

NATIONAL RECONNAISSANCE OFFICE

OFFICE OF INSPECTOR GENERAL

# (U) SEMIANNUAL REPORT TO THE CONGRESS

1 October 2015 - 31 March 2016

29 April 2016

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CL BY:   
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 DRV FM: INCG 1.0, 13 February 2012

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**(U) MESSAGE FROM THE ACTING INSPECTOR GENERAL**

29 April 2016

(U) On behalf of the National Reconnaissance Office (NRO) Office of Inspector General (OIG), I am pleased to submit this report highlighting the OIG's activities and accomplishments for the period 1 October 2015 through 31 March 2016. The activities described in this report exemplify our continuing commitment to improving the efficiency and effectiveness of NRO programs and operations.

(U//FOUO) Beginning in Fiscal Year 2016, the OIG made several changes to our semiannual reports. First, we now include a highlights section in our Semiannual Reports in order to call attention to projects, activities, and accomplishments that may be of particular interest to the Committees. Second, starting with our *Annual Report to Congressional Intelligence Committees*, we changed the appearance and format of our reports to Congress to differentiate them from our audit, inspection, special projects, and investigative products. Finally, beginning with our next Semiannual Report to Congress, we will identify and highlight those findings and recommendations of particular significance, and include the status of each of the associated recommendations.

(U) I performed the duties of the Inspector General while we await the appointment and confirmation of a new Inspector General for the NRO. Similarly, [redacted] Assistant Inspector General for Inspections, performed the duties of the Deputy Inspector General.

(U//FOUO) As is always the case, we enjoyed a collaborative relationship with Director Sapp and with NRO's leadership and workforce. Director Sapp and her management team are actively engaged in addressing open recommendations and implementing corrective actions. We did not experience any issues related to access to NRO records or personnel.

(U) I very much appreciate the cooperation and support of the Congress and its staff as we continue to affect positive change at the NRO. I would also like to thank the dedicated and professional NRO OIG staff for their continued hard work and commitment to providing effective oversight of NRO programs and operations.

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Acting Inspector General

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**(U) SEMIANNUAL REPORT HIGHLIGHTS**

~~(U//FOUO)~~ During this reporting period, the National Reconnaissance Office (NRO) Office of Inspector General (OIG) focused the resources of its Audits, Inspections, Investigations, and Special Projects Divisions to address management challenges or issues of greatest risk within the NRO. Specifically, the OIG performed work on 23 projects, eight of which were completed and 15 of which are ongoing. The projects derive from previous NRO OIG annual work plans; address mandated requirements; respond to alleged violations of law, regulation, or policy; or evaluate emerging issues. The OIG's efforts enhanced the economy, efficiency, and effectiveness of NRO programs; assisted in detecting and preventing fraud and abuse; safeguarded taxpayer investments; and supported the mission of the NRO.

~~(U//FOUO)~~ As part of its *Fiscal Year 2016 Annual Work Plan*, the OIG conducted a *Special Review of Office of Space Launch Contract Procurement Practices*. The Special Projects Division evaluated whether the Office of Space Launch (OSL) adhered to NRO procurement policies for its "other than full-and-open-competition" contract awards.

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The report included six recommendations to address the issues identified.

~~(U//FOUO)~~ The OIG suspended two planned projects that were initiated during this reporting period. Both projects lacked established criteria to use for a meaningful assessment of the respective programs.

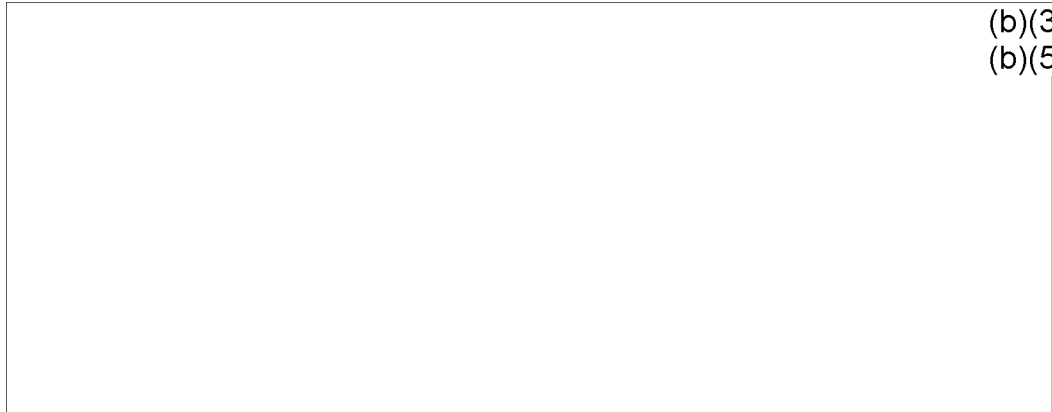
- ~~(U//FOUO)~~ On 12 February 2016, the NRO and National Security Agency (NSA) OIGs mutually agreed to suspend their *Joint Inspection of the National Reconnaissance Office Signals Intelligence Compliance Program*.<sup>1</sup> The inspectors reviewed governing documentation and interviewed key officials.

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The OIGs requested that the key stakeholders in each agency provide their respective OIGs with status updates every 90 days.

<sup>1</sup> ~~(U//FOUO)~~ The NRO OIG conducted this joint inspection with the National Security Agency (NSA)/Central Security Service (CSS) Office of Inspector General.



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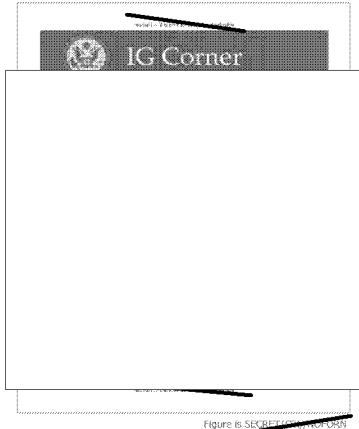
~~(U//FOUO)~~ The OIG completed three mandated projects during this reporting period. First, the OIG completed was the congressionally-mandated *Audit of the National Reconnaissance Office Fiscal Year 2015 Financial Statements*. The audit resulted in an unmodified opinion, closed one material weakness and downgraded another to a significant deficiency, leaving three significant deficiencies that still constitute considerable concern. Second, the OIG completed the *Inspection of the National Reconnaissance Office Personnel Accountability in Conjunction with Natural or Manmade Disasters* as required pursuant to Department of Defense Instruction (DoDI) 3001.02, "*Personnel Accountability in Conjunction with Natural or Manmade Disasters*." The OIG found that the NRO is compliant with 12 of the 13 applicable responsibilities for personnel accountability, and is in the process of finalizing procedures to address the remaining responsibility. Third, the congressionally-mandated *Examination of NRO FY 2015 Improper Payment Compliance* found that the NRO met the requirements, but noted areas for potential improvement.

~~(U//FOUO)~~ With respect to investigative prosecutions and civil actions, the Department of Justice reached a civil settlement for \$53,000 originating from a 2015 OIG investigation involving a consulting firm that concealed a business relationship with a prime contractor from the government during a contract competition. In addition, an OIG investigation resulted in a criminal conviction of a contractor employee who, while working in an NRO facility, used NRO systems to sell counterfeit sports apparel to NRO personnel for several years, importing the counterfeit goods directly from a Chinese distributor.



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(U) FIGURE 1: INAUGURAL ISSUE OF THE IG CORNER

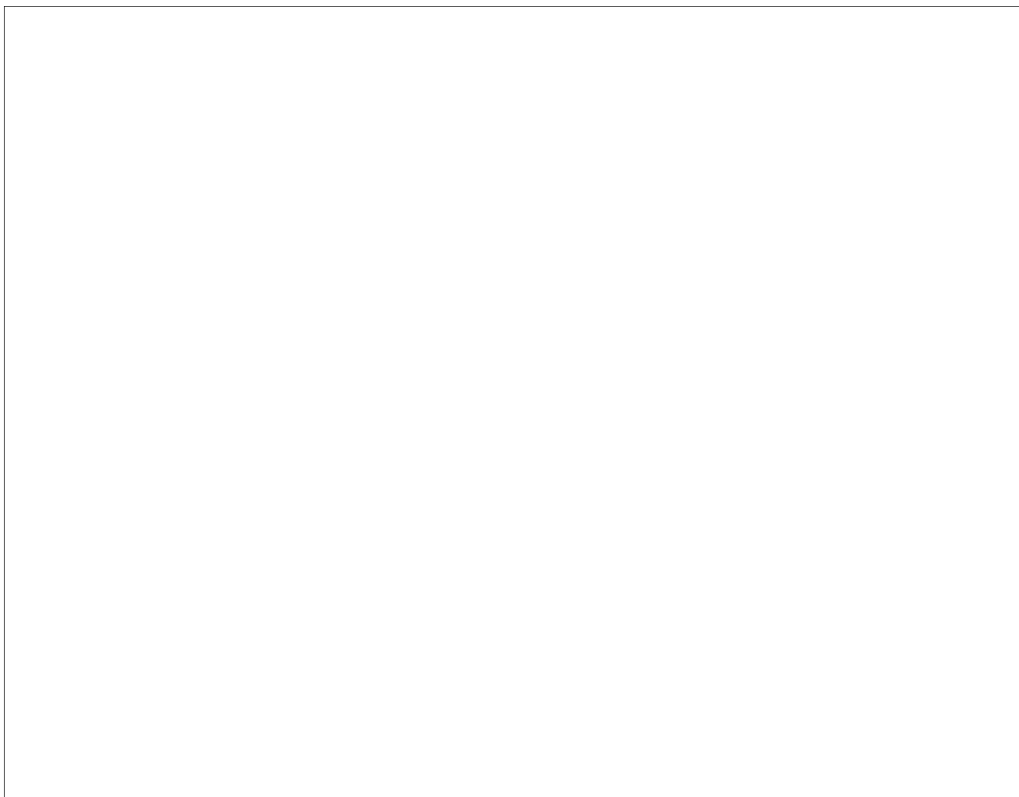


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(U//FOUO) Finally, to document potentially emerging issues, in March 2016, the OIG planned a new publication, which will be called the IG Corner (see **Figure 1**). This new publication will not be a traditional OIG report derived from audit, inspection, or investigation work. Rather, its purpose is to go beyond the traditional OIG products to inform and allow its readers to assess whether the information presented is consistent with their understanding of the NRO, its mission, and NRO management priorities.<sup>2</sup>

(S//NF) In preparing for the first edition of the IG Corner, the OIG examined NRO priorities as reflected by how it spends its money [redacted] [redacted] FY 2015.<sup>3</sup> Specifically, the OIG reviewed information on how the NRO spent its funds, who was paid, what the NRO bought, and when the NRO spent its funds. A summary of the spending information will be provided in this first OIG Corner issue.

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<sup>2</sup> (U//FOUO) The IG Corner will not provide findings and recommendations.

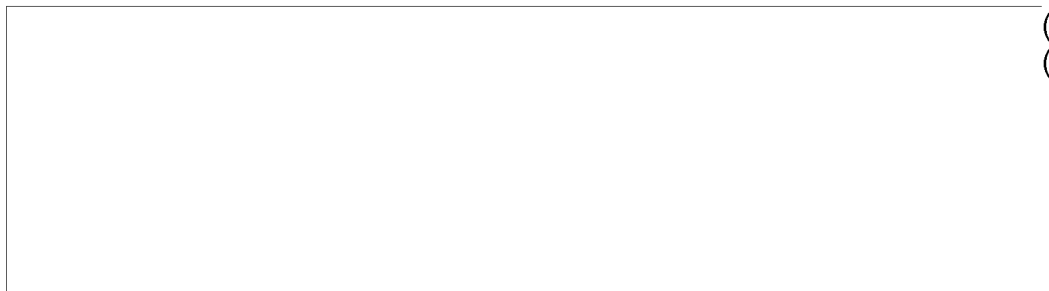


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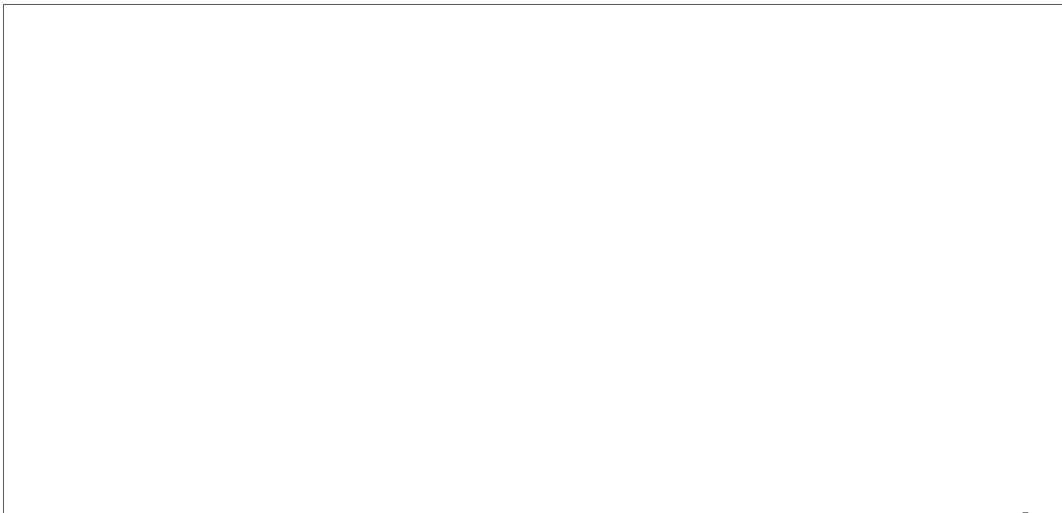
<sup>4</sup> (U//FOUO) For the purposes of this publication, the OIG examined and reported on the execution of all funds available in FY 2015, regardless of fiscal year appropriation. This differs from information published by the NRO's Business Plans and Operations Directorate, which generally reports execution by budget fiscal year appropriation.

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**(U) SUMMARY OF COMPLETED AND ONGOING PROJECTS**

(U//FOUO) **Table 2** is a list of the completed projects for this semiannual reporting period. Following the table are short descriptions of the conclusions and recommendations made for each project.

**(U) TABLE 2: COMPLETED PROJECTS – OCTOBER 2015-March 2016**

Title	Date Completed
(U) Inspection of the Mission Integration Directorate's Support to Users	29 October 2015
(U) Audit of the National Reconnaissance Office Fiscal Year 2015 Financial Statements	13 November 2015
(U) Inspection of the National Reconnaissance Office Personnel Accountability in Conjunction with Natural or Manmade Disasters	29 January 2016
(U) Suspension of Joint Inspection of the National Reconnaissance Office Signals Intelligence Compliance Program	12 February 2016
	2 March 2016
(U) Examination of NRO FY 2015 Improper Payment Compliance	4 March 2016
(U) Special Review of Office of Space Launch Contract Procurement Practices	31 March 2016
(U) Suspension of Inspection of NRO Physical Security Program (NRO Headquarters and Surrounding Facilities)	31 March 2016

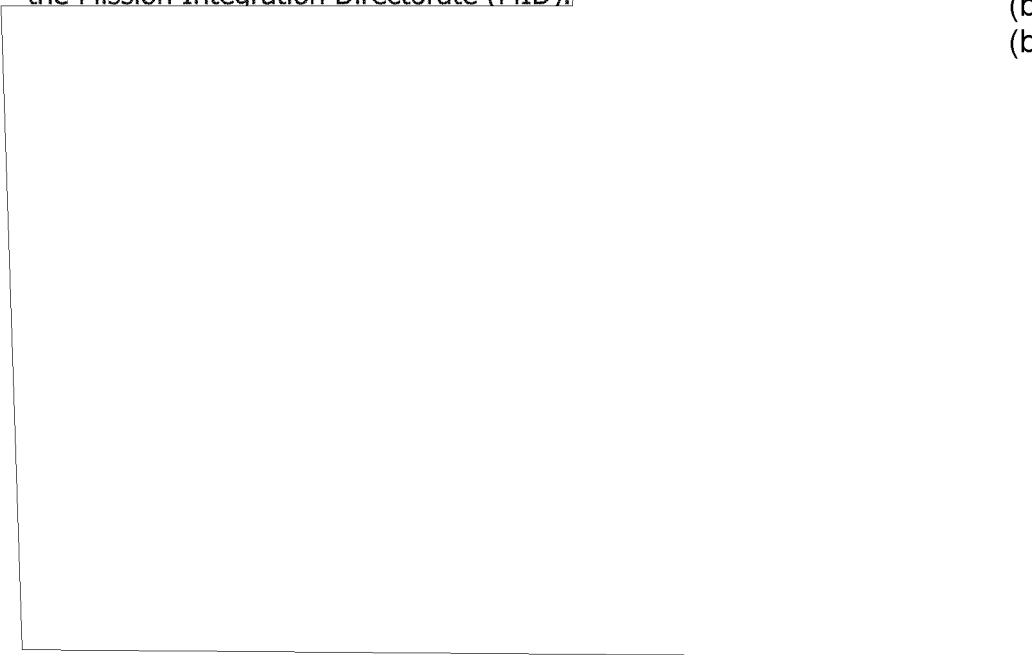
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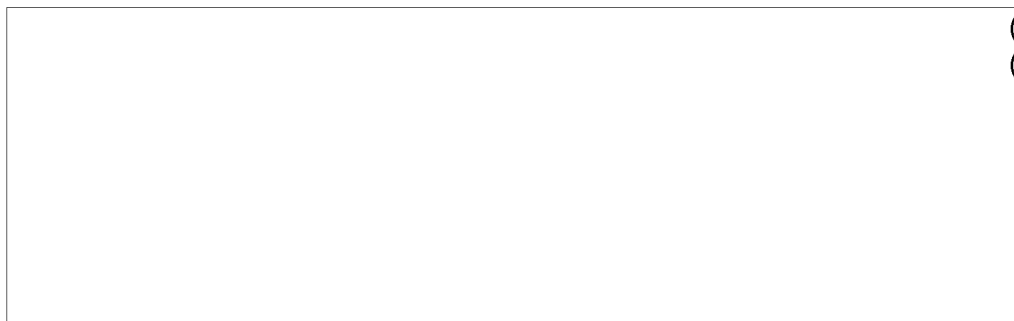
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**(U) COMPLETED PROJECTS - RECOMMENDATIONS**

~~(U//FOUO)~~ **Inspection of the Mission Integration Directorate's Support to Users.** The OIG found that military and national customers were satisfied with the relationship and support provided by the NRO and the Mission Integration Directorate (MID).

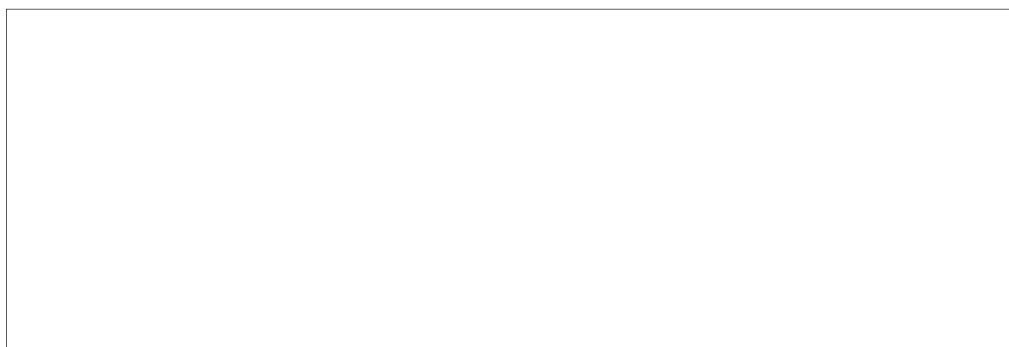
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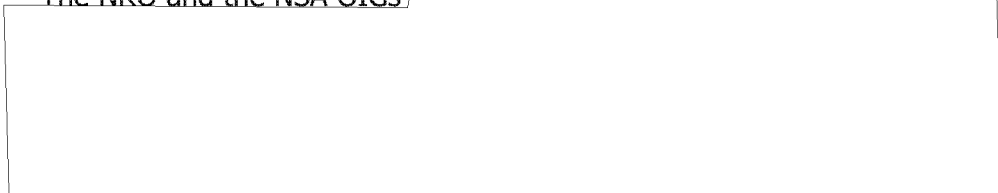
~~(U//FOUO)~~ **Audit of the National Reconnaissance Office Fiscal Year 2015 Financial Statements.** The NRO received an unmodified opinion on its FY 2015 financial statements. The auditors identified three significant deficiencies and made the following recommendations for their remediation:



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**(U) Inspection of the National Reconnaissance Office Personnel Accountability in Conjunction with Natural or Manmade Disasters.** The OIG observed that the NRO does not currently have approved internal procedures that pertain to personnel accountability (PA) reporting for NRO Department of Defense (DoD) Cadre personnel. However, the PA Program Officer is in the process of finalizing these procedures. Despite the lack of approved procedures, the NRO has established a program that sufficiently accounts for both its DoD-affiliated and other personnel.

~~(U//FOUO)~~ **Suspension of Joint Inspection of the National Reconnaissance Office Signals Intelligence Compliance Program.** The NRO and the NSA OIGs



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specific concerns and made the following recommendations that need to be addressed before the OIGs can move forward with the joint inspection:



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**(U) Examination of NRO FY 2015 Improper Payment Compliance.**  
The NRO OIG reported that the NRO met the requirements established by the Office of Management and Budget (OMB) and Congress related to

improper payments, but noted the following for potential improvements. The NRO should

- (U) improve the supporting documentation for the Improper Payment Information Act of 2002 risk assessment;
- (U) improve the supporting documentation for duplicate payment testing;
- (U) develop actionable alternatives to address the FY 2013 findings; and
- (U) ensure compliance with NRO Acquisition Manual requirements for improper payment returns to the NRO.

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~~(U//FOUO)~~ **Special Review of Office of Space Launch Contract Procurement Practices.** The OIG reported that OSL

[Redacted]

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The report

included the following recommendations:

- ~~(U//FOUO)~~ OSL Contracts should review and determine the appropriateness of the sole source acquisitions for two acquisition support contracts (CLOSED);
- ~~(U//FOUO)~~ The Launch Support Division should develop a succession plan if the sole source requirement for the acquisition support services remains (OPEN);
- ~~(U//FOUO)~~ OSL Contracts should document the file for one particular contract, explain the basis for the sole source award, establish a process to ensure that all sole sources have proper approvals before award (CLOSED);
- ~~(U//FOUO)~~ OSL Contracts should establish a written process or policy to ensure OSL (1) conducts appropriate market research prior to the initiation of any sole source contract or (2) documents and supports the reason for not conducting market research (CLOSED);
- ~~(U//FOUO)~~ OSL Contracts should obtain proper approvals for two specific contract changes (CLOSED); and
- ~~(U//FOUO)~~ The Office of Contracts Policy should emphasize the review of all relevant sole source justification supporting documentation through existing Contract Compliance Reviews in accordance with policy (CLOSED).

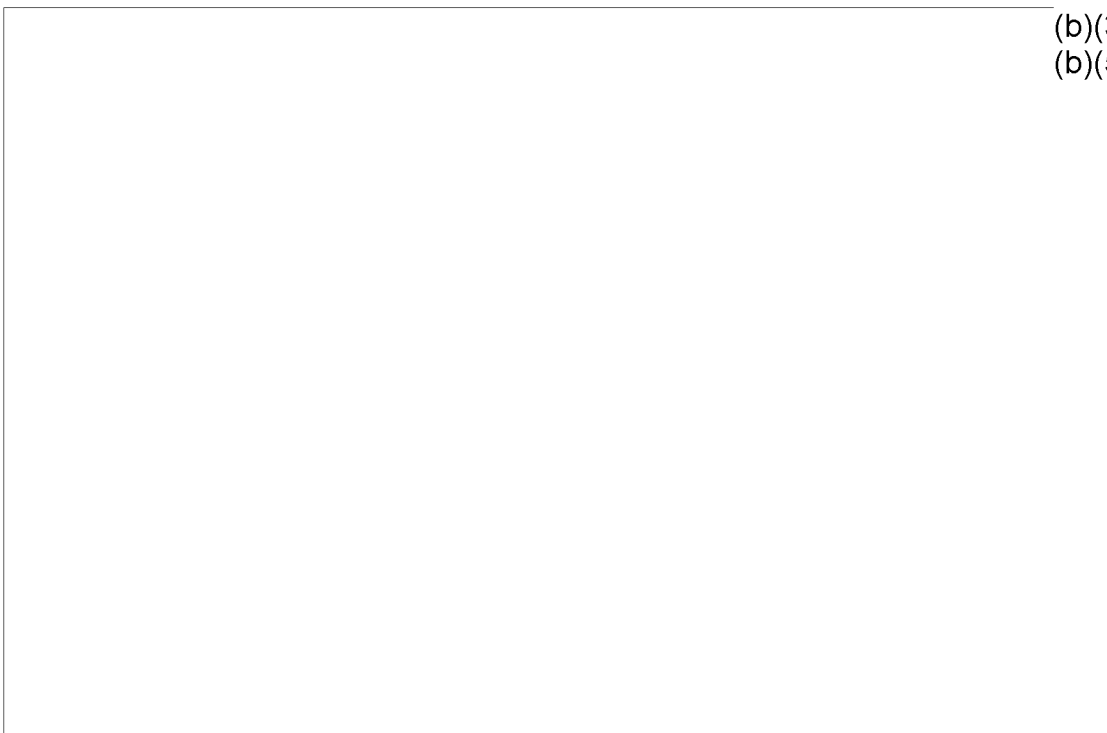
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**(U) Suspension of Inspection of NRO Physical Security Program (NRO Headquarters and Surrounding Facilities).** The OIG reported

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(U//FOUO) **Table 3** is a list of the ongoing projects for this semiannual reporting period. Following the table are short descriptions of the objectives for each project.

**(U) TABLE 3: ONGOING PROJECTS – OCTOBER 2015-March 2016**

Title	Date Initiated	
(U) Audit of the National Reconnaissance Office Aerospace Data Facility Colorado Facilities Infrastructure	4 March 2015	
(U) Audit of Project Management within the Ground Enterprise Directorate	10 July 2015	
(U) Follow-up Evaluation of National Reconnaissance Office Classification Management under Public Law 111-258, the Reducing Over-Classification Act	20 July 2015	
[Redacted]	20 July 2015	(b)(1) (b)(3)
(U) Follow-up Audit of the Effectiveness of Management Oversight of Federally Funded Research and Development Centers in the Systems Engineering Directorate	3 November 2015	
(U) Fiscal Year 2015 Assessment of the National Reconnaissance Office Purchase Card Program	4 November 2015	
[Redacted]	19 November 2015	(b)(3)
(U) Joint Inspection of the Aerospace Data Facility Colorado, National Security Agency/Central Security Service–Colorado, and National Geospatial-Intelligence Agency-Denver	7 December 2015	
(U) Joint Review of the National System for Geospatial Intelligence (NSG) Future Capability Development	29 January 2016	
(U) Inspection of NRO Supervisory Control and Data Acquisition Systems (SCADA)	2 February 2016	
(U) Inspection of NRO [Redacted]	8 February 2016	(b)(3)
(U) Inspection of the NRO Defense Civilian Intelligence Personnel System (DCIPS) Performance Management Process	18 February 2016	
(U) Office of Inspector General Fiscal Year 2016 Independent Evaluation of National Reconnaissance Office Compliance with the Federal Information Security Modernization Act of 2014	25 February 2016	
(U) Audit of the National Reconnaissance Office Fiscal Year 2016 Financial Statements	1 March 2016	
(U) National Reconnaissance Office GEOINT-Financials Statement on Standards for Attestation Engagements No. 16 Examination	18 March 2016	

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(U) ONGOING PROJECTS - OBJECTIVES

~~(U//FOUO)~~ **Audit of the National Reconnaissance Office Aerospace Data Facility Colorado Facilities Infrastructure.** Objectives: Evaluate the Aerospace Data Facility Colorado (ADF-C) management of facilities infrastructure; and assess the processes that identify facilities requirements, prioritize and budget for those requirements, and implement actions intended to maintain and improve the conditions of ADF-C facilities.

**(U) Audit of Project Management within the Ground Enterprise Directorate.** Objectives: Determine the extent to which GED is applying systems engineering and project management principles during the initial planning for the selected projects and contract development efforts.

**(U) Follow-up Evaluation of National Reconnaissance Office Classification Management under Public Law 111-258, the Reducing Over-Classification Act.** Objective: Review progress made on recommendations cited in the prior evaluation report issued on 30 September 2013.

[Redacted]

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**(U) Follow-up Audit of the Effectiveness of Management Oversight of Federally Funded Research and Development Centers in the Systems Engineering Directorate.** Objective: Evaluate the effectiveness of management changes made within the Systems Engineering Directorate to address prior audit findings and recommendations.

**(U) Fiscal Year 2015 Assessment of the National Reconnaissance Office Purchase Card Program.** Objective: Conduct a periodic risk assessment of NRO's purchase card program to analyze the risks of illegal, improper, or erroneous purchases.

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~~(U//FOUO)~~ **Joint Inspection of the Aerospace Data Facility Colorado, National Security Agency/Central Security Service–Colorado, and National Geospatial-Intelligence Agency-Denver.**

Objective: The NRO OIG and the OIGs from NSA, the National Geospatial-Intelligence Agency (NGA), and Office of the Inspector General of the Intelligence Community will evaluate the effectiveness and efficiency of the ADF-C, NSA-Colorado, and NGA-Denver in performing their missions, including an on-site inspection.

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~~(U//FOUO)~~ **Joint Review of the National System for Geospatial Intelligence (NSG) Future Capability Development.**

Objectives: The NGA and NRO OIGs will assess the effectiveness of the processes by which the NGA identifies and validates NSG geospatial intelligence capabilities to be delivered by NRO-acquired systems; and assess the NRO-acquired systems' effectiveness in meeting the desired capabilities.

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~~(U//FOUO)~~ **Inspection of NRO Supervisory Control and Data Acquisition Systems (SCADA).**

Objective: Assess NRO's SCADA program and related NRO industrial control systems.

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**(U) Inspection of NRO** [redacted]

[redacted] Objective: Assess the efficiency and effectiveness of the NRO [redacted] and its compliance with internal and external policies.

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**(U) Inspection of the NRO Defense Civilian Intelligence Personnel System (DCIPS) Performance Management Process.**

Objective: Assess the NRO's compliance with DoDI 1400.25, Volume 2011, *DoD Civilian Personnel Management System* and other regulatory guidance.

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**(U) Office of Inspector General Fiscal Year 2016 Independent Evaluation of National Reconnaissance Office Compliance with the Federal Information Security Modernization Act of 2014 (FISMA).**

Objectives: Independently assess NRO compliance with FISMA requirements and its implementing regulations and guidance; review the internal controls and compliance with laws and regulations related to the NRO information security program and practices; and follow up on the status of prior-year findings and recommendations.

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**(U) Audit of the National Reconnaissance Office Fiscal Year 2016 Financial Statements.** Objectives: Determine whether the financial statements and related notes are presented fairly in all material respects, in accordance with all applicable guidance to include guidance issued by the Federal Accounting Standards Advisory Board and OMB; review internal controls and compliance with laws and regulations; and follow up on the status of prior-year findings.

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**(U) National Reconnaissance Office GEOINT-Financials Statement on Standards for Attestation Engagements No. 16 Examination.** Objectives: Report on the fairness of the presentation of management's description of the GEOINT [Geospatial-Intelligence]-Financials application and the suitability of the design and operating effectiveness of the controls to achieve specific control objectives.

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**(U) INVESTIGATIONS**

(U//FOUO) The OIG Investigations Division conducts criminal, civil, and administrative investigations into alleged violations of federal law, regulation, and policies involving NRO funds, operations, and programs. During this reporting period, the Investigations Division produced 15 Reports of Investigation. The OIG presented 14 of these reports to the NRO Office of Contracts (OC) for suspension and debarment consideration. The OC did not advance any of these cases for action by the Air Force General Counsel for Contractor Responsibility.

(U//FOUO) In the first half of FY 2016, the Investigations Division responded to 175 allegations. **Figure 3** below illustrates the types and percentages of these cases opened during this reporting period—the ratio of allegations is similar to the ratio in the prior semiannual reporting period. The predominant number of cases involves procurement-related fraud, including procurement integrity violations and other types of false claims, regulatory and non-criminal matters such as ethics violations, privacy and personally identifiable information-related complaints, and other non-criminal employee misconduct.

**(U) Figure 3: SUMMARY OF ALLEGATIONS RECEIVED BY THE NRO OIG INVESTIGATIONS DIVISION**

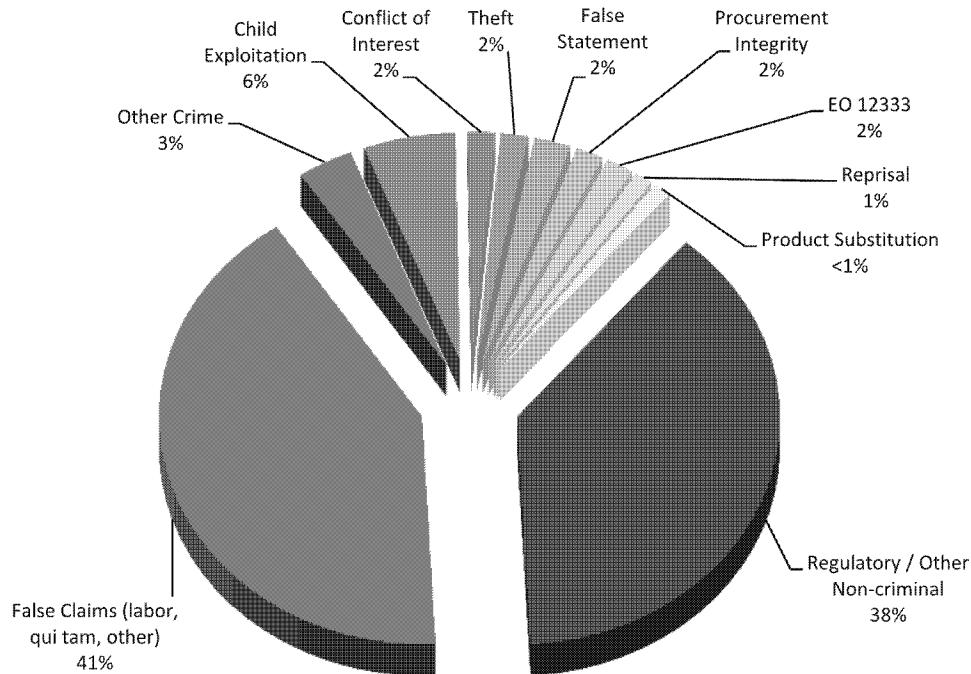


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(U) SELECTED INVESTIGATION SUMMARIES

~~(U//FOUO)~~ The Investigations Division completed 12 investigations of labor mischarging by NRO contractor personnel during this reporting period. In total, these investigations identified approximately [redacted] in funds recoverable to the NRO. The United States Attorney's Office declined prosecution for each of these cases. The OIG referred each case to the OC for administrative action within the terms of the affected contracts, to include financial restitution, and the removal of the offender's security clearance.

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~~(U//FOUO)~~ The OIG also investigated a government manager for inappropriate use of his official position to influence a competition and award of contracts to two individuals with whom the government manager had pre-existing personal relationships. The manager's actions violated multiple provisions of the Code of Federal Regulations regarding ethical conduct of Executive employees, to include the use of office for private gain and the requirement for government officers to act impartially.

~~(U//FOUO)~~ Two of the identified labor mischarging cases involved employees of the same prime contractor assigned to different NRO programs who charged hours to their respective contracts in a manner that violated the contract's Statement of Work (SOW). Although the SOW limited performance of the employees' duties to NRO facilities, the employees worked from home and other locations with approval from the company managers, but without the consent and knowledge of the government. This resulted in improper charges for several years amounting to approximately [redacted] respectively. In each case, the NRO removed the employee's security access.

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~~(U//FOUO)~~ The OIG investigated a contractor employee who removed computer equipment from his employer's facility while executing his duties as an Information Systems Security Officer. Some of the items were allegedly government furnished equipment (GFE). The OIG recovered the equipment, but found no evidence that it was GFE. The OIG returned the equipment to the company, which chose not to seek charges against the employee. The NRO terminated the employee's access.

(U) PROSECUTIONS AND CIVIL ACTIONS

~~(U//FOUO)~~ The Department of Justice reached a civil settlement for \$53,000 originating from an OIG investigation involving a consulting firm that concealed a potential organizational conflict of interest from the government during a contract competition. Specifically, the consulting firm concealed a business relationship with a prime contractor which

would have precluded the consulting firm from bidding on the contract. The NRO subsequently terminated the contract upon realizing the existence of the conflicting relationship between the firm and the prime contractor.

~~(U//FOUO)~~ An OIG investigation led to a criminal conviction against an NRO contractor who, while working in an NRO facility, used NRO systems to sell counterfeit sports apparel to NRO personnel for several years, importing the counterfeit goods directly from a Chinese distributor. The investigation was a joint effort between the OIG, local police, and Homeland Security Investigations personnel. The contractor was convicted of a misdemeanor and sentenced to 90 days in jail, all suspended. The NRO terminated the contractor's security accesses.

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## (U) REVIEW OF LEGISLATION AND REGULATIONS

(U) The *Inspector General Act of 1978*, as amended, requires federal agency OIGs to review existing and proposed legislation and regulations relating to their agencies' programs and operations. Based on these reviews, the OIGs are required to make recommendations in their semiannual reports concerning the impact of the legislation and regulations on (1) the economy and efficiency of programs and operations of their agencies and (2) the prevention and detection of fraud and abuse in programs and operations of their agencies.

(U) The NRO OIG conducts such reviews and provides comments and recommendations to Congress, when warranted, through a variety of means including reports and coordination with the Council of the Inspectors General on Integrity and Efficiency (CIGIE). For example, during this period the NRO OIG reviewed all pertinent draft legislation to include the *Inspector General Empowerment Act of 2015* and the *Intelligence Authorization Act for Fiscal Year 2016*, and provided comments to CIGIE which provided responses on behalf of the IG community.

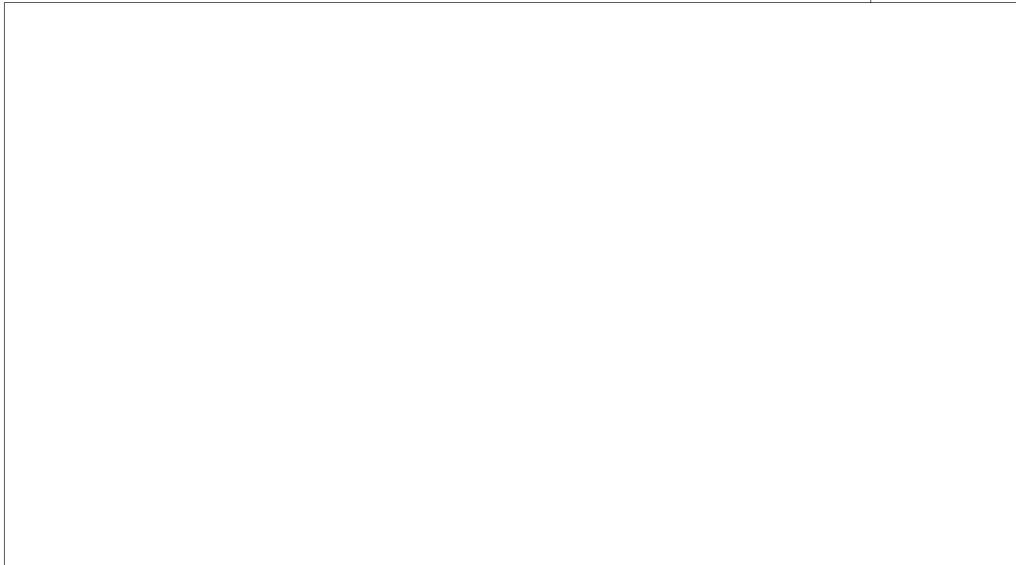
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**(U) FINANCIAL SYSTEMS COMPLIANCE**

(U) As required by the *Inspector General Act of 1978*, as amended, this Semiannual Report provides information regarding the NRO's compliance with the requirements of the *Federal Financial Management Improvement Act of 1996* (FFMIA). Specifically, the FFMIA requires organizations to implement and maintain financial management systems that are substantially in compliance with federal accounting standards and with federal financial management systems requirements.

(U//~~FOUO~~) For the FY 2015 reporting period, the NRO OIG contracted with the independent public accounting firm of [redacted] to assess the NRO's financial systems for compliance with applicable laws and standards as part of its *Audit of the National Reconnaissance Office Fiscal Year 2015 Financial Statements*. [redacted] determined that the NRO's financial systems and related controls [redacted]

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<sup>5</sup> (U//~~FOUO~~) This information is excerpted and summarized from the *National Reconnaissance Office Fiscal Year 2015 Agency Financial Report*.

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**(U) PEER REVIEWS**

(U) The *Inspector General Act of 1978*, as amended, requires that OIGs report on peer reviews conducted during this semiannual reporting period. The purpose of a peer review is to determine whether an organization's system of quality control is suitably designed and whether its staff is effectively implementing those quality controls and conforming to applicable professional standards. Generally Accepted Government Auditing Standards issued by the Comptroller General of the United States require that audit organizations performing audits, attestation engagements, or both, undergo a peer review at least once every three years by reviewers independent of the audit organization to determine if an appropriate internal quality control system is in place. Similarly, CIGIE established standards for maintaining quality assurance that include having external quality assurance reviews of audits, investigations, inspections, evaluations, and other OIG activities.

**(U) PEER REVIEW OF THE NRO OFFICE OF INSPECTOR GENERAL**

(U) The NRO OIG did not undergo any peer reviews during this reporting period. The NSA OIG conducted the most recent peer review of the NRO OIG Audit Division between 1 August 2012 and 31 July 2013.

**(U) PEER REVIEW OF OTHER AGENCIES' INSPECTORS GENERAL**

(U) The NRO OIG did not conduct any peer reviews of other agencies' OIGs during this reporting period.

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**(U) APPENDIX A: SEMIANNUAL REPORTING REQUIREMENTS**

(U) The National Reconnaissance Office (NRO) Office of Inspector General (OIG) conducts audits, inspections, investigations, and special reviews in accordance with the requirements of *Inspector General Act of 1978*, as amended. Those requirements include promoting economy, efficiency, and effectiveness; detecting and preventing fraud and abuse; and supporting the mission of the NRO. The Act also establishes semiannual reporting requirements that focus on highlighting activities and significant issues that arise during the reporting period that may be of interest to Congress. **Table A1** includes a list of the semiannual reporting requirements and the location of the required information in this report.

**(U) TABLE A1: SEMIANNUAL REPORTING REQUIREMENTS**

Reporting Requirement		Page
SEC 4(a)(2)	Legislation and regulation review	19
SEC 5(a)(1-2)	Significant problems, abuses, and deficiencies; recommendations for corrective action	N/A
SEC 5(a)(3)	Prior significant recommendations not yet implemented	N/A
SEC 5(a)(4)	Matters referred to authorities resulting in prosecutions and convictions	16
SEC 5(a)(5)	Summary of refusals to provide information	N/A
SEC 5(a)(6)	List of reports issued during the reporting period	5
SEC 5(a)(7)	Summary of particularly significant reports	N/A
SEC 5(a)(8-9)	Tables showing questioned costs and funds that should be put to better use	N/A
SEC 5(a)(10-12)	Summary of reports with no management decision; Description and explanation of revised management decisions; Management decisions with which Inspector General disagrees	N/A
SEC 5(a)(13)	Financial systems compliance with federal requirements	21
SEC 5(a)(14-16)	Peer review reporting	23

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**(U) APPENDIX B: RECOMMENDATIONS OLDER THAN ONE YEAR**

(U) **Table B1** summarizes all open recommendations described in previous National Reconnaissance Office (NRO) Office of Inspector General (OIG) semiannual reports for which corrective action has not yet been completed. Details on each open recommendation are included in **Tables B2-B15**.

**(U) TABLE B1: RECOMMENDATIONS OLDER THAN ONE YEAR**

Report Title	Report Date	Total	Open
(U//FOUO) Audit of the National Reconnaissance Office Contractor Wide Area Network	2 September 2010	3	1
(U) Audit of the Management of Information Systems Privileged Users	19 November 2010	2	1
(U) Joint Inspection of the Aerospace Data Facility Southwest and National Geospatial-Intelligence Agency Southwest	27 December 2011	60	1
(U) Inspection of Program Security Officers	3 January 2013	4	1
(U) Audit of the National Reconnaissance Office Enterprise Network Management	29 May 2013	10	3
(U) Inspection of the [redacted]	16 August 2013	3	1 (b)(3)
(U) Audit of Chief Information Officer Management of National Reconnaissance Office Information Technology	20 December 2013	7	5
(U) Inspection of the Special Communications Office	8 February 2014	12	1
(U) Joint Inspection of Aerospace Data Facility East and National Geospatial-Intelligence Agency-Franconia	11 February 2014	55	7
(U) Audit of the NRO Management, Oversight, and Use of Federally Funded Research and Development Centers	15 May 2014	6	1
(U) Inspection of the Survivability Assurance Office (SAO)	3 November 2014	6	4
(U) Audit of NRO Cyber Incident Detection and Response	17 December 2014	10	9
(U) Follow-Up Review of NRO Portable Electronic Devices Part II – Training for Personnel with Government-Controlled Portable Electronic Device Oversight Responsibilities	9 January 2015	4	1
(b)(1) (b)(3)	25 March 2015	59	33

Table is S//TK//REL TO USA, FEVEY

**(U//FOUO) Table B2: Audit of the National Reconnaissance Office Contractor Wide Area Network**

Recommendation	Office	Status
<p>(U//FOUO) Recommendation #2 for the Chief Information Officer (CIO) in coordination with the Director, Office of Security and Counterintelligence (OS&amp;CI): Develop and implement a strategy for the management and operation of the Contractor Wide Area Network (CWAN). The strategy should consider</p> <p>a. developing CWAN policy and procedures</p>	Communications Systems Directorate (COMM)/CIO	<p>(U) Closure of this recommendation is pending receipt of supporting documentation.</p> <p>Initial Estimated Completion Date (ECD): December 2013</p> <p>Current ECD: January 2016</p>

(b)(3)  
(b)(5)

Table is UNCLASSIFIED//FOUO

**(U//FOUO) Table B3: Audit of the Management of Information Systems Privileged Users**

Recommendation	Office	Status
<p>(U//FOUO) Recommendation #2 for the Director, COMM: Establish and communicate an enterprise-wide process to maintain a current, accurate, and complete, centralized list of NRO privileged users that the NRO can rely on to meet reporting requirements for identifying privileged user and providing and tracking specialized training.</p>	COMM	<p>(U//FOUO) COMM requested closure in March 2016. The OIG subsequently asked for additional information to support that the process established by COMM meets the intent of the recommendation. The request for closure will be considered once the OIG receives additional information to support closure.</p> <p>Initial ECD: September 2013</p> <p>Current ECD: June 2016</p>

Table is UNCLASSIFIED//FOUO

**(U//FOUO) Table B4: Joint Inspection of Aerospace Data Facility Southwest and National Geospatial-Intelligence Agency Southwest**

Recommendation	Office	Status
<p>(U//FOUO) Recommendation ADFSW-11-203: Re-examine and review the current Aerospace Data Facility Southwest</p>	Mission Operations Directorate (MOD)	<p>(U) Due to an NRO restructuring that is still in transition, the OIG is working with various NRO components to determine and reassign responsibility of this recommendation to the appropriate component.</p> <p>Initial ECD: October 2012</p>

(b)(3)

Table is UNCLASSIFIED//FOUO

**(U) Table B5: Inspection of Program Security Officers**

Recommendation	Office	Status
<p>(U) Recommendation #4 for Director, OS&amp;CI in coordination with Director, Office of Strategic Human Capital: Establish a baseline core training program for Program Security Officers focused on key responsibilities and taking into account applicable Intelligence Community or Department of Defense (DoD) guidance, as appropriate, and career development programs as directed by their parent organizations.</p>	OS&CI	<p>(U) OS&amp;CI reported it launched the mandatory training courses in February 2016 and Program Security Officers have taken the training. Closure is pending OIG review of the course content to confirm adequacy.</p> <p>Initial ECD: December 2013</p> <p>Current ECD: April 2015</p>

(b)(3)

Table is UNCLASSIFIED

**(U) Table B6: Audit of the National Reconnaissance Office Enterprise Network Management**

Recommendation	Office	Status
(U//FOUO) Recommendation #7A for the Director, COMM in coordination with the Ground Enterprise Directorate (GED) and MOD: [REDACTED]	COMM (b)(3) (b)(5)	[REDACTED] (b)(3) Initial ECD: September 2013 Current ECD: February 2016
(U//FOUO) Recommendation #7B for the Director, COMM in coordination with GED and MOD: Develop policies and procedures for maintaining [REDACTED] including the level of granularity for information maintained therein.	COMM (b)(3)	[REDACTED] (b)(3) Initial ECD: September 2013 Current ECD: February 2015
(U//FOUO) Recommendation #8 for the Director, MOD in coordination with CIO and COMM: Develop and execute a strategy for obtaining a complete universe of NRO IP addresses [REDACTED]	COMM (b)(3)	[REDACTED] (b)(3) Initial ECD: December 2013 Current ECD: March 2015

Table is UNCLASSIFIED//FOUO

**(U) Table B7: Inspection of the [REDACTED] (b)(3)**

Recommendation	Office	Status
(U//FOUO) Recommendation #1 for the Director, Systems Engineering Directorate (SED): Develop and coordinate enterprise-wide Echelon 2 procedures that will satisfy the overarching needs of all acquisition offices and ground stations.	SED	(U//FOUO) The review and adjudication of the NRO Instruction 130-1-6, NRO Life Cycle Readiness, Addendum 1, Users Guide, is in process. Initial ECD: February 2014 Current ECD: December 2016

Table is UNCLASSIFIED//FOUO

**(U) Table B8: Audit of Chief Information Officer Management of National Reconnaissance Office Information Technology**

Recommendation	Office	Status
<p>(U//FOUO) Recommendation #2 for the DNRO: Direct and ensure that CIO, SED, Business Plans and Operations (BPO), and the Office of Policy and Strategy (OP&amp;S), in coordination with other Directorates and Offices as appropriate, establish clear and authoritative lines of information technology (IT)-related roles, responsibilities, ownership, and accountability by updating relevant NRO policies, directives, instructions, governance plans, and Letters of Instruction to clarify the CIO's responsibility for</p> <ul style="list-style-type: none"> <li>a. overseeing all IT at the NRO, including Business IT (BIT), Enterprise IT (EIT), and Mission IT (MIT);</li> <li>b. overseeing NRO-wide IT acquisitions by ensuring that all IT acquisition requests are reviewed and approved as part of the "select" phase of the IT investment management process;</li> <li>c. serving as the single senior NRO official responsible for overseeing the selection, planning, review, and oversight of IT acquisition activities; and advising the DNRO on whether to approve proposed IT acquisitions;</li> <li>d. owning, managing, and driving the NRO-wide investment management process that advises the DNRO on the selection, management, and evaluation all of the NRO's IT investments to ensure that they are not duplicative, are cost effective, conform to the IT architecture, and effectively support the NRO mission, goals, and objectives;</li> <li>e. advising the DNRO regarding whether to continue, modify, or terminate an IT program or project; and</li> <li>f. securing IT across the NRO by establishing and managing an agency-wide information security program to ensure that the CIO has the authority to, and accountability for, tasking and/or directing IT security personnel regardless of parent directorate.</li> </ul>	Director, NRO (DNRO)	<p>(U) Following the approval of the NRO-wide definition of IT, the CIO began working with subject matter experts to develop an implementation plan to address this recommendation. OP&amp;S finalized and submitted its implementation plans to the CIO. Upon approval of the plan by the NRO Corporate Council, the CIO began updating the relevant IT-related documents.</p> <p>Initial ECD: June 2015 Current ECD: December 2016</p>
<p>(U//FOUO) Recommendation #3 for the CIO: Develop and maintain an enterprise IT architecture that is used for decision-making. This architecture should represent the current and target states of IT; comply with DoD Architecture Framework and Joint Architecture Reference Model requirements; and capture all NRO IT investments, to include BIT, EIT, and MIT.</p>	COMM/CIO	<p>(U//FOUO) The CIO requested closure in July 2015. The OIG asked for and reviewed additional evidence to support that the agency-wide architecture is completed, and subsequently met with CIO representatives to discuss the results of their evidence review. In December 2015, the CIO reported that this recommendation should remain open pending completion of additional architecture efforts related to the transition to the Intelligence Community Information Technology Enterprise, expected to start in December 2015.</p> <p>Initial ECD: March 2015</p>

~~(U//FOUO)~~ Recommendation #5 for the CIO: Review and update the investment management Concept of Operations (CONOPS) to ensure that the investment management process aligns with federal guidance and best practices, and

- a. includes specific requirements for working with NRO subject matter experts from BPO and SED prior to the implementation of each process step to ensure that the process will result in effective budget and architecture decisions as appropriate;
- b. incorporates updated NRO-wide definitions of IT;
- c. utilizes the clarified CIO roles, responsibilities, authorities, ownership, and accountability included in the updated policies and Letters of Instruction;
- d. includes requirements for business cases to be developed and maintained for each proposed and existing IT investment—the business cases should include cost, schedule, and performance measures and evidence of conformance with NRO IT architecture to enable the effective selection, control, and evaluation of NRO IT assets and advise the DNRO on whether to continue, modify, or terminate IT programs or projects;
- e. clarifies and incorporates IT acquisition oversight; and
- f. includes requirements for using and complying with the Corporate IT Procurement Program.

COMM/CIO

~~(U//FOUO)~~ The OIG evaluated the final draft CONOPS and met with CIO representatives to evaluate this recommendation for closure. This recommendation remains open pending additional actions to address recommendation parts c, d, and e.

Initial ECD: September 2015  
Current ECD: March 2016

~~(U//FOUO)~~ Recommendation #6 for the CIO: Review and revise the IT Executive Committee (ITEC) and Investment Review Board (IRB) charters to ensure the establishment of an NRO investment review group that

- a. operates according to federal guidance and best practices;
- b. includes requirements for business cases to be developed and maintained for each proposed and existing IT investment—the business cases should include cost, schedule, and performance measures and evidence of conformance with NRO IT architecture to enable the effective selection, control, and evaluation of NRO IT assets and advise the DNRO on whether to continue, modify, or terminate IT programs or projects; and
- c. includes specific criteria for determining which acquisitions and investments will be reviewed by the group, including a dollar threshold agreed to by the CIO and DNRO.

COMM/CIO

~~(U//FOUO)~~ As a result of the COMM/CIO merger, the ITEC and IRB were disbanded. Their functions will be accomplished via the IT Exchange forum. The CONOPS will include a description of the IT Exchange forum functions and responsibilities. This recommendation remains open pending the OIG's final review of the CONOPS and evidence of actions to implement an NRO-wide investment review group.

Initial ECD: September 2015  
Current ECD: March 2016

~~(U//FOUO)~~ Recommendation #7 for the CIO



COMM/CIO

(b)(3)

~~(U//FOUO)~~ The CIO requested closure of parts c. and d. of this recommendation in July 2015. The OIG reviewed additional evidence provided, but will not close this recommendation until all elements of the recommendation are addressed

Initial ECD: September 2017

(b)(3)

Table is UNCLASSIFIED//FOUO

**(U) Table B9: Inspection of the Special Communications Office**

Recommendation	Office	Status
<del>(U//FOUO)</del> Recommendation #12 for the Director, Special Communications Office (SCO): Review all External Agreements (EA) for currency and relevance. Work with OP&S to update and convert Memoranda of Agreement to Interagency Agreements as appropriate.	SCO	[Redacted] (b)(1) (b)(3) Initial ECD: December 2014

Table is ~~SECRET//TK//NOFORN~~

**(U) Table B10: Joint Inspection of Aerospace Data Facility East and National Geospatial-Intelligence Agency-Franconia**

Recommendation	Office	Status
<del>(U//FOUO)</del> Recommendation ADF-E/NGA-F-12-131: Establish or update a written process for timely reporting and reimbursement for supplies and services in accordance with the NRO/NGA [Redacted]	MOD (b)(3)	(U) Due to an NRO restructuring that is still in transition, OIG is working with various NRO components to determine and reassign responsibility of this recommendation to the appropriate component. Initial ECD: July 2014
[Redacted]	MOD (b)(3)	(U) Due to an NRO restructuring that is still in transition, OIG is working with various NRO components to determine and reassign responsibility of this recommendation to the appropriate component. Initial ECD: January 2016
<del>(U//FOUO)</del> Recommendation ADF-E/NGA-F-12-202: Re-examine and update the current ADF-East [Redacted] NRO and NGA.	MOD (b)(3)	(U) Due to an NRO restructuring that is still in transition, OIG is working with various NRO components to determine and reassign component responsibility for this recommendation. Initial ECD: December 2015
<del>(U//FOUO)</del> Recommendation ADF-E/NGA-F-12-205: Finalize and publish NRO Directive (ND) 10-2, <i>Facilities Acquisition Planning and Execution</i> and associated NRO Instructions.	OS&CI	<del>(U//FOUO)</del> ND 10-2 was finalized in November 2014. Anticipate approval of the associated NRO Instructions (NI) (NI 10-2-1, <i>Real Estate Acquisition and disposal</i> , and NI 10-2-2, <i>Maintenance, Repair, Improvement, and Construction Acquisition</i> ) in April 2016. Initial ECD: July 2014
<del>(U//FOUO)</del> Recommendation ADF-E/NGA-F-12-209: Develop, communicate, and implement a policy/process that identifies roles and responsibilities for each step in [Redacted] accreditation process.	OS&CI (b)(3)	(U) OS&CI completed coordination of the draft NRO Directive and two-associated NRO Instructions that govern and implement the [Redacted] accreditation process. OIG is awaiting receipt of the final approved version that has been submitted to the Director, OS&CI for signature. Initial ECD: August 2015
<del>(U//FOUO)</del> Recommendation ADF-E/NGA-F-12-210: Develop and implement a plan/timeline to review and accredit [Redacted]	OS&CI (b)(3)	<del>(U//FOUO)</del> Accreditation is dependent on completing the identification and assessment of government and industry site assets with potential undocumented [Redacted] Initial ECD: August 2014
<del>(U//FOUO)</del> Recommendation ADF-E/NGA-F-12-223 for Commander, [Redacted] COMM: Ensure Systems Administrators report and document the status of information assurance vulnerability alert (IAVA) patches and updates in accordance with NRO Corporate Business Process Instruction (CBPI) 50-2D for all ADF-E mission systems.	COMM (b)(3)	[Redacted] Initial ECD: April 2015

Table is ~~SECRET//TK//NOFORN~~

**(U) Table B11: Audit of the NRO Management, Oversight, and Use of Federally Funded Research and Development Centers**

Recommendation	Office	Status
(U//FOUO) Recommendation #4 for the NRO delegated official responsible for the NRO Federally Funded Research and Development Centers (FFRDC) portfolio: Develop and implement oversight controls to provide assurance that the FFRDC performed the tasks assigned and properly billed the NRO for the work performed.	BPO	(U) As noted in the marks to the <i>Intelligence Authorization Act for Fiscal Year 2016</i> , the House Permanent Select Committee on Intelligence recommended the NRO Inspector General conduct a follow-up review to assess the effectiveness of the management changes taking place with SED and to determine whether similar management changes are being implemented within other elements of the NRO. The OIG will keep this recommendation open pending the outcome of this future follow-on review. Initial ECD: February 2015

Table is UNCLASSIFIED//FOUO

**(U//FOUO) Table B12: (U) Inspection of the Survivability Assurance Office (SAO)**

Recommendation	Office	Status
(U//FOUO) Recommendation #1 for the DNRO: Clarify the roles, responsibilities, and authorities of the SAO and document in a compartmented addendum to the SAO Letter of Instruction (LOI) or in the NRO Governance Plan (NGP), Senior Leadership Roles and Responsibilities.	DNRO	(U//FOUO) SAO submitted the final compartmented addendum to the DNRO for review and signature end of March. Initial ECD: January 2015 Current ECD: July 2016
(U//FOUO) Recommendation #2A for the Director, SAO: Update the SAO Governance Plan to incorporate the newly defined roles and responsibilities in the SAO LOI.	SAO	(U//FOUO) SAO submitted the final compartmented addendum to the DNRO for review and signature at the end of March. Additionally, the SAO Annex to the NGP now contains a statement indicating the compartmented addendum will be filed and maintained within SAO. Initial ECD: January 2015 Current ECD: July 2016
(U//FOUO) Recommendation #3A for the DNRO: Task SAO and SED jointly with the responsibility to coordinate with the Director of National Intelligence (DNI) and DoD for the development, definition, and documentation of enterprise space protection and resiliency.	DNRO	(U//FOUO) DNI additions and changes to the resiliency documentation delayed community introduction of the document to June 2016 with planned approval in August 2016. Completion date of the document is subject to the Intelligence Community Capabilities Requirements Council review and signature process. Initial ECD: September 2015 Current ECD: December 2016
(U//FOUO) Recommendation #3B for the DNRO: Task SED with the responsibility to ensure that protection and resiliency are addressed as a part of requirements/design reviews for each major system acquisition.	DNRO	(U) The 30 March 2016 signed NI 130-1-6, NRO Life Cycle Readiness, Addendum I, <i>User Guide</i> , includes protection and resiliency entrance and exit criteria checklists and artifacts for life cycle readiness events to ensure resiliency is addressed within the requirements and design reviews for each NRO Major System Acquisition. SED is revising NRO Directive 82-7a, NRO Infrastructure Protection, to define architecture resiliency roles and responsibilities and ensure agreement with the NRO's current policy structure. Initial ECD: March 2015 Current ECD: April 2016

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~~(U//FOUO)~~ Table B13: (U) Audit of NRO Cyber Incident Detection and Response

Recommendation	Office	Status
<del>(U//FOUO)</del> Recommendation #2 for the Director, COMM: Ensure [Redacted] in accordance with Intelligence Community Standard (ICS) 502-01 and Intelligence Community Directive (ICD) 502.	COMM (b)(3)	[Redacted]
<del>(U//FOUO)</del> Recommendation #3 for the Director, COMM: [Redacted]	COMM (b)(3)	<del>(U//FOUO)</del> COMM/NRO Infrastructure Service Provider (NISP) [Redacted]
<del>(U//FOUO)</del> Recommendation #4 for the Director, COMM: [Redacted]	COMM (b)(3)	[Redacted]
<del>(U//FOUO)</del> Recommendation #5 for the Director, OS&CI: [Redacted]	OS&CI (b)(3)	[Redacted]
<del>(U//FOUO)</del> Recommendation #6 for the Director, COMM: [Redacted]	COMM (b)(3)	[Redacted]
<del>(U//FOUO)</del> Recommendation #7 for the Director, COMM: [Redacted]	COMM (b)(3)	[Redacted]



<del>(U//FOUO)</del> Recommendation #8 for the Director, COMM:	COMM	(b)(3)
[Redacted]	(b)(3)	[Redacted]
		Initial ECD: June 2015 Current ECD: March 2016
<del>(U//FOUO)</del> Recommendation #9 for the Director, COMM:	COMM	
[Redacted]		[Redacted]
(b)(3)		(b)(3)
<del>(U//FOUO)</del> Recommendation #10 for the Director, COMM:	COMM	Initial ECD: June 2016
[Redacted]	(b)(3)	[Redacted]

Table is ~~SECRET//REL TO USA, FVEY~~

**(U) Table B14: Follow-up Review of NRO Portable Electronic Devices Part II – Training for Personnel with Government-Controlled Portable Electronic Device Oversight Responsibilities**

Recommendation	Office	Status
<del>(U//FOUO)</del> Recommendation #1 for the Director, COMM in coordination with the Director, OS&CI: Issue new guidance or update existing guidance to clarify what specific positions or individuals are required to take the Government-controlled Portable Electronic Device (GPED) Management and Inspection computer-based training, including the timing and frequency with which the training should be taken; who is responsible to hold individuals accountable for taking the training; and what, if any, other GPED specific training course(s) may satisfy training requirements.	COMM	(U) COMM updated and coordinated NRO Directives and Instructions clarifying roles and responsibilities regarding training and program management. Comments are currently being adjudicated and upon final approval and publication, COMM will deliver the guidance documents to OIG for closure consideration. Initial ECD: September 2015 Current ECD: April 2016

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