of Memorandum on Revitalizing America's Foreign Policy and National Security Workforce, Institutions, and Partnerships at: <https://www.whitehouse.gov/briefing-room/presidential-actions/2021/02/04/memorandum-revitalizing-americas-foreign-policy-and-national-security-workforce-institutions-and-partnerships/>

² Pub. Law No. 95-452, 92 Stat. 1101 (1978), as amended, codified at 5 U.S.C. App. §§ 1-13 (IG Act)

EXECUTIVE OFFICE OF THE PRESIDENT | OFFICE OF MANAGEMENT AND BUDGET

MEMORANDUM FOR THE HEADS OF EXECUTIVE DEPARTMENTS AND AGENCIES

SUBJECT: PROMOTING ACCOUNTABILITY THROUGH COOPERATION AMONG AGENCIES AND INSPECTORS GENERAL

The IG Act empowers Federal IGs with significant operational and administrative independence from their agencies to perform audits, investigations, and other work. Federal auditing standards require that auditors and audit organizations maintain independence so that their opinions, findings, conclusions, judgments, and recommendations will be viewed as impartial by objective third parties with knowledge of the relevant information.³ The IGs require guarantees of independence to allow them to pursue their work without interference by executive branch officials or member of Congress.

Maintaining independence, however, does not preclude agency leadership and their IGs from maintaining productive and cooperative relationships while working towards the same objectives, such as what agencies are already practicing in the context of implementation of the American Rescue Plan (ARP). Agency heads and IGs should establish a relationship that strikes an appropriate balance between maintaining IG independence and producing audit and investigation results that both create value for agency leadership and fulfill congressional expectations.

Role of OMB

OMB plays a critical role in supporting the IG community, with the OMB Deputy Director for Management serving as the Executive Chair of the CIGIE. In this regard, OMB serves as a liaison to the IG community on behalf of agencies to reinforce actions and communications necessary to ensure a well-functioning relationship between agency leadership and IG offices.

The Deputy Director for Management of OMB, as the Executive Chair of the CIGIE and Chair of the President's Management Council, should monitor the relationships among agency leadership and IGs within each agency, and if necessary, convene agency leadership and the agency IG to address opportunities to improve communication and cooperation.

American Rescue Plan Implementation Lessons Learned

The Administration's ARP implementation efforts have demonstrated the benefits of proactive and transparent engagement among agencies, IG offices, and the Pandemic Response Accountability Committee (PRAC). Agencies have been encouraged to proactively engage with their IGs in the design of new or expanded ARP programs. The White House ARP Implementation Coordinator, working with OMB, developed a new process bringing together the agency, their IG, the PRAC, OMB, and the ARP Implementation team to collectively review and assess program design, financial controls, and reporting measures prior to the release of funds from programs that were newly created, received substantial funding increases, or required significant changes to program design. This approach has resulted in strong collaborations and demonstrated the clear benefits from proactive and transparent engagement.

³ GAO-18-568G, "Government Auditing Standards - 2018 Revision," July 2018.

EXECUTIVE OFFICE OF THE PRESIDENT | OFFICE OF MANAGEMENT AND BUDGET

MEMORANDUM FOR THE HEADS OF EXECUTIVE DEPARTMENTS AND AGENCIES

SUBJECT: PROMOTING ACCOUNTABILITY THROUGH COOPERATION AMONG AGENCIES AND INSPECTORS GENERAL

Agency Actions to Demonstrate and Reinforce Cooperation with IGs*Communication to Agency Employees*

As leaders of your respective agencies, you and your staff have an obligation to cooperate with your respective IG offices as they fulfill their statutory responsibilities under the IG Act. In recent years, there have been concerns that executive branch agencies have not consistently provided their IGs with the full cooperation and access to which they are entitled under the law. To avoid such situations, which can delay the completion of critical audits and investigations, it is important that agency leadership routinely communicate with their staff regarding the role of the agency's IG and the importance of cooperation between agency staff and the IG.

In support of OMB's efforts to enhance Agency-IG cooperation, CIGIE conducted a review during the spring of 2021 of agency practices and found that many agencies have not routinely communicated with their staff regarding the role of the IG and expectations for staff engagement with IGs. In some cases, agency leadership did not communicate to agency staff their endorsement of standing directives or policies related to IG independence, exchange of information among agency staff and the IG, and related whistleblower protections. After reviewing existing messages sent by agency leadership, CIGIE concluded that the most effective agency leadership communications contained the following key elements:

- Affirmed the duty of agency personnel to cooperate with their Office of the Inspector General (OIG);
- Outlined the legal bases for OIG's authority to review agency programs and operations, including those contained in the IG Act, which requires OIG's timely access to all agency records;
- Stressed the independence of their IG;
- Addressed whistleblower protections and the IG's commitment to confidentiality to the extent possible, and stated that supervisors cannot prevent or retaliate against employees who report concerns or otherwise cooperate with the IG;
- Described the categories of information that should be reported to the IG; and
- Provided clear guidance to agency employees on how they can report suspected instances of waste, fraud, and abuse.

To reinforce the importance of this relationship and allow agency and IG leadership alike to address changing circumstances or specific issues that may arise, CIGIE suggests that such communications be issued on a regular and consistent basis. CIGIE developed the framing language included in Attachment 1 to support agency leadership's development of internal agency communications regarding agency-IG cooperation and expectations and practices for agency staff.

We request that you communicate to your respective staffs about your expectation that all government employees and contractors fully cooperate with their IG. Each agency should leverage the attached framing language, tailoring their specific message to fit the unique mission and organizational culture of the agency.

EXECUTIVE OFFICE OF THE PRESIDENT | OFFICE OF MANAGEMENT AND BUDGET

MEMORANDUM FOR THE HEADS OF EXECUTIVE DEPARTMENTS AND AGENCIES

SUBJECT: PROMOTING ACCOUNTABILITY THROUGH COOPERATION AMONG AGENCIES AND INSPECTORS GENERAL

Ongoing Agency Practices

The following practices are general guidelines to enhance cooperation among agencies and their respective IGs, consistent with the expectation outlined above:

- *Routine Meetings:* Agency leadership and the IG should hold routine meetings to have candid discussions in a non-audit setting and maintain clear lines of communication between the appropriate IG officials and agency leadership. Open dialogue allows for discussions on areas that are of most value to the agency and can reduce the risk of antagonism that may otherwise cascade throughout the organization in cases where leadership only engages their IGs when confronted with negative or controversial audit or investigation results.
- *IG Resources:* Agency leadership should have candid discussions about the resource needs of the IG to both ensure that they have adequate funding to fulfill their statutory mission while leveraging technology and shared services, to the greatest extent feasible, to do their work as efficiently as possible.
- *Agency IG Liaison:* Agency leadership should designate a senior official to serve in a liaison role within the agency to work with IG staff during audits to smooth interactions between agency and IG staff, resolve conflicts at the lowest level, and raise issues promptly as needed. Such a position can also serve as a liaison between agency leadership and OMB to identify potential issues that could benefit from a cross-agency approach led by CIGIE.
- *Agency-IG Collaboration on New and Changed Programs:* As mentioned above, OMB and the ARP Implementation Team developed a successful new process to promote proactive and transparent collaboration for new and expanded ARP programs. Collaboration on the front-end ensures expertise is brought to bear to ensure programs are constructed in ways that strike the balance right between efficient results, equitable access, and program integrity, including minimal waste, fraud, and abuse. Agency leaders should replicate this type of front-end collaboration for all significant new programs and existing programs where significant change to program design is being implemented by the agency. Specific topics to explore with IGs in this proactive, front-end exchange during program design include, for example:
 - What controls/mitigation strategies are being used to mitigate fraud and improper payments?
 - What are the statutory or regulatory eligibility requirements of the program/funding, and how will the requirements be verified prior to payment?
 - How will the funding recipients' identity be verified/proofed?
 - What risks have been accepted to achieve the goal of quickly reaching recipients that could potentially lead to fraud, waste, abuse, or mismanagement after distribution of funds?
 - What risks have been accepted to achieve the goal of quickly reaching recipients that could potentially lead to fraud, waste, abuse, or mismanagement after distribution of funds?
 - What clear goals and objectives will inform program design to facilitate and demonstrate the delivery of meaningful results?
 - What controls are the agency putting in place for recipient monitoring and accurate financial reporting?
 - What performance reporting will occur post-award/post-payment? Is this recipient reporting or agency reporting?
 - What steps is the agency planning to take if program performance assessment indicators show risks?

EXECUTIVE OFFICE OF THE PRESIDENT | OFFICE OF MANAGEMENT AND BUDGET

MEMORANDUM FOR THE HEADS OF EXECUTIVE DEPARTMENTS AND AGENCIES

SUBJECT: PROMOTING ACCOUNTABILITY THROUGH COOPERATION AMONG AGENCIES AND INSPECTORS GENERAL

- *Whistleblower Protections:* Agencies should foster work environments in which employees feel comfortable voicing their concerns and reporting wrongdoing without fear of retaliation. It is unlawful for an agency to take, threaten to take, propose, or not take a personnel action because of an employee's whistleblowing activities. Agencies should communicate and provide training about whistleblower rights and protections to supervisors and employees, including that agencies and supervisors cannot prevent employees from reporting concerns, cooperating with the IG, or otherwise blowing the whistle, and that agencies and supervisors cannot retaliate against employees who do so.
- *Communicating about Enterprise Risk Management:* Agencies must utilize enterprise risk management practices to identify risks associated with achieving program results. Agency leadership can inform their IG when they are purposely deciding to take on added risk, especially in new or changed programs, to expand access to underserved communities, or to leverage new technology, and discuss with their IG strategies effective practices for managing risk in those instances. This engagement with IGs can help inform IG recommendations to be placed in context, constructive, and actionable.
- *Response to IG Recommendations:* Agency leadership should promptly respond to IG reports to preclude lingering open recommendations. Agencies can share with their IGs information regarding good faith efforts to respond to IG recommendations, discuss alternative actions and risk tolerance, and work to resolve areas of disagreement. Upon request, OMB will convene meetings between agency leadership and their IGs to help resolve significant areas of disagreement regarding IG recommendations.

ATTACHMENT

Attachment 1: Framing Language from CIGIE for Agency Communications on OIG Cooperation and Access

Attachment 1**Framing Language from CIGIE for Agency Communications on OIG Cooperation and Access**

CIGIE reviewed examples of agency leadership communication to staff on the importance of providing OIG full cooperation and access. The following template is based on approaches to such messaging, as identified during CIGIE's review. While message style and content may vary based on the distinct missions and organizational cultures of each agency, CIGIE noted that the best examples generally covered several key elements (highlighted in boldface, below). CIGIE recommends that agency communications on this topic come directly from the agency head or jointly from the agency head and inspector general. CIGIE also suggests that such communications be issued on a regular basis, which, depending on the needs of a particular agency, could be at a specific duration (such as annually) or tied to specific events.

EXECUTIVE OFFICE OF THE PRESIDENT | OFFICE OF MANAGEMENT AND BUDGET

MEMORANDUM FOR THE HEADS OF EXECUTIVE DEPARTMENTS AND AGENCIES

SUBJECT: PROMOTING ACCOUNTABILITY THROUGH COOPERATION AMONG AGENCIES AND INSPECTORS GENERAL

Attachment 1, continued

The [specify department / agency] Office of Inspector General (OIG) **plays a critical role in fulfilling our agency's mission.** OIG is a valued partner in pursuing economy, efficiency, and effectiveness in agency programs and operations and helps prevent and detect waste, fraud, abuse, and mismanagement.

OIG serves an important and **independent oversight role** through its audits, reviews, evaluations, and investigations, and OIG routinely needs information from agency personnel to fulfill its obligations. OIG audits, reviews, evaluations, and inspections help identify ways to improve the agency's work. OIG also promotes accountability by investigating possible wrongdoing in connection with agency programs, operations, and personnel. OIG's **independent yet complementary functions** help ensure the integrity of our agency's work. These functions matter, in part, because they show the public, which we all serve, that the agency is a proper steward—guarding both public resources and the public trust.

Under the terms of The Inspector General Act of 1978 (**the IG Act**), as amended, the agency and its employees have a duty to cooperate with OIG. One important aspect of cooperation is **providing information and assistance in a timely manner.** Among other provisions, the IG Act authorizes the Inspector General to have timely access to all records, reports, audits, reviews, documents, papers, recommendations, or other material available to the agency relating to its programs and operations. More broadly, the IG Act authorizes OIG to request any information or assistance necessary to carry out its duties, which may include access to employees, facilities, systems, and equipment.

[If applicable, cite department / agency policy outlining a duty to cooperate with OIG, management's responsibility to ensure cooperation, and potential discipline for failure to cooperate.]

OIG is also entitled to **information that may be classified, privileged, confidential, or otherwise exempt from disclosure under the law**, such as the Freedom of Information Act or the Privacy Act. OIG will treat such information in accordance with applicable statutes and regulations. Providing such information to OIG does not waive any privileges that the agency may attach to the information.

OIG itself also has important obligations. In conducting its work, OIG will maintain employee **confidentiality** when requested, to the extent possible and consistent with OIG's legal obligations. OIG will also make best efforts to coordinate with managers and supervisors to avoid disruption, respect segregated sensitive materials, and comport with all other responsibilities under applicable law and agency policies.

Finally, it is against the law and agency policy to **retaliate against employees** who provide information or report allegations of waste, fraud, and abuse to OIG. OIG also has a role in **protecting whistleblowers**, and agency employees may contact the OIG whistleblower coordinator to learn about their rights at [include contact info, including any specific COVID-19 protocols].

If you have questions about your obligations to cooperate with requests of OIG or regarding OIG's legal authority, you may contact [insert here the appropriate agency points of contact for these questions.]

How to report: Employees always have a right to communicate directly with OIG. You do not need permission from anyone. [Insert here agency contact information, as applicable, for OIG **Hotline** number, OIG website, etc.] You also have important whistleblower rights and protections. [Insert here contact information for the appropriate OIG point of contact for whistleblower protection issues] is available to discuss protections against retaliation and how to make a protected disclosure.

- END OF MEMORANDUM -

ABBREVIATIONS AND ACRONYMS

AFR	Agency Financial Report	IC	Intelligence Community
The Center	Center for Protected Disclosures	IC IG	Office of the Inspector General of the Intelligence Community
CIA	Central Intelligence Agency	ICWPA.....	Intelligence Community Whistleblower Protection Act
CIGIE.....	Council of the Inspectors General on Integrity and Efficiency	ISCM	Information Security Continuous Monitoring
COVID-19.....	Coronavirus 2019	IT.....	Information Technology
CY	Calendar Year	MAC.....	Management Advisory Committee
DIA.....	Defense Intelligence Agency	MSD.....	Mission Support Division
DNI	Director of National Intelligence	NCSC.....	National Counterintelligence and Security Center
DOJ	Department of Justice	NDAA.....	National Defense Authorization Act
ERP	External Review Panel	NGA	National Geospatial-Intelligence Agency
FBI	Federal Bureau of Investigation	NIU	National Intelligence University
FIORC.....	Five Eyes Intelligence Oversight and Review Council	NRO	National Reconnaissance Office
FISMA.....	Federal Information Security Modernization Act of 2014	NSA.....	National Security Agency
FOIA.....	Freedom of Information Act	ODNI.....	Office of the Director of National Intelligence
The Forum.....	Intelligence Community Inspectors General Forum	OIG	Office of the Inspector General
FY.....	Fiscal Year	OMB	Office of Management and Budget
GAAP	Generally Accepted Accounting Principles	PPD.....	Presidential Policy Directive
GAO	Government Accountability Office	SAC-D.....	Senate Appropriations Committee - Defense
HAC-D.....	House Appropriations Committee - Defense	SAR	Semiannual Report
HPSCI.....	House Permanent Select Committee on Intelligence	SEAD	Security Executive Agent Directive
I&E.....	Inspections and Evaluations	SSCI.....	Senate Select Committee on Intelligence
IAA.....	Intelligence Authorization Act		



THE OFFICE OF THE INSPECTOR GENERAL
OF THE INTELLIGENCE COMMUNITY

571-204-8149