


NATIONAL SECURITY AGENCY
OFFICE OF THE INSPECTOR GENERAL



Semiannual Report to Congress

1 October 2022 to 31 March 2023



The seal of the Office of the Inspector General, National Security Agency, is a circular emblem. The outer ring contains the text "NATIONAL SECURITY AGENCY" at the top and "OFFICE OF THE INSPECTOR GENERAL" at the bottom, separated by two stars. Inside this ring, the words "OVERSIGHT" and "INTEGRITY" are on the left and right respectively, with a star between them. The center of the seal features a stylized eagle with its wings spread, perched atop a shield. Below the shield is a balance scale, and at the very bottom, a banner displays the words "INDEPENDENCE" and "TRANSPARENCY" separated by a star.

Pursuant to the Inspector General Act of 1978, as amended and as specified in Chapter 4 of Title 5, U.S. Code, and in accordance with NSA/CSS Policy 1-60, the NSA/CSS Office of the Inspector General conducts independent oversight that promotes the wise use of public resources; adherence to laws, rules, and regulations; and respect for Constitutional rights. Through audits, evaluations, inspections, and investigations, we detect and deter waste, fraud, abuse, and misconduct, and promote the economy, efficiency, and effectiveness of Agency operations.

I am pleased to submit the Semiannual Report (SAR) for the National Security Agency/Central Security Service (NSA) Office of the Inspector General (OIG) for the period ending 31 March 2023.

In December 2022, the first presidentially appointed NSA Inspector General (IG), The Honorable Robert P. Storch, was confirmed as the Department of Defense (DoD) IG. We are grateful for his leadership and dedication to the IG profession, and his steadfast commitment to ensuring our office's independence.

We will continue to create positive change through impactful and independent oversight. As Acting IG, I will continuously evaluate our processes to make sure we are a strong, efficient, and timely watchdog focused on the top challenges facing the Agency. As the watchdog, we understand and will continue to emphasize that whistleblower rights and protections are critical. We will emphasize this in our outreach and education to the Agency and will conduct appropriate investigations.

During the reporting period, the team completed our FY 2022 *Top Management and Performance Challenges Facing the National Security Agency*—top challenges included strategic competition; insider threats; recruiting and sustaining a diverse, equitable, and inclusive expert workforce; enhancing financial and physical resource management; and posturing for success after natural and man-made events. These challenges are and will be used to focus our oversight into the most impactful areas.

The team issued the joint NSA and DoD OIG evaluation of the Agency's integration of artificial intelligence into signals intelligence operations, a significant example of collaborative, cutting-edge reporting. I am proud to announce that this joint team recently received the Intelligence Community (IC) IG Collaboration Award for their impactful work.

Our team has embraced collaboration and knowledge sharing with other IC OIGs and the Council for Inspectors General on Integrity and Efficiency. This collaboration and sharing enhances government efficiency and effectiveness, making us all better stewards of the taxpayers' dollars.

Our collaboration with other OIGs, our law enforcement partners, and the Department of Justice, along with our outreach to the Agency, led to three criminal prosecutions during this reporting period. A tip to the OIG Hotline resulted in a multi-year OIG investigation of a chief executive officer (CEO). After a four-week federal jury trial, the CEO was found guilty of 19 counts of submitting false claims to the Agency and 1 count of making a false statement to the OIG investigator.

In the second case, an Agency referral to the OIG led to a multi-year investigation of a former NSA employee and a military co-worker for contract-related fraud. The investigation resulted in two guilty pleas in federal court.

Both cases illustrate the OIG's commitment to investigating criminal activity, including financial and procurement fraud, and working collaboratively with law enforcement partners and the Agency to seek justice. I thank those who reported the criminal activity to the OIG and trusted we would do the right thing, the Agency employees and affiliates who were unwavering in their support of the cases, and the dedicated OIG investigators who ensured justice occurred.

It is an honor to lead such a talented, diverse, and dedicated team of professionals.



KEVIN B. GERRITY
Acting Inspector General



HIGHLIGHTS



REPORTS



1

Audit

1

Evaluation

1

Inspection



7

Total Recommendations

INVESTIGATIONS

3

Number of Convictions Resulting From Investigations

2

Investigations Involving Senior Employees

3

Investigations Involving Whistleblower Retaliation

635

Contacts Processed



24

New Investigations Opened

128

New Inquiries Opened

19

Investigations Closed

129

Inquiries Closed



21

Disciplinary Actions



\$78,454
(Actual)

\$495,061
(Proposed)

Monetary Recoveries

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|---|-----|
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INFORMATION RELATED TO INTERFERENCE BY NSA

The National Security Agency (NSA)/Central Security Service (CSS)—hereinafter referred to as NSA—Office of the Inspector General (OIG) experienced no attempts by NSA to interfere with our independence. The Agency fully cooperated with our work and did not refuse to provide or attempt to delay or restrict access to records or other information, and did not constrain our budget to limit the capabilities of the office.



AUDIT, INSPECTION, AND EVALUATION REPORTS ISSUED

Audit Reports

Audit of NSA's FY 2022 Financial Statements

The objective of this audit was to provide an opinion on whether the Agency's financial statements are presented fairly in all material respects and in accordance with U.S. generally accepted accounting principles (GAAP).

While NSA had made progress, including removing a prior financial reporting material weakness, the external accounting firm that the OIG retained was unable to express an opinion on the financial statements because NSA could not provide sufficient appropriate evidence to support certain material account balances.

The audit found that material weaknesses exist in the Agency's ability to provide documentation to support the financial statement assertions. The audit reported five areas as material weaknesses:

- 1. General Property, Plant and Equipment (PP&E).** NSA did not have effective policies, processes, procedures, or controls to identify, accumulate, and report all classes of PP&E, including General Equipment, Leasehold Improvements, and Software. During FY 2022, NSA's estimation methodologies to value its equipment balances remained in various stages of remediation and implementation. As a result, NSA did not utilize a comprehensive estimation methodology and, therefore, did not implement management review controls to value its equipment.
- 2. Procurement Activity and Accounts Payable Accrual.** NSA contracts with vendors and other third parties for goods and services and, under reimbursable agreements, performs work on behalf of other government agencies and foreign governments. NSA's Accounts Payable balance represents amounts owed for goods, services, progress on contract performance by others, and other expenses incurred but not paid at period-end. To estimate these balances, NSA uses accrual methodologies. During FY 2022, NSA was in the process of developing or implementing corrective action plans based on prior audits and was developing a new methodology to estimate and record non-federal Accounts Payable, but these developments were not completed in the fiscal year. Additionally, NSA had not fully implemented corrective actions for certain procurement processes. Further, NSA did not have sufficient business processes or controls to consistently distinguish between expenses and advances or prepayments.
- 3. Budgetary Activity.** Prior audits determined that NSA's processes, procedures, and controls related to the completeness and existence of its Undelivered Orders (UDOs) were not designed or operating effectively. Because of control deficiencies noted in NSA's



monitoring of UDOs from prior audits dating back to FY 2017, NSA developed corrective actions to monitor, assess, and correct invalid unliquidated obligations. However, in FY 2022, NSA was unable to complete its planned remediation efforts.

4. Fund Balance with Treasury (FBwT) and Deposit Funds. FBwT represents account balances held at the U.S. Treasury from which an agency can pay for its operations. NSA receives funding in advance from its foreign partners to perform various projects under accommodation buy agreements. However, NSA's processes, controls, and associated documentation related to the accommodation buy business process were not sufficient to support the establishment of reimbursable projects and internal adjustments. Additionally, NSA, working through service providers, did not fully implement effective controls to demonstrate that NSA-related accounts were accurately reconciled with Treasury and appropriately routed to NSA.

5. Entity Level Controls. The audit identified a material control weakness in NSA's entity level controls related to control environment, risk assessment and monitoring, and information and communication. In addition to the material weaknesses discussed above, the weaknesses in NSA's entity level controls had a number of causes:

- Resource constraints encountered during FY 2022 may have impacted the prioritizations of internal controls;
- NSA did not complete a robust risk assessment to identify and analyze risks related to the achievement of its defined financial reporting objectives;
- NSA did not establish and document a sufficient process—one that incorporates the 17 principles contained in the Government Accountability Office's *Standards for Internal Control in the Federal Government*, also referred to as the Green Book—to assess its system of internal control over financial reporting and financial systems;
- NSA did not have robust policies or procedures to hold third parties accountable for not performing internal control responsibilities on NSA's behalf; and
- NSA did not obtain reliable data from internal and external sources needed to adequately support the amounts recorded within its financial statements.

Inspection Reports

Quick Reaction Report (QRR) on Unaccounted Property

The OIG learned that equipment at an NSA facility was not accounted for properly. NSA policies specifically outline required processes for installing or modifying NSA equipment and coordination for adjusting or disposing of that equipment. The OIG found that the equipment was not accounted for due to a lack of workforce awareness about those processes.

The OIG issued a QRR to promptly bring these issues to the Agency's attention, and we made five recommendations to assist in addressing our findings, which the Agency accepted.

Evaluation Reports

Joint Evaluation of the National Security Agency's Integration of Artificial Intelligence

The NSA and the Department of Defense (DoD) OIGs jointly assessed NSA's integration of artificial intelligence (AI) into signals intelligence (SIGINT) operations in accordance with DoD and Intelligence Community (IC) guidance and strategy on AI.

The OIGs found that NSA has taken actions to integrate AI into its operations. However, this joint evaluation revealed areas of improvement for inventorying AI capabilities across the NSA enterprise and for developing, implementing, and communicating requirements on documenting AI tools. The evaluation also noted room for improvement in the reporting by the Joint Artificial Intelligence Center (known within DoD as the JAIC) on AI activities as congressionally mandated by the Joint Explanatory Statement accompanying the Consolidated Appropriation Act of 2021.

The report contained two recommendations to assist the Agency and one recommendation to assist DoD in strengthening AI governance and collaboration among DoD and IC partners on AI activities.

Total Dollar Value of Questioned Costs and Funds Put to Better Use During the Reporting Period

No questioned costs or funds put to better use were identified in OIG reports during this reporting period.

INFORMATION REGARDING MANAGEMENT DECISIONS

The IG Act defines “management decision” as the evaluation by the management of an establishment of the findings and recommendations included in an audit report and the issuance of a final decision by management concerning its response to the findings and recommendations, including actions concluded to be necessary. A management decision made in the current reporting period to reverse or change the initial management decision made during a prior reporting period, including changing the organization responsible for the recommendation, is listed below:

Inspection of NSA/CSS Representative and Cryptologic Services Group

NSA management submitted a request to change the responsible organization for one recommendation to fully meet its intent. The OIG agreed this change aligns with the intent of the recommendation.



COMPLIANCE WITH FEDERAL FINANCIAL MANAGEMENT IMPROVEMENT ACT OF 1996 (FFMIA)

NSA reported in its *Agency Financial Report* for FY 2022 that it is not in substantial compliance with Section 803(a) of the FFMIA. Specifically, it is not in compliance with federal financial management systems requirements and applicable federal accounting standards. NSA's target for compliance is FY 2028.



INVESTIGATIONS

Summary of Closed Significant Investigations

Senior Executives

An OIG investigation determined that a Senior Executive provided their executive assistant with the passwords to their NSA classified information system (IS) profile. The executive assistant misused the IS by using the Senior Executive's profile to conduct administrative work functions on the Senior Executive's behalf.

The OIG determined that a Senior Executive did not create a hostile work environment and did not fail to exercise courtesy and respect.

Reprisal

The OIG completed three separate investigations into allegations of reprisal. The investigations determined that four Agency supervisors did not reprise against three separate Agency employees for making protected disclosures and did not engage in any arbitrary or capricious act that adversely affected the rights of the subordinate.

Total Number of Convictions Resulting From Investigations

A total of three convictions resulted from OIG investigations in this reporting period.

Jury Finds Chief Executive Officer (CEO) Guilty of Fraud

A tip to the OIG Hotline resulted in a multi-year OIG investigation of a CEO of an NSA contractor company for defrauding the Agency.

The investigation, conducted in coordination with law enforcement partners, found that the CEO billed the Government for eight-hour days while participating in activities such as charity events, high school reunion, and vacations in Texas and Ocean City, Maryland. In addition, conducted business development efforts that were unrelated to the NSA contract.

After a four-week jury trial in the Federal District Court of Maryland, the CEO was found guilty of 19 counts of submitting false claims to the Agency, totaling more than \$300,000 in fraudulent billings, and 1 count of making a false statement to an OIG investigator.

Former NSA Employee Pleas Guilty to Conspiracy to Commit Fraud

An Agency referral led to a multi-year OIG investigation, conducted in coordination with the National Reconnaissance Office (NRO) OIG and law enforcement partners, of a former NSA employee. The



employee, along with a military officer co-worker, used insider information to help steer a contract to a company the military officer had an interest in.

The employee and the co-worker both pled guilty in the federal court. The employee pled to one count of conspiracy to defraud the U.S. Government, and the military co-worker pled guilty to engaging in acts affecting a personal financial interest.

Investigative Statistical Tables

| Category | Total ^a |
|---|--------------------|
| Number of Investigative Reports | 19 |
| Number of Persons Referred to the Department of Justice for Criminal Prosecution | 13 |
| Number of Persons Referred to the State and Local Prosecuting Authorities for Criminal Prosecution | 0 |
| Number of Indictments and Criminal Informations That Resulted From Prior Referrals to Prosecuting Authorities | 0 |

Note: ^a Statistical tables were developed by compiling data from the NSA OIG's internal Investigations Division database.

Investigations Substantiating Misconduct Involving Senior Employees

GG-15: False and Inaccurate Timesheets

The OIG substantiated that a GG-15 Agency employee submitted false and inaccurate timesheets, totaling 10.75 hours, resulting in a loss of \$815 to the Government.

See "Summary of Closed Significant Investigations" section above for other substantiated senior employee cases.

Substantiated Investigations of Whistleblower Retaliation

There were no instances of substantiated whistleblower retaliation during this period.

Semiannual Reports on Investigations of Unauthorized Disclosures of Classified Information

In December 2019, the President of the United States signed into law the National Defense Authorization Act for Fiscal Year 2020 (NDAA). Section 6718 of the NDAA amends Title XI of the National Security Act of 1947 by adding a new section: "Section 1105 – Semiannual Reports on Investigations of Unauthorized Disclosures of Classified Information." This section requires the NSA OIG to submit to the congressional intelligence committees a report on investigations of unauthorized public disclosures of classified information and to do so no less frequently than once every six months.

During the period from 1 October 2022 through 31 March 2023, the OIG did not open or complete any investigations of disclosures of information that have been determined to be classified.



AUDITS, INSPECTIONS, AND EVALUATIONS AND INVESTIGATIONS OF SENIOR GOVERNMENT EMPLOYEES CLOSED AND NOT DISCLOSED TO THE PUBLIC

This SAR discloses to the public all audits, inspections, evaluations, and investigations involving senior government employees closed during the reporting period.



APPENDIX A: PEER REVIEW

Peer Reviews Conducted by Other OIGs

No peer reviews were performed during this reporting period. The last peer review of the NSA OIG was of the Audits Division, led by the IC IG and supported by NRO and Defense Intelligence Agency OIGs, covering the three-year period from 1 April 2018 through 31 March 2021.

There are no outstanding recommendations from any peer review of the NSA OIG conducted by another OIG.

Peer Reviews Conducted by NSA OIG

The NSA OIG led and completed the following joint peer review during the reporting period:

- NRO OIG, Investigative Operations, 1 December 2022

There are no outstanding recommendations from any peer reviews performed by the NSA OIG.



APPENDIX B: RECOMMENDATIONS MADE BEFORE THE REPORTING PERIOD FOR WHICH CORRECTIVE ACTION HAS NOT BEEN COMPLETED AND ALL OUTSTANDING RECOMMENDATIONS IN THE PAST 12 MONTHS

| Report Date | Report Number | Recommendation Number | Report Date | Report Number | Recommendation Number |
|-------------|---------------|-----------------------|-------------|---------------|-----------------------|
| 3/31/2011 | AU-11-0001 | AU-11-0001-1b | 9/28/2018 | ST-17-0001 | ST-17-0001-7 |
| 3/31/2011 | AU-11-0001 | AU-11-0001-2 | 9/28/2018 | ST-17-0001 | ST-17-0001-8 |
| 3/31/2011 | AU-11-0001 | AU-11-0001-3 | 9/28/2018 | ST-17-0001 | ST-17-0001-9 |
| 6/28/2013 | AU-13-0004 | AU-13-0004-5 | 9/28/2018 | ST-17-0001 | ST-17-0001-14 |
| 7/15/2014 | AU-13-0011 | AU-13-0011-2 | 9/28/2018 | ST-17-0001 | ST-17-0001-28 |
| 6/19/2015 | AU-14-0005 | AU-14-0005-6 | 11/6/2018 | IN-18-0006 | BA-18-2302 |
| 7/23/2015 | JT-15-0002 | FH-15-1015 | 11/16/2018 | IN-18-0007 | KI-18-2402 |
| 3/30/2016 | IN-16-0001 | MI-16-2009 | 11/16/2018 | IN-18-0007 | KI-18-2403 |
| 3/30/2016 | IN-16-0001 | MI-16-1038 | 11/16/2018 | IN-18-0007 | KI-18-2506 |
| 8/16/2016 | AU-16-0001 | AU-16-0001-12 | 11/16/2018 | IN-18-0007 | KI-18-2601 |
| 10/4/2016 | IG-16-11869 | CM-1 | 3/11/2019 | JT-18-0002 | AK-18-1001 |
| 1/6/2017 | ST-16-0002 | ST-16-0002-1 | 3/11/2019 | JT-18-0002 | AK-18-2501 |
| 2/17/2017 | AU-15-0014 | AU-15-0014-4b | 3/26/2019 | ST-17-0002 | ST-17-0002-5 |
| 2/17/2017 | AU-15-0014 | AU-15-0014-3 | 3/26/2019 | ST-17-0002 | ST-17-0002-7 |
| 2/17/2017 | AU-15-0014 | AU-15-0014-8 | 3/26/2019 | ST-17-0002 | ST-17-0002-10 |
| 2/21/2017 | IN-17-0001 | SG-17-2410e | 7/11/2019 | IN-19-0002A | SU-19-2902 |
| 2/21/2017 | IN-17-0001 | SG-17-2503 | 7/22/2019 | AU-18-0016 | AU-18-0016-4 |
| 5/18/2017 | IN-16-0009 | UT-16-2101 | 8/16/2019 | IN-18-0009 | NP-18-2001 |
| 6/6/2017 | AU-16-0002 | AU-16-0002-8 | 8/16/2019 | IN-18-0009 | NP-18-2508 |
| 7/14/2017 | AD-17-0001 | AD-17-0001-1 | 8/28/2019 | JT-18-0003 | FH-18-2001 |
| 8/17/2017 | ST-16-0003 | ST-16-0003-3 | 8/28/2019 | JT-18-0003 | FH-18-2301 |
| 9/8/2017 | JT-17-0001 | TX-17-2005 | 8/28/2019 | JT-18-0003 | FH-18-1501 |
| 10/26/2017 | AU-17-0005 | AU-17-0005a - 1 | 8/28/2019 | JT-18-0003 | FH-18-1507 |
| 12/20/2017 | JT-17-0002 | PG-17-0101-S | 8/28/2019 | JT-18-0003 | FH-18-1508 |
| 12/29/2017 | AU-16-0018 | AU-16-0018-18 | 8/28/2019 | JT-18-0003 | FH-18-1509 |
| 1/3/2018 | AU-16-0004 | AU-16-0004-1 | 8/28/2019 | JT-18-0003 | FH-18-2501 |
| 1/3/2018 | AU-16-0004 | AU-16-0004-6 | 8/28/2019 | JT-18-0003 | FH-18-2502 |
| 1/26/2018 | IN-18-0001 | PA-18-2003 | 8/28/2019 | JT-18-0003 | FH-18-1604 |
| 6/29/2018 | IN-18-0002 | ND-18-2501 | 8/28/2019 | JT-18-0003 | FH-18-1704 |
| 8/1/2018 | JT-18-0001 | FG-18-1302 | 9/27/2019 | ST-18-0003 | ST-18-0003-1 |
| 8/1/2018 | JT-18-0001 | FG-18-2314 | 9/27/2019 | ST-18-0003 | ST-18-0003-2 |
| 9/21/2018 | ST-17-0003 | ST-17-0003-19 | 9/27/2019 | ST-18-0003 | ST-18-0003-4 |
| 9/27/2018 | IN-18-0003 | LP-18-2102 | 9/30/2019 | AU-18-0013 | AU-18-0013-18 |
| 9/28/2018 | ST-17-0001 | ST-17-0001-4 | 10/2/2019 | AU-18-0002 | AU-18-0002-1 |



| Report Date | Report Number | Recommendation Number |
|-------------|---------------|-----------------------|
| 10/2/2019 | AU-18-0002 | AU-18-0002-4 |
| 12/18/2019 | ST-18-0002 | ST-18-0002-3 |
| 12/18/2019 | ST-18-0002 | ST-18-0002-4 |
| 12/18/2019 | ST-18-0002 | ST-18-0002-5 |
| 12/18/2019 | ST-18-0002 | ST-18-0002-6 |
| 12/18/2019 | ST-18-0002 | ST-18-0002-2 |
| 12/18/2019 | ST-18-0002 | ST-18-0002-7 |
| 12/19/2019 | IN-19-0001 | TR-19-1504 |
| 2/21/2020 | EV-20-0001 | EV-20-0001-1 |
| 3/17/2020 | IN-19-0002 | SU-19-2103 |
| 3/17/2020 | IN-19-0002 | SU-19-2502 |
| 6/12/2020 | AD-19-0003 | AD-19-0003-3 |
| 6/16/2020 | ST-18-0004 | ST-18-0004-1 |
| 6/16/2020 | ST-18-0004 | ST-18-0004-4 |
| 6/16/2020 | ST-18-0004 | ST-18-0004-6 |
| 6/18/2020 | ST-18-0006 | ST-18-0006-8 |
| 6/18/2020 | ST-18-0006 | ST-18-0006-9 |
| 6/18/2020 | ST-18-0006 | ST-18-0006-12 |
| 6/18/2020 | ST-18-0006 | ST-18-0006-16 |
| 6/18/2020 | ST-18-0006 | ST-18-0006-17 |
| 6/18/2020 | ST-18-0006 | ST-18-0006-18 |
| 6/18/2020 | ST-18-0006 | ST-18-0006-19 |
| 6/18/2020 | ST-18-0006 | ST-18-0006-21 |
| 6/18/2020 | ST-18-0006 | ST-18-0006-23 |
| 6/18/2020 | ST-18-0006 | ST-18-0006-25 |
| 7/1/2020 | ST-18-0009 | ST-18-0009-1 |
| 7/1/2020 | ST-18-0009 | ST-18-0009-12 |
| 7/1/2020 | ST-18-0009 | ST-18-0009-15 |
| 7/1/2020 | ST-18-0009 | ST-18-0009-20 |
| 7/1/2020 | ST-18-0009 | ST-18-0009-21 |
| 7/1/2020 | ST-18-0009 | ST-18-0009-23 |
| 7/1/2020 | ST-18-0009 | ST-18-0009-24 |
| 7/1/2020 | ST-18-0009 | ST-18-0009-25 |
| 7/1/2020 | ST-18-0009 | ST-18-0009-3 |
| 7/1/2020 | ST-18-0009 | ST-18-0009-5 |
| 7/1/2020 | ST-18-0009 | ST-18-0009-6 |
| 7/1/2020 | ST-18-0009 | ST-18-0009-8 |
| 7/14/2020 | JT-19-0001 | MH-19-1301 |
| 7/14/2020 | JT-19-0001 | MH-19-1302 |
| 7/14/2020 | JT-19-0001 | MH-19-2504 |
| 7/14/2020 | JT-19-0001 | MH-19-2505 |
| 7/14/2020 | JT-19-0001 | MH-19-2506 |
| 7/14/2020 | JT-19-0001 | MH-19-2601 |

| Report Date | Report Number | Recommendation Number |
|-------------|---------------|-----------------------|
| 7/14/2020 | JT-19-0001 | MH-19-1608 |
| 9/21/2020 | AU-19-0001 | AU-19-0001-3 |
| 9/30/2020 | ST-19-0002 | ST-19-0002-1 |
| 9/30/2020 | ST-19-0002 | ST-19-0002-2 |
| 9/30/2020 | ST-19-0002 | ST-19-0002-3 |
| 9/30/2020 | ST-19-0002 | ST-19-0002-4 |
| 9/30/2020 | ST-19-0002 | ST-19-0002-5 |
| 9/30/2020 | ST-19-0002 | ST-19-0002-7 |
| 9/30/2020 | ST-19-0002 | ST-19-0002-8 |
| 9/30/2020 | ST-19-0002 | ST-19-0002-9 |
| 9/30/2020 | ST-19-0002 | ST-19-0002-12 |
| 12/17/2020 | AU-18-0012 | AU-18-0012-5 |
| 12/17/2020 | AU-18-0012 | AU-18-0012-6 |
| 2/5/2021 | AD-21-0001 | SB-21-1402 |
| 2/26/2021 | AD-20-0004 | SJ-20-1501 |
| 2/26/2021 | AD-20-0004 | SJ-20-1502 |
| 2/26/2021 | AD-20-0004 | SJ-20-1603 |
| 3/2/2021 | JT-19-0003 | ET-19-1513 |
| 3/2/2021 | JT-19-0003 | ET-19-2501 |
| 3/2/2021 | JT-19-0003 | ET-19-1520 |
| 3/5/2021 | JT-19-0004 | EC-19-2502 |
| 3/17/2021 | AD-20-0006 | MI-20-1303 |
| 3/31/2021 | ST-19-0003 | ST-19-0003-16 |
| 5/24/2021 | IN-19-0003 | EU-19-1301 |
| 5/24/2021 | IN-19-0003 | EU-19-1302 |
| 5/24/2021 | IN-19-0003 | EU-19-1303 |
| 5/24/2021 | IN-19-0003 | EU-19-1514 |
| 6/1/2021 | IN-19-0004 | AF-19-2302 |
| 6/11/2021 | EV-21-0007 | EV-21-0007-QRR-2 |
| 7/1/2021 | AU-19-0010 | AU-19-0010-3 |
| 7/1/2021 | AU-19-0010 | AU-19-0010-10 |
| 7/16/2021 | IN-21-0001A | FL-21-2901 |
| 7/16/2021 | IN-21-0001A | FL-21-2902 |
| 7/16/2021 | IN-21-0001A | FL-21-2904 |
| 8/30/2021 | EV-19-0002 | EV-19-0002-1 |
| 8/30/2021 | EV-19-0002 | EV-19-0002-2 |
| 8/30/2021 | EV-19-0002 | EV-19-0002-3 |
| 8/30/2021 | EV-19-0002 | EV-19-0002-6 |
| 8/30/2021 | EV-19-0002 | EV-19-0002-8 |
| 8/30/2021 | EV-19-0002 | EV-19-0002-9 |
| 8/30/2021 | EV-19-0002 | EV-19-0002-12 |
| 8/30/2021 | EV-19-0002 | EV-19-0002-15 |
| 8/30/2021 | EV-19-0002 | EV-19-0002-16 |



| Report Date | Report Number | Recommendation Number |
|-------------|---------------|-----------------------|
| 8/30/2021 | EV-19-0002 | EV-19-0002-17 |
| 9/2/2021 | IN-21-0004 | DI-21-2001 |
| 9/28/2021 | JT-20-0001 | SL-20-2103 |
| 9/28/2021 | JT-20-0001 | SL-20-2108 |
| 9/28/2021 | JT-20-0001 | SL-20-2109 |
| 9/28/2021 | JT-20-0001 | SL-20-1303 |
| 9/28/2021 | JT-20-0001 | SL-20-1304 |
| 9/28/2021 | JT-20-0001 | SL-20-1310 |
| 9/28/2021 | JT-20-0001 | SL-20-1311 |
| 9/28/2021 | JT-20-0001 | SL-20-2301 |
| 9/28/2021 | JT-20-0001 | SL-20-2304 |
| 9/28/2021 | JT-20-0001 | SL-20-1402 |
| 9/28/2021 | JT-20-0001 | SL-20-1410 |
| 9/28/2021 | JT-20-0001 | SL-20-1502 |
| 9/28/2021 | JT-20-0001 | SL-20-1503 |
| 9/28/2021 | JT-20-0001 | SL-20-1504 |
| 9/28/2021 | JT-20-0001 | SL-20-1506 |
| 9/28/2021 | JT-20-0001 | SL-20-1507 |
| 9/28/2021 | JT-20-0001 | SL-20-1508 |
| 9/28/2021 | JT-20-0001 | SL-20-1509 |
| 9/28/2021 | JT-20-0001 | SL-20-1510 |
| 9/28/2021 | JT-20-0001 | SL-20-1511 |
| 9/28/2021 | JT-20-0001 | SL-20-1512 |
| 9/28/2021 | JT-20-0001 | SL-20-1513 |
| 9/28/2021 | JT-20-0001 | SL-20-1514 |
| 9/28/2021 | JT-20-0001 | SL-20-1515 |
| 9/28/2021 | JT-20-0001 | SL-20-1519 |
| 9/28/2021 | JT-20-0001 | SL-20-1521 |
| 9/28/2021 | JT-20-0001 | SL-20-1523 |
| 9/28/2021 | JT-20-0001 | SL-20-1525 |
| 9/28/2021 | JT-20-0001 | SL-20-1540 |
| 9/28/2021 | JT-20-0001 | SL-20-2501 |
| 9/28/2021 | JT-20-0001 | SL-20-2502 |
| 9/28/2021 | JT-20-0001 | SL-20-1603 |
| 9/28/2021 | JT-20-0001 | SL-20-1605 |
| 9/28/2021 | JT-20-0001 | SL-20-2401 |
| 9/28/2021 | JT-20-0001 | SL-20-2402 |
| 9/28/2021 | JT-20-0001 | SL-20-2403 |
| 9/28/2021 | JT-20-0001 | SL-20-2405 |
| 9/28/2021 | JT-20-0001 | SL-20-2407 |
| 9/28/2021 | JT-20-0001 | SL-20-2413 |
| 9/28/2021 | JT-20-0001 | SL-20-2414 |
| 9/28/2021 | JT-20-0001 | SL-20-2415 |

| Report Date | Report Number | Recommendation Number |
|-------------|---------------|-----------------------|
| 9/28/2021 | JT-20-0001 | SL-20-2416 |
| 9/28/2021 | JT-20-0001 | SL-20-2417 |
| 9/28/2021 | JT-20-0001 | SL-20-2418 |
| 9/28/2021 | JT-20-0001 | SL-20-2419 |
| 9/28/2021 | JT-20-0001 | SL-20-2420 |
| 9/28/2021 | JT-20-0001 | SL-20-2422 |
| 9/28/2021 | JT-20-0001 | SL-20-2423 |
| 9/28/2021 | JT-20-0001 | SL-20-2426 |
| 9/28/2021 | JT-20-0001 | SL-20-2430 |
| 9/28/2021 | JT-20-0001 | SL-20-2437 |
| 9/28/2021 | JT-20-0001 | SL-20-2438 |
| 9/29/2021 | EV-21-0002 | EV-21-0002-2 |
| 9/29/2021 | EV-21-0002 | EV-21-0002-4 |
| 9/29/2021 | EV-21-0002 | EV-21-0002-5 |
| 9/29/2021 | EV-21-0002 | EV-21-0002-11 |
| 9/30/2021 | AU-20-0007 | AU-20-0007-2 |
| 9/30/2021 | AU-20-0007 | AU-20-0007-3 |
| 9/30/2021 | AU-20-0007 | AU-20-0007-7 |
| 9/30/2021 | AU-20-0007 | AU-20-0007-15 |
| 9/30/2021 | AU-20-0007 | AU-20-0007-12 |
| 9/30/2021 | AU-20-0007 | AU-20-0007-6 |
| 10/26/2021 | AD-21-0008 | AD-21-0008-02 |
| 1/21/2022 | IN-21-0001 | FL-21-2309 |
| 1/21/2022 | IN-21-0001 | FL-21-2505 |
| 1/21/2022 | IN-21-0001 | FL-21-2506 |
| 1/21/2022 | IN-21-0001 | FL-21-2301 |
| 1/21/2022 | IN-21-0001 | FL-21-2507 |
| 1/21/2022 | IN-21-0001 | FL-21-2603 |
| 1/21/2022 | IN-21-0001 | FL-21-1003 |
| 1/21/2022 | IN-21-0001 | FL-21-1104 |
| 1/21/2022 | IN-21-0001 | FL-21-1301 |
| 1/21/2022 | IN-21-0001 | FL-21-1402 |
| 1/21/2022 | IN-21-0001 | FL-21-1403 |
| 2/9/2022 | EV-20-0005 | EV-20-0005-8 |
| 2/9/2022 | EV-20-0005 | EV-20-0005-10 |
| 2/9/2022 | EV-20-0005 | EV-20-0005-12 |
| 2/9/2022 | EV-20-0005 | EV-20-0005-9 |
| 2/9/2022 | EV-20-0005 | EV-20-0005-2 |
| 2/9/2022 | EV-20-0005 | EV-20-0005-3 |
| 2/9/2022 | EV-20-0005 | EV-20-0005-7 |
| 2/9/2022 | EV-20-0005 | EV-20-0005-20 |
| 2/9/2022 | IN-21-0003 | NC-21-1301 |



| Report Date | Report Number | Recommendation Number | Potential Cost Savings |
|---|---------------|-----------------------|---------------------------|
| Outstanding Recommendations in the Past 12 Months | | | |
| 3/25/2022 | AU-20-0008 | AU-20-0008-1 | \$16,440,313 ¹ |
| 3/25/2022 | AU-20-0008 | AU-20-0008-3 | |
| 3/25/2022 | AU-20-0008 | AU-20-0008-4 | |
| 5/17/2022 | IN-21-0005 | NO-21-2401 | |
| 5/20/2022 | IN-21-0002 | SO-21-2103 | |
| 5/20/2022 | IN-21-0002 | SO-21-2301 | |
| 5/20/2022 | IN-21-0002 | SO-21-2501 | |
| 6/30/2022 | AD-21-0006 | AD-21-0006-1 | |
| 6/30/2022 | AD-21-0006 | AD-21-0006-2 | |
| 6/30/2022 | AD-21-0006 | AD-21-0006-4 | |
| 9/14/2022 | EV-21-0005 | EV-21-0005-1 | |
| 9/14/2022 | EV-21-0005 | EV-21-0005-2 | |
| 9/14/2022 | EV-21-0005 | EV-21-0005-3 | |
| 9/14/2022 | EV-21-0005 | EV-21-0005-4 | |
| 9/14/2022 | EV-21-0005 | EV-21-0005-5 | |
| 9/14/2022 | EV-21-0005 | EV-21-0005-6 | |
| 9/14/2022 | EV-21-0005 | EV-21-0005-8 | |
| 9/14/2022 | EV-21-0005 | EV-21-0005-9 | |
| 9/14/2022 | EV-21-0005 | EV-21-0005-10 | |
| 9/14/2022 | EV-21-0005 | EV-21-0005-11 | |
| 9/14/2022 | EV-21-0005 | EV-21-0005-12 | |
| 9/14/2022 | EV-21-0005 | EV-21-0005-17 | |
| 9/14/2022 | EV-21-0005 | EV-21-0005-18 | |
| 9/14/2022 | EV-21-0005 | EV-21-0005-19 | |
| 9/14/2022 | EV-21-0005 | EV-21-0005-20 | |
| 9/14/2022 | EV-21-0005 | EV-21-0005-23 | |
| 9/14/2022 | EV-21-0005 | EV-21-0005-24 | |
| 9/14/2022 | EV-21-0005 | EV-21-0005-25 | |
| 9/14/2022 | EV-21-0005 | EV-21-0005-26 | |
| 9/14/2022 | EV-21-0005 | EV-21-0005-7 | |
| 9/14/2022 | EV-21-0005 | EV-21-0005-16 | |
| 9/14/2022 | EV-21-0005 | EV-21-0005-21 | |
| 9/14/2022 | EV-21-0005 | EV-21-0005-22 | |
| 9/19/2022 | JT-21-0002 | UT-21-2210 | |

| Report Date | Report Number | Recommendation Number |
|-------------|---------------|-----------------------|
| 9/19/2022 | JT-21-0002 | UT-21-2214 |
| 9/19/2022 | JT-21-0002 | UT-21-2301 |
| 9/19/2022 | JT-21-0002 | UT-21-2304 |
| 9/19/2022 | JT-21-0002 | UT-21-2302 |
| 9/19/2022 | JT-21-0002 | UT-21-2303 |
| 9/19/2022 | JT-21-0002 | UT-21-1304 |
| 9/19/2022 | JT-21-0002 | UT-21-1310 |
| 9/19/2022 | JT-21-0002 | UT-21-1417 |
| 9/19/2022 | JT-21-0002 | UT-21-2404 |
| 9/19/2022 | JT-21-0002 | UT-21-1516 |
| 9/19/2022 | JT-21-0002 | UT-21-1522 |
| 9/19/2022 | JT-21-0002 | UT-21-2602 |
| 9/19/2022 | JT-21-0002 | UT-21-1609 |
| 9/23/2022 | EV-19-0003 | EV-19-0003-1 |
| 9/23/2022 | EV-19-0003 | EV-19-0003-10 |
| 9/23/2022 | EV-19-0003 | EV-19-0003-3 |
| 9/23/2022 | EV-19-0003 | EV-19-0003-4 |
| 9/23/2022 | EV-19-0003 | EV-19-0003-9 |
| 9/27/2022 | EV-22-0003 | EV-22-0003-1 |
| 9/27/2022 | EV-22-0003 | EV-22-0003-2 |
| 9/27/2022 | EV-22-0003 | EV-22-0003-3 |
| 9/27/2022 | EV-22-0003 | EV-22-0003-4 |
| 9/27/2022 | EV-22-0003 | EV-22-0003-5 |
| 9/27/2022 | EV-22-0003 | EV-22-0003-7 |
| 9/27/2022 | EV-22-0003 | EV-22-0003-8 |
| 9/27/2022 | EV-22-0003 | EV-22-0003-9 |
| 9/27/2022 | EV-22-0003 | EV-22-0003-11 |
| 9/27/2022 | EV-22-0003 | EV-22-0003-12 |
| 9/27/2022 | EV-22-0003 | EV-22-0003-10 |
| 9/27/2022 | EV-22-0003 | EV-22-0003-6 |
| 10/17/2022 | EV-21-0011 | EV-21-0011-A.1.a |
| 10/17/2022 | EV-21-0011 | EV-21-0011-A.1.b |
| 11/17/2022 | AD-23-0002 | AD-23-0002-01 |
| 11/17/2022 | AD-23-0002 | AD-23-0002-02 |
| 11/17/2022 | AD-23-0002 | AD-23-0002-03 |
| 11/17/2022 | AD-23-0002 | AD-23-0002-04 |
| 11/17/2022 | AD-23-0002 | AD-23-0002-05 |

¹ \$16,440,313 potential cost savings.



APPENDIX C: ABBREVIATIONS LIST

| | |
|--------|---|
| AI | artificial intelligence |
| CEO | chief executive officer |
| CIGIE | Council of the Inspectors General on Integrity and Efficiency |
| CSS | Central Security Service |
| DoD | Department of Defense |
| FBwT | Fund Balance with Treasury |
| FFMIA | Federal Financial Management Improvement Act of 1996 |
| IC | Intelligence Community |
| IG | Inspector General |
| IO | intelligence oversight |
| IS | information system |
| JAIC | Joint Artificial Intelligence Center |
| NDAA | National Defense Authorization Act for Fiscal Year 2020 |
| NRO | National Reconnaissance Office |
| NSA | National Security Agency |
| OIG | Office of the Inspector General |
| PP&E | General Property, Plant and Equipment |
| QRR | Quick Reaction Report |
| SAR | Semiannual Report to Congress |
| SIGINT | signals intelligence |
| UDOs | Undelivered Orders |



APPENDIX D: INDEX OF REPORTING REQUIREMENTS

| IG Act Reference ^a | Reporting Requirements | Page |
|-------------------------------|---|-------|
| §405(a)(1) | Significant problems, abuses, and deficiencies | 2-4 |
| §405(a)(2) | Recommendations made before the reporting period for which corrective action has not been completed | 11-14 |
| §405(a)(3) | Summary of significant investigations closed during the reporting period | 7 |
| §405(a)(4) | Identification of the total number of convictions during the reporting period resulting from investigations | 7-8 |
| §405(a)(5)(A) | Listing of each audit, inspection, or evaluation | 2-4 |
| §405(a)(5)(B) | Total dollar value of questioned costs and the dollar value of recommendations that funds be put to better use | 4 |
| §405(a)(6) | Information regarding any management decisions | 5 |
| §405(a)(7) | Information described under section 804(b) of the Federal Financial Management Improvement Act of 1996 | 6 |
| §405(a)(8) | (A) Results of any peer review conducted by another Office of Inspector General during the reporting period; or (B) A statement identifying the date of the last peer review conducted by another Office of Inspector General | 10 |
| §405(a)(9) | List of any outstanding recommendations from any peer review conducted by another Office of Inspector General that have not been fully implemented | 10 |
| §405(a)(10) | List of any peer reviews conducted by the Inspector General of another Office of the Inspector General during the reporting period | 10 |
| §405(a)(11) | Investigative statistical tables | 8 |
| §405(a)(12) | Description of metrics used for statistical tables of investigations | 8 |
| §405(a)(13) | Each investigation conducted by the Office where allegations of misconduct were substantiated involving a senior Government employee or senior official | 8 |
| §405(a)(14) | Detailed description of any instance of whistleblower retaliation | 8 |
| §405(a)(15) (A) and (B) | Information related to interference by the establishment including attempts to interfere with independence of the Office and a summary of each report made to the head of the establishment (if interference occurred) | 1 |
| §405(a)(16) | (A) Detailed descriptions of each inspection, evaluation, and audit conducted that is closed and was not disclosed to the public; and/or (B) Detailed descriptions of each investigation involving a senior Government employee that is closed and was not disclosed to the public | 9 |
| §405(a)(note) | P.L. 110-181 §845, Final, completed contract audit reports | n/a |
| §405(a)(note) | P.L. 103-355 (as amended), Outstanding recommendations past 12 months | 14 |

Note: ^a Citations are to the IG Act of 1978, as amended and as specified in Chapter 4 of Title 5, U.S. Code.



OFFICE OF THE INSPECTOR GENERAL

Pursuant to the Inspector General Act of 1978, as amended, and in accordance with NSA/CSS Policy 1-60, the NSA/CSS OIG conducts independent oversight that promotes the wise use of public resources; adherence to laws, rules, and regulations; and respect for Constitutional rights. Through audits, evaluations, inspections, and investigations, we detect and deter waste, fraud, abuse, and misconduct and promote the economy, the efficiency, and the effectiveness of Agency operations.

INTELLIGENCE OVERSIGHT

The Intelligence Oversight (IO) Division conducts evaluations that examine a wide range of NSA intelligence and intelligence-related programs and activities to assess if they are conducted efficiently and effectively; are in compliance with federal law, executive orders and directives, and Intelligence Community (IC), DoD, and NSA policies; and appropriately protect civil liberties and individual privacy. The IO function is grounded in Executive Order 12333, which establishes broad principles for IC activities. IO evaluations are conducted in accordance with the Council of the Inspectors General on Integrity and Efficiency (CIGIE) *Quality Standards for Inspection and Evaluation*.

INSPECTIONS

The Inspections Division performs organizational inspections and functional evaluations to assess adherence to regulations and policies and to promote the effective, efficient, and economical management of an organization, site, or function. OIG inspection reports recommend improvements and identify best practices across a broad range of topics, including mission operations, security, facilities, and information technology systems. The Inspections Division also partners with Inspectors General of the Service Cryptologic Elements and other IC entities to jointly inspect consolidated cryptologic facilities. Inspections and evaluations are conducted in accordance with the CIGIE *Quality Standards for Inspection and Evaluation*.

AUDIT

The Audits Division comprises three branches: Cybersecurity and Technology, Financial Audits, and Mission and Mission Support. The Division's audits and evaluations examine the economy, the efficiency, and the effectiveness of NSA programs and operations; assess Agency compliance with laws, policies, and regulations; review the operation of internal information technology and controls; and determine whether the Agency's financial statements and other fiscal reports are fairly and accurately presented. Audits are conducted in accordance with auditing standards established by the Comptroller General of the United States.

INVESTIGATIONS

The Investigations Division examines allegations of waste, fraud, abuse, and misconduct by NSA affiliates or involving NSA programs or operations. Investigations are based on submissions made through the classified and unclassified OIG Hotlines; information uncovered during OIG audits, inspections, and evaluations; and referrals from other internal and external entities. Investigations are conducted in accordance with the CIGIE *Quality Standards for Investigations*.



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