



OFFICE OF THE INSPECTOR GENERAL OF THE INTELLIGENCE COMMUNITY  
**SEMIANNUAL REPORT TO CONGRESS**



2020-2021  
OCTOBER - MARCH

# TABLE OF CONTENTS



Message from the Acting Inspector General of the Intelligence Community.....3

Introduction .....4

About Us .....6

IC IG Strategic Plan.....7

IC IG Management Advisory Committee.....7

COVID-19 Pandemic Response .....8

**DIVISION & COMMITTEE REPORTS**

    Mission Support .....9

    Audit ..... 10

    Inspections and Evaluations ..... 12

    Investigations ..... 14

    Center for Protected Disclosures ..... 18

        IC IG Hotline..... 24

    Counsel to the Inspector General ..... 25

Intelligence Community Inspectors General Forum..... 28

The Inspector General Community ..... 30

Recommendations..... 31

Abbreviations and Acronyms ..... 34

# MESSAGE FROM THE ACTING INSPECTOR GENERAL OF THE INTELLIGENCE COMMUNITY



On behalf of the Office of the Inspector General of the Intelligence Community (IC IG), I am pleased to present our Semiannual Report (SAR) for the period of October 1, 2020 through March 31, 2021. I thank everyone whose professionalism, teamwork, and support enabled the important work highlighted herein.

The IC IG remains committed to conducting independent and objective oversight of matters within the responsibility and authority of the Director of National Intelligence (DNI). Although the ongoing pandemic and staffing levels continue to pose challenges, the IC IG workforce remains resilient and is accomplishing our critical missions, as we continue to conduct audits, inspections, investigations, reviews, hotline processing, and other activities.

During this period, I issued a message highlighting the Intelligence Community (IC) whistleblower program and the vital role of whistleblowers in the IC. Whistleblowers assist Inspectors General and Congress in performing their oversight responsibilities and help address problems while also protecting national security information.

We continue to work closely and collaboratively with the Office of the Director of National Intelligence (ODNI), Congress, the Intelligence Community Inspectors General Forum, the Council of the Inspectors General on Integrity and Efficiency, the Five Eyes Intelligence Oversight and Review Council, and others.

I am pleased to announce that during this reporting period, Ms. Tamara Johnson was selected as the Principal Deputy Inspector General of the Intelligence Community. Ms. Johnson is a values-based, people-focused leader with more than 10 years of experience in the IC and the Inspector General community, and she is fully embracing the responsibilities of her new position.

To chart the course ahead, the IC IG leadership team gathered this reporting period to discuss our Fiscal Year 2021-2025 Strategic Plan and our commitments, priorities, and goals for the next five years. In consultation with members of the IC IG team and the IC IG Management Advisory Committee, we updated our vision, values, mission, and goals to reflect the IC IG's current posture and the path we envision going forward.

The IC IG team will continue providing independent oversight to the best of our abilities in order to strengthen the IC in service to the Nation.

A handwritten signature in black ink that reads "Thomas A. Monheim". The signature is fluid and cursive.

Thomas A. Monheim  
Acting Inspector General of  
the Intelligence Community  
April 30, 2021

# INTRODUCTION

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## AUTHORITY

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

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

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## CORE VALUES

★ ★  
★ ★  
★ ★  
★ ★  
★ ★  
★ ★

INTEGRITY

INDEPENDENCE

TRANSPARENCY

ACCOUNTABILITY

DIVERSITY

## MISSION

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

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## VISION

A premier workforce that exemplifies core values and strengthens the Intelligence Community

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# The Inspector General of the Intelligence Community

## STATEMENT OF INDEPENDENCE

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



## STATUTORY REQUIREMENTS

Pursuant to Title 50, United States Code § 3033, the IC IG shall, not later than October 31 and April 30 of each year, prepare and submit to the Director of National Intelligence a classified and, as appropriate, an unclassified semiannual report summarizing the IC IG's activities during the immediately preceding six month period ending September 30 and March 31, respectively.

Not later than 30 days after the date of the receipt of the report, the DNI shall transmit the report to the congressional intelligence committees together with any comments the DNI considers appropriate. The DNI shall transmit to the committees of the Senate and of the House of Representatives with jurisdiction over a department of the United States Government any portion of the report involving a component of such department simultaneously with submission of the report to the congressional intelligence committees.

All IC IG inspection and investigation activities conform to standards adopted by the Council of the Inspectors General on Integrity and Efficiency (CIGIE). The IC IG conducts all audit activities in accordance with generally accepted government auditing standards. During this reporting period, the IC IG had full and direct access to all information relevant to the performance of its duties.

# ABOUT US

The IC IG's leadership team includes the Inspector General (IG), Principal Deputy IG, Special Advisor to the IG, Counsel to the IG, four Assistant Inspectors General, and one Center Director.

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



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# IC IG WORKFORCE INITIATIVES

## IC IG STRATEGIC PLAN

In January 2021, the IC IG held an internal leadership offsite dedicated to revising its Strategic Plan. Updates were made to our mission, vision, values, and goals to better reflect the forward path of the IC IG. The new version reflects the IC IG's advancement and will serve as a roadmap for the organization's future by providing a framework for the projects and initiatives the office pursues.

### Strategic Goals

1. Strengthen the foundation of the Office of the Inspector General of the Intelligence Community by recruiting, developing, and retaining a premier workforce and fostering a diverse, inclusive, collaborative, and engaging environment.
2. Conduct high-quality and timely audits, inspections, investigations, reviews, and other activities to improve the integration, economy, and efficiencies of the Office of the Director of National Intelligence and the broader IC.
3. Enhance collaboration, coordination, and communication among IC Offices of Inspectors General, Congress, and our domestic and foreign partners.

The updated mission, vision, and values are captured in the *Introduction* section of this SAR.

## IC IG MANAGEMENT ADVISORY COMMITTEE

The IC IG established a Management Advisory Committee (MAC) in the fall 2020 as an employee-driven committee to serve as a forum for open communication between IC IG leadership and the workforce. The MAC's mission is to advance the IC IG's core values and enhance the workplace environment. The MAC seeks opportunities to increase employee engagement, advise on office innovation, and strengthen the IC IG's ability to efficiently and effectively achieve its mission.

During the reporting period, the MAC launched an anonymous survey to solicit workforce concerns and to gain an understanding of topics important to IC IG personnel. The responses allowed the MAC to formulate initiatives that reflect IC IG personnel priorities. The MAC has advocated on behalf of personnel as a participant in the IC IG leadership offsite and several regular leadership meetings. The MAC also briefs the IC IG workforce on its activities during monthly Town Halls. At the MAC's suggestion, additional employee events and opportunities for employee engagement are being planned and will be reflected in the next SAR.



# COVID-19 PANDEMIC RESPONSE

As we continue to navigate through the COVID-19 pandemic and maintain operations, employee safety remains a top priority. The IC IG continues to embrace workplace flexibility and creativity to accomplish our important mission while respecting the workforce's concerns related to the pandemic and its impact on their lives. The office continues to coordinate with ODNI to navigate logistical challenges for approvals of personal protective equipment, virtual tools to support remote work and meetings, available technologies, and flexible workplace agreements to accommodate the needs of our staff.

In early 2021, the ODNI began offering the COVID-19 vaccine to the entire workforce. While a large percentage of the IC IG workforce has been fully vaccinated, the IC IG is still operating with a reduced staffing posture in accordance with ODNI guidance. The IC IG continues to follow ODNI protocols requiring employees to wear face masks, limiting the number of in-person meetings and participants in such meetings, practicing social distancing and good personal hygiene. Additionally, the Assistant Inspector General for Mission Support attends meetings of the ODNI Senior Leader Recovery Group,

The IC IG recovery plan is structured around three goals:

1

Protect the health and safety of the IC IG workforce

2

Rapidly assess priorities and the resources required to execute them

3

Incrementally increase work capacity to accomplish the IC IG mission reasonably and responsibly

which is charged with sharing information and coordinating the implementation of the ODNI COVID-19 Recovery Plan. ODNI regularly re-evaluates and adjusts the Recovery Plan as needed to account for changing information and environmental circumstances. The IC IG continues to progress, in accordance with ODNI occupancy level guidance, towards a full and safe return to operations.

The IC IG is also investing time and effort to ensure that each member of the workforce feels valued and connected to the office's mission. During this reporting period, the Acting IG continued to host monthly virtual Town Halls; instituted the use of Personal Management Interviews between supervisors and employees; and, issued IC IG news releases and announcements on various topics to keep the workforce engaged and informed.

# MISSION SUPPORT DIVISION

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



## HUMAN CAPITAL | PLANNING | OPERATIONS | COMMUNICATIONS

MSD supports operational matters across a range of functions, including strategy development, strategy performance oversight, internal management and alignment of resources to IC IG goals and priorities, implementation of cross-cutting business processes, management of support to the statutory Intelligence Community Inspectors General Forum, budget, manpower, contracts, security, information technology, facilities, logistics, quality assurance, information management, classification, FOIA operations, and continuity of operations/emergency preparedness. Additionally, MSD supports human capital and communications activities, including shaping and executing the office's human capital strategy, initiatives, and tactical plan, as well as all IC IG outreach activities, such as media engagements, strategic communications, corporate identity and brand management, and visual communication.

During this reporting period, ODNI provided the IC IG adequate funding to fulfill its mission. The budget covered personnel services and general support, including travel, training, equipment, supplies, information technology support, and office automation requirements.

## MANAGEMENT AND ADMINISTRATION COMMITTEE

MSD hosts quarterly meetings of the Forum's Management and Administration Committee, which is scheduled to virtually meet in April 2021.

## Intelligence Community Inspectors General Conference and Awards Program

The Mission Support Division plans and executes the annual Intelligence Community Inspectors General Conference and Awards Program. Given the current state of the pandemic and concerns over the spread of COVID-19, an option for virtually hosting this year's conference is being considered and discussed with the Forum. The recipients of the Intelligence Community Inspectors General National Intelligence Professional Awards will be recognized for their superior performance and exceptional accomplishments in the coming months.

# AUDIT DIVISION

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

## AREAS OF FOCUS

- INFORMATION TECHNOLOGY AND SECURITY
- ACQUISITION POLICIES AND PRACTICES
- PROJECT MANAGEMENT
- BUSINESS PRACTICES
- HUMAN CAPITAL
- PERSONNEL SECURITY
- FINANCIAL MANAGEMENT

Auditors assess whether programs are achieving intended results and whether organizations are complying with laws, regulations, and internal policies in carrying out programs. Recommendations made from the results of audits and projects enable ODNI management to improve the efficiency and effectiveness of ODNI programs.

## COLLABORATION AND OUTREACH EFFORTS

The Audit Division collaborates with other federal agencies and departments in conducting joint reviews of IC programs and activities. During the reporting period, the Audit Division participated in three projects in areas of mutual interest across the IC Audit community.

**1** The Audit Division is conducting a joint review with the Central Intelligence Agency (CIA), Defense Intelligence Agency (DIA), National Geospatial-Intelligence Agency (NGA), National Reconnaissance Office (NRO), National Security Agency (NSA), the Federal Bureau of Investigation (FBI), and Department of State of data reported by IC elements in response to *Metrics Reporting Requirements for National Security Vetting in Fiscal Year 2018 and Beyond*. The DNI, as the Security Executive Agent, is responsible for assuring the quality, timeliness, consistency, and integrity of national security vetting practices. The audit will determine whether IC elements accurately capture, document, and report required security clearance processing timeliness information and whether challenges exist at the IC elements that contribute to non-compliance with reporting requirements.

**2** In addition, the Audit Division will prepare a report to Congress on the consolidated results of the ODNI and the Departments of Commerce, Defense, Energy, Homeland Security, Justice, and Treasury Offices of Inspectors General's respective audits or evaluations of their agencies' implementation of the *Cybersecurity Information Sharing Act*, Section 107(b) for calendar years 2019 and 2020.

**3** The Audit Division also participated on a joint team conducting an external peer review of the DIA Office of the Inspector General (OIG) audit organization's system of quality controls.

# AUDIT COMMITTEE

In October 2020 and March 2021, the Audit Division hosted the Forum’s Audit Committee and Cybersecurity Subcommittee quarterly meetings to discuss multiple topics of community interest. The October 2020 virtual meeting included a roundtable discussion on Executive Order 13950 – *Combatting Race and Sex Stereotyping*, and the supplemental guidance issued by the Office of Management and Budget and the Office of Personnel Management. The October meeting also included discussions on annual work plan development and IC elements’ delayed *Federal Information Security Modernization Act of 2014* (FISMA) reporting as a result of COVID–19 impact to our project schedules. The March virtual meeting focused almost entirely on the draft FISMA metrics for Fiscal Year (FY) 2021 and the impact to ongoing and future audit work in this area. The committee also discussed COVID–19 recovery and reconstitution and the impact on audit operations.

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The Intelligence Community Inspectors General Forum’s Audit Committee March 2021 virtual meeting focused almost entirely on the draft FISMA metrics for Fiscal Year 2021.

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The Audit Committee and Cybersecurity Subcommittee quarterly meetings have been impacted by the ongoing pandemic. Members continue to collaborate virtually, as needed. The next Audit Committee quarterly meeting is currently scheduled for June 2021.

# INSPECTIONS & EVALUATIONS DIVISION

The Inspections and Evaluations (I&E) Division’s mission is to conduct oversight activities of programs within the DNI’s responsibility and authority. The I&E Division provides the IC IG with an alternative mechanism to traditional audit and investigative disciplines to assess ODNI and IC programs and activities. The Council of the Inspectors General on Integrity and Efficiency’s (CIGIE’s) *Quality Standards for Inspections and Evaluations* (Blue Book) gives the Division flexibility to develop tailored approaches for determining efficiency, effectiveness, impact, and/or sustainability of agency operations, programs, or policies.

In addition, the I&E Division is uniquely structured to conduct expedited management and program evaluations, and respond to priority issues of concern to the ODNI, the IC, Congress, and the public

The I&E Division conducts systemic and independent inspections and evaluations of ODNI components and IC elements, and it issues factual, evidence-based findings that are timely, credible, and useful for managers, policymakers, and stakeholders.

Conclusions drawn from the results of inspections and evaluations generate recommendations for decision makers to streamline operations, revise regulations as necessary, improve customer service, and minimize inefficient and ineffective procedures. They also improve the performance and integration of the ODNI and the broader IC. Using a multidisciplinary staff and

various methods for gathering and analyzing data, the I&E Division typically analyzes information; measures performance; determines compliance with applicable law, regulation, and/or policy; identifies savings and funds put to better use; shares best practices or promising approaches; and assesses allegations of inefficiency, ineffectiveness, and mismanagement.

## INSPECTIONS & EVALUATIONS DIVISION PROJECT

### INS-2021-003: Review of ODNI Compliance with Executive Order 13950, *Combating Race and Sex Stereotyping* (December 30, 2020)

On September 22, 2020, former President Donald Trump signed Executive Order 13950, *Combating Race and Sex Stereotyping*, with the stated goal to “promote economy and efficiency in Federal contracting, to promote unity in the Federal workforce, and to combat offensive and anti-American race and sex stereotyping and scapegoating.” On December 10, 2020, the DNI requested that the IC IG review and assess ODNI’s compliance with the requirements of Executive Order 13950 by the end of the calendar year.

In response to the DNI’s request made pursuant to § 6(c)(ii) of Executive Order 13950, the IC IG conducted its review and determined that ODNI was in compliance with all but one provision. At the time of the review, the ODNI initiated action to comply with the remaining provision; however, Executive Order 13950 was revoked in January 2021.

# INSPECTIONS COMMITTEE

Adapting to the impact of COVID–19, the Inspections Committee met virtually in the first and second quarter of FY 2021 to discuss multiple topics of community interest. During its first session, members addressed the impact of the pandemic on the workforce and identified potential opportunities to provide oversight to agency pandemic preparation and response efforts. Committee members discussed their FY 2022 work planning activities and shared preliminary project topics to facilitate advance planning opportunities for future joint or concurrent work, best practices, and lessons learned. Topics included reporting requirements from Executive Order 13950, *Combating Race and Sex Stereotyping*, Blue Book revisions, processes related to peer review scheduling and execution, and re-branding initiatives to more clearly define the impact that inspections and evaluations have on the mission of OIGs.

Committee members continued to discuss provisions of the *Intelligence Authorization Act for Fiscal Years 2018, 2019, and 2020*, § 6721, “IG Reports on Classification Status.” The Inspections Committee agreed to stand up a working group to coordinate agency OIG objectives to allow for more succinct capstone reporting on the

collective IC enterprise. The working group will focus on addressing key deliverables and synchronizing efforts to ensure the information is presented uniformly. The working group will present its work at a future Forum session.

During the second meeting, the Inspections Committee Chair led a conversation on converting IC OIG historical peer review practices into more defined processes. Committee members continued to discuss Blue Book revisions and new challenges related to the inclusion of organizational work in I&E peer reviews. Members examined plans to be peer reviewed, as well as participation in external peer reviews beginning in FY 2021. The Inspections Committee Chair will work with IC OIGs on peer review schedules as appropriate.

Inspections Committee members also discussed the classification working group’s progress and decided to discontinue the group’s efforts to allow each OIG additional time to meet the statutory deadline. Committee members lauded the successful effort of the working group and requested a lessons learned review to improve future efforts on this topic. The working

group will brief the Deputies Committee and the Forum in the near future. Inspections Committee members also synchronized key activities and mission-related initiatives related to annual planning topics of mutual interest and concern.

# INVESTIGATIONS DIVISION

The Investigations Division conducts criminal and administrative investigations, including those arising from complaints or information from any person concerning the existence of an activity within the authorities and responsibilities of the DNI constituting a violation of laws, rules, or regulations; or mismanagement, gross waste of funds, abuse of authority, or a substantial and specific danger to the public health and safety. These investigations are both proactive and reactive in form. The Investigations Division also identifies and reports internal control weaknesses that could render ODNI or other IC programs and systems vulnerable to exploitation, or that could be used for illicit activity. The Investigations Division also plays a principal role in tracking, monitoring, and investigating unauthorized disclosures of classified information.

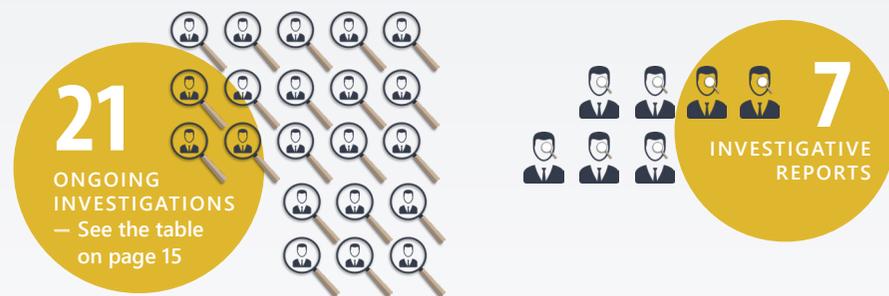
The Investigations Division's ability to investigate programs and activities within the authorities and responsibilities of the DNI enables the Division to partner with, and provide assistance to, other OIGs conducting investigations concerning IC programs and activities. In addition, the Investigations Division is able to coordinate and assist with the prosecution of criminal matters arising from the other intelligence agencies, including CIA, DIA, NGA, NRO, NSA, and ODNI.

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

## INVESTIGATIVE ACTIVITY OVERVIEW

During this reporting period, the Investigations Division continued its efforts on five joint criminal investigations. The investigations involve a variety of potential offenses, including fraud, counterintelligence, and public corruption. Partners include other IC OIGs, the FBI, other federal investigative agencies, the Department of Justice Public Integrity Section, and the U.S. Attorney's Office for the Eastern District of Virginia. We expect some of these joint criminal investigations and support efforts to continue into the next reporting period due to their size, scope, and complexity.



The Investigations Division currently has 21 ongoing investigations (see table on page 15), and issued seven investigative reports this reporting period, resulting in the recovery of approximately \$9,253 related to labor mischarging for the Government. The Investigations Division also closed two joint criminal investigations: one pertaining to an unauthorized disclosure of classified information and another related to wire fraud. The Investigations Division also referred matters to other IC OIGs and partners for action as deemed appropriate.

# INVESTIGATIONS DIVISION: Ongoing Investigations Summary

**TABLE 2**

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



NUMBER OF CASES	CASE SUBJECT / ALLEGATION
3	Contract and Procurement Fraud
1	Employee Misconduct
1	Procurement Integrity Violation
1	Unauthorized Disclosure
3	Contractor Cost Mischarging (Labor)
2	Misuse of Government Property (Computer)
3	Abuse of Authority/Retaliation/Reprisal
3	Time and Attendance Fraud
1	Intelligence Oversight
1	Waste of Government Resources
1	Post Government Employment Restrictions
1	Conflict of Interest
21	TOTAL OPEN INVESTIGATIONS

The IC IG did not issue any subpoenas during this reporting period.

# INVESTIGATIONS DIVISION

## SUMMARIES OF PUBLISHED REPORTS

### Misappropriation of Funds

We investigated allegations referred to us by NSA OIG regarding a misappropriation of funds by two NSA OIG government employees. Our investigation concluded that both employees acted inconsistently with NSA policy and regulations when they obligated appropriated funds to purchase food from fast-food suppliers on two occasions for recruiting events without authorization. As a result, one employee resigned from the federal government, and the other employee transferred to another office within NSA.

### Conflict of Interest

Our investigation did not substantiate an allegation that an ODNI employee knowingly participated personally and substantially in a contract matter in which the employee had a financial interest in the outcome. On the contrary, we found evidence that the employee had executed a recusal and refrained from participating in situations in which their parent organization had a financial interest.

### Procurement Integrity

Our investigation did not substantiate allegations that two government employees engaged in procurement integrity violations, conflict of interest violations, and abuse of their authority. Additionally, we found no evidence to suggest the employee who took part in a source selection process provided confidential procurement information to the other employee, whom they had known from previous employment.

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### Contractor Cost Mischarging

Our investigation substantiated an allegation that a contract employee prepared, signed, and submitted timecards to a contracting company between January 3, 2018, and December 7, 2018, totaling 88.25 regular hours that the individual did not work, thereby causing the company to submit false invoices to the Government. The company submitted payment to ODNI to compensate the government for the improper charges.



# INVESTIGATIONS DIVISION

## SUMMARIES OF PUBLISHED REPORTS, *continued*



### Reprisal

Our investigation did not substantiate an allegation that the Department of State retaliated against an employee by revoking the employee's security clearance, in violation of Presidential Policy Directive-19, *Protecting Whistleblowers with Access to Classified Information* or Title 50 United States Code § 3341(j), *Retaliatory Revocation of Security Clearance and Access Determinations*. The investigation found no causal link between the disclosure and the security clearance revocation taken against the employee.

### Misuse of Government Systems

Our investigation substantiated an allegation that a contract employee misused the government unclassified computer systems when the employee initiated sexually explicit conversations with unknown persons over a two-year period and performed real estate-related tasks, in violation of agency policies and regulations. Disciplinary action is currently pending.

### Use of Illegal Drugs

Our investigation substantiated an allegation that a contract employee illegally obtained and used controlled substances, including cocaine, hallucinogenic mushrooms, and marijuana, while maintaining a security clearance. The employee's illegal drug use started as early as 2016 and continued into early 2019. We further determined the contractor made oral and written false statements regarding the drug use during a security clearance reinvestigation. Disciplinary action is currently pending.

## INVESTIGATIONS COMMITTEE

The Investigations Committee held two virtual meetings this reporting period. The Committee discussed several key initiatives related to peer reviews; corrective actions taken in response to Government Accountability Office (GAO) Report 20-699, *Whistleblower Protection: Actions Needed to Strengthen Selected Intelligence Community Office of Inspector General Programs*; internal quality assurance review programs and processes; and COVID-19 lessons learned, planning, and investigations. The Committee has deferred implementing its peer review schedule pending a return to full post-COVID staffing.

The Director of the Center for Protected Disclosures also provided an overview of the Center to Committee members. The briefing included the External Review Panel process and procedures, and best practices for preparing an investigation for review acceptance. The Committee's next regularly scheduled meeting is set for June 2021.

# CENTER FOR PROTECTED DISCLOSURES

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



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

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# CENTER FOR PROTECTED DISCLOSURES

THE CENTER PERFORMS FOUR CRITICAL FUNCTIONS FOR WHISTLEBLOWERS IN THE IC.

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

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

In order to submit an “urgent concern” to the IC IG, the law requires that a submitter be “[a]n employee of an element of the intelligence community, an employee assigned or detailed to an element of the intelligence community, or an employee of a contractor to the intelligence community.” The ICWPA also

requires that a submitter provide a complaint or information with respect to an “urgent concern”, which is defined as one of the following:

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

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

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

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

## CENTER FOR PROTECTED DISCLOSURES

### FOUR CRITICAL FUNCTIONS FOR WHISTLEBLOWERS THE IC, *Continued*

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The Center adjudicates requests by IC employees and contractors for the IC IG to review their allegations of reprisal under PPD-19, *Protecting Whistleblowers with Access to Classified Information*, and 50 United States Code §§ 3234 and 3341(j).

**3** These authorities prohibit acts of reprisal against employees and contractors serving in the IC, as well as those who are eligible for access to classified information, who make protected disclosures.

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

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

# CENTER FOR PROTECTED DISCLOSURES

## ACTIVITIES DURING THIS REPORTING PERIOD

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

The Center received two new ERP requests during the reporting period, which are under review. The Center conducts an initial assessment and review of materials submitted by both the complainant and the complainant’s employing agency prior to reaching a determination. In total, the Center has 15 initial assessments of ERP requests currently pending, including 13 matters that were initiated during the previous reporting period.

The Center received and processed one “urgent concern” allegation to the DNI. The IC IG subsequently forwarded the matter to the congressional intelligence committees on behalf of the DNI.

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

The Center participated in virtual community events hosted by the Department of Defense’s OIG Hotline Program. The community events discussed best practices for handling Hotline complaints and follow-up activity, to include COVID–19 pandemic related complaints.

The Center participated in a virtual engagement facilitated by the IC IG Counsel team where the Center led discussions of the various IC IG Hotline processes with Congressional staff.

The Center submitted to Congress a quarterly report detailing the number and nature of contacts processed by the Hotline in the first quarter of FY 2021. This is the first report in an ongoing series of Hotline reports pursuant to *Intelligence Authorization Act for Fiscal Year 2021*. The IC IG currently is working to refine its intake categories to allow for the capture of more detailed information, which will enhance the IC IG’s ability to identify potential trends and areas of concern based on Hotline reporting. These efforts will be reflected in future quarterly reports and SARs.

# CENTER FOR PROTECTED DISCLOSURES

## IC HOTLINE WORKING GROUP

The Center hosted a virtual IC Hotline Working Group meeting in November. The Working Group meets semiannually and includes members from OIGs from CIA, DIA, NGA, NSA, NRO, and the IC IG. Topics discussed during the virtual meeting related to recent changes in law implementing the *Intelligence Authorization Act for Fiscal Years 2018, 2019, and 2020*, § 5334, review of Initial Allegation Categories, and hotline process changes and adjustments due to the COVID-19 pandemic.

## WHISTLEBLOWER WORKING GROUP

Due to the pandemic, the Whistleblower Working Group did not meet during the reporting period. However, the Center conducted a training and outreach event in conjunction with the Investigations Committee for whistleblower investigation practices. The Director of the Center discussed the recent revision to the IC IG's ERP procedures, trends in ERP requests, best practices for analyzing whistleblower reprisal allegations and report writing, and responded to questions. Several members expressed interest in having additional engagements and plans are underway to facilitate those requests.

*In March 2021 the Acting Inspector General of the Intelligence Community issued the following message in support of the Whistleblower program.*

As the Acting Inspector General of the Intelligence Community and a long-time member of the Intelligence Community (IC), I take seriously my oath to support and defend the Constitution and to faithfully discharge the duties of my office. My teammates in the Office of the Inspector General of the Intelligence Community (IC IG) and I are deeply committed to promoting economy, efficiency, and effectiveness, and to preventing fraud, waste, and abuse in the IC.

Whistleblowers are vital to the IC's mission. Whistleblowers lawfully share information about potential wrongdoing by "saying something" when they "see something" involving possible violations of law, rule, or regulation; gross mismanagement; gross waste of funds; abuse of authority; or dangers to public health or safety. By performing this crucial public service, whistleblowers help intelligence agencies address problems while also protecting national security information, and they assist inspectors general and Congress in performing their oversight responsibilities.

Whistleblowing has been encouraged and protected by law and policy since the Nation's founding. In

1778, the Second Continental Congress unanimously passed the first whistleblower protection, proclaiming that "it is the duty of all persons in service of the United States" to report wrongdoing to the proper authorities or Congress. Since then, Congress and Executive Branch agencies have enacted numerous other whistleblower protections to further encourage whistleblowers to lawfully disclose critical information about wrongdoing. These protections include the *Intelligence Community Whistleblower Protection Act of 1998*, Presidential Policy Directive 19, and Intelligence Community Directive 120. These and other authorities generally protect whistleblower confidentiality and prohibit retaliation against those who lawfully report alleged wrongdoing.

Whistleblowing also promotes the Principles of Professional Ethics for the Intelligence Community, particularly the principles of Lawfulness, Integrity, and Stewardship. Whistleblowing also is consistent with ODNI's core values, including Courage.

This website contains information about how to report matters and how such reports are handled, and it explains the protections available to whistleblowers.

It also gives some illustrative examples of the types of wrongdoing that should be reported. I hope you find this website useful, and I welcome your feedback on how we can make it better.

If you have information about potential wrongdoing in the IC, I encourage you to contact your agency's inspector general or the IC IG Hotline. Together, we can promote government accountability, strengthen the IC, uphold the rule of law, and better serve our great Nation. Thank you.



A handwritten signature in black ink that reads "Thomas A. Monheim". The signature is fluid and cursive.

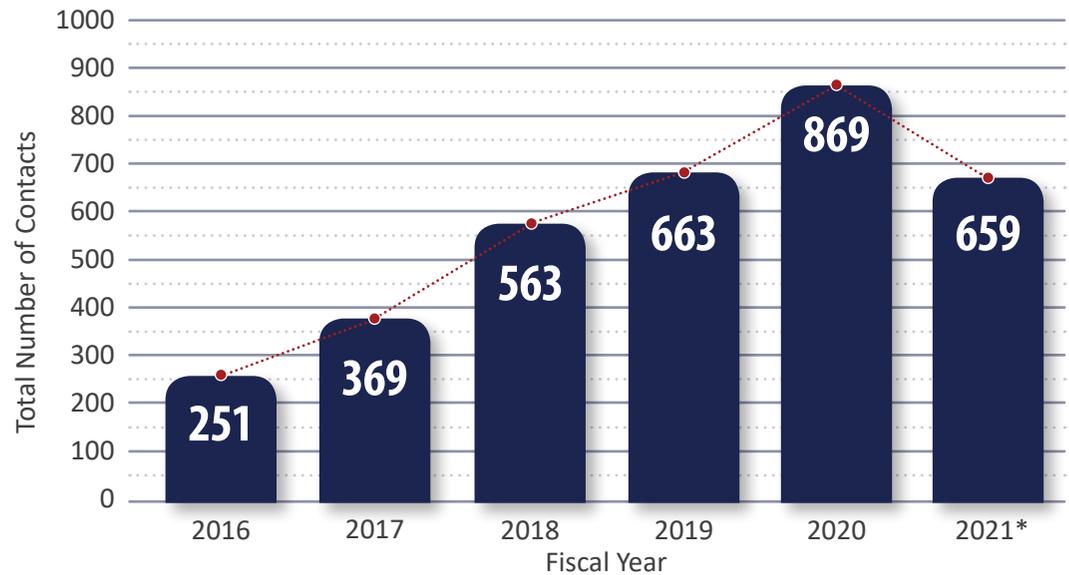
Thomas A. Monheim

Acting Inspector General of the  
Intelligence Community



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

## IC IG NEW CONTACTS LOGGED BY FISCAL YEAR



\*Includes IC IG Hotline matters processed during half the FY [October 2020-March 2021]

The last SAR unintentionally transposed the last two digits of the reported 896 new contacts for 2020. The number should have been 869, as reflected in the graphic above.

## NEW CONTACTS LOGGED THIS REPORTING PERIOD\*



\*Due to COVID-19, during this reporting period, the IC IG Hotline processed contacts received in the previous reporting period.

## METHODS OF CONTACT



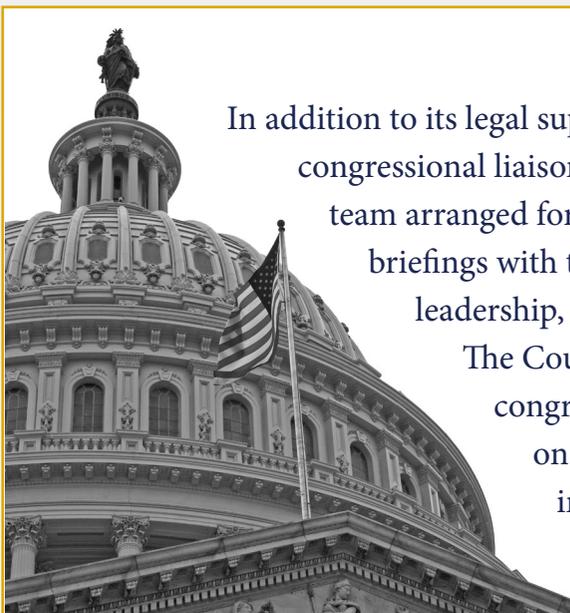
Additional details regarding Hotline reporting is available in the *Quarterly Report on Hotline Metrics and Trends*, issued March 25, 2021.

# COUNSEL TO THE INSPECTOR GENERAL

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

The Counsel team provides legal support and guidance designed to meet the unique needs of each IC IG component. In support of the Investigations Division, the Counsel team, among other things, highlights and provides advice on potential legal issues that may require additional or redirected investigative efforts throughout the investigative process. To support the activities of the Audit Division and the I&E Division, the Counsel team identifies and interprets key policy, contract, and legal provisions relevant to reported observations, findings, and recommendations. In support of the IC IG's whistleblower program, the Counsel team assists the Center in developing policies and procedures, evaluating whistleblower disclosures, and providing legal advice for ERPs. The Counsel team also provides enterprise legal and policy guidance, and reviews matters related

to IC IG personnel, administration, training, ethics, independence, and budgetary functions. Attorneys from the Counsel's office also participate in the Forum, the Forum's Counsels Committee, the IC IG Data Analytics Working Group, and working groups of the Five Eyes Intelligence Oversight and Review Council.



In addition to its legal support role, the Counsel team serves as the IC IG's congressional liaison. During the reporting period, the Counsel team arranged for and participated in several congressional briefings with the Acting Inspector General and senior IC IG leadership, including briefings to bipartisan, bicameral staff. The Counsel team also responded to formal congressional requests for information and reported on audits and reviews in response to congressional interest and legislative mandates.

# COUNSEL TO THE INSPECTOR GENERAL

## CONGRESSIONAL ENGAGEMENTS

- Provided two reports to the congressional intelligence committees in response to congressionally directed actions required by the *Intelligence Authorization Act for Fiscal Years 2018, 2019, and 2020*.
- Participated in multiple IC IG engagements on a bipartisan basis with staff of the congressional intelligence committees, including but not limited to the following: briefings for staff of the Senate Select Committee on Intelligence (SSCI), House Permanent Select Committee on Intelligence (HPSCI), Senate Appropriations Subcommittee - Defense (SAC-D), and House Appropriations Committee - Defense (HAC-D) regarding the IC IG's process for considering matters of "urgent concern" received pursuant to 50 United States Code § 3033(k)(5); a SSCI staff briefing regarding the IC IG's whistleblower intake process; and a briefing for SSCI staff regarding a particular purported "urgent concern" matter transmitted to the committees in December 2020.
- Responded to multiple letters, emails, and phone calls from the congressional intelligence committees, as well as other Members and congressional staff, to address questions regarding pending legislation and other matters within the IC IG's jurisdiction.
- Coordinated IC IG proposed language in the *Intelligence Authorization Act for Fiscal Year 2022* to amend 50 United States Code § 3033(g) to grant the IC IG testimonial subpoena authority.
- Coordinated IC IG responses to congressionally directed actions required by the *Intelligence Authorization Act for Fiscal Year 2021*.
- Participated in multiple engagements with GAO, including a virtual engagement between the Acting Inspector General and GAO in January 2021 regarding several topics of mutual interest, and hosted a briefing by GAO personnel during the March 2021 quarterly Intelligence Community Inspectors General Forum meeting.



# COUNSELS COMMITTEE

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

## During this reporting period, the Counsels Committee discussed and collaborated on key initiatives, including the following:



The Counsels Committee convened virtually to discuss updates and revisions to the IC IG's ERP Procedures for whistleblower reprisal claims, pursuant to Section 1106 of the *National Security Act of 1947*, as amended, 50 United States Code § 3236, and Presidential Policy Directive 19. These procedures were finalized and implemented in December 2020.

The Counsels Committee commented on and assisted in drafting the IC IG's recommendations regarding whistleblower appeals relating to reprisal complaints against Inspectors General, in response to Section 5332 of the *Intelligence Authorization Act for Fiscal Years 2018, 2019, and 2020*. These proposals were finalized and submitted to the congressional intelligence committees in February 2021.

The Counsels Committee commented on and assisted in drafting the IC IG's recommendations regarding the harmonization of authorities and procedures governing whistleblower matters in the IC, in response to Sections 5333 and 6713 of the *Intelligence Authorization Act for Fiscal Years 2018, 2019, and 2020*. The *Report on Intelligence Community Whistleblower Matters & Harmonization of Processes and Procedures* was finalized and submitted to the congressional intelligence committees in March 2021.

# THE CODIIM

## INTELLIGENCE COMMUNITY INSPECTORS GENERAL FORUM

One of the most significant ways the Inspector General of the Intelligence Community works to improve integration of the IC is through the Forum. By statute, the Forum consists of 12 statutory or administrative Inspectors General with oversight responsibility for an element of the IC. The IC IG is the Chair of the Forum.

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



Office of the Inspector General of the Intelligence Community (CHAIR)



Central Intelligence Agency  
Office of the Inspector General



Defense Intelligence Agency  
Office of the Inspector General



Department of Defense  
Office of the Inspector General



Department of Energy  
Office of the Inspector General



Department of Homeland Security  
Office of the Inspector General



Department of Justice  
Office of the Inspector General



Department of State  
Office of the Inspector General



Department of the Treasury  
Office of the Inspector General



National Geospatial-Intelligence Agency  
Office of the Inspector General



National Reconnaissance Office  
Office of the Inspector General



National Security Agency  
Office of the Inspector General

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# THE FORUM MEETING SUMMARIES

The Forum held two meetings during the reporting period.

## DECEMBER

At the first session in December, the group received an update on the status of the Joint Duty Assignment (JDA) program tailored specifically for the IC OIGs. This project, spearheaded by the Forum's Deputies Committee, will provide the workforce greater flexibility for professional development opportunities. The Forum also addressed its 2005 Charter and the need to update governance related to its committees, policies, and procedures. Prior to the conclusion of the meeting, each IG reflected on the calendar year (CY) 2020 (including challenges and accomplishments) and provided a short preview of planned activities and opportunities for CY 2021.

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## MARCH

The second meeting, held in March, included a briefing by members of GAO's Strategic Warfare and Intelligence team. The Forum received an update on recently completed and on-going GAO projects related to the IC, addressed topics of mutual concern, and explored potential areas for coordination and collaboration. Following the session with GAO, the Forum discussed the *Intelligence Authorization Act for Fiscal Year 2021* and the status of provisions and congressionally directed actions set forth by the *Intelligence Authorization Act for Fiscal Years 2018, 2019, and 2020*.

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*The Forum will reconvene in June 2021.*

## DEPUTIES COMMITTEE

The Deputies Committee, led by the Principal Deputy Inspector General, convened in late February. The Assistant Director of National Intelligence for Human Capital joined the meeting to discuss topics relevant to the JDA program such as job postings, clearance and reciprocity concerns, performance management evaluations, and reimbursable versus non-reimbursable assignments. The Deputies Committee looks forward to the program's launch in the near future.

The group also addressed other topics of importance to the Inspector General community to include the health and safety of the workforce, the IC Inspectors General Awards selection process, transition-related efforts, and future projects. The Deputies Committee is scheduled to meet again in May 2021.

# THE INSPECTOR GENERAL COMMUNITY

This year marks the 43rd anniversary of the *Inspector General Act of 1978*. President Jimmy Carter signed the Act and described the new statutory Inspectors General as “perhaps the most important new tools in the fight against fraud.” The IC IG, one of 74 Inspectors General collectively overseeing the operations of nearly every aspect of the federal government, looks forward to continuing to work with the Council of the Inspectors General on Integrity and Efficiency (CIGIE) on important issues that significantly affect productivity, transparency, and accountability throughout the federal government.



## Oversight.gov

**SORT. SEARCH. FILTER.**

*Oversight.gov* provides a “one stop shop” to follow the ongoing oversight work of all OIGs that publicly post reports. CIGIE manages the website on behalf of the federal Inspector General community. The IC IG, like other OIGs, will continue to post reports to its own website as well as to *Oversight.gov* to afford users the benefits of the website’s search and retrieval features.



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

In addition, the site features a user-friendly map that allows users to find reports based on geographic location, and contact information for each OIG’s hotline. Users can receive notifications when new reports are added to the site by following @OversightGov, CIGIE’s Twitter account.

# RECOMMENDATIONS

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Following publication of an inspection report, the IC IG's Inspections and Evaluations Division interacts with the inspected elements at least quarterly to ensure actions are taken to implement report recommendations. A description of the actions are entered into the IC IG's recommendations tracking database. Inspections and Evaluations leadership has the responsibility for approving the closure of a recommendation once it has been demonstrated that responsive actions have met the intent of a recommendation. The Inspections and Evaluations Division may revisit closed recommendations to ensure there is no slippage or back-tracking in their fulfillment or to inform follow-on reviews.

For the ODNI to realize the maximum benefit from IC IG audits, management should ensure that adequate corrective action is taken in a timely manner to address audit recommendations. The Audit Division closely monitors implementation of its recommendations through continuous communication with stakeholder points of contact on progress and actions. The status of open recommendations is periodically conveyed to ODNI senior managers. The Audit Division issues a memorandum for formal closure when it determines that all recommendations in a report have been addressed.

## RECOMMENDATIONS TABLE

	REPORT NAME	DATE ISSUED	TOTAL ISSUED	NEW THIS PERIOD	CLOSED THIS PERIOD	CURRENTLY OPEN
FY 2020	Audit: Office of the Director of National Intelligence's Government Travel Card Program	July	11	0	4	6
	Audit: FY 2019 Independent Evaluation of <i>Federal Information Security Modernization Act</i> (FISMA)	October	2	0	0	2
	Inspection: ODNI's Oversight of Intelligence Community Major Systems Acquisition Cybersecurity Risks	November	7	0	2	3
FY 2019	Audit: Office of the Director of National Intelligence's FY 2018 Conference Spending	September	2	0	0	2
	Audit: Management of Privileged Users of Office of the Director of National Intelligence Information Systems	September	9	0	0	9
	Inspection: Assessment of the ODNI Methods Used to Substantiate Post-Secondary Education Claims Made by ODNI Employees Subsequent to Entry-on-Duty	August	7	0	0	7
	Audit: FY 2018 Independent Evaluation of <i>Federal Information Security Modernization Act</i> (FISMA)	February	11	0	0	10
	Inspection: Cyber Threat Intelligence Integration Center	January	9	0	4	3
FY 2018	Inspection: Assessment of IC Information System Deterrence, Detection, and Mitigation of Insider Threats	March	4	0	1	0
	Inspection: <i>IC Freedom of Information Act</i> (FOIA) Programs	September	10	0	0	3
	Audit: Memorandum to the Chief Operating Officer re: Charge Card Program	August	2	0	0	1

### RECOMMENDATIONS TABLE

REPORT NAME	DATE ISSUED	TOTAL ISSUED	NEW THIS PERIOD	CLOSED THIS PERIOD	CURRENTLY OPEN
FY 2017 Inspection: Assessment of ODNI Information System Deterrence, Detection, and Mitigation of Insider Threats	September	19	0	0	1
	TOTALS	93	0	11	47

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# ABBREVIATIONS AND ACRONYMS

The Center ..... Center for Protected Disclosures  
CIA ..... Central Intelligence Agency  
CIGIE ..... Council of the Inspectors General on Integrity and Efficiency  
COVID-19 ..... Coronavirus 2019  
CY ..... Calendar Year  
DIA ..... Defense Intelligence Agency  
DNI ..... Director of National Intelligence  
ERP ..... External Review Panel  
FBI ..... Federal Bureau of Investigation  
FISMA ..... Federal Information Security Modernization Act of 2014  
FOIA ..... Freedom of Information Act  
The Forum ..... Intelligence Community Inspectors General Forum  
FY ..... Fiscal Year  
GAO ..... Government Accountability Office  
HAC-D ..... House Appropriations Committee - Defense  
HPSCI ..... House Permanent Select Committee on Intelligence

I&E ..... Inspections and Evaluations  
IAA ..... Intelligence Authorization Act  
IC ..... Intelligence Community  
IC IG ..... Office of the Inspector General of the Intelligence Community  
ICWPA ..... Intelligence Community Whistleblower Protection Act  
JDA ..... Joint Duty Assignment  
MAC ..... Management Advisory Committee  
NGA ..... National Geospatial-Intelligence Agency  
NRO ..... National Reconnaissance Office  
NSA ..... National Security Agency  
ODNI ..... Office of the Director of National Intelligence  
OIG ..... Office of the Inspector General  
PPD ..... Presidential Policy Directive  
SAC-D ..... Senate Appropriations Committee - Defense  
SSCI ..... Senate Select Committee on Intelligence



Office of the Inspector General of the Intelligence Community

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