



# INSPECTOR GENERAL

*U.S. Department of Defense*



## COMPENDIUM OF OPEN OFFICE OF INSPECTOR GENERAL RECOMMENDATIONS TO THE DEPARTMENT OF DEFENSE

*as of March 31, 2021*

**Controlled by: DoD OIG/AUD-ALSO-FQAD**

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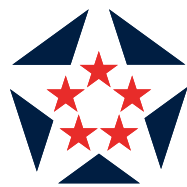


## MISSION

To detect and deter fraud, waste, and abuse  
in Department of Defense programs and operations;  
Promote the economy, efficiency, and effectiveness of the DoD; and  
Help ensure ethical conduct throughout the DoD

## VISION

Engaged oversight professionals dedicated  
to improving the DoD



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**INSPECTOR GENERAL  
DEPARTMENT OF DEFENSE  
4800 MARK CENTER DRIVE  
ALEXANDRIA, VIRGINIA 22350-1500**

July 20, 2021

MEMORANDUM FOR SECRETARY OF DEFENSE

SUBJECT: Compendium of Open Office of Inspector General Recommendations  
to the Department of Defense

The DoD Office of Inspector General (DoD OIG) is issuing its fifth annual Compendium of Open Office of Inspector General Recommendations to the Department of Defense. As of March 31, 2021, the number of open DoD OIG recommendations has decreased from 1,602 on March 31, 2020, to 1,456. Of these open recommendations, 45 have identified potential monetary benefits totaling \$6 billion. DoD management has agreed to take corrective actions on 1,369 of the 1,456 open recommendations. The remaining 87 recommendations are considered unresolved because the DoD OIG and DoD Components have not agreed on corrective actions that meet the intent of the recommendation.

The DoD has provided supporting documentation that led to the closure of more than 2,900 recommendations in the past 4 years since the Compendium's original issuance in 2017. However, 1,072 recommendations reported in previous Compendiums remain open, and the DoD OIG has made an additional 527 recommendations in audit and evaluation reports that were issued since the previous Compendium, of which 384 are currently open.

The number of aged recommendations again increased, although at a much smaller rate than we noted in last year's Compendium. This year, the number of open recommendations more than 5 years old increased to 191, a 12 percent increase over the number of recommendations that were reported as more than 5 years old in last year's Compendium.

For the first time since we began issuing our annual Compendium, the number of unresolved recommendations has decreased considerably, with a 44 percent reduction since last year's Compendium. As in previous Compendiums, the vast majority (80 percent) of these recommendations were unresolved because the DoD Component did not provide adequate comments explaining how management planned to address the issues identified in either the draft or final report. For example, DoD management might indicate concurrence with a recommendation, but not explain the corrective actions it plans to take in order to implement the recommendation.

In addition to the recommendations discussed above, during the audits of the DoD's and DoD Components' FY 2020 financial statements, auditors issued notices of findings and recommendations related to material weaknesses, significant deficiencies, and non-compliance with laws and regulations. While these financial statement recommendations are not listed in this Compendium, we have included a chapter in the Compendium that discusses the FY 2020 audit as well as the process that the DoD OIG and independent public accounting firms will use to follow up on those recommendations.

Since the issuance of our first Compendium, the DoD has made progress in addressing open DoD OIG recommendations. However, opportunities for improvement still exist. DoD Management should continue to focus on unresolved recommendations, particularly those that have been unresolved for more than one year, and increase the focus on aged recommendations. In addition, the DoD should ensure timely implementation of pandemic-related recommendations, which will help ensure the safety of DoD personnel and efficient use of pandemic-related funding.

Thank you for your support of the work of the DoD OIG.



Sean O'Donnell  
Acting Inspector General



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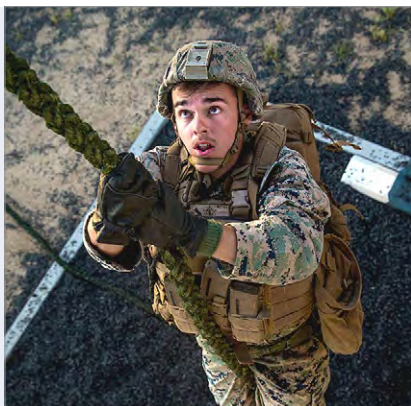
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## INTRODUCTION

The Department of Defense Office of Inspector General (DoD OIG) provides independent oversight of DoD programs and activities, in accordance with the Inspector General Act of 1978, as amended. Our mission is to detect and deter fraud, waste, and abuse in DoD programs and operations; promote the economy, efficiency, and effectiveness of the DoD; and help ensure ethical conduct throughout the DoD.

Pursuant to this mission, the DoD OIG conducts independent audits, evaluations, and investigations of DoD programs, operations, and personnel. Our audits, evaluations, and investigations result in reports that contain recommendations to improve program management and operations and to address fraud, abuse, mismanagement, and waste of DoD funds.

The DoD OIG tracks the status of recommendations made in audit, evaluation, and investigation reports to ensure that management actions are taken to implement the report's agreed-upon recommendations. Timely implementation of agreed-upon corrective actions is critical for DoD Components to improve the efficiency and effectiveness of DoD programs and operations, as well as to ensure integrity and accountability, reduce costs, manage risks, realize monetary benefits, and improve management processes.

The purpose of the Compendium is to summarize DoD OIG recommendations issued to DoD Components, and to provide transparency on the number and status of open recommendations. An open recommendation is a recommendation made in a previously issued DoD OIG report for which corrective actions have not been completed.

This Compendium of Open Recommendations to the DoD is the fifth edition issued by the DoD OIG. The first Compendium was issued in 2017, identifying 1,298 open recommendations, as of March 31, 2017. The following year, we issued



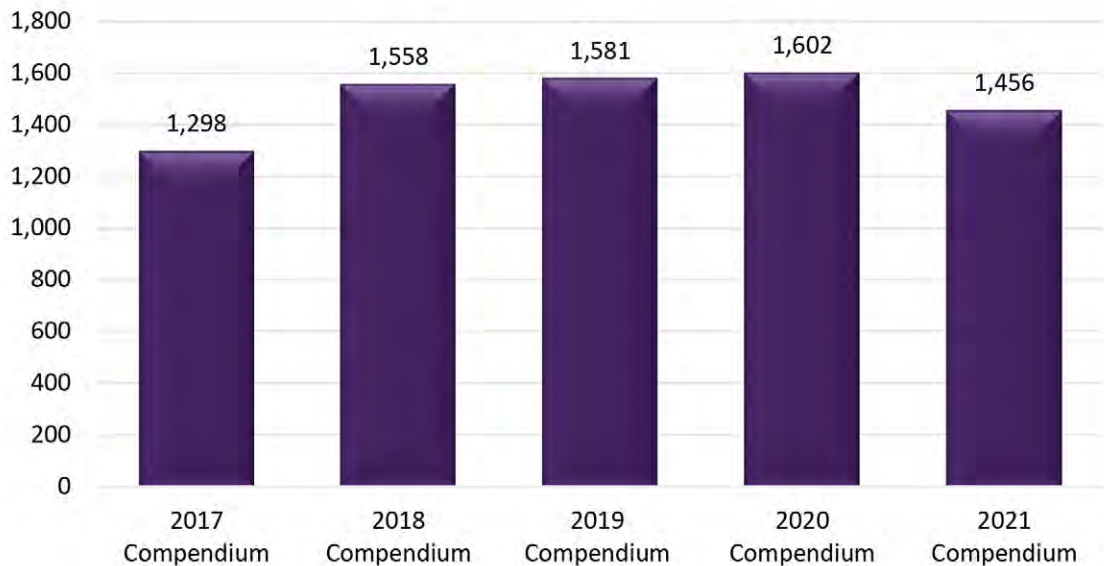
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the second Compendium, which identified 1,558 open recommendations, as of March 31, 2018, and noted an increase in the number of aged and unresolved recommendations. The third Compendium identified 1,581 open recommendations, as of March 31, 2019. This Compendium again noted an increase in aged recommendations compared to prior years while the number of unresolved recommendations remained consistent. In 2020, our fourth compendium reported 1,602 open recommendations, as of March 31, 2020, and noted significant increases in both unresolved and aged recommendations.

This year, the number of open recommendations decreased, as did the number of unresolved recommendations, while the aged recommendations increased marginally. As of March 31, 2021, the DoD had 1,456 open recommendations. Of the 1,456 open recommendations, all but 87 were agreed to by DoD management. The 1,456 open recommendations include 45 recommendations with \$6 billion in potential monetary benefits. The number of recommendations that are more than 5 years old had increased to 191.

Figure 1 illustrates the number of open recommendations that have been reported in each Compendium.

*Figure 1. Number of Open Recommendations Reported in Compendiums*



Source: The DoD OIG.

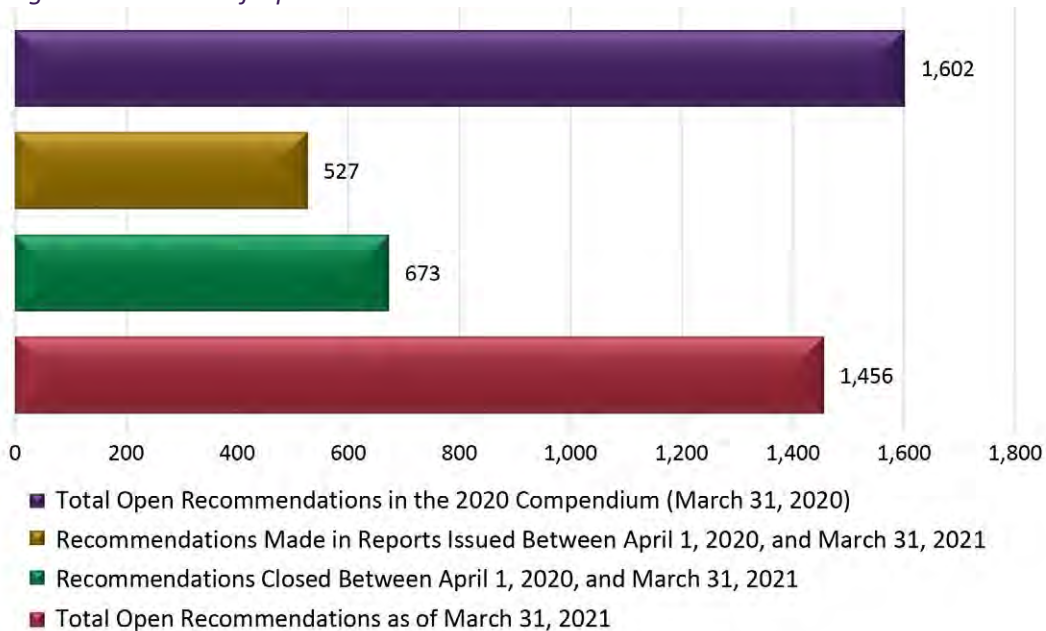
# INTRODUCTION

Since our last Compendium was issued, the DoD and DoD OIG have experienced various challenges as the world dealt with the coronavirus disease–2019 (COVID-19) pandemic. While we continued to issue reports, the focus of much of our work shifted to pandemic-related work. Between April 1, 2020, and March 31, 2021, the DoD OIG issued 23 reports related to the pandemic. These reports included 65 recommendations, 14 of which have closed. Unclassified reports and recommendations related to pandemic oversight can be found at [www.pandemicoversight.gov](http://www.pandemicoversight.gov).

DoD management has taken action or provided documentation that enabled the DoD OIG to close 530 of the 1,602 (33 percent) recommendations listed in the 2020 Compendium, including 7 of the 35 (20 percent) identified as high priority, and 16 of the 51 (31 percent) with potential monetary benefits, totaling more than \$907.5 million. Achieved monetary benefits were \$71.4 million for these 16 recommendations.

The DoD OIG made 527 new recommendations in reports issued between April 1, 2020, and March 31, 2021. During this same timeframe, the DoD OIG closed 673 recommendations, based on actions taken and information provided by DoD management. The remaining 1,456 open recommendations are reported in this Compendium. Figure 2 summarizes the number of recommendations opened and closed by the OIG since last year’s Compendium.

*Figure 2. Number of Open Recommendations*



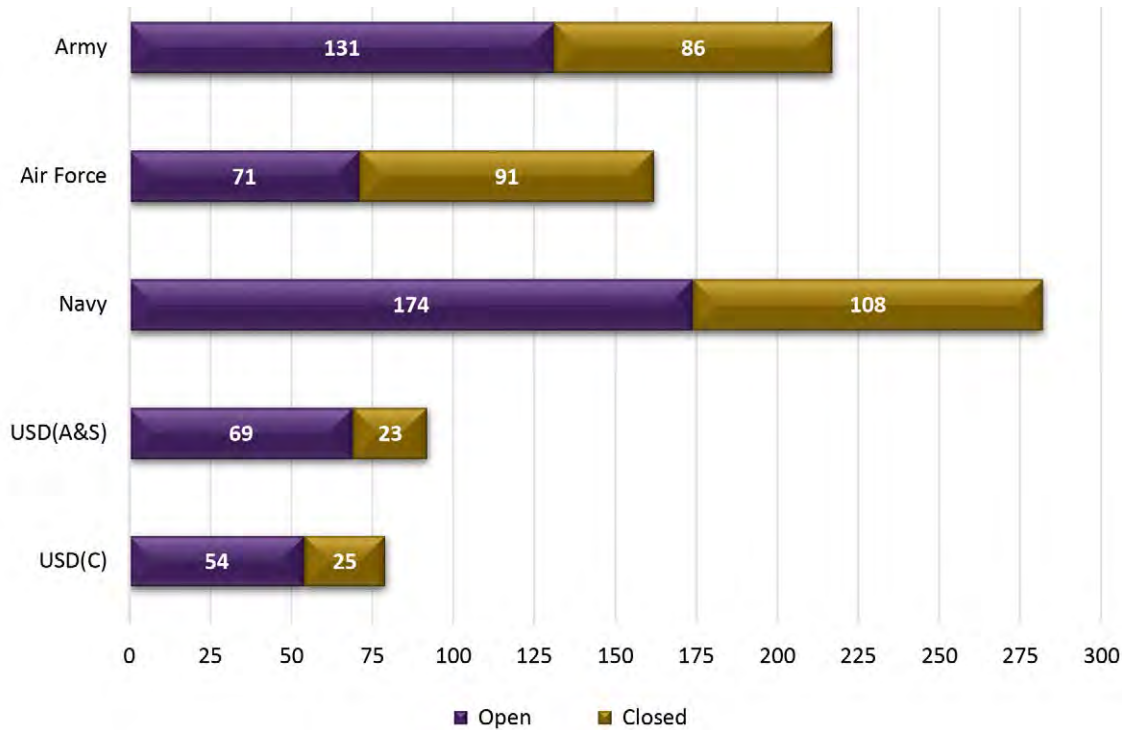
Source: The DoD OIG.

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The 2020 Compendium reported that the five DoD Components with the most open recommendations were the Navy, Army, Air Force, Under Secretary of Defense for Acquisition and Sustainment (USD[A&S]), and Under Secretary of Defense (Comptroller) (USD[C]).

Figure 3 shows the progress these five DoD Components have made in closing the recommendations reported in the 2020 Compendium.<sup>1</sup> Between March 31, 2020, and March 31, 2021, these five Components have collectively closed 333 open recommendations identified in the prior Compendium.

*Figure 3. Number of Recommendations Closed by the Five DoD Components With the Highest Number of Open Recommendations in the 2020 Compendium*



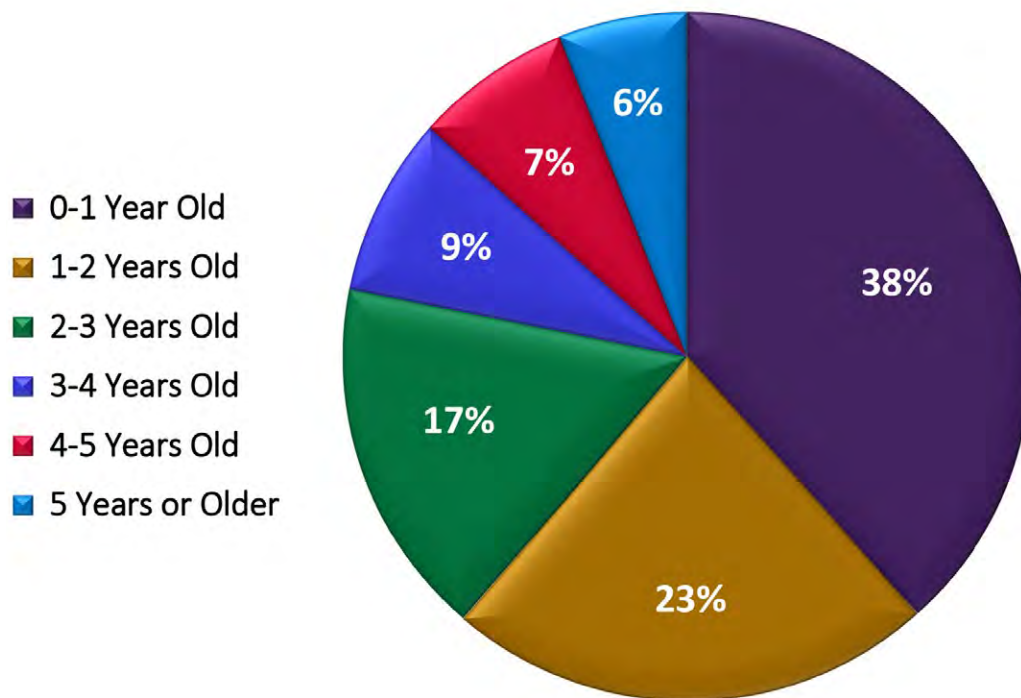
Source: The DoD OIG.

<sup>1</sup> These figures do not include recommendations that have transferred to or from one DoD Component to another.

# INTRODUCTION

Since the issuance of the original Compendium, the DoD has closed more than 2,900 recommendations, including 124 recommendations with \$37.2 billion in potential monetary benefits. Achieved monetary benefits were \$803.3 million for these 124 recommendations. Figure 4 shows the age of the 2,900 recommendations at the time they were closed. More than half of the recommendations (61 percent) closed since March 31, 2017, were less than 2 years old.

*Figure 4. Age of Recommendations Closed Since March 31, 2017*



Source: The DoD OIG.

Despite the challenges over the past year, the DoD has continued to provide documentation that supported closing recommendations. We believe that DoD leadership should continue to focus attention on the implementation of open recommendations, with particular attention on aged recommendations and recommendations related to the pandemic, since the number of aged recommendations continued to grow this year and action on the pandemic-related recommendations is integral to ensuring safety of DoD personnel and effective use of pandemic-related funding.

# INTRODUCTION

## 2021 Compendium

The 2021 Compendium lists the number, type, age, and status of 1,456 open recommendations, as of March 31, 2021.

In this Compendium, we highlight the 20 high-priority open recommendations made in 14 DoD OIG reports issued between July 2014 and August 2020 that we believe, if implemented, have the potential to result in significant improvements to DoD operations.<sup>2</sup> We provide, in each summary of the open recommendations, an overview of the DoD OIG project that produced the recommendations and why the recommendations are important. The summaries also include the implementation status of the recommendations and a description of information or actions required to close each recommendation. Recommendations that are not included in our list of high-priority recommendations are still important and warrant the full attention of the DoD.

This Compendium also summarizes 45 recommendations made in 25 OIG reports issued between July 2013 and February 2021 that identified \$6 billion in potential monetary benefits that the DoD could potentially achieve if management implemented the recommendations.

We also identify the 191 recommendations that have been open for at least 5 years. These recommendations were issued to 26 DoD Components in 69 reports.

In addition, this Compendium identifies 87 recommendations for which the DoD OIG and DoD Components have not agreed on corrective actions that, if implemented, would resolve the deficiencies identified by the associated findings. For 70 of the 87 recommendations, DoD management has either not provided a response or the response did not adequately address the recommendation. For the remaining 17 recommendations, DoD management disagreed with the recommendation. DoD Components could greatly reduce the number of unresolved recommendations by either clarifying or being more specific in their responses to the recommendations or proposing alternative actions to address the associated findings. For example, DoD management might indicate concurrence with a recommendation, but not explain the corrective actions it plans to take in order to implement the recommendation.

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<sup>2</sup> Of these high-priority recommendations, 17 are summarized in Chapter 1 and 3 are summarized in Appendix B.



## INTRODUCTION

Each year, the DoD and its Components prepare Financial Reports to communicate their financial position and results of their operations. In FY 2020, the DoD OIG audited the DoD's financial statements and oversaw five independent public accounting firms' audits of the 24 DoD Components' financial statements. The fundamental purpose of a financial statement audit is to express an opinion on whether management's financial statements are fairly presented, in all material respects, in accordance with Generally Accepted Accounting Principles. These annual audits result in numerous Notices of Finding and Recommendations (NFRs). NFRs express to management the weaknesses in financial processes, the impact of those weaknesses, and the reason the weaknesses exist. NFRs also communicate recommendations for how to correct the weaknesses. In February 2021, the DoD OIG issued the report, "Understanding the Results of the Audit of the DoD FY 2020 Financial Statements." The purpose of this report is to summarize in terms understandable to non-auditors the progress made by the DoD, the findings of the DoD's financial statement audits, and the additional actions the DoD should take to address the overall findings of the audit. This Compendium provides information related to the overall results of the FY 2020 Audit and discusses the followup process associated with its findings and recommendations.

Appendix A includes a series of charts to show the progress that each DoD Component has made since the 2018 Compendium. Prior to the listing of open recommendations for each DoD Component, we present graphics and statistics depicting the number of recommendations reported for each DoD Component in each Compendium, as well as the number of recommendations that have been implemented. We also list the number of recommendations that are unresolved or aged, and the potential monetary benefits associated with the open recommendations.

Additionally, we include information related to classified open recommendations in Appendixes B, C, and D of this Compendium. The DoD OIG will provide the classified Appendixes to appropriate officials in the DoD and congressional committees.

We believe that DoD senior managers should continue to focus attention on implementing open recommendations and ensure that prompt resolution and action is taken, as required by DoD Instruction 7650.03.<sup>3</sup> In particular, DoD managers should:

- provide timely responses to each recommendation made in DoD OIG reports;
- clearly state whether management agrees with the recommendation, as well as any potential monetary benefits, in its response to the draft report;

<sup>3</sup> DoD Instruction 7650.03, "Follow-up on Government Accountability Office (GAO), Inspector General of the Department of Defense (IG DoD), and Internal Audit Reports," December 18, 2014 (incorporating change 1, January 31, 2019).

## INTRODUCTION

- provide a specific action plan with milestones on how the recommendation will be implemented when management agrees with the recommendation;
- propose alternative corrective actions to address underlying issues when management agrees that there is an issue that needs to be addressed, but does not agree with the DoD OIG recommended solution;
- provide a rationale and supporting documentation when DoD management disagrees with a finding or recommendation;
- communicate with the DoD OIG if management has questions about the intent of a recommendation or the adequacy of its intended actions; and
- when requesting closure of a recommendation, provide: (1) a written explanation of the action taken to implement each recommendation; and (2) documentation to support the actions that have been taken.





## SUMMARY OF OPEN RECOMMENDATIONS

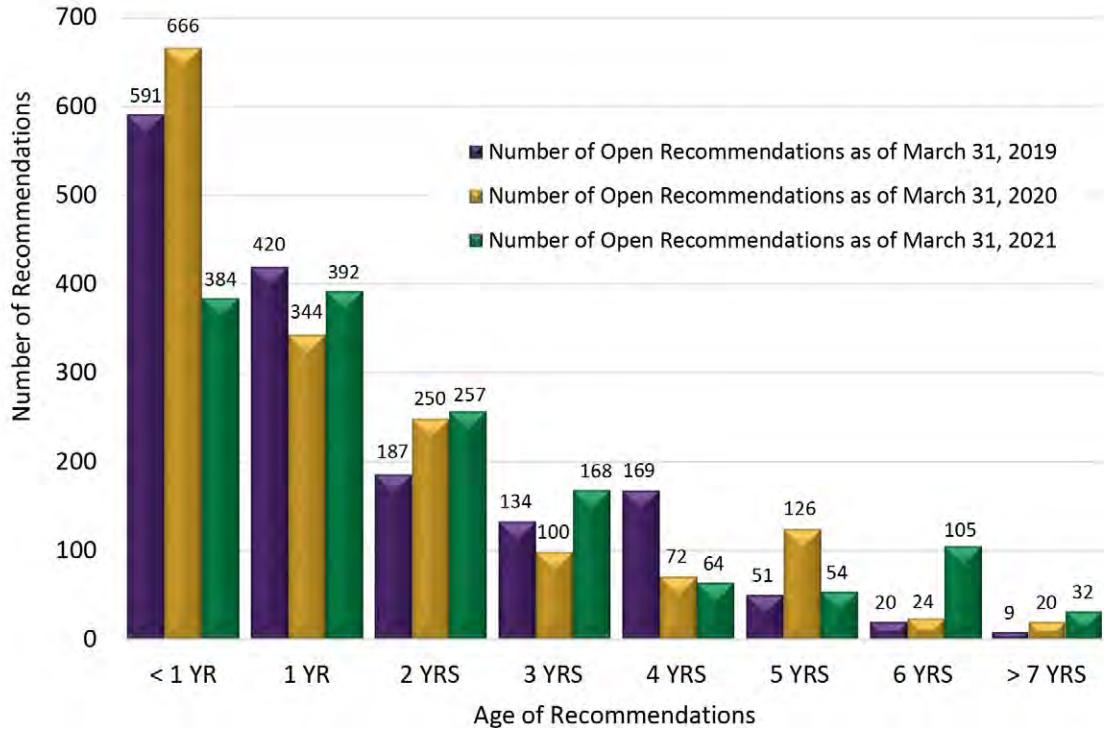
As of March 31, 2021, there were 1,456 open recommendations from DoD OIG reports, with the oldest recommendation being nearly 15 years old. The number of open recommendations by age is shown in Figure 5.<sup>4</sup> Of the 1,456 recommendations, 222 are classified and listed in Appendixes B, C, and D.

Since the first Compendium was issued in 2017, the number of recommendations that are at least 5 years old has increased from 27 to 191. Although there are different reasons for the aging of recommendations, we determined that one of the biggest challenges pertains to the revision or implementation of policies, procedures, and guidance. Of the 191 recommendations, 60 were related to revising or implementing policy and guidance. Other factors that contribute to the aging of recommendations include the development and implementation of systems and ongoing litigation.

<sup>4</sup> For tracking purposes, recommendations made to multiple Components are split into individual recommendations for each Component. For example, one recommendation made to the Army, Navy, and Air Force would equate to three recommendations for tracking purposes.

# SUMMARY OF OPEN RECOMMENDATIONS

Figure 5. Number and Age of Open Recommendations as of March 31, 2021



Source: The DoD OIG.

Of the 1,456 open recommendations, DoD management has agreed to take corrective actions on 1,369 recommendations. The remaining 87 open recommendations are considered unresolved until the DoD OIG and DoD Components reach an agreement on the report recommendations and the planned corrective actions to implement or address those recommendations.

In addition, we believe that the DoD could achieve \$6 billion in potential monetary benefits by implementing 45 of the 1,456 recommendations.

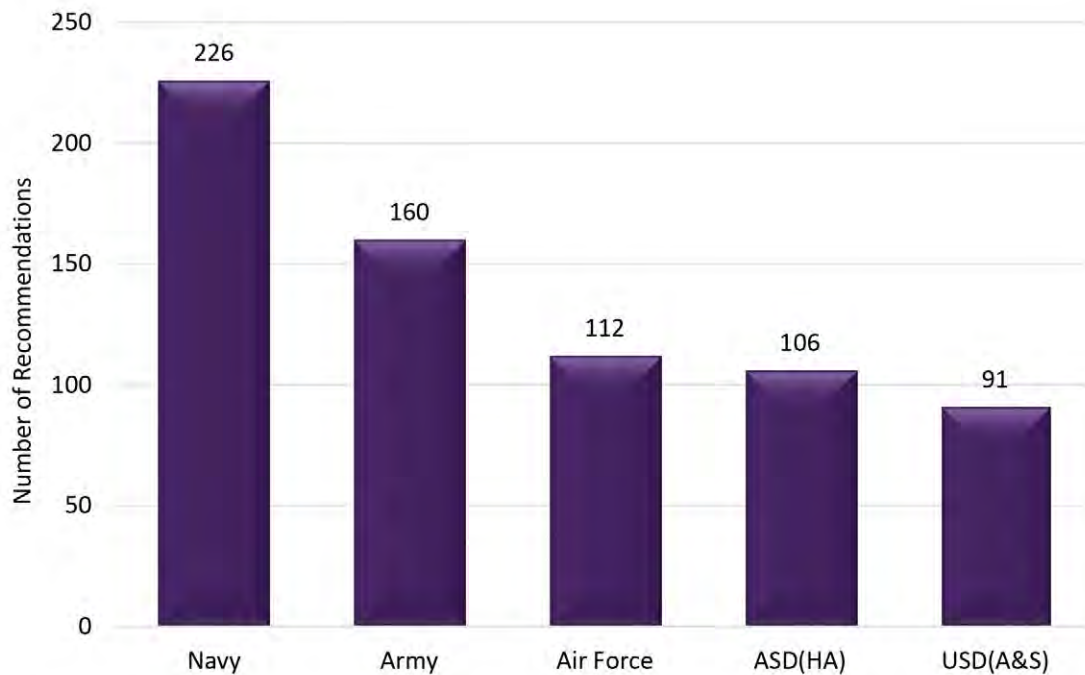
## DoD Components With the Most Open Recommendations

The 1,456 open recommendations were issued to 48 DoD Components through 306 reports. Figure 6 presents the five DoD Components with the most open recommendations. These five Components collectively have 695 open recommendations, which represent 48 percent of all open recommendations.

## SUMMARY OF OPEN RECOMMENDATIONS

Four of these DoD Components have had the most open recommendations in all five Compendiums. However, this year the Assistant Secretary of Defense for Health Affairs (ASD[HA]) has replaced the OUSD(Comptroller) (OUSD[C]) as the fifth DoD Component with the most open recommendations. Since the last Compendium, the DoD OIG has made 44 new recommendations to the ASD(HA), while only 12 were closed. In addition, six recommendations were transferred to the ASD(HA) from other DoD Components. During the same timeframe, the OUSD(C) closed more recommendations than were opened, reducing the number of open recommendations to 77. Although the Navy, Army, and Air Force have consistently been in the Top 5 DoD Components with the most recommendations, this year they have all made significant progress in reducing their numbers of open recommendations, with decreases of 20, 26, and 31 percent, respectively.

Figure 6. DoD Components With the Most Open Recommendations as of March 31, 2021



Source: The DoD OIG.



# SUMMARY OF OPEN RECOMMENDATIONS

## Topic Areas of Open DoD Recommendations

Recommendations made in DoD OIG reports cover a variety of topic areas. We grouped the 1,456 open recommendations into the following nine topic areas: Logistics, Intelligence, Acquisition Programs, Finance and Accounting, Information Technology Resources, Contractor Oversight, Health Care and Morale, Construction and Installation Support, and Other. The DoD OIG has issued several pandemic-related reports since the issuance of the last Compendium and 51 recommendations made in those reports remain open. These recommendations fall into the IT Resources and Health Care and Morale topic areas. The following sections describe each topic area and list the number of open recommendations in each area.

### Logistics

The logistics topic area focuses on the planning and execution of the movement and maintenance of military forces. This includes military operations involving the design, development, acquisition, storage, distribution, maintenance, evacuation, and disposition of material; transportation; housing of military personnel; acquisition or construction, maintenance, operation, and disposition of facilities; and acquisition or furnishing of services and medical and health support are within the logistics topic area.

There are 222 open recommendations related to logistics, covering such issues as maintenance and sustainment of military systems; transportation of arms, ammunition, and explosives by commercial ground carriers; timeliness of household goods shipments to DoD members; mitigation of challenges to parts availability within the planning process for depot-level repairs performed at Tobyhanna Army Depot; mission capable aircraft and aircrew to meet the U.S. Strategic Command's Operation Global Citadel Operations Order air refueling requirements; the Military Sealift Command readiness status reporting of its surge sealift ships; the Army plans and efforts to identify and address readiness challenges related to the active component brigade combat teams; and efforts to obtain full reimbursement for contracted air transportation services provided to Coalition partners in Afghanistan.

## SUMMARY OF OPEN RECOMMENDATIONS

### **Intelligence**

The intelligence topic area relates to the collection, processing, evaluation, analysis, and interpretation of available information concerning national security issues, foreign nations, hostile or potentially hostile forces or elements, or military operations.

There are 154 open recommendations related to intelligence, addressing such issues as the DoD supply chain risk management program for nuclear command, control, and communication systems; combatant command insider threat programs; processes for determining and fulfilling intelligence requirements for counterterrorism; performance measures and internal controls to oversee the integration of artificial intelligence into intelligence collection platforms to improve the processing, exploitation, and dissemination of intelligence; DoD oversight of combatant command intelligence interrogation approaches and techniques; and the capacity of the Military Services to fill combatant command requests for counterintelligence support.

### **Acquisition Programs**

The acquisition programs topic area focuses on the formulation and oversight of contracting strategies that support the procurement of defense acquisition programs, automated information systems, and special interest projects for the DoD.

There are 147 open recommendations related to acquisition programs, covering such issues as the purchase of aviation critical safety items; supply chain risk management for the sea-based Trident II Strategic Weapons System; the Army Integrated Air and Missile Defense program; the purchase of spare parts to meet F/A-18 E/F Super Hornet readiness requirements; the service acquisition executives management of defense acquisition category 2 and 3 programs; and the management of Government-owned property supporting the F-35 program and the F-35 Program Office's Beyond Economical Repair process to ensure that the decision to either replace or repair damaged parts was the most economical decision.

### **Finance and Accounting**

The finance and accounting topic area focuses on the processes of reporting on and conducting oversight of the DoD's financial transactions resulting from its operations, including the distribution and control of DoD funds and tracking of costs and obligations.

## SUMMARY OF OPEN RECOMMENDATIONS

There are 213 open recommendations related to finance and accounting, addressing such issues as the DoD civilian pay budgeting process; DoD FY 2019 compliance with the Improper Payments Elimination and Recovery Act requirements; the DoD accounting and financial reporting of Military Housing Privatization Initiative program transactions in DoD financial and property statements; billing and collection of delinquent medical service accounts and third party collection program medical claims; and the DoD financial management and accounting systems' solution for providing auditable financial statement information.

### **Information Technology Resources**

The information technology and resources topic area focuses on the use and protection of any equipment or system for storing, retrieving, controlling, and sending information. This category includes maintaining cybersecurity and protection of transmitted information and related resources, including personnel, equipment, funds, and systems or subsystems.

There are 277 open recommendations related to information technology, covering such issues as physical access and general application controls of DoD information technology systems; cybersecurity and protection against cyber attacks on critical infrastructure; security controls at DoD facilities, data centers, and laboratories that manage ballistic missile defense system technical information; DoD management of cybersecurity risks for Government purchase card purchases of commercial off-the-shelf items; the protection of patient health information at military treatment facilities; and the Combatant Commands' efforts to protect its assigned forces, execute mission-essential functions in a socially distanced environment, and maintain operational readiness while responding to the COVID-19 pandemic and the subsequent public health crisis.

### **Contractor Oversight**

The contractor oversight topic area focuses on the oversight and integration of contractor personnel and associated equipment providing support to DoD operations. Contractor oversight includes efforts to ensure that supplies and services are delivered in accordance with the terms and conditions of the contract.

There are 187 open recommendations related to contractor oversight, addressing such issues as the contractual maintenance requirements in the Contract Augmentation Program IV in Southwest Asia; fair and reasonable pricing determinations for ammonium perchlorate, grade 1 (oxidizer chemical used in solid rocket propellants) as a commercial

## SUMMARY OF OPEN RECOMMENDATIONS

item; management of undefinitized contract actions and energy savings performance contracts; Special Operations equipment meeting performance requirements during test and evaluation prior to program mission fielding; DoD efforts to combat trafficking in persons in Kuwait; and the contract costs for hurricane recovery efforts.

### **Health Care and Morale**

The health care and morale topic area focuses on measures to improve or maintain the mental and physical well-being of DoD personnel and their families to enable a healthy and fit force, prevent injury and illness, and protect individuals from health hazards.

There are 113 open recommendations related to health care and morale, covering such issues as the controls over opioid prescriptions at DoD military treatment facilities; DoD-provided health care for members of the Armed Forces reserve components; the DoD Suicide Event Report data quality assessment; Armed Forces Retirement Home inspections; health and safety hazards in Government-owned and Government-controlled military family housing; policies and procedures to respond to incidents of serious juvenile-on-juvenile misconduct, including sexual assault and sexual harassment; challenges and needs encountered by DoD medical treatment facility personnel while responding to the COVID-19 pandemic; and outpatient mental health access to care standards for active duty service members and their families.

### **Construction and Installation Support**

The construction and installation support topic area focuses on the management and oversight of military installations worldwide, including the construction, alteration, conversion, or extension of military installations.

There are 87 open recommendations related to construction and installation support, addressing such issues as the controls over the requirements development process for military construction projects; health, safety, and fire protection deficiencies in DoD facilities and military housing inspections; schedule delays and cost increases of Navy and U.S. Strategic Command construction projects; physical security controls to prevent unauthorized access to military treatment facilities, equipment, and sensitive areas; sustainment, restoration, and modernization of military medical treatment facilities; and the DoD's implementation of recommendations on screening and access controls for general public tenants leasing housing on military installations.

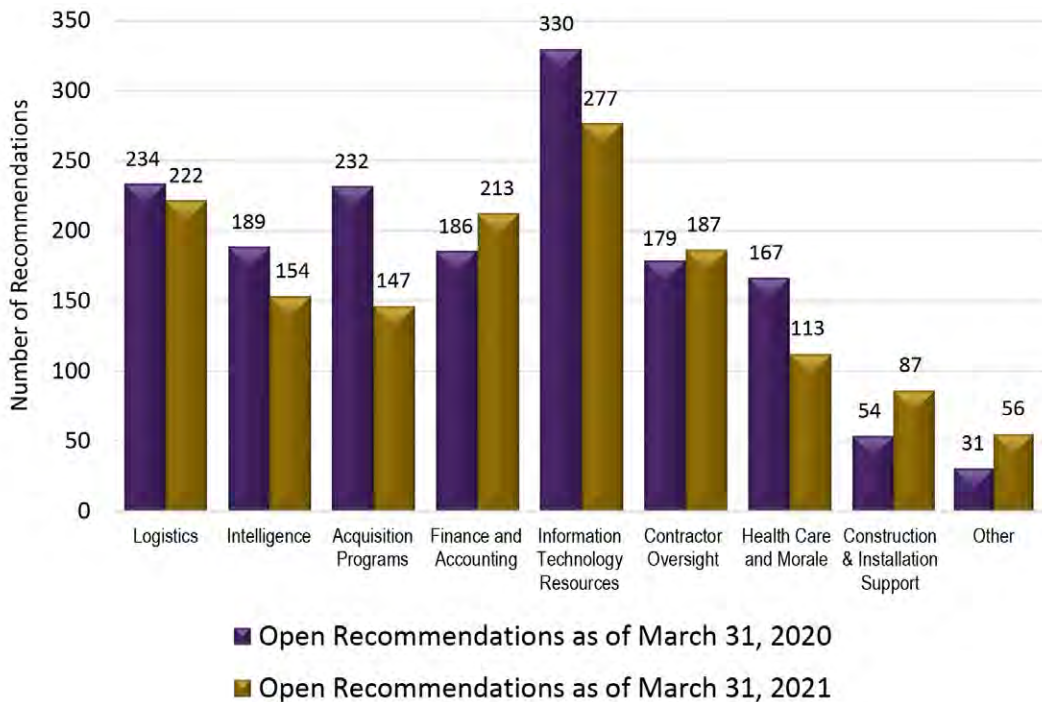
# SUMMARY OF OPEN RECOMMENDATIONS

## Other

Some DoD OIG recommendations do not fall into any of the previously discussed topic areas. For example, recommendations related to the environment, assessment of U.S. military cemeteries, and external peer reviews of DoD agencies. There are 56 recommendations in this category concerning issues such as the vetting of foreign faculty, nondisclosure agreements, travel, and payment of fees for guest lecturers (honoraria); use of protective security details for individuals designated as DoD high-risk personnel; identification and prioritization of DoD critical assets; the operation of U.S. military cemeteries; external peer reviews of DoD audit organizations; and the DoD Voting Assistance Programs.

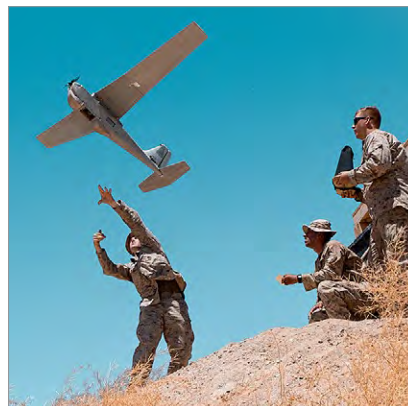
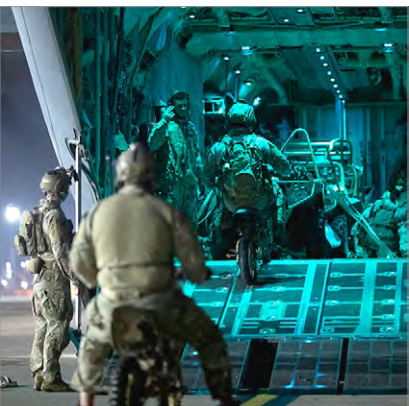
Figure 7 shows the number of open recommendations by topic area.

Figure 7. Total Open Recommendations by Topic Area



Source: The DoD OIG.





## BACKGROUND ON OIG FOLLOWUP PROCESS

DoD management and the DoD OIG share the responsibility to follow up on recommendations. DoD managers are responsible for implementing recommendations promptly. At the same time, the DoD OIG is responsible for assessing whether the agreed-upon corrective actions are taken and meet the intent of the recommendations.

### Policy for OIG Followup Process on Recommendations

The Inspector General Act of 1978, as amended, requires the DoD OIG to conduct independent audits, evaluations, and investigations of agency programs and operations.

Public Law 104-106, “National Defense Authorization Act for FY 1996,” requires the Secretary of Defense to make management decisions on all DoD OIG findings and audit recommendations within a maximum of 6 months after an audit report is issued. The Act also requires the Secretary of Defense to complete final action on each DoD management decision within 12 months after report issuance. If action is not completed within 12 months, the DoD OIG must identify the overdue actions in its Semiannual Report to the Congress until final action on the DoD management decision is completed.

The Office of Management and Budget (OMB) Circular No. A-50 Revised, “Audit Follow-Up,” September 29, 1982, defines followup as an integral part of good management and a shared responsibility between agency management officials and auditors. According to the Circular, implementation of OIG recommendations in a timely manner is essential to the DoD improving efficiency and effectiveness of programs and operations, as well as achieving integrity and accountability goals, reducing costs, managing risks, and improving management processes. The Circular requires

## BACKGROUND ON OIG FOLLOWUP PROCESS

each agency to establish systems to assure the prompt and proper resolution and implementation of audit recommendations, and it also requires that resolution be made within a maximum of 6 months after a final report is issued.

Resolution for most audits and evaluations is defined as the point at which the DoD OIG and agency management or contracting officials agree on the action to be taken in response to the findings and recommendations.

DoD Instruction 7650.03 requires the DoD OIG to evaluate corrective actions taken by DoD Components on DoD OIG reports. The Instruction states that the DoD OIG oversees and coordinates followup programs within the DoD and that heads of DoD Components will work with the DoD OIG to resolve disagreements between their respective DoD Components and the DoD OIG. Disagreements that are not resolved at a lower management level may be submitted to the Deputy Secretary of Defense for decision.

In January 2019, the “Good Accounting Obligation in Government Act” was signed into law.<sup>5</sup> This law requires each Federal agency, in its annual budget justification submitted to Congress, to report on the implementation status of open Government Accountability Office and OIG recommendations. Each agency must also report why the recommendations have not been fully implemented. The sponsors of this law have indicated that it is intended to stop wasteful spending in Federal agencies, bring accountability, and save taxpayer dollars. On January 29, 2021, the Director of Administration and Management provided the implementation status of more than 1,900 public open GAO and DoD OIG recommendations as part of DoD’s annual budget justification to Congress, and provided a copy of the information submitted to the GAO, and the DoD OIG.

Additionally, the Council of the Inspectors General on Integrity and Efficiency has developed a database ([www.oversight.gov](http://www.oversight.gov)) that includes open recommendations from participating OIGs across the Federal Government. The intent of this database, which launched in June 2020, is to improve the public’s access to OIG reports and to establish a public repository of information about open OIG recommendations. Since the database’s inception, the DoD OIG has been actively involved with this initiative, first by participating in the working group that developed the database and, currently, by uploading publicly available reports and recommendations on a regular basis.

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<sup>5</sup> Public Law 115-414, “Good Accounting Obligation in Government Act”

## BACKGROUND ON OIG FOLLOWUP PROCESS

### Recommendation Followup Process

Before a recommendation from a DoD OIG audit, evaluation, or investigative report is issued, the DoD OIG requests the views of DoD management regarding the report's findings, conclusions, and recommendations. DoD management is asked to provide written comments on the formal draft report, normally within 30 days of the draft report issue date. These written comments should:

- indicate whether DoD management agrees or disagrees with each finding and recommendation in the report;
- describe and provide the completion dates for corrective actions taken or planned;
- explain specific reasons for each disagreement; and
- propose alternative actions, if appropriate.

The DoD OIG also requests that DoD management comment on any potential monetary benefits identified in the report.

The DoD OIG reviews management comments to determine whether management's comments adequately address the report's recommendations.

The DoD OIG uses the following categories to describe management's comments on individual recommendations.

- **Unresolved** – Management has not agreed to implement the recommendation or has not proposed actions that will address the recommendation.
- **Resolved** – Management has agreed to implement the recommendation or has proposed alternative actions that will adequately address the underlying finding that generated the recommendation.
- **Closed** – The DoD OIG has verified that the agreed-upon corrective actions were implemented.

If DoD management agrees with the recommendations in the report, it should also provide information on the corrective actions that have been taken or are planned to be taken to implement the recommendation, and it should include estimated completion dates for the actions it intends to take to address the recommendations. The DoD OIG then assesses the corrective actions taken or proposed corrective actions and determines if the actions sufficiently meet the

## BACKGROUND ON OIG FOLLOWUP PROCESS

intent of the recommendations. Specifically, in the final report, the DoD OIG evaluates and summarizes the DoD management response to each finding and recommendation and provides a response to management's comments, including its comments on the recommendations as well as a brief description of the documentation that must be provided to close each recommendation.

After the DoD OIG categorizes each recommendation as unresolved, resolved, or closed, the final report is placed in the followup process. In this process, the DoD OIG monitors the status of DoD management's implementation of corrective actions and periodically requests updates from DoD management on the implementation status of open recommendations. The DoD OIG also reports data related to open recommendations in the OIG's Semiannual Report to the Congress.

The above example shows only after the DoD OIG has:

- reviewed information or supporting documentation provided by DoD management and concluded that the agreed-upon corrective actions or alternative actions that met the intent of the recommendations have been completed, or
- performed field verification to confirm that the stated corrective actions were taken.

Recommendations may also be closed when they are overtaken by events, are no longer relevant, or if implementation is not feasible. Although infrequent, closed recommendations may be reopened if we subsequently conclude that documentation provided by the DoD Component does not show that actions have been taken to fully implement the recommendation.

However, if DoD management has not agreed to implement the recommendations or has not proposed alternative actions that will address the recommendations, the recommendations are considered unresolved and remain open. For example, when DoD management disagrees with the recommendation, does not provide comments, or its comments do not fully address a recommendation, the DoD OIG may request additional comments in response to the final report and will coordinate with DoD management to address the missing information.

Generally, DoD management is requested to provide additional written comments on the final report within 30 days of the final report issue date. If DoD management does not provide comments on the final report, disagrees with the recommendations, or its comments do not fully address the recommendations, the recommendations remain

## BACKGROUND ON OIG FOLLOWUP PROCESS

unresolved. When DoD management disagrees with the recommendations and does not provide an acceptable alternate solution, the DoD OIG will start the resolution process and elevate the recommendation through multiple levels of management, as necessary.

Ultimately, any unresolved recommendation can be elevated to the Deputy Secretary of Defense (or other levels of Office of the Secretary of Defense management below the Deputy Secretary) if resolution is not reached at a lower level. Resolution of recommendations is generally achieved at lower levels of management. However, in the rare instance that resolution cannot be achieved at lower levels of management, the Deputy Secretary has final decision making authority on unresolved recommendations and the decision is binding on all parties. Nevertheless, pursuant to the Inspector General Act of 1978, as amended, the Deputy Secretary's final decision making authority to not implement an OIG recommendation does not infringe on the DoD OIG's statutory independence and responsibility to inform the Secretary of Defense and Congress concerning significant problems, abuses, and deficiencies related to DoD programs and operations, or management decisions with which the DoD OIG disagrees, through its Semiannual Reports to the Congress or a "Seven-Day Letter," if appropriate.<sup>6</sup>

In addition to the report followup process described above, the DoD OIG conducts followup audits and evaluations. The purpose of these reviews is to verify that corrective action has actually occurred, as agreed to in the DoD management response to the draft and final reports or during the resolution process, and to determine whether the problems identified in the findings still exist. The DoD OIG typically dedicates 10 percent of projects in its oversight plan to followup reviews.

Although not an official aspect of the followup process, after Washington Headquarters Services (WHS) personnel have compiled responses to the Good Accounting Obligation in Government Act (GAO-IG Act), WHS provides the information to the DoD OIG. The DoD OIG reviews the DoD's inputs to determine whether the information that is reported to Congress is consistent with DoD OIG records. In many cases, the DoD's reported status differs from the information that was provided to the DoD OIG in previous status updates. For example, DoD Components often state in their GAO-IG Act inputs that a recommendation has been implemented, although they did not submit a closure request to the DoD OIG. DoD Components also frequently include estimated completion dates in their GAO-IG Act inputs that were not provided to the DoD OIG.

<sup>6</sup> The Inspector General Act authorizes Inspectors General to report immediately to the agency principal particularly serious or flagrant problems, abuses, or deficiencies relating to the administration of programs and operations. Within 7 days, the agency principal must transmit the report and any comments to the appropriate committees or subcommittees of Congress.

## BACKGROUND ON OIG FOLLOWUP PROCESS

In such situations, the DoD OIG followup team reaches out to the DoD Components in an effort to reconcile the data. It is important for DoD Components to understand that all closure requests and updates to the status of DoD OIG recommendations must be sent to the DoD OIG, as the DoD OIG maintains the official records related to the status of open recommendations.

### Top DoD Management and Performance Challenges

Each year, the DoD OIG drafts a document explaining what the DoD OIG regards as the top management and performance challenges facing the DoD. The DoD OIG independently identifies these challenges based on a variety of factors, including independent DoD OIG research, assessment, and judgment; previous oversight work completed by the DoD OIG and other oversight organizations; congressional hearings and legislation; input from DoD officials; and issues highlighted by the media that are adversely affecting the DoD's ability to accomplish its mission.

The following are the top 10 management and performance challenges for FY 2021.

1. Maintaining the Advantage While Balancing Great Power Competition and Countering Global Terrorism
2. Building and Sustaining the DoD's Technological Dominance
3. Strengthening Resiliency to Non-Traditional Threats
4. Assuring Space Dominance, Nuclear Deterrence, and Ballistic Missile Defense
5. Enhancing Cyberspace Operations and Capabilities and Securing the DoD's Information Systems, Network, and Data
6. Transforming Data Into a Strategic Asset
7. Ensuring Health and Safety of Military Personnel, Retirees, and Their Families
8. Strengthening and Securing the DoD Supply Chain and Defense Industrial Base
9. Improving Financial Management and Budgeting
10. Promoting Ethical Conduct and Decision Making

The DoD OIG uses this document as a planning tool to determine where to allocate its audit, evaluation, and investigative resources. The DoD OIG also uses the top management and performance challenges as a guide for determining future oversight projects. While not all projects planned or undertaken address one of the challenges, the majority address at least one and some more than one.

## BACKGROUND ON OIG FOLLOWUP PROCESS

For additional information about the top management and performance challenges facing the DoD, visit: <http://www.dodig.mil/Reports/Top-DoD-Management-Challenges/>.

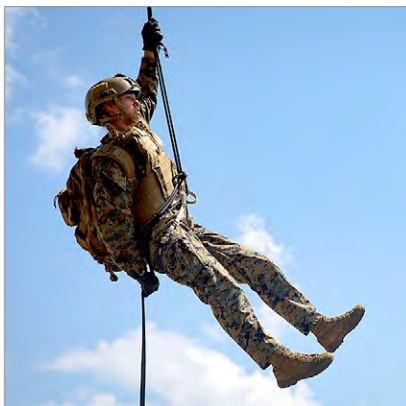
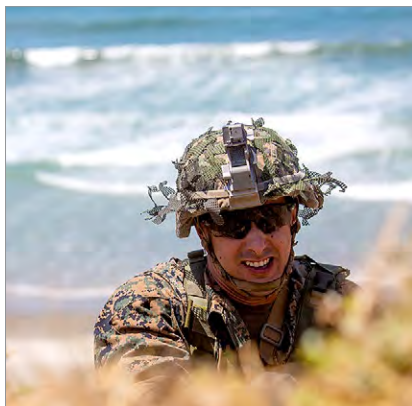


The next section of this Compendium summarizes 20 high-priority open recommendations. When describing the high-priority recommendations, the DoD OIG identified the DoD management and performance challenge(s) to which the recommendation relates. Nearly half of the high priority recommendations pertain to Enhancing Cyberspace Operations and Capabilities and Securing the DoD’s Information Systems, Network, and Data. The DoD continues to face sophisticated and evolving cyber-attacks from adversaries who are constantly attempting to exploit DoD cybersecurity vulnerabilities to gain unauthorized access to systems and networks. Recommendations made in DoD OIG reports can assist the DoD in identifying and correcting weaknesses, potentially preventing such unauthorized access.

Additional information about each recommendation discussed in the Compendium can be obtained by reviewing the associated reports that are available online at the DoD OIG website: <http://www.dodig.mil/reports.html/>.



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## CHAPTER 1

### High-Priority Open Recommendations

The DoD OIG identified 20 open recommendations, made in 14 DoD OIG reports, that the DoD should prioritize to ensure implementation of corrective actions in a timely manner. This section of the report describes 17 unclassified recommendations. Appendix B summarizes the remaining three recommendations, which involve classified information. The DoD OIG considered these 20 recommendations high-priority based on the recommendations' potential for improving the effectiveness of DoD operations, financial management, contract oversight, and health and well-being of military personnel and their families, or for achieving cost savings.

The first three reports listed include the four recommendations that we consider most significant to the DoD. The subsequent reports are listed chronologically, in the order they were issued. Recommendations that are not included in this list of high-priority recommendations are still important and warrant the full attention of the DoD.

The summaries of high-priority open recommendations in this section and Appendix B, each contain:

- the title of the report;
- the FY 2021 management and performance challenge most directly related to the report;
- the objective of the report;
- the key findings in the report;
- the key open recommendations,

## CHAPTER 1

- management’s response to the recommendations, which was provided to the DoD OIG when the final report was issued;
- the implementation status of each recommendation as of March 31, 2021;
- information required or requested from the DoD for the DoD OIG to close the recommendation; and
- an explanation of why the recommendations are important.

*U.S. Army SPC scans his sector*

*Source: U.S. Army.*



## CHAPTER 1

### **Report No. DODIG-2020-067, “Followup Audit on Corrective Actions Taken by DoD Components in Response to DoD Cyber Red Team-Identified Vulnerabilities and Additional Challenges Facing DoD Cyber Red Team Missions,” March 13, 2020 (Full Report is Classified)**

**FY 2021 Management Challenge** – Enhancing Cyberspace Operations and Capabilities, and Securing the DoD’s Information Systems, Networks, and Data

**Objective:** The objective of this audit was to determine whether DoD Cyber Red Teams and DoD Components took actions to correct problems identified in Report No. DODIG-2013-035, “Better Reporting and Certification Processes Can Improve Red Teams’ Effectiveness,” December 21, 2012.<sup>7</sup> In addition, the DoD OIG determined whether DoD Cyber Red Teams supported operational testing and combatant command exercises to identify network vulnerabilities, threats, and other security weaknesses affecting DoD systems, networks, and facilities, and whether corrective actions were taken to address DoD Cyber Red Team findings. The audit also assessed risks affecting the ability of DoD Cyber Red Teams to support DoD missions and priorities.

**(FOUO) Finding:** The DoD OIG determined that DoD Components did not consistently mitigate or include unmitigated vulnerabilities identified by DoD Cyber Red Teams during combatant command exercises, operational testing assessments, and agency-specific assessments in plans of action and milestones. Specifically, of the [REDACTED] DoD Cyber Red Team-identified vulnerabilities that the DoD OIG reviewed, DoD Components:

- **(FOUO)** mitigated [REDACTED] vulnerabilities,
- **(FOUO)** did not mitigate [REDACTED] vulnerabilities, and
- **(FOUO)** partially mitigated [REDACTED] vulnerabilities.

DoD Components did not consistently mitigate vulnerabilities or include unmitigated vulnerabilities in plans of action and milestones because they failed to assess the impact of the vulnerabilities to their mission, prioritize resources to implement risk mitigation solutions, or coordinate the results of DoD Cyber Red Team reports with stakeholders responsible for mitigating the vulnerabilities. In addition, the DoD did not have an

<sup>7</sup> DoD Cyber Red Teams are independent, multi-disciplinary groups of DoD personnel that are certified, accredited, and authorized to identify vulnerabilities that impact the confidentiality, integrity, or availability of DoD systems and networks by portraying the tactics, techniques, and procedures of adversaries.

organization responsible for ensuring that DoD Components took action to manage risks and vulnerabilities identified by DoD Cyber Red Teams, and the DoD did not establish processes that held DoD Components responsible for mitigating those vulnerabilities.

(FOUO) [REDACTED]

[REDACTED]. Ensuring DoD Components mitigate vulnerabilities is not only essential to achieving a better return on investment [REDACTED] DoD Cyber Red Team activities [REDACTED] alone), [REDACTED].

**Recommendation A.5.a:** The DoD OIG recommended that the Secretary of Defense assign an organization with responsibility to review and assess DoD Cyber Red Team reports for systemic vulnerabilities and coordinate the development and implementation of enterprise solutions to mitigate those vulnerabilities affecting DoD systems, networks, and operations.

**Recommendation A.5.b:** The DoD OIG recommended that the Secretary of Defense assign an organization with responsibility to ensure DoD Components develop and implement a risk-based process to assess the impact of DoD Cyber Red Team-identified vulnerabilities and prioritize funding for corrective actions for high-risk vulnerabilities.

**Management Response to the Recommendations:** The Deputy to the Principal Cyber Advisor, responding for the Secretary of Defense, agreed, stating that the DoD would review the roles, responsibilities, and processes for adjudicating, disseminating, and monitoring DoD Cyber Red Team activities, in conjunction with the joint assessment mandated by Section 1660 of the National Defense

<sup>8</sup> A Category 1 vulnerability is a critical vulnerability that if exploited, could immediately result in the loss of confidentiality, integrity, and availability of data.

## CHAPTER 1

Authorization Act for FY 2020 (NDAA 2020). The Deputy also acknowledged that the DoD must improve follow up and implementation actions to mitigate DoD Cyber Red Team findings affecting weapon systems, warfighting platforms, and defense critical infrastructure, but would defer assigning an organization until the DoD completes the joint assessment. Furthermore, the Deputy stated that while the DoD took action to meet Section 1660 requirements over the next 180 days, the Office of the Principal Cyber Advisor; the Director, Operational Test and Evaluation; Joint Staff; and U.S. Cyber Command would develop a plan to track and mitigate the unmitigated vulnerabilities identified in the DoD OIG report.

**(CUI) Implementation Status:** On February 24, 2021, the Deputy to the Principal Cyber Advisor notified the DoD OIG that the Principal Cyber Advisor, DoD Chief Information Officer, and Director of Test and Evaluation completed a joint assessment, in accordance with Section 1660 of the NDAA 2020, “Joint Assessment of Department of Defense Cyber Red Team Capabilities, Capacity, Demand, and Requirements.” The purpose of the assessment was to evaluate systemic issues faced by DoD Cyber Red Teams, as well as the processes and governance necessary to implement DoD Cyber Red Team findings. Overall, the joint assessment team produced several recommendations for improving DoD Cyber Red Team training standards, certification and accreditation procedures, tool development standards, and external partnerships. [REDACTED]

As of March 31, 2021, the DoD had not identified responsibilities for reviewing and assessing DoD Cyber Red Team reports for systemic vulnerabilities or required DoD Components to develop and implement a risk-based process to assess the impact of DoD Cyber Red Team-identified vulnerabilities and prioritize funding for corrective actions for high-risk vulnerabilities.

In addition to Recommendations A.5.a and A.5.b, this report contained 12 recommendations related to performing a joint DoD-wide mission-impact analysis to determine the number of DoD Cyber Red Teams, minimum staffing levels of each team, and the composition of the staffing levels needed to meet current and future DoD Cyber Red Team mission requests; revising guidance to include requirements for addressing DoD Cyber Red Team-identified vulnerabilities and reporting actions taken to mitigate those vulnerabilities; and assessing and prioritizing the risk of each unmitigated vulnerability identified in the Red Team assessments, taking immediate actions



to mitigate high-risk vulnerabilities, and including them on a command-approved plan of action and milestones. Of the 14 recommendations, 1 is closed and 13 remain resolved and open.

**Information Required to Close the Recommendations:** The DoD OIG will close Recommendations A.5.a and A.5.b once the Deputy to the Principal Cyber Advisor assigns an entity or position with the responsibility for DoD-level oversight of DoD Cyber Red Team findings and component-level vulnerability mitigation efforts. In addition, to close the recommendations the DoD OIG needs documentation that describes the DoD’s actions for assessing DoD Cyber Red Team assessments for systemic vulnerabilities, implementing enterprise solutions to mitigate systemic vulnerabilities, and requiring a risk-based process to assess the impact of DoD Cyber Red Team-identified vulnerabilities. These recommendations have been open for 1 year. This is the first year these recommendations have appeared on the Compendium’s list of high-priority recommendations.

*U.S. Navy cadet from practices her offensive cybersecurity skills to compromise modern wireless networks and web*

*Source: U.S. Navy.*



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**Why the Recommendations Are Important:** With the recent and constant attempts to compromise DoD networks and systems, assessing DoD Cyber Red Team reports for systemic vulnerabilities and the impact of those vulnerabilities, and prioritizing funding to address high-risk vulnerabilities, are still valid and critical to protect DoD information networks, systems, and infrastructure. Although the DoD uses DoD Cyber Red Team to identify vulnerabilities that affect the confidentiality, integrity, and availability of DoD systems and networks, the DoD has not identified an organization with oversight responsibility. The organization would be responsible for assessing DoD Cyber Red Team reports for systemic vulnerabilities, and ensuring DoD Components assessed the impact of DoD Cyber Red Team-identified vulnerabilities and prioritize funding to mitigate high-risk vulnerabilities. Without an organization to identify systematic vulnerabilities and to ensure DoD Components review, assess, and mitigate those vulnerabilities, the DoD will be unable to limit malicious actors from constantly compromising weapon systems, warfighting platforms, and defense critical infrastructure. If it does not mitigate high-risk vulnerabilities department-wide, the DoD will also be unable to achieve a better return on investment for the funds it continues to invest in DoD Cyber Red Team activities.



*Ethernet cables are connected to a router, providing secure and non-secure connectivity*

*Source: U.S. Air Force.*



## Report No. DODIG-2019-105, “Audit of Protection of DoD Controlled Unclassified Information on Contractor-Owned Networks and Systems,” July 23, 2019 (Full Report is FOUO)

**FY 2021 Management Challenge** – Strengthening and Securing the DoD Supply Chain and Defense Industrial Base

**Objective:** The objective of this audit was to determine whether DoD contractors implemented adequate security controls to protect DoD-controlled unclassified information (CUI) maintained on their networks and systems from internal and external cyber threats. CUI is a designation for identifying unclassified information that requires proper safeguarding in accordance with Federal and DoD guidance.

The DoD OIG conducted this DoD-wide audit in response to a request from the Secretary of Defense to determine whether contractors protected CUI on their networks and systems.

**Finding:** The DoD OIG determined that DoD contractors did not consistently implement security controls for safeguarding Defense CUI on their networks and systems. Defense Federal Acquisition Regulation Supplement (DFARS) clause 252.204-7012 requires contractors that maintain CUI to implement security controls specified in National Institute of Standards and Technology (NIST) Special Publication (SP) 800-171, which lists security requirements for safeguarding sensitive information on non-Federal information systems. The requirements include controls for user authentication, user access, media protection, incident response, vulnerability management, and confidentiality of information. Although the DoD requires contractors to protect CUI by complying with NIST SP 800-171 requirements, DoD Component contracting offices and requiring activities did not establish processes to:

- verify that contractors’ networks and systems that process, store, and transmit CUI met the NIST security requirements before contract award;
- notify contractors of the specific CUI category related to the contract requirements;
- determine whether contractors accessed, maintained, or developed CUI to meet contractual requirements;
- properly mark documents that contained CUI and notify contractors when CUI was exchanged between DoD agencies and the contractor; and
- verify that contractors implemented minimum-security controls for protecting CUI.

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Furthermore, DoD Component contracting offices and requiring activities did not always know which contracts required contractors to maintain CUI because the DoD did not implement processes and procedures to track which contractors maintained CUI. In addition, the contracting offices inconsistently tracked which contractors maintained CUI on their networks and systems.

As a result, the DoD was not aware of the amount of DoD information managed by contractors and could not determine whether contractors were protecting unclassified DoD information from unauthorized disclosure. Without knowing which contractors maintained CUI on their networks and systems and taking actions to validate that contractors protected and secured DoD information, DoD CUI is at greater risk of compromise by cyber attacks from malicious actors who will target DoD contractors. Malicious actors can exploit vulnerabilities on the networks and systems of DoD contractors and steal information related to some of the Nation's most valuable advanced defense technologies. Cyberattacks against DoD contractors' networks and systems require implementation of system security controls that reduce the vulnerabilities that malicious actors use to compromise DoD critical national security information.

**Recommendation A.2:** The DoD OIG recommended that the Principal Director for Defense Pricing and Contracting (DPC), in coordination with the appropriate DoD Component responsible for developing policy:

- a. revise its current policy to require DoD Component contracting offices, as part of the Request for Proposal and source selection processes, and requiring activities, during the performance of the contract, to assess whether contractors comply with the National Institute of Standards and Technology requirements for protecting controlled unclassified information before contract award and throughout the contracts' period of performance.
- b. develop and implement policy requiring DoD Component contracting offices and requiring activities to maintain an accurate accounting of contractors that access, maintain, or develop controlled unclassified information as part of their contractual obligations.
- c. revise its current policy to include language that will require DoD Component contracting offices and requiring activities to validate contractor compliance with National Institute of Standards and Technology Special Publication 800-171 requirements.

- d. require DoD Component contracting offices, in coordination with DoD requiring activities, to develop and implement a risk-based process to verify that contractors comply with the Defense Federal Acquisition Regulation Supplement clause 252.204-7012 for protecting controlled unclassified information.
- e. require DoD Component contracting offices, in coordination with DoD requiring activities, to take corrective actions against contractors that fail to meet the National Institute of Standards and Technology and contract requirements for protecting controlled unclassified information.

**Management Response to the Recommendation:** The DPC Acting Principal Director agreed, stating that the DPC requires offerors to represent that they will implement NIST SP 800-171 security requirements as part of the Request for Proposal and source selection processes. The Acting Principal Director also stated that the February 5, 2019, memorandum from the Under Secretary of Defense for Acquisition and Sustainment (USD[A&S]) directed the Defense Contract Management Agency, for contracts it administers, to assess contractor compliance with NIST SP 800-171 requirements. The Acting Principal Director stated that, from June through September 2019, the Defense Contract Management Agency would lead a pilot program to provide a strategic, DoD-wide approach for assessing contractor compliance with NIST SP 800-171 requirements. After completing the pilot program, the Acting Principal Director stated that DPC would work with, among others, the Defense Contract Management Agency, DoD Components, and the DoD Chief Information Officer to:

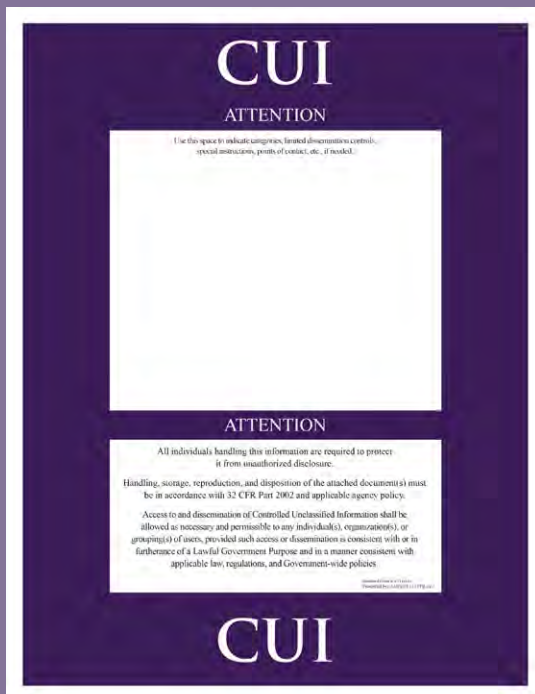
- determine how to use the results before contract award;
- revise DoD policy accordingly;
- develop a risk-based process that uses a common methodology to assess contractor compliance with NIST SP 800-171 requirements; and
- update DFARS clause 252.204-7008, “Compliance with Safeguarding Covered Defense Information Controls,” October 2016.

The Acting Principal Director also stated that the DPC used enterprise contract data to track contracts that included DFARS clause 252.204-7012 and provide DoD Components with a quarterly update of contractors subject to DFARS clause 252.254-7012 requirements. Furthermore, the Acting Principal Director agreed with the need for DoD Components to take corrective action against contractors that fail to meet NIST SP 800-171 and contract requirements for protecting CUI. The Acting Principal Director stated that DoD Components are authorized to implement any or all of the penalties and remedies

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for noncompliance with the DFARS clause and NIST requirements. The Acting Principal Director further stated that the implementation of a DoD-wide approach for assessing contractor compliance with the DFARS clause and NIST requirements enables the Defense Contract Management Agency and any contract administering organization to apply penalties and remedies when warranted.

**Implementation Status:** The DoD opened DFARS Case 2019-D041 on September 23, 2019, to implement a standard DoD-wide methodology for assessing DoD contractor compliance with the security requirements in NIST SP 800-171 and the Cybersecurity Maturity Model Certification, a DoD certification process used to certify that contractors have the controls to protect sensitive data, including Federal contract information and controlled unclassified information. On January 15, 2020, the Defense Acquisition Regulatory Council agreed to a draft proposed DFARS rule. On February 10, 2021, the DPC Principal Director stated that interim DFARS rule 2019-D041, “Assessing Contractor Implementation of Cybersecurity Requirements,” was published in the Federal Register (85 FR 61505) on September 29, 2020. Interim DFARS rule 2019-D041 requires implementing a DoD Assessment Methodology and Cybersecurity Maturity



*SF901-18a CUI cover sheet*

*Source: U.S. General Services Administration.*

Model Certification Framework to assess contractor implementation of cybersecurity requirements and enhance the protection of unclassified information within the DoD supply chain. The public comment period ended on November 30, 2020, and the DoD is reviewing comments to support the formulation of a final rule. Publication of the final DFARS rule is anticipated during the fourth quarter FY 2021.

In addition to Recommendation A.2.a-e, this report contained 44 other recommendations related to DoD Component contracting offices developing and implementing a plan to verify that contractors correct the weaknesses identified in this report related to using multifactor authentication; mitigating vulnerabilities in a timely manner; protecting and monitoring data on removable media; documenting and tracking cybersecurity incidents; using an automatic system lock after inactivity or unsuccessful logon attempts; implementing physical security controls; generating system activity reports; and requiring and maintaining justification for accessing systems that contain controlled unclassified information. Of the 45 recommendations, 34 are closed and 11 remain resolved and open.

**Information Required to Close the Recommendation:** The DoD OIG will close Recommendation A.2.a-e after the Acting Principal Director provides the revised or new policies and procedures that establish a risk-based process for assessing contractor compliance with NIST SP 800-171 requirements before contract award and throughout the contract's period of performance. In addition, the Acting Principal Director should provide the last four quarterly reports of contractors subject to DFARS clause 252.201-7012, the revised contractual language included in DFARS clause 252.204-7008, and the list of penalties and remedies that DoD Components could apply to contractors that fail to meet NIST and contract requirements. This recommendation has been open 1 year and 8 months. This is the second year this recommendation has appeared on the Compendium's list of high-priority recommendations.

**Why the Recommendation Is Important:** Defense contractors that do not implement the proper security controls to protect DoD information risk disclosing critical technical details of DoD programs to U.S. adversaries. Malicious actors can exploit vulnerabilities on the networks and systems of DoD contractors and steal information related to some of the Nation's most valuable advanced defense technologies. If the DoD does not include security as a major factor in considering whether to do business with Defense contractors, there is an increased risk that DoD CUI related to national security could fall into adversaries' hands.

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### **Report No. DODIG-2014-101, “Delinquent Medical Service Accounts at Brooke Army Medical Center Need Additional Management Oversight,” August 13, 2014**

#### **FY 2021 Management Challenge** – Improving Financial Management and Budgeting

**Objective:** The objective of this audit was to determine whether the Military Services and selected military medical treatment facilities were effectively managing medical service accounts (MSAs) at Brooke Army Medical Center (BAMC) that were more than 180 days delinquent, by transferring the debt to the appropriate debt collection agency or actively pursuing collection.

The Army military treatment facility Uniform Business Office (UBO) is responsible for MSA activities, which include billing and collecting funds for medical and dental services from Uniformed Services beneficiaries, civilian emergency patients, and other patients who are authorized to receive treatment in a military treatment facility, such as the BAMC and the Landstuhl Regional Medical Center. According to DoD Regulation 7000.14-R, “DoD Financial Management Regulation” (DoD FMR), volume 16, “Department of Defense Debt Management,” January 2016, DoD Components must take prompt and aggressive action to recover and collect debts owed to the DoD, and must continue to propose followup actions, as necessary, to ensure that the debts are collected.

**Finding:** The DoD OIG determined that BAMC UBO management did not effectively manage delinquent MSAs. As of May 29, 2013, 15,106 MSAs at BAMC, valued at \$73.1 million, were delinquent more than 180 days and were not transferred to the U.S. Treasury for collection. The DoD OIG reviewed 25 of the highest dollar MSAs, valued at \$11 million, and found that the BAMC UBO did not transfer 24 of those accounts, valued at \$10.4 million, to the U.S. Treasury for collection after the account was 180 days delinquent.<sup>9</sup> In addition, BAMC UBO management did not pursue collection for 20 of the delinquent MSAs, valued at \$8.8 million. The large number of delinquent MSAs, including the sample items reviewed, existed because BAMC UBO management did not have a system in place to monitor the delinquent MSAs, prioritize the aging accounts, and notify staff of the MSAs requiring followup. As a result, the BAMC UBO missed opportunities to collect approximately \$10.4 million in delinquent payments due on 24 of the 25 highest-dollar delinquent MSAs. These are funds that could be applied to administrative, operating, and equipment costs; readiness training;

<sup>9</sup> The BAMC did not pursue one MSA because it was part of an ongoing court case.



or trauma consortium activities. Unless BAMC UBO management takes prompt and aggressive actions to pursue collection of the delinquent debt among the MSAs the DoD OIG reviewed, including the \$62.5 million for the thousands of additional delinquent MSAs that the DoD OIG did not specifically review, and makes improvements to its collection process, it will continue to incur rising delinquent balances for future MSAs and miss opportunities to enhance health care delivery at the Medical Treatment Facility providing the care.

**Recommendation 1.b:** The DoD OIG recommended that the Brooke Army Medical Center Commander review, research, and pursue collections on the remaining open delinquent medical service accounts.

**Management Response to the Recommendation:** The U.S. Army Medical Command (MEDCOM) Chief of Staff, responding for the BAMC Commander, agreed with the recommendation, stating that the BAMC UBO reassigned two MSA clerks to work exclusively on aged accounts to process and transfer them to the U.S. Treasury within 18 months.

*Brooke Army Medical Center  
located at Fort Sam Houston*

*Source: U.S. Army.*





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The Chief of Staff also stated that the BAMC UBO is working to hire additional MSA clerks to mitigate current claims from aging into the 180-day backlog. The BAMC UBO planned to complete processing and transferring the backlog by January 1, 2016. The MEDCOM Chief of Staff also expressed concern that, to transfer debt for patients requesting debt compromise, which is the acceptance of a lesser amount of money as full settlement of the patient's debt, the U.S. Treasury required a financial assessment before the debt could be transferred to the U.S. Treasury. However, according to the Chief of Staff, the BAMC UBO did not have the staff or expertise to conduct these financial assessments. The Chief of Staff stated that his office was seeking additional guidance from the Office of the Secretary of the Army on how to proceed with these claims.

**Implementation Status:** The DoD OIG performed a followup audit to determine whether the Office of the Under Secretary of Defense for Health Affairs, the Defense Health Agency (DHA), and the Military Services implemented actions to correct problems identified in six prior DoD OIG reports related to the collection of outstanding balances of MSAs for patients authorized to receive care in military medical treatment facilities and summarize systemic issues regarding delinquent MSAs.<sup>10</sup> The DoD OIG followup audit determined that, although the medical treatment facilities improved the billing process for MSA accounts with the implementation of the Armed Forces Billing and Collection Utilization Solution (ABACUS) and corrective actions from other prior audit recommendations, additional improvements are needed to review and pursue collections on all open and delinquent accounts.<sup>11</sup> Specifically, the Military Services did not review and pursue collections for 27,149 open delinquent accounts, valued at \$77.7 million (which includes 15,106 MSAs at BAMC, valued at \$73.1 million), identified in Report Nos. DODIG-2014-101 and DODIG-2016-079.<sup>12</sup> This occurred because UBO management for all Services did not implement the proposed corrective actions for all recommendations made in the prior audit reports, including pursuing the collection of \$73.1 million in delinquent accounts identified in our previous report.

<sup>10</sup> Report No. DODIG-2019-038, "Followup of Delinquent Medical Service Account Audits," December 19, 2018.

<sup>11</sup> ABACUS replaced the billing function in the Composite Health Care System in September 2015. ABACUS allows medical treatment facilities to manage billing and collection activities for the Uniform Business Offices' cost recovery programs. ABACUS provides electronic billing, interagency invoicing, and visibility into medical cost recovery activities, including delinquent debt.

<sup>12</sup> Report Nos. DODIG-2014-101, "Delinquent Medical Service Accounts at Brooke Army Medical Center Need Additional Management Oversight," August 13, 2014, and DODIG-2016-079, "Delinquent Medical Service Accounts at Landstuhl Regional Medical Center Need Additional Management Oversight," April 28, 2016.

After the followup audit, MEDCOM reported that it completed analysis of the 15,106 delinquent MSAs identified in Report No. DODIG-2014-101 and found 15,042 of the accounts have since been paid, transferred to the Defense Finance and Accounting Service (DFAS) or the U.S. Treasury for collection, or no longer have a balance. However, the DoD OIG determined that the analysis listed 14,920 of the accounts as “no longer on the aged accounts receivable,” with no indication of how each of those accounts were resolved (paid in full, transferred to DFAS or the U.S. Treasury for collection, or terminated as uncollectible debt).<sup>13</sup> Therefore, the DoD OIG notified MEDCOM on April 16, 2019, that the support it provided for the completed analysis of the 15,106 MSAs was deficient, and requested that MEDCOM provide additional documentation to support the disposition of the MSAs.

MEDCOM responded that it took all reasonable actions to review, research, and collect on MSAs open at the time of the report. MEDCOM further stated that DoD OIG followup Report No. DODIG-2019-038 recognized the impending takeover of military treatment facilities by the DHA, and included a recommendation for DHA to work with MEDCOM and the BAMC UBO to address delinquent debt.<sup>14</sup> MEDCOM stated that it would take no further research on the delinquent accounts because it lacked both the resources to pursue detailed research for each account as well as DHA’s authority to address future delinquent MSA issues from an enterprise perspective.

In September 2020, the DoD OIG discussed Recommendation 1.b and other recommendations related to medical service accounts and third-party collection program for medical claims with the DoD’s Chief Management Officer and representatives from the Military Services.<sup>15</sup> During the meeting, the Military Services expressed their belief that the responsibility for implementing these recommendations belonged to DHA, while DHA representatives stated that the Military Services still had equity in the process. Afterwards, DoD’s Chief Management Officer met with officials from DHA and the Military Services to establish ownership of these recommendations.

<sup>13</sup> The remaining 186 MSAs were transferred to the debt collection agency; still have a balance; or have a credit balance that might require a refund.

<sup>14</sup> The NDAA for FY 2017 establishes the DHA as the authority for administration of all medical treatment facilities beginning October 1, 2018.

<sup>15</sup> Report No. DODIG-2019-108, “Audit of the DoD’s Management of the Third Party Collection Program for Medical Claims,” September 16, 2019. In this report, the DoD OIG reported that the DoD did not properly manage the Third Party Collection Program, resulting in uncollected funds of up to \$70.7 million at the nine medical facilities we reviewed. Recommendations related to this report are discussed further in the Unresolved Recommendations chapter of this Compendium.

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Subsequent to meeting with the DoD Chief Management Officer, the DoD OIG met with DHA representatives who walked the DoD OIG team through its implementation plan, which included coordinating with the Military Services until DHA UBO vacancies were filled, and assuming the recommendations made to the Military Services. DHA also agreed to meet with the DoD OIG audit team monthly to discuss the implementation progress of corrective actions for these recommendations.

Between July 2013 and October 2018, the DoD OIG conducted eight audits addressing oversight and management of MSAs by the Office of the Under Secretary of Defense, the Military Services, and selected military medical treatment facilities. Those 8 audits resulted in 77 recommendations. Of the 77 recommendations, 52 recommendations are closed and 25 remain resolved and open with \$116 million in associated potential monetary benefits.

**Information Required to Close the Recommendation:** The DoD OIG will close Recommendation 1.b once we review the BAMC UBO and DHA plan to pursue the collection of delinquent MSA debt identified in prior DoD OIG audit reports; and evidence that they pursued the collection or received authority to terminate the debt on all 15,106 delinquent MSAs, valued at \$73.1 million, that were open at the time of the audit. This recommendation has been open 6 years and 7 months. This is the fourth consecutive year this recommendation has appeared on the Compendium's list of high-priority recommendations.

**Why the Recommendation Is Important:** This recommendation is one of several the DoD OIG made to DHA and the Military Services to develop effective management controls to combat the significant problem of managing and collecting medical debt. If the DoD implemented this recommendation, it could potentially recover \$73.1 million in delinquent payments. Collection of these funds offers tremendous benefits to the Department, as the money collected can help improve the quality of health care within the Military Health System by providing additional funding for administrative, operating, and equipment costs; readiness training; or trauma consortium activities.

## **Report No. DODIG-2014-090, “Improvements Needed in the General Fund Enterprise Business System Budget-to-Report Business Process,” July 2, 2014**

**FY 2021 Management Challenge** – Improving Financial Management and Budgeting

**Objective:** The objective of this audit was to determine whether the Army’s General Fund Enterprise Business System Program Management Office (PMO) implemented the DoD Business Enterprise Architecture Budget-to-Report Business Process to properly support the recording of Army General Fund (AGF) accounting transactions.

A third-party contractor developed the General Fund Enterprise Business System for the Army to standardize the Army’s financial management and accounting functions and asset inventory and management. The DoD Business Enterprise Architecture identifies 15 DoD end-to-end business processes intended to streamline and enable standard, integrated, and optimized business processes; improve records management; and establish process governance that promotes transparency, collaboration, integration, and innovation across the Army. The Budget-to-Report business process encompasses all business functions necessary to plan, formulate, create, execute against, and report on the budget and business activities of the Army, including updates to the general ledger.

**Finding:** The DoD OIG determined that the General Fund Enterprise Business System PMO and Army Budget Office personnel did not implement the Budget-to-Report business process to properly support the AGF. Specifically, PMO personnel did not configure the General Fund Enterprise Business System to properly record at least \$6.3 billion in AGF Budget-to-Report transactions. In addition, Army Budget Office personnel did not accurately record \$103.2 billion of AGF Budget-to-Report transactions in the General Fund Enterprise Business System, and did not record 22 FY 2013 AGF appropriations, totaling \$176.5 billion, in a timely manner.

This occurred because Office of the Assistant Secretary of the Army (Financial Management and Comptroller) (ASA[FM&C]) personnel did not provide adequate oversight to verify that the PMO configured the system to properly record Budget-to-Report transactions; Office of the Assistant Secretary of the Army (Financial Management and Comptroller) and PMO personnel did not create adequate procedures for some Budget-to-Report business

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processes; and Army Budget Office personnel were not aware of all the transactions they were required to record in the system after the implementation of the General Fund Enterprise Business System.

As a result, the General Fund Enterprise Business System Budget-to-Report data related to planning, formulating, creating, executing against, and reporting on the budget and business activities of the Army were unreliable. At the time of our audit, the General Fund Enterprise Business System fourth quarter FY 2013 trial balance contained \$6.3 billion in reported balances that did not comply with the normal debit or credit accounts or had abnormal balances related to budgetary General Ledger Account Codes. In addition, Defense Finance and Accounting Service (DFAS) personnel could not use the General Fund Enterprise Business System budgetary trial balance data to prepare the FY 2013 AGF Statement of Budgetary Resources, which reported \$266.5 billion of Total Budgetary Resources, without making \$141.3 billion of adjustments to the General Fund Enterprise Business System trial balance. For example, DFAS personnel needed to make \$3 billion in adjustments to bring the budgetary Fund Balance with Treasury amounts into agreement with the proprietary Fund Balance with Treasury amounts, since it was not reported properly in the General Fund Enterprise Business System.

**Recommendation 1.a:** The DoD OIG recommended that the Assistant Secretary of the Army (Financial Management and Comptroller) verify that the General Fund Enterprise Business System posting logic documentation is accurate and complete, and use it to validate General Fund Enterprise Business System general ledger account postings.<sup>16</sup>

**Management Response to the Recommendation:** The Deputy Assistant Secretary of the Army (Financial Operations) (DASA[FO]), responding for the ASA(FM&C), agreed with the recommendation, stating that the Army initiated an effort to document and validate that the correct general ledger posting logic was programmed into the General Fund Enterprise Business System. The Army also stated that it would develop a plan of action with milestones to outline the actions required to document and potentially adjust applicable posting logic.

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<sup>16</sup> Posting logic describes how the system was programmed to record accounting transactions.

**Implementation Status:** On November 26, 2019, the DoD OIG completed a followup audit to determine whether the Army implemented appropriate corrective actions in response to Report No. DODIG-2014-090, “Improvements Needed in the General Fund Enterprise Business System Budget-to-Report Business Process,” July 2, 2014.<sup>17</sup> The followup audit determined that ASA(FM&C) did not validate that general ledger account postings programmed in the General Fund Enterprise Business System comply with the U.S. Government Standard General Ledger (USSGL) and did not implement a timely review of general ledger account postings. As a result, the General Fund Enterprise Business System general ledger account postings did not comply with the USSGL, resulting in DFAS personnel preparing at least \$20.8 billion in adjustments during the compilation of the FY 2018 AGF Financial Statements to correct errors in the posting logic.

On December 3, 2020, the Army reported that the ASA(FM&C) work to address this recommendation has resulted in posting logic changes in the General Fund Enterprise Business System and it is in the process of verifying posting logic based on transactions processed in the current and prior fiscal years. This is part of a larger effort to identify, document, and monitor system-derived posting logic and will continue quarterly for each system and business process. Any inconsistencies or deviations from DoD or USSGL posting guidance will be addressed, as identified, through the relevant Program’s configuration management process by September 30, 2021. In addition to Recommendation 1.a, this report contained five recommendations related to recording transactions accurately and posting transactions to the correct general ledger accounts to improve the reliability of budgetary data in the General Fund Enterprise Business System. Of the six recommendations, three are closed and three remain resolved and open.

**Information Required to Close the Recommendation:** The DoD OIG will close Recommendation 1.a once it receives documentation that shows the Army implemented a timely review of the current General Fund Enterprise Business System general ledger account postings, and ensured that the general ledger account postings comply with the USSGL. This recommendation has been open 6 years and 8 months. This is the third year this recommendation has appeared on the Compendium’s list of high-priority recommendations.

<sup>17</sup> Report No. DODIG-2020-035, “Followup Audit of the Army’s Implementation of the Acquire-to-Retire and Budget-to-Report Business Processes in the General Fund Enterprise Business,” November 26, 2019.

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**Why the Recommendation Is Important:** This recommendation relates to the Army's ongoing challenge to verify posting logic in its Enterprise Resource Planning Systems. Errors in posting logic contributed to the \$6.5 trillion in unsupported adjustments DFAS prepared for the FY 2015 Year-End AGF Financial Statements and continue to cause billions of dollars in unsupported adjustments during the compilation of the AGF financial statements.<sup>18</sup> The Independent Public Accounting (IPA) firm that audited the FY 2020 AGF Financial Statements found that Army did not fully design and implement controls to determine that the General Fund Enterprise Business System posting models were consistent with the USSGL. Specifically, 9 of 32 transactions tested by the IPA did not comply with the USSGL. The Army must understand how the General Fund Enterprise Business System is posting transactions so that it can find posting errors to make correcting adjustments; prepare the financial statements; or make required USSGL yearly updates. Without a complete and accurate list of all potential general ledger postings available within the General Fund Enterprise Business System, the Army cannot demonstrate that it complies with the USSGL as required by the Federal Financial Management Improvement Act of 1996. A complete and accurate posting logic list would allow the Army to verify that the transactions programmed into its general ledger system are consistent with the USSGL posting library and reduce the number of adjustments required to correct errors during the compilation of the financial statements. A correct posting logic list would also minimize the risk of unsupported adjustments to the financial statements and help the Army, and the DoD, come one step closer to obtaining a clean audit opinion.



<sup>18</sup> Report No. DODIG-2016-113, "Army General Fund Adjustments Not Adequately Documented or Supported," July 26, 2016.



**Report No. DODIG-2015-016, “Department of Defense Suicide Event Report Data Quality Assessment,” November 14, 2014**

**FY 2021 Management Challenge** – Ensuring Health and Safety of Military Personnel, Retirees, and Their Families

**Objective:** The objective of this assessment was to determine why the Calendar Year (CY) 2011 Department of Defense Suicide Event Report (DoDSER) Annual Report had a high number of “don’t know/data unavailable” responses to questionnaire items.

According to the Psychological Health Center of Excellence Online, “the annual DoDSER report standardizes suicide surveillance efforts across the Military Services and tracks the total suicide deaths, manner of death, and other variables. Each calendar year, the DoDSER team cleans, verifies, analyzes, interprets, and contextualizes the collected data in a manner that can be used to advance suicide prevention efforts. The military suicide data is then presented to military leaders, the Military Services, and the public via the DoDSER Annual Report.”<sup>19</sup>

<sup>19</sup> Psychological Health Center of Excellence Online, “Department of Defense Suicide Event Report (DoDSER) and DoDSER Annual Report,” <https://pdhealth.mil/research-analytics/department-defense-suicide-event-report-dodser>.

*Prevention and resiliency training virtually presented by behavioral health experts on the importance of mental health and preventing service member suicides*

*Source: Air Nation Guard.*



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**Finding:** The DoD OIG determined that the CY 2011 DoDSER did not consistently include highly relevant information from other sources, such as medical records, law enforcement investigations, or command investigations, that could provide a better understanding of the circumstances and stressors related to suicidal behavior. This occurred because DoD policy did not require a multidisciplinary approach to gathering data for the DoDSER submission.<sup>20</sup>

The CY 2011 DoDSER had a high number of “don’t know/data unavailable” responses in numerous critical data fields, such as, “Did the decedent have a family history of mental illness?” and “Prior to the event, was the decedent seen by a Military Treatment Facility?” This occurred because individuals assigned to prepare the DoDSER did not know how or where to obtain that information. Additionally, Line-of-Duty Investigating Officers, investigative agencies, and suicide prevention offices, who were likely to have been the sources of information that was reported as “don’t know/data unavailable,” often failed to share this information with those preparing the DoDSER submission.<sup>21</sup>

**Recommendation 2.a:** The DoD OIG recommended that the Under Secretary of Defense for Personnel and Readiness publish guidance requiring suicide event boards to establish a multidisciplinary approach for obtaining the data necessary to make comprehensive DoDSER submissions. For each suicide death, the board should:

- be a locally (command or installation level) chartered board with defined task, purpose, and outcome for each suicide death review;
- include participation by unit leadership, medical and mental health organizations, and Military Criminal Investigative organizations; and
- articulate the requirement to appropriately share information (for example, medical and law enforcement reports) from ongoing investigations.

<sup>20</sup> A multidisciplinary approach takes professionals from many backgrounds (who have access to or need to know) to share information across disciplines such as provost, chaplain, mental health, command, medical, finance, and family programs. The questions span many domains of life, so one office would likely have large holes in their data if they do not work together across databases and disciplines.

<sup>21</sup> A line-of-duty investigation is typically conducted in the event of the death of a Service member to determine if the death occurred while the individual was in a duty status. The investigation is typically assigned to a Service member as an additional duty. The line-of-duty investigating officer’s determination has an impact on the deceased Service member’s survivor benefits received.

**Management Response to the Recommendation:** The Principal Deputy Under Secretary of Defense for Personnel and Readiness, responding for the Under Secretary of Defense for Personnel and Readiness (OUSD[P&R]), agreed with the recommendations, stating that the office would draft guidance for coordination by April 2015.

**Implementation Status:** The Office of the Under Secretary for Personnel and Readiness (OUSD(P&R)) issued DoD Instruction 6490.16, "Defense Suicide Prevention Program," on November 6, 2017. The Acting Director of the Defense Suicide Prevention Office (DSPO) requested closure of the recommendations based on the language in sections 2.16 and 2.18 of DoD Instruction 6490.16, which outlines the responsibilities of the Secretaries of the Military Departments and Military Service Chiefs, respectively, for implementing a suicide prevention policy and program. Sections 2.16 and 2.18 support the DSPO's annual suicide death review by providing data elements to the Director, DSPO, within 60 days postdate of suicide and within 90 days post-Armed Forces Medical Examiner System confirmation. Data elements include personnel file, contingency tracking system deployment file, medical files, social media data (if available), and a criminal investigation report provided within 30 days of the report being completed by the criminal investigation command. However, the DoD OIG determined that these sections did not provide guidance requiring that suicide event boards take a multidisciplinary approach to obtain data for DoDSER submissions. The OUSD(P&R) has since expressed concern about the requirement for Military Services to establish suicide event boards at the installation level to review and report on suicides.

The DoD OIG notes that while the number of suicides by installation might be low, the number of suicides overall and by Military Service is not low, and is increasing. Furthermore, the DoD OIG is not recommending the publication or open sharing of suicide reports. In addition, participants of the suicide event board should have a need to know, knowledge of, or clearance to discuss the cases; therefore, this should not be a privacy concern.

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The NDAA for FY 2021 (NDAA 2021) requires the DoD to fulfill the requirements of the recommendation.<sup>22</sup> Specifically, Section 549A, subsection (a) states that “the Secretary of Defense shall issue guidance that requires each suicide event involving a member of a covered Armed Force to be reviewed by a multidisciplinary board established at the command or installation level, or by the Chief of the covered Armed Force. Such guidance shall require that, for each suicide event reviewed by such a board, the board shall (1) clearly define the objective, purpose, and outcome of the review; (2) take a multidisciplinary approach to the review and include, as part of the review process, leaders of military units, medical and mental health professionals, and representatives of military criminal investigative organizations; and (3) take appropriate steps to protect and share information obtained from ongoing investigations into the event (such as medical and law enforcement reports).”<sup>23</sup> The NDAA further states that, “Not later than 90 days after the date on which the guidance is issued under subsection (a), the Chiefs of the covered Armed Forces shall implement the guidance.” Additionally, not later than 180 days after the date of the enactment of this Act, the Secretary of Defense shall submit to the congressional defense committees a report on the progress of the Secretary in implementing the guidance required under subsection (a).

In addition to Recommendation 2.a, this report contained 32 recommendations related to the DoDSER submission process, data quality, and data sharing. Of the 33 recommendations, 23 are closed and 10 remain resolved and open.

**Information Required to Close the Recommendation:** The DoD OIG will close this recommendation when OUSD (P&R) implements guidance that requires each suicide event involving a member of a covered Armed Force to be reviewed by a multidisciplinary board established at the command or installation level, or by the Chief of the covered Armed Force. Such guidance shall require that, for each suicide event reviewed by such a board, the board shall (1) clearly define the objective, purpose, and outcome of the review; (2) take a multidisciplinary approach to the review and include, as part of the review process, leaders of military units, medical and mental health professionals, and representatives of military criminal investigative organizations; and (3) take appropriate steps to protect and share information obtained from ongoing investigations into the event (such as medical and law enforcement

<sup>22</sup> NDAA 2021 - <https://www.congress.gov/116/bills/hr6395/BILLS-116hr6395enr.pdf> (SEC. 549A. MULTIDISCIPLINARY BOARD TO EVALUATE SUICIDE EVENTS, Page 233)

<sup>23</sup> The term “covered Armed Forces” means the Army, Navy, Air Force, Marine Corps, and Space Force.

reports). This recommendation has been open 6 years and 4 months. This is the fourth consecutive year this recommendation has appeared on the Compendium's list of high-priority recommendations.

**Why the Recommendation Is Important:** Preventing DoD military personnel suicides remains a significant challenge for the DoD. The findings of the CY 2018 DoD Annual Suicide Report show an increase in suicide rates among active duty military members, as well as higher-than-expected rates in the National Guard, compared to the U.S. population. Each Military Service seeks to address suicide prevention with measures such as training, data collection and analysis, and strategic communications about suicide-related behaviors. However, DoDSER accuracy and completeness suffered from a high number of "don't know/data unavailable" responses. Without a comprehensive and complete DoDSER submission, the DoD will have difficulty conducting accurate trend or causal analysis necessary for developing effective suicide prevention policy and programs to reduce suicide rates across the force.



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### **Report No. DODIG-2017-004, “Summary Report–Inspections of DoD Facilities and Military Housing and Audits of Base Operations and Support Services Contracts,” October 14, 2016**

**FY 2021 Management Challenge** – Ensuring Health and Safety of Military Personnel, Retirees, and Their Families

**Objective:** In this report, the DoD OIG summarized and analyzed previous DoD OIG health and safety inspections of DoD-occupied facilities and military housing. The DoD OIG also reviewed audit reports related to Base Operations and Support Services (BOSS) contracts and facilities maintenance. Additionally, the DoD OIG evaluated DoD policy and guidance regarding health and safety requirements for DoD-occupied facilities to determine whether any gaps or conflicts in coverage existed.

**Finding:** The DoD OIG issued six reports from July 2013 to July 2016 related to health and safety inspections of DoD facilities at various locations around the world, documenting 3,783 deficiencies in electrical system safety, fire protection systems, and environmental health and safety.<sup>24</sup> During these inspections, the DoD OIG issued 12 notices of concern detailing 319 critical deficiencies requiring immediate action at 24 of the 36 installations inspected. The six inspection reports identified significant health and safety deficiencies and systemic weaknesses in inspections and maintenance. The DoD OIG determined that the average number of deficiencies per building was consistent regardless of location. For instance, the DoD OIG found an average of two to three electrical and fire protection deficiencies for each building inspected, and about one environmental health and safety deficiency for every two buildings inspected. The pervasiveness of electrical system safety, fire protection, and environmental health and safety deficiencies was the most significant trend that the DoD OIG observed.

Deficiencies in electrical system safety, fire protection systems, and environmental health and safety were pervasive because of a lack of adequate preventative maintenance and inspections being performed at the installations. As a result, DoD personnel and military families were exposed to health and safety hazards at installations around the world. DoD policy and guidance requires periodic inspections of DoD facilities. However, none of these inspections comprehensively examined the effectiveness of facility sustainment

<sup>24</sup> Report No. DODIG-2013-099, “Compliance with Electrical and Fire Protection Standards of U.S. Controlled and Occupied Facilities in Afghanistan”; Report No. DODIG-2014-121, “Military Housing Inspections – Japan”; Report No. DODIG-2015-013, “Military Housing Inspections – Republic of Korea”; Report No. DODIG-2015-162, “Continental United States Military Housing Inspections – National Capital Region”; Report No. DODIG-2015-181, “Continental United States Military Housing Inspections – Southeast”; and Report No. DODIG-2016-106, “U.S. Military-Occupied Facilities Inspection – King Abdullah II Special Operations Training Center.”

processes with respect to the overall health and safety of occupants. In addition to recommending that the Military Departments take action to improve inspections and maintenance in response to the previous reports, the DoD OIG recommended that the Military Departments undertake independent verification efforts to ensure the programs are effective.

**Recommendation C:** The DoD OIG recommended that the Under Secretary of Defense for Acquisition, Technology, and Logistics, (USD[AT&L]) establish a permanent policy for the sustainment of facilities, including standardized facility inspections. This policy should incorporate the requirements in the September 10, 2013, “Standardizing Facility Condition Assessments,” and in the April 29, 2014, “Facility Sustainment and Recapitalization Policy,” memorandums.

**Management Response to the Recommendation:** The Principal Deputy Assistant Secretary of Defense for Energy, Installations, and Environment, responding for the USD(AT&L), agreed, and stated that the facility policy memorandums will be incorporated in a new DoD instruction. The target publication date was FY 2017.

**Implementation Status:** On June 5, 2020, DoD OIG issued Report No. DODIG-2020-086, “Summary Report-Inspections of DoD Facilities and Military Housing and Audits of Base Operations and Support Services Contracts.” The objective of this audit was to determine whether the DoD corrected previously identified deficiencies related to policies and instructions, preventative maintenance, and environmental health and safety in selected prior military housing reports. The DoD OIG determined that the USD(AT&L) did not issue revised guidance for standardized facility inspections to address Recommendation C.<sup>25</sup> In Report No. DODIG-2017-004, the DoD OIG recommended that the USD(AT&L) incorporate into permanent policy the two memorandums that implement standardized facility condition assessments and prioritize the reinvestment in facilities sustainment. DoD guidance requires that Office of the Under Secretary of Defense-level policy memorandums be incorporated into appropriate DoD issuances within 1 year unless otherwise directed by the Secretary or the Deputy Secretary of Defense.<sup>26</sup>

<sup>25</sup> As of February 1, 2018, the Office of the Under Secretary of Defense for Acquisition, Technology, and Logistics was reorganized into two offices: (1) the Office of the Under Secretary of Defense for Research and Engineering, and (2) the Office of the Under Secretary of Defense for Acquisition and Sustainment (USD[A&S]).

<sup>26</sup> DoD Instruction 5025.01, “DoD Issuances Program,” August 1, 2016 (Incorporating Change 3, May 22, 2019).



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On March 10, 2021, the Office of the Assistant Secretary of Defense for Sustainment stated that a new DoD instruction will be required to incorporate the two facility policy memorandums and to account for the designation of the Army as the Executive Agent to oversee the BUILDER Sustainment Management System.<sup>27</sup> According to the Office of the Assistant Secretary, the development of the DoD instruction is on hold pending the Executive Agent designation projected for July 2021. The Office of the Assistant Secretary of Defense for Sustainment anticipates publication of the new guidance in January 2022.

In addition to Recommendation C, Report No. DODIG-2017-004 contained nine recommendations related to performing comprehensive and independent inspections of installations to verify compliance with all applicable health and safety requirements; establishing a joint-Service working group to identify and implement improvements in facility inspection and maintenance programs; and developing standard procedures or templates for services performed under BOSS contracts in contingency environments to assist the DoD in the development and oversight of those contracts. Of the 10 recommendations, 7 are closed and 3 remain resolved and open.

**Information Required to Close the Recommendation:** The DoD OIG will close Recommendation C once we verify that the new DoD instruction includes the policies discussed in the September 10, 2013, and April 29, 2014, policy memorandums. This recommendation has been open 4 years and 5 months. This is the second year this recommendation has appeared on the Compendium's list of high-priority recommendations.

**Why the Recommendation Is Important:** Our reports noted severe health and safety hazards that can undermine the morale, welfare, and readiness of Service members and their families. Establishing a permanent policy for the sustainment of facilities, including standardized facility inspections, will strengthen the effectiveness of facility sustainment processes with respect to the overall health and safety of Service members and their families. Implementing DoD or Service-level housing policies and procedures for performing annual inspections and completing repairs in a timely manner will improve military housing, and ensure that military families will not be exposed to health and safety hazards at installations around the world.

<sup>27</sup> BUILDER Sustainment Management System is widely used by the DoD and catalogs the condition of current facility inventory through inspections, and predicts the degradation of their condition over time with different scenarios that allows users to see the effects of different policies, prioritization and funding approaches.

## Report No. DODIG-2018-018, “Implementation of the DoD Leahy Law Regarding Allegations of Child Sexual Abuse by Members of the Afghan National Defense and Security Forces,” November 16, 2017

**FY 2021 Management Challenge** – Maintaining the Advantage While Balancing Great Power Competition and Countering Global Terrorism

**Objective:** The objective of this assessment was to evaluate the implementation of the DoD Leahy Law regarding child sexual abuse as it applies to DoD interaction with, and support and funding of, the Afghan Security Ministries and the Afghan National Defense and Security Forces (ANDSF).

Section 362, title 10, U.S. Code, which the DoD OIG referred to as the “DoD Leahy Law,” provides that no funds made available to the DoD may be used for any training, equipment, or other assistance for a unit of a foreign security force if the Secretary of Defense has credible information that the unit has committed a gross violation of human rights (GVHR).<sup>28</sup> According to the Foreign Assistance Act of 1961, as amended, a GVHR includes torture or cruel, inhuman, or degrading treatment or punishment; prolonged detention without charges and trial; causing the disappearance of persons by the abduction and clandestine detention of those persons; and other flagrant denial of the right to life, liberty, or the security of a person.

**Finding:** The DoD OIG determined that the Office of the Under Secretary of Defense for Policy (OUSD[P]) did not have standardized guidance or a process for determining whether information supporting GVHR allegations were credible. This occurred because:

- the phrase “credible information” was not defined as it applies to the DoD Leahy Law;
- there was no DoD or OUSD(P) guidance for determining whether credible information existed; and
- the OUSD(P) did not require or maintain any documentation pertaining to whether or how information was determined to be credible.

As a result, the issues identified created the risk of inconsistent credibility determinations that, in the absence of clearly articulated guidance, could adversely affect the DoD’s ability to comply with the DoD Leahy Law.

<sup>28</sup> The limitations on the use of DoD funds is codified in section 362, title 10, United States Code. The limitation on assistance to security forces is codified in section 2378d, title 22, United States Code.

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**Recommendation B.2:** The DoD OIG recommended that the Secretary of Defense establish a specific process by which DoD Leahy Law credible information determinations are made.

**Recommendation B.3:** The DoD OIG recommended that the Deputy Assistant Secretary of Defense for Afghanistan, Pakistan, and Central Asia establish and implement a records management policy for all alleged gross violations of human rights in Afghanistan. Specifically, this policy should require the Deputy Assistant Secretary of Defense for Afghanistan, Pakistan, and Central Asia to maintain documentation sufficient to identify how and why credible information determinations were made and to clearly identify what credibility determinations were made in each case.

**Management Response to the Recommendations:** The Assistant Secretary of Defense for International Security Affairs, performing the duties of the USD(P), responding for the Secretary of Defense, agreed with Recommendation B.2. He stated that the USD(P) was directed to develop and implement detailed procedures on GVHR reporting within the DoD and that those procedures are addressed in a draft of DoD Instruction 2110.A, "Implementation of DoD Leahy Law Restrictions on Assistance to Foreign Security Forces," which was undergoing interagency review. He also stated that: the definition of "credible information" would be adapted from the Department of State Leahy Vetting Guide and included in DoD Instruction 2110.A; the DoD would develop a checklist outlining a specific process by which GVHR credible information determinations were made in Afghanistan; and that the Office of the Deputy Assistant Secretary of Defense for Stability and Humanitarian Affairs would issue a clarification memorandum on the application of the DoD Leahy Law in Afghanistan that would include the checklist for the GVHR credibility determination process.

In response to Recommendation B.3, the Assistant Secretary of Defense for International Security Affairs, performing the duties of the USD(P), stated that the OUSD(P) agreed with Recommendation B.3 and that the Deputy Assistant Secretary of Defense for Afghanistan, Pakistan, and Central Asia created and launched a central database accessible to all stakeholders in July 2017 to record allegations of GVHR by ANDSF and document the credibility determinations for each report.

**Implementation Status:** As of January 29, 2021 the Office of the Deputy Assistant Secretary of Defense for Afghanistan, Pakistan, and Central Asia continued to draft an update to the Secretary of Defense guidance on the implementation of the Leahy Law in Afghanistan with an estimated completion date of December 2021. OUSD(P) provided

a draft of the updated guidance for implementing the Leahy Law in Afghanistan to the DoD OIG for review and comment. The DoD OIG informed OUSD(P) on August 24, 2020, that the draft guidance did not meet the intent of the recommendation because it did not identify a specific process for credibility determinations. The DoD OIG continues to await the OUSD(P) memorandums, which will include a process chart for GVHR credibility determination and also establish and implement a records-management policy. In addition to Recommendations B.2 and B.3, this report contained six recommendations related to developing and implementing detailed procedures on GVHR reporting within the DoD, defining “credible information” as it applies to GVHR determinations and the DoD Leahy Law, and maintaining an official system to track GVHR information. Of the eight recommendations, one is closed and seven remain resolved and open.

**Information Required to Close the Recommendations:** The DoD OIG will close Recommendation B.2 once the Office of the Deputy Assistant Secretary of Defense for Stability and Humanitarian Affairs issues a memorandum identifying a specific process for making decisions on the application of the DoD Leahy Law in Afghanistan. The memorandum will include the checklist for the GVHR credibility determination process. The DoD OIG will close Recommendation B.3 once the Deputy Assistant Secretary of Defense for Afghanistan, Pakistan, and Central Asia provides a memo on records management stating that the Afghanistan GVHR database will be used and identify the office responsible for maintaining it; the memo also needs to discuss maintaining documentation of credibility determinations and maintaining the information that was used to make the credibility determination. These recommendations have been open 3 years and 4 months. This is the fourth consecutive year these recommendations have appeared on the Compendium’s list of high-priority recommendations.

**Why the Recommendations Are Important:** Implementing Recommendations B.2 and B.3 will help the DoD comply with legal requirements to withhold funding assistance when there are credible allegations of GVHR by the ANDSF by having a process to determine whether allegations are credible and recording those credibility decisions. Furthermore, such withholding could influence behaviors of the ANDSF, as well as other foreign military and security force units that want U.S. assistance.

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### **Report No. DODIG-2019-062, “Audit of Management of Government-Owned Property Supporting the F-35 Program,” March 13, 2019**

**FY 2021 Management Challenges** – Strengthening and Securing the DoD Supply Chain and Defense Industrial Base

**Objective:** The objective of this audit was to determine whether DoD personnel managed Government property supporting the F-35 Program in accordance with the Federal Acquisition Regulation, Defense Federal Acquisition Regulation Supplement, and DoD Instruction 5000.64 requirements for property accountability.<sup>29</sup>

The F-35 program is the DoD’s largest acquisition program. The F-35 Program is a multiservice and multinational acquisition to develop and field the next-generation strike fighter aircraft for the Navy, Air Force, Marine Corps, and international partners. The estimated acquisition cost is more than \$406 billion.

As a part of the F-35 aircraft production, Lockheed Martin, the prime contractor, acquires Government property, which includes material, equipment, special tooling (for example, a device that holds an item in place while being worked on or a mold used to produce more than one part), special test equipment, and real property. Government property includes both:

- Government-Furnished Property (GFP), property that is in the possession of, or directly acquired by, the Government and then furnished to the contractor for performance of a contract; or
- Contractor-Acquired Property (CAP), property that is acquired, fabricated, or otherwise provided by the contractor for performing a contract.

DoD Instruction 5000.64 requires DoD Components to establish accountable property records. The Federal Acquisition Regulation also requires the contractor to create and maintain records of all Government property identified in the contract, including GFP and CAP, and to maintain a complete, current, auditable record of all property transactions.

<sup>29</sup> DoD Instruction 5000.64, “Accountability and Management of DoD Equipment and Other Accountable Property,” first issued April 27, 2017 (incorporating Change 2 August 31, 2018), and newest version issued August 31, 2018, required the DoD to establish accountable property records.

**Finding:** The DoD OIG found that DoD officials did not account for and manage F-35 Program Government property that was in the possession of Government contractors, including recording the property in a Government-accountable property system of record, as required. The only record of Government property for the F-35 Program is with the prime contractor and its subcontractor, which valued the 3.45 million pieces of property at \$2.1 billion. Specifically, F-35 Program officials did not:

- maintain a Government record of GFP;
- award contracts with complete GFP lists; and
- coordinate with Defense Contract Management Agency (DCMA) officials to execute contracting actions to transition CAP to GFP as required.<sup>30</sup>

**Recommendation 2.c:** The DoD OIG recommended that the F-35 Program Executive Officer, before the F-35 Program Office makes a decision to begin full-rate production of the F-35, ensure that the component property lead and accountable property officer reconcile all F-35 Program Government-furnished property by performing a complete inventory of delivered property and use the result of the inventory to establish a baseline property record in its accountable property system of record.<sup>31</sup>

**Management Response to the Recommendation:** The Assistant Secretary of Defense for Sustainment, responding for the USD(A&S) and for the F-35 Program Executive Officer, agreed with the recommendation. The Assistant Secretary agreed to perform a complete inventory of Government property but did not agree to complete the inventory before the full-rate production decision for the F-35. The Assistant Secretary stated that corrective actions are underway and projected completion by December 31, 2019, and that these actions will occur at the same time as the implementation of the F-35 Program accountable property system of record.

**Implementation Status:** As of July 1, 2020, the F-35 Lightning II Program Office personnel expected to accomplish physical inventories at all sites by January 31, 2021 and then use the results to populate the Accountable Property System of Record by December 31, 2022. However, despite repeated requests, as of March 31, 2021, the DoD OIG had not received an updated status.

<sup>30</sup> DCMA is responsible for monitoring the prime contractors performance and management systems to ensure that cost, performance, and delivery schedules comply with the terms and conditions of the contract.

<sup>31</sup> Full-rate production is a decision, following the completion of operational testing of representative initial production products, to scale up production, leading to full deployment.

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In addition to Recommendation 2.c, this report contained nine recommendations related to reviewing the accounting and management actions of the F-35 Program Office for Government property and holding the necessary officials accountable, as appropriate, and establishing and implementing procedures for property officials to continuously input the data required by DoD Instruction 5000.64 in its accountable property system of record. All 10 recommendations remain resolved and open.

**Information Required to Close the Recommendation:** The DoD OIG will close this recommendation upon receipt of documentation that shows the completed baseline inventory, and that the inventory is in the accountable property system of record with the understanding that the inventory might not be completed before making a decision for full-rate production of the F-35. This recommendation has been open for 2 years and 18 days. This is the third year this recommendation has appeared on the Compendium's list of high-priority recommendations.

**Why the Recommendation Is Important:** For many years, the DoD has not implemented adequate procedures for accounting for and managing Government property for the F-35 Program. On November 13, 2019, the House Armed Services Subcommittees on Readiness and Tactical Air and Land Forces held a joint hearing on the F-35 Program. During this hearing, both congressional and senior Office of the



*F-35 Lightning IIs in flight*

*Source: U.S. Air Force.*



Under Secretary of Defense officials communicated the importance for the DoD to establish its own property records for F-35 Program parts and equipment. According to the Government Accountability Office Director for Defense Capabilities and Management, property records were not previously maintained because, when the program started almost 20 years ago, the plan was for the Government to hand over logistics support almost entirely to the prime contractor. The Director also stated that the DoD did not know where F-35 Program parts were located and that the DoD was unable to match up the dollars spent back to specific major end items and major parts.

As a result, the DoD does not have an independent record to verify the contractor-valued Government property of \$2.1 billion for the F-35 Program. Without accurate records, the F-35 Program officials have no visibility over the property and have no metrics to hold the prime contractor accountable for how it manages Government property. The lack of asset visibility restricts the DoD's ability to conduct the necessary checks and balances that ensure the prime contractor is managing and spending F-35 Program funds in the Government's best interest and could affect the DoD's ability to meet its operational readiness goals for the F-35 aircraft. Without a DoD record of GFP for the F-35 Program, the DoD could acquire equipment and parts that it does not need, which is a waste of funds. Conversely, the DoD might not order equipment and parts that it believes were already procured, adversely affecting operations. In addition, the lack of existence and completeness of DoD inventory (GFP) directly affects DoD financial statements. The lack of a DoD record of GFP for the F-35 Program results in an understatement of either the assets or expenses of DoD financial statements.



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### **Report No. DODIG-2019-106, “Audit of the DoD’s Management of the Cybersecurity Risks for Government Purchase Card Purchases of Commercial Off-the-Shelf Items,” July 26, 2019 (Full Report is Classified)**

**FY 2021 Management Challenge** – Strengthening and Securing the DoD Supply Chain and Defense Industrial Base

**Objective:** The objective of this audit was to determine whether the DoD assessed and mitigated cybersecurity risks when purchasing commercial off-the-shelf (COTS) information technology items.

**(FOUO) Finding:** The DoD OIG determined that the DoD purchased and used COTS information technology items with known cybersecurity risks. Specifically, Army and Air Force government purchase card (GPC) holders purchased at least \$32.8 million of COTS information technology items, such as Lenovo computers, Lexmark printers, and GoPro cameras, with known cybersecurity vulnerabilities in FY 2018. In addition, we identified that the [REDACTED]

The DoD purchased and used COTS information technology items with commonly known cybersecurity risks because the DoD did not establish:

- responsibility for an organization or group to develop a strategy to manage the cybersecurity risks of COTS information technology items;
- acquisition policies that proactively address the cybersecurity risks of COTS information technology items;
- an approved products list to prevent unsecure items from being purchased; and
- controls to prevent the purchase of high-risk COTS information technology items with known cybersecurity risks similar to the controls implemented through the use of the national security systems-restricted list.

**(FOUO)** As a result, adversaries could exploit known cybersecurity vulnerabilities that exist in COTS items purchased by the DoD. If the DoD continues to purchase and use COTS information technology items without identifying, assessing, and mitigating the known vulnerabilities associated with COTS information technology items, missions critical to national security could be compromised. For example, the Department of

(FOUO) State issued a warning in May 2017 against using Hangzhou Hikvision Digital Technology Company and Dahua Technology Company video surveillance equipment, citing cyberespionage concerns from China. Despite the inherent risks associated with their use, DoD Components continued to purchase and use these COTS items to [REDACTED] until Congress banned the Federal Government from using them in August 2018. In addition, despite reports from the [REDACTED], DoD Components purchased and used the systems to [REDACTED]. Using COTS information technology items, [REDACTED].

**Recommendation 2.a:** The DoD OIG recommended that the Under Secretary of Defense for Acquisition and Sustainment update existing DoD acquisition policies or develop and implement new policy to require organizations to review and evaluate cybersecurity risks, including supply chain and counterintelligence risks, for high-risk commercial off-the-shelf items prior to purchase, regardless of purchase method.

(FOUO) **Management Response to the Recommendation:** On June 11, 2019, the Under Secretary of Defense for Acquisition and Sustainment (USD[A&S]) agreed, stating that [REDACTED]. The USD(A&S) noted that DoD policies, including DoD Instructions 5000.01, 5000.02, 5200.44, 8510.01, and 5200.39, require [REDACTED]. The USD(A&S) stated that [REDACTED].

**Implementation Status:** On October 1, 2020, the USD(A&S) and DoD CIO stated that they were working to update and restructure the DoD 5000 series of instructions to include a new annex that will provide cybersecurity guidance for the acquisition decision authorities and program managers, and an update to the Program Protection Plan requirements, which is used by acquisition program managers to manage risks for mission-critical functions and components of an acquisition program every 18 months. The purpose of the new annex is to ensure that DoD Components treat cybersecurity

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as a foundational requirement by including a mandatory capability consideration that has to be continually addressed through the Risk Management Framework, the process by which DoD components manage risk for using a device, system, or network. In January 2020, the new annex was submitted to the Washington Headquarters Services Executive Service Directorate for publication. In addition, the USD(A&S) and DoD CIO are replacing the existing guidebook for purchase, travel, and fuel card programs with a GPC-specific guidebook that will address cybersecurity and supply chain risks for COTS information technology products.

On December 31, 2020, DoD Instruction 5000.90, “Cybersecurity for Acquisition Decision Authorities and Program Managers,” was published as part of an extensive restructure of the DoD 5000 series of instructions governing acquisition. On February 24, 2021, the USD(A&S) reported a revision to DoD Instruction 5200.44, which prescribes policy for risk mitigation and protection of trusted systems, to include a risk-based approach for tailoring supply chain risk management according to characteristics like mission criticality. The guidance applies to all levels of acquisition, and states that the risk-management practices begin early, continue throughout acquisition and integration, and apply to procurements of high commodity information and communications technology or critical components alike, whether through commodity purchases,



*Electronics Technician/  
Integrator assembles  
components for network  
services racks*

*Source: U.S. Navy.*

system acquisition, or sustainment process. Organizations must review and evaluate cybersecurity risks, including supply chain and counterintelligence risks, for high-risk COTS items prior to purchase, regardless of purchase method. The target date of publication of DoD Instruction 5200.44 is July 2021.

In addition to Recommendation 2.a, this report contained seven recommendations related to developing and implementing GPC program policy and training requirements to include training on common cybersecurity risks for COTS information technology items and the impact of the risks to the mission; and updating DoD policy to require an assessment of supply chain risks as a condition for approval to be included on the Unified Capabilities Approved Products List. Of the seven recommendations, two are closed and five remain resolved and open.

**Information Required to Close the Recommendation:** The DoD OIG will close Recommendation 2.a once the USD(A&S) provides the updated version of DoD Instruction 5200.44 and the DoD OIG verifies that it addresses requirements for evaluating COTS items cybersecurity risks prior to their purchase, regardless of the purchase method. This recommendation has been open for over 1 year and 8 months. This is the first year this recommendation has appeared on the Compendium's list of high-priority recommendations.

**Why the Recommendation Is Important:** The DoD's reliance on a wide variety of COTS information technology items and the integration of those items into nearly all DoD systems and networks necessitates a DoD-wide effort to ensure that cybersecurity risks associated with COTS information technology items are identified, assessed, and mitigated before they compromise missions critical to national security. Purchasing secure COTS information technology items, while sometimes initially more costly, would decrease the risk of adversaries exploiting vulnerabilities that could compromise operations and should lower the overall cost of ownership by reducing the necessity to replace unsecure COTS information technology items that are later banned for use or pose unacceptable cybersecurity risks to the DoD.

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### **Report No. DODIG-2019-128, “Audit of U.S. Army Corps of Engineers Oversight of Contracts for Repair and Restoration of the Electric Power Grid in Puerto Rico,” September 30, 2019**

#### **FY 2021 Management Challenge** – Improving Financial Management and Budgeting

**Objective:** The objective of this audit was to determine whether the U.S. Army Corps of Engineers (USACE) properly monitored contractor labor hours and accurately reviewed and paid invoices for the Puerto Rico power grid repair and restoration contracts in accordance with Federal and DoD guidance.

On September 20, 2017, Hurricane Maria severely damaged the Puerto Rico power grid and left nearly all of Puerto Rico’s 1.5 million electric customers without power or communications. USACE Huntsville awarded two time-and-material contracts to one contractor for the repair and restoration of the Puerto Rico power grid. Contract W912DY-18-F-0003 (F-0003), awarded on October 15, 2017, was valued at \$505.8 million as of November 2018. Contract W912DY-18-F-0032 (F-0032), awarded on December 1, 2017, was valued at \$276.4 million as of November 2018.

USACE Jacksonville awarded a time-and-materials contract to a second contractor for the repair and restoration of the Puerto Rico power grid. Contract W912EP-18-C-0003 (C-0003), awarded on October 18, 2017, was valued at \$523 million as of the contract modification in May 2018.

Time-and-materials contracts are generally used in projects in which it is not possible to accurately estimate the size of the project, or when it is expected that the project requirements would most likely change. According to Federal and DoD guidance, time-and-materials contracts are the least favorable Government contract type because they provide no positive profit incentive to the contractor for cost control or labor efficiency. The Government assumes the cost risk, benefiting if the actual cost is lower than expected, or incurring additional expenses if the contractor does not complete the work within expected cost. The Federal Acquisition Regulation requires appropriate Government surveillance of contractor performance under time-and-materials contracts to give reasonable assurance that the contractor is using efficient methods and effective cost controls. The Federal Acquisition Regulation also states that a contractor is



responsible for accounting for costs appropriately and for maintaining records, including supporting documentation, adequate to demonstrate that costs claimed have been incurred, are allocable to the contract, and comply with applicable cost principles. The contracting officer may disallow all or part of inadequately supported or improperly charged claimed costs.

**Finding:** The DoD OIG determined that USACE Huntsville did not adequately monitor contractor labor hours worked or accurately review invoices to ensure contractor invoices corresponded to actual work performed on its two-power grid repair and restoration contracts. Specifically, USACE Huntsville contracting officials did not:

- provide appropriate surveillance of contractor performance to verify that labor hours billed were accurate;
- obtain adequate supporting documentation for labor hours billed before approving invoices for payment, such as individually certified timesheets, support for work that employees performed before their arrival in Puerto Rico, and support for work performed and overtime charged that was not specifically for power grid repair and restoration work;
- verify whether contractor employees met qualifications for labor categories included in the contracts before approving invoices for payment; or

*A contractor works on the power lines while in a bucket truck in San Juan, Puerto Rico for the U.S. Army Corps of Engineers*

*Source: U.S. Army Corps of Engineers.*





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- verify whether contractor employees exceeded the weekly labor hours allowed by USACE policy before approving invoices for payment.

This occurred because USACE Huntsville contracting officials did not have quality assurance procedures or written invoice review procedures that ensured adequate Government oversight of contractor labor hours worked and adequate documentation from the contractor to support labor hours billed before payment.

As a result, USACE Huntsville did not know whether contractor labor costs paid on 11 invoices, valued at \$258.9 million, were allowable in accordance with the terms of the contracts. Based on our testing of a sample of labor costs, the DoD OIG identified at least \$20.9 million paid by USACE that was unsupported and potentially unallowable.

Additionally, USACE Jacksonville did not adequately monitor contractor labor hours worked or accurately review invoices to ensure contractor invoices corresponded to actual work performed on a third power grid repair and restoration contract. Specifically, USACE Jacksonville contracting officials did not:

- provide appropriate surveillance of contractor performance to verify that labor hours billed were accurate;
- obtain adequate supporting documentation for labor hours billed before approving invoices for payment, such as individually certified timesheets; or
- review contractor labor rates or verify whether contractor employees met labor qualifications included in the contract.

This occurred because USACE Jacksonville contracting officials did not incorporate required elements of a time-and-materials contract into contract C-0003, such as labor qualifications and hourly rates, before approving invoices for payment, in accordance with Federal regulations. In addition, Defense Contract Audit Agency officials could not provide audit assistance to USACE Jacksonville because USACE Jacksonville contracting officials did not incorporate required elements of a time-and-materials contract, such as labor qualifications and required contract clauses, into contract C-0003. Furthermore, USACE Jacksonville contracting officials awarded a time-and-materials contract without determining whether the contractor's accounting system was acceptable, as required by DoD regulations. In addition, USACE Jacksonville contracting officials did not have quality assurance procedures or written invoice review procedures that ensured adequate Government oversight of contractor labor-hours worked and adequate documentation from the contractor to support labor hours billed before payment.

As a result, USACE Jacksonville did not know whether contractor labor costs paid on seven invoices, valued at \$61.3 million, were allowable in accordance with Federal regulations or terms of the contract. Based on our testing of labor costs, the DoD OIG identified at least \$29.2 million paid by USACE that was unsupported and potentially unallowable.

**Recommendation A.2.a:** The DoD OIG recommended that the Commander of the U.S. Army Engineering and Support Center, Huntsville, direct the contracting officers to review all labor and material costs for contracts F-0003 and F-0032 and determine whether they are supportable and allowable, in accordance with Federal Acquisition Regulation 31.201-2, “Determining Allowability.”

**Recommendation B.3:** The DoD OIG recommended that the Commander of the U.S. Army Corps of Engineers, Jacksonville District, direct contracting officials to review all labor and material costs for contract C-0003 and determine whether they are supportable and allowable in accordance with Federal Acquisition Regulation 31.201-2, “Determining Allowability,” and provide the DoD OIG with the results of the review. If contracting officials are unable to determine whether costs are allowable, they should work with Defense Contract Audit Agency officials to develop a total contract cost reduction to reduce total costs for contract C-0003.

**Management Response to the Recommendations:** The USACE Commanding General agreed with Recommendations A.2.a and B.3 and stated that, in accordance with FAR 52.216-7, “Allowable Cost and Payment,” and FAR 52.232-7, “Payments Under Time and Materials and Labor-Hour Contracts,” the contracting officers are performing an audit of the vouchers and supporting documentation before final payment on the contracts. USACE will adhere to the DoD OIG’s intent that final invoices without adequate supporting documentation should be considered unallowable. USACE will also determine appropriate action for any supported incurred costs that resulted in USACE safety violations.

Additionally, the Director of Contracting, Headquarters, USACE stated that if the DCAA is unable to determine cost allowability, contracting officials will determine whether USACE will pursue a cost reduction or other course of action with the contractor for contract C-0003. Other courses of action may include a cost-comparison analysis of unsupported costs based on supported costs from other contracts to settle costs for contract closeout.

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USACE also agreed to provide the DoD OIG with a summary of the results of voucher audits, including DCAA reports, and supporting documentation for voucher audits performed by USACE. The Commanding General added that the DCAA is assisting USACE and that the planned completion of these audits is June 2021.

**Implementation Status:** On February 11, 2021, the Army provided an update, indicating that Headquarters USACE was working with DCAA and an external audit firm to review all labor and material costs for contracts F-0003, F-0032, and C-0003 to determine whether they are supportable and allowable in accordance with Federal Acquisition Regulation 31.201-2, “Determining Allowability.” The target completion dates for Recommendations A.2.a and B.3 are December 15, 2021, and June 30, 2021, respectively.

In addition to Recommendations A.2.a and B.3, this report contained 14 recommendations related to developing, implementing, and requiring training on standard operating procedures for time-and-materials contracts that require: detailed quality assurance surveillance plans and invoice review procedures; specific labor qualifications for all labor categories in the contracts; and individually certified timesheets from contractors to support labor billed. The DoD OIG also recommended performing a review of the concerns addressed in this report regarding contract C-0003, identifying responsible personnel, and initiating as appropriate any administrative actions warranted by the review. Of the 16 recommendations, 9 are closed and 7 remain resolved and open.

**Information Required to Close the Recommendations:** The DoD OIG will close Recommendations A.2.a and B.3 after USACE provides summary results of the voucher audits and supporting documentation on contracts F-0003, F-0032, and C-0003, and any DCAA reports, along with any applicable costs that were determined unallowable. These recommendations have been open for 1 year and 6 months. This is the second year these recommendations have appeared on the Compendium’s list of high-priority recommendations.

**Why the Recommendations Are Important:** USACE could potentially recover \$50.1 million in unsupported and potentially unallowable payments. Disasters provide unique opportunities for fraud, abuse, and mismanagement, and proper controls and oversight of these contracts are important to ensure the proper use of taxpayer dollars and to ensure that the proper recipients receive the full benefit and use of Federal funds designated for relief and recovery.

## Report No. DODIG-2020-098, “Audit of Governance and Protection of Department of Defense Artificial Intelligence Data and Technology,” June 29, 2020 (Full Report is FOUO)

**FY 2021 Management Challenge** – Enhancing Cyberspace Operations and Capabilities, and Securing the DoD’s Information Systems, Networks, and Data

**Objective:** The objective of this audit was to determine the DoD’s progress in developing an artificial intelligence (AI) governance framework and standards, and to determine whether the DoD Components implemented security controls to protect AI data and technologies from internal and external cyber threats.

**Finding:** The DoD OIG determined that while the Joint Artificial Intelligence Center (JAIC) has taken some steps to develop and implement an AI governance framework and standards, additional actions are needed. Although the JAIC was established in June 2018, the JAIC Director was not designated as the senior official to coordinate DoD AI efforts until October 2019. According to JAIC officials, the lack of a formal designation hindered their ability to develop an AI governance framework and standards because they did not have the authority to coordinate AI activities across the DoD. JAIC officials stated that instead of developing an AI governance framework and standards, they focused on building the JAIC workforce, developing National Mission Initiatives, and adopting ethical principles for using AI. The DoD AI Strategy states that a well-designed AI governance framework can help support and protect U.S. Service members and civilians by improving readiness, equipment maintenance, and reducing operational costs. Effective implementation of AI throughout the DoD can also enhance the DoD’s ability to predict, identify, and respond to cyber and physical threats.

In December 2018, in response to an FY 2019 NDAA requirement to conduct a study on AI, the JAIC Director, commissioned the RAND Corporation (RAND) to conduct an assessment of the state of AI and recommend actions needed to improve the DoD’s AI posture. The RAND report, issued in December 2019, identified critical elements of the DoD’s AI posture that the JAIC should address when developing its AI governance framework and standards. We identified some of the same elements during our audit, along with other elements not mentioned in the RAND report. Specifically, when developing its AI governance framework and standards, the JAIC should:

- include a standard definition of AI and regularly, at least annually, consider updating the definition;
- develop a security classification guide to ensure the consistent protection of AI data;

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- develop a process to accurately account for AI projects;
- develop capabilities for sharing data;
- include standards for legal and privacy considerations; and
- develop a formal strategy for collaborating between the Military Services and DoD Components on similar AI projects.

Although those elements are not all-inclusive, including the elements in the governance framework and standards should help ensure that the JAIC can meet the responsibilities outlined in the FY 2019 NDAA, DoD AI Strategy, and Deputy Secretary of Defense memorandums. Developing a comprehensive governance framework during the emergence of AI will help fulfill the DoD's mission to protect the security of our Nation, by developing and deploying advanced AI capabilities that ensure the United States sustains its competitive military advantage over its adversaries. An effective governance framework should result in the ability to enforce compliance with decisions about technology use and procurement. In addition, an AI governance framework would enable the DoD to develop strong partnerships with commercial, academic, and international allies to help address global defense challenges.

**Recommendation A.1:** The DoD OIG recommended that the Director of the Joint Artificial Intelligence Center establish an artificial intelligence governance framework that includes:

- e. a central repository for storing and sharing tools, data, policies, and procedures related to artificial intelligence projects and technologies;
- f. standards for assessing legal and privacy considerations when developing and using artificial intelligence data and technologies; and,
- g. a strategy for identifying similar artificial intelligence projects and promoting the collaboration of artificial intelligence efforts across the DoD.

**Management Response to the Recommendations:** On April, 28, 2020, the DoD CIO, responding for the JAIC Director, agreed with Recommendation A.1.e, stating that the JAIC designed the Joint Common Foundation (JCF), which will provide a central repository for storing and sharing tools, data, policies, and procedures related to AI projects and technologies. The DoD CIO stated that the JCF will be a collaborative environment at multiple classification levels that will accelerate the development, testing, validation, and fielding of AI capabilities. He stated that the JCF will provide a repository for sharing source code, models, algorithms, and other artifacts, as well as access to leading-edge

AI and machine learning (ML) tools, frameworks, and other shared resources, such as high performance computing centers, test networks and ranges, and Government and commercial cloud services.

The DoD CIO partially agreed with Recommendation A.1.f, stating that the DoD CIO and JAIC agree with the importance of assessing legal and privacy considerations when developing and using AI data and technologies. However, the DoD CIO stated that there is no single standard that can be applied to legal and privacy considerations because every case is different. The DoD CIO also stated that rather than developing standards, the JAIC recommends developing and following standard operating procedures and processes, in coordination with the appropriate legal counsel. The DoD CIO stated that the JAIC also wants to underscore the importance of responsible and ethical development and employment of AI technologies, as noted in the Secretary of Defense's February 21, 2020, memorandum, "Artificial Intelligence Principles for the Department of Defense."

The DoD CIO agreed with Recommendation A.1.g, stating that the planned personnel growth of the JAIC in FY 2021 would provide the resources required to improve visibility into DoD-wide AI projects; enhance collaboration on AI efforts; and support eliminating duplicative or nonperforming projects. The DoD CIO stated that the JAIC Missions Directorate would focus on early and frequent interaction with users and Service program offices. In addition, the DoD CIO stated that the DoD AI governance forums would improve insight into existing and proposed AI projects across the DoD. Furthermore, the DoD CIO stated that the JAIC will establish a biannual AI portfolio review with all DoD Components, with the first review scheduled for mid-2020.

**Implementation Status:** According to a December 9, 2020, memo from the DoD CIO, the JCF awarded an integration contract to Deloitte in fourth quarter, FY 2020, which will work to provide operational capabilities through fourth quarter, FY 2021. JCF at initial operational capability (IOC), on track for second quarter, FY 2021, encompasses two major capabilities: an initial development and testing environment with common toolsets for machine learning; and centralized AI project, artifact, and data repositories available for viewing by a limited set of DoD users. In addition, JCF will expand its capabilities to additional users by fourth quarter, FY 2021, and JAIC will establish this as the DoD AI/ML repository for tools, data, algorithms, and models accessible to the DoD AI community, with a process for DoD and mission partner users to contribute and provide updates.



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The DoD CIO also stated that the JAIC is in the process of developing an AI governance framework that includes standards for assessing legal and privacy considerations when developing and using AI data and technologies. Additionally, the DoD CIO stated that the DoD CIO and the JAIC are developing additions to the investment repository tool that will enable the DoD to identify AI projects that are similar either in mission and function or technology solution. The JAIC will use the DoD Artificial Intelligence Working Group AIWG to collaborate and synchronize across similar AI projects by having Military Services and Components regularly brief their AI projects to create awareness and provide opportunities for collaboration.

In addition to Recommendations A.1.e, A.1.f, and A.1.g, this report contained 31 recommendations related to developing and implementing a plan to correct the security control weaknesses identified at facilities that manage artificial intelligence projects, which includes using strong passwords, monitoring networks and systems for unusual activity, locking systems after inactivity, and implementing physical security controls. Of the 34 recommendations, 13 are closed and 21 remain resolved and open.

**Information Required to Close the Recommendations:** The DoD OIG will close Recommendation A.1.e once the JAIC Director has established the JCF repository, and implemented a process for updating the repository and disseminating that



*A prototype robot uses artificial intelligence and rapid data analytics to detect and counter threats to U.S. military assets in space and possible attacks on the U.S. homeland with missiles or other means*

*Source: U.S. Air Force.*

process to DoD Military Services and Components. The DoD OIG will close Recommendation A.1.f once the JAIC Director provides the DoD OIG final standard operating procedures and processes that provide DoD Components and contractors the necessary guidance for assessing the legal implications of using AI in an operational environment to prevent violations of current laws and civil liberties. The DoD OIG will close Recommendation A.1.g once the JAIC Director's provides the DoD OIG the strategy for identifying similar AI projects and collaborating across the DoD on those projects.

These recommendations have been open 9 months and 10 days. This is the first year these recommendations have appeared on the Compendium's list of high priority recommendations.

**Why the Recommendations Are Important:** AI is one of the emerging technologies that the DoD is implementing to modernize its operations. Therefore, developing a comprehensive governance framework during the emergence of AI will help fulfill the DoD's mission to protect the security of our Nation by developing and deploying advanced AI capabilities. An effective governance framework will result in the ability to enforce compliance with decisions about technology use and procurement. In addition, an AI governance framework would allow the DoD to develop strong partnerships with our allies to help address global defense challenges.

Developing a central repository for data and tools increases the DoD's ability to decentralize, which would allow DoD Components to contribute to the quality of AI projects across the DoD and not just for a specific project. The DoD Chief Information Officer established the JAIC in 2018, with the goal of delivering AI-enabled capabilities across the DoD and developing an AI governance and framework. An effective governance framework allows the JAIC to require DoD Components that develop and deploy AI capabilities to comply with decisions related to the use and procurement of AI technologies. The DoD must incorporate cybersecurity requirements during the development of new technologies to maintain its technological advantage against adversaries and malicious actors; protect U.S. Service members; safeguard U.S. citizens; defend allies and partners; and improve the affordability, effectiveness, and speed of operations.

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### Report No. DODIG-2020-112, “Evaluation of Access to Mental Health Care in the Department of Defense,” August 10, 2020

**FY 2021 Management Challenge** – Ensuring Health and Safety of Military Personnel, Retirees, and Their Families

**Objective:** The objective of this evaluation was to determine whether the DoD meets outpatient mental health access to care standards for active duty Service members and their families, in accordance with law and applicable DoD policies.

**Finding:** The DoD did not consistently meet outpatient mental health access to care standards for active duty Service members and their families, in accordance with law and applicable DoD policies. The DoD did not consistently meet outpatient mental health access to care standards because the DHA:

- lacked a Military Health System-wide model to identify appropriate levels of staffing in direct and purchased care;
- published inconsistent and unclear access to mental health care policies;
- did not have visibility of patients who attempted, but were unable, to obtain mental health appointments in the purchased care system; and
- measured the 28-day specialty access to care standard differently between the direct and purchased care systems, both of which included only those patients who were able to get an appointment, excluded patients who self-referred, and considered only the patients’ first appointment.

As a result, thousands of active duty Service members and their families might have experienced delays in obtaining mental health care. The delays could have involved numerous members being unable to: (1) see the right provider at the right time, (2) obtain mental health care at all, or (3) receive timely follow-up treatment. All of these types of delays in mental health care increase the risk of jeopardizing patient safety and affecting the readiness of the force. For example, in June 2019, active duty Service members and their families referred to the TRICARE network waited 57 days for behavioral health counseling and therapy intake, and 79 days for psychiatry, on average, at Naval Health Clinic Oak Harbor.

**Recommendation 2.a:** The DoD OIG recommended that the Defense Health Agency (DHA) Director develop a single Military Health System-wide staffing approach for the Behavioral Health System of Care that estimates the number of appointments and personnel required to meet the enrolled population’s demand for mental health services.

**Management Response to the Recommendation:** On July 26, 2020, the DHA Director agreed with the recommendation and stated that the TRICARE network was currently executing care under a standard staffing model, which will continue in the next generation of TRICARE managed care support contracts. The DHA Director stated that authority over Military Treatment Facilities (MTFs) does not extend to active duty manning models, and that the DHA is in the early of stages of establishing the markets through which the DHA will implement its authority over the MTFs.

**Implementation Status:** On October 21, 2020, DHA reported that as it assumes authority over MTFs and Markets through the transition process, DHA will develop a Military Health System-wide staffing approach based on aligning behavioral health providers and support staff at MTFs and Markets and will rely on the TRICARE network to provide behavioral health care not available in the direct care system.<sup>32</sup> The TRICARE network is currently executing care under a standard staffing model and has also included this in the next-generation “T-5 TRICARE managed care support contracts.” According to DHA, the model in T-5 will utilize the anticipated number of appointments required to determine the minimum number of Network providers required in a given geographic area, based on a retrospective assessment of patient demand and predictive analytics based on a population health model. On February 9, 2021, DHA informed the DoD OIG that the estimated completion date is September 30, 2024.

In addition to Recommendation 2.a, this report contained 13 recommendations related to improving access to mental health care in the DoD, identifying appropriate staffing levels, updating and clarifying DoD and DHA policies, and developing standardized mental health access to care measures. All 14 recommendations remain resolved and open.

**Information Required to Close the Recommendation:** The DoD OIG will close Recommendations 2.a when we receive a copy of the single Military Health System-wide staffing approach for the Behavioral Health System of Care that estimates the number of appointments and personnel required to meet the enrolled population’s demand for mental health services.

This recommendation has been open for 7 months and 21 days. This is the first year this recommendation has appeared on the Compendium’s list of high-priority recommendations.

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<sup>32</sup> A Market is a group of military treatment facilities that operate as a system: sharing patients, providers, functions, and budgets, across facilities in order to improve the delivery and coordination of health services to drive value for beneficiaries.

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**Why the Recommendation Is Important:** Delays in mental health care increase the risk of jeopardizing patient safety and can negatively affect the readiness of the force. The DoD's Military Health System provides mental health care to active duty Service members and their families through military medical treatment facilities (direct care system) and through networks of civilian providers operated by civilian managed care support contractors (purchased care system). The DoD's inability to consistently meet standards for mental health appointment availability was partially due to the DHA not having a Military Health System-wide model to identify appropriate levels of staffing in the direct and purchased care systems. Mental health staffing levels at the MTFs and in the TRICARE network are currently determined by an assortment of models developed by the DHA, the Military Services, and the TRICARE managed-care support contractors. The Military Health System is currently undergoing a transformation intended to improve the readiness of the force and the health care provided to warfighters and their families. As part of this effort, the DoD has an opportunity to resolve its inability to meet access to care standards by identifying the number of mental health care providers and the number of appointments required across the Military Health System to meet patient demand for mental health services.

### Status of 2020 High-Priority Open Recommendations

In our 2020 Compendium, we highlighted 35 recommendations for the DoD to prioritize.<sup>33</sup> As of March 31, 2021, the DoD implemented 7 of the 35 high-priority recommendations identified in the 2020 Compendium. Of the 35 high-priority recommendations in the 2020 Compendium, 12 are highlighted again in this year's Compendium, with 9 recommendations summarized in Chapter 1 and 3 classified recommendations summarized in Appendix B. The 16 remaining recommendations highlighted in last year's Compendium, while not highlighted in this year's Compendium, are still important and the DoD should continue to prioritize them. The table below provides a status on the 26 unclassified recommendations highlighted in the 2020 Compendium.

<sup>33</sup> Nine of the 35 high-priority recommendations were made in classified reports and summarized in Appendix B of the 2020 Compendium.

**Table. Status of 2020 High-Priority Recommendations as of March 31, 2021**

Status of 2020 High-Priority Recommendations			
	Report Number, Title, Publication Date	Recommendation Number and Text	Status
1	Report No. DODIG-2014-101, "Delinquent Medical Service Accounts at Brooke Army Medical Center Need Additional Management Oversight," August 13, 2014	<b>Recommendation 1.b:</b> The DoD OIG recommended that the Brooke Army Medical Center Commander review, research, and pursue collections on the remaining open delinquent medical service accounts.	This recommendation is resolved but remains open. It is included in the 2021 listing of high-priority recommendations.
2	Report No. DODIG-2015-016, "Department of Defense Suicide Event Report Data Quality Assessment," November 14, 2014	<b>Recommendation 2.a:</b> The DoD OIG recommended that the Under Secretary of Defense for Personnel and Readiness publish guidance requiring suicide event boards to establish a multidisciplinary approach for obtaining the data necessary to make comprehensive DoD Suicide Event Report submissions.  For each suicide death, the board should: <ol style="list-style-type: none"> <li>1. be a locally (command or installation level) chartered board with defined task, purpose, and outcome for each suicide death review;</li> <li>2. include participation by unit leadership, medical and mental health organizations, and Military Criminal Investigative organizations; and</li> <li>3. articulate the requirement to appropriately share information (for example, medical and law enforcement reports) from ongoing investigations.</li> </ol>	This recommendation is resolved but remains open. It is included in the 2021 listing of high-priority recommendations.

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Status of 2020 High-Priority Recommendations			
	Report Number, Title, Publication Date	Recommendation Number and Text	Status
3	Report No. DODIG-2015-016, "Department of Defense Suicide Event Report Data Quality Assessment," November 14, 2014	<b>Recommendation 4.a:</b> The DoD OIG Secretary of Defense for Personnel and Readiness authorize senior commanders to produce unit/installation reports to better understand suicide trends, make informed local suicide prevention policy, and relate their trends to Service and DoD trends.	This recommendation is resolved but remains open. The DoD OIG will close this recommendation when DoD Instruction 6490.16, sections 2.16 and 2.18, are revised to provide guidance to senior commanders, authorizing them to produce unit/installation reports to better understand suicide trends, make informed local suicide prevention policy and relate their trends to Service and DoD levels. No estimated completion date has been provided.  In order to highlight other recommendations, this recommendation is not included in the 2021 listing of high-priority recommendations.
4	Report No. DODIG-2016-026, "Combat Mission Teams and Cyber Protection Teams Lacked Adequate Capabilities and Facilities to Perform Missions," November 24, 2015 (Full Report is Classified)	<b>Recommendation 1:</b> The DoD OIG recommended that the Commander of U.S. Cyber Command, the Chiefs of Staff for the U.S. Army and U.S. Air Force, the Chief of Naval Operations, and the Commandant of the Marine Corps develop a doctrine, organization, training, materiel, leadership and education, personnel, facilities, and policy framework that addresses the strategies to build, grow, and sustain the Cyber Mission Force.	This recommendation is resolved but remains open. The DoD OIG will close the recommendation when we receive evidence that U.S. Cyber Command has developed a doctrine, organization, training, materiel, leadership and education, personnel, facilities, and policy framework that addresses building, growing, and sustaining the Cyber Mission Force. No estimated completion date has been provided.  A followup audit to determine the status of corrective actions is expected to be announced in fourth quarter FY 2021. As a result, this recommendation is not included in the 2021 listing of high-priority recommendations.



Status of 2020 High-Priority Recommendations			
	Report Number, Title, Publication Date	Recommendation Number and Text	Status
5	Report No. DODIG-2016-026, "Combat Mission Teams and Cyber Protection Teams Lacked Adequate Capabilities and Facilities to Perform Missions," November 24, 2015 (Full Report is Classified)	<b>Recommendation 1:</b> The DoD OIG recommended that the Commander of U.S. Cyber Command, the Chiefs of Staff for the U.S. Army and U.S. Air Force, the Chief of Naval Operations, and the Commandant of the Marine Corps develop	This recommendation is resolved but remains open. The DoD OIG will close the recommendation when the Marine Corps provides evidence that it developed a doctrine, organization, training, materiel, leadership and education, personnel, facilities, and policy framework that addresses building, growing, and sustaining the Cyber Mission Force. No estimated completion date has been provided.  A followup audit to determine the status of corrective actions is expected to be announced in fourth quarter FY 2021. As a result, this recommendation is not included in the 2021 listing of high-priority recommendations.
6	Report No. DODIG-2017-004, "Summary Report—Inspections of DoD Facilities and Military Housing and Audits of Base Operations and Support Services Contracts,"	<b>Recommendation C:</b> The DoD OIG recommended that the Under Secretary of Defense for Acquisition, Technology, and Logistics, establish a permanent policy for the sustainment of facilities, including standardized facility inspections. This policy should incorporate the requirements in the September 10, 2013, "Standardizing Facility Condition Assessments," and in the April 29, 2014, "Facility Sustainment and Recapitalization Policy," memorandums.	This recommendation is resolved but remains open. It is included in the 2021 listing of high-priority recommendations.
7	Report No. DODIG-2018-018, "Implementation of the DoD Leahy Law Regarding Allegations of Child Sexual Abuse by Members of the Afghan National Defense and Security Forces," November 16, 2017	<b>Recommendation B.2:</b> The DoD OIG recommended that the Secretary of Defense establish the specific process by which DoD Leahy Law credible information determinations are made.	This recommendation is resolved but remains open. It is included in the 2021 listing of high-priority recommendations.

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Status of 2020 High-Priority Recommendations			
	Report Number, Title, Publication Date	Recommendation Number and Text	Status
8	Report No. DODIG-2018-018, "Implementation of the DoD Leahy Law Regarding Allegations of Child Sexual Abuse by Members of the Afghan National Defense and Security Forces," November 16, 2017	<b>Recommendation B.3:</b> The DoD OIG recommended that the Deputy Assistant Secretary of Defense for Afghanistan, Pakistan, and Central Asia establish and implement a records management policy for all alleged gross violations of human rights in Afghanistan. Specifically, this policy should require the Deputy Assistant Secretary of Defense for Afghanistan, Pakistan, and Central Asia to maintain documentation sufficient to identify how and why credible information determinations were made and to clearly identify what credibility determinations were made in each case.	This recommendation is resolved but remains open. It is included in the 2021 listing of high-priority recommendations.
9	Report No. DODIG-2018-035, "Evaluation of Fingerprint Card and Final Disposition Report Submissions by Military Service Law Enforcement Organizations," December 4, 2017	<b>Recommendation C.1.a:</b> The DoD OIG recommended that the Navy take prompt action to submit to the Federal Bureau of Investigation (FBI) Criminal Justice Information Services (CJIS) the 159 Naval Criminal Investigative Service (NCIS) fingerprint cards and 203 NCIS final disposition reports that are not in the FBI Next Generation Identification database.	This recommendation closed on March 5, 2021. The DoD OIG completed a review of the National Crime Information Center Criminal History Reports (rap sheets) provided by NCIS and determined that all fingerprints and dispositions found missing during their evaluation were submitted to the FBI Criminal Justice Information Services Division.
10	Report No. DODIG-2018-035, "Evaluation of Fingerprint Card and Final Disposition Report Submissions by Military Service Law Enforcement Organizations," December 4, 2017	<b>Recommendation D.1.a:</b> The DoD OIG recommended that the Navy take prompt action to submit to the Federal Bureau of Investigation (FBI) Criminal Justice Information Service the 38 Navy Security Forces fingerprint cards and 40 Navy Security Forces final disposition reports that are not in the FBI Next Generation Identification database.	This recommendation is resolved but remains open. The DoD OIG will close this recommendation when the Navy provides documentation from the FBI that the 38 missing fingerprint cards are in the Next-Generation Identification database.  Because the Navy has demonstrated progress in implementing this recommendation, it is not included in the 2021 listing of high-priority recommendations.

Status of 2020 High-Priority Recommendations			
	Report Number, Title, Publication Date	Recommendation Number and Text	Status
11	Report No. DODIG-2018-035, "Evaluation of Fingerprint Card and Final Disposition Report Submissions by Military Service Law Enforcement Organizations," December 4, 2017	<b>Recommendation G.1.a:</b> The DoD OIG recommended that Secretary of the Navy and Commandant of the Marine Corps take prompt action to submit to the FBI CJIS the 37 fingerprint cards and 46 final disposition reports of the Marine Corps that are not on file in the FBI Next Generation Identification database.	This recommendation is resolved but remains open. The DoD OIG will close this recommendation when the Marine Corps provides documentation from the FBI that the 37 missing fingerprint cards are in the Next-Generation Identification database.  Because the Marine Corps has demonstrated progress in implementing this recommendation, it is not included in the 2021 listing of high-priority recommendations.
12	Report No. DODIG-2019-060, "Reviews of Parts Purchased From TransDigm Group, Inc.," February 25, 2019 (Full Report is FOUO)	<b>Recommendation 4.a:</b> The DoD OIG recommended that the Defense Pricing and Contracting Principal Director examine the United States Code, Federal Acquisition Regulation, Defense Federal Acquisition Regulation Supplement, and the Defense Federal Acquisition Regulation Supplement Procedures, Guidance, and Information, to determine changes needed in the acquisition process of parts produced or provided from a sole source to ensure that contracting officers obtain uncertified cost data when requested and that the DoD receives full and fair value in return for its expenditures.	This recommendation is resolved but remains open.  The DoD OIG is waiting to confirm whether DoD-drafted legislative proposals #285 and #289 will be enacted in the NDAA for FY 2022.  Because the Defense Pricing and Contracting Principal Director has demonstrated progress in implementing this recommendation, it is not included in the 2021 listing of high-priority recommendations.
13	Report No. DODIG-2019-060, "Reviews of Parts Purchased From TransDigm Group, Inc.," February 25, 2019 (Full Report is FOUO)	<b>Recommendation 4.d:</b> The DoD OIG recommended that the Defense Pricing and Contracting Principal Director incorporate the requirements from the revised memorandum into the Defense Federal Acquisition Regulation Supplement and the Defense Federal Acquisition Regulation Supplement Procedures, Guidance, and Information.	This recommendation was closed on March 9, 2021, because Defense Pricing and Contracting officials incorporated the requirements set forth in the Defense Pricing and Contracting memorandum "Process and Reporting Requirements Pertaining to Contractor Denials of Contracting Officer Requests for Data Other than Certified Cost or Pricing Data," March 22, 2019, into the Defense Federal Acquisition Regulation Supplement Procedures, Guidance, and Information SUBPART 215.403-3(6).

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Status of 2020 High-Priority Recommendations			
	Report Number, Title, Publication Date	Recommendation Number and Text	Status
14	Report No. DODIG-2019-060, "Reviews of Parts Purchased From TransDigm Group, Inc.," February 25, 2019 (Full Report is FOUO)	<p><b>Recommendation 4.e:</b> The DoD OIG recommended that the Defense Pricing and Contracting Principal Director establish a team of functional experts to analyze data reported as a result of the revised and updated memorandum. The team of functional experts would:</p> <ol style="list-style-type: none"> <li>1. 1. assess parts and contractors deemed to be at high risk for unreasonable pricing and identify trends; and</li> <li>2. 2. perform price analysis and cost analysis of high-risk parts to identify lower cost alternatives or fair and reasonable pricing for future procurements.</li> </ol>	This recommendation was closed on February 26, 2021, because the Defense Pricing and Contracting Acting Principal Director established a DoD Cadre of Pricing Experts (the cadre), comprised of experienced pricing individuals from across the DoD. To augment the cadre, the Acting Principal Director established and funded the Price Challenge program to review certain parts for which the contracting workforce expressed concern about unreasonable pricing through the cadre or from OSD-led peer reviews. Since their establishment, the cadre and Price Challenge program's combined efforts have resulted in best practices, lessons learned, and significant savings for the DoD in the purchase of high-risk parts as well as the identification of fair and reasonable pricing for future procurements.
15	Report No. DODIG-2019-062, "Audit of Management of Government-Owned Property Supporting the F-35 Program," March 13, 2019	<p><b>Recommendation 2.c:</b> The DoD OIG recommended that the F-35 Program Executive Officer, before the F-35 Program Office makes a decision to begin full-rate production of the F-35, ensure that the component property lead and accountable property officer reconcile all F-35 Program Government-furnished property by performing a complete inventory of delivered property and use the result of the inventory to establish a baseline property record in its accountable property system of record.</p>	This recommendation is resolved but remains open. It is included in the 2021 listing of high-priority recommendations.

Status of 2020 High-Priority Recommendations			
	Report Number, Title, Publication Date	Recommendation Number and Text	Status
16	Report No. DODIG-2019-062, "Audit of Management of Government-Owned Property Supporting the F-35 Program," March 13, 2019	<b>Recommendation 3.a:</b> The DoD OIG recommended that the F-35 Program Executive Officer direct F-35 Program Office officials, in coordination with the Defense Contract Management Agency and the prime contractor, before a decision to begin full-rate production of the F-35 is made, reach an agreement for how to implement processes and procedures to transition F-35 Program contractor-acquired property to Government-furnished property from original contracts to subsequent contracts in accordance with the Defense Federal Acquisition Regulation Supplement.	This recommendation is resolved but remains open. The DoD OIG will close this recommendation when we receive a copy of the agreement between the F-35 Program Office and the Defense Contract Management Agency for how the Contractor-Acquired Property (CAP) will be transitioned to Government-furnished property (GFP).  In order to highlight other recommendations, this recommendation is not included in the 2021 listing of high-priority recommendations.
17	Report No. DODIG-2019-062, "Audit of Management of Government-Owned Property Supporting the F-35 Program," March 13, 2019	<b>Recommendation 3.b:</b> The DoD OIG recommended that the F-35 Program Executive Officer direct F-35 Program Office officials, in coordination with the Defense Contract Management Agency and the prime contractor, before a decision to begin full-rate production of the F-35 is made, upon completion of Recommendation 3.a, ensure contractor-acquired property procured on past contracts is transitioned to Government-furnished property on contracting actions as required by the Defense Federal Acquisition Regulation Supplement.	This recommendation is resolved but remains open. The DoD OIG will close this recommendation when we receive a copy of the document that shows that CAP was transitioned to GFP from past F-35 contracts.  In order to highlight other recommendations, this recommendation is not included in the 2021 listing of high-priority recommendations.
18	Report No. DODIG-2019-062, "Audit of Management of Government-Owned Property Supporting the F-35 Program," March 13, 2019	<b>Recommendation 3.c:</b> The DoD OIG recommended that the F-35 Program Executive Officer direct F-35 Program Office officials, in coordination with the Defense Contract Management Agency and the prime contractor, before a decision to begin full-rate production of the F-35 is made and upon completion of Recommendation 3.a, ensure the required delivery of contractor-acquired property identified as special tooling or special test equipment for accountability and management purposes as required by the Defense Federal Acquisition Regulation Supplement.	This recommendation is resolved but remains open. The DoD OIG will close this recommendation when we receive a copy of the document that shows that special tooling and special test equipment currently identified as CAP was transitioned to GFP.  In order to highlight other recommendations, this recommendation is not included in the 2021 listing of high-priority recommendations.

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Status of 2020 High-Priority Recommendations			
	Report Number, Title, Publication Date	Recommendation Number and Text	Status
19	Report No. DODIG-2019-085, "Audit of the Defense Security Cooperation Agency-Security Assistance Accounts," May 8, 2019	<b>Recommendation A.1.f.8:</b> The DoD OIG recommended that the Defense Security Cooperation Agency Director work with the Defense Finance and Accounting Service–Indianapolis Director to recover and transfer into the Special Defense Acquisition Fund account all authorized collections dating back to FY 2012 that the Defense Finance and Accounting Service did not transfer into the Special Defense Acquisition Fund account.	This recommendation is resolved but remains open. The DoD OIG will close this recommendation when the Defense Security Cooperation Agency and DFAS provide supporting documentation on the recovery and transferring into the Special Defense Acquisition Fund account all authorized collections dating back to FY 2012.  In order to highlight other recommendations, this recommendation is not included in the 2021 listing of high-priority recommendations.
20	Report No. DODIG-2019-094, "Audit of F-35 Ready-For-Issue Spare Parts and Sustainment Performance Incentive Fees," June 13, 2019	<b>Recommendation A.1:</b> The DoD OIG recommended that the Program Executive Officer for the F-35 Joint Program Office, in coordination with the Defense Contract Management Agency, pursue compensation from the contractor for costs of non-Ready-For-Issue spare parts that have been delivered since 2015 on the sustainment contracts.	This recommendation was closed on March 19, 2021. Defense Contract Management Agency officials investigated the Electronic Equipment Logbook errors that drove the Non-Ready-For-Issue spare parts issue. They determined culpability for those errors and then worked with the F-35 Joint Program Office and Lockheed Martin Aeronautics (Lockheed Martin) to pursue compensation from the contractor for costs of non-Ready-For-Issue spare parts delivered since 2015 on the sustainment contracts. These corrective actions resulted in \$70,588,877 of monetary benefits.

Status of 2020 High-Priority Recommendations			
	Report Number, Title, Publication Date	Recommendation Number and Text	Status
21	Report No. DODIG-2019-094, "Audit of F-35 Ready-For-Issue Spare Parts and Sustainment Performance Incentive Fees," June 13, 2019	<b>Recommendation A.2:</b> The DoD OIG recommended that the Program Executive Officer for the F-35 Joint Program Office direct the Contracting Officer to add language to the future F-35 sustainment contracts to allow the DoD to collect compensation for each non-Ready-For-Issue spare part provided by the contractor.	This recommendation is resolved but remains open. The DoD OIG will close this recommendation when we receive documentation supporting that changes are made to future sustainment contracts that will legally allow the government to obtain compensation when non-Ready-For-Issue spare parts are delivered by the contractor.  In order to highlight other recommendations, this recommendation is not included in the 2021 listing of high-priority recommendations.



# CHAPTER 1

Status of 2020 High-Priority Recommendations			
	Report Number, Title, Publication Date	Recommendation Number and Text	Status
22	Report No. DODIG-2019-094, "Audit of F-35 Ready-For-Issue Spare Parts and Sustainment Performance Incentive Fees," June 13, 2019	<p><b>Recommendation A.3:</b> The DoD OIG recommended that the Program Executive Officer for the F-35 Joint Program Office direct the Lead Contracting Officer's Representative to update the Quality Assurance Surveillance Plan, approve the site surveillance plans, and require the Contracting Officer's Representatives to provide monthly information on contractor performance, including:</p> <ul style="list-style-type: none"> <li>• The number of non-Ready-For-Issue spare parts received.</li> <li>• The manual processes used by the DoD to correct non-Ready-For-Issue problems.</li> </ul>	<p>This recommendation is resolved but remains open. The DoD OIG will close this recommendation when we receive supporting documentation that demonstrates electronic Quality Assurance Surveillance Plan provides evidence that the Lead Contracting Officer's Representative updates and approves the Quality Assurance Surveillance Plan and site surveillance plans and that the Contracting Officer's Representatives are providing contractor performance information monthly related to:</p> <ul style="list-style-type: none"> <li>• The number of non-Ready-For-Issue spare parts received.</li> <li>• The manual processes used by the DoD to correct non-Ready-For-Issue problems.</li> <li>• The manual processes used by the F-35 sites to keep aircraft flying when non-Ready-For-Issue spare parts are used and the associated increase in availability hours.</li> <li>• The total F-35 aircraft availability hours.</li> </ul> <p>In order to highlight other recommendations, this recommendation is not included in the 2021 listing of high-priority recommendations.</p>

Status of 2020 High-Priority Recommendations			
	Report Number, Title, Publication Date	Recommendation Number and Text	Status
23	Report No. DODIG-2019-094, "Audit of F-35 Ready-For-Issue Spare Parts and Sustainment Performance Incentive Fees," June 13, 2019	<b>Recommendation A.4:</b> The DoD OIG recommended that the Program Executive Officer for the F-35 Joint Program Office direct the Lead Contracting Officer's Representative to assign Contracting Officer's Representatives to provide oversight at all F-35 sites and collect contractor performance data from the Contracting Officer's Representatives and the Defense Contract Management Agency to identify systemic contractor performance problems.	This recommendation is resolved but remains open. The DoD OIG will close this recommendation when we receive documentation showing that F-35 Contracting Officer's Representatives are assigned at all F-35 sites and documentation detailing the Lead Contracting Officer's process for collecting (and using) contractor performance data from the Contracting Officer's Representatives and the Defense Contract Management Agency to identify systemic contractor performance problems.  In order to highlight other recommendations, this recommendation is not included in the 2021 listing of high-priority recommendations.

# CHAPTER 1

Status of 2020 High-Priority Recommendations			
	Report Number, Title, Publication Date	Recommendation Number and Text	Status
24	Report No. DODIG-2019-105, "Audit of Protection of DoD Controlled Unclassified Information on Contractor-Owned Networks and Systems," July 23, 2019 (Full Report is FOUO)	<p><b>Recommendation A.2:</b> The DoD OIG recommended that the Principal Director for Defense Pricing and Contracting, in coordination with the appropriate DoD Component responsible for developing policy:</p> <ul style="list-style-type: none"> <li>a. revise its current policy to require DoD Component contracting offices, as part of the Request for Proposal and source selection processes, and requiring activities, during the performance of the contract, to assess whether contractors comply with the National Institute of Standards and Technology requirements for protecting controlled unclassified information before contract award and throughout the contracts' period of performance.</li> <li>b. develop and implement policy requiring DoD Component contracting offices and requiring activities to maintain an accurate accounting of contractors that access, maintain, or develop controlled unclassified information as part of their contractual obligations.</li> <li>c. revise its current policy to include language that will require DoD Component contracting offices and requiring activities to validate contractor compliance with National Institute of Standards and Technology Special Publication 800-171 requirements.</li> <li>d. require DoD Component contracting offices, in coordination with DoD requiring activities, to develop and implement a risk-based process to verify that contractors comply with the Defense Federal Acquisition Regulation Supplement clause 252.204-7012 for protecting controlled unclassified information.</li> <li>e. require DoD Component contracting offices, in coordination with DoD requiring activities, to take corrective actions against contractors that fail to meet the National Institute of Standards and Technology and contract requirements for protecting controlled unclassified information.</li> </ul>	This recommendation is resolved but remains open. It is included in the 2021 listing of high-priority recommendations.

Status of 2020 High-Priority Recommendations			
	Report Number, Title, Publication Date	Recommendation Number and Text	Status
25	Report DODIG-2019-128, "Audit of U.S. Army Corps of Engineers Oversight of Contracts for Repair and Restoration of the Electric Power Grid in Puerto Rico," September 30, 2019	<b>Recommendation A.2.a:</b> The DoD OIG recommended that the Commander of U.S. Army Engineering and Support Center, Huntsville, direct the contracting officers to review all labor and material costs for contracts F-0003 and F-0032 and determine whether they are supportable and allowable, in accordance with Federal Acquisition Regulation 31.201-2, "Determining Allowability."	This recommendation is resolved but remains open. It is included in the 2021 listing of high-priority recommendations.
26	Report DODIG-2019-128, "Audit of U.S. Army Corps of Engineers Oversight of Contracts for Repair and Restoration of the Electric Power Grid in Puerto Rico," September 30, 2019	<b>Recommendation B.3:</b> The DoD OIG recommended that the Commander of the U.S. Army Corps of Engineers, Jacksonville District, direct contracting officials to review all labor and material costs for contract C-0003 and determine whether they are supportable and allowable in accordance with Federal Acquisition Regulation 31.201-2, "Determining Allowability," and provide the DoD OIG with the results of the review. If contracting officials are unable to determine whether costs are allowable, they should work with Defense Contract Audit Agency officials to develop a total contract cost reduction to reduce total costs for contract C-0003.	This recommendation is resolved but remains open. It is included in the 2021 listing of high-priority recommendations.





## CHAPTER 2

### Open Recommendations Containing Potential Monetary Benefits

DoD OIG reports also provide information on the estimated potential monetary benefits that can be achieved based on DoD management implementation of report recommendations. The DoD OIG staff calculates projected potential monetary benefits during the performance of an audit or evaluation and includes them as part of a recommendation when providing the draft report to DoD management for comments. The potential monetary benefits are also included in the publicly released final report. However, reported potential monetary benefits do not always translate into an equal amount of recovered funds or savings upon further review by DoD management or implementation of actions in response to the associated recommendations. This is because potential monetary benefits are estimates at a point in time based on available information. While potential monetary benefits may be addressed by the recovery of funds, they also may be addressed by (1) providing contemporaneous supporting documentation that was unavailable to the auditors at the time of the audit; (2) applying additional allowable costs to a project or program to offset the reported potential monetary benefit; or (3) providing a justification by a properly authorized DoD official, such as the Deputy Secretary of Defense, explaining why the recommendation containing the potential monetary benefit will not be implemented.

As of March 31, 2021, there were 45 open recommendations from 25 DoD OIG reports, with associated potential monetary benefits of \$6 billion. This chapter lists the 25 final reports, the 45 open recommendations, and the associated potential monetary benefits. The vast majority of the potential monetary benefits associated with the 45 open

recommendations resulted from reports related to acquisition and contract management. These recommendations affect the DoD's management of the third-party collection program for medical claims, procurement of parts at fair and reasonable prices, and DoD compliance with acquisition regulations.

Potential monetary benefits can be classified as questioned costs or funds that could be put to better use. Questioned costs are identified from an alleged violation of a law, regulation, contract, grant, cooperative agreement, or other agreements or documents governing the expenditures of funds or reimbursement of costs. Questioned costs may also be costs that were not supported by adequate documentation at the time of the DoD OIG review or unnecessary or unreasonable expenditure of funds for an intended purpose. For example, in Report No. DODIG-2021-047, "Evaluation of Department of Defense Contracting Officer Actions on Questioned Direct Costs," January 21 2021, the DoD OIG determined that for 12 of 26 Defense Contract Audit Agency (DCAA) audit reports, Defense Contract Management Agency (DCMA) contracting officers did not comply with DoD Instruction 7640.02, "Policy for Follow-up on Contract Audit Reports," April 15, 2015, and DCMA policy because they did not settle, or coordinate the settlement of, \$231.5 million in questioned direct costs. In addition, the DCMA divisional administrative contracting officers closed the associated records in the Contract Audit Follow-Up system for the 12 audit reports even though the \$231.5 million of the \$258 million in reported questioned direct costs were not settled. Specifically, of the 12 DCAA audit reports, the DCMA contracting officers did not settle, or coordinate the settlement of:

- any of the \$193.1 million in questioned direct costs identified in 2 of the 12 audit reports; and
- \$38.4 million of \$64.9 million in questioned direct costs identified in 10 of the 12 audit reports.

DCMA contracting officers did not comply with DoD Instruction 7640.02 and DCMA policy because:

- The DCMA lacks adequate guidance for identifying and coordinating with other contracting officers who are responsible for settling questioned direct costs;
- DCMA supervisors and the DCMA Office of Inspector General did not provide effective oversight of the DCMA divisional administrative contracting officers' actions for settling questioned direct costs; and

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- DCMA Manual 2201-3, “Final Indirect Cost Rates,” February 14, 2019, states that DCMA administrative contracting officers must settle questioned direct costs. The DCMA divisional administrative contracting officers must coordinate with the DCMA administrative contracting officers, other DoD Component contracting officers, or other Government agency contracting officers who have the responsibility for settling any questioned direct costs identified in the DCAA incurred cost audit reports.

As a result of not settling the DCAA questioned direct costs, DCMA contracting officers may have reimbursed DoD contractors up to \$231.5 million in costs that may be unallowable on Government contracts.

The DCMA Director agreed and stated that initial and additional attempts could have been made to coordinate the settlement of questioned direct costs with the administrative contracting officers before closing the audits. The DCMA will require the divisional administrative contracting officers to coordinate the settlement of the \$231.5 million in questioned costs that have not been settled, and explore available remedies for recovering any unallowable direct costs that were reimbursed to the contractor on DoD contracts not currently open. The DCMA Director also stated it will complete the required actions by October 1, 2021, with the exception of those Contract Audit Follow-Up records that are under litigation or criminal investigation.

Funds put to better use are funds that could be used more efficiently if management takes action to implement and complete the recommendations in the report, such as reducing expenditures, de-obligating funds from programs or operations, implementing improvements to operations, or taking actions that will result in avoiding costs.

For example, in Report No. DODIG-2020-114, “Audit of Department of Defense Use of Security Assistance Funds and Asset Accountability,” August 17, 2020, the DoD OIG determined that the DoD Components did not recover all of their costs for executing security assistance programs in accordance with the Arms Export Control Act and the DoD Financial Management Regulation. Specifically, the DoD Components did not recover their costs for:

- paying DoD civilians to work on the security assistance programs;
- storing security assistance assets at DoD facilities; or
- maintaining DoD facilities used to execute security assistance programs.



These conditions occurred because the DoD Components did not design or implement a reliable cost accounting method to track their actual costs incurred for executing the security assistance programs. Additionally, DoD Components did not always request reimbursement for their expenses from the Defense Security Cooperation Agency.

The Defense Security Cooperation Agency provides the DoD Components with security assistance funds to execute the security assistance programs. DoD Components used DoD appropriations to pay for security assistance-related expenses instead of the available security assistance funds. The DoD Components should have paid for these expenses with the Special Defense Acquisition Fund and Foreign Military Sales Trust Fund administrative accounts, which were the most appropriate appropriations to pay for these expenses. In addition, the DoD Components did not recover their expenses paid with appropriated dollars from the Defense Security Cooperation Agency, which resulted in subsidizing foreign customer purchases with funds intended for DoD programs. By using DoD funds to pay for security assistance programs, the DoD may have fewer funds to meet its operational goals outlined in the FY 2018-FY 2022 National Defense Business Operations Plan. Therefore, we consider the \$29.1 million in unrecovered expenses to be a potential monetary benefit to the DoD.

The Deputy Chief Financial Officer, responding for the Under Secretary of Defense (Comptroller)/Chief Financial Officer, agreed and stated that the recovered costs will put dollars back into the U.S. Treasury, and future compliance with cost recovery guidance will ensure that Foreign Military Sales partners are fully paying for services, which will return buying power to the DoD. The Deputy Chief Financial Officer stated that the Office of the Under Secretary of Defense (Comptroller)/Chief Financial Officer will work with the DoD Components to identify and recover all security assistance-related salary, storage, and operating costs that the DoD Components did not recover between FYs 2014 and 2019; and develop, document, and implement Component-level policies and procedures to recover the expenses in future years. The Deputy Chief Financial Officer stated that corrective actions are underway and projected completion by September 30, 2022.

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Achieving potential monetary benefits is dependent on various factors, such as whether the agreed-upon corrective action is taken and implementation of the corrective action is completed in a timely manner. Actual savings may be less, depending on costs associated with implementing the corrective action, or denied due to missed opportunities by the DoD in issuing effective guidance, following established guidance, effectively negotiating contracts, or conducting proper contractor oversight. For example, in Report No. DODIG-2019-094, “Audit of F-35 Ready-For-Issue Space Parts and Sustainment Performance Incentive Fees,” June 13, 2019, the DoD OIG determined that the DoD did not receive Ready-For-Issue (RFI) F-35 spare parts in accordance with contract requirements and paid performance incentive fees on the sustainment contracts based on inflated and unverified F-35A aircraft availability hours.<sup>34</sup> This occurred because the F-35 Joint Program Office did not conduct adequate oversight of contractor performance related to receiving F-35 spare parts and aircraft availability hours. Specifically, the F-35 Joint Program Office did not:

- resolve contractor non-performance related to the delivery of non-RFI spare parts since 2015;
- verify that contracting officer’s representatives collected and reported information to the contracting officer on the number of non-RFI spare parts received, the manual processes used by the DoD to keep aircraft flying when non-RFI spare parts are used, and the number of aircraft availability hours reported at each F-35 site to assess contractor performance; and
- assign CORs at all F-35 sites and consolidate information from the contracting officer’s representatives and the DCMA to identify systemic problems on the sustainment contracts.

As a result, the DoD received non-RFI spare parts and spent up to \$303 million in DoD labor costs since 2015. In addition, the lack of available RFI spare parts could result in the F-35 fleet being unable to perform required operational and training missions.

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<sup>34</sup> RFI means that spare parts are ready for aircraft maintenance personnel to install on the aircraft (e.g., wheel, seat, and window assemblies) and have an Electronic Equipment Logbook (EEL) assigned, which includes information such as part history and remaining life (hours). Spare parts without an EEL are referred to as “non-RFI.”

The Program Executive Officer, F-35 Joint Program Office, agreed with the DoD OIG's recommendation to work with the DCMA to collect data associated with the non-RFI problems to support a compensation package for the Lockheed Martin contracts, dating back to December 2015. After investigating the Electronic Equipment Logbook (EEL) errors that were the root cause of the non-RFI parts issue, the DCMA notified Lockheed Martin of the Government's intent to pursue consideration for EEL non-conformances on the F-35 Program. The DCMA met with Lockheed Martin to discuss and establish terms for consideration against the annualized sustainment contracts for both past and current EEL non-conformances. As a result, the DCMA, F-35 Joint Program Office, and Lockheed Martin signed a trilateral agreement to resolve the differences relating to consideration for non-RFI spare parts caused by missing or defective EELs and agreed to a \$70.6 million settlement.

The above example shows how potential and actual monetary benefits can differ. It is for this reason that continued communication between DoD management and the DoD OIG regarding the actions being taken to realize the potential benefits.

Following the issuance of the 2020 Compendium, personnel from the DoD Components met with DoD OIG personnel to ensure that appropriate actions were taken in response to the recommendations with potential monetary benefits and that adequate documentation was provided to close recommendations, as appropriate. As a result of these actions, 16 of the 51 recommendations with the potential monetary benefits in the 2020 Compendium, totaling \$907.5 million, have been closed. Achieved monetary benefits were \$71.4 million for these 16 recommendations.

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**Table. Open Recommendations Containing Potential Monetary Benefits as of March 31, 2021**

(FOUO) Open Recommendations Containing Potential Monetary Benefits as of March 31, 2021				
Report/Recommendation	Remaining Potential Monetary Benefits	Type of Potential Monetary Benefits	Date Recommended	Principal Action Office
<p><b>DODIG-2019-062, Audit of Management of Government-Owned Property Supporting the F-35 Program</b></p> <p><b>Recommendation 2.c:</b> The DoD OIG recommended that the F-35 Program Executive Officer, before the F-35 Program Office makes a decision to begin full-rate production of the F-35, ensure that the component property lead and accountable property officer reconcile all F-35 Program Government-furnished property by performing a complete inventory of delivered property and use the result of the inventory to establish a baseline property record in its accountable property system of record.</p>	\$2,087,515,481	Questioned Costs	3/13/2019	F-35 Joint Program Office
<p><b>DODIG-2020-063, Audit of DoD Service-Disabled Veteran-Owned Small Business Contract Awards</b></p> <p><b>Recommendation 1.a:</b> The DoD OIG recommended that the DoD Office of Small Business Programs Director conduct a review, in coordination with the Military Departments and Defense agencies, of all 17 contractors that received DoD Service-Disabled Veteran-Owned Small Business set-aside or sole-source contracts but were denied Service-Disabled Veteran-Owned Small Business status by the Department of Veterans Affairs Center for Verification and Evaluation to determine if they meet the requirements for Service-Disabled Veteran-Owned Small Business status. Based on the review, the Director should take action, as appropriate, against any contractors found to have misrepresented their Service-Disabled Veteran-Owned Small Business status to the DoD to obtain contracts by coordinating with the applicable contracting officer to protest, through the Small Business Administration, any contractors that appear to be ineligible.</p>	\$876,800,000	Questioned Costs	2/18/2020	Under Secretary of Defense for Acquisition and Sustainment

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**Open Recommendations Containing Potential Monetary Benefits as of March 31, 2021**

Report/Recommendation	Remaining Potential Monetary Benefits	Type of Potential Monetary Benefits	Date Recommended	Principal Action Office
<p><b>DODIG-2019-085, Audit of the Defense Security Cooperation Agency-Security Assistance Accounts</b></p> <p><b>Recommendation A.1.f.8:</b> The DoD OIG recommended that the Defense Security Cooperation Agency Director work with the Defense Finance and Accounting Service-Indianapolis Director to recover and transfer into the Special Defense Acquisition Fund account all authorized collections dating back to FY 2012 that the Defense Finance and Accounting Service did not transfer into the Special Defense Acquisition Fund account.</p>	\$736,000,000	Funds Put to Better Use	5/8/2019	Defense Security Cooperation Agency
<p><b>DODIG-2013-100, Contract Administration of the Subsistence Prime Vendor Contract for Afghanistan Improved, but Additional Actions are Needed</b></p> <p><b>Recommendation 1.a:</b> The DoD OIG recommended that the Defense Logistics Agency Troop Support Commander initiate corrective actions to recover premium transportation fees and refund the Army after litigation is completed.</p>	\$631,700,000 <sup>1</sup>	Funds Put to Better Use	7/2/2013	Defense Logistics Agency
<p><b>DODIG-2018-151, Military Sealift Command's Maintenance of Prepositioning Ships</b></p> <p><b>Recommendation 2.b:</b> The DoD OIG recommended that the Military Sealift Command Contracting Office Director, in conjunction with the Prepositioning Program Management Office Program Manager, ensure that contracting officers appoint a qualified contracting officer's representative or contracting officer's technical representative to conduct regular surveillance of contractors at sea and during shipyard availabilities. Military Sealift Command should also ensure the contracting officer's representative or contracting officer's technical representative executes quality assurance using a quality assurance surveillance plan.</p>	\$544,743,015	Questioned Costs	9/24/2018	Department of the Navy

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(FOUO) Open Recommendations Containing Potential Monetary Benefits as of March 31, 2021				
Report/Recommendation	Remaining Potential Monetary Benefits	Type of Potential Monetary Benefits	Date Recommended	Principal Action Office
<p><b>DODIG-2021-047, Evaluation of Department of Defense Contracting Officer Actions on Questioned Direct Costs</b></p> <p><b>Recommendation A.1.a:</b> The DoD OIG recommended that the Defense Contract Management Agency Director require the Defense Contract Management Agency divisional contracting officers to reopen the 12 Defense Contract Audit Agency audit reports in the Contract Audit Follow-Up System because the questioned direct costs have not been settled.</p>	\$231,500,000	Questioned Costs	1/21/2021	Defense Contract Management Agency
<p><b>DODIG-2014-077, Hotline Complaint Regarding the Settlement of the Pratt &amp; Whitney Commercial Engine Cost Accounting Standards Case</b></p> <p><b>Recommendation F.5:</b> The DoD OIG recommended that the Defense Contract Management Agency Director follow the procedures in Federal Acquisition Regulation clause 30.605, paragraphs (c) through (h), to correct the noncompliant cost accounting practice in a timely manner and ensure that (i) the cost accounting practice used by Pratt includes the actual cost of collaboration parts in the allocation base used to allocate material overhead costs to U.S. Government contracts in accordance with the rules and regulations established by the Cost Accounting Standards Board, and (ii) the U.S. Government recovers any increased costs paid to Pratt since 2005 and resulting from the contractor's use of a cost accounting practice determined by DCMA to be noncompliant with CAS 418 on June 5, 2006.</p>	\$210,968,414 <sup>1</sup>	Questioned Costs	5/30/2014	Defense Contract Management Agency

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(FOUO) Open Recommendations Containing Potential Monetary Benefits as of March 31, 2021				
Report/Recommendation	Remaining Potential Monetary Benefits	Type of Potential Monetary Benefits	Date Recommended	Principal Action Office
<p><b>DODIG-2019-047, Navy and Marine Corps Backup Aircraft and Depot Maintenance Float for Ground Combat and Tactical Vehicles</b></p> <p><b>Recommendation C.1:</b> The DoD OIG recommended that the Marine Corps Installations and Logistics Deputy Commandant require Installations and Logistics officials to initiate and complete depot maintenance float allowance annual reviews and approve all depot maintenance float allowance authorization changes according to Marine Corps Order 5311.1E.</p>	\$103,000,000	Funds Put to Better Use	1/18/2019	U.S. Marine Corps
<p><b>DODIG-2021-056, Evaluation of Defense Contract Management Agency Actions Taken on Defense Contract Audit Agency Report Findings Involving Two of the Largest Department of Defense Contractors</b></p> <p><b>Recommendation 1.a-c:</b> The DoD OIG recommended that the Defense Contract Management Agency Director take the following steps for the eight audit reports for which the contracting officer did not adequately document or adequately explain the reason for disagreeing with the Defense Contract Audit Agency:</p> <ul style="list-style-type: none"> <li>a. reopen the audit report in the Contract Audit Follow-up System until all findings are settled;</li> <li>b. review the contracting officer’s decision to not uphold the \$97 million in Defense Contract Audit Agency questioned costs and determine whether the costs are unallowable in accordance with the Federal Acquisition Regulation; and</li> <li>c. disallow and recoup any unallowable costs not previously disallowed.</li> </ul>	\$97,000,000	Questioned Costs	2/26/2021	Defense Contract Management Agency

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<b>Open Recommendations Containing Potential Monetary Benefits as of March 31, 2021</b>				
<b>Report/Recommendation</b>	<b>Remaining Potential Monetary Benefits</b>	<b>Type of Potential Monetary Benefits</b>	<b>Date Recommended</b>	<b>Principal Action Office</b>
<p><b>DODIG-2014-101, Delinquent Medical Service Accounts at Brooke Army Medical Center Need Additional Management Oversight</b></p> <p><b>Recommendation 1.b:</b> The DoD OIG recommended that the Brooke Army Medical Center Commander review, research, and pursue collections on the remaining open delinquent medical service accounts.</p>	\$69,184,113	Funds Put to Better Use	8/13/2014	Department of the Army
<p><b>DODIG-2018-110, Defense Contract Management Agency's Information Technology Contracts</b></p> <p><b>Recommendation A.1.a.1:</b> The DoD OIG recommended that the Defense Contract Management Agency Director establish internal controls to ensure Defense Contract Management Agency contracting officials develop contract performance work statements for service acquisitions that include performance requirements in terms of defined deliverables, contractor performance objectives and standards, and a quality assurance plan.</p>	\$57,296,830	Questioned Costs	4/25/2018	Defense Contract Management Agency
<p><b>DODIG-2017-045, Medical Service Accounts at U.S. Army Medical Command Need Additional Management Oversight</b></p> <p><b>Recommendation 1.a:</b> The DoD OIG recommended that the Commander of U.S. Army Medical Command review the 21,742 medical service accounts that military treatment facility Uniform Business Offices determined were uncollectible to ensure that all collection efforts have been exhausted and to obtain approval from the proper authority to terminate the accounts that are uncollectible.</p>	\$40,212,000	Funds Put to Better Use	1/27/2017	Department of the Army

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(FOUO) Open Recommendations Containing Potential Monetary Benefits as of March 31, 2021				
Report/Recommendation	Remaining Potential Monetary Benefits	Type of Potential Monetary Benefits	Date Recommended	Principal Action Office
<p><b>DODIG-2019-108, Audit of the DoD’s Management of the Third Party Collection Program for Medical Claims</b></p> <p><b>Recommendation 8.d:</b> The DoD OIG recommended that the Director of the Walter Reed National Military Medical Center review all outstanding third party claims that are delinquent for more than 120 days to determine which claims are eligible for transfer to the Treasury Cross-Servicing Program or local Judge Advocate office, and transfer all eligible claims for collection assistance.</p>	\$36,508,515	Funds Put to Better Use	9/16/2019	Under Secretary of Defense for Health Affairs
<p><b>DODIG-2020-072, Audit of DoD Hotline Allegations Concerning the Defense Microelectronics Activity</b></p> <p><b>Recommendation 1:</b> The DoD OIG recommended that the Director of Defense Research and Engineering for Research and Technology, Office of the Under Secretary of Defense for Research and Engineering, complete an assessment of the use of the existing foundry and determine whether the existing foundry is still needed.</p>	\$35,800,000	Funds Put to Better Use	3/24/2020	Under Secretary of Defense for Research and Engineering
<p><b>DODIG-2019-128, Audit of U.S. Army Corps of Engineers Oversight of Contracts for Repair and Restoration of the Electric Power Grid in Puerto Rico</b></p> <p><b>Recommendation B.3:</b> The DoD OIG recommended that the Commander of the U.S. Army Corps of Engineers, Jacksonville District, direct contracting officials to review all labor and material costs for contract W912EP-18-C-0003 and determine whether they are supportable and allowable in accordance with Federal Acquisition Regulation 31.201-2, “Determining Allowability,” and provide the DoD Office of Inspector General with the results of the review. If contracting officials are unable to determine whether costs are allowable, they should work with Defense Contract Audit Agency officials to develop a total contract cost reduction to reduce total costs for contract W912EP-18-C-0003.</p>	\$29,200,000	Questioned Costs	9/30/2019	Department of the Army

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### Open Recommendations Containing Potential Monetary Benefits as of March 31, 2021

Report/Recommendation	Remaining Potential Monetary Benefits	Type of Potential Monetary Benefits	Date Recommended	Principal Action Office
<p><b>DODIG-2019-128, Audit of U.S. Army Corps of Engineers Oversight of Contracts for Repair and Restoration of the Electric Power Grid in Puerto Rico</b></p> <p><b>Recommendation A.2.a:</b> The DoD OIG recommended that the Commander of U.S. Army Engineering and Support Center, Huntsville, direct the contracting officers to review all labor and material costs for contracts W912DY-18-F-0003 and W912DY-18-F-0032 and determine whether they are supportable and allowable, in accordance with Federal Acquisition Regulation 31.201-2, "Determining Allowability."</p>	\$20,900,000	Questioned Costs	9/30/2019	Department of the Army
<p><b>DODIG-2019-112, Audit of TRICARE Payments for Health Care Services and Equipment That Were Paid Without Maximum Allowable Reimbursement Rates</b></p> <p><b>Recommendation 1.a:</b> The DoD OIG recommended that the Defense Health Agency Director identify the reasons why TRICARE region contractors did not use existing TRICARE maximum allowable reimbursement rates, and take immediate actions to confirm that TRICARE claims for vaccines and contraceptive systems are paid using the TRICARE maximum allowable reimbursement rates. Further, the Director should recoup overpayments for which the TRICARE contractors did not use existing TRICARE maximum allowable reimbursement rates.</p>	\$19,500,000	Funds Put to Better Use	8/20/2019	Under Secretary of Defense for Health Affairs

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(FOUO) Open Recommendations Containing Potential Monetary Benefits as of March 31, 2021				
Report/Recommendation	Remaining Potential Monetary Benefits	Type of Potential Monetary Benefits	Date Recommended	Principal Action Office
<p><b>DODIG-2018-110, Defense Contract Management Agency's Information Technology Contracts</b>  <b>Recommendation B.1.a.4:</b> The DoD OIG recommended that the Defense Contract Management Agency Director establish internal controls, such as checklists, standard operating procedures, or reviews by supervisors to ensure that the contracting officer or contracting officer's representative determines whether the contractor performed satisfactorily and ensure the work progressed according to the contract before approving invoices.</p>	\$17,096,393	Questioned Costs	4/25/2018	Defense Contract Management Agency
<p><b>DODIG-2020-114, Audit of Department of Defense Use of Security Assistance Program Funds and Asset Accountability</b>  <b>Recommendation A.1.c:</b> The DoD OIG recommended that the Under Secretary of Defense (Comptroller)/Chief Financial Officer, DoD, work with the DoD Components to identify and recover all security assistance-related salary expenses for each DoD civilian employee between FYs 2014 and 2019 from the Defense Security Cooperation Agency.</p>	\$16,700,000	Funds Put to Better Use	8/17/2020	Under Secretary of Defense (Comptroller)
<p><b>DODIG-2019-108, Audit of the DoD's Management of the Third Party Collection Program for Medical Claims</b>  <b>Recommendation 5.d:</b> The DoD OIG recommended that the Commander of Brooke Army Medical Center review all outstanding third party claims that are delinquent for more than 120 days to determine which claims are eligible for transfer to the Treasury Cross-Servicing Program or local Judge Advocate office, and transfer all eligible claims for collection assistance.</p>	\$9,628,106	Funds Put to Better Use	9/16/2019	Department of the Army

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### Open Recommendations Containing Potential Monetary Benefits as of March 31, 2021

Report/Recommendation	Remaining Potential Monetary Benefits	Type of Potential Monetary Benefits	Date Recommended	Principal Action Office
<p><b>DODIG-2019-085, Audit of the Defense Security Cooperation Agency-Security Assistance Accounts</b></p> <p><b>Recommendation A.1.f.7:</b> The DoD OIG recommended that the Defense Security Cooperation Agency Director work with the Defense Finance and Accounting Service-Indianapolis Director to recover and transfer into the Special Defense Acquisition Fund all lease payments dating back to FY 2012 that the Defense Finance and Accounting Service did not transfer into the Special Defense Acquisition Fund account.</p>	\$9,500,000	Funds Put to Better Use	5/8/2019	Defense Security Cooperation Agency
<p><b>DODIG-2020-060, Audit of Contract Costs for Hurricane Recovery Efforts at Navy Installations</b></p> <p><b>Recommendation A.1.e:</b> The DoD OIG recommended that the Commander of Naval Facilities Engineering Command Atlantic based on the results of Recommendation A.1.d, request a Defense Contract Audit Agency audit to review the allowability of all costs and profit paid to the prime contractors, and request a refund for any excess payments made to the prime contractors.</p>	(FOUO)	Questioned Costs	2/12/2020	Department of the Navy
<p><b>DODIG-2020-114, Audit of Department of Defense Use of Security Assistance Program Funds and Asset Accountability</b></p> <p><b>Recommendation A.1.k:</b> The DoD OIG recommended that the Under Secretary of Defense (Comptroller)/Chief Financial Officer, DoD, work with the DoD Components to develop, document, and implement Component-level policies and procedures to identify, track, and recover all operating costs for DoD facilities used to support security assistance programs in future years. This includes identifying where employees who support security assistance programs sit at all DoD facilities</p>	\$8,400,000	Funds Put to Better Use	8/17/2020	Under Secretary of Defense (Comptroller)

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(FOUO) Open Recommendations Containing Potential Monetary Benefits as of March 31, 2021				
Report/Recommendation	Remaining Potential Monetary Benefits	Type of Potential Monetary Benefits	Date Recommended	Principal Action Office
<p><b>DODIG-2019-108, Audit of the DoD’s Management of the Third Party Collection Program for Medical Claims</b></p> <p><b>Recommendation 6.c:</b> The DoD OIG recommended that the Commander of the 59th Medical Wing at Lackland Air Force Base review all outstanding third party claims that are delinquent for more than 120 days to determine which claims are eligible for transfer to the Treasury Cross-Servicing Program or local Judge Advocate office, and transfer all eligible claims for collection assistance.</p>	\$8,073,425	Funds Put to Better Use	9/16/2019	Department of the Air Force
<p><b>DODIG-2019-004, DoD Oversight of Bilateral Agreements With the Republic of the Philippines</b></p> <p><b>Recommendation 3.b:</b> The DoD OIG recommended that the Commander of Marine Corps Forces, Pacific, input and track all Acquisition and Cross-Servicing Agreement transactions from October 1, 2016, to present, and all future transactions, including the 15 line items the United States Indo-Pacific Command identified, in the Acquisition and Cross-Servicing Agreement Global Automated Tracking and Reporting System.</p>	\$7,288,225	Questioned Costs	11/2/2018	U.S. Marine Corps
<p><b>DODIG-2013-123, Army Needs to Improve Mi-17 Overhaul Management and Contract Administration</b></p> <p><b>Recommendation A.2.a:</b> The DoD OIG recommended that the U.S. Army Materiel Command Executive Deputy to the Commanding General direct contractual action to recoup up to \$6.2 million in questioned costs for advance payments to Science and Engineering Services plus applicable interest due in accordance with the Federal Acquisition Regulation.</p>	\$6,438,000	Questioned Costs	8/30/2013	Department of the Army

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(FOUO) Open Recommendations Containing Potential Monetary Benefits as of March 31, 2021				
Report/Recommendation	Remaining Potential Monetary Benefits	Type of Potential Monetary Benefits	Date Recommended	Principal Action Office
<p><b>DODIG-2019-108, Audit of the DoD’s Management of the Third Party Collection Program for Medical Claims</b></p> <p><b>Recommendation 10.b:</b> The DoD OIG recommended that the Commander of the Kimbrough Ambulatory Care Center review all outstanding third party claims that are delinquent for more than 120 days to determine which claims are eligible for transfer to the Treasury Cross-Servicing Program or local Judge Advocate office, and transfer all eligible claims for collection assistance.</p>	\$6,193,785	Funds Put to Better Use	9/16/2019	Department of the Army
<p><b>DODIG-2019-108, Audit of the DoD’s Management of the Third Party Collection Program for Medical Claims</b></p> <p><b>Recommendation 9.c:</b> The DoD OIG recommended that the Commander of the Fort Belvoir Community Hospital review all outstanding third party claims that are delinquent for more than 120 days to determine which claims are eligible for transfer to the Treasury Cross-Servicing Program or local Judge Advocate office, and transfer all eligible claims for collection assistance.</p>	\$4,897,345	Funds Put to Better Use	9/16/2019	Assistant Secretary of Defense for Health Affairs
<p><b>DODIG-2016-079, Delinquent Medical Service Accounts at Landstuhl Regional Medical Center Need Additional Management Oversight</b></p> <p><b>Recommendation 1.a:</b> The DoD OIG recommended that the Regional Health Command–Europe Commander review, research, and pursue collection on the delinquent medical service accounts that remain open.</p>	\$4,287,000	Funds Put to Better Use	4/28/2016	Department of the Army

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(FOUO) Open Recommendations Containing Potential Monetary Benefits as of March 31, 2021				
Report/Recommendation	Remaining Potential Monetary Benefits	Type of Potential Monetary Benefits	Date Recommended	Principal Action Office
<p><b>DODIG-2020-060, Audit of Contract Costs for Hurricane Recovery Efforts at Navy Installations</b>                      (FOUO) Recommendation B.2.b: The DoD OIG recommended that the Commander of Naval Facilities Engineering Command Mid-Atlantic require the contracting officer to request a refund or a price adjustment for the excess payment identified for Recommendation B.2.a, which could include the [REDACTED] million we identified [REDACTED]</p>	(FOUO) [REDACTED]	Questioned Costs	2/12/2020	Department of the Navy
<p><b>DODIG-2020-114, Audit of Department of Defense Use of Security Assistance Program Funds and Asset Accountability</b>                      Recommendation A.1.j: The DoD OIG recommended that the Under Secretary of Defense (Comptroller)/Chief Financial Officer, DoD, work with the DoD Components to recover all operating costs that the implementing agencies did not recover for providing administrative space to security assistance personnel at all DoD facilities between FYs 2014 and 2019 from the Defense Security Cooperation Agency.</p>	\$3,000,000	Funds Put to Better Use	8/17/2020	Under Secretary of Defense (Comptroller)
<p><b>DODIG-2019-038, Followup of Delinquent Medical Service Account Audits</b>                      Recommendation A.3.a: The DoD-OIG recommended that the Surgeon General of U.S. Navy Bureau of Medicine and Surgery require Naval Medical Center Portsmouth Uniform Business Office personnel to review and process the 18,898 billable accounts, valued at \$2.4 million, and determine whether all billable accounts are included in the medical treatment facility's daily reviews.</p>	\$2,400,000	Funds Put to Better Use	12/19/2018	Department of the Navy

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(FOUO) Open Recommendations Containing Potential Monetary Benefits as of March 31, 2021				
Report/Recommendation	Remaining Potential Monetary Benefits	Type of Potential Monetary Benefits	Date Recommended	Principal Action Office
<p><b>DODIG-2020-091, Audit of Contractor Employee Qualifications for Defense Health Agency-Funded Information Technology Contracts</b></p> <p><b>Recommendation 3.b:</b> The DoD-OIG recommended that the Executive Director of the Naval Information Warfare Center Atlantic require the appropriate contracting officers or technical experts to determine if the key personnel referenced in this report met the minimum labor qualifications specified in the contracts, and, if not, take appropriate corrective action, including replacing key personnel with qualified employees and recovering any improper payments.</p>	\$1,959,000	Questioned Costs	6/15/2020	Department of the Navy
<p><b>DODIG-2019-108, Audit of the DoD's Management of the Third Party Collection Program for Medical Claims</b></p> <p><b>Recommendation 3.b:</b> The DoD OIG recommended that the Commander of Naval Medical Center San Diego review all outstanding third party claims that are delinquent for more than 120 days to determine which claims are eligible for transfer to the Treasury Cross-Servicing Program or local Judge Advocate office, and transfer all eligible claims for collection assistance.</p>	\$1,845,005	Funds Put to Better Use	9/16/2019	Department of the Navy
<p><b>DODIG-2019-056, Accounting and Financial Reporting for the Military Housing Privatization Initiative</b></p> <p><b>Recommendation B.2:</b> The DoD OIG recommended that the Assistant Secretary of the Army for Installations, Energy, and Environment, in coordination with the Assistant Secretary of Defense for Sustainment and any other necessary DoD organizations, rebalance the subsidy cost for the Fort Wainwright/Greely project loan guarantee after the next reestimate process, to include deobligating the \$1.8 million that the Army unnecessarily paid.</p>	\$1,800,000	Funds Put to Better Use	2/12/2019	Department of the Army

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<b>(FOUO)</b> Open Recommendations Containing Potential Monetary Benefits as of March 31, 2021				
<b>Report/Recommendation</b>	<b>Remaining Potential Monetary Benefits</b>	<b>Type of Potential Monetary Benefits</b>	<b>Date Recommended</b>	<b>Principal Action Office</b>
<p><b>DODIG-2019-108, Audit of the DoD’s Management of the Third Party Collection Program for Medical Claims</b></p> <p><b>Recommendation 7.g:</b> The DoD OIG recommended that the Commander of the 75th Medical Group at Hill Air Force Base review all outstanding third party claims that are delinquent for more than 120 days to determine which claims are eligible for transfer to the Treasury Cross-Servicing Program or local Judge Advocate office, and transfer all eligible claims for collection assistance.</p>	\$1,751,110	Funds Put to Better Use	9/16/2019	Department of the Air Force
<p><b>DODIG-2019-108, Audit of the DoD’s Management of the Third Party Collection Program for Medical Claims</b></p> <p><b>Recommendation 4.f:</b> The DoD OIG recommended that the Commander of Madigan Army Medical Center review all outstanding third party claims that are delinquent for more than 120 days to determine which claims are eligible for transfer to the Treasury Cross-Servicing Program or local Judge Advocate office, and transfer all eligible claims for collection assistance.</p>	\$1,718,474	Funds Put to Better Use	9/16/2019	Department of the Army
<p><b>DODIG-2020-060, Audit of Contract Costs for Hurricane Recovery Efforts at Navy Installations</b></p> <p><b>(FOUO) Recommendation A.2.b:</b> The DoD OIG recommended that the Commander of Naval Facilities Engineering Command Southeast request a refund from URS for any excess payment identified by the Defense Contract Audit Agency audit, which could include the [REDACTED] million of profit incorrectly paid to the prime contractor.</p>	(FOUO) [REDACTED]	Questioned Costs	2/12/2020	Department of the Navy

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<b>(FOUO)</b>				
<b>Open Recommendations Containing Potential Monetary Benefits as of March 31, 2021</b>				
<b>Report/Recommendation</b>	<b>Remaining Potential Monetary Benefits</b>	<b>Type of Potential Monetary Benefits</b>	<b>Date Recommended</b>	<b>Principal Action Office</b>
<p><b>DODIG-2020-114, Audit of Department of Defense Use of Security Assistance Program Funds and Asset Accountability</b></p> <p><b>Recommendation A.1.h:</b> The DoD OIG recommended that the Under Secretary of Defense (Comptroller)/Chief Financial Officer, DoD, work with the DoD Components to identify and recover any storage costs that they did not recover for storing security assistance assets at all DoD facilities between FYs 2014 and 2019 from the Defense Security Cooperation Agency.</p>	\$800,000	Funds Put to Better Use	8/17/2020	Under Secretary of Defense (Comptroller)
<p><b>DODIG-2016-080, Army’s Management of Gray Eagle Spare Parts Needs Improvements</b></p> <p><b>Recommendation A.1.b.iv:</b> The DoD OIG recommended that the Unmanned Aircraft System Project Manager require that the Product Manager–Medium Altitude Endurance use existing Defense Logistics Agency inventory, when possible, before purchasing the spare parts from General Atomics.</p>	<b>(FOUO)</b>	Funds Put to Better Use	4/29/2016	Department of the Army
<p><b>DODIG-2020-114, Audit of Department of Defense Use of Security Assistance Program Funds and Asset Accountability</b></p> <p><b>Recommendation B.1.a:</b> The DoD OIG recommended that the Under Secretary of Defense (Comptroller)/Chief Financial Officer, DoD, work with the Deputy Assistant Secretary of the Army for Defense Exports and Cooperation to recover funds from the Defense Security Cooperation Agency in the amount equal to the current market price of the chemical-biological masks that Army personnel shipped to foreign customers.</p>	\$200,000	Funds Put to Better Use	8/17/2020	Under Secretary of Defense (Comptroller)

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(FOUO) Open Recommendations Containing Potential Monetary Benefits as of March 31, 2021				
Report/Recommendation	Remaining Potential Monetary Benefits	Type of Potential Monetary Benefits	Date Recommended	Principal Action Office
<p><b>DODIG-2019-108, Audit of the DoD’s Management of the Third Party Collection Program for Medical Claims</b></p> <p><b>Recommendation 2.f:</b> The DoD OIG recommended that the Commander of Naval Hospital Bremerton review all outstanding third party claims that are delinquent for more than 120 days to determine which claims are eligible for transfer to the Treasury Cross-Servicing Program or local Judge Advocate office, and transfer all eligible claims for collection assistance.</p>	\$98,541	Funds Put to Better Use	9/16/2019	Department of the Navy
<p><b>DODIG-2019-112, Audit of TRICARE Payments for Health Care Services and Equipment That Were Paid Without Maximum Allowable Reimbursement Rates</b></p> <p><b>Recommendation 1.g:</b> The DoD OIG recommended that the Defense Health Agency Director seek voluntary refunds from TRICARE providers where Defense Health Agency paid more than other pricing benchmarks identified in this report.</p>	Open <sup>2</sup>	Funds Put to Better Use	8/20/2019	Assistant Secretary of Defense for Health Affairs
<p><b>DODIG-2020-091, Audit of Contractor Employee Qualifications for Defense Health Agency-Funded Information Technology Contracts</b></p> <p><b>Recommendation 3.e:</b> The DoD OIG recommended that the Executive Director of the Naval Information Warfare Center Atlantic require the appropriate contracting officers or technical experts to determine if the non-key personnel referenced in this report met the minimum labor qualifications specified in the contracts, and, if not, take appropriate corrective action, including recovering improper payments.</p>	Open <sup>2</sup>	Questioned Costs	6/15/2020	Department of the Navy

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### Open Recommendations Containing Potential Monetary Benefits as of March 31, 2021

Report/Recommendation	Remaining Potential Monetary Benefits	Type of Potential Monetary Benefits	Date Recommended	Principal Action Office
<p><b>DODIG-2021-056, Evaluation of Defense Contract Management Agency Actions Taken on Defense Contract Audit Agency Report Findings Involving Two of the Largest Department of Defense Contractors</b></p> <p><b>Recommendation 3.a-c:</b> The DoD OIG recommended that the Defense Contract Management Agency Director require the contracting officers for Audit Report Numbers 6631-2016C19200001 and 6631-2016C19200002 to take the following actions in accordance with Federal Acquisition Regulation 30.605 and Defense Contract Management Agency Instruction 108:</p> <ol style="list-style-type: none"> <li>a. Reopen the audit report in the Contract Audit Follow-up System until all findings are settled.</li> <li>b. Make a determination of Cost Accounting Standards compliance (if applicable).</li> <li>c. Based on the results of the review in Recommendation 3.b, take steps to:                             <ol style="list-style-type: none"> <li>1. notify the contractor of the compliance determination;</li> <li>2. make a determination on the cost impact; and</li> <li>3. recoup any cost increase to the Government as a result of the noncompliances.</li> </ol> </li> </ol>	Open <sup>2</sup>	Questioned Costs	2/26/2021	Defense Contract Management Agency
<b>Total</b>	<b>\$5,956,802,777</b>			

<sup>1</sup> The agreed-upon corrective actions have been completed by DoD management; however, the Department's recovery of monetary benefits accruing from those actions is a matter in litigation at the Armed Services Board of Contract Appeals.

<sup>2</sup> Potential monetary benefits are anticipated but cannot be quantified or estimated until management actions have been completed.

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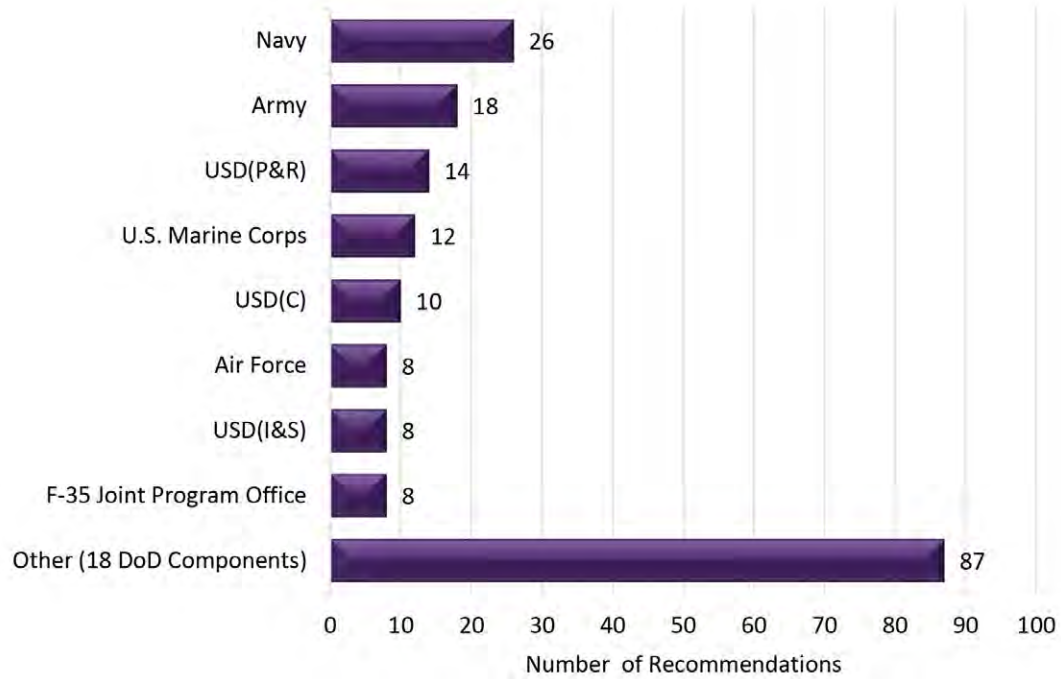
### Recommendations Open for at Least 5 Years

The DoD OIG relies on documentation from DoD Components to determine whether all agreed-upon corrective actions have been implemented before closing a recommendation. However, several issues can affect the DoD Components' ability to implement recommendations in a timely manner. This chapter highlights the 191 DoD OIG recommendations that have been open for at least 5 years. Of the 191 recommendations, 104 were issued to the following DoD Components: Department of the Navy, Department of the Army, Under Secretary of Defense for Personnel and Readiness, U.S. Marine Corps, Under Secretary of Defense (Comptroller), Under Secretary of Defense for Intelligence and Security, Department of the Air Force, and F-35 Joint Program Office. The remaining 87 recommendations were issued to 17 other DoD Components. Figure 8 illustrates the number of aged recommendations by responsible component.



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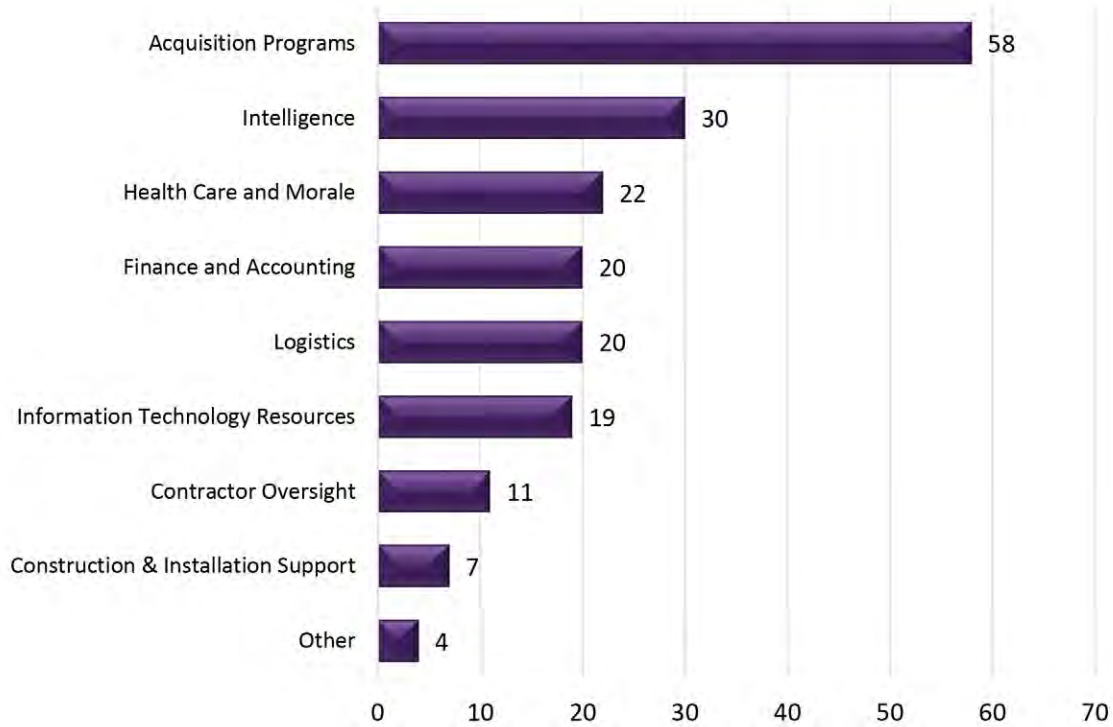
Figure 8. Number of Recommendations Open for at Least 5 Years by Responsible Component



Source: The DoD OIG.

The 191 recommendations were related to the topic areas of Intelligence, Health Care and Morale, Acquisition Programs, Logistics, Information Technology Resources, Finance and Accounting, Contractor Oversight, Construction & Installation Support, and Other. Figure 9 illustrates the number of recommendations in each topic area.

Figure 9. Number of Recommendations Open for at Least 5 Years by Topic Area



Source: The DoD OIG.

Although there are different reasons for the DoD Components' inability to implement the 191 recommendations, one of the biggest challenges continues to involve the revision or implementation of policies, procedures, and guidance. Of the 191 recommendations, 60 were related to revising or implementing policy. Specifically, revising or implementing policy at the DoD level also required changes to existing policies at the Component level to ensure consistent guidance across the DoD. Delays also occur when implementation requires coordination with government organizations outside of the DoD.

For example, in Report No. DODIG-2015-064, "Assessment of Intelligence Support to In-Transit Force Protection," January 2, 2015, the DoD OIG recommended that the Under Secretary of Defense for Intelligence, coordinate with the appropriate Department of State office to update the 2003 memorandum of understanding to reflect DoD Policy and requirements with the Force Protection Detachment program and the Embassy's Country Team environment. From April 2019 to September 2020, the memorandum

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of understanding was in legal sufficiency review with the Department of State, Office of General Counsel. As of March 31, 2021, the memorandum of understanding was in re-review with both the Under Secretary of Defense and the Department of State, Office of General Counsel, leaving the recommendation open for over 6 years. There is no estimated completion date, as the inter-agency legal sufficiency review will take as long as necessary. Without an annual review of the memorandum of understanding, the existing details cannot effectively address the current demand on Security of DoD elements and personnel in foreign areas.

In another example, Report No. DODIG-2012-082, "DoD Can Improve Its Accounting for Residual Value From the Sale of U.S. Facilities in Europe," May 4, 2012, the DoD OIG recommended updates to policy for restoring DoD sites overseas in areas such as document retention, analysis of agreed-upon calculation methodology used to determine the values for the land and capital improvements, evaluation of any environmental remediation, and the results of an independent appraisal. The U.S. European Command issued U.S. European Command Instruction 4101.02A on July 15, 2013, closing its portion of the recommendation. On May 20, 2020, the Assistant Secretary of Defense for Sustainment issued a policy memorandum providing guidance concerning residual value settlement procedures and document retention. This clarifying information will be included in the next update to DoD Instruction 4165.69. As of March 31, 2021, the instruction was to be edited and re-submitted for internal coordination, leaving the DoD OIG recommendation open for almost 9 years. Publication for DoD Instruction 4165.69 is now expected in early 2022. The delay in implementing this guidance, which will result in improvements to the residual value settlement process, may have resulted in missed opportunities in past negotiations. Once the DoD Instruction is implemented, DoD negotiators will be in a stronger bargaining position when they enter into future residual value negotiations.

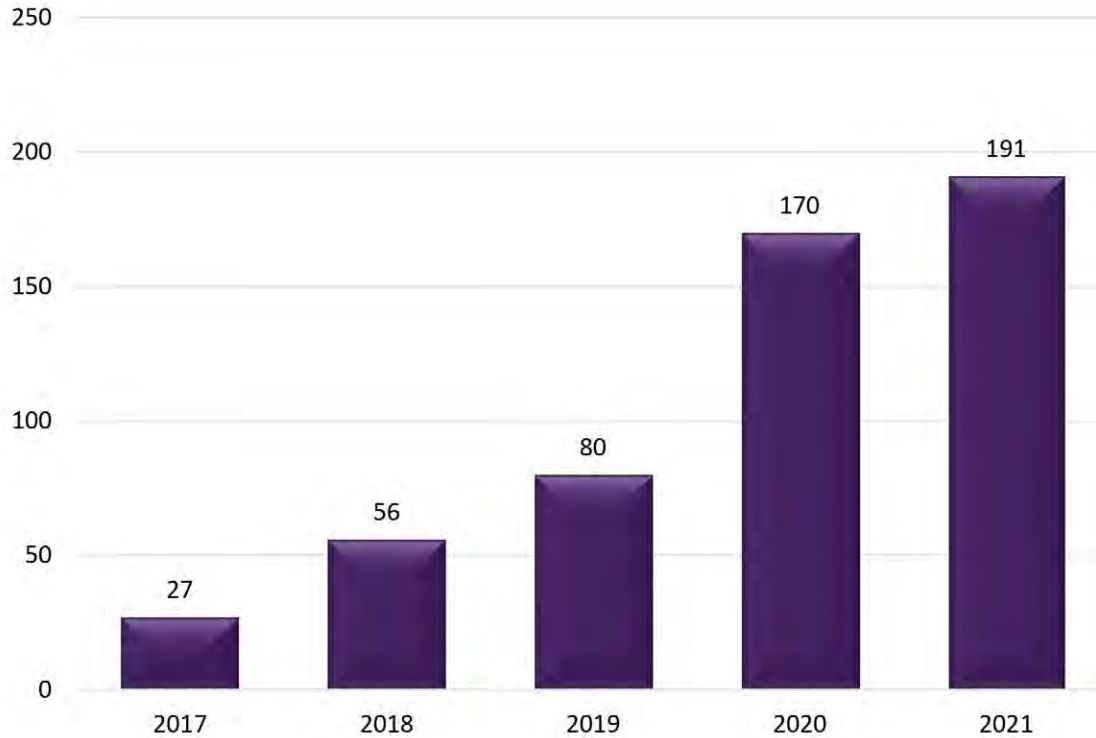
Additionally, in Report No. DODIG-2013-112, "Assessment of DoD Long-Term Intelligence Analysis Capabilities," August 5, 2013, the DoD OIG recommended that the Office of the Under Secretary of Defense for Intelligence and Security, partnering with the Defense Intelligence Agency, the combatant commands, and the Services, develop an All-Source Analysis certification program that leads to training, developing, and retaining a more experienced and robust workforce. The DoD OIG recommended that such a program

includes common core analytical skills and performance standards, and an enterprise-wide all-source analysis occupational-specialty career track and development program. As reported in the last edition of the Compendium, March 31, 2020, the policy had been in legal sufficiency review since August 2015. Since the last compendium, the Office of the Under Secretary of Defense for Intelligence and Security changed direction regarding issuance of the policy. The Office of the Under Secretary of Defense for Intelligence and Security, Office of General Counsel directed the publication of a new DoD Instruction, rather than publishing DoD Manual 3305.AM, “DoD All-Source Analysis Accreditation and Certification,” leaving the recommendation open for almost 8 years. According to Office of the Under Secretary of Defense for Intelligence and Security personnel, this new instruction will mandate certification and will set standards by which the Defense Intelligence and Security Enterprise certification programs will be developed. This new policy is expected to consolidate all current and draft certification manuals into one policy document. Publication of the new DoD Instruction is expected by December 31, 2021. Without an overarching policy governing the training of analysts in the Defense Intelligence Enterprise, there likely is a shortage of analysts with in-depth subject matter expertise for defense activities.

The number of DoD OIG recommendations that have been open for at least 5 years has increased over the last 4 years. Figure 10 illustrates the increase in the number of recommendations open for at least 5 years. Overall, the number of recommendations that have been open for at least 5 years has increased by 164 (607 percent) since the first Compendium was issued in 2017. Although the DoD Components provided documentation to close 33 of the aged recommendations listed in last year’s Compendium, 137 of the 170 recommendations (81 percent) remain open. Of these 137 recommendations, 7 have been reported as aged in all five editions of the Compendium.

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*Figure 10. Increase in the Number of Recommendations Open for at Least 5 Years From March 31, 2017, to March 31, 2021*



Source: The DoD OIG.

Public Law 104-106, “National Defense Authorization Act for FY 1996,” requires the Secretary of Defense to complete final action on each DoD management decision within 12 months after report issuance. If action is not completed within 12 months, the DoD OIG must identify the overdue actions in its Semiannual Report to the Congress until final action on the DoD management decision is completed. While there is no standard timeframe for implementing recommendations, we believe the maximum benefits are generally achieved when recommendations are implemented within 3 years. However, some recommendations, such as those relating to cybersecurity or health and safety, require immediate implementation since noncompliance can have far-reaching, devastating consequences. Additionally, some recommendations impact life

and safety, requiring management to take critical corrective actions for the agreed-upon recommendations. Some recommendations may take longer to implement due to events outside of the DoD's control, such as the effect of the COVID-19 pandemic on the DoD workforce. As the COVID-19 virus spread to the United States, and the DoD prioritized supporting the national pandemic response, we noted instances of delayed responses to our inquiries on the status of recommendations and missed estimated implementation dates. This was especially prevalent with classified recommendations as some DoD personnel did not have access to classified networks during the height of the pandemic. While we cannot measure the adverse effect the pandemic had on the DoD's ability to implement open recommendations, not taking corrective action on open recommendations can adversely impact the efficiency and effectiveness of DoD programs and waste taxpayer dollars.



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### Tables. Recommendations Open for at Least 5 years

The tables below list 191 recommendations that have been open for at least 5 years.

#### *Department of the Army*

**Report No. D-2006-077, “Human Capital: DoD Personnel Security Clearance Process at Requesting Activities,” April 19, 2006**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 3.a-f:</b> The DoD OIG recommended that the Army Deputy Chief of Staff for Intelligence; the Naval Criminal Investigative Service Director; the Air Force Director of Security Forces, Information Security; the Defense Information Systems Agency Director; and the Defense Logistics Agency Director update policies for the DoD personnel security clearance program to include the following areas:</p> <ul style="list-style-type: none"> <li>a. program management responsibilities;</li> <li>b. agencies responsible for conducting personnel security investigations (PSI) and investigative responsibilities;</li> <li>c. security clearance systems for tracking security clearance information;</li> <li>d. Personnel Security Investigation submission processes;</li> <li>e. the relationship among the levels of security clearances, types of PSIs required for different levels of clearance, and scopes of investigations to include documentation required for each PSI; and</li> <li>f. training requirements for security personnel.</li> </ul>	<p>14 years 11 months 12 days</p>

**Report No. DODIG-2013-097, “Improvements Needed in the Oversight of the Medical-Support Services and Award-Fee Process Under the Camp As Sayliyah, Qatar, Base Operation Support Services Contract,” June 26, 2013**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.1:</b> The DoD OIG recommended that the U.S. Army Medical Command Commander revise Army Regulation 40-68, “Clinical Quality Management,” to align the regulation with supervision requirements set forth in Federal Acquisition Regulation 37.4.</p>	<p>7 years 9 months 5 days</p>



**Department of the Army (cont'd)**

**Report No. DODIG-2013-123, "Army Needs To Improve Mi-17 Overhaul Management and Contract Administration," August 30, 2013 (Full Report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.2.a:</b> The DoD OIG recommended that the U.S. Army Materiel Command Executive Deputy to the Commanding General direct contractual action to recoup up to \$6.2 million in questioned costs for advance payments paid to Science and Engineering Services plus applicable interest due in accordance with the Federal Acquisition Regulation.</p>	<p>7 years 7 months 1 day</p>

**Report No. DODIG-2013-130, "Army Needs to Improve Controls and Audit Trails for the General Fund Enterprise Business System Acquire-to-Retire Business Process," September 13, 2013**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.2:</b> The DoD OIG recommended that the Assistant Secretary of the Army (Financial Management and Comptroller) develop a working group, including the Assistant Chief of Staff for Installation Management, the Chief of the U.S. Army Corps of Engineers, and the General Fund Enterprise Business System Program Manager, to develop and implement the identified functionality into the General Fund Enterprise Business System, including the capability to generate an Army-wide real property universe.</p>	<p>7 years 6 months 18 days</p>
<p><b>Rec. A.6:</b> The DoD OIG recommended that the Assistant Secretary of the Army (Financial Management and Comptroller) develop a working group, including the Assistant Chief of Staff for Installation Management, the Chief of the U.S. Army Corps of Engineers, and the General Fund Enterprise Business System Program Manager, to perform a review of all real property data in the General Fund Enterprise Business System to ensure that the General Fund Enterprise Business System contains the correct data going forward and track the costs associated with this effort and other data cleansing efforts so they can be calculated as part of the cost of the General Fund Enterprise Business System implementation or as part of the Army's audit readiness efforts.</p>	<p>7 years 6 months 18 days</p>
<p><b>Rec. A.7.b:</b> The DoD OIG recommended that the Assistant Secretary of the Army (Financial Management and Comptroller) develop a working group, including the Assistant Chief of Staff for Installation Management, the Chief of the U.S. Army Corps of Engineers, and the General Fund Enterprise Business System Program Manager, to record in-house costs incurred in the construction of a real property asset to the corresponding project's construction-in-progress account.</p>	<p>7 years 6 months 18 days</p>

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### *Department of the Army (cont'd)*

#### **Report No. DODIG-2014-090, "Improvements Needed in the General Fund Enterprise Business System Budget-to-Report Business Process," July 2, 2014**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 1.a:</b> The DoD OIG recommended that the Assistant Secretary of the Army (Financial Management and Comptroller) verify that the General Fund Enterprise Business System posting logic documentation is accurate and complete, and use it to validate General Fund Enterprise Business System general ledger account postings.	6 years 8 months 29 days
<b>Rec. 1.b:</b> The DoD OIG recommended that the Assistant Secretary of the Army (Financial Management and Comptroller) direct the General Fund Enterprise Business System Program Management Office to reconfigure the General Fund Enterprise Business System to properly record Budget-to-Report transactions, including implementing system controls to address items identified in this report.	6 years 8 months 29 days
<b>Rec. 1.d:</b> The DoD OIG recommended that the Assistant Secretary of the Army (Financial Management and Comptroller) use the General Fund Enterprise Business System to execute all Army General Fund appropriations.	6 years 8 months 29 days

#### **Report No. DODIG-2014-096, "Improvements Needed in Contract Administration of Mi-17 Cockpit Modification Task Order," July 28, 2014 (Full Report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. B.1:</b> The DoD OIG recommended that the Director of the Army Contracting Command-Redstone Non-Standard Rotary Wing Aircraft Directorate take action to terminate the sixth cockpit modification and, as appropriate, negotiate a settlement with the contractor.	6 years 8 months 3 days

#### **Report No. DODIG-2014-101, "Delinquent Medical Service Accounts at Brooke Army Medical Center Need Additional Management Oversight," August 13, 2014**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 1.b:</b> The DoD OIG recommended that the Brooke Army Medical Center Commander review, research, and pursue collections on the remaining open delinquent medical service accounts.	6 years 7 months 18 days
<b>Rec. 1.g:</b> The DoD OIG recommended that the Brooke Army Medical Center Commander provide U.S. Army Medical Command all the Medicaid-eligible claims denied by Texas Medicaid Health Partnership for missing the 95-day filing requirement to identify the value and impact of those claims to Brooke Army Medical Center.	6 years 7 months 18 days

**Department of the Army (cont'd)**

**Report No. DODIG-2015-016, "Department of Defense Suicide Event Report Data Quality Assessment," November 14, 2014**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 2.b:</b> The DoD OIG recommended that the Chiefs of the Military Services update their policies to incorporate DoD guidance requiring suicide event boards to establish a multidisciplinary approach for obtaining the data necessary to make comprehensive DoD Suicide Event Report submissions.</p>	<p>6 years 4 months 17 days</p>
<p><b>Rec. 3.d:</b> The DoD OIG recommended that the Chiefs of the Military Services update guidance to:</p> <ol style="list-style-type: none"> <li>1. identify subject matter experts to provide Department of Defense Suicide Event Report tech support to address questions, and</li> <li>2. adapt and implement the proposed standard operating procedure/guidelines for the Department of Defense Suicide Event Report submission process to help Department of Defense Suicide Event Report submitters understand the various sources of information (for example, military law enforcement and medical) needed to submit a complete Department of Defense Suicide Event Report.</li> </ol>	<p>6 years 4 months 17 days</p>

**Report No. DODIG-2015-128, "Army Needs to Improve Processes Over Government-Furnished Material Inventory Actions," May 21, 2015**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1:</b> The DoD OIG recommended that the Assistant Secretary of the Army (Financial Management and Comptroller) create a subaccount within the Logistics Modernization Program system to track receipt, acceptance, and consumption of Government-furnished material within an "Inventory, Work-in-Process" account.</p>	<p>5 years 10 months 10 days</p>
<p><b>Rec. 2:</b> The DoD OIG recommended that the Assistant Secretary of the Army (Financial Management and Comptroller) expedite efforts to transition to the consumption method of accounting for Government-furnished material, unless it can document a strong business case for using the purchase method to recognize operating materials and supplies expenses. In developing this business case, consider the capitalization effect of Government-furnished material items included for upgrades, modifications, or assembly of end items, including general equipment.</p>	<p>5 years 10 months 10 days</p>

## CHAPTER 3

### *Department of the Army – Report No. DODIG-2015-128 (cont’d)*

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 3:</b> The DoD OIG recommended that the Deputy Chief of Staff of the Army, G-4, and the Assistant Secretary of the Army (Financial Management and Comptroller), in collaboration with the Commander, Army Materiel Command, develop a business process and the Logistics Modernization Program posting logic to identify and track Army Working Capital Fund inventory provided to contractors as Government-furnished material within the Logistics Modernization Program system. Specifically, the Army should use the Logistics Modernization Program system to report Army Working Capital Fund inventory provided to contractors as Government-furnished material to meet requirements in the DoD Manual 4140.01, volume 9, and DoD 7000.14-R, DoD Financial Management Regulation, volume 4, chapter 4.</p>	<p>5 years 10 months 10 days</p>

### **Report No. DODIG-2015-181, “Continental United States Military Housing Inspections-Southeast,” September 24, 2015**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. I.1:</b> The DoD OIG recommended that the Assistant Secretary of the Army for Installations, Energy, and Environment review and update its policy to ensure that Army publications properly and consistently address radon assessment and mitigation requirements.</p>	<p>5 years 6 months 7 days</p>

### *Department of the Navy*

### **Report No. DODIG-2012-017, “U.S. Naval Academy Officials Did Not Adhere to Contracting and Gift Policies,” November 7, 2011**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B.1.d:</b> The DoD OIG recommended that the U.S. Naval Academy Superintendent direct the U.S. Naval Academy Museum Director to implement the Naval Heritage and History Command inventory system, Department of Navy Heritage Asset Management System, and record all the in-kind gifts into the systems.</p>	<p>9 years 4 months 24 days</p>
<p><b>Rec. B.3.b:</b> The DoD OIG recommended that the Naval Heritage and History Command Director require the United States Naval Academy Museum Director to use the Naval Heritage and History Command inventory system and the Department of Navy Heritage Asset Management System.</p>	<p>9 years 4 months 24 days</p>

**Department of the Navy (cont'd)**

**Report No. DODIG-2012-122, "The DoD Should Procure Compliant Physical Access Control Systems to Reduce the Risk of Unauthorized Access," August 29, 2012 (Full Report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B.1.b:</b> The DoD OIG recommended that the Assistant Secretary of the Army (Manpower and Reserve Affairs), in conjunction with the Assistant Secretary of the Army (Installations, Energy, and Environment); Commander of Headquarters Air Force Security Forces Center; Deputy Chief of Naval Operations for Fleet Readiness and Logistics; and Assistant Deputy Commandant of Plans, Policies and Operations (Security), U.S. Marine Corps, before approving physical access control systems for a location require installation security personnel to be involved during the site surveys.</p>	<p>8 years 7 months 2 days</p>

**Report No. DODIG-2015-011, "Evaluation of the Defense Criminal Investigative Organizations' Defense Incident-Based Reporting System Reporting and Reporting Accuracy," October 29, 2014**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 2.b:</b> The DoD OIG recommended that the U.S. Army Criminal Investigative Command Commander; the Naval Criminal Investigative Service Director; and the Air Force Office of Special Investigations Commander ensure Defense Incident-Based Reporting System error corrections are completed within 30 days of the Defense Manpower Data Center providing notification, as required by DoD Manual 7730.47-M, volume 1.</p>	<p>6 years 5 months 2 days</p>

**Report No. DODIG-2015-053, "Naval Supply Systems Command Needs to Improve Cost Effectiveness of Purchases for the Phalanx Close-In Weapon System," December 19, 2014 (Full Report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.c:</b> The DoD OIG recommended that the Naval Supply Systems Command Weapons Systems Support Commander require the Naval Supply Systems Command Weapon Systems Support contracting officers to complete timely reviews for variations in quantity before determining forecasted demand.</p>	<p>6 years 3 months 12 days</p>

**Report No. DODIG-2015-081, "Evaluation of Department of Defense Compliance with Criminal History Data Reporting Requirements," February 12, 2015**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1:</b> The DoD OIG recommended that the Secretaries of the Navy and Air Force take prompt action to submit the missing 304 fingerprints and 334 final disposition reports to the Federal Bureau of Investigation for inclusion into the Integrated Automated Fingerprint Identification System.</p>	<p>6 years 1 month 19 days</p>

## CHAPTER 3

### *Department of the Navy (cont'd)*

#### **Report No. DODIG-2015-090, "Evaluation of Aircraft Ejection Seat Safety When Using Advanced Helmet Sensors," March 9, 2015**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.2:</b> The DoD OIG recommended that the Navy and Air Force ensure consistent documentation of aircraft ejection data to increase the data available for ejections with Helmet Mounted Devices and/or Night Vision Goggles thus improving the safety risk analysis. The data should include aircraft speed at time of ejection, whether aircrew was wearing Helmet Mounted Devices and/or Night Vision Goggles, and type of injury sustained.</p>	<p>6 years 22 days</p>

#### **Report No. DODIG-2015-102, "Additional Actions Needed to Effectively Reconcile Navy's Fund Balance With Treasury Account," April 3, 2015**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1:</b> The DoD OIG recommended that the Assistant Secretary of the Navy (Financial Management and Comptroller) develop a reconciliation process that is based on detail-level transaction data from Department of the Navy's general ledger systems. As part of this process, the Department of the Navy needs to demonstrate how these detail-level transactions are used in the preparation of their financial statements.</p>	<p>5 years 11 months 28 days</p>
<p><b>Rec. 2:</b> The DoD OIG recommended that the Assistant Secretary of the Navy (Financial Management and Comptroller) review the control weaknesses identified for the Defense Cash Accountability System and Program Budget Information System during Federal Information System Controls Audit Manual testing and implement a plan to reduce ineffective or untested controls.</p>	<p>5 years 11 months 28 days</p>
<p><b>Rec. 3:</b> The DoD OIG recommended that the Assistant Secretary of the Navy (Financial Management and Comptroller) review and approve current standard operating procedures to ensure the Fund Balance With Treasury reconciliation is completed according to Treasury and DoD policies and that reconciliations are tested and proven to be a sustainable and repeatable process.</p>	<p>5 years 11 months 28 days</p>

#### **Report No. DODIG-2015-114, "Navy Officials Did Not Consistently Comply With Requirements for Assessing Contractor Performance," May 1, 2015**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1:</b> The DoD OIG recommended that the Naval Sea Systems Command Commander develop and implement procedures for contract registration, including procedures to validate that personnel properly register contracts.</p>	<p>5 years 10 months 30 days</p>
<p><b>Rec. 4.a:</b> The DoD OIG recommended that the Commanders of Naval Air Systems Command and Naval Sea Systems Command and Commanding Officer of Naval Supply Systems Command, Fleet Logistics Center Norfolk, develop and implement procedures that require assessors to prepare performance assessment reports that meet the 120-day requirement in the Under Secretary of Defense for Acquisition, Technology, and Logistics policy.</p>	<p>5 years 10 months 30 days</p>

**Department of the Navy – Report No. DODIG-2015-114 (cont’d)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 4.b:</b> The DoD OIG recommended that the Commanders of Naval Air Systems Command and Naval Sea Systems Command and Commanding Officer of Naval Supply Systems Command, Fleet Logistics Center Norfolk, develop and implement quality control procedures for evaluating performance assessment report narratives and descriptions of the contract purpose.</p>	<p>5 years 10 months 30 days</p>
<p><b>Rec. 4.c:</b> The DoD OIG recommended that the Commanders of Naval Air Systems Command and Naval Sea Systems Command and Commanding Officer of Naval Supply Systems Command, Fleet Logistics Center Norfolk, develop and implement procedures that require assessors to take initial and periodic refresher quality and narrative writing training for the Contractor Performance Assessment Reporting System.</p>	<p>5 years 10 months 30 days</p>
<p><b>Rec. 5:</b> The DoD OIG recommended that the Commanders of Naval Air Systems Command, Naval Sea Systems Command, Space and Naval Warfare Systems Center Atlantic, and Space and Naval Warfare Systems Center Pacific and Commanding Officer of Naval Supply Systems Command, Fleet Logistics Center Norfolk, train or re-emphasize to assessors the definitions of the ratings and what is required to justify each rating, as outlined in the Federal Acquisition Regulation.</p>	<p>5 years 10 months 30 days</p>

**Report No. DODIG-2015-122, “Naval Air Systems Command Needs to Improve Management of Waiver Requests,” May 15, 2015 (Full Report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.1:</b> The DoD OIG recommended that the Assistant Secretary of the Navy for Research, Development, and Acquisition and the Chief of Naval Operations, Director, Innovation, Test and Evaluation, and Technology, update Secretary of the Navy Instruction 5000.2E, “Department of the Navy Implementation and Operation of the Defense Acquisition System and the Joint Capabilities Integration and Development System,” and Secretary of the Navy Manual, M-5000.2, “Acquisition and Capabilities Guidebook,” May 9, 2012, Section 4.6, “Certification of Readiness for Operational Testing,” to:</p> <ul style="list-style-type: none"> <li>a. emphasize that program managers must request waivers whenever they do not meet any of the 20 criteria the Secretary of the Navy Instruction 5000.2E requires programs to meet to certify readiness for initial operational test and evaluation; and,</li> <li>b. clarify that Operational Test Readiness Review briefings to stakeholder groups should include specific explanations of program accomplishments against each of the 20 certification criteria to clearly document either that the criteria was met or a waiver or deferral request was coordinated with the Chief of Naval Operations, Director, Innovation, Test and Evaluation, and Technology; the program sponsors; and the Commander of Operational Test and Evaluation Force.</li> </ul>	<p>5 years 10 months 16 days</p>



## CHAPTER 3

### *Department of the Navy (cont'd)*

#### **Report No. DODIG-2015-142, "Navy's Contract/Vendor Pay Process Was Not Auditable," July 1, 2015**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 2:</b> The DoD OIG recommended that the Assistant Secretary of the Navy (Financial Management and Comptroller) develop a process or system interface between Navy Enterprise Resource Planning and Wide Area Work Flow that provides timely processing of transactions and update the Department of the Navy's system business processes to ensure transactions are processed in compliance with the Statement of Federal Financial Accounting Standards 1.</p>	<p>5 years 8 months 30 days</p>

#### **Report No. DODIG-2015-143, "Patriot Express Program Could Be More Cost-Effective for Overseas Permanent Change of Station and Temporary Duty Travel," July 6, 2015**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 3.b:</b> The DoD OIG recommended that the Commander of the Naval Supply Systems Command implement controls in the Defense Travel System to automatically route all travel orders for travel outside of the continental United States to transportation office personnel to check Patriot Express availability before booking commercial transportation.</p>	<p>5 years 8 months 25 days</p>

#### **Report No. DODIG-2015-148, "Rights of Conscience Protections for Armed Forces Service Members and Their Chaplains," July 22, 2015**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 6:</b> The DoD OIG recommended that the Army Deputy Chief of Staff for Personnel, the Chief of Naval Personnel, and the Air Force Deputy Chief of Staff for Manpower, Personnel, and Services ensure that programs of instruction for commissioned and noncommissioned officers include the updated guidance regarding religious accommodations contained in Department of Defense Instruction 1300.17.</p>	<p>5 years 8 months 9 days</p>

#### **Report No. DODIG-2015-172, "Naval Sea Systems Command Needs to Improve Management of Waiver and Deferral Requests," September 14, 2015**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 2:</b> The DoD OIG recommended that the Secretary of the Navy revise Secretary of the Navy Instruction 5000.2E, "Department of the Navy Implementation and Operation of the Defense Acquisition System and the Joint Capabilities Integration and Development System," September 1, 2011, after the Vice Chairman of the Joint Chiefs of Staff revises the Joint Capabilities Integration and Development System Manual in response to Recommendation 1.</p>	<p>5 years 6 months 17 days</p>

**Department of the Navy – Report No. DODIG-2015-172 (cont’d)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 3:</b> The DoD OIG recommended that the Naval Sea Systems Command Commander revise Naval Sea System Command Instruction 3960.2D, “Test and Evaluation,” April 22, 1988, to implement the Navy policy in the planned revision of Secretary of the Navy Instruction 5000.2E, “Department of the Navy Implementation and Operation of the Defense Acquisition System and the Joint Capabilities Integration and Development System,” planned for designation as Secretary of the Navy Instruction 5000.2E.</p>	<p>5 years 6 months 17 days</p>

**Report No. DODIG-2015-181, “Continental United States Military Housing Inspections-Southeast,” September 24, 2015**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. D.1:</b> The DoD OIG recommended that the Naval Station Mayport Commander conduct an effective root cause analysis and perform corrective actions for all fire protection deficiencies identified.</p>	<p>5 years 6 months 7 days</p>

**Report No. DODIG-2016-026, “Combat Mission Teams and Cyber Protection Teams Lacked Adequate Capabilities and Facilities to Perform Missions,” November 24, 2015 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 2:</b> The DoD OIG recommended that the Commander of U.S. Cyber Command, the Chiefs of Staff for the U.S. Army and the U.S. Air Force, the Chief of Naval Operations, and the Commandant of the Marine Corps formalize an agreement to focus capability development on functional and mission areas consistent with results of the mission alignment board.</p>	<p>5 years 4 months 7 days</p>

**Report No. DODIG-2016-054, “Navy Controls for Invoice, Receipt, Acceptance, and Property Transfer System Need Improvement,” February 25, 2016**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.a.2:</b> The DoD OIG recommended that the Deputy Assistant Secretary of the Navy for Financial Operations coordinate with the Deputy Assistant Secretary of the Navy for Acquisition and Procurement and the Director of the Program Executive Office for Enterprise Information Systems to develop and communicate comprehensive procedures to out-process Invoice, Receipt, Acceptance, and Property Transfer system users who leave the commands. Both users and supervisors should provide a formal notification to the Invoice, Receipt, Acceptance, and Property Transfer system group administrator indicating that a user is separating from the command and the corresponding system access should end.</p>	<p>5 years 1 month 6 days</p>

## CHAPTER 3

### *Department of the Navy – Report No. DODIG-2016-054 (cont’d)*

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.b:</b> The DoD OIG recommended that the Deputy Assistant Secretary of the Navy for Financial Operations coordinate with the Deputy Assistant Secretary of the Navy for Acquisition and Procurement and the Director of the Program Executive Office for Enterprise Information Systems to review the Invoice, Receipt, Acceptance, and Property Transfer system to verify that the Defense Logistics Agency’s automated control for inactive users is working properly and ensure separated employees user accounts were automatically disabled.</p>	<p>5 years 1 month 6 days</p>
<p><b>Rec. 1.d:</b> The DoD OIG recommended that the Deputy Assistant Secretary of the Navy for Financial Operations coordinate with the Deputy Assistant Secretary of the Navy for Acquisition and Procurement and the Director of the Program Executive Office for Enterprise Information Systems to review other commands that use the Navy Enterprise Resource Planning system and direct the commands to disable the certifying officer role in the Invoice, Receipt, Acceptance, and Property Transfer system if their duties do not require it.</p>	<p>5 years 1 month 6 days</p>

### *U.S. Marine Corps*

#### **Report No. D-2011-060, “Marine Corps Inventory of Small Arms Was Generally Accurate but Improvements Are Needed for Related Guidance and Training,” April 22, 2011**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 2.a:</b> The DoD OIG recommended that the Deputy Commandant, Plans, Policies, and Operations, update the small arms accountability guidance in Marine Corps Order 5530.14A consistent with Marine Corps Bulletin 4440 and the updates to Marine Corps Order 8300.1C.</p>	<p>9 years 11 months 9 days</p>

#### **Report No. DODIG-2014-100, “Assessment of DoD Wounded Warrior Matters: Selection and Training of Warrior Transition Unit and Wounded Warrior Battalion Leaders and Cadre,” August 28, 2014**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 2.b:</b> The DoD OIG recommended that the Deputy Commandant for Manpower and Reserve Affairs revalidate whether the manning precedence level category of Wounded Warrior Battalion-East and Wounded Warrior Battalion-West should be changed in the Commandant of the Marine Corps Precedence Levels for Manning and Staffing.</p>	<p>6 years 7 months 3 days</p>
<p><b>Rec. 2.d:</b> The DoD OIG recommended that the Deputy Commandant for Manpower and Reserve Affairs develop policy and procedures to extend the standard length of Wounded Warrior Battalion Reserve Individual Mobilization Augmentee assignments to 2 years to ensure greater stability in force structure, staff continuity, and to sustain the mission.</p>	<p>6 years 7 months 3 days</p>

**U.S. Marine Corps – Report No. DODIG-2014-100 (cont’d)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 3.a:</b> The DoD OIG recommended that the Deputy Commandant for Manpower and Reserve Affairs establish a standard formalized screening, selection, and assignment process for Enlisted Active Component Marines filling Wounded Warrior Battalion positions similar to the process currently used for Reserve Individual Mobilization augmentee Marines.</p>	<p>6 years 7 months 3 days</p>
<p><b>Rec. 3.b:</b> The DoD OIG recommended that the Deputy Commandant for Manpower and Reserve Affairs establish a standard review process whereby regiment and battalion leaders can interview potential Enlisted Active Component U.S. Marine Corps Wounded Warrior Battalion candidates to ensure they are the “best fit” and most qualified to better serve the Marines in the Wounded Warrior Battalions.</p>	<p>6 years 7 months 3 days</p>

**Report No. DODIG-2015-016, “Department of Defense Suicide Event Report Data Quality Assessment,” November 14, 2014**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 2.b:</b> The DoD OIG recommended that the Chiefs of the Military Services update their policies to incorporate DoD guidance requiring suicide event boards to establish a multidisciplinary approach for obtaining the data necessary to make comprehensive DoD Suicide Event Report submissions.</p>	<p>6 years 4 months 17 days</p>
<p><b>Rec. 3.d:</b> The DoD OIG recommended that the Chiefs of the Military Services update guidance to:</p> <ol style="list-style-type: none"> <li>1. identify subject matter experts to provide Department of Defense Suicide Event Report tech support to address questions, and</li> <li>2. adapt and implement the proposed standard operating procedure/guidelines for Department of Defense Suicide Event Report submission process to help Department of Defense Suicide Event Report submitters understand the various sources of information (for example, military law enforcement and medical) needed to submit a complete Department of Defense Suicide Event Report.</li> </ol>	<p>6 years 4 months 17 days</p>
<p><b>Rec. 4.e:</b> The DoD OIG recommended that the Chiefs of the Military Services update policies to integrate Department of Defense Suicide Event Report data collection and submission practices into their Service suicide prevention lessons learned processes.</p>	<p>6 years 4 months 17 days</p>

## CHAPTER 3

### *U.S. Marine Corps (cont'd)*

**Report No. DODIG-2015-143, "Patriot Express Program Could Be More Cost-Effective for Overseas Permanent Change of Station and Temporary Duty Travel," July 6, 2015**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 5:</b> The DoD OIG recommended that the Marine Corps Logistics Plans, Policy, and Strategic Mobility Director, in coordination with the Commander of U.S. Transportation Command perform a review to determine the primary reasons why passengers do not show up for, or cancel, booked Patriot Express flights and implement any necessary changes to the program, such as developing cancellation guidelines, to minimize the burden of no-show passengers.</p>	<p>5 years 8 months 25 days</p>

**Report No. DODIG-2015-159, "Followup Audit: More Improvements Needed for the Development of Wounded Warrior Battalion-East Marines' Recovery Plans," August 7, 2015**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 2.d:</b> The DoD OIG recommended that the Director of the Marine Corps Regional Contracting Office-National Capital Region initiate a performance review of the Wounded Warrior Regiment contracting officer(s) for the Recovery Care Coordinator contract to determine whether administrative actions are warranted.</p>	<p>5 years 7 months 24 days</p>

**Report No. DODIG-2016-026, "Combat Mission Teams and Cyber Protection Teams Lacked Adequate Capabilities and Facilities to Perform Missions," November 24, 2015 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1:</b> The DoD OIG recommended that the Commander of U.S. Cyber Command, the Chiefs of Staff for the U.S. Army and U.S. Air Force, the Chief of Naval Operations, and the Commandant of the Marine Corps develop a doctrine, organization, training, materiel, leadership and education, personnel, facilities, and policy framework that addresses strategies to build, grow, and sustain the Cyber Mission Force.</p>	<p>5 years 4 months 7 days</p>
<p><b>Rec. 2:</b> The DoD OIG recommended that the Commander of U.S. Cyber Command, the Chiefs of Staff for the U.S. Army and the U.S. Air Force, the Chief of Naval Operations, and the Commandant of the Marine Corps formalize an agreement to focus capability development on functional and mission areas consistent with results of the mission alignment board.</p>	<p>5 years 4 months 7 days</p>

**Department of the Air Force**

**Report No. DODIG-2015-052, “Air Force Life Cycle Management Center’s Management of F119 Engine Spare Parts Needs Improvement,” December 19, 2014 (Full Report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.5:</b> The DoD OIG recommended that the Air Force Life Cycle Management Center Director clarify the Defense Contract Management Agency’s responsibility to formally accept F119 engine spare parts on behalf of the Life Cycle Management Center.</p>	<p>6 years 3 months 12 days</p>

**Report No. DODIG-2015-090, “Evaluation of Aircraft Ejection Seat Safety When Using Advanced Helmet Sensors,” March 9, 2015**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B:</b> The DoD OIG recommended that the Navy and Air Force review and update the Joint Service Specification Guide to reflect changes in policy and technology that have occurred in the last 16 years.</p>	<p>6 years 22 days</p>

**Report No. DODIG-2015-162, “Continental United States Military Housing Inspections-National Capital Region,” August 13, 2015**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. D.1:</b> The DoD OIG recommended that the Joint Base Anacostia-Bolling Commander conduct an effective root cause analysis and implement a corrective action plan for all electrical deficiencies identified in this report.*</p>	<p>5 years 7 months 18 days</p>
<p><b>Rec. E.1:</b> The DoD OIG recommended that the Joint Base Anacostia-Bolling Commander conduct an effective root cause analysis and implement a corrective action plan for all fire protection deficiencies identified in this report.*</p>	<p>5 years 7 months 18 days</p>
<p><b>Rec. F.1:</b> The DoD OIG recommended that the Joint Base Anacostia-Bolling Commander conduct an effective root cause analysis and implement a corrective action plan for all environmental health and safety deficiencies identified in this report.*</p>	<p>5 years 7 months 18 days</p>

\* Responsibility for implementing Recommendations D.1, E.1, and F.1 was transferred from the Department of the Navy to the Department of the Air Force.

## CHAPTER 3

### Department of the Air Force (cont'd)

Report No. DODIG-2015-168, "Air Force Commands Need to Improve Logical and Physical Security Safeguards That Protect SIPRNet Access Points," September 3, 2015 (Full Report is Classified)

(FOUO) Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. A.5.a:</b> The DoD OIG recommended that the Air Force Chief, Information Dominance Chief Information Officer review the deficiencies identified, require a thorough review of the Air Force Secret Internet Protocol Router Network security safeguards performed at each command, and apply corrective actions as necessary.	5 years 6 months 28 days
<b>Rec. A.5.b:</b> The DoD OIG recommended that the Air Force Chief, Information Dominance Chief Information Officer develop a plan to create a list of mission critical systems, update the list periodically, and provide this information to the appropriate communications squadron and network personnel at each base.	5 years 6 months 28 days
<b>(FOUO) Rec. A.10.d:</b> The DoD OIG recommended that the Commander, [REDACTED] develop and implement [REDACTED] according to the Chairman of the Joint Chiefs of Staff Instruction 6510.01F, "Information Assurance (IA) and Support to Computer Network Defense (CND)," February 9, 2011, and Air Force Manual 33-282, "Computer Security," March 27, 2012, and if an [REDACTED] cannot be developed, then coordinate with base communications squadrons and any other necessary parties to develop a [REDACTED].	5 years 6 months 28 days

(FOUO)

### Joint Chiefs of Staff

Report No. DODIG-2015-134, "Assessment of the U.S. Theater Nuclear Planning Process," June 18, 2015 (Full Report is Classified)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 1.a:</b> The DoD OIG recommended that the Chairman of the Joint Chiefs of Staff update Chairman of the Joint Chiefs of Staff Instruction 3110.04, "Nuclear Supplement to the Joint Strategic Capabilities Plan" planning guidance to identify geographic combatant command planning responsibilities and requirements for developing nuclear response options. Guidance should include type and level of planning information required for directed contingency plans.	5 years 9 months 13 days



**Joint Chiefs of Staff (cont'd)**

**Report No. DODIG-2015-172, "Naval Sea Systems Command Needs to Improve Management of Waiver and Deferral Requests," September 14, 2015**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1:</b> The DoD OIG recommended that the Joint Chiefs of Staff Vice Chairman revise the Joint Capabilities Integration and Development System Manual to require sponsors of Acquisition Category I programs, or programs of interest to the Joint Chiefs of Staff, to notify the Joint Chiefs of Staff when deferrals to operationally testing system performance will delay demonstrating primary system requirements beyond the scheduled date for initial operational capability, as defined in the requirements document.</p>	<p>5 years 6 months 17 days</p>

**Under Secretary of Defense for Acquisition and Sustainment**

**Report No. DODIG-2012-082, "The DoD Can Improve Its Accounting for Residual Value From the Sale of U.S. Facilities in Europe," May 4, 2012**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B:</b> The DoD OIG recommended that the Deputy Under Secretary of Defense for Installations and Environment and the Commander for U.S. European Command revise DoD Instruction 4165.69 and U.S. European Command Instruction 4101.02, respectively, to require that future residual value settlement negotiations analyze and document how the residual value settlement amount was determined, to include at a minimum:</p> <ol style="list-style-type: none"> <li>1. results of an independent appraisal of the facility's value or the reasons why it was deemed not worth performing one;</li> <li>2. analysis of any agreed-upon calculation methodology used to determine the values for the land and capital improvements;</li> <li>3. evaluation of any environmental remediation being claimed for reasonableness, if there is an offsetting effect on the residual value received; and</li> <li>4. description of specific documents that should be maintained supporting residual value settlements and how long these documents should be maintained.</li> </ol>	<p>8 years 10 months 27 days</p>

## CHAPTER 3

### *Under Secretary of Defense for Acquisition and Sustainment (cont'd)*

**Report No. DODIG-2013-050, "Recovering Organizational Clothing and Individual Equipment from Civilians and Contractor Employees Remains a Challenge," February 22, 2013**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.a-c:</b> The DoD OIG recommended that the Under Secretary of Defense for Acquisition, Technology, and Logistics implement corrective actions to address all recommendations, with the exception of Recommendation 1.b, in DoD Office of Inspector General Report No. D-2010-069, "Central Issue Facilities at Fort Benning and Related Activities," June 21, 2010. Specifically:</p> <ul style="list-style-type: none"> <li>a. identify civilians and contractor employees who returned from deployment but did not return organizational clothing and individual equipment;</li> <li>b. obtain unreturned organizational clothing and individual equipment or reimbursement from civilians and contractor employees; and</li> <li>c. require DoD Components to include proper language in new contracts and modify existing contracts to hold contracting companies liable for unreturned organizational clothing and individual equipment.</li> </ul>	<p>8 years 1 month 9 days</p>

**Report No. DODIG-2015-031, "The Services Need To Improve Accuracy When Initially Assigning Demilitarization Codes," November 7, 2014**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 6:</b> The DoD OIG recommended that the Assistant Secretary of Defense for Logistics and Materiel Readiness require the Services to establish controls for personnel to assign accurate demilitarization codes and hold personnel accountable for not reviewing and assigning accurate demilitarization codes.</p>	<p>6 years 4 months 24 days</p>

**Report No. DODIG-2015-062, "DoD Needs Dam Safety Inspection Policy To Enable the Services To Detect Conditions That Could Lead to Dam Failure," December 31, 2014 (Full Report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1:</b> The DoD OIG recommended that the Under Secretary of Defense for Acquisition, Technology, and Logistics establish DoD dam safety inspection policy that is in accordance with the Federal Guidelines for Dam Safety, which define inspection frequency, scope, and inspector qualifications and outline the need to develop and maintain inspection support documentation.</p>	<p>6 years 3 months</p>

***Under Secretary of Defense for Acquisition and Sustainment (cont'd)***

**Report No. DODIG-2016-002, "DoD Needs a Comprehensive Approach to Address Workplace Violence," October 15, 2015**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 3:</b> The DoD OIG recommended that the Defense Procurement and Acquisition Policy Director for the Office of the Under Secretary of Defense for Acquisition, Technology, and Logistics, in coordination with the Under Secretary of Defense for Personnel and Readiness, direct the Defense Acquisition Regulations Council to revise the Defense Federal Acquisition Regulation Supplement to address interim and final contractor requirements for the prevention of workplace violence.</p>	<p>5 years 5 months 16 days</p>

***Under Secretary of Defense for Research and Engineering***

**Report No. DODIG-2014-049, "DoD Considered Small Business Innovation Research Intellectual Property Protections in Phase III Contracts, but Program Improvements Are Needed," March 27, 2014**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.a:</b> The DoD OIG recommended that the Administrator, DoD Office of Small Business Programs, Small Business Innovation Research Office, issue single, overarching guidance and related training for all DoD organizations to follow that will provide for the uniform application of intellectual property protections across DoD. Guidance and training should include:</p> <ol style="list-style-type: none"> <li>1. standard intellectual property protections within the Small Business Innovation Research Program, including the use and application of the data assertions table; and</li> <li>2. when the protection period begins and when it can be extended.</li> </ol>	<p>7 years 4 days</p>
<p><b>Rec. 1.b:</b> The DoD OIG recommended that the Administrator for the DoD Office of Small Business Programs, Small Business Innovation Research Office, issue clarifying guidance to address the requirement for organizations to provide the Small Business Administration a complete and timely notification detailing why a proposed Small Business Innovation Research Phase III contract could not be awarded to the developer. The clarifying guidance should provide a single DoD interpretation of the requirement and address reporting requirements outlined in the Small Business Administration Small Business Innovation Research Policy Directive.</p>	<p>7 years 4 days</p>

## CHAPTER 3

### *Under Secretary of Defense for Policy*

Report No. DODIG-2015-070, "Evaluation of Alternative Compensatory Control Measures Program,"  
January 28, 2015 (Full Report is Classified)

(FOUO) Recommendation Number and Text	Age of Recommendation on 3/31/21
(FOUO) Rec. A: The DoD OIG recommended that the Office of the [REDACTED]	6 years 2 months 3 days
(FOUO) Rec. B: The DoD OIG recommended that the Office of the [REDACTED]	6 years 2 months 3 days
(FOUO) Rec. C: The DoD OIG recommended that the Office of the [REDACTED]	6 years 2 months 3 days
(FOUO) Rec. D: The DoD OIG recommended that the Office of the [REDACTED]	6 years 2 months 3 days
(FOUO) Rec. E: The DoD OIG recommended that the Office of the [REDACTED]	6 years 2 months 3 days
(FOUO)	

### *Under Secretary of Defense (Comptroller)*

Report No. D-2009-062, "Internal Controls Over DoD Cash and Other Monetary Assets," March 25, 2009

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.1.a:</b> The DoD OIG recommended that the Office of the Under Secretary of Defense (Comptroller)/Chief Financial Officer, DoD, charge a proper appropriation, or coordinate with the Office of Management and Budget and the U.S. Treasury to:</p> <ol style="list-style-type: none"> <li>1. obtain a waiver to hold a certain amount of cash without charging an appropriation, or</li> <li>2. establish a new U.S. Treasury account symbol to charge when cash is obtained from the U.S. Treasury.</li> </ol>	12 years 6 days

**Under Secretary of Defense (Comptroller) – Report No. DODIG-2009-062 (cont’d)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.1.b:</b> The DoD OIG recommended that the Office of the Under Secretary of Defense (Comptroller)/Chief Financial Officer, DoD, revise DoD Financial Management Regulation 7000.14, volume 5, to reflect the implementation of Recommendation A.1.a.(1)-(2).</p>	<p>12 years 6 days</p>

**Report No. DODIG-2012-107, “Defense Finance and Accounting Service Needs to Improve the Process for Reconciling the Other Defense Organizations’ Fund Balance With Treasury,” July 9, 2012**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.a:</b> The DoD OIG recommended that the Defense Finance and Accounting Service–Indianapolis Director develop a systems infrastructure that will allow personnel to readily retrieve the detailed transactions supporting all open appropriations that the Accounts Maintenance and Control branch is responsible for accounting for and reconciling on the Cash Management Report.*</p>	<p>8 years 8 months 22 days</p>

\* Responsibility for implementing Recommendation 1.a was transferred from DFAS to OUSD(C).

**Report No. DODIG-2013-070, “Defense Agencies Initiative Did Not Contain Some Required Data Needed to Produce Reliable Financial Statements,” April 19, 2013**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 2.a:</b> The DoD OIG recommended that the Under Secretary of Defense (Comptroller)/Chief Financial Officer, DoD, revise the guidance contained in the DoD Financial Management Regulation, volume 6B, chapter 5, paragraph 050301.B. to require costs of program reported in the Statement of Net Cost to be accounted for by program costs and not by appropriation, enabling the use of the Program Indicator Code attribute.</p>	<p>7 years 11 months 12 days</p>

**Report No. DODIG-2015-056, “Opportunities to Improve the Elimination of Intragovernmental Transactions in DoD Financial Statements,” December 22, 2014**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.b:</b> The DoD OIG recommended that the Under Secretary of Defense (Comptroller)/Chief Financial Officer, DoD, review the results of the Department of the Treasury Invoice Processing Platform pilot program at the U.S. Marine Corps to determine whether it should be implemented throughout the DoD. If it is determined that the Invoice Processing Platform should be implemented throughout the DoD, develop cost estimates and obtain funding for implementing the Invoice Processing Platform across the DoD.</p>	<p>6 years 3 months 9 days</p>

## CHAPTER 3

### *Under Secretary of Defense (Comptroller) – Report No. DODIG-2015-056 (cont'd)*

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.f:</b> The DoD OIG recommended that the Under Secretary of Defense (Comptroller)/Chief Financial Officer, DoD, review the results of the Department of the Treasury Invoice Processing Platform pilot program at the U.S. Marine Corps to determine whether it should be implemented throughout the DoD. If it is determined that the Invoice Processing Platform should be implemented throughout the DoD, ensure implementation guidance includes procedures for reconciling and eliminating intragovernmental transactions other than Buy/Sell intragovernmental transactions, including intragovernmental Benefit, Fiduciary, and Transfer transactions.</p>	<p>6 years 3 months 9 days</p>

### **Report No. DODIG-2016-064, “Other Defense Organizations and Defense Finance and Accounting Service Controls Over High-Risk Transactions Were Not Effective,” March 28, 2016**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.a:</b> The DoD OIG recommended that the Under Secretary of Defense (Comptroller)/Chief Financial Officer, DoD, and the Deputy Chief Management Officer develop a coordinated and standardized strategy with the Defense Finance and Accounting Service and the Other Defense Organizations to exchange and manage problem disbursement data. The strategy should focus on the end-to-end integrated business process that includes the identification of key internal and compensating controls at the Defense Finance and Accounting Service and the Other Defense Organizations.</p>	<p>5 years 3 days</p>
<p><b>Rec. 1.b:</b> The DoD OIG recommended that the Under Secretary of Defense (Comptroller)/Chief Financial Officer, DoD, and the Deputy Chief Management Officer oversee the implementation of the strategy developed to exchange and manage problem disbursements to ensure that the process is standardized and systemized for the Other Defense Organizations.</p>	<p>5 years 3 days</p>

### **Report No. DODIG-2016-066, “Improvements Could Be Made in Reconciling Other Defense Organizations’ Civilian Pay to the General Ledger,” March 25, 2016**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.d:</b> The DoD OIG recommended that the Defense Finance and Accounting Service-Indianapolis Director revise existing Standard Operating Procedures to clearly describe the civilian pay reconciliation process. At a minimum, the Standard Operating Procedure should:</p> <ol style="list-style-type: none"> <li>1. identify all the components involved in the reconciliation process;</li> <li>2. define the roles and responsibilities of components involved in the Other Defense Organizations civilian pay reconciliations;</li> <li>3. provide the general ledger accounts (budgetary and proprietary) that are used in the reconciliation processes; and</li> <li>4. establish procedures to check the accuracy of the system generated payroll accrual entry in the Defense Agency Initiatives general ledger system.*</li> </ol>	<p>5 years 6 days</p>

**Under Secretary of Defense (Comptroller) – Report No. DODIG-2016-066 (cont’d)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.e:</b> The DoD OIG recommended that the Defense Finance and Accounting Service-Indianapolis Director centralize the Other Defense Organizations civilian payroll reconciliations processes.*</p>	<p>5 years 6 days</p>

\* Responsibility for implementing Recommendation 1.d and 1.e was transferred from DFAS to OUSD(C).

**Under Secretary of Defense for Personnel and Readiness**

**Report No. DODIG-2014-121, “Military Housing Inspections – Japan,” September 30, 2014**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. D.2.a-b:</b> The DoD OIG recommended that the Office of the Under Secretary of Defense for Acquisition, Technology, and Logistics include guidance for both accompanied and unaccompanied housing within the Overseas Environmental Baseline Guidance Document for:</p> <ul style="list-style-type: none"> <li>a. control and remediation of mold; and</li> <li>b. radon evaluation and mitigation.*</li> </ul>	<p>6 years 6 months 1 day</p>

\* Responsibility for implementing Recommendation D.2.a-b was transferred from USD(A&S) to USD(P&R).

**Report No. DODIG-2015-001, “Assessment of the Department of Defense Prisoner of War/Missing in Action Accounting Community,” October 17, 2014**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 5:</b> The DoD OIG recommended that the Under Secretary of Defense for Personnel and Readiness establish DoD-wide policy regarding the disinterment of unknowns from past conflicts.</p>	<p>6 years 5 months 14 days</p>

**Report No. DODIG-2015-002, “Assessment of DoD-Provided Healthcare for Members of the United States Armed Forces Reserve Components,” October 8, 2014**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 4:</b> The DoD OIG recommended that the Under Secretary of Defense for Personnel and Readiness establish policy that assigns responsibilities to Commanders and medical authorities to manage medical histories and line of duty documentation for deployed or temporary duty Reserve Component service members in a standardized manner across all Services so that both are complete and available to their units in a timely manner.</p>	<p>6 years 5 months 23 days</p>
<p><b>Rec. 5:</b> The DoD OIG recommended that the Under Secretary of Defense for Personnel and Readiness establish standardized DoD form(s) and procedures that provide access for all Reserve Component service members to line of duty care at all military treatment facilities.</p>	<p>6 years 5 months 23 days</p>



## CHAPTER 3

### *Under Secretary of Defense for Personnel and Readiness (cont'd)*

**Report No. DODIG-2015-013, "Military Housing Inspections – Republic of Korea," October 28, 2014**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. D.2.a-b:</b> The DoD OIG recommended that the Office of the Under Secretary of Defense for Acquisition, Technology, and Logistics include guidance for both accompanied and unaccompanied housing within the Overseas Environmental Baseline Guidance Document for:</p> <ul style="list-style-type: none"> <li>a. control and remediation of mold; and</li> <li>b. radon evaluation and mitigation.*</li> </ul>	<p>6 years 5 months 3 days</p>

\* Responsibility for implementing Recommendation D.2.a-b was transferred from USD(A&S) to USD(P&R).

**Report No. DODIG-2015-016, "Department of Defense Suicide Event Report Data Quality Assessment," November 14, 2014**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 2.a:</b> The DoD OIG recommended that the Under Secretary of Defense for Personnel and Readiness publish guidance requiring suicide event boards to establish a multidisciplinary approach for obtaining the data necessary to make comprehensive Department of Defense Suicide Event Report submissions. For each suicide death, this board should:</p> <ul style="list-style-type: none"> <li>1. be a locally (command or installation level) chartered board with defined task, purpose, and outcome for each suicide death review;</li> <li>2. include participation by unit leadership, medical/mental health, and Military Criminal Investigative Organizations; and</li> <li>3. articulate the requirement to appropriately share information (for example, medical and law enforcement reports) from ongoing investigations.</li> </ul>	<p>6 years 4 months 17 days</p>
<p><b>Rec. 3.a:</b> The DoD OIG recommended that the Under Secretary of Defense for Personnel and Readiness, in accordance with Recommendation 2.a, publish guidance requiring a suicide event board to enable a multidisciplinary approach for obtaining the data required to make a comprehensive Department of Defense Suicide Event Report submission.</p>	<p>6 years 4 months 17 days</p>
<p><b>Rec. 4.a:</b> The DoD OIG recommended that the Under Secretary of Defense for Personnel and Readiness authorize senior commanders to produce unit/ installation reports to better understand suicide trends, make informed local suicide prevention policy, and relate their trends to Service and DoD trends.</p>	<p>6 years 4 months 17 days</p>

***Under Secretary of Defense for Personnel and Readiness (cont'd)***

**Report No. DODIG-2015-078, "Evaluation of the Defense Criminal Investigative Organizations' Compliance with the Lautenberg Amendment Requirements and Implementing Guidance," February 6, 2015**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B.1:</b> The DoD OIG recommended that the Office of the Deputy Assistant Secretary of Defense for Military Community and Family Policy revise DoD Instruction 6400.06 to incorporate language requiring commanders and supervisors to advise all employees (military and civilian) found to have a qualifying conviction to dispose of their privately owned firearms and ammunitions in accordance with the law.</p>	<p>6 years 1 month 25 days</p>
<p><b>Rec. C.1:</b> The DoD OIG recommended that the Office of the Deputy Assistant Secretary of Defense for Military Community and Family Policy revise DoD Instruction 6400.06 to require all employees (military and civilian) serving in a covered position to complete the DD Form 2760 annually, at a minimum.</p>	<p>6 years 1 month 25 days</p>
<p><b>Rec. D:</b> The DoD OIG recommended that the Office of the Deputy Assistant Secretary of Defense for Military Community and Family Policy revise DoD Instruction 6400.06 by removing the requirement for a separate memorandum of understanding executed between civilian law enforcement and the Military Criminal Investigative Organizations.</p>	<p>6 years 1 month 25 days</p>

**Report No. DODIG-2015-148, "Rights of Conscience Protections for Armed Forces Service Members and Their Chaplains," July 22, 2015**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 7:</b> The DoD OIG recommended that the Under Secretary of Defense for Personnel and Readiness, in coordination with the Office of Diversity Management and Equal Opportunity, the Service Military Equal Opportunity and Inspectors General Offices, and the Defense Privacy and Civil Liberties Division, develop a more efficient and effective means of gathering data in support of the mandated report to Congress detailing DoD civil liberties oversight efforts, including the data regarding the status of rights of conscience protections for service members.</p>	<p>5 years 8 months 9 days</p>

## CHAPTER 3

### *Under Secretary of Defense for Personnel and Readiness (cont'd)*

**Report No. DODIG-2016-002, "DoD Needs a Comprehensive Approach to Address Workplace Violence," October 15, 2015**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 2.a:</b> The DoD OIG recommended that the Under Secretary of Defense for Personnel and Readiness, based on the results of Recommendation 1, revise current policies and procedures and integrate existing programs to develop a comprehensive DoD-wide approach to address prevention and response to workplace violence.</p>	<p>5 years 5 months 16 days</p>
<p><b>Rec. 2.b:</b> The DoD OIG recommended that the Under Secretary of Defense for Personnel and Readiness develop and issue interim, comprehensive DoD-wide policy for the prevention and response to workplace violence until the publication of final policies and procedures.</p>	<p>5 years 5 months 16 days</p>

### *Under Secretary of Defense for Intelligence and Security*

**Report No. DODIG-2013-072, "Data Loss Prevention Strategy Needed for the Case Adjudication Tracking System," April 24, 2013 (Full Report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B:</b> The DoD OIG recommended that the Director of Information Management for the Department of Army Military Intelligence and the Program Executive Officer for the Defense Logistics Agency immediately move the back-up servers to an approved location outside of the geographic region that complies with Federal and DoD information assurance requirements. If moving the back-up servers is not immediately feasible, request an interim waiver from the Designated Approving Authority and develop a time-phased plan to move the back-up servers outside of the geographic region.*</p>	<p>7 years 11 months 7 days</p>

\* Responsibility for implementing Recommendations B was transferred from OUSD(P&R) to OUSD(I&S).

**Report No. DODIG-2013-112, "Assessment of DoD Long-Term Intelligence Analysis Capabilities," August 5, 2013 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.1:</b> The DoD OIG recommended that the Office of the Under Secretary of Defense for Intelligence, partnering with the Defense Intelligence Agency, the Combatant Commands, and the Services, develop an All-Source Analysis certification program that leads to training, developing, and retaining a more experienced and robust workforce. We recommend that such a program includes common core analytical skills and performance standards, and an enterprise-wide all-source analysis occupational-specialty career track and development program.</p>	<p>7 years 7 months 26 days</p>

***Under Secretary of Defense for Intelligence and Security (cont'd)***

**Report No. DODIG-2014-060, "An Assessment of Contractor Personnel Security Clearance Processes in the Four Defense Intelligence Agencies," April 14, 2014**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.1:</b> The DoD OIG recommended that the Under Secretary of Defense for Intelligence develop and issue an overarching policy governing operation of the System of Record for Personnel Security Clearances.</p>	<p>6 years 11 months 17 days</p>
<p><b>Rec. B.1.a:</b> The DoD OIG recommended that the Under Secretary of Defense for Intelligence prepare an overarching policy governing the operation of the Defense Central Index of Investigations, including identification of the categories of investigations to be titled and indexed, and the retention criteria for investigations so titled and indexed.</p>	<p>6 years 11 months 17 days</p>
<p><b>Rec. B.1.b:</b> The DoD OIG recommended that the Under Secretary of Defense for Intelligence direct the Defense intelligence agencies to review the procedures that their Offices of Security use to ensure that the Joint Personnel Adjudicative System and SCATTERED CASTLES system are being properly populated.</p>	<p>6 years 11 months 17 days</p>
<p><b>Rec. B.1.d:</b> The DoD OIG recommended that the Under Secretary of Defense for Intelligence conduct one of the following actions to ensure subjects of past investigations are titled and indexed in the Defense Central Index of Investigations (DCII):</p> <ol style="list-style-type: none"> <li>1. initiate action with the Office of Personnel and Management to require that OPM investigators conducting background investigations on current and former civilian employees, military assignees, and contract employees of the Defense intelligence agencies conduct name checks with the inspectors general of those agencies; or</li> <li>2. direct that the directors of the agencies ensure that the subjects of past agency inspector general criminal investigations are titled and indexed in DCII.</li> </ol>	<p>6 years 11 months 17 days</p>

**Report No. DODIG-2015-011, "Evaluation of the Defense Criminal Investigative Organizations' Defense Incident-Based Reporting System Reporting and Reporting Accuracy," October 29, 2014**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.a:</b> The DoD OIG recommended that the Defense Human Resources Activity Director provide functional guidance to the Defense Manpower Data Center and the Defense Incident-Based Reporting System data submitters by reestablishing the cross-functional Defense Incident-Based Reporting System Council to provide a forum for the exchange of information, best practices, and the continuing operation of the Defense Incident-Based Reporting System, as required by DoD Manual 7730.47-M, volume 1.*</p>	<p>6 years 5 months 2 days</p>

\* Responsibility for implementing Recommendation 1.a was transferred from OUSD(P&R) to OUSD(I&S).

## CHAPTER 3

### *Under Secretary of Defense for Intelligence and Security (cont'd)*

**Report No. DODIG-2015-064, "Assessment of Intelligence Support to In-Transit Force Protection," January 2, 2015 (Full Report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B:</b> The DoD OIG recommended that the Under Secretary of Defense for Intelligence, coordinate with the appropriate Department of State office to update the 2003 Memorandum of Understanding to reflect DoD policy and requirements with the Force Protection Detachment program and the Embassy's Country Team environment.</p>	<p>6 years 2 months 29 days</p>

### *National Guard Bureau*

**Report No. DODIG-2013-102, "Improved Oversight of Communications Capabilities Preparedness Needed for Domestic Emergencies," July 1, 2013**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 4:</b> The DoD OIG recommended that the National Guard Bureau Chief establish oversight procedures, including performance metrics, to verify that National Guard units report the readiness status of personnel and equipment for the Joint Incident Site Communications Capability system in a timely manner.</p>	<p>7 years 8 months 30 days</p>

### *U.S. Central Command*

**Report No. DODIG-2015-107, "Challenges Exist for Asset Accountability and Maintenance and Sustainment of Vehicles within the Afghan National Security Forces," April 17, 2015 (Full Report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.1:</b> The DoD OIG recommended that the Commander of the Combined Security Transition Command-Afghanistan instruct the Security Assistance Office to reconcile information in Operational Verification of Reliable Logistics Oversight Database against information in Security Cooperation Information Portal to ensure vehicle information is accurate and complete.</p>	<p>5 years 11 months 14 days</p>
<p><b>Rec. A.2:</b> The DoD OIG recommended that the Commander of the Combined Security Transition Command-Afghanistan assess the accuracy of property transfer records after the Security Assistance Office completes its reconciliation and take the necessary steps to maintain the completeness and accuracy of these records.</p>	<p>5 years 11 months 14 days</p>
<p><b>Rec. A.6:</b> The DoD OIG recommended that the Commander of the Combined Security Transition Command-Afghanistan obtain a complete inventory of vehicles received by the Afghan National Security Forces and reconcile this list to help identify any missing records in the Security Cooperation Portal.</p>	<p>5 years 11 months 14 days</p>

**U.S. Central Command (cont'd)**

**Report No. DODIG-2015-134, "Assessment of the U.S. Theater Nuclear Planning Process," June 18, 2015 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 3.a:</b> Recommendation is Classified.	5 years 9 months 13 days

**U.S. Cyber Command**

**Report No. DODIG-2016-026, "Combat Mission Teams and Cyber Protection Teams Lacked Adequate Capabilities and Facilities to Perform Missions," November 24, 2015 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 1:</b> The DoD OIG recommended that the Commander of U.S. Cyber Command, the Chiefs of Staff for the U.S. Army and U.S. Air Force, the Chief of Naval Operations, and the Commandant of the Marine Corps develop a doctrine, organization, training, materiel, leadership and education, personnel, facilities, and policy framework that addresses strategies to build, grow, and sustain the Cyber Mission Force.	5 years 4 months 7 days
<b>Rec. 2:</b> The DoD OIG recommended that the Commander of U.S. Cyber Command, the Chiefs of Staff for the U.S. Army and the U.S. Air Force, the Chief of Naval Operations, and the Commandant of the Marine Corps formalize an agreement to focus capability development on functional and mission areas consistent with results of the mission alignment board.	5 years 4 months 7 days
<b>Rec. 3:</b> The DoD OIG recommended that the Commander of U.S. Cyber Command, in coordination with the Service Components and the Defense Information Systems Agency, develop and specify a capability baseline and interoperability standards for all Cyber Protection Teams.	5 years 4 months 7 days

## CHAPTER 3

### *DoD Office of the General Counsel*

Report No. DODIG-2014-060, "An Assessment of Contractor Personnel Security Clearance Processes in the Four Defense Intelligence Agencies," April 14, 2014

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.3:</b> The DoD OIG recommended that the DoD Office of General Counsel prepare an update to or replacement for DoD Directive 5220.6 to make it compliant with the requirements of DoD Instruction 5025.01 for accuracy and currency.</p>	<p>6 years 11 months 17 days</p>

### *DoD Chief Information Officer*

Report No. DODIG-2015-045, "DoD Cloud Computing Strategy Needs Implementation Plan and Detailed Waiver Process," December 4, 2014

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B.3:</b> The DoD OIG recommended that the DoD Chief Information Officer develop and publish a waiver process providing detailed guidance on how to obtain a Global Information Grid waiver for cloud computing in the DoD.</p>	<p>6 years 3 months 27 days</p>

### *Assistant Secretary of Defense for Health Affairs*

Report No. DODIG-2015-016, "Department of Defense Suicide Event Report Data Quality Assessment," November 14, 2014

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 4.c:</b> The DoD OIG recommended that the National Center for Telehealth and Technology Director, upon receipt of authority resulting from Recommendation 4.a, update software to allow unit/installation trend reports.</p>	<p>6 years 4 months 17 days</p>



**Assistant Secretary of Defense for Health Affairs (cont'd)**

**Report No. DODIG-2016-064, "Other Defense Organizations and Defense Finance and Accounting Service Controls Over High-Risk Transactions Were Not Effective," March 28, 2016**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 2:</b> The DoD OIG recommended that the Directors of the Other Defense Organizations and Defense Finance and Accounting Service revise service-level agreements based on the end-to-end business process identified. Service-level agreements should include clearly defined roles and responsibilities, internal controls, performance metrics, and quality assurance plans to ensure that detail-level data for problem disbursements are provided and problem disbursements are reduced and corrected in a timely manner.</p>	<p>5 years 3 days</p>

**Assistant Secretary of Defense for Homeland Defense and Global Security**

**Report No. DODIG-2013-119, "Better Procedures and Oversight Needed to Accurately Identify and Prioritize Task Critical Assets," August 16, 2013 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.a:</b> The DoD OIG recommended that the Under Secretary of Defense for Policy update DoD Instruction 3020.45, "Defense Critical Infrastructure Program Management," April 21, 2008, to require that the Assistant Secretary of Defense for Homeland Defense and Americas' Security Affairs perform comprehensive Defense Critical Infrastructure Program reviews to help identify and resolve challenges in implementing the Critical Asset Identification Process across all DoD Components and Defense Infrastructure Sector Lead Agents.</p>	<p>7 years 7 months 15 days</p>
<p><b>Rec. 1.b:</b> The DoD OIG recommended that the Under Secretary of Defense for Policy, in coordination with the DoD Chief Information Officer and the Chairman of the Joint Chiefs of Staff, develop and implement a Defense Critical Infrastructure Program net-centric approach to facilitate asset information sharing among the DoD Components and Defense Infrastructure Sector Lead Agents.</p>	<p>7 years 7 months 15 days</p>
<p><b>Rec. 2.a:</b> The DoD OIG recommended that the Assistant Secretary of Defense for Homeland Defense and Americas' Security Affairs implement a comprehensive program review process to verify that the critical asset identification and prioritization process is working effectively for DoD Components and Defense Infrastructure Sector Lead Agents to identify, prioritize, and coordinate critical asset information that could affect each other's missions or functions.</p>	<p>7 years 7 months 15 days</p>

## CHAPTER 3

### *Assistant Secretary of Defense for Public Affairs*

Report No. D-2010-026, "Joint Civilian Orientation Conference Program," December 9, 2009

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.1.a:</b> The DoD OIG recommended that the Assistant Secretary of Defense (Public Affairs) and the Washington Headquarters Services Director work with the DoD General Counsel to establish detailed policies and procedures for managing future Joint Civilian Orientation Conferences in compliance with section 2262, title 10, United States Code. Specifically, they should update DoD Instruction 5410.19 to provide guidance on how to effectively administer and manage the Joint Civilian Orientation Conference program. This guidance should require the development and submission of an annual budget estimate for conducting the program, including an estimate of the amount of appropriated funding needed to support DoD personnel involved in the program and the amount of reimbursable authority needed to collect fees from non-DoD participants. The Instruction should also describe refund procedures for conference fees.</p>	<p>11 years 3 months 22 days</p>

### *Defense Threat Reduction Agency*

Report No. DODIG-2014-055, "Investigation of a Hotline Allegation of a Questionable Intelligence Activity Concerning the Joint IED Defeat Organization (JIEDDO) Counter-IED Operations/Intelligence Integration Center (COIC)," April 4, 2014 (Full Report is Classified)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.2:</b> The DoD OIG recommended that the Deputy Secretary of Defense approve DoD Directive 2000.19E to reflect the Joint Improvised Explosive Device Defeat Organization Counter-Improvised Explosive Device Operations/Intelligence Integration Center's authorized intelligence functions, roles, and responsibilities, and assign an executive agent for the Joint Improvised Explosive Device Defeat Organization's external intelligence oversight.*</p>	<p>6 years 11 months 27 days</p>
<p><b>Rec. A.6:</b> The DoD OIG recommended that the Joint Improvised Explosive Device Defeat Organization Director cease intelligence collection activities, pending Office of the Secretary of Defense authorization.</p>	<p>6 years 11 months 27 days</p>

\* Responsibility for implementing Recommendation A.2 was transferred from DEPSECDEF to DTRA.

### Defense Logistics Agency

Report No. DODIG-2013-100, “Contract Administration of the Subsistence Prime Vendor Contract for Afghanistan Improved, but Additional Actions are Needed,” July 2, 2013

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.a:</b> The DoD OIG recommended that the Defense Logistics Agency Troop Support Commander implement corrective actions to address all recommendations, with the exception of Recommendations A.1.b, A.2.a, A.2.b, A.2.c, A.3, A.4.a, A.4.b, B.1, and B.2, in DoD OIG Report No. D-2011-047, “Improvements Needed in Contract Administration of the Subsistence Prime Vendor Contract for Afghanistan,” March 2, 2011. Specifically, initiate corrective actions to recover premium transportation fees and refund the Army after litigation is completed.*</p>	<p>7 years 8 months 29 days</p>

\* The agreed-upon corrective actions have been completed by DoD management; however, the Department’s recovery of monetary benefits accruing from those actions is a matter in litigation at the Armed Services Board of Contract Appeals.

### Defense Security Cooperation Agency

Report No. DODIG-2013-005, “Performance Framework and Better Management of Resources Needed for the Ministry of Defense Advisors Program,” October 23, 2012

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.1:</b> The DoD OIG recommended that the Deputy Assistant Secretary of Defense for Partnership Strategy and Stability Operations, in coordination with the Commander, U.S. Combined Security Transition Command-Afghanistan, develop a performance management framework to include goals, objectives, and performance indicators to assess progress and measure program results. The performance management framework should also consider environmental and external factors that could affect the goals and objectives from being accomplished.*</p>	<p>8 years 5 months 8 days</p>

\* Responsibility for implementing Recommendation A.1 was transferred from ASD(SO/LIC) to DSCA.

## CHAPTER 3

### Defense Contract Management Agency

Report No. DODIG-2014-077, "Hotline Complaint Regarding the Settlement of the Pratt & Whitney Commercial Engine Cost Accounting Standards Case," May 30, 2014

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. F:</b> The DoD OIG recommended that the Defense Contract Management Agency Director take the following actions in a timely manner to ensure that (i) the cost accounting practice used by Pratt includes the actual cost of collaboration parts in the allocation base used to allocate material overhead costs to U.S. Government contracts in accordance with the rules and regulations established by the Cost Accounting Standards Board, and (ii) the U.S. Government recovers any increased costs paid to Pratt since 2005 resulting from the contractor's use of a cost accounting practice determined by the Defense Contract Management Agency to be noncompliant with CAS 418 on June 5, 2006:</p> <ol style="list-style-type: none"> <li>1. if legally required, make a second determination of compliance or noncompliance in accordance with FAR 30.605(b)(3)(ii);</li> <li>2. if legally required, notify the contractor of this determination in accordance with FAR 30.605(b)(3)(iii);</li> <li>3. make a determination of materiality in accordance with the requirements of FAR 30.605(b)(4);</li> <li>4. in making the decision on materiality as required by FAR 30.605(b)(4), abide by the decision of the United States Court of Appeals for the Federal Circuit and, where Pratt argues that some portion of the revenue share payments represent payments for items other than parts, require that Pratt provide evidence that the revenue share payments included payments beyond that for the collaboration parts;</li> <li>5. follow the procedures in paragraphs (c) through (h) of FAR 30.605 to correct the noncompliant cost accounting practice;</li> <li>6. when evaluating a general dollar magnitude proposal (FAR 30.605(d)) or a detailed cost impact proposal (FAR 30.605(f)), abide by the decision of the Court and, where Pratt argues that some portion of the revenue share payments represent payments for items other than parts, require that Pratt provide evidence that the revenue share payments included payments beyond that for the collaboration parts;</li> <li>7. obtain a legal counsel opinion regarding the applicability, if any, of the requirement in the Contracts Disputes Act that the government submit a claim to the contractor within 6 years after the accrual of the claim and how this may impact the U.S. Government's ability to recover any increased costs paid since 2005; and</li> <li>8. provide semiannual updates to the DoD OIG Assistant Inspector General, Audit Policy &amp; Oversight, until all recommendations have been implemented.*</li> </ol>	<p>6 years 10 months 1 day</p>

\* The agreed-upon corrective actions have been completed by DoD management; however, the Department's recovery of monetary benefits accruing from those actions is a matter in litigation at the Armed Services Board of Contract Appeals.

**Defense Contract Management Agency (cont'd)**

**Report No. DODIG-2015-006, "Policy Changes Needed at Defense Contract Management Agency to Ensure Forward Pricing Rates Result in Fair and Reasonable Contract Pricing," October 9, 2014**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B.2:</b> The DoD OIG recommended that the Defense Contract Management Agency Director provide training to the administrative contracting officer community on the Federal Acquisition Regulation requirement to tailor the request for audit services.</p>	<p>6 years 5 months 22 days</p>

**F-35 Joint Program Office**

**Report No. DODIG-2013-031, "Audit of the F-35 Lightning II Autonomic Logistics Information Systems (ALIS)," December 10, 2012 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B:</b> Recommendation is Classified.</p>	<p>8 years 3 months 21 days</p>
<p><b>Rec. D.1:</b> Recommendation is Classified.</p>	<p>8 years 3 months 21 days</p>
<p><b>Rec. D.3:</b> Recommendation is Classified.</p>	<p>8 years 3 months 21 days</p>
<p><b>Rec. D.4:</b> Recommendation is Classified.</p>	<p>8 years 3 months 21 days</p>
<p><b>Rec. D.5:</b> Recommendation is Classified.</p>	<p>8 years 3 months 21 days</p>

**Report No. DODIG-2015-111, "F-35 Engine Quality Assurance Inspection," April 27, 2015 (Full Report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.1.a:</b> The DoD OIG recommended that the F-35 Joint Program Office coordinate with the Defense Contract Management Agency to conduct an effective root cause analysis and implement corrective actions for all 61 nonconformities (violations of AS9100C, regulatory requirements, and DoD policies) identified during our inspection.</p>	<p>5 years 11 months 4 days</p>
<p><b>Rec. B.1:</b> The DoD OIG recommended that the F-35 Joint Program Office ensure that critical safety item contractual requirements and Pratt &amp; Whitney's critical safety item program processes and specifications meet the intent of the Joint Critical Safety Item Instruction and supplemental guidance of the Joint Aeronautical Commanders Group Aviation Critical Safety Item Management Handbook.</p>	<p>5 years 11 months 4 days</p>
<p><b>Rec. C.3:</b> The DoD OIG recommended that the F-35 Joint Program Office ensure that Pratt &amp; Whitney consistently analyzes and reports Key Product Characteristics Process Capability Index data for F135 engine hardware and that performance improvement plans are established.</p>	<p>5 years 11 months 4 days</p>

## CHAPTER 3

### *Armed Forces Retirement Home*

Report No. DODIG-2014-093, "Inspection of the Armed Forces Retirement Home," July 23, 2014

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 53.b:</b> The DoD OIG recommended that the Under Secretary of Defense for Personnel and Readiness, under the authority given to the Secretary of Defense in section 411(d)(3), title 24, United States Code, issue a directive-type memorandum for immediate action (followed by a revision of Department of Defense Instruction 1000.28, "Armed Forces Retirement Home," February 1, 2010) to codify the results from Recommendation 53.a.*</p>	<p>6 years 8 months 8 days</p>

\* Responsibility for implementing Recommendation 53.b was transferred from DoD CMO to AFRH.

### *Classified*

Report No. DODIG-2015-057, "Title is Classified," December 19, 2014 (Full Report is Classified)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.2.1:</b> Recommendation is Classified.</p>	<p>6 years 3 months 12 days</p>
<p><b>Rec. A.2.2:</b> Recommendation is Classified.</p>	<p>6 years 3 months 12 days</p>
<p><b>Rec. A.2.3:</b> Recommendation is Classified.</p>	<p>6 years 3 months 12 days</p>
<p><b>Rec. A.2.4:</b> Recommendation is Classified.</p>	<p>6 years 3 months 12 days</p>
<p><b>Rec. A.2.5:</b> Recommendation is Classified.</p>	<p>6 years 3 months 12 days</p>
<p><b>Rec. A.3.1:</b> Recommendation is Classified.</p>	<p>6 years 3 months 12 days</p>
<p><b>Rec. A.3.2:</b> Recommendation is Classified.</p>	<p>6 years 3 months 12 days</p>
<p><b>Rec. A.3.3:</b> Recommendation is Classified.</p>	<p>6 years 3 months 12 days</p>
<p><b>Rec. A.3.4:</b> Recommendation is Classified.</p>	<p>6 years 3 months 12 days</p>
<p><b>Rec. A.4.1:</b> Recommendation is Classified.</p>	<p>6 years 3 months 12 days</p>
<p><b>Rec. A.4.2:</b> Recommendation is Classified.</p>	<p>6 years 3 months 12 days</p>
<p><b>Rec. A.4.3:</b> Recommendation is Classified.</p>	<p>6 years 3 months 12 days</p>
<p><b>Rec. A.4.4:</b> Recommendation is Classified.</p>	<p>6 years 3 months 12 days</p>
<p><b>Rec. A.4.5:</b> Recommendation is Classified.</p>	<p>6 years 3 months 12 days</p>
<p><b>Rec. A.4.6:</b> Recommendation is Classified.</p>	<p>6 years 3 months 12 days</p>
<p><b>Rec. A.4.7:</b> Recommendation is Classified.</p>	<p>6 years 3 months 12 days</p>
<p><b>Rec. A.4.8:</b> Recommendation is Classified.</p>	<p>6 years 3 months 12 days</p>
<p><b>Rec. A.4.9:</b> Recommendation is Classified.</p>	<p>6 years 3 months 12 days</p>
<p><b>Rec. A.4.10:</b> Recommendation is Classified.</p>	<p>6 years 3 months 12 days</p>

**Classified – Report No. DODIG-2015-057 (cont’d)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
Rec. A.4.11: Recommendation is Classified.	6 years 3 months 12 days
Rec. B.1.1: Recommendation is Classified.	6 years 3 months 12 days
Rec. B.1.2: Recommendation is Classified.	6 years 3 months 12 days
Rec. B.1.3: Recommendation is Classified.	6 years 3 months 12 days
Rec. B.1.4: Recommendation is Classified.	6 years 3 months 12 days
Rec. B.1.5: Recommendation is Classified.	6 years 3 months 12 days
Rec. B.1.6: Recommendation is Classified.	6 years 3 months 12 days
Rec. B.1.7: Recommendation is Classified.	6 years 3 months 12 days
Rec. B.1.8: Recommendation is Classified.	6 years 3 months 12 days
Rec. B.1.9: Recommendation is Classified.	6 years 3 months 12 days
Rec. B.1.10: Recommendation is Classified.	6 years 3 months 12 days
Rec. B.1.11: Recommendation is Classified.	6 years 3 months 12 days
Rec. B.1.12: Recommendation is Classified.	6 years 3 months 12 days
Rec. B.1.13: Recommendation is Classified.	6 years 3 months 12 days
Rec. B.1.14: Recommendation is Classified.	6 years 3 months 12 days
Rec. B.2: Recommendation is Classified.	6 years 3 months 12 days

**Report No. DODIG-2015-065, “Evaluation of the Defense Sensitive Support Program,” January 5, 2015 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
Rec. A.1.a: Recommendation is Classified.	6 years 2 months 26 days
Rec. A.1.b: Recommendation is Classified.	6 years 2 months 26 days
Rec. A.2.a: Recommendation is Classified.	6 years 2 months 26 days
Rec. A.2.b: Recommendation is Classified.	6 years 2 months 26 days
Rec. A.2.c: Recommendation is Classified.	6 years 2 months 26 days
Rec. B.1.a: Recommendation is Classified.	6 years 2 months 26 days
Rec. B.1.b: Recommendation is Classified.	6 years 2 months 26 days
Rec. B.1.c: Recommendation is Classified.	6 years 2 months 26 days
Rec. B.2: Recommendation is Classified.	6 years 2 months 26 days



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**Classified – Report No. DODIG-2015-065 (cont'd)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
Rec. C.1.a: Recommendation is Classified.	6 years 2 months 26 days
Rec. C.1.b: Recommendation is Classified.	6 years 2 months 26 days
Rec. C.2.b.1: Recommendation is Classified.	6 years 2 months 26 days
Rec. C.2.b.2: Recommendation is Classified.	6 years 2 months 26 days
Rec. C.2.b.3: Recommendation is Classified.	6 years 2 months 26 days
Rec. C.2.b.4: Recommendation is Classified.	6 years 2 months 26 days





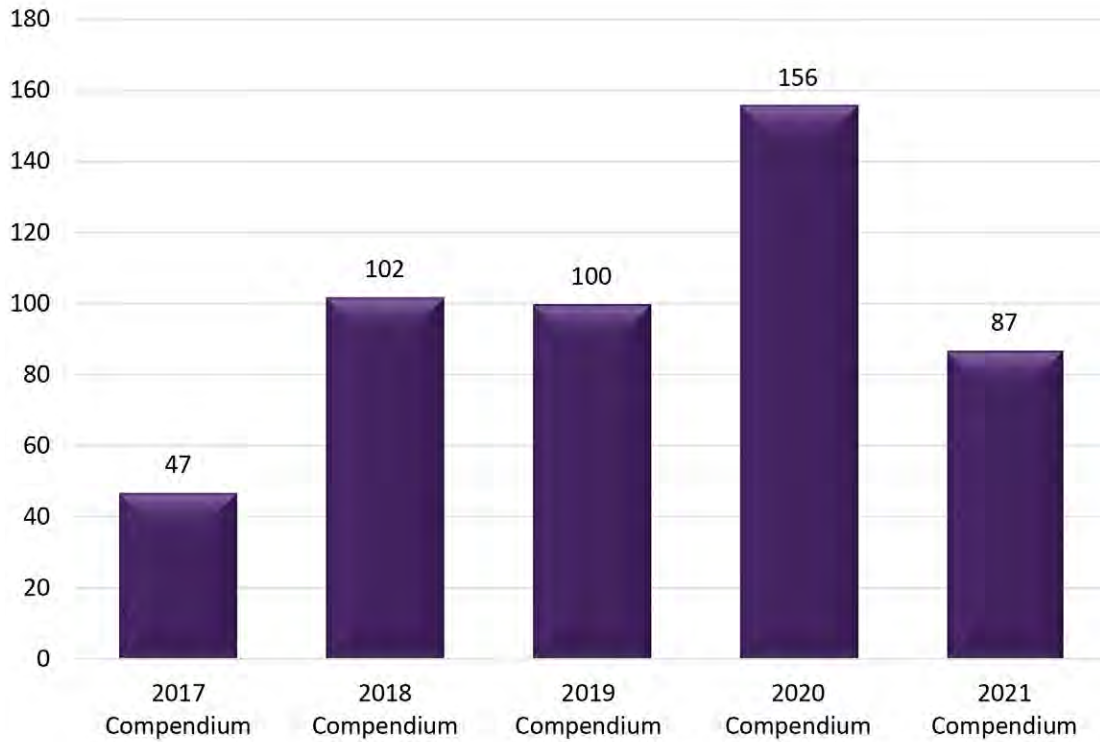
## CHAPTER 4

### Reports With Unresolved Recommendations

Open recommendations can be either resolved or unresolved. Resolved recommendations are those that DoD management has agreed to implement but for which it has not yet completed the agreed-upon actions. DoD OIG recommendations remain unresolved when DoD management either disagrees with the recommendation and does not propose an alternative corrective action that addresses the reported finding, or it does not adequately explain in its response to an OIG draft report what actions it plans to take to implement the recommendation. Although the number of unresolved recommendations had grown since the first Compendium was issued on July 11, 2017, the DoD has made marked improvement in this area over the past year. Last year's Compendium included 156 unresolved recommendations as of March 31, 2020. However, this year the number decreased by 44 percent, to 87 unresolved recommendations. Figure 11 illustrates the number of unresolved recommendations reported in each of our five Compendiums.

## CHAPTER 4

Figure 11. Number of Unresolved Recommendations Reported in Compendiums



Source: The DoD OIG.

When DoD management disagrees with a recommendation, the DoD OIG and DoD management enter a resolution process in an attempt to reach agreement on the recommendation. During the resolution process, the unresolved recommendations are elevated through DoD OIG and DoD management and a determination of whether to continue pursuing the recommendation can be made by each level of management. If agreement is not reached on a recommendation, the DoD OIG may elevate the unresolved recommendation to the Deputy Secretary of Defense who has final decision making authority on whether to implement a recommendation. As the final decision making authority on recommendations, the Deputy Secretary of Defense either directs the responsible Component to take some specific action or informs the DoD OIG that the DoD considers the recommendation closed and why no further action to implement the recommendation will be taken.

In addition to DoD management disagreeing with a recommendation, a recommendation may be unresolved because: (1) management does not provide comments on the draft or final report addressing the report's recommendations, or (2) management's response to the recommendation does not adequately explain what actions it plans to take to implement the recommendation. For example, DoD management provides a response that is vague or noncommittal with regard to the DoD OIG recommendation (such as management saying that it will "consider" implementing corrective actions), or the response does not address the DoD OIG recommendation or propose an alternative corrective action that addresses the reported finding. In such cases, the DoD OIG requests that DoD management clarify or provide additional comments on the final report that address the corrective actions that have been taken or are planned to be taken to implement the recommendations.

Although there are various reasons why the status of a recommendation is unresolved, communication is critical to avoiding unnecessary delays in resolving the recommendation. Prior to issuance of the final report, the assigned DoD OIG project team should communicate all identified issues to the client for discussion. Through frequent, positive, and constructive interactions the DoD OIG and DoD management can be successful, not only in attaining resolution of the recommendation, but ultimately closure of the recommendation. In some cases this may be achieved concurrently. For example, in Report No. DODIG-2020-042, "Audit of the Service Acquisition Executives' Management of Defense Acquisition Category 2 and 3 Programs," December 20, 2019, the DoD OIG recommended that the Service Acquisition Executives for the Army, Navy, and Air Force hold Program Executive Officers accountable for reporting inaccurate or misleading program information and for enforcing existing guidance that requires program acquisition databases to be regularly updated. The DoD OIG determined that management comments provided by the Department of the Navy (DON) only partially addressed the recommendation and requested additional comment. However, the DON deemed their original response sufficient and did not intend to provide an additional response to the recommendation. The Naval Audit Service interceded for the Department of the Navy and stated that the DON was already tasking the Program Executive Officers (PEOs) to validate program data in the Assistant Secretary of the Navy for Research, Development, and Acquisition (ASN[RD&A]) Information System (RDAIS). Further, the Naval Audit Service stated that the DON holds PEOs accountable for their programs and portfolios both in execution and reporting and holds monthly Stem to

## CHAPTER 4

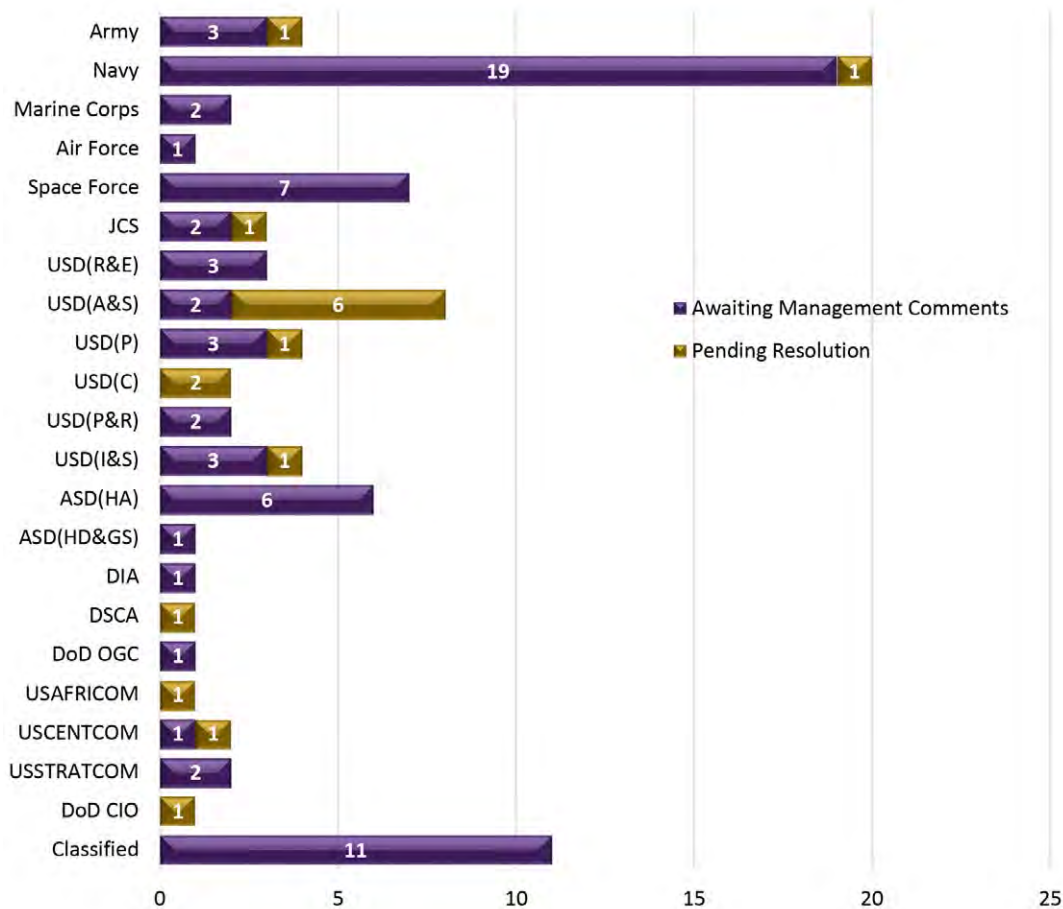
Stern reviews and PEO Reviews covering the portfolios. The DoD OIG acknowledged the statements presented and informed the DON that they would still need to provide a response to clarify whether Navy officials will hold PEOs accountable for accuracy of program information in RDAIS, and enforce existing guidance that requires the updating of databases regularly and evidence showing whether PEOs were held accountable, or not, for reporting inaccurate or misleading program information.

In an attempt to resolve the recommendation, the DoD OIG scheduled a meeting with the ASN(RD&A) to further discuss the responses provided by the DON, to reiterate the intent of the recommendation, and to address what would be needed to resolve and ultimately close the recommendation. During a meeting conducted on September 22, 2020, the Deputy Assistant Secretary (DASN), Acquisition Policy and Budget (APB), responding for the ASN(RD&A) stated that the Service Acquisition Executive and acquisition leadership conduct monthly briefings to review the status of acquisition programs with the PEOs and to hold the PEOs accountable for the execution and reporting of their programs and portfolios. Further, during those briefings the Service Acquisition Executive stressed the importance of program verification/validation efforts to the PEOs. However, the DASN APB was unable to provide sufficient documentation to demonstrate that corrective action was taken. In response to the meeting and as a direct result of the recommendation, the DASN APB later informed the DoD OIG that the Navy Senior Acquisition Executive and acquisition leadership had instituted a requirement to include Acquisition Category Program health in every briefing and to create a report in RDAIS from program data submissions. This requirement was specifically instituted to address DoD OIG audit noted deficiencies. In addition, the DASN APB provided supporting documentation demonstrating that the Service Acquisition Executive holds Program Executive Officers accountable for reporting inaccurate or misleading program information and for enforcing existing guidance that requires program acquisition databases to be regularly updated. The supporting documentation substantiated the corrective action taken and the recommendation was resolved and closed concurrently.

As of March 31, 2021, there were 87 unresolved recommendations. For 70 of the 87 unresolved recommendations, DoD management has either not provided a response or the response provided did not fully address the recommendation. DoD Components could greatly reduce the number of unresolved recommendations by either clarifying or being more specific in their responses to the recommendations or proposing alternative actions that they suggest to address the associated findings.

DoD management disagreed with the other 17 recommendations, and the DoD OIG is working with the DoD Components to resolve these issues. Figure 12 presents a breakdown of the 87 unresolved recommendations awaiting management comments and resolution for each DoD Component. More than 20 percent of the unresolved recommendations were made to the Navy.

Figure 12. Unresolved Recommendations by DoD Component



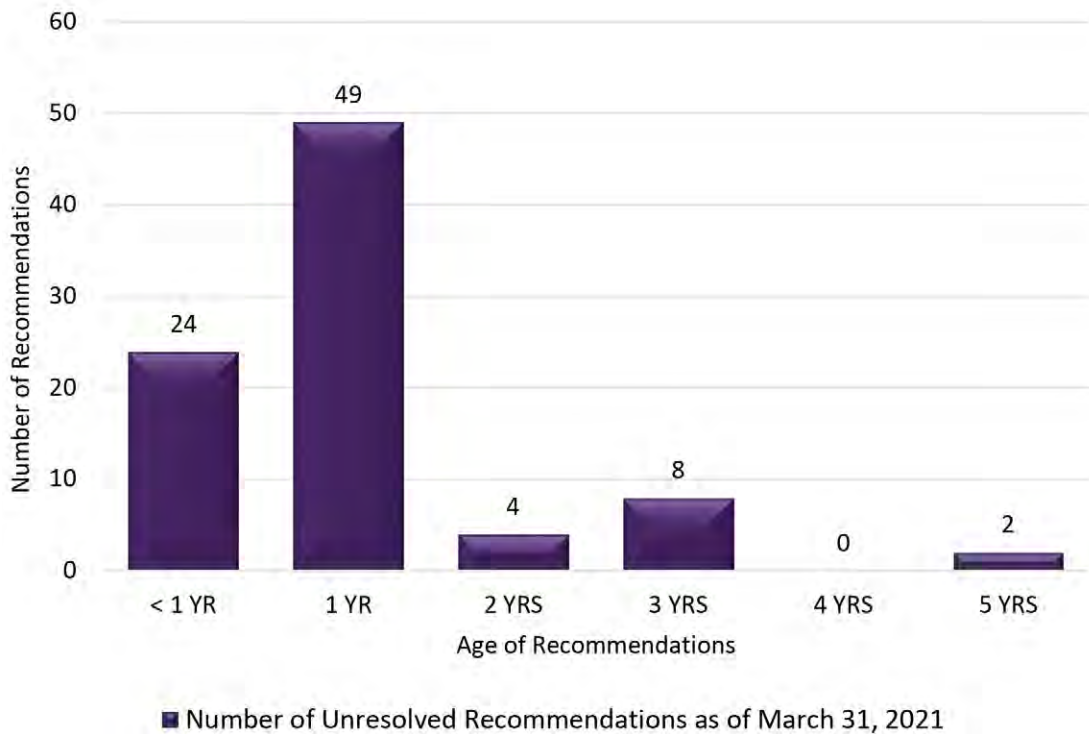
Source: The DoD OIG.

The Office of Management and Budget (OMB) Circular No. A-50 Revised, “Audit Follow-Up,” September 29, 1982, requires agency management officials and auditors to establish systems to assure the prompt and proper resolution and implementation of audit recommendations, and it also requires that resolution be made within a maximum of 6 months after a final report is issued. In previous years, the preponderance of unresolved recommendations were from newly issued final

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reports. However, this year 24 of the 87 unresolved recommendations (28 percent) were unresolved for less than 1 year, 16 of which have been unresolved for less than 6 months. The majority of unresolved recommendations (56 percent) have been unresolved between 1 and 2 years, while 14 recommendations have remained unresolved for more than 2 years after the recommendations were made. Figure 13 presents the age of the 87 unresolved recommendations.

*Figure 13. Number and Age of Unresolved Recommendations as of March 31, 2021*



Source: The DoD OIG.

While there has been notable improvement in the number of unresolved recommendations since the issuance of last year’s Compendium, DoD Components could continue to reduce the number of unresolved recommendations by either being more specific in their responses to the recommendations or proposing alternative actions to address the associated findings. We believe the DoD should focus on recommendations that have been unresolved for longer than a year and, moving forward, work toward resolving recommendations within 6 months, as required by OMB Circular No. A-50 Revised.



## Tables. Reports With Unresolved Recommendations

The tables below list 87 unresolved recommendations that remain open. Reasons for unresolved status include management responses that:

- did not fully address the intent of the recommendations (Type of Action: Management Comments), or
- did not agree to implement the recommendations; therefore, the recommendations are in the resolution process (Type of Action: Resolution).

The tables do not include the recommendation text for 36 unresolved classified recommendations. This information is provided in Appendixes B, C, and D.

### Department of the Army

**Report No. DODIG-2019-108, “Audit of the DoD’s Management of the Third Party Collection Program for Medical Claims,” September 16, 2019**

Recommendation Number and Text	Type of Action	Age of Recommendation on 3/31/21
<b>Rec. 10.a:</b> The DoD OIG recommended that the Commander of the Kimbrough Ambulatory Care Center review and modify procedures for claim followup so debt can be transferred to the appropriate debt collection agency when claims become 120 days delinquent.	Resolution	1 year 6 months 15 days

**Report No. DODIG-2021-064, “Audit of Maintaining Cybersecurity in the Coronavirus Disease–2019 Telework Environment,” March 29, 2021 (Full Report is CUI)**

(CUI) Recommendation Number and Text	Type of Action	Age of Recommendation on 3/31/21
<del>(CUI)</del> <b>Rec. 2.a:</b> The DoD OIG recommended that the Deputy Commander, U.S. Army Cyber Command develop, implement, and enforce a plan to set [REDACTED] for virtual private network sessions.	Management Comments	2 days
<del>(CUI)</del> <b>Rec. 2.b:</b> The DoD OIG recommended that the Deputy Commander, U.S. Army Cyber Command mitigate [REDACTED].	Management Comments	2 days
<b>Rec. 3:</b> The DoD OIG recommended that the Army Deputy Chief of Staff for Personnel develop, implement, and enforce a plan to verify that DoD personnel complete telework agreement and the required DoD telework training before teleworking.	Management Comments	2 days

(CUI)

# CHAPTER 4

## Department of the Navy

Report No. DODIG-2019-072, "Audit of Consolidated Afloat Networks and Enterprise Services Security Safeguards," April 8, 2019 (Full Report is Classified)

(FOUO) Recommendation Number and Text	Type of Action	Age of Recommendation on 3/31/21
Rec. 1: Recommendation is Classified.	Management Comments	1 year 11 months 23 days
(FOUO) Rec. 4: The DoD OIG recommended that the [REDACTED].*	Management Comments	1 year 11 months 23 days
(FOUO) Rec. 4: The DoD OIG recommended that the [REDACTED].	Management Comments	1 year 11 months 23 days
Rec. 6: Recommendation is Classified.	Management Comments	1 year 11 months 23 days
(FOUO) Rec. 7: The DoD OIG recommended that the [REDACTED].	Management Comments	1 year 11 months 23 days
Rec. 8.b: Recommendation is Classified.	Management Comments	1 year 11 months 23 days

\* Because the DoD OIG directed this recommendation to more than one office, it counts as more than one recommendation for tracking purposes.

(FOUO)

**Department of the Navy (cont'd)**

**Report No. DODIG-2019-108, "Audit of the DoD's Management of the Third Party Collection Program for Medical Claims," September 16, 2019**

Recommendation Number and Text	Type of Action	Age of Recommendation on 3/31/21
<b>Rec. 2.g:</b> The DoD OIG recommended that the Commander of Naval Hospital Bremerton provide sufficient legal support to pursue collections through the Third Party Collection Program.	Management Comments	1 year 6 months 15 days
<b>Rec. 3.c:</b> The DoD OIG recommended that the Commander of Naval Medical Center San Diego provide sufficient legal support to pursue collections through the Third Party Collection Program.	Management Comments	1 year 6 months 15 days

**Report No. DODIG-2020-064, "Evaluation of DoD Law Enforcement Organization Submissions of Criminal History Information to the Federal Bureau of Investigation," February 21, 2020**

Recommendation Number and Text	Type of Action	Age of Recommendation on 3/31/21
<b>Rec. 1.a:</b> The DoD OIG recommended that the Secretary of the Navy take prompt action to update the Navy Security Forces Master-at-Arms School law enforcement training to include instruction on fingerprint and final disposition report collection and submission to the Federal Bureau of Investigation Criminal Justice Information Services Division.	Management Comments	1 year 1 month 10 days
<b>Rec. 1.b:</b> The DoD OIG recommended that the Secretary of the Navy take prompt action to require the Navy Security Forces to establish management oversight procedures to verify fingerprints and final disposition reports were submitted to the Federal Bureau of Investigation Criminal Justice Information Services Division.	Management Comments	1 year 1 month 10 days
<b>Rec. 3.a:</b> The DoD OIG recommended that the Secretary of Navy take prompt action to direct the Navy Security Forces to collect and submit Deoxyribonucleic Acid samples to the U.S. Army Criminal Investigation Laboratory for entry into the Federal Bureau of Investigation Combined Deoxyribonucleic Acid Index System as required by DoD Instruction 5505.14.	Management Comments	1 year 1 month 10 days
<b>Rec. 3.b:</b> The DoD OIG recommended that the Secretary of Navy take prompt action to establish policy, processes, training, and management oversight procedures for Navy Security Forces personnel to collect and submit Deoxyribonucleic Acid samples to the U.S. Army Criminal Investigation Laboratory for entry into the Federal Bureau of Investigation Combined Deoxyribonucleic Acid Index System as required by DoD Instruction 5505.14.	Management Comments	1 year 1 month 10 days
<b>Rec. 8:</b> The DoD OIG recommended that the Secretary of the Navy revise Secretary of the Navy Instruction 5800.14A to require the DD Form 2791 be provided to the Naval Criminal Investigative Service and the U.S. Marshals Service National Sex Offender Targeting Center as required by DoD Instruction 5525.20.	Management Comments	1 year 1 month 10 days

## CHAPTER 4

### *Department of the Navy (cont'd)*

**Report No. DODIG-2020-066, "Audit of the Department of Defense Supply Chain Risk Management Program for Nuclear Command, Control, and Communications Systems," March 2, 2020 (Full Report is Classified)**

Recommendation Number and Text	Type of Action	Age of Recommendation on 3/31/21
Rec. A.3.a.1: Recommendation is Classified.	Management Comments	1 year 29 days
Rec. A.3.a.2: Recommendation is Classified.	Management Comments	1 year 29 days
Rec. A.3.a.3: Recommendation is Classified.	Management Comments	1 year 29 days
Rec. A.3.b: Recommendation is Classified.	Management Comments	1 year 29 days

**Report No. DODIG-2020-106, "Evaluation of Security Controls for Intelligence, Surveillance, and Reconnaissance Supply Chains," July 22, 2020 (Full Report is Classified)**

Recommendation Number and Text	Type of Action	Age of Recommendation on 3/31/21
Rec. 2: Recommendation is Classified.	Management Comments	8 months 9 days

**Report No. DODIG-2020-122, "Audit of the Supply Chain Risk Management for the Navy's Nuclear Weapons Delivery System," September 1, 2020 (Full Report is Classified)**

(CUI) Recommendation Number and Text	Type of Action	Age of Recommendation on 3/31/21
(CUI) Rec. 3.d: The DoD OIG recommended that the Director for the Navy Strategic Systems Programs [REDACTED]	Resolution	6 months 30 days
(CUI)		

**Department of the Navy (cont'd)**

Report No. DODIG-2021-064, "Audit of Maintaining Cybersecurity in the Coronavirus Disease–2019 Telework Environment," March 29, 2021 (Full Report is CUI)

<b>(CUI)</b> Recommendation Number and Text	Type of Action	Age of Recommendation on 3/31/21
<b>(CUI) Rec. 5:</b> The DoD OIG recommended that the Navy Chief Information Officer direct the Commander, U.S. Fleet Cyber Command to identify mitigating efforts for preventing malicious cyber actors from exploiting inactive user accounts older than [REDACTED]	Management Comments	2 days
<b>(CUI)</b>		

**U.S. Marine Corps**

Report No. DODIG-2019-075, "Evaluation of Military Services' Law Enforcement Responses to Domestic Violence Incidents," April 19, 2019

Recommendation Number and Text	Type of Action	Age of Recommendation on 3/31/21
<b>Rec. B.1.b:</b> The DoD OIG recommended that the Secretaries of the Army, Navy, and Air Force take prompt action to ensure that a comprehensive review of all criminal investigative databases and files is conducted to verify that all subjects of domestic violence incidents from 1998 to present are titled and indexed in the Defense Central Index of Investigation, as required by DoD Instruction 5505.07, "Titling and Indexing Subjects of Criminal Investigations in the Department of Defense," January 27, 2012.	Management Comments	1 year 11 months 12 days
<b>Rec. B.1.e:</b> The DoD OIG recommended that the Secretaries of the Army, Navy, and Air Force take prompt action to ensure that the importance of complying with DoD and supplemental Military Service policies related to law enforcement's response to domestic violence incidents when collecting evidence, conducting interviews, notifying Family Advocacy Program staff members, and titling and indexing subjects in the Defense Central Index of Investigations is emphasized in writing to all law enforcement organizations.	Management Comments	1 year 11 months 12 days

## CHAPTER 4

### *Department of the Air Force*

Report No. DODIG-2021-064, “Audit of Maintaining Cybersecurity in the Coronavirus Disease–2019 Telework Environment,” March 29, 2021 (Full Report is CUI)

Recommendation Number and Text	Type of Action	Age of Recommendation on 3/31/21
<b>Rec. 7:</b> The DoD OIG recommended that the Air Force Deputy Chief of Staff for Manpower, Personnel, and Services verify that DoD personnel completed telework agreements and the required DoD telework training before teleworking.	Management Comments	2 days

### *U.S. Space Force*

Report No. DODIG-2021-054, “Audit of Cybersecurity Controls Over the Air Force Satellite Control Network,” February 17, 2021 (Full Report is Classified)

Recommendation Number and Text	Type of Action	Age of Recommendation on 3/31/21
<b>Rec. 1.f:</b> Recommendation is Classified.	Management Comments	1 month 14 days
<b>Rec. 1.i:</b> Recommendation is Classified.	Management Comments	1 month 14 days
<b>Rec. 2.g:</b> Recommendation is Classified.	Management Comments	1 month 14 days
<b>Rec. 3.c:</b> Recommendation is Classified.	Management Comments	1 month 14 days
<b>Rec. 3.d:</b> Recommendation is Classified.	Management Comments	1 month 14 days
<b>Rec. 3.f:</b> Recommendation is Classified.	Management Comments	1 month 14 days
<b>Rec. 3.g:</b> Recommendation is Classified.	Management Comments	1 month 14 days

**Joint Chiefs of Staff**

Report No. DODIG-2018-097, “U.S. European Command Efforts to Integrate Cyberspace Operations Into Contingency Plans,” March 30, 2018 (Full Report is Classified)

Recommendation Number and Text	Type of Action	Age of Recommendation on 3/31/21
Rec. 2: Recommendation is Classified.	Resolution	3 years 1 day

Report No. DODIG-2020-045, “Evaluation of the Military Service Capacity to Fill Combatant Command Requests for Counterintelligence Support,” December 30, 2019 (Full Report is Classified)

(FOUO) Recommendation Number and Text	Type of Action	Age of Recommendation on 3/31/21
(FOUO) Rec. 2: The DoD OIG recommended that the [REDACTED]	Management Comments	1 year 3 months 1 day
(FOUO) Rec. 3: The DoD OIG recommended that the [REDACTED]	Management Comments	1 year 3 months 1 day

(FOUO)

**Under Secretary of Defense for Acquisition and Sustainment**

Report No. DODIG-2020-063, “Audit of DoD Service-Disabled Veteran-Owned Small Business Contract Awards,” February 18, 2020

Recommendation Number and Text	Type of Action	Age of Recommendation on 3/31/21
Rec. 1.c: The DoD OIG recommended that the DoD Office of Small Business Programs Director implement procedures, in coordination with Defense Pricing and Contracting, to require contractors to submit documentation to support the owner and highest ranking officer is a service-disabled veteran when submitting proposals for Service-Disabled Veteran-Owned Small Business set-aside and sole-source contracts. Additionally, the procedures should require contractors to submit documentation supporting that they meet the Service-Disabled Veteran-Owned Small Business requirements for majority ownership and management and control of the long-term decisions and daily business operations.	Resolution	1 year 1 month 13 days



## CHAPTER 4

### *Under Secretary of Defense for Acquisition and Sustainment – Report No. DODIG-2020-063 (cont'd)*

Recommendation Number and Text	Type of Action	Age of Recommendation on 3/31/21
<p><b>Rec. 1.d:</b> The DoD OIG recommended that the DoD Office of Small Business Programs Director implement procedures, in coordination with Defense Pricing and Contracting, for the Services' Small Business Offices to periodically review contractors that have obtained Service-Disabled Veteran-Owned Small Business contracts, where eligibility was not verified at the time of award, to determine if those contractors meet the Service-Disabled Veteran-Owned Small Business eligibility requirements, and coordinate with the applicable contracting officer to protest, through the Small Business Administration, any contractors that appear to be ineligible.</p>	Resolution	1 year 1 month 13 days
<p><b>Rec. 1.e:</b> The DoD OIG recommended that the DoD Office of Small Business Programs Director implement procedures, in coordination with Defense Pricing and Contracting, requiring contracting personnel to track and monitor the amounts Service-Disabled Veteran-Owned Small Businesses pay to joint venture partners that are not Service-Disabled Veteran-Owned Small Businesses throughout contract performance to ensure that contractors do not exceed the required net profit limitations, as defined by the Code of Federal Regulations.</p>	Resolution	1 year 1 month 13 days
<p><b>Rec. 1.g:</b> The DoD OIG recommended that the DoD Office of Small Business Programs Director conduct a review of all socio-economic contracting programs that require contractors to self-certify their status and, as appropriate, implement procedures, in coordination with Defense Pricing and Contracting, requiring contractors to submit documentation to support that they meet the applicable eligibility requirements, including ownership and control, before receiving set-aside and sole-source contracts.</p>	Resolution	1 year 1 month 13 days
<p><b>Rec. 1.h:</b> The DoD OIG recommended that the DoD Office of Small Business Programs Director coordinate with Defense Pricing and Contracting, the General Services Administration, and the Small Business Administration to implement procedures to ensure that contractors update the System for Award Management after the Small Business Administration determines the contractors are ineligible for Service-Disabled Veteran-Owned Small Business contracts.</p>	Resolution	1 year 1 month 13 days
<p><b>Rec. 1.i:</b> The DoD OIG recommended that the DoD Office of Small Business Programs Director coordinate with Defense Pricing and Contracting and the Small Business Administration to implement procedures to ensure protest results are communicated to contracting personnel DoD-wide when the Small Business Administration determines a contractor is not eligible for Service-Disabled Veteran-Owned Small Business set-aside or sole-source contracts.</p>	Resolution	1 year 1 month 13 days

***Under Secretary of Defense for Acquisition and Sustainment (cont'd)***

**Report No. DODIG-2020-106, "Evaluation of Security Controls for Intelligence, Surveillance, and Reconnaissance Supply Chains," July 22, 2020 (Full Report is Classified)**

Recommendation Number and Text	Type of Action	Age of Recommendation on 3/31/21
<b>Rec. 1:</b> Recommendation is Classified.	Management Comments	8 months 9 days

**Report No. DODIG-2021-041, "Evaluation of the Department of Defense Processes to Counter Radio Controlled Improvised Explosive Devices," January 22, 2021 (Full Report is Classified)**

Recommendation Number and Text	Type of Action	Age of Recommendation on 3/31/21
<b>Rec. 1.a:</b> The DoD OIG recommended that the Under Secretary of Defense for Acquisition and Sustainment revise DoD Directive 5101.14 to clarify the appointment of the Secretary of the Army as the counter radio-controlled improvised explosive device electronic warfare executive agent.	Management Comments	2 months 9 days

***Under Secretary of Defense for Research and Engineering***

**Report No. DODIG-2020-066, "Audit of the Department of Defense Supply Chain Risk Management Program for Nuclear Command, Control, and Communications Systems," March 2, 2020 (Full Report is Classified)**

Recommendation Number and Text	Type of Action	Age of Recommendation on 3/31/21
<b>Rec. A.6:</b> The DoD OIG recommended that the Commander of U.S. Strategic Command and the Under Secretary of Defense for Research and Engineering develop and implement a plan to conduct independent evaluations of supply chain risk management for nuclear command, control, and communications systems. The plan should outline responsibilities for conducting the evaluations, criteria and methodology that will be used, and timeframes for conducting the evaluations.	Management Comments	1 year 29 days
<b>Rec. A.7.b:</b> The DoD OIG recommended that the Under Secretary of Defense for Research and Engineering, in coordination with the Under Secretary of Defense for Acquisition and Sustainment and the DoD Chief Information Officer, evaluate the use of threat assessments by program offices and determine whether the assessments are effective in achieving supply chain risk management objectives by informing risk management decisions.	Management Comments	1 year 29 days

## CHAPTER 4

### *Under Secretary of Defense for Research and Engineering – Report No. DODIG-2020-066 (cont'd)*

Recommendation Number and Text	Type of Action	Age of Recommendation on 3/31/21
<p><b>Rec. A.7.d:</b> The DoD OIG recommended that the Under Secretary of Defense for Research and Engineering, in coordination with the Under Secretary of Defense for Acquisition and Sustainment and the DoD Chief Information Officer, assess the effectiveness of supply chain risk management practices, as implemented by program offices, in mitigating risks to subcomponents in critical systems. Based on the results of the assessment, provide clarification on requirements in policy or guidance, as needed.</p>	<p>Management Comments</p>	<p>1 year 29 days</p>

### *Under Secretary of Defense for Policy*

#### **Report No. DODIG-2019-055, “Evaluation of Integrated Joint Special Technical Operations,” February 11, 2019 (Full Report is Classified)**

Recommendation Number and Text	Type of Action	Age of Recommendation on 3/31/21
<p><b>Rec. 3.a:</b> Recommendation is Classified.</p>	<p>Management Comments</p>	<p>2 years 1 month 20 days</p>
<p><b>Rec. 3.c:</b> Recommendation is Classified.</p>	<p>Management Comments</p>	<p>2 years 1 month 20 days</p>

#### **Report No. DODIG-2020-090, “Evaluation of the Department of Defense Regional Centers for Security Studies,” June 10, 2020**

Recommendation Number and Text	Type of Action	Age of Recommendation on 3/31/21
<p><b>Rec. A:</b> The DoD OIG recommended that the Under Secretary of Defense for Policy, in coordination with the Defense Security Cooperation Agency Director, provide the Regional Centers with the technical assistance and subject matter expertise indicated by DoD Instruction 5132.14, “Assessment, Monitoring, and Evaluation Policy for the Security Cooperation Enterprise,” to develop and implement performance measures to track progress on achieving program outputs and outcomes.</p>	<p>Management Comments</p>	<p>9 months 21 days</p>

***Under Secretary of Defense for Policy (cont'd)***

**Report No. DODIG-2020-097, "Audit of Protective Security Details in the Department of Defense," June 30, 2020 (Full Report is FOUO-Law Enforcement Sensitive)**

Recommendation Number and Text	Type of Action	Age of Recommendation on 3/31/21
<p><b>Rec. A.1.a:</b> The DoD OIG recommended that the Under Secretary of Defense for Policy eliminate the preassigned levels of protection for permanent high-risk personnel in DoD Instruction O-2000.22 and revise the Instruction to clarify that protection for high-risk-personnel should be based on recommendations supported in the individual high-risk personnel personal security vulnerability assessments or nomination packages.</p>	Resolution	9 months 1 day

***Under Secretary of Defense (Comptroller)***

**Report No. DODIG-2018-120, "The Treasury Index 97 Cash Management Report," May 23, 2018**

Recommendation Number and Text	Type of Action	Age of Recommendation on 3/31/21
<p><b>Rec. 1.a:</b> The DoD OIG recommended that the Office of the Under Secretary of Defense (Comptroller)/Deputy Chief Financial Officer create individual Defense Working Capital Fund accounts at the Department of the Treasury for the Defense Information Systems Agency, Defense Logistics Agency, and Defense Finance and Accounting Service.</p>	Resolution	2 years 10 months 8 days
<p><b>Rec. 1.f:</b> The DoD OIG recommended that the Office of the Under Secretary of Defense (Comptroller)/Deputy Chief Financial Officer work with the Department of the Treasury to either establish Fund Balance With Treasury accounts for select Other Defense Organizations when appropriate or establish four-digit limits for Treasury Index 97 Fund Balance With Treasury accounts in the Central Accounting and Reporting System.</p>	Resolution	2 years 10 months 8 days

***Under Secretary of Defense for Personnel and Readiness***

**Report No. DODIG-2016-002, "DoD Needs a Comprehensive Approach to Address Workplace Violence," October 15, 2015**

Recommendation Number and Text	Type of Action	Age of Recommendation on 3/31/21
<p><b>Rec. 2.a:</b> The DoD OIG recommended that the Under Secretary of Defense for Personnel and Readiness, based on the results of Recommendation 1, revise current policies and procedures and integrate existing programs to develop a comprehensive DoD-wide approach to address prevention and response to workplace violence.</p>	Management Comments	5 years 5 months 16 days

CHAPTER 4

**Under Secretary of Defense for Personnel and Readiness – Report No. DODIG-2016-002 (cont’d)**

Recommendation Number and Text	Type of Action	Age of Recommendation on 3/31/21
<b>Rec. 2.b:</b> The DoD OIG recommended that the Under Secretary of Defense for Personnel and Readiness develop and issue interim, comprehensive DoD-wide policy for the prevention and response to workplace violence until the publication of final policies and procedures.	Management Comments	5 years 5 months 16 days

**Under Secretary of Defense for Intelligence and Security**

**Report No. DODIG-2018-097, “U.S. European Command Efforts to Integrate Cyberspace Operations Into Contingency Plans,” March 30, 2018 (Full Report is Classified)**

Recommendation Number and Text	Type of Action	Age of Recommendation on 3/31/21
<b>Rec. 2:</b> Recommendation is Classified.	Resolution	3 years 1 day

**Report No. DODIG-2020-045, “Evaluation of the Military Service Capacity to Fill Combatant Command Requests for Counterintelligence Support,” December 30, 2019 (Full Report is Classified)**

<b>(FOUO)</b> Recommendation Number and Text	Type of Action	Age of Recommendation on 3/31/21
<b>(FOUO) Rec. 1.a:</b> The DoD OIG recommended that the [REDACTED]	Management Comments	1 year 3 months 1 day
<b>(FOUO)</b>		

***Under Secretary of Defense for Intelligence and Security (cont'd)***

**Report No. DODIG-2020-106, "Evaluation of Security Controls for Intelligence, Surveillance, and Reconnaissance Supply Chains," July 22, 2020 (Full Report is Classified)**

Recommendation Number and Text	Type of Action	Age of Recommendation on 3/31/21
<b>Rec. 1:</b> Recommendation is Classified.	Management Comments	8 months 9 days
<b>Rec. 3:</b> Recommendation is Classified.	Management Comments	8 months 9 days

***U.S. Central Command***

**Report No. DODIG-2019-088, "Evaluation of DoD Efforts to Combat Trafficking in Persons in Kuwait," June 11, 2019**

Recommendation Number and Text	Type of Action	Age of Recommendation on 3/31/21
<b>Rec. D.2:</b> The DoD OIG recommended that the Commander of U.S. Central Command create designated Combating Trafficking in Person Inspection Teams and personnel billets to provide oversight of DoD contracts in countries for which it has command responsibility and that have potential trafficking in persons problems.*	Resolution	1 year 9 months 20 days

\* The DoD OIG is evaluating implementation of this recommendation as part of an ongoing followup project.

**Report No. DODIG-2021-041, "Evaluation of the Department of Defense Processes to Counter Radio Controlled Improvised Explosive Devices," January 22, 2021 (Full Report is Classified)**

Recommendation Number and Text	Type of Action	Age of Recommendation on 3/31/21
<b>Rec. 4.a:</b> Recommendation is Classified.	Management Comments	2 months 9 days

## CHAPTER 4

### U.S. Strategic Command

Report No. DODIG-2020-066, "Audit of the Department of Defense Supply Chain Risk Management Program for Nuclear Command, Control, and Communications Systems," March 2, 2020 (Full Report is Classified)

Recommendation Number and Text	Type of Action	Age of Recommendation on 3/31/21
<b>Rec. A.5:</b> Recommendation is Classified.	Management Comments	1 year 29 days
<b>Rec. A.6:</b> The DoD OIG recommended that the Commander of U.S. Strategic Command and the Under Secretary of Defense for Research and Engineering develop and implement a plan to conduct independent evaluations of supply chain risk management for nuclear command, control, and communications systems. The plan should outline responsibilities for conducting the evaluations, criteria and methodology that will be used, and timeframes for conducting the evaluations.	Management Comments	1 year 29 days

### U.S. Africa Command

Report No. DODIG-2020-077, "Evaluation of Niger Air Base 201 Military Construction," March 31, 2020 (Full Report is FOUO)

Recommendation Number and Text	Type of Action	Age of Recommendation on 3/31/21
<b>Rec. 2:</b> The DoD OIG recommended that the Commander of U.S. Africa Command establish a coordination and decision-making process with key stakeholders for troop labor construction projects, including a forum to directly communicate with the military construction program manager, designer of record, construction provider, and base support integrator, as applicable.	Resolution	1 year

### DoD Office of the General Counsel

Report No. DODIG-2019-088, "Evaluation of DoD Efforts to Combat Trafficking in Persons in Kuwait," June 11, 2019

Recommendation Number and Text	Type of Action	Age of Recommendation on 3/31/21
<b>Rec. C.4:</b> The DoD OIG recommended that the General Counsel of the Department of Defense coordinate with the DoD organizations responsible for overseeing contracting in Kuwait, such as U.S. Central Command, U.S. Army Contracting Command-Rock Island, Deputy Assistant Secretary (Contracting), and Army and Air Force Exchange Service, to determine the appropriate DoD organization responsible for determining definitive guidance on Kuwaiti labor laws that apply to DoD contracts with performance in Kuwait, work to resolve disagreements among the organizations, and advise the Secretary of Defense and the Deputy Secretary of Defense on a comprehensive solution.*	Management Comments	1 year 9 months 20 days

\* The DoD OIG is evaluating implementation of this recommendation as part of an ongoing followup project.

### DoD Chief Information Officer

Report No. DODIG-2021-064, “Audit of Maintaining Cybersecurity in the Coronavirus Disease–2019 Telework Environment,” March 29, 2021 (Full Report is CUI)

(CUI) Recommendation Number and Text	Type of Action	Age of Recommendation on 3/31/21
(CUI) <b>Rec. 1.a:</b> The DoD OIG recommended that the DoD Chief Information Officer direct the Defense Information Systems Agency to review the language in the Virtual Private Network Security Requirements Guide and revise the guide to include specific language that [REDACTED]	Resolution	2 days
(CUI)		

### Assistant Secretary of Defense for Health Affairs

Report No. DODIG-2019-108, “Audit of the DoD’s Management of the Third Party Collection Program for Medical Claims,” September 16, 2019

Recommendation Number and Text	Type of Action	Age of Recommendation on 3/31/21
<b>Rec. 1.a.1:</b> The DoD OIG recommended that the Director of the Defense Health Agency review all medical facilities in the Military Health System to determine which medical facilities are not collecting other health insurance information at all clinics in accordance with Defense Health Agency Procedures Manual 6015.01, and coordinate with commanders of those medical facilities to enforce existing other health insurance collection regulations, and as appropriate, take administrative action for noncompliance.	Management Comments	1 year 6 months 15 days
<b>Rec. 1.f:</b> The DoD OIG recommended that the Director of the Defense Health Agency coordinate with medical facility commanders to implement procedures to ensure claims are accurate before submission to the insurance provider.	Management Comments	1 year 6 months 15 days
<b>Rec. 1.g:</b> The DoD OIG recommended that the Director of the Defense Health Agency coordinate with medical facility commanders to develop a course of action and enforce existing Defense Health Agency requirements that Uniform Business Office personnel review previous patient encounters for potentially billable events when new other health insurance is identified for a beneficiary.	Management Comments	1 year 6 months 15 days
<b>Rec. 1.i:</b> The DoD OIG recommended that the Director of the Defense Health Agency review and verify, at least annually, that billing personnel at all medical facilities in the Military Health System are meeting the Defense Health Agency Procedures Manual 6015.01 and the DoD Financial Management Regulation Volume 16, Chapter 2, requirements for following up on delinquent debt.	Management Comments	1 year 6 months 15 days
<b>Rec. 9.b:</b> The DoD OIG recommended that the Commander of the Fort Belvoir Community Hospital review and modify procedures for claim followup so debt can be transferred to the appropriate debt collection agency when claims become 120 days delinquent.	Management Comments	1 year 6 months 15 days



## CHAPTER 4

### *Assistant Secretary of Defense for Health Affairs – Report No. DODIG-2019-108 (cont’d)*

Recommendation Number and Text	Type of Action	Age of Recommendation on 3/31/21
<b>Rec. 9.d:</b> The DoD OIG recommended that the Commander of the Fort Belvoir Community Hospital provide sufficient legal support to pursue collections through the Third Party Collection Program.	Management Comments	1 year 6 months 15 days

### *Assistant Secretary of Defense for Homeland Defense and Global Security* **Report No. DODIG-2021-065, “Evaluation of Access to Department of Defense Information Technology and Communications During the Coronavirus Disease–2019 Pandemic,” March 30, 2021**

Recommendation Number and Text	Type of Action	Age of Recommendation on 3/31/21
<b>Rec. 1.b:</b> The DoD OIG recommended that the Assistant Secretary of Defense for Homeland Defense and Global Security revise the “DoD Implementation Plan for Pandemic Influenza” to require DoD Components to update their Pandemic Plans to include the revised assumptions regarding telework for essential and non essential personnel and the resources required to support the teleworking workforce.	Management Comments	1 day

### *Defense Intelligence Agency*

#### **Report No. DODIG-2020-106, “Evaluation of Security Controls for Intelligence, Surveillance, and Reconnaissance Supply Chains,” July 22, 2020 (Full Report is Classified)**

Recommendation Number and Text	Type of Action	Age of Recommendation on 3/31/21
<b>Rec. 4:</b> Recommendation is Classified.	Management Comments	8 months 9 days

**Defense Security Cooperation Agency**

Report No. DODIG-2019-085, “Audit of the Defense Security Cooperation Agency-Security Assistance Accounts,” May 8, 2019

Recommendation Number and Text	Type of Action	Age of Recommendation on 3/31/21
<p><b>Rec. A.1.f.7:</b> The DoD OIG recommended that the Defense Security Cooperation Agency Director work with the Defense Finance and Accounting Service–Indianapolis Director to recover and transfer into the Special Defense Acquisition Fund all lease payments dating back to FY 2012 that the Defense Finance and Accounting Service did not transfer into the Special Defense Acquisition Fund account.</p>	<p>Resolution</p>	<p>1 year 10 months 23 days</p>

**Classified**

Report No. DODIG-2018-037, “Evaluation of the Long Range Strike-Bomber Program Security Controls,” December 1, 2017 (Full Report is Classified)

Recommendation Number and Text	Type of Action	Age of Recommendation on 3/31/21
<p><b>Rec. A.1.a:</b> Recommendation is Classified.</p>	<p>Management Comments</p>	<p>3 years 3 months 30 days</p>
<p><b>Rec. A.1.b:</b> Recommendation is Classified.</p>	<p>Management Comments</p>	<p>3 years 3 months 30 days</p>
<p><b>Rec. A.2.a:</b> Recommendation is Classified.</p>	<p>Management Comments</p>	<p>3 years 3 months 30 days</p>
<p><b>Rec. A.2.b:</b> Recommendation is Classified.</p>	<p>Management Comments</p>	<p>3 years 3 months 30 days</p>
<p><b>Rec. B.1.d:</b> Recommendation is Classified.</p>	<p>Management Comments</p>	<p>3 years 3 months 30 days</p>
<p><b>Rec. B.1.f:</b> Recommendation is Classified.</p>	<p>Management Comments</p>	<p>3 years 3 months 30 days</p>

## CHAPTER 4

### *Classified (cont'd)*

Report No. DODIG-2020-029, "Audit of a Classified Program," November 13, 2019 (Full Report is Classified)

Recommendation Number and Text	Type of Action	Age of Recommendation on 3/31/21
Rec. 1.a: Recommendation is Classified.	Management Comments	1 year 4 months 18 days
Rec. 3.a: Recommendation is Classified.	Management Comments	1 year 4 months 18 days
Rec. 3.c: Recommendation is Classified.	Management Comments	1 year 4 months 18 days
Rec. 4.c: Recommendation is Classified.	Management Comments	1 year 4 months 18 days
Rec. 4.d: Recommendation is Classified.	Management Comments	1 year 4 months 18 days





## CHAPTER 5

### Recommendations Made in Financial Statement Audits

The Compendium traditionally reports on open recommendations developed and communicated to management during performance audits, financial related audits, evaluations, and investigations conducted by the Office of Inspector General. However, since FY 2018, the OIG has also performed or overseen annual financial statement audits and attestations. Those annual audits and attestations result in numerous Notices of Finding and Recommendations (NFRs). NFRs express to management the weaknesses in financial processes, the impact of those weaknesses, and the reason the weaknesses exist. NFRs also communicate to management recommendations for how to correct the weaknesses.

DoD and Component management are required to create a step by step plan to address recommendations provided within NFRs, known as a Corrective Action Plan. Auditors review completed Corrective Action Plans throughout the audit and close the related NFRs when they determine the Corrective Action Plans effectively address the deficiency identified.

### Financial Statement Audits

Each year, DoD and Component management prepare Financial Reports to communicate the financial position and results of their operations. In FY 2020, the DoD OIG audited the DoD's financial statements and oversaw five independent public accounting firms' audits of the 24 DoD Components' financial statements. The fundamental purpose of a financial statement audit is to express an opinion on whether management's financial statements are fairly presented, in all material respects, in accordance with Generally Accepted Accounting Principles.

## CHAPTER 5

There are two categories of opinions; unmodified and modified. Modified opinions are further subcategorized as: Qualified, Adverse, and Disclaimer of opinion. For each audit, the auditor's report can express one of the following four potential opinions on the financial statements:

- **Unmodified opinion** – sometimes referred to as a clean opinion, expressed when the auditor concluded that management has presented the financial statements fairly.
- **Qualified opinion** – expressed when the auditor concluded that there are misstatements that are material but not significant to the overall presentation of the financial statements.
- **Adverse opinion** – expressed when the auditor concluded that the misstatements are both material and significant to the financial statements.
- **Disclaimer of opinion** – expressed when the auditor is unable to obtain sufficient, appropriate audit evidence on which to base an opinion.

The auditor's report is not only an opinion on the presentation of the financial statements, it also identifies material weaknesses and significant deficiencies in internal control over the financial reporting process. Auditors also report on whether the DoD and Components complied with provisions of applicable laws and regulations, contracts, and grant agreements that have a direct and material effect on the basic financial statements, and compliance with OMB regulations and audit requirements for financial reporting. For example, the OIG reported that during FY 2020, the DoD did not comply with certain provisions of the Antideficiency Act; Federal Financial Management Improvement Act; Federal Managers' Financial Integrity Act, and Federal Information Security Modernization Act.

*For more information please see the FY 2020 DoD and Component Financial Reports at <https://comptroller.defense.gov/ODCFO/afri/>.*

### Attestations

The OIG also oversees attestations conducted by independent public accounting firms over significant functions and information technology (IT) processes performed by DoD service providers. Auditors conclude on managements' description of controls, along with the suitability of the design and operating effectiveness of those controls.

The DoD established many service providers for operational efficiency. For example, the Defense Finance and Accounting Service (service provider) provides financial reporting services to many DoD Components (users). To achieve audit efficiencies, auditors perform only one attestation and report the attestation results to service users and their independent public accounting firms to rely on. This arrangement eliminates the need for multiple users to duplicate tests of service provider controls. Users then assess the attestation reports to determine whether they can rely on the service provider controls to support balances reported on their financial statements.

Similar to audits, auditors generate and direct NFRs to the service providers' management from tests performed during the attestations. The DoD and its reporting Components track those NFRs, along with NFRs generated by the financial statement audits. The following sections discuss the overall results of the audits, the number of material weaknesses reported, and the NFRs issued to the DoD and its reporting Components.

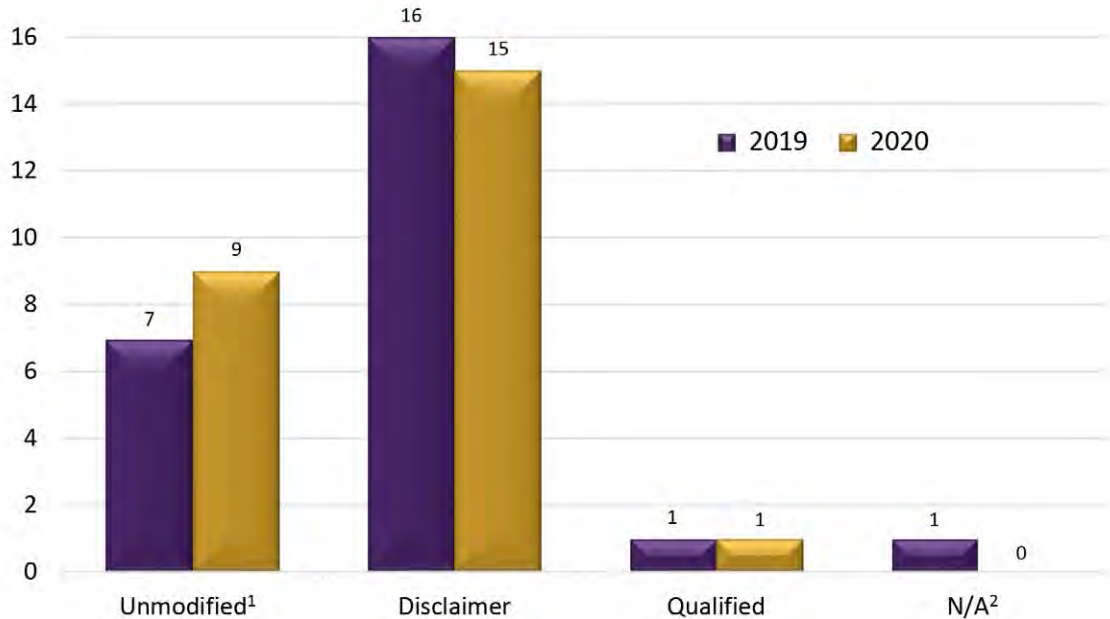
## Overall Audit Results of the FY 2020 Audit

The DoD and many of its Components are still at a very early stage in their audits. The DoD asserted audit readiness and underwent its first full-scope financial statement audit in FY 2018. Auditors expressed many disclaimers of opinion in FYs 2018 through 2020 because Components continued to have unresolved accounting and reporting issues and material weaknesses that prevented them from providing evidence to support the financial statement balances. The DoD and most of its Components received disclaimers of opinion. See Figure 14 for a comparison of the FY 2019 opinion reports to the FY 2020 opinion reports for the DoD and its 24 reporting Components.

*For more information, please see [Understanding the Results of the Audit of the DoD FY 2020 Financial Statements](https://www.dodig.mil/) at <https://www.dodig.mil/>.*

## CHAPTER 5

Figure 14. Number and Type of FY 2019 and FY 2020 Audit Opinions



Source: The DoD OIG.

<sup>1</sup> Defense Information Systems Agency Working Capital Fund opinion changed from a disclaimer in FY 2019 to an unmodified opinion in FY 2020.

<sup>2</sup> One Component that had not received an opinion in FY 2019 received an unmodified opinion in FY 2020.

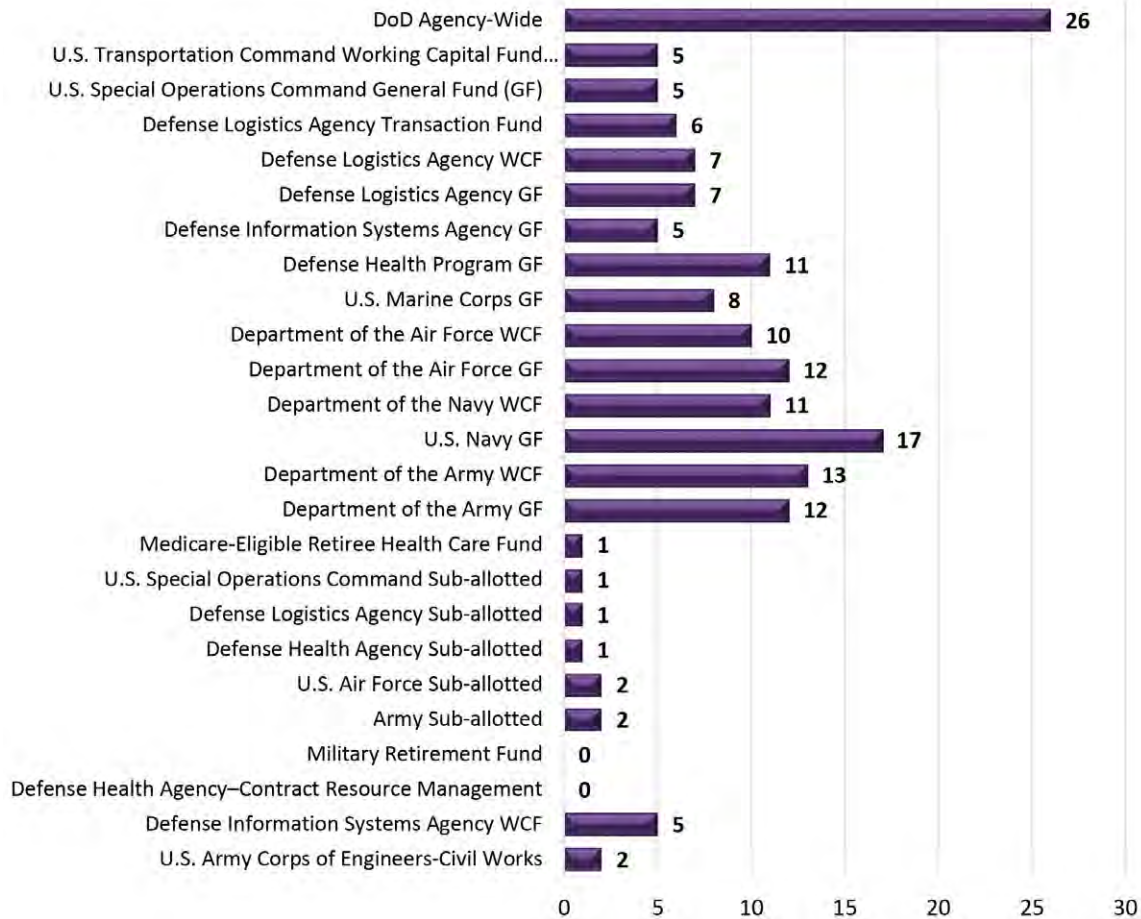
### Reporting Material Weaknesses

Auditors assess the cumulative effect of NFRs when they determine the impact on the financial statements. Auditors conclude there is a material weakness if they determine that there is a reasonable possibility that a material misstatement of the Component’s financial statement will not be prevented, or will not be detected and corrected in a timely manner. Auditors conclude there is a significant deficiency if they identify a deficiency, or a combination of deficiencies, that is less severe than a material weakness yet important enough to merit the attention of those charged with governance.

As shown in Figure 15, a lower number of material weaknesses is generally associated with more favorable audit results. For example, in FY 2020 the 10 Components with unmodified (clean) or qualified audit opinions had no more than 5 material weaknesses while the 14 Components with disclaimers of opinion had between 5 and 17 material weaknesses. Additionally, the DoD, which received a disclaimer of opinion had 26 material weaknesses.



Figure 15. FY 2020 Material Weaknesses for DoD and Its Components



**LEGEND**

- GF – General Fund
- WCF – Working Capital Fund
- USACE – U.S. Army Corps of Engineers
- DISA – Defense Information Systems Agency
- DLA – Defense Logistics Agency
- USSOCOM – Special Operations Command
- CRM – Contract Resource Management
- MERHCF – Medicare-Eligible Retiree Health Care Fund

Source: The DoD OIG.

## Concurrence with Notices of Findings and Recommendations

The NFR comment process is slightly different from the performance audits, evaluations, and investigations recommendation comment process in that the Component does not comment on each NFR recommendation, but instead comments on the problem and NFR as a whole. Whether management concurs or non-concurs with an NFR, the auditor



## CHAPTER 5

continues to work with the auditee until the auditor considers the problem resolved. Additionally, the auditor assesses how each NFR impacts the financial statement audit, regardless of whether management concurs or non-concurs with an NFR.

Figure 16 shows that the DoD and its Components overwhelmingly concurred with the findings in the FY 2020 NFRs. The concurrence rates ranged between 85 and 100 percent. These high concurrence rates demonstrated that DoD management recognized when weaknesses existed. DoD management’s concurrence with an NFR almost always resulted in the DoD developing Corrective Action Plans to address the auditor-identified weaknesses.

*Figure 16. Percentage of FY 2020 NFRs That the DoD and Its Components Concurred With*

	Concur	Partially Concur	Nonconcur
Agency Wide	99*	1*	1*
Defense Health Agency - Contract Resource Management	100	0	0
Defense Health Program	100	0	0
Defense Information Systems Agency	85	6	9
Defense Logistics Agency	100	0	0
Department of the Air Force	99	0	1
Department of the Army	92*	6*	1*
Department of the Navy	100	0	0
Marine Corps	97	0	3
Medicare-Eligible Retiree Health Care Fund	100	0	0
Military Retirement Fund	100	0	0
U.S. Army Corps of Engineers	98	0	2
U.S. Special Operations Command	100	0	0
U.S. Transportation Command	94*	2*	3*

\* Numbers have been rounded up or down to nearest whole, which might result in totals that do not total to 100

Source: Office of the Secretary of Defense.

## Closing Notices of Findings and Recommendations

The process for assessing whether the DoD and its Components adequately addressed the NFR is different from tracking the status of resolved and unresolved recommendations for performance audits. Specifically, Federal financial statement auditing standards require that auditors evaluate whether the DoD and its Components took appropriate corrective action to address all of the findings from previous engagements that could have a material impact on the financial statements. Corrective Action Plans for the NFRs vary widely in their proposed timelines for correcting the identified deficiencies. Complex, multi-phased corrective action plans can extend over several fiscal years. Typically, if the DoD and its Components stated that it has corrected the condition identified in the NFR, the financial statement auditor will review the Corrective Action Plan and perform additional audit procedures to validate the DoD and its Component's assertion. The financial statement auditor also assesses whether the Corrective Action Plans impacts the assessment of material weaknesses and significant deficiencies and conclusions contained in the opinion report.

Table 1 presents the number of NFRs issued in FYs 2019 and 2020, the number of NFRs closed in FY 2019, and the total number of open NFRs by DoD reporting Component. As shown in Table 1, auditors issued 928 new NFRs for deficiencies identified in FY 2020. New deficiencies were generally identified as a result of new and expanded testing during the FY 2020 audits. In addition to the new NFRs, auditors reissued 2,641 NFRs in FY 2020 for deficiencies identified in FY 2019 that were not fully addressed. Finally, auditors closed 857 of the FY 2019 NFRs, which shows that the DoD and its Components took corrective actions to fix deficiencies identified by the auditors in FY 2019.

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Table 1. Number of NFRs by DoD and Components

Reporting Entity	Total FY 2019 NFRs	NFRs Closed in FY 2020 <sup>1</sup>	Financial NFRs – New in FY 2020	Financial NFRs – Reissued in FY 2020 <sup>2</sup>	IT NFRs – New in FY 2020	IT NFRs – Reissued in FY 2020	Total FY 2020 NFRs
Department of the Army <sup>3</sup>	443	124	129	232	55	89	505
Department of the Navy <sup>3</sup>	1020	145	163	383	122	492	1160
Department of the Air Force	468	118	61	184	110	166	521
U.S. Marine Corps <sup>3</sup>	169	22	3	79	3	66	151
U.S. Army Corps of Engineers	83	47	19	32	2	4	57
Defense Health Program	190	42	13	71	8	63	155
Defense Information Systems Agency <sup>3</sup>	43	22	45	16	2	6	69
Defense Logistics Agency	486	86	35	336	26	60	457
U.S. Special Operations Command	112	40	18	47	11	25	101
U.S. Transportation Command <sup>3</sup>	151	12	13	96	3	49	161
Defense Health Agency-Contract Resource Management	20	9	1	0	1	11	13
Medicare-Eligible Retiree Health Care Fund	23	10	0	2	1	11	14
Military Retirement Fund	15	7	2	2	0	6	10
Agency-Wide	286	173	23	68	49	45	185
<b>Total</b>	<b>3,509</b>	<b>857</b>	<b>525</b>	<b>1548</b>	<b>393</b>	<b>1,093</b>	<b>3,559</b>

<sup>1</sup> Auditors closed NFRs for a variety of reasons, including the following: the Component took actions and the condition no longer existed; the condition no longer existed because the process or systems used were eliminated; or the Component accepted the risk associated with the condition.

<sup>2</sup> NFRs are considered reissued if the weakness or inefficiency noted in the NFR was identified during a prior year audit but had not yet been corrected by the DoD Component.

<sup>3</sup> These entities' NFR counts have changed due to decisions by independent public accountants to consolidate or remove NFRs issued prior to FY 2020.

Source: The DoD OIG.

DoD auditors have provided management with NFRs and DoD management is now tasked with providing Corrective Action Plans to address these findings. DoD auditors will continue to perform the annual financial statement audit of the DoD and its Components and will reflect any changes in their audit reports.



## APPENDIX A

### All Open Recommendations as of March 31, 2021

This appendix provides a comprehensive table of all 1,456 open recommendations as of March 31, 2021.<sup>35</sup> The recommendations are listed according to responsible DoD Component. This appendix also lists 222 classified open recommendations that are summarized in detail in Appendixes B, C, and D of this Compendium.<sup>36</sup>

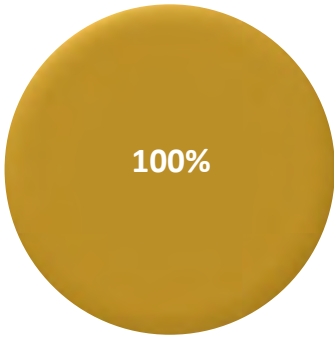
For each DoD Component, we present information on the progress that has been made since the 2018 Compendium. Additionally, there is a table for each DoD Component showing the current number of unresolved and aged recommendations, as well as potential savings that could be achieved by implementing the recommendations that have associated potential monetary benefits.

<sup>35</sup> For tracking purposes, recommendations made to multiple Components are split into individual recommendations for each Component. For example, a recommendation made to the Army, Navy, and Air Force would equate to three recommendations for tracking purposes.

<sup>36</sup> All table notes appear at the end of the corresponding table.

## Statistics – Secretary of Defense

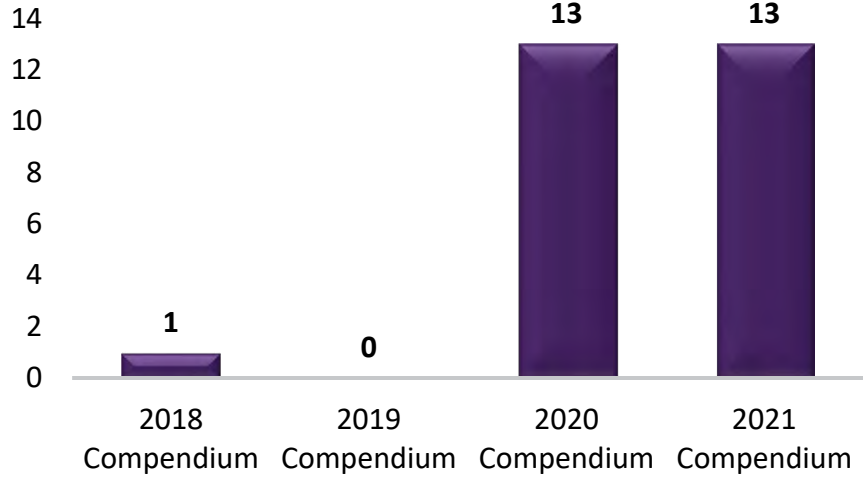
### Recommendations from 2018 Compendium





### Recommendations from 2020 Compendium



### Open Recommendations



-  Percentage remaining open as of 3/31/2021
-  Percentage closed as of 3/31/2021

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Number of Unresolved Recommendations –

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Number of Recommendations Open Longer than 5 Years –

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Potential Monetary Benefits –

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### Secretary of Defense

Report No. DODIG-2019-074, "Evaluation of Targeting Operations and Civilian Casualties in Operation Inherent Resolve," April 18, 2019 (Full Report is Classified)

Recommendation Number and Text	Age of Recommendation on 3/31/21
Rec. 4: Recommendation is Classified.	1 year 11 months 13 days

Report No. DODIG-2019-106, "Audit of the DoD's Management of the Cybersecurity Risks for Government Purchase Card Purchases of Commercial Off-the-Shelf Items," July 26, 2019 (Full Report is Classified)

Recommendation Number and Text	Age of Recommendation on 3/31/21
Rec. 1.a: The DoD OIG recommended that the Secretary of Defense direct an organization or group to develop a risk-based approach to prioritize commercial off-the-shelf items for further evaluation.	1 year 8 months 5 days
Rec. 1.b: The DoD OIG recommended that the Secretary of Defense direct an organization or group to develop a process to test high-risk commercial off-the shelf items.	1 year 8 months 5 days
Rec. 1.c: The DoD OIG recommended that the Secretary of Defense direct an organization or group to develop a process to prohibit the purchase and use of high-risk commercial off-the-shelf items, when necessary, until mitigation strategies can limit the risk to an acceptable level.	1 year 8 months 5 days

Report No. DODIG-2020-067, "Followup Audit on Corrective Actions Taken by DoD Components in Response to DoD Cyber Red Team-Identified Vulnerabilities and Additional Challenges Facing DoD Cyber Red Team Missions," March 13, 2020 (Full Report is Classified)

Recommendation Number and Text	Age of Recommendation on 3/31/21
Rec. A.5.a: The DoD OIG recommended that the Secretary of Defense assign an organization with responsibility to review and assess DoD Cyber Red Team reports for systemic vulnerabilities and coordinate the development and implementation of enterprise solutions to mitigate those vulnerabilities affecting DoD systems, networks, and operations.	1 year 18 days
Rec. A.5.b: The DoD OIG recommended that the Secretary of Defense assign an organization with responsibility to ensure DoD Components develop and implement a risk-based process to assess the impact of DoD Cyber Red Team-identified vulnerabilities and prioritize funding for corrective actions for high-risk vulnerabilities.	1 year 18 days
Rec. A.5.c: The DoD OIG recommended that the Secretary of Defense assign an organization with responsibility to ensure DoD Components develop and implement processes for providing reports with DoD Cyber Red Team findings and recommendations to all organizations and personnel within the DoD Component with responsibility for corrective actions.	1 year 18 days

# APPENDIX A

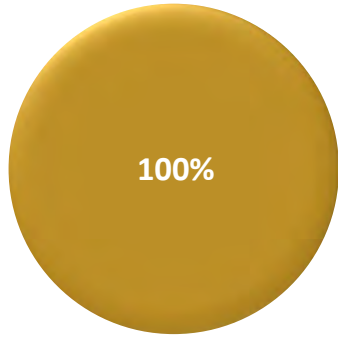
## Secretary of Defense – Report No. DODIG-2020-067 (cont'd)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.5.d:</b> The DoD OIG recommended that the Secretary of Defense assign an organization with responsibility to ensure DoD Components document and monitor whether actions were taken to accept, mitigate, or remediate all DoD Cyber Red Team-identified vulnerabilities.</p>	<p>1 year 18 days</p>
<p><b>Rec. A.5.e:</b> The DoD OIG recommended that the Secretary of Defense assign an organization with responsibility to require DoD Components to report actions taken to manage risks identified by DoD Cyber Red Teams within a DoD-defined period.</p>	<p>1 year 18 days</p>
<p><b>Rec. B.1.a:</b> The DoD OIG recommended that the Secretary of Defense, in conjunction with the implementation of Recommendation A.5, assign an organization with responsibility to develop processes and procedures to oversee DoD Cyber Red Team activities, including synchronizing and prioritizing DoD Cyber Red Team missions, to ensure these activities align with DoD priorities.</p>	<p>1 year 18 days</p>
<p><b>Rec. B.1.b:</b> The DoD OIG recommended that the Secretary of Defense, in conjunction with the implementation of Recommendation A.5, assign an organization with responsibility to perform a joint DoD-wide mission-impact analysis to determine the number of DoD Cyber Red Teams, minimum staffing levels of each team, and the composition of the staffing levels needed to meet current and future DoD Cyber Red Team mission requests.</p>	<p>1 year 18 days</p>
<p><b>Rec. B.1.c:</b> The DoD OIG recommended that the Secretary of Defense, in conjunction with the implementation of Recommendation A.5, assign an organization with responsibility to assess and identify a baseline of core and specialized training standards, based on the three DoD Cyber Red Team roles that DoD Cyber Red Team staff must meet for the team to be certified and accredited.</p>	<p>1 year 18 days</p>
<p><b>Rec. B.1.d:</b> The DoD OIG recommended that the Secretary of Defense, in conjunction with the implementation of Recommendation A.5, assign an organization with responsibility to identify and develop baseline tools needed by DoD Cyber Red Teams to perform missions.</p>	<p>1 year 18 days</p>



**Statistics – Deputy Secretary of Defense**

**Recommendations from 2018 Compendium**



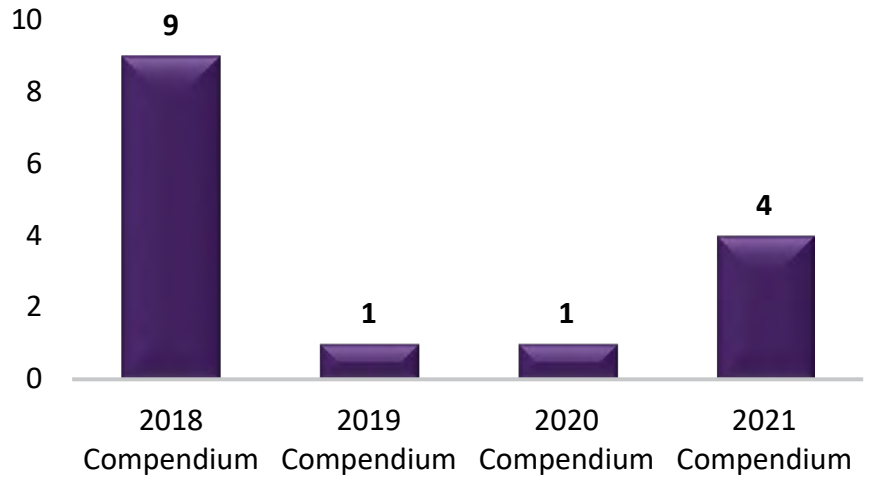
**Recommendations from 2019 Compendium**





**Recommendations from 2020 Compendium**



**Open Recommendations**



Number of Unresolved Recommendations	–
Number of Recommendations Open Longer than 5 Years	–
Potential Monetary Benefits	–

 Percentage remaining open as of 3/31/2021  
 Percentage closed as of 3/31/2021



# APPENDIX A

## *Deputy Secretary of Defense*

**Report No. DODIG-2019-055, "Evaluation of Integrated Joint Special Technical Operations," February 11, 2019 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 1:</b> Recommendation is Classified.	2 years 1 month 20 days

**Report No. DODIG-2020-098, "Audit of Governance and Protection of Department of Defense Artificial Intelligence Data and Technology," June 29, 2020 (Full Report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. B.2.d:</b> The DoD OIG recommended that contracting officer for the Defense Threat Reduction Agency and the Strategic Capabilities Office Security and Program Protection Director, in coordination with their DoD requiring activities, develop and implement a plan to verify that contractors correct the weaknesses identified in this report related to regularly monitoring networks and systems to identify unusual user and system activity.	9 months 2 days

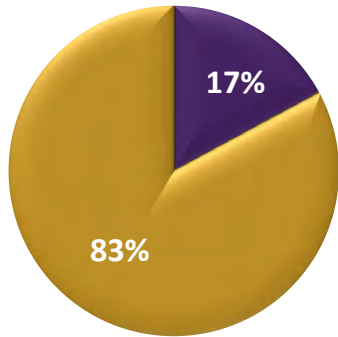
**Report No. DODIG-2020-114, "Audit of Department of Defense Use of Security Assistance Program Funds and Asset Accountability," August 17, 2020**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. A.3.a:</b> The DoD OIG recommended that the Deputy Secretary of Defense identify and direct the appropriate official to perform a comprehensive analysis of the functions performed by DoD Components and determine whether the current administrative rates charged to foreign customers are adequate for the DoD to recover its costs for providing security assistance support.	7 months 14 days
<b>Rec. A.3.b:</b> The DoD OIG recommended that the Deputy Secretary of Defense identify and direct the appropriate official to develop, document, and implement detailed guidance to the DoD Components that identifies which costs should be recovered and the process for recovering the costs.	7 months 14 days

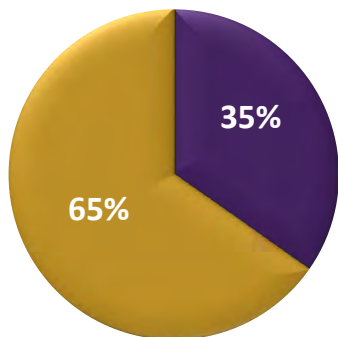


**Statistics – Department of the Army**

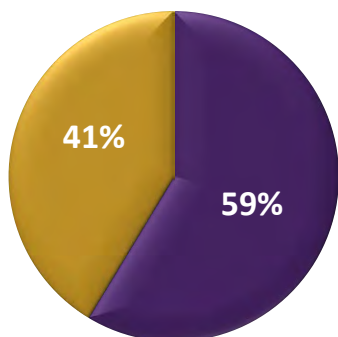
**Recommendations from 2018 Compendium**



**Recommendations from 2019 Compendium**

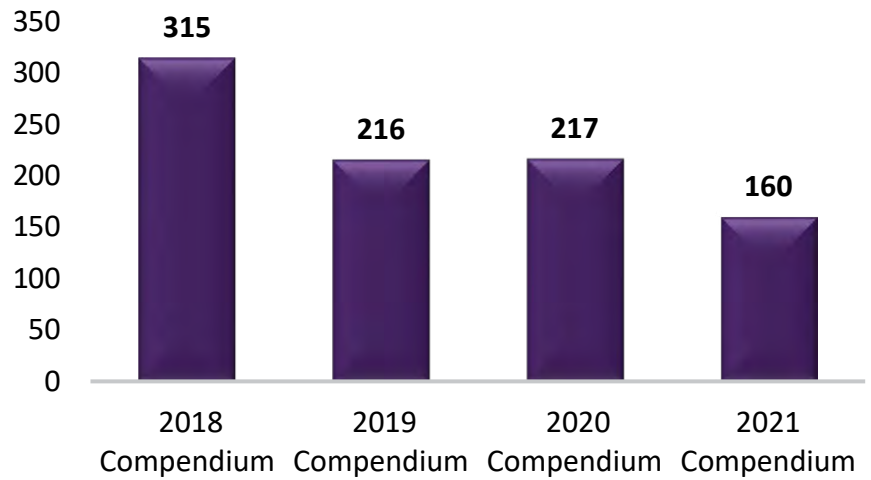


**Recommendations from 2020 Compendium**



Percentage remaining open as of 3/31/2021  
 Percentage closed as of 3/31/2021

**Open Recommendations**



Number of Unresolved Recommendations	4
Number of Recommendations Open Longer than 5 Years	18
Potential Monetary Benefits	\$190 million

## APPENDIX A

### *Department of the Army*

**Report No. D-2006-077, "Human Capital: DoD Personnel Security Clearance Process at Requesting Activities," April 19, 2006**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 3.a-f:</b> The DoD OIG recommended that the Army Deputy Chief of Staff for Intelligence; the Naval Criminal Investigative Service Director; the Air Force Director of Security Forces, Information Security; the Defense Information Systems Agency Director; and the Defense Logistics Agency Director update policies for the DoD personnel security clearance program to include the following areas:</p> <ul style="list-style-type: none"> <li>a. program management responsibilities;</li> <li>b. agencies responsible for conducting personnel security investigations (PSI) and investigative responsibilities;</li> <li>c. security clearance systems for tracking security clearance information;</li> <li>d. Personnel Security Investigation submission processes;</li> <li>e. the relationship among the levels of security clearances, types of PSIs required for different levels of clearance, and scopes of investigations including documentation required for each PSI; and</li> <li>f. training requirements for security personnel.</li> </ul>	<p>14 years 11 months 12 days</p>

**Report No. DODIG-2013-097, "Improvements Needed in the Oversight of the Medical-Support Services and Award-Fee Process Under the Camp As Sayliyah, Qatar, Base Operation Support Services Contract," June 26, 2013**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.1:</b> The DoD OIG recommended that the U.S. Army Medical Command Commander revise Army Regulation 40-68, "Clinical Quality Management," to align the regulation with supervision requirements set forth in Federal Acquisition Regulation 37.4.</p>	<p>7 years 9 months 5 days</p>

**Report No. DODIG-2013-123, "Army Needs To Improve Mi-17 Overhaul Management and Contract Administration," August 30, 2013 (Full Report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.2.a:</b> The DoD OIG recommended that the U.S. Army Materiel Command Executive Deputy to the Commanding General direct contractual action to recoup up to \$6.2 million in questioned costs for advance payments paid to Science and Engineering Services plus applicable interest due in accordance with the Federal Acquisition Regulation.</p>	<p>7 years 7 months 1 day</p>

**Department of the Army (cont'd)**

**Report No. DODIG-2013-130, "Army Needs to Improve Controls and Audit Trails for the General Fund Enterprise Business System Acquire-to-Retire Business Process," September 13, 2013**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.2:</b> The DoD OIG recommended that the Assistant Secretary of the Army (Financial Management and Comptroller) develop a working group, including the Assistant Chief of Staff for Installation Management, the Chief of the U.S. Army Corps of Engineers, and the General Fund Enterprise Business System Program Manager, to develop and implement the identified functionality into the General Fund Enterprise Business System, including the capability to generate an Army-wide real property universe.</p>	<p>7 years 6 months 18 days</p>
<p><b>Rec. A.6:</b> The DoD OIG recommended that the Assistant Secretary of the Army (Financial Management and Comptroller) develop a working group, including the Assistant Chief of Staff for Installation Management, the Chief of the U.S. Army Corps of Engineers, and the General Fund Enterprise Business System Program Manager, to perform a review of all real property data in the General Fund Enterprise Business System to ensure that the General Fund Enterprise Business System contains the correct data going forward and track the costs associated with this effort and other data cleansing efforts so they can be calculated as part of the cost of the General Fund Enterprise Business System implementation or as part of the Army's audit readiness efforts.</p>	<p>7 years 6 months 18 days</p>
<p><b>Rec. A.7.b:</b> The DoD OIG recommended that the Assistant Secretary of the Army (Financial Management and Comptroller) develop a working group, including the Assistant Chief of Staff for Installation Management, the Chief of the U.S. Army Corps of Engineers, and the General Fund Enterprise Business System Program Manager, to record in-house costs incurred in the construction of a real property asset to the corresponding project's construction-in-progress account.</p>	<p>7 years 6 months 18 days</p>

**Report No. DODIG-2014-090, "Improvements Needed in the General Fund Enterprise Business System Budget-to-Report Business Process," July 2, 2014**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.a:</b> The DoD OIG recommended that the Assistant Secretary of the Army (Financial Management and Comptroller) verify that the General Fund Enterprise Business System posting logic documentation is accurate and complete, and use it to validate General Fund Enterprise Business System general ledger account postings.</p>	<p>6 years 8 months 29 days</p>
<p><b>Rec. 1.b:</b> The DoD OIG recommended that the Assistant Secretary of the Army (Financial Management and Comptroller) direct the General Fund Enterprise Business System Program Management Office to reconfigure the General Fund Enterprise Business System to properly record Budget-to-Report transactions, including implementing system controls to address items identified in this report.</p>	<p>6 years 8 months 29 days</p>
<p><b>Rec. 1.d:</b> The DoD OIG recommended that the Assistant Secretary of the Army (Financial Management and Comptroller) use the General Fund Enterprise Business System to execute all Army General Fund appropriations.</p>	<p>6 years 8 months 29 days</p>

## APPENDIX A

### Department of the Army (cont'd)

#### Report No. DODIG-2014-096, "Improvements Needed in Contract Administration of Mi-17 Cockpit Modification Task Order," July 28, 2014 (Full Report is FOUO)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B.1:</b> The DoD OIG recommended that the Director of the Army Contracting Command-Redstone Non-Standard Rotary Wing Aircraft Directorate take action to terminate the sixth cockpit modification and, as appropriate, negotiate a settlement with the contractor.</p>	<p>6 years 8 months 3 days</p>

#### Report No. DODIG-2014-101, "Delinquent Medical Service Accounts at Brooke Army Medical Center Need Additional Management Oversight," August 13, 2014

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.b:</b> The DoD OIG recommended that the Brooke Army Medical Center Commander review, research, and pursue collections on the remaining open delinquent medical service accounts.</p>	<p>6 years 7 months 18 days</p>
<p><b>Rec. 1.g:</b> The DoD OIG recommended that the Brooke Army Medical Center Commander provide U.S. Army Medical Command all the Medicaid-eligible claims denied by Texas Medicaid Health Partnership for missing the 95-day filing requirement to identify the value and impact of those claims to Brooke Army Medical Center.</p>	<p>6 years 7 months 18 days</p>

#### Report No. DODIG-2015-016, "Department of Defense Suicide Event Report Data Quality Assessment," November 14, 2014

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 2.b:</b> The DoD OIG recommended that the Chiefs of the Military Services update their policies to incorporate DoD guidance requiring suicide event boards to establish a multidisciplinary approach for obtaining the data necessary to make comprehensive DoD Suicide Event Report submissions.</p>	<p>6 years 4 months 17 days</p>
<p><b>Rec. 3.d:</b> The DoD OIG recommended that the Chiefs of the Military Services update guidance to:</p> <ol style="list-style-type: none"> <li>1. identify subject matter experts to provide Department of Defense Suicide Event Report tech support to address questions, and</li> <li>2. adapt and implement the proposed standard operating procedure/guidelines for the Department of Defense Suicide Event Report submission process to help Department of Defense Suicide Event Report submitters understand the various sources of information (for example, military law enforcement and medical) needed to submit a complete Department of Defense Suicide Event Report.</li> </ol>	<p>6 years 4 months 17 days</p>

**Department of the Army (cont'd)**

**Report No. DODIG-2015-128, "Army Needs to Improve Processes Over Government-Furnished Material Inventory Actions," May 21, 2015**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1:</b> The DoD OIG recommended that the Assistant Secretary of the Army (Financial Management and Comptroller) create a subaccount within the Logistics Modernization Program system to track receipt, acceptance, and consumption of Government-furnished material within an "Inventory, Work-in-Process" account.</p>	<p>5 years 10 months 10 days</p>
<p><b>Rec. 2:</b> The DoD OIG recommended that the Assistant Secretary of the Army (Financial Management and Comptroller) expedite efforts to transition to the consumption method of accounting for Government-furnished material, unless it can document a strong business case for using the purchase method to recognize operating materials and supplies expenses. In developing this business case, consider the capitalization effect of Government-furnished material items included for upgrades, modifications, or assembly of end items, including general equipment.</p>	<p>5 years 10 months 10 days</p>
<p><b>Rec. 3:</b> The DoD OIG recommended that the Deputy Chief of Staff of the Army, G-4, and the Assistant Secretary of the Army (Financial Management and Comptroller), in collaboration with the Commander, Army Materiel Command, develop a business process and the Logistics Modernization Program posting logic to identify and track Army Working Capital Fund inventory provided to contractors as Government-furnished material within the Logistics Modernization Program system. Specifically, the Army should use the Logistics Modernization Program system to report Army Working Capital Fund inventory provided to contractors as Government-furnished material to meet requirements in the DoD Manual 4140.01, volume 9, and DoD 7000.14-R, DoD Financial Management Regulation, volume 4, chapter 4.</p>	<p>5 years 10 months 10 days</p>

**Report No. DODIG-2015-181, "Continental United States Military Housing Inspections-Southeast," September 24, 2015**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. I.1:</b> The DoD OIG recommended that the Assistant Secretary of the Army for Installations, Energy, and Environment review and update its policy to ensure that Army publications properly and consistently address radon assessment and mitigation requirements.</p>	<p>5 years 6 months 7 days</p>

## APPENDIX A

### Department of the Army (cont'd)

#### Report No. DODIG-2016-079, "Delinquent Medical Service Accounts at Landstuhl Regional Medical Center Need Additional Management Oversight," April 28, 2016

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 1.a:</b> The DoD OIG recommended that the Regional Health Command-Europe Commander review, research, and pursue collection on the delinquent medical service accounts that remain open.	4 years 11 months 3 days
<b>Rec. 2.b:</b> The DoD OIG recommended that the U.S. Army Medical Command, take action to collect the 619 medical service accounts elevated by Regional Health Command Europe to the U.S. Army Medical Command in 2008 or coordinate with the Assistant Secretary of Defense (Health Affairs) to determine what action is needed to write off the debt.	4 years 11 months 3 days

#### Report No. DODIG-2016-080, "Army's Management of Gray Eagle Spare Parts Needs Improvement," April 29, 2016 (Full Report is FOUO)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. A.1.a:</b> The DoD OIG recommended that the Unmanned Aircraft System Project Manager complete the actions necessary to include the Gray Eagle spare parts in an Army Accountable Property System of Record.	4 years 11 months 2 days
<b>Rec. A.1.b.iv:</b> The DoD OIG recommended that the Unmanned Aircraft System Project Manager require that the Product Manager-Medium Altitude Endurance use existing Defense Logistics Agency inventory, when possible, before purchasing the spare parts from General Atomics.*	4 years 11 months 2 days

\* The agreed-upon corrective actions have been completed by DoD management; however, recovery of monetary benefits from those actions is still pending.

#### Report No. DODIG-2016-108, "Army Needs Greater Emphasis on Inventory Valuation," July 12, 2016

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 1.a:</b> The DoD OIG recommended that the Commander of U.S. Army Materiel Command establish policies and procedures focused on computing inventory valuation at moving average cost, including monitoring moving average cost values for National Item Identification Numbers at plants and making supported corrections of moving average cost values.	4 years 8 months 19 days
<b>Rec. 1.b:</b> The DoD OIG recommended that the Commander of U.S. Army Materiel Command review and correct moving average cost valuation for all Inventory, Available and Purchased for Resale.	4 years 8 months 19 days
<b>Rec. 1.c:</b> The DoD OIG recommended that the Commander of U.S. Army Materiel Command implement procedures to properly maintain historical cost when transferring inventory between plants and properly capture and record all appropriate purchase, transportation, and production costs to bring the inventory items to their current condition and location.	4 years 8 months 19 days

APPENDIX A

**Department of the Army – Report No. DODIG-2016-108 (cont’d)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.e:</b> The DoD OIG recommended that the Commander of U.S. Army Materiel Command implement continuous training for Army logistics and inventory management personnel involved with inventory movements that affect inventory valuation at moving average cost in the Logistics Modernization Program system. The training should cover how to properly record inventory receipt, acceptance, transfer, and sale transactions within the system to ensure that the historical costs of the inventory are properly captured for inventory valuation.</p>	<p>4 years 8 months 19 days</p>
<p><b>Rec. 1.f:</b> The DoD OIG recommended that the Commander of U.S. Army Materiel Command develop procedures that post reconciling transactions to the same general ledger accounts as the original transactions.</p>	<p>4 years 8 months 19 days</p>
<p><b>Rec. 1.h:</b> The DoD OIG recommended that the Commander of U.S. Army Materiel Command direct the Logistics Modernization Program Product Office to implement standard tolerance levels and other validation controls for processing inventory transactions.</p>	<p>4 years 8 months 19 days</p>
<p><b>Rec. 1.i:</b> The DoD OIG recommended that the Commander of U.S. Army Materiel Command establish Non-Army Managed Items unit of measure elements properly in the Logistics Modernization Program system. Review the Logistics Modernization Program system Material Master data to identify all items with incorrect unit of measure elements and develop a strategy to correct them.</p>	<p>4 years 8 months 19 days</p>
<p><b>Rec. 1.j:</b> The DoD OIG recommended that the Commander of U.S. Army Materiel Command implement controls, including management oversight, to review and approve all Material Master file data changes prior to implementing them within the Logistics Modernization Program system and issue guidance on how personnel should properly establish and maintain unit of measure elements in the Logistics Modernization Program system.</p>	<p>4 years 8 months 19 days</p>

**Report No. DODIG-2017-004, “Summary Report-Inspections of DoD Facilities and Military Housing and Audits of Base Operations and Support Services Contracts,” October 14, 2016**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.1:</b> The DoD OIG recommended that the Secretaries of the Military Departments annually perform at least two comprehensive, independent inspections of installations. The purpose of these inspections is to verify compliance with all applicable health and safety requirements.</p>	<p>4 years 5 months 17 days</p>



## APPENDIX A

### Department of the Army (cont'd)

#### Report No. DODIG-2017-057, "Army Officials Need to Improve the Management of Relocatable Buildings," February 16, 2017

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 1.a:</b> The DoD OIG recommended that the Deputy Assistant Secretary of the Army for Installations, Housing, and Partnerships, revise Army Regulation 420-1, "Army Facilities Management," to align the Army's definition of relocatable buildings to the definition in DoD Instruction 4165.56, "Relocatable Buildings," thus eliminating the requirement for the analysis pertaining to the disassembly, repackaging, and nonrecoverable costs of relocatable buildings.	4 years 1 month 15 days
<b>Rec. 1.b:</b> The DoD OIG recommended that the Deputy Assistant Secretary of the Army for Installations, Housing, and Partnerships develop additional policy for circumstances where requirements would dictate that relocatable buildings are appropriate instead of modular facilities or other minor construction.	4 years 1 month 15 days
<b>Rec. 4.a:</b> The DoD OIG recommended that the Chief, Directorate of Public Works at Joint Base Lewis-McChord perform the steps necessary to convert the six nonrelocatable buildings from relocatable to real property.	4 years 1 month 15 days

#### Report No. DODIG-2017-069, "Ineffective Fund Balance With Treasury Reconciliation Process for Army General Fund," March 23, 2017

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 3.a-c:</b> The DoD OIG recommended that the Assistant Secretary of the Army (Financial Management and Comptroller) develop and implement: <ul style="list-style-type: none"> <li>a. system changes to ensure that Fund Balance With Treasury transaction data for the Army General Fund are transmitted, processed, maintained, and accessed in a standardized format for all non-legacy accounting and financial systems;</li> <li>b. a methodology for standardizing data from legacy accounting and financial systems; and</li> <li>c. the system functionality to demonstrate posting logic for all non-legacy accounting and financial systems containing Fund Balance With Treasury transactions to ensure that the Army posts transactions in a standard format.</li> </ul>	4 years 8 days

#### Report No. DODIG-2017-095, "U.S. Army's Management of the Heavy Lift VII Commercial Transportation Contract Requirements in the Middle East," June 26, 2017

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 1.a:</b> The DoD OIG recommended that the 1st Sustainment Command (Theater) Commander implement a systemic process for collecting Heavy Lift asset usage and establish a consistent schedule for analyzing usage information in order to use quantitative and qualitative factors when forecasting requirement quantities on future task orders.*	3 years 9 months 5 days

**Department of the Army – Report No. DODIG-2017-095 (cont’d)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.b:</b> The DoD OIG recommended that the 1st Sustainment Command (Theater) Commander review instances of poor mission planning and execution that resulted in ordering wasted assets in the Heavy Lift program, track the trends that led to inefficiency in the program, and implement corrective actions to prevent those inefficiencies from re-occurring.*</p>	<p>3 years 9 months 5 days</p>
<p><b>Rec. 1.c:</b> The DoD OIG recommended that the 1st Sustainment Command (Theater) Commander update the requirement review process standard operating procedures to ensure requirements packages that are submitted to the review boards include all information that is necessary for the validation authority to make an informed decision.*</p>	<p>3 years 9 months 5 days</p>
<p><b>Rec. 2:</b> The DoD OIG recommended that the U.S. Army Central, Commander develop updated procedures to ensure requirement review boards are validating the entire requirement that the 1st Sustainment Command (Theater) is requesting.*</p>	<p>3 years 9 months 5 days</p>

\* The DoD OIG is evaluating implementation of this recommendation as part of an ongoing followup project.

**Report No. DODIG-2017-114, “Documentation to Support Costs for Army Working Capital Fund Inventory Valuation,” August 25, 2017**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.g:</b> The DoD OIG recommended that the Assistant Secretary of the Army (Financial Management and Comptroller) develop a process to maintain credit values given for returns for credit and unserviceable credit transactions.</p>	<p>3 years 7 months 6 days</p>

**Report No. DODIG-2018-035, “Evaluation of Fingerprint Card and Final Disposition Report Submissions by Military Service Law Enforcement Organizations,” December 4, 2017**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.1.b:</b> The DoD OIG recommended that the Secretary of the Army immediately and comprehensively review all Army criminal investigative databases and files to ensure that all fingerprint cards and final disposition reports for anyone investigated for, or convicted of, qualifying offenses before 1998 have been reported to the Federal Bureau of Investigation Criminal Justice Information Service in compliance with DoD and Federal Bureau of Investigation requirements.</p>	<p>3 years 3 months 27 days</p>
<p><b>Rec. A.1.e:</b> The DoD OIG recommended that the Secretary of the Army take prompt action to ensure that other required investigative and criminal history information, such as criminal incident data and Deoxyribonucleic Acid (DNA) samples, has been submitted for inclusion in Federal Bureau of Investigation databases.</p>	<p>3 years 3 months 27 days</p>

## APPENDIX A

### Department of the Army – Report No. DODIG-2018-035 (cont'd)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B.1.b:</b> The DoD OIG recommended that the Secretary of the Army immediately and comprehensively review all Installation Management Command criminal investigative databases and files to ensure that all fingerprint cards and final disposition reports for anyone investigated for, or convicted of, qualifying offenses before 1998 have been reported to Federal Bureau of Investigation Criminal Justice Information Service in compliance with DoD and Federal Bureau of Investigation requirements.</p>	<p>3 years 3 months 27 days</p>
<p><b>Rec. B.1.c:</b> The DoD OIG recommended that the Secretary of the Army take prompt action to ensure that Installation Management Command, supervisory, and management oversight controls verify compliance with fingerprint card and final disposition report submission requirements and ensure that such compliance is included as a special interest item in Army Inspector General inspections, and is actually conducted.</p>	<p>3 years 3 months 27 days</p>
<p><b>Rec. B.1.e:</b> The DoD OIG recommended that the Secretary of the Army take prompt action to ensure that other required investigative and criminal history information, such as, criminal incident data and Deoxyribonucleic Acid (DNA) samples, has been submitted for inclusion in Federal Bureau of Investigation databases.</p>	<p>3 years 3 months 27 days</p>
<p><b>Rec. B.1.f:</b> The DoD OIG recommended that the Secretary of the Army take prompt action to direct the U.S. Army Provost Marshal General to revise Army Regulation 190-45 to align with the fingerprint card and final disposition report submission requirements in DoD Instruction 5505.11.</p>	<p>3 years 3 months 27 days</p>

### Report No. DODIG-2018-036, “DoD’s Response to the Patient Safety Elements in the 2014 Military Health System Review,” December 14, 2017

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B.1:</b> The DoD OIG recommended that the United States Army Medical Command Commander evaluate the Madigan Army Medical Center’s Patient Safety Indicator #90 performance after the new Patient Safety Indicator #90 measures and benchmarks are available to determine if the facility is outperforming, performing the same as, or underperforming compared to other healthcare facilities; and take appropriate action to correct all identified deficiencies.</p>	<p>3 years 3 months 17 days</p>

### Report No. DODIG-2018-042, “Evaluation of Army Recovered Chemical Warfare Materiel Response Actions,” December 14, 2017

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1:</b> The DoD OIG recommended that the Assistant Secretary of the Army for Installations, Energy, and Environment issue policy to replace the Army Interim Guidance and direct the Commander of the U.S. Army Corps of Engineers to update Engineering Pamphlet 75-1-3 to comply with Army Regulation 25-30.</p>	<p>3 years 3 months 17 days</p>

**Department of the Army (cont'd)**

**Report No. DODIG-2018-052, "The Army Demilitarization Program," December 19, 2017**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B.1:</b> The DoD OIG recommended that the Assistant Secretary of the Army (Financial Management and Comptroller) develop procedures to annually determine a reasonable and supportable estimate for the cost to dispose of the demilitarization stockpile and report the associated liability in the Army General Fund Financial Statements and related notes.</p>	<p>3 years 3 months 12 days</p>

**Report No. DODIG-2018-076, "Chemical Demilitarization-Assembled Chemical Weapons Alternatives Program," February 22, 2018**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.b:</b> The DoD OIG recommended that the Assembled Chemical Weapons Alternatives Program Executive Officer, in coordination with the U.S. Army Contracting Command-Rock Island Executive Director, convene a working group of DoD subject matter experts to help determine the best way to structure the additional incentive to motivate the contractors to reduce costs at the Pueblo Chemical Agent-Destruction Pilot Plant and the Blue Grass Chemical Agent-Destruction Pilot Plant and achieve an accelerated safe destruction of the remaining chemical weapons.</p>	<p>3 years 1 month 9 days</p>
<p><b>Rec. 1.c:</b> The DoD OIG recommended that the Assembled Chemical Weapons Alternatives Program Executive Officer, in coordination with the U.S. Army Contracting Command-Rock Island Executive Director, analyze the rework performed at the Pueblo Chemical Agent-Destruction Pilot Plant and the Blue Grass Chemical Agent-Destruction Pilot Plant to determine the cost of additional rework.</p>	<p>3 years 1 month 9 days</p>
<p><b>Rec. 1.d:</b> The DoD OIG recommended that the Assembled Chemical Weapons Alternatives Program Executive Officer, in coordination with the U.S. Army Contracting Command-Rock Island Executive Director, based on the cost of additional construction rework, either recoup funds paid by the Government or obtain other appropriate consideration.</p>	<p>3 years 1 month 9 days</p>

**Report No. DODIG-2018-099, "Army Internal Controls Over Foreign Currency Accounts and Payments," March 29, 2018**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.4:</b> The DoD OIG recommended that the Deputy Assistant Secretary of the Army (Financial Operations) update the Army accounting systems once the Under Secretary of Defense (Comptroller), Office of the Deputy Chief Financial Officer issues the DoD standard general ledger transactions and guidance for recording foreign currency exchange rate gains and losses, as required by DoD Regulation 7000.14-R, "DoD Financial Management Regulation," volume 6a, chapter 7.</p>	<p>3 years 2 days</p>

## APPENDIX A

### *Department of the Army – Report No. DODIG-2018-099 (cont’d)*

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. A.5.e:</b> The DoD OIG recommended that the 266th Financial Management Support Center Director develop and implement a plan to replace the current Italian Local National Payroll System with a system that meets U.S. Government Federal Financial Management Improvement Act of 1996, section 803(a), and Office of Management and Budget Circular No. A-123 requirements for Federal financial management systems.	3 years 2 days

### **Report No. DODIG-2018-119, “DoD Oversight of Logistics Civil Augmentation Program in Afghanistan Invoice Review and Payment,” May 11, 2018**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. A.2.b:</b> The DoD OIG recommended that the Army Contracting Command-Rock Island Executive Director modify the Logistics Civil Augmentation Program IV contract to require contractors to submit transaction-level accounting data that accurately represents the costs billed on vouchers in the Invoicing, Receipt, Acceptance, and Property Transfer system.	2 years 10 months 20 days

### **Report No. DODIG-2018-122, “U.S. Strategic Command Facility Construction Project,” May 31, 2018 (Full Report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 3.a:</b> The DoD OIG recommended that the U.S. Army Corps of Engineers Commanding General issue guidance to implement lessons learned from the U.S. Strategic Command Facility Construction Project into other military construction projects that contain DoD-unique requirements.	2 years 10 months
<b>Rec. 3.d:</b> The DoD OIG recommended that the U.S. Army Corps of Engineers Commanding General complete an after-action review following the construction of the U.S. Strategic Command replacement facility.	2 years 10 months

### **Report No. DODIG-2018-125, “The Fort Bliss Hospital Replacement Military Construction Project,” June 6, 2018**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 3.a:</b> The DoD OIG recommended that the U.S. Army Corps of Engineers Commander review the actions of the individuals involved in the Fort Bliss Hospital Replacement project to determine whether any actions resulted in the cost and time increase related to design errors and omissions.	2 years 9 months 25 days

APPENDIX A

**Department of the Army – Report No. DODIG-2018-125 (cont’d)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 3.b:</b> The DoD OIG recommended that the U.S. Army Corps of Engineers Commander issue guidance to improve technical expertise and discipline for medical infrastructure projects and improve understanding of performance specifications and extensions of design and performance metrics for projecting a project at risk.</p>	<p>2 years 9 months 25 days</p>
<p><b>Rec. 3.c:</b> The DoD OIG recommended that the U.S. Army Corps of Engineers Commander complete an after action review following the construction of the Fort Bliss Hospital Replacement project.</p>	<p>2 years 9 months 25 days</p>
<p><b>Rec. 3.d:</b> The DoD OIG recommended that the U.S. Army Corps of Engineers Commander issue guidance directing contracting personnel to issue annual past performance evaluations for contractors in the Contractor Performance Assessment Reporting System as required by Federal Acquisition Regulation Subpart 42.15.</p>	<p>2 years 9 months 25 days</p>

**Report No. DODIG-2018-132, “Management of Army Equipment in Kuwait and Qatar,” June 29, 2018**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B:</b> The DoD OIG recommended that the Chief of Staff of the Army direct the Deputy Chief of Staff of the Army, G-4, in conjunction with the Commander, Army Materiel Command, to review and update Army Regulations 710-1, 725-50, 740-26, and 735-5 with procedures to ensure 100-percent accountability of Army Prepositioned Stock equipment.</p>	<p>2 years 9 months 2 days</p>

**Report No. DODIG-2018-152, “Management of Prepositioned Stock in U.S. European Command,” September 17, 2018**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.a:</b> The DoD OIG recommended that the Deputy Chief of Staff of the Army, G-4 (Logistics), in conjunction with the Commander of U.S. Army Materiel Command, update Army Technical Manual 38-470 to include requirements that specify who is responsible for maintaining controlled humidity levels and performing inspections for the controlled humidity facilities.</p>	<p>2 years 6 months 14 days</p>
<p><b>Rec. 1.b:</b> The DoD OIG recommended that the Deputy Chief of Staff of the Army, G-4 (Logistics), in conjunction with the Commander of U.S. Army Materiel Command, update Army Technical Manual 38-470 to include requirements that clearly state how often preventive maintenance on APS weapons should be maintained and ensure consistency in other applicable criteria.</p>	<p>2 years 6 months 14 days</p>

## APPENDIX A

### Department of the Army (cont'd)

Report No. DODIG-2019-056, "Accounting and Financial Reporting for the Military Housing Privatization Initiative," February 12, 2019 (Full Report is FOUO)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B.2:</b> The DoD OIG recommended that the Assistant Secretary of the Army for Installations, Energy, and Environment, in coordination with the Assistant Secretary of Defense for Sustainment and any other necessary DoD organizations, rebalance the subsidy cost for the Fort Wainwright/Greely project loan guarantee after the next reestimate process, to include deobligating the \$1.8 million that Army unnecessarily paid.</p>	<p>2 years 1 month 19 days</p>
<p><b>Rec. B.5.a:</b> The DoD OIG recommended that the Assistant Chief of Staff for Installation Management, Department of the Army; Commander, Naval Facilities Engineering Command; and Director, Air Force Civil Engineer Center to reconcile their privatized housing inventories with the private partners' housing inventories and update the records as needed to establish a baseline.</p>	<p>2 years 1 month 19 days</p>
<p><b>Rec. B.5.b:</b> The DoD OIG recommended that the Assistant Chief of Staff for Installation Management, Department of the Army; Commander, Naval Facilities Engineering Command; and Director, Air Force Civil Engineer Center to develop and implement procedures to accurately record the additions and removals of housing records to ensure consistency between the Military Department and private partner systems.</p>	<p>2 years 1 month 19 days</p>
<p><b>Rec. B.5.c:</b> The DoD OIG recommended that the Assistant Chief of Staff for Installation Management, Department of the Army; Commander, Naval Facilities Engineering Command; and Director, Air Force Civil Engineer Center to develop and implement controls to ensure that the enterprise Military Housing system and Military Department housing records reconcile once privatized housing records are in the enterprise Military Housing system.</p>	<p>2 years 1 month 19 days</p>

Report No. DODIG-2019-061, "Audit of the DoD's Implementation of Recommendations on Screening and Access Controls for General Public Tenants Leasing Housing on Military Installations," March 7, 2019 (Full Report is FOUO)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1:</b> The DoD OIG recommended that the Commander of U.S. Army Installation Management Command and the Director of Security Forces, Deputy Chief of Staff for Logistics, Engineering and Force Protection, Headquarters U.S. Air Force, conduct a review of all general public tenants leasing privatized housing on military installations as of January 1, 2019, to ensure that those tenants receive complete and adequate background checks and that access badge expiration dates do not exceed lease expiration dates in accordance with current Military Department guidance.</p>	<p>2 years 24 days</p>

**Department of the Army (cont'd)**

**Report No. DODIG-2019-063, "Followup Audit on the Military Departments' Security Safeguards Over Secret Internet Protocol Router Network Access Points," March 18, 2019 (Full Report is Classified)**

<b>(FOUO)</b> Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. A.1.a:</b> Recommendation is Classified.	2 years 13 days
<b>(FOUO) Rec. A.1.d:</b> The DoD OIG recommended that the Army Chief Information Officer, in coordination with the Commander of Army Cyber Command, direct Army Command officials [REDACTED]	2 years 13 days
<b>(FOUO) Rec. A.1.e:</b> The DoD OIG recommended that the Army Chief Information Officer, in coordination with the Commander of Army Cyber Command, direct Army Command officials to [REDACTED]	2 years 13 days
<b>(FOUO) Rec. B.4:</b> The DoD OIG recommended that the [REDACTED]	2 years 13 days
<b>(FOUO) Rec. B.5.a:</b> The DoD OIG recommended that the Army Provost Marshal General direct Army command officials to [REDACTED]	2 years 13 days
<b>(FOUO) Rec. B.5.b:</b> The DoD OIG recommended that the Army Provost Marshal General direct Army command officials to [REDACTED]	2 years 13 days

**(FOUO)**



## APPENDIX A

### Department of the Army (cont'd)

#### Report No. DODIG-2019-075, "Evaluation of Military Services' Law Enforcement Responses to Domestic Violence Incidents," April 19, 2019

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B.1.b:</b> The DoD OIG recommended that the Secretaries of the Army, Navy, and Air Force take prompt action to ensure that a comprehensive review of all criminal investigative databases and files is conducted to verify that all subjects of domestic violence incidents from 1998 to present are titled and indexed in the Defense Central Index of Investigation, as required by DoD Instruction 5505.07, "Titling and Indexing Subjects of Criminal Investigations in the Department of Defense," January 27, 2012.</p>	<p>1 year 11 months 12 days</p>
<p><b>Rec. B.1.d:</b> The DoD OIG recommended that the Secretaries of the Army, Navy, and Air Force take prompt action to ensure that DNA is collected and submitted to the Defense Forensics Science Center for submission to the Combined DNA Index System for all qualifying subjects that we determined were not submitted, as required by DoD Instruction 5505.14, "Deoxyribonucleic Acid (DNA) Collection Requirements for Criminal Investigations, Law Enforcement, Corrections, and Commanders," December 22, 2015.</p>	<p>1 year 11 months 12 days</p>

#### Report No. DODIG-2019-083, "Evaluation of Operations and Management of Arlington and Soldiers' and Airmen's Home National Military Cemeteries," May 20, 2019

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A:</b> The DoD OIG recommended that the Executive Director, Army National Military Cemeteries, implement and field the Quality Assurance module in the Enterprise Interment Services System, the future sole system for all Army cemeteries, to adjudicate for accuracy all data merged from the Arlington National Cemetery Research Tool, the Army National Military Cemeteries Research Tool, and the current Interment Services System.</p>	<p>1 year 10 months 11 days</p>
<p><b>Rec. B.2:</b> The DoD OIG recommended that the Executive Director of Army National Military Cemeteries direct a census review of Soldiers' and Airmen's Home National Cemeteries burial sites during transition from the Cemetery Research Tool to the Enterprise Interment Services System to ensure the accurate and complete transfer of information.</p>	<p>1 year 10 months 11 days</p>

#### Report No. DODIG-2019-084, "Evaluation of the Operations and Management of Military Cemeteries," May 20, 2019

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B.2:</b> The DoD OIG recommended that, once the DoD issues its instruction, the Secretaries of the Army, Navy, and Air Force update the cemetery regulations accordingly.</p>	<p>1 year 10 months 11 days</p>

**Department of the Army (cont'd)**

**Report No. DODIG-2019-088, "Evaluation of DoD Efforts to Combat Trafficking in Persons in Kuwait," June 11, 2019**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B.1.a:</b> The DoD OIG recommended that the U.S. Air Forces Central Command Chief of Contracting and the Army Contracting Command-Rock Island Executive Director ensure that contracting officers include Federal Acquisition Regulation clause 52.222-50 in all contracts, and update the clause, as needed, to reflect the current version of the clause.*</p>	<p>1 year 9 months 20 days</p>
<p><b>Rec. B.1.b:</b> The DoD OIG recommended that the U.S. Air Forces Central Command Chief of Contracting and the Army Contracting Command-Rock Island Executive Director ensure that contracting officers ensure that quality assurance surveillance plans are prepared for all contracts that require them, and include appropriate methods for monitoring the contractor's performance regarding trafficking in persons.*</p>	<p>1 year 9 months 20 days</p>
<p><b>Rec. B.1.c:</b> The DoD OIG recommended that the U.S. Air Forces Central Command Chief of Contracting and the Army Contracting Command-Rock Island Executive Director ensure that contracting officers document in the contract file how monitoring for compliance with the Combating Trafficking in Persons clause will be accomplished, and by whom, if a contract does not require a quality assurance surveillance plan.*</p>	<p>1 year 9 months 20 days</p>
<p><b>Rec. B.1.d:</b> The DoD OIG recommended that the U.S. Air Forces Central Command Chief of Contracting and the Army Contracting Command-Rock Island Executive Director ensure that contracting officers verify that contracting officer's representatives accomplish and document proper monitoring of contractor compliance with DoD combating trafficking in persons regulations.*</p>	<p>1 year 9 months 20 days</p>
<p><b>Rec. B.1.e:</b> The DoD OIG recommended that the U.S. Air Forces Central Command Chief of Contracting and the Army Contracting Command-Rock Island Executive Director ensure that contracting officers enter contractor past performance information, including combating trafficking in persons violations, promptly into the Contractor Performance Assessment Reporting System.*</p>	<p>1 year 9 months 20 days</p>
<p><b>Rec. B.2:</b> The DoD OIG recommended that the Army Contracting Command-Rock Island Executive Director require contracting officers to update surveillance and reporting documents for contracting officer's representatives to record that monitoring of the contractor's performance regarding trafficking in persons is accomplished.*</p>	<p>1 year 9 months 20 days</p>
<p><b>Rec. C.1:</b> The DoD OIG recommended that the Army Contracting Command-Rock Island Executive Director establish a process or identify a resource for DoD contracting officials to obtain definitive guidance on Kuwaiti labor laws that apply to DoD contracts.*</p>	<p>1 year 9 months 20 days</p>
<p><b>Rec. D.1:</b> The DoD OIG recommended that the 408th Contract Support Brigade Commander request designated mission and permanent billets to support the brigade's Combating Trafficking in Persons Inspections Team.*</p>	<p>1 year 9 months 20 days</p>

\*The DoD OIG is evaluating implementation of this recommendation as part of an ongoing followup project.

## APPENDIX A

### Department of the Army (cont'd)

**Report No. DODIG-2019-093, "Evaluation of U.S. European Command's Nuclear Command and Control Between the President and Theater Nuclear Forces," June 10, 2019 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 3:</b> Recommendation is Classified.	1 year 9 months 21 days

**Report No. DODIG-2019-105, "Audit of Protection of DoD Controlled Unclassified Information on Contractor Owned Networks and Systems," July 23, 2019 (Full Report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. A.3.a:</b> The DoD OIG recommended that the Assistant Secretary of the Air Force (Acquisition, Technology & Logistics); Director of Acquisitions for the Missile Defense Agency; and Contracting Officers for the U.S. Army, U.S. Navy, U.S. Cyber Command, U.S. Transportation Command, Defense Contract Management Agency, Office of the Director of Operational Test and Evaluation, and Defense Microelectronics Activity, in coordination with DoD requiring activities, develop and implement a plan to verify that contractors correct the weaknesses identified in this report related to using multifactor authentication.	1 year 8 months 8 days
<b>Rec. A.3.b:</b> The DoD OIG recommended that the Assistant Secretary of the Air Force (Acquisition, Technology & Logistics); Director of Acquisitions for the Missile Defense Agency; and Contracting Officers for the U.S. Army, U.S. Navy, U.S. Cyber Command, U.S. Transportation Command, Defense Contract Management Agency, Office of the Director of Operational Test and Evaluation, and Defense Microelectronics Activity, in coordination with DoD requiring activities, develop and implement a plan to verify that contractors correct the weaknesses identified in this report related to mitigating vulnerabilities in a timely manner.	1 year 8 months 8 days
<b>Rec. A.3.c:</b> The DoD OIG recommended that the Assistant Secretary of the Air Force (Acquisition, Technology & Logistics); Director of Acquisitions for the Missile Defense Agency; and Contracting Officers for the U.S. Army, U.S. Navy, U.S. Cyber Command, U.S. Transportation Command, Defense Contract Management Agency, Office of the Director of Operational Test and Evaluation, and Defense Microelectronics Activity, in coordination with DoD requiring activities, develop and implement a plan to verify that contractors correct the weaknesses identified in this report related to protecting and monitoring data on removable media.	1 year 8 months 8 days
<b>Rec. A.3.e:</b> The DoD OIG recommended that the Assistant Secretary of the Air Force (Acquisition, Technology & Logistics); Director of Acquisitions for the Missile Defense Agency; and Contracting Officers for the U.S. Army, U.S. Navy, U.S. Cyber Command, U.S. Transportation Command, Defense Contract Management Agency, Office of the Director of Operational Test and Evaluation, and Defense Microelectronics Activity, in coordination with DoD requiring activities, develop and implement a plan to verify that contractors correct the weaknesses identified in this report related to using an automatic system lock after inactivity or unsuccessful logon attempts.	1 year 8 months 8 days

**Department of the Army – Report No. DODIG-2019-105 (cont’d)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.3.f:</b> The DoD OIG recommended that the Assistant Secretary of the Air Force (Acquisition, Technology &amp; Logistics); Director of Acquisitions for the Missile Defense Agency; and Contracting Officers for the U.S. Army, U.S. Navy, U.S. Cyber Command, U.S. Transportation Command, Defense Contract Management Agency, Office of the Director of Operational Test and Evaluation, and Defense Microelectronics Activity, in coordination with DoD requiring activities, develop and implement a plan to verify that contractors correct the weaknesses identified in this report related to implementing physical security controls.</p>	<p>1 year 8 months 8 days</p>
<p><b>Rec. A.3.g:</b> The DoD OIG recommended that the Assistant Secretary of the Air Force (Acquisition, Technology &amp; Logistics); Director of Acquisitions for the Missile Defense Agency; and Contracting Officers for the U.S. Army, U.S. Navy, U.S. Cyber Command, U.S. Transportation Command, Defense Contract Management Agency, Office of the Director of Operational Test and Evaluation, and Defense Microelectronics Activity, in coordination with DoD requiring activities, develop and implement a plan to verify that contractors correct the weaknesses identified in this report related to generating system activity reports.</p>	<p>1 year 8 months 8 days</p>
<p><b>Rec. A.3.h:</b> The DoD OIG recommended that the Assistant Secretary of the Air Force (Acquisition, Technology &amp; Logistics); Director of Acquisitions for the Missile Defense Agency; and Contracting Officers for the U.S. Army, U.S. Navy, U.S. Cyber Command, U.S. Transportation Command, Defense Contract Management Agency, Office of the Director of Operational Test and Evaluation, and Defense Microelectronics Activity, in coordination with DoD requiring activities, develop and implement a plan to verify that contractors correct the weaknesses identified in this report related to requiring and maintaining justification for accessing systems that contain controlled unclassified information.</p>	<p>1 year 8 months 8 days</p>

**Report No. DODIG-2019-108, “Audit of the DoD’s Management of the Third Party Collection Program for Medical Claims,” September 16, 2019**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 4.b:</b> The DoD OIG recommended that the Commander of Madigan Army Medical Center develop a plan and take action to process, and as appropriate, bill through the applicable cost recovery program, all patient encounters at Madigan Army Medical Center that are not assigned a credentialed provider or are missing medical coding or doctor’s notes, including the 16,243 patient encounters between October 1, 2018, and December 31, 2018.</p>	<p>1 year 6 months 15 days</p>
<p><b>Rec. 4.d:</b> The DoD OIG recommended that the Commander of Madigan Army Medical Center review and modify procedures for claim followup so debt can be transferred to the appropriate debt collection agency when claims become 120 days delinquent.</p>	<p>1 year 6 months 15 days</p>

# APPENDIX A

## Department of the Army – Report No. DODIG-2019-108 (cont’d)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 4.e:</b> The DoD OIG recommended that the Commander of Madigan Army Medical Center develop and implement procedures to review and validate denials before writing off claims, and implement procedures to process denials by beneficiary.	1 year 6 months 15 days
<b>Rec. 4.f:</b> The DoD OIG recommended that the Commander of Madigan Army Medical Center review all outstanding third party claims that are delinquent for more than 120 days to determine which claims are eligible for transfer to the Treasury Cross-Servicing Program or local Judge Advocate office, and transfer all eligible claims for collection assistance.	1 year 6 months 15 days
<b>Rec. 4.g:</b> The DoD OIG recommended that the Commander of Madigan Army Medical Center provide sufficient legal support to pursue collections through the Third Party Collection Program.	1 year 6 months 15 days
<b>Rec. 5.a:</b> The DoD OIG recommended that the Commander of Brooke Army Medical Center direct personnel at all medical facility clinics and clinical support activities to collect hardcopy or electronic versions of DD Form 2569, and as appropriate, take administrative action for noncompliance.	1 year 6 months 15 days
<b>Rec. 5.c:</b> The DoD OIG recommended that the Commander of Brooke Army Medical Center review and modify procedures for claim followup so debt can be transferred to the appropriate debt collection agency when claims become 120 days delinquent.	1 year 6 months 15 days
<b>Rec. 5.d:</b> The DoD OIG recommended that the Commander of Brooke Army Medical Center review all outstanding third party claims that are delinquent for more than 120 days to determine which claims are eligible for transfer to the Treasury Cross-Servicing Program or local Judge Advocate office, and transfer all eligible claims for collection assistance.	1 year 6 months 15 days
<b>Rec. 5.e:</b> The DoD OIG recommended that the Commander of Brooke Army Medical Center provide sufficient legal support to pursue collections through the Third Party Collection Program.	1 year 6 months 15 days
<b>Rec. 10.a:</b> The DoD OIG recommended that the Commander of the Kimbrough Ambulatory Care Center review and modify procedures for claim followup so debt can be transferred to the appropriate debt collection agency when claims become 120 days delinquent.	1 year 6 months 15 days
<b>Rec. 10.b:</b> The DoD OIG recommended that the Commander of the Kimbrough Ambulatory Care Center review all outstanding third party claims that are delinquent for more than 120 days to determine which claims are eligible for transfer to the Treasury Cross-Servicing Program or local Judge Advocate office, and transfer all eligible claims for collection assistance.	1 year 6 months 15 days
<b>Rec. 10.c:</b> The DoD OIG recommended that the Commander of the Kimbrough Ambulatory Care Center provide sufficient legal support to pursue collections through the Third Party Collection Program.	1 year 6 months 15 days

**Department of the Army (cont'd)**

**Report No. DODIG-2019-111, "Evaluation of USAFRICOM and SOCAFRICA's Processes for Determining and Fulfilling Intelligence Requirements for Counterterrorism," August 13, 2019 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 2.a:</b> Recommendation is Classified.	1 year 7 months 18 days

**Report No. DODIG-2019-114, "Audit of the Army Integrated Air and Missile Defense Program," August 19, 2019 (Full Report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 2:</b> The DoD OIG recommended that the Deputy Chief of Staff of the Army, G-8, immediately conduct an affordability analysis to establish total life-cycle affordability constraints and determine whether the Army can afford the Integrated Air and Missile Defense Program through 2049, in accordance with DoD Instruction 5000.02.	1 year 7 months 12 days

**Report No. DODIG-2019-128, "Audit of U.S. Army Corps of Engineers Oversight of Contracts for Repair and Restoration of the Electric Power Grid in Puerto Rico," September 30, 2019**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. A.2.a:</b> The DoD OIG recommended that the Commander of U.S. Army Engineering and Support Center, Huntsville, direct the contracting officers to review all labor and material costs for contracts W912DY-18-F-0003 and W912DY-18-F-0032 and determine whether they are supportable and allowable, in accordance with Federal Acquisition Regulation 31.201-2, "Determining Allowability."	1 year 6 months 1 day
<b>Rec. A.2.b:</b> The DoD OIG recommended that the Commander of U.S. Army Engineering and Support Center, Huntsville, direct the contracting officers to review all contractor and subcontractor timekeeping records and corresponding travel documentation to determine whether employees were charging time on contracts W912DY-18-F0003 and W912DY-18-0032 before arriving in Puerto Rico. If employees were charging time before arriving in Puerto Rico, contracting officials should require the contractor to provide adequate supporting documentation showing that those costs are allowable, in accordance with Federal Acquisition Regulation 31.201-2, "Determining Allowability." If the contractor cannot support the costs, the contracting officers should determine those costs as unallowable and take action to recoup those costs.	1 year 6 months 1 day

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## Department of the Army – Report No. DODIG-2019-128 (cont’d)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.2.c:</b> The DoD OIG recommended that the Commander of U.S. Army Engineering and Support Center, Huntsville, direct the contracting officers to review all contractor and subcontractor timekeeping records and additional supporting documentation to determine whether contractor and subcontractor employees were appropriately charging standby time and charging overtime when not performing power grid repair and restoration work. If employees were charging overtime while on standby, contracting officials should require the contractor to provide adequate supporting documentation showing that the overtime was reasonable and allowable, in accordance with Federal Acquisition Regulation 31.201-2, “Determining Allowability.” If the contractor cannot support the costs, the contracting officers should determine those costs as unallowable and take action to recoup those costs.</p>	<p>1 year 6 months 1 day</p>
<p><b>Rec. A.2.d:</b> The DoD OIG recommended that the Commander of U.S. Army Engineering and Support Center, Huntsville, direct the contracting officers to review qualifications for all labor categories contained in contracts W912DY-18-F-0003 and W912DY-18-F-0032 and determine whether they meet the requirements of the contract and U.S. Army Corps of Engineers Safety and Health Requirements Manual EM 385-1-1. If labor costs do not meet the contractual or manual requirements, the contracting officer should determine those associated costs as unallowable in accordance with Federal Acquisition Regulation 31.201-2, “Determining Allowability.”</p>	<p>1 year 6 months 1 day</p>
<p><b>Rec. A.2.e:</b> The DoD OIG recommended that the Commander of U.S. Army Engineering and Support Center, Huntsville, direct the contracting officers to review all labor hours billed and paid for contracts W912DY-18-F-0003 and W912DY-18-F-0032 and determine whether they exceed the maximum allowable weekly hours contained in U.S. Army Corps of Engineers Safety and Health Requirements Manual EM 385-1-1. If labor costs exceed the manual requirements, the contracting officer should determine those associated costs as unallowable in accordance with Federal Acquisition Regulation 31.201-2, “Determining Allowability.”</p>	<p>1 year 6 months 1 day</p>
<p><b>Rec. B.2:</b> The DoD OIG recommended that the Commanding General of the U.S. Army Corps of Engineers perform a review of the concerns addressed in this report regarding contract W912EP-18-C-0003, identify responsible personnel, and initiate as appropriate any administrative actions warranted by the review.</p>	<p>1 year 6 months 1 day</p>
<p><b>Rec. B.3:</b> The DoD OIG recommended that the Commander of the U.S. Army Corps of Engineers, Jacksonville District, direct contracting officials to review all labor and material costs for contract W912EP-18-C-0003 and determine whether they are supportable and allowable in accordance with Federal Acquisition Regulation 31.201-2, “Determining Allowability,” and provide the DoD Office of Inspector General with the results of the review. If contracting officials are unable to determine whether costs are allowable, they should work with Defense Contract Audit Agency officials to develop a total contract cost reduction to reduce total costs for contract W912EP-18-C-0003.</p>	<p>1 year 6 months 1 day</p>



**Department of the Army (cont'd)**

**Report No. DODIG-2020-003, "Audit of DoD's Use of Additive Manufacturing for Sustainment Parts," October 17, 2019 (Full Report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 3:</b> The DoD OIG recommended that the Military Service Secretaries and the Marine Corps Commandant require the additive manufacturing leads to implement a process that compiles a complete list of all parts produced using additive manufacturing and parts waiting for approval to share within each Military Service and update the list as needed.</p>	<p>1 year 5 months 14 days</p>
<p><b>Rec. 4:</b> The DoD OIG recommended that the Under Secretary of Defense for Research and Engineering, Under Secretary of Defense for Acquisition and Sustainment, Military Service Secretaries, and the Marine Corps Commandant conduct a review to identify the appropriate funding and number of personnel to pursue benefits of additive manufacturing throughout the DoD.</p>	<p>1 year 5 months 14 days</p>

**Report No. DODIG-2020-028, "Audit of Army Brigade Combat Team Readiness," November 18, 2019**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 2.a:</b> The DoD OIG recommended that the Army Deputy Chief of Staff for Logistics monitor ongoing actions regarding mount telescopes until fully implemented, and we request annual updates of actions taken to address shortages of spare parts, beginning in September 2020.</p>	<p>1 year 4 months 13 days</p>
<p><b>Rec. 2.b:</b> The DoD OIG recommended that the Army Deputy Chief of Staff for Logistics monitor ongoing actions regarding fire control switchboards until fully implemented, and we request annual updates of actions taken to address shortages of spare parts, beginning in September 2020.</p>	<p>1 year 4 months 13 days</p>

**Report No. DODIG-2020-035, "Followup Audit of the Army's Implementation of the Acquire-to-Retire and Budget-to-Report Business Processes in the General Fund Enterprise Business System," November 26, 2019**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1:</b> The DoD OIG recommended that the Assistant Secretary of the Army (Financial Management and Comptroller) and the Assistant Chief of Staff for Installation Management determine whether the land data can be removed from the General Fund Enterprise Business System, or, as an alternative, if the system can be updated to match the Real Estate Management Information System's land data to ensure that the General Fund Enterprise Business System's land data are consistent with the Real Estate Management Information System's land data.</p>	<p>1 year 4 months 5 days</p>



# APPENDIX A

## Department of the Army (cont'd)

Report No. DODIG-2020-045, "Evaluation of the Military Service Capacity to Fill Combatant Command Requests for Counterintelligence Support," December 30, 2019 (Full Report is Classified)

(FOUO) Recommendation Number and Text	Age of Recommendation on 3/31/21
(FOUO) Rec. 3: The DoD OIG recommended that the [REDACTED]	1 year 3 months 1 day
(FOUO)	

Report No. DODIG-2020-064, "Evaluation of DoD Law Enforcement Organization Submissions of Criminal History Information to the Federal Bureau of Investigation," February 21, 2020

Recommendation Number and Text	Age of Recommendation on 3/31/21
Rec. 7: The DoD OIG recommended that the Secretary of the Army revise Army Regulation 190-47 to require military correctional facility commanders to send DD Form 2791 to the U.S. Army Crime Records Center and the U.S. Marshals Service National Sex Offender Targeting Center as required by DoD Instruction 5525.20.	1 year 1 month 10 days

Report No. DODIG-2020-071, "Audit of the Department of Defense's Ground Transportation and Secure Hold of Arms, Ammunition, and Explosives in the United States," March 23, 2020

Recommendation Number and Text	Age of Recommendation on 3/31/21
Rec. 2: The DoD OIG recommended that the Assistant Secretary of the Army for Acquisition, Logistics, and Technology; the Assistant Secretary of the Navy for Research, Development, and Acquisition; and the Assistant Secretary of the Air Force for Acquisition, Technology, and Logistics, in coordination with the Commander of Military Surface Deployment and Distribution Command, develop and implement training for secure hold requirements at their respective military installations and direct the base commanders with secure hold areas to implement the training with appropriate staff.	1 year 8 days

Report No. DODIG-2020-082, "Evaluation of the DoD's Management of Health and Safety Hazards in Government-Owned and Government-Controlled Military Family Housing," April 30, 2020

Recommendation Number and Text	Age of Recommendation on 3/31/21
Rec. 2.a: The DoD OIG recommended that the Office of the Assistant Secretary of the Army for Installations, Energy and Environment update Service policies to align with revisions to DoD policy for health and safety hazard management.	11 months 1 day

APPENDIX A

**Department of the Army – Report No. DODIG-2020-082 (cont’d)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 2.b:</b> The DoD OIG recommended that the Office of the Assistant Secretary of the Army for Installations, Energy and Environment develop oversight policies and procedures to assess the management of health and safety hazards in Government-Owned/Government-Controlled military family housing.</p>	<p>11 months 1 day</p>
<p><b>Rec. 2.c:</b> The DoD OIG recommended that the Office of the Assistant Secretary of the Army for Installations, Energy and Environment direct installation officials to correct the specific lead-based paint, asbestos-containing material, radon, and fire safety health and safety hazard management deficiencies discussed in this report.</p>	<p>11 months 1 day</p>

**Report No. DODIG-2020-087, “Audit of Training of Mobile Medical Teams in the U.S. Indo-Pacific Command and U.S. Africa Command Areas of Responsibility,” June 8, 2020**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 2:</b> The DoD OIG recommended that the Surgeons General of the Army, Navy, and Air Force issue guidance implementing the Joint Trauma Education and Training Branch’s standardized training program for all mobile medical teams.</p>	<p>9 months 23 days</p>
<p><b>Rec. 3:</b> The DoD OIG recommended that the Surgeons General of the Army, Navy, and Air Force update training curriculums at the Military medical training commands for tactical training of mobile medical teams.</p>	<p>9 months 23 days</p>
<p><b>Rec. 5:</b> The DoD OIG recommended that the Surgeons General of the Army, Navy, and Air Force, in coordination with the Command Surgeons of the U.S. Indo-Pacific Command and U.S. Africa Command, require that all mobile medical team personnel individually complete standardized post-deployment after action reports, using the Joint Trauma System Performance Improvement Branch template, before redeploying to their home station, and submit them to the Joint Lessons Learned Information System for the purposes of the Lessons Learned program.</p>	<p>9 months 23 days</p>

**Report No. DODIG-2020-094, “Audit of Army Contracting Command-Afghanistan’s Award and Administration of Contracts,” June 18, 2020**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 2.a:</b> The DoD OIG recommended that the Commander of the Army Contracting Command-Afghanistan develop and implement a plan to improve the hiring process for civilian contracting personnel. The plan should include written hiring procedures that specify a timeline for the hiring process.</p>	<p>9 months 13 days</p>

## APPENDIX A

### Department of the Army – Report No. DODIG-2020-094 (cont'd)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 3.a:</b> The DoD OIG recommended that the Deputy Assistant Secretary of the Army for Procurement develop and implement a written plan to engage the Army Contracting Command-Headquarters in developing and testing the new Army Contract Writing System to ensure the new system provides contingency contracting personnel with the capabilities necessary to effectively award and administer contracts in a contingency environment, such as Afghanistan.</p>	<p>9 months 13 days</p>
<p><b>Rec. 3.b:</b> The DoD OIG recommended that the Deputy Assistant Secretary of the Army for Procurement develop and implement a written plan to provide contracting officials access to the Army Contract Writing System in the field for testing before the system achieves full operational capability and for identifying any potential issues or challenges unique to the contingency operating environment, including the ability to operate the system effectively under unreliable network conditions.</p>	<p>9 months 13 days</p>

### Report No. DODIG-2020-095, “Audit of Purchases of Ammonium Perchlorate Through Subcontracts With a Single Department of Defense-Approved Domestic Supplier,” July 9, 2020 (Full Report is CUI)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 2:</b> The DoD OIG recommended that the Army Contracting Command-Redstone Executive Director require all contracting officers who negotiate a prime production contract for weapon systems involving American Pacific Corporation subcontracts that provide Ammonium Perchlorate, Grade 1 (AP1) under Government prime contracts to request uncertified cost data and perform a cost analysis of AP1 subcontract price unless adequate pricing information is available to establish that the price for AP1 included in the prime contractor’s proposal is fair and reasonable.</p>	<p>8 months 22 days</p>

### Report No. DODIG-2020-097, “Audit of Protective Security Details in the Department of Defense,” June 30, 2020 (Full Report is FOUO-Law Enforcement Sensitive)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B.2:</b> The DoD OIG recommended that the Commanding General of the U.S. Army Criminal Investigation Command develop and issue policy consistent with DoD Instruction O-2000.22 emphasizing the use of assistance from other PPOs and local field agents when conducting protective security details.</p>	<p>9 months 1 day</p>
<p><b>Rec. B.5.a:</b> The DoD OIG recommended that the Commandant of the U.S. Army Military Police School update Army Techniques Publication 3-39.35, “Protective Services,” May 2013, to comply with any changes to DoD Instruction O-2000.22 regarding the number of personnel and number of days of advance work, an agent should perform at the mission location.</p>	<p>9 months 1 day</p>

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**Department of the Army – Report No. DODIG-2020-097 (cont’d)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B.5.b:</b> The DoD OIG recommended that the Commandant of the U.S. Army Military Police School update Army Techniques Publication 3-39.35, “Protective Services,” May 2013, to comply with any changes to DoD Instruction O-2000.22 regarding the use of security control rooms.</p>	<p>9 months 1 day</p>
<p><b>Rec. C.2:</b> The DoD OIG recommended that the Commandant of the U.S. Army Military Police School update Army Techniques Publication 3-39.35, “Protective Services,” May 2013, to comply with any changes to the DoD Instruction O-2000.22 regarding the number of agents necessary to perform a protective security detail by high-risk personnel level.</p>	<p>9 months 1 day</p>
<p><b>Rec. C.3:</b> The DoD OIG recommended that the Commanding General of the U.S. Army Criminal Investigation Command modify the number of personnel assigned to protect each individual HRP and the number of personnel used on each mission to comply with the DoD Instruction O-2000.22.</p>	<p>9 months 1 day</p>

**Report No. DODIG-2020-098, “Audit of Governance and Protection of Department of Defense Artificial Intelligence Data and Technology,” June 29, 2020 (Full Report is FOUO)**

<p>(FOUO)</p> <p>Recommendation Number and Text</p>	<p>Age of Recommendation on 3/31/21</p>
<p><b>Rec. B.1.a:</b> The DoD OIG recommended that the Chief Information Officers for the Army, Marine Corps, Navy, and Air Force develop and implement a plan to correct the weaknesses identified at facilities that manage artificial intelligence projects related to enforcing the use of multifactor authentication and strong passwords, when necessary, to reduce the risk of disclosing sensitive DoD information.</p>	<p>9 months 2 days</p>
<p><b>Rec. B.1.b:</b> The DoD OIG recommended that the Chief Information Officers for the Army, Marine Corps, Navy, and Air Force develop and implement a plan to correct the weaknesses identified at facilities that manage artificial intelligence projects related to regularly monitoring networks and systems to identify unusual user and system activity.</p>	<p>9 months 2 days</p>
<p><b>Rec. B.1.c:</b> The DoD OIG recommended that the Chief Information Officers for the Army, Marine Corps, Navy, and Air Force develop and implement a plan to correct the weaknesses identified at facilities that manage artificial intelligence projects related to configuring all systems to lock automatically after 15 minutes of inactivity.</p>	<p>9 months 2 days</p>
<p><b>(FOUO) Rec. B.1.d:</b> The DoD OIG recommended that the Chief Information Officers for the Army, Marine Corps, Navy, and Air Force develop and implement a plan to correct the weaknesses identified at facilities that manage artificial intelligence projects related to [REDACTED] to monitor personnel and respond to security incidents.</p>	<p>9 months 2 days</p>

(FOUO)

## APPENDIX A

### Department of the Army – Report No. DODIG-2020-098 (cont'd)

<b>(FOUO)</b> Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. B.1.e:</b> The DoD OIG recommended that the Chief Information Officers for the Army, Marine Corps, Navy, and Air Force develop and implement a plan to correct the weaknesses identified at facilities that manage artificial intelligence projects related to securing data centers, server racks, and associated keys.	9 months 2 days
<b>(FOUO)</b>	

### Report No. DODIG-2020-127, “Evaluation of the Department of Defense and Department of Defense Education Activity Responses to Incidents of Serious Juvenile-on-Juvenile Misconduct on Military Installations,” September 4, 2020

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. B.2:</b> The DoD OIG recommended that the Secretaries of the Army, Navy, and Air Force update Military Law Enforcement Organization and Military Criminal Investigative Organization policies to require personnel to document in all investigative case files all notifications to civilian legal authorities and installation commanders, and, when possible, the legal and administrative actions taken.	6 months 27 days

### Report No. DODIG-2021-005, “Evaluation of the U.S. Army Unmanned Aircraft Systems Project Office’s (UAS PO) Ability to Provide Signals Intelligence Support to UAS,” November 5, 2020 (Full Report is Classified)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 1:</b> Recommendation is Classified.	4 months 26 days
<b>Rec. 2:</b> Recommendation is Classified.	4 months 26 days

### Report No. DODIG-2021-041, “Evaluation of the Department of Defense Processes to Counter Radio Controlled Improvised Explosive Devices,” January 22, 2021 (Full Report is Classified)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 5.b:</b> Recommendation is Classified.	2 months 9 days

**Department of the Army (cont'd)**

**Report No. DODIG-2021-043, "Audit of Depot-Level Reparable Items at Tobyhanna Army Depot,"  
January 8, 2021**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.a:</b> The DoD OIG recommended that the Commander of Army Communications-Electronics Command evaluate the implementation of the corrective actions for long lead items and the Commanders' Critical Information Requirements, determine whether these corrective actions resolved the challenges identified, and if the corrective actions do not resolve the challenges to parts availability, make appropriate adjustments to the actions taken.</p>	<p>2 months 23 days</p>
<p><b>Rec. 1.b:</b> The DoD OIG recommended that the Commander of Army Communications-Electronics Command evaluate the implementation of the corrective actions for improving parts availability for the Army-managed, the Defense Logistics Agency-managed, and inter-Service-managed parts, as well as accuracy of parts listings. In addition, determine whether these corrective actions resolved the challenges identified, and if resolved, incorporate into policy; if not resolved, make appropriate adjustments to the actions taken.</p>	<p>2 months 23 days</p>
<p><b>Rec. 1.c:</b> The DoD OIG recommended that the Commander of Army Communications-Electronics Command submit the 463 manufacturer parts that we identified as meeting the criteria for national stock number assignment to the Defense Logistics Agency Logistics Information Service for national stock number assignment.</p>	<p>2 months 23 days</p>
<p><b>Rec. 1.d:</b> The DoD OIG recommended that the Commander of Army Communications-Electronics Command analyze transactions from February 1, 2020, through the present to identify additional manufacturer parts that meet the national stock number assignment criteria and submit those parts for national stock number assignment.</p>	<p>2 months 23 days</p>
<p><b>Rec. 1.e:</b> The DoD OIG recommended that the Commander of Army Communications-Electronics Command establish a formal process or procedure for identifying and reporting parts that meet the national stock number assignment criteria and submitting those parts to the Defense Logistics Agency Logistics Information Service for national stock number assignment.</p>	<p>2 months 23 days</p>

**Report No. DODIG-2021-062, "Audit of Coalition Partner Reimbursements for Contracted Rotary Wing Air Transportation Services in Afghanistan," March 22, 2021**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 2:</b> The DoD OIG recommended that the U.S. Army Central Multinational Logistics Branch Chief, in coordination with the U.S. Forces-Afghanistan Multinational Logistics Branch Chief, conduct a review of all reimbursable services provided in Afghanistan to Coalition partners and establish internal controls over the Acquisition and Cross-Servicing Agreement program in Afghanistan to ensure that Acquisition and Cross-Servicing Agreement orders for Coalition partners' air transportation services are initiated in the Acquisition and Cross-Servicing Agreement Global Automated Tracking and Reporting System.</p>	<p>9 days</p>

# APPENDIX A

## Department of the Army (cont'd)

Report No. DODIG-2021-063, "Audit of Host Nation Logistical Support in the U.S. European Command," March 23, 2021 (Full Report is Classified)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 3.a:</b> The DoD OIG recommended that the U.S. Army Europe Commander identify host nation support requirements needed to execute Operation Plan 4020-19 through the U.S. European Command's Support Access Working Group.	8 days
<b>Rec. 3.b:</b> The DoD OIG recommended that the U.S. Army Europe Commander provide the host nation support requirements to the Director of Logistics of the U.S. European Command through the U.S. European Command's Support Access Working Group.	8 days

Report No. DODIG-2021-064, "Audit of Maintaining Cybersecurity in the Coronavirus Disease-2019 Telework Environment," March 29, 2021 (Full Report is CUI)

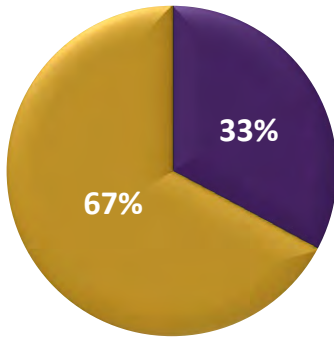
(CUI) Recommendation Number and Text	Age of Recommendation on 3/31/21
<del>(CUI)</del> <b>Rec. 2.a:</b> The DoD OIG recommended that the Deputy Commander, U.S. Army Cyber Command develop, implement, and enforce a plan to set [REDACTED] for virtual private network sessions.	2 days
<del>(CUI)</del> <b>Rec. 2.b:</b> The DoD OIG recommended that the Deputy Commander, U.S. Army Cyber Command mitigate [REDACTED].	2 days
<b>Rec. 3:</b> The DoD OIG recommended that the Army Deputy Chief of Staff for Personnel develop, implement, and enforce a plan to verify that DoD personnel complete telework agreement and the required DoD telework training before teleworking.	2 days

(CUI)

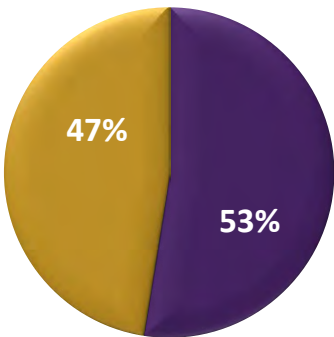


**Statistics – Department of the Navy**

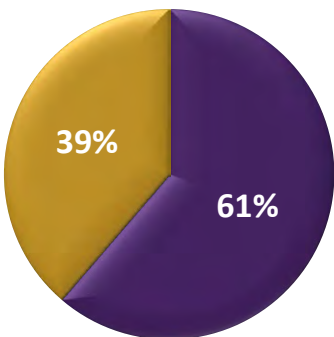
**Recommendations from 2018 Compendium**



**Recommendations from 2019 Compendium**

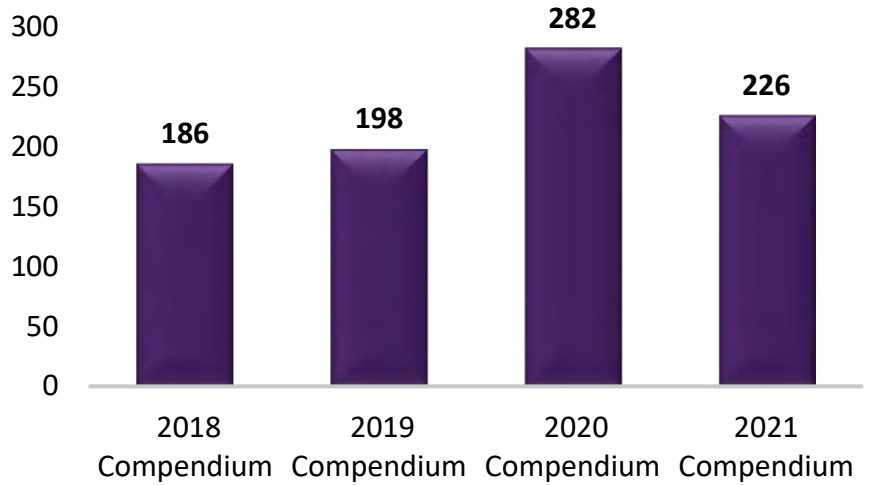


**Recommendations from 2020 Compendium**



Percentage remaining open as of 3/31/2021  
 Percentage closed as of 3/31/2021

**Open Recommendations**



Number of Unresolved Recommendations	20
Number of Recommendations Open Longer than 5 Years	26
Potential Monetary Benefits	\$566 million



# APPENDIX A

## Department of the Navy

Report No. DODIG-2012-017, "U.S. Naval Academy Officials Did Not Adhere to Contracting and Gift Policies," November 7, 2011

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B.1.d:</b> The DoD OIG recommended that the U.S. Naval Academy Superintendent direct the U.S. Naval Academy Museum Director to implement the Naval Heritage and History Command inventory system, Department of Navy Heritage Asset Management System, and record all the in-kind gifts into the systems.</p>	<p>9 years 4 months 24 days</p>
<p><b>Rec. B.3.b:</b> The DoD OIG recommended that the Naval Heritage and History Command Director require the United States Naval Academy Museum Director to use the Naval Heritage and History Command inventory system and the Department of Navy Heritage Asset Management System.</p>	<p>9 years 4 months 24 days</p>

Report No. DODIG-2012-122, "DoD Should Procure Compliant Physical Access Control Systems to Reduce the Risk of Unauthorized Access," August 29, 2012 (Full Report is FOUO)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B.1.b:</b> The DoD OIG recommended that the Assistant Secretary of the Army (Manpower and Reserve Affairs), in conjunction with the Assistant Secretary of the Army (Installations, Energy, and Environment); Commander of Headquarters Air Force Security Forces Center; Deputy Chief of Naval Operations for Fleet Readiness and Logistics; and Assistant Deputy Commandant of Plans, Policies and Operations (Security), U.S. Marine Corps, before approving physical access control systems for a location require installation security personnel to be involved during the site surveys.</p>	<p>8 years 7 months 2 days</p>

Report No. DODIG-2015-011, "Evaluation of the Defense Criminal Investigative Organizations' Defense Incident-Based Reporting System Reporting and Reporting Accuracy," October 29, 2014

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 2.b:</b> The DoD OIG recommended that the U.S. Army Criminal Investigative Command Commander; the Naval Criminal Investigative Service Director; and the Air Force Office of Special Investigations Commander ensure Defense Incident-Based Reporting System error corrections are completed within 30 days of the Defense Manpower Data Center providing notification, as required by DoD Manual 7730.47-M, volume 1.</p>	<p>6 years 5 months 2 days</p>

**Department of the Navy (cont'd)**

**Report No. DODIG-2015-053, "Naval Supply Systems Command Needs to Improve Cost Effectiveness of Purchases for the Phalanx Close-In Weapon System," December 19, 2014 (Full Report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.c:</b> The DoD OIG recommended that the Naval Supply Systems Command Weapons Systems Support Commander require the Naval Supply Systems Command Weapon Systems Support contracting officers to complete timely reviews for variations in quantity before determining forecasted demand.</p>	<p>6 years 3 months 12 days</p>

**Report No. DODIG-2015-081, "Evaluation of Department of Defense Compliance with Criminal History Data Reporting Requirements," February 12, 2015**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1:</b> The DoD OIG recommended that the Secretaries of the Navy and Air Force take prompt action to submit the missing 304 fingerprints and 334 final disposition reports to the Federal Bureau of Investigation for inclusion into the Integrated Automated Fingerprint Identification System.</p>	<p>6 years 1 month 19 days</p>

**Report No. DODIG-2015-090, "Evaluation of Aircraft Ejection Seat Safety When Using Advanced Helmet Sensors," March 9, 2015**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.2:</b> The DoD OIG recommended that the Navy and Air Force ensure consistent documentation of aircraft ejection data to increase the data available for ejections with Helmet Mounted Devices and/or Night Vision Goggles thus improving the safety risk analysis. The data should include aircraft speed at time of ejection, whether aircrew was wearing Helmet Mounted Devices and/or Night Vision Goggles, and type of injury sustained.</p>	<p>6 years 22 days</p>

**Report No. DODIG-2015-102, "Additional Actions Needed to Effectively Reconcile Navy's Fund Balance With Treasury Account," April 3, 2015**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1:</b> The DoD OIG recommended that the Assistant Secretary of the Navy (Financial Management and Comptroller) develop a reconciliation process that is based on detail-level transaction data from Department of the Navy's general ledger systems. As part of this process, the Department of the Navy needs to demonstrate how these detail-level transactions are used in the preparation of their financial statements.</p>	<p>5 years 11 months 28 days</p>

## APPENDIX A

### Department of the Navy – Report No. DODIG-2015-102 (cont'd)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 2:</b> The DoD OIG recommended that the Assistant Secretary of the Navy (Financial Management and Comptroller) review the control weaknesses identified for the Defense Cash Accountability System and Program Budget Information System during Federal Information System Controls Audit Manual testing and implement a plan to reduce ineffective or untested controls.</p>	<p>5 years 11 months 28 days</p>
<p><b>Rec. 3:</b> The DoD OIG recommended that the Assistant Secretary of the Navy (Financial Management and Comptroller) review and approve current standard operating procedures to ensure the Fund Balance With Treasury reconciliation is completed according to Treasury and DoD policies and that reconciliations are tested and proven to be a sustainable and repeatable process.</p>	<p>5 years 11 months 28 days</p>

### Report No. DODIG-2015-114, “Navy Officials Did Not Consistently Comply With Requirements for Assessing Contractor Performance,” May 1, 2015

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1:</b> The DoD OIG recommended that the Naval Sea Systems Command Commander develop and implement procedures for contract registration, including procedures to validate that personnel properly register contracts.</p>	<p>5 years 10 months 30 days</p>
<p><b>Rec. 4.a:</b> The DoD OIG recommended that the Commanders of Naval Air Systems Command and Naval Sea Systems Command and Commanding Officer of Naval Supply Systems Command, Fleet Logistics Center Norfolk, develop and implement procedures that require assessors to prepare performance assessment reports that meet the 120-day requirement in the Under Secretary of Defense for Acquisition, Technology, and Logistics policy.</p>	<p>5 years 10 months 30 days</p>
<p><b>Rec. 4.b:</b> The DoD OIG recommended that the Commanders of Naval Air Systems Command and Naval Sea Systems Command and Commanding Officer of Naval Supply Systems Command, Fleet Logistics Center Norfolk, develop and implement quality control procedures for evaluating performance assessment report narratives and descriptions of the contract purpose.</p>	<p>5 years 10 months 30 days</p>
<p><b>Rec. 4.c:</b> The DoD OIG recommended that the Commanders of Naval Air Systems Command and Naval Sea Systems Command and Commanding Officer of Naval Supply Systems Command, Fleet Logistics Center Norfolk, develop and implement procedures that require assessors to take initial and periodic refresher quality and narrative writing training for the Contractor Performance Assessment Reporting System.</p>	<p>5 years 10 months 30 days</p>
<p><b>Rec. 5:</b> The DoD OIG recommended that the Commanders of Naval Air Systems Command, Naval Sea Systems Command, Space and Naval Warfare Systems Center Atlantic, and Space and Naval Warfare Systems Center Pacific and Commanding Officer of Naval Supply Systems Command, Fleet Logistics Center Norfolk, train or re-emphasize to assessors the definitions of the ratings and what is required to justify each rating, as outlined in the Federal Acquisition Regulation.</p>	<p>5 years 10 months 30 days</p>

**Department of the Navy (cont'd)**

**Report No. DODIG-2015-122, "Naval Air Systems Command Needs to Improve Management of Waiver Requests," May 15, 2015 (Full Report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.1:</b> The DoD OIG recommended that the Assistant Secretary of the Navy for Research, Development, and Acquisition and the Chief of Naval Operations, Director, Innovation, Test and Evaluation, and Technology, update Secretary of the Navy Instruction 5000.2E, "Department of the Navy Implementation and Operation of the Defense Acquisition System and the Joint Capabilities Integration and Development System," and Secretary of the Navy Manual, M-5000.2, "Acquisition and Capabilities Guidebook," May 9, 2012, Section 4.6, "Certification of Readiness for Operational Testing," to:</p> <ul style="list-style-type: none"> <li>a. emphasize that program managers must request waivers whenever they do not meet any of the 20 criteria the Secretary of the Navy Instruction 5000.2E requires programs to meet to certify readiness for initial operational test and evaluation; and,</li> <li>b. clarify that Operational Test Readiness Review briefings to stakeholder groups should include specific explanations of program accomplishments against each of the 20 certification criteria to clearly document either that the criteria was met or a waiver or deferral request was coordinated with the Chief of Naval Operations, Director, Innovation, Test and Evaluation, and Technology; the program sponsors; and the Commander of Operational Test and Evaluation Force.</li> </ul>	<p>5 years 10 months 16 days</p>

**Report No. DODIG-2015-142, "Navy's Contract/Vendor Pay Process Was Not Auditable," July 1, 2015**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 2:</b> The DoD OIG recommended that the Assistant Secretary of the Navy (Financial Management and Comptroller) develop a process or system interface between Navy Enterprise Resource Planning and Wide Area Work Flow that provides timely processing of transactions and update the Department of the Navy's system business processes to ensure transactions are processed in compliance with the Statement of Federal Financial Accounting Standards 1.</p>	<p>5 years 8 months 30 days</p>

**Report No. DODIG-2015-143, "Patriot Express Program Could Be More Cost-Effective for Overseas Permanent Change of Station and Temporary Duty Travel," July 6, 2015**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 3.b:</b> The DoD OIG recommended that the Commander of the Naval Supply Systems Command implement controls in the Defense Travel System to automatically route all travel orders for travel outside of the continental United States to transportation office personnel to check Patriot Express availability before booking commercial transportation.</p>	<p>5 years 8 months 25 days</p>

## APPENDIX A

### *Department of the Navy (cont'd)*

**Report No. DODIG-2015-148, "Rights of Conscience Protections for Armed Forces Service Members and Their Chaplains," July 22, 2015**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 6:</b> The DoD OIG recommended that the Army Deputy Chief of Staff for Personnel, the Chief of Naval Personnel, and the Air Force Deputy Chief of Staff for Manpower, Personnel, and Services ensure that programs of instruction for commissioned and noncommissioned officers include the updated guidance regarding religious accommodations contained in Department of Defense Instruction 1300.17.</p>	<p>5 years 8 months 9 days</p>

**Report No. DODIG-2015-172, "Naval Sea Systems Command Needs to Improve Management of Waiver and Deferral Requests," September 14, 2015**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 2:</b> The DoD OIG recommended that the Secretary of the Navy revise Secretary of the Navy Instruction 5000.2E, "Department of the Navy Implementation and Operation of the Defense Acquisition System and the Joint Capabilities Integration and Development System," September 1, 2011, after the Vice Chairman of the Joint Chiefs of Staff revises the Joint Capabilities Integration and Development System Manual in response to Recommendation 1.</p>	<p>5 years 6 months 17 days</p>
<p><b>Rec. 3:</b> The DoD OIG recommended that the Naval Sea Systems Command Commander revise Naval Sea System Command Instruction 3960.2D, "Test and Evaluation," April 22, 1988, to implement the Navy policy in the planned revision of Secretary of the Navy Instruction 5000.2E, "Department of the Navy Implementation and Operation of the Defense Acquisition System and the Joint Capabilities Integration and Development System," planned for designation as Secretary of the Navy Instruction 5000.2E.</p>	<p>5 years 6 months 17 days</p>

**Report No. DODIG-2015-181, "Continental United States Military Housing Inspections-Southeast," September 24, 2015**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. D.1:</b> The DoD OIG recommended that the Naval Station Mayport Commander conduct an effective root cause analysis and perform corrective actions for all fire protection deficiencies identified.</p>	<p>5 years 6 months 7 days</p>

**Department of the Navy (cont'd)**

**Report No. DODIG-2016-026, "Combat Mission Teams and Cyber Protection Teams Lacked Adequate Capabilities and Facilities to Perform Missions," November 24, 2015 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 2:</b> The DoD OIG recommended that the Commander of U.S. Cyber Command, the Chiefs of Staff for the U.S. Army and the U.S. Air Force, the Chief of Naval Operations, and the Commandant of the Marine Corps formalize an agreement to focus capability development on functional and mission areas consistent with results of the mission alignment board.</p>	<p>5 years 4 months 7 days</p>

**Report No. DODIG-2016-054, "Navy Controls for Invoice, Receipt, Acceptance, and Property Transfer System Need Improvement," February 25, 2016**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.a.2:</b> The DoD OIG recommended that the Deputy Assistant Secretary of the Navy for Financial Operations coordinate with the Deputy Assistant Secretary of the Navy for Acquisition and Procurement and the Director of the Program Executive Office for Enterprise Information Systems to develop and communicate comprehensive procedures to out-process Invoice, Receipt, Acceptance, and Property Transfer system users who leave the commands. Both users and supervisors should provide a formal notification to the Invoice, Receipt, Acceptance, and Property Transfer system group administrator indicating that a user is separating from the command and the corresponding system access should end.</p>	<p>5 years 1 month 6 days</p>
<p><b>Rec. 1.b:</b> The DoD OIG recommended that the Deputy Assistant Secretary of the Navy for Financial Operations coordinate with the Deputy Assistant Secretary of the Navy for Acquisition and Procurement and the Director of the Program Executive Office for Enterprise Information Systems to review the Invoice, Receipt, Acceptance, and Property Transfer system to verify that the Defense Logistics Agency's automated control for inactive users is working properly and ensure separated employees user accounts were automatically disabled.</p>	<p>5 years 1 month 6 days</p>
<p><b>Rec. 1.d:</b> The DoD OIG recommended that the Deputy Assistant Secretary of the Navy for Financial Operations coordinate with the Deputy Assistant Secretary of the Navy for Acquisition and Procurement and the Director of the Program Executive Office for Enterprise Information Systems to review other commands that use the Navy Enterprise Resource Planning system and direct the commands to disable the certifying officer role in the Invoice, Receipt, Acceptance, and Property Transfer system if their duties do not require it.</p>	<p>5 years 1 month 6 days</p>

## APPENDIX A

### Department of the Navy (cont'd)

**Report No. DODIG-2016-107, "Advanced Arresting Gear Program Exceeded Cost and Schedule Baselines," July 5, 2016 (Full Report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1:</b> The DoD OIG recommended that the Assistant Secretary of the Navy for Research, Development, and Acquisition perform cost-benefit analyses to determine whether the Advanced Arresting Gear is an affordable solution for Navy aircraft carriers before deciding to go forward with the system on future aircraft carriers.</p>	<p>4 years 8 months 26 days</p>
<p><b>Rec. 2:</b> The DoD OIG recommended that the Program Manager for the Aircraft Launch and Recovery Equipment update the Advanced Arresting Gear Test and Evaluation Master Plan to revise the planned test strategy, test schedule, developmental and operational funding and add measures to support the program's reliability growth plan before the Acquisition Category IC Acquisition Program Baseline is finalized.</p>	<p>4 years 8 months 26 days</p>

**Report No. DODIG-2016-130, "The Navy Needs More Comprehensive Guidance for Evaluating and Supporting Cost-Effectiveness of Large-Scale Renewable Energy Projects," August 25, 2016 (Full Report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.a:</b> The DoD OIG recommended that the Assistant Secretary of the Navy for Energy, Installations, and Environment develop new, or modify existing, Navy guidance to include comprehensive steps to evaluate and document the cost effectiveness assessments for large-scale renewable energy projects.</p>	<p>4 years 7 months 6 days</p>
<p><b>Rec. 1.b:</b> The DoD OIG recommended that the Assistant Secretary of the Navy for Energy, Installations, and Environment, once new or modified guidance is issued, determine whether approved renewable energy projects are cost-effective based on these policies and procedures and take appropriate action based on that determination.</p>	<p>4 years 7 months 6 days</p>

**Report No. DODIG-2017-043, "Management of Excess Material in the Navy's Real-Time Reutilization Asset Management Facilities Needs Improvement," January 23, 2017**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.1:</b> The DoD OIG recommended that the Chief of Naval Operations develop and implement retention and disposition guidance for excess consumable material in the Real-Time Reutilization Asset Management facilities that includes, at a minimum, standardized procedures for retaining material based on demand, validating material for continued need if the retention decision is not based on demand, and properly categorizing material.</p>	<p>4 years 2 months 8 days</p>

**Department of the Navy (cont'd)**

**Report No. DODIG-2017-063, “(FOUO) Surface Electronic Warfare Improvement Program [REDACTED],” March 13, 2017 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.1:</b> The DoD OIG recommended that the Program Executive Office Integrated Warfare System Program Executive Officer correct Surface Electronic Warfare Improvement Program Blocks 1B1 and 1B2 deficiencies.</p>	<p>4 years 18 days</p>
<p><b>Rec. B.1.a:</b> The DoD OIG recommended that the Program Executive Office Integrated Warfare System Program Executive Officer correct Surface Electronic Warfare Improvement Block 2 system deficiencies.</p>	<p>4 years 18 days</p>

**Report No. DODIG-2017-067, “Navy Inaccurately Reported Costs for Operation Freedom’s Sentinel in the Cost of War Reports,” March 16, 2017**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A:</b> The DoD OIG recommended that the Deputy Assistant Secretary of Financial Operations, Accounting and Financial Reporting Division, and Deputy Assistant Secretary for Budget, in coordination with the Comptroller, Pacific Fleet Command, and the Comptroller, U.S. Fleet Forces Command, reengineer processes to identify the Navy’s transactions for overseas contingency operations.</p>	<p>4 years 15 days</p>
<p><b>Rec. B.1:</b> The DoD OIG recommended that the Deputy Assistant Secretary for Budget in coordination with Navy budget submitting offices and support activities, develop and implement standard operating procedures that cover end-to-end Cost of War reporting processes. These standard operating procedures should include, at a minimum, procedures for the receipt, review, and reporting of obligations and disbursements for Operation Freedom’s Sentinel to ensure costs are accurately reflected in the Cost of War reports.</p>	<p>4 years 15 days</p>
<p><b>Rec. B.2:</b> The DoD OIG recommended that the Deputy Assistant Secretary for Budget develop and issue updated guidance that requires Navy activities to, at a minimum, use a consistent methodology for allocating incremental operations and depot-level maintenance costs, as required by Public Law 113-235, “The Consolidated and Further Continuing Appropriations Act, 2015,” and defined by DoD Regulation 7000.14-R, “DoD Financial Management Regulation,” volume 12, chapter 23.</p>	<p>4 years 15 days</p>



## APPENDIX A

### Department of the Navy (cont'd)

**Report No. DODIG-2017-087, "U.S.-Controlled and-Occupied Military Facilities Inspection-Camp Lemonnier, Djibouti," June 2, 2017**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.1.a:</b> The DoD OIG recommended that the Commander of Navy Region Europe, Africa, Southwest Asia, conduct a root cause analysis and implement a corrective action plan for all electrical deficiencies identified in this report. Ensure that all facility operations and maintenance comply with the Unified Facilities Criteria and the National Fire Protection Association standards. Provide the DoD OIG a copy of the analysis and corrective action plan within 90 days of the issuance of this report.</p>	3 years 9 months 29 days
<p><b>Rec. B.1.a:</b> The DoD OIG recommended that the Commander of Navy Region Europe, Africa, Southwest Asia, conduct a root cause analysis and implement a corrective action plan for all deficiencies identified in this report. Ensure that all facility operations and maintenance complies with the Unified Facilities Criteria and the National Fire Protection Association standards. Provide the DoD OIG a copy of the analysis and corrective action plan within 90 days of the issuance of this report.</p>	3 years 9 months 29 days

**Report No. DODIG-2017-106, "Evaluation of the Air Force and Navy Explosive Ordnance Disposal Capabilities to Respond to a Nuclear Weapon Accident or Incident," July 28, 2017 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A:</b> The DoD OIG recommended that the Director of Expeditionary Warfare, Office of the Chief of Naval Operations, update Instruction F3501.97H with the new manpower authorization for Explosive Ordnance Disposal Mobile Unit 6, Shore Based Detachment Kings Bay, Georgia; and Explosive Ordnance Disposal Mobile Unit 11, Shore Based Detachment Bangor, Washington.</p>	3 years 8 months 3 days
<p><b>Rec. C:</b> The DoD OIG recommended that the Secretary of the Air Force and the Secretary of the Navy, in coordination with the Director, Defense Threat Reduction Agency and the Under Secretary of Defense for Acquisition and Sustainment, comply with Presidential Policy Directive-35 and develop and field secure communications between Custodial explosive ordnance disposal units and National responders.</p>	3 years 8 months 3 days

**Report No. DODIG-2017-107, "Followup Audit: U.S. Naval Academy Museum Management of Heritage Assets," August 7, 2017**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.a:</b> The DoD OIG recommended that the U.S. Naval Academy Superintendent direct the U.S. Naval Academy Museum Director to prioritize the completion of a baseline inventory of all U.S. Naval Academy Museum assets and document the inventory results.</p>	3 years 7 months 24 days

**Department of the Navy – Report No. DODIG-2017-107 (cont’d)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.b:</b> The DoD OIG recommended that the U.S. Naval Academy Superintendent direct the U.S. Naval Academy Museum Director to reconcile the U.S. Naval Academy Museum Found-in-Collection and duplicate items with already accessioned inventory items when possible.</p>	<p>3 years 7 months 24 days</p>
<p><b>Rec. 1.d:</b> The DoD OIG recommended that the U.S. Naval Academy Superintendent direct the U.S. Naval Academy Museum Director to prepare and complete a transfer agreement for any artifacts that were physically transferred to the Smithsonian Museum. If the artifacts are not permanently transferred, then these artifacts should be recorded as loaned items in the U.S. Naval Academy Museum inventory.</p>	<p>3 years 7 months 24 days</p>

**Report No. DODIG-2017-121, “U.S. Africa Command’s Management of Acquisition and Cross-Servicing Agreements,” September 21, 2017**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 2:</b> The DoD OIG recommended that the Assistant Secretary of the Navy (Research, Development, and Acquisition) designate a Chief of Naval Operations and Headquarters Marine Corps Office of Prime Responsibility to oversee the execution of the Acquisition and Cross-Servicing Agreement program for their respective Service Components.</p>	<p>3 years 6 months 10 days</p>

**Report No. DODIG-2018-025, “Defense Hotline Allegations on the Surface Electronic Warfare Improvement Program Block 3 Costs,” November 9, 2017 (Full Report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.b:</b> The DoD OIG recommended that the Program Executive Officer for the Program Executive Office Integrated Warfare System establish an approved Engineering and Manufacturing Development phase cost baseline estimate to consistently measure and control costs for Surface Electronic Warfare Improvement Program Block 3.</p>	<p>3 years 4 months 22 days</p>
<p><b>Rec. 1.c:</b> The DoD OIG recommended that the Program Executive Officer for the Program Executive Office Integrated Warfare System verify that Northrop Grumman adequately meets the established Engineering and Manufacturing Development phase baseline estimate to minimize existing or future problems.</p>	<p>3 years 4 months 22 days</p>

# APPENDIX A

## Department of the Navy (cont'd)

Report No. DODIG-2018-035, "Evaluation of Fingerprint Card and Final Disposition Report Submissions by Military Service Law Enforcement Organizations," December 4, 2017

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. C.1.b:</b> The DoD OIG recommended that the Secretary of the Navy immediately and comprehensively review all Naval Criminal Investigative Service criminal investigative databases and files to ensure that all fingerprint cards and final disposition reports for anyone investigated for, or convicted of, qualifying offenses before 1998 have been reported to the Federal Bureau of Investigation Criminal Justice Information Service in compliance with DoD and Federal Bureau of Investigation requirements.</p>	<p>3 years 3 months 27 days</p>
<p><b>Rec. C.1.e:</b> The DoD OIG recommended that the Secretary of the Navy take prompt action to ensure that other required investigative and criminal history information, such as criminal incident data and Deoxyribonucleic Acid (DNA) samples, has been submitted for inclusion in Federal Bureau of Investigation databases.</p>	<p>3 years 3 months 27 days</p>
<p><b>Rec. D.1.a:</b> The DoD OIG recommended that the Secretary of the Navy take prompt action to submit to the Federal Bureau of Investigation Criminal Justice Information Service the 38 Navy Security Forces fingerprint cards and 40 Navy Security Forces final disposition reports that are not in the Federal Bureau of Investigation Next Generation Identification database.</p>	<p>3 years 3 months 27 days</p>
<p><b>Rec. D.1.b:</b> The DoD OIG recommended that the Secretary of the Navy to immediately and comprehensively review all Navy Security Forces criminal investigative databases and files to ensure that all fingerprint cards and final disposition reports for anyone investigated for, or convicted of, qualifying offenses before 1998 have been reported to the Federal Bureau of Investigation Criminal Justice Information Service in compliance with DoD and Federal Bureau of Investigation requirements.</p>	<p>3 years 3 months 27 days</p>
<p><b>Rec. D.1.c:</b> The DoD OIG recommended that the Secretary of the Navy take prompt action to ensure that Navy Security Forces command, supervisory, and management oversight controls verify compliance with fingerprint card and final disposition report submission requirements and ensure that such compliance is included as a special interest item in future Inspector General inspections and is actually conducted.</p>	<p>3 years 3 months 27 days</p>
<p><b>Rec. D.1.d:</b> The DoD OIG recommended that the Secretary of the Navy take prompt action to comprehensively review Navy Security Forces criminal history reporting programs to ensure that all applicable agency policy, training, fingerprinting, and final disposition report submission processes are consistent with DoD Instruction 5505.11 and have been implemented.</p>	<p>3 years 3 months 27 days</p>
<p><b>Rec. D.1.e:</b> The DoD OIG recommended that the Secretary of the Navy take prompt action to ensure that other required investigative and criminal history information, such as criminal incident data and Deoxyribonucleic Acid (DNA) samples, has been submitted for inclusion in Federal Bureau of Investigation databases.</p>	<p>3 years 3 months 27 days</p>

**Department of the Navy – Report No. DODIG-2018-035 (cont’d)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. D.1.f:</b> The DoD OIG recommended that the Secretary of the Navy take prompt action to direct the Commander of Naval Installations Command to revise Navy Tactics, Techniques, and Procedures 3-07.2.3 to align with fingerprint card submission requirements set forth in DoD Investigation 5505.11.</p>	<p>3 years 3 months 27 days</p>

**Report No. DODIG-2018-063, “Navy and Marine Corps Management of Relocatable Buildings,”  
January 29, 2018**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.3.a:</b> The DoD OIG recommended that the Commander of Navy Installations Command issue guidance to emphasize that tenant organization personnel on Navy installations should coordinate the acquisition of relocatable buildings with the installation’s Department of Public Works personnel.</p>	<p>3 years 2 months 2 days</p>
<p><b>Rec. B.4:</b> The DoD OIG recommended that the Chief of Naval Operations revise the Office of the Chief of Naval Operations Instruction 11010.33C to reflect updates made to Department of Defense Instruction 4165.56 and train Department of Public Works personnel on the proper classification of relocatable buildings.</p>	<p>3 years 2 months 2 days</p>

**Report No. DODIG-2018-069, “Navy’s Single-Award Indefinite-Delivery Indefinite-Quantity (IDIQ) Contracts,”  
February 1, 2018**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.b:</b> The DoD OIG recommended that the Deputy Assistant Secretary of the Navy (Acquisition and Procurement) review the adequacy of existing Navy policies and procedures pertaining to the preparation, review, and reporting of determination and findings documents for single-award, indefinite-delivery indefinite-quantity contracts and ensure that the processes used meet Federal and DoD requirements.</p>	<p>3 years 1 month 30 days</p>
<p><b>Rec. 1.c:</b> The DoD OIG recommended that the Deputy Assistant Secretary of the Navy (Acquisition and Procurement), based on the results of the review, provide updated instructions to the workforce, through training or updated guidance, on any areas requiring clarification to ensure the application of Federal and DoD requirements. The updated instructions should clearly define what information must be in the determination and findings document to ensure that the standalone document fully supports a single-award determination, and the processes used to report a determination and findings document to Congress and Defense Procurement and Acquisition Policy.</p>	<p>3 years 1 month 30 days</p>

## APPENDIX A

### Department of the Navy (cont'd)

Report No. DODIG-2018-074, "The U.S. Navy's Oversight and Administration of the Base Support Contracts in Bahrain," February 13, 2018

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B.3.a:</b> The DoD OIG recommended that the Commander of Naval Facilities Engineering Command Europe, Africa, Southwest Asia coordinate with the Commander of the Public Works Department-Bahrain to create an updated contract attachment that reflects the correct amount of Government-furnished property provided to the Isa Air Base support contractor and ensure that the updated attachment is used to modify the Government-furnished property records in the U.S. Navy accountable property system of record and the contractor's property management system.</p>	<p>3 years 1 month 18 days</p>
<p><b>Rec. B.3.b:</b> The DoD OIG recommended that the Commander of Naval Facilities Engineering Command Europe, Africa, Southwest Asia delegate property administration duties to the contracting office in Bahrain, including ensuring that the contracting officer's representative is performing annual reconciliations of the U.S. Navy records with the contractor's records.</p>	<p>3 years 1 month 18 days</p>

Report No. DODIG-2018-092, "DoD Emergency Management Programs in the U.S. Africa Command," March 28, 2018 (Full Report is Classified)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 9:</b> The DoD OIG recommended that the Director for Shore Readiness, Office of Chief of Naval Operations, N46, reevaluate the requirement to field [REDACTED] based on updated threat assessments; potential impact should a [REDACTED] occur; and the current fiscal environment.</p>	<p>3 years 3 days</p>

Report No. DODIG-2018-107, "Expeditionary Fast Transport Capabilities," April 25, 2018 (Full Report is FOUO)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1:</b> The DoD OIG recommended that the Program Executive Officer for Program Executive Office Ships, with assistance from the Strategic and Theater Sealift Program Office, review whether action was taken to correct deficiencies on the Expeditionary Fast Transport vessels. If action was taken, the Program Executive Office Ships should require the Strategic and Theater Sealift Program Office to request the Commander of Operational Test and Evaluation Force to confirm the correction of deficiencies. If action was not taken, the Program Executive Office Ships should require the Strategic Theater Sealift Program Office to implement a plan to correct the deficiencies prior to delivery of the Expeditionary Fast Transport vessels, as appropriate.</p>	<p>2 years 11 months 6 days</p>
<p><b>Rec. 2:</b> The DoD OIG recommended that the Military Sealift Command Commander assist the Program Executive Office Ships with reviews to identify if the deficiencies on delivered Expeditionary Fast Transport vessels were corrected and, if not, implement a plan to correct the deficiencies on delivered Expeditionary Fast Transports, where appropriate.</p>	<p>2 years 11 months 6 days</p>

**Department of the Navy (cont'd)**

**Report No. DODIG-2018-109, "Protection of Patient Health Information at Navy and Air Force Military Treatment Facilities," May 2, 2018 (Full Report is FOUO)**

<p>(FOUO)</p> <p>Recommendation Number and Text</p>	<p>Age of Recommendation on 3/31/21</p>
<p><b>Rec. 1.a:</b> The DoD OIG recommended that the Chief Information Officers for Naval Hospital Camp Pendleton, Naval Medical Center San Diego, U.S. Naval Ship <i>Mercy</i>, the 436th Medical Group, and Wright-Patterson Medical Center implement appropriate configuration changes to enforce the use of a Common Access Card to access all systems that process, store, and transmit patient health information or obtain a waiver that exempts the systems from using Common Access Cards.</p>	<p>2 years 10 months 29 days</p>
<p><b>Rec. 1.b:</b> The DoD OIG recommended that the Chief Information Officers for Naval Hospital Camp Pendleton, Naval Medical Center San Diego, U.S. Naval Ship <i>Mercy</i>, the 436th Medical Group, and Wright-Patterson Medical Center configure passwords for all systems that process, store, and transmit patient health information to meet DoD length and complexity requirements.</p>	<p>2 years 10 months 29 days</p>
<p><b>Rec. 1.c:</b> The DoD OIG recommended that the Chief Information Officers for Naval Hospital Camp Pendleton, Naval Medical Center San Diego, U.S. Naval Ship <i>Mercy</i>, the 436th Medical Group, and Wright-Patterson Medical Center develop a plan of action and milestones and take appropriate steps to mitigate known network vulnerabilities in a timely manner.</p>	<p>2 years 10 months 29 days</p>
<p><b>Rec. 1.d:</b> The DoD OIG recommended that the Chief Information Officers for Naval Hospital Camp Pendleton, Naval Medical Center San Diego, U.S. Naval Ship <i>Mercy</i>, the 436th Medical Group, and Wright-Patterson Medical Center require written justification for obtaining access to all systems that process, store, and transmit patient health information and implement procedures to grant access to the systems based on roles that align with user responsibilities.</p>	<p>2 years 10 months 29 days</p>
<p><b>Rec. 1.e:</b> The DoD OIG recommended that the Chief Information Officers for Naval Hospital Camp Pendleton, Naval Medical Center San Diego, U.S. Naval Ship <i>Mercy</i>, the 436th Medical Group, and Wright-Patterson Medical Center configure all systems that process, store, and transmit patient health information to lock automatically after 15 minutes of inactivity.*</p>	<p>2 years 10 months 29 days</p>
<p><b>Rec. 1.e:</b> The DoD OIG recommended that the Chief Information Officers for Naval Hospital Camp Pendleton, Naval Medical Center San Diego, U.S. Naval Ship <i>Mercy</i>, the 436th Medical Group, and Wright-Patterson Medical Center configure all systems that process, store, and transmit patient health information to lock automatically after 15 minutes of inactivity.*</p>	<p>2 years 10 months 29 days</p>
<p><b>Rec. 1.f:</b> The DoD OIG recommended that the Chief Information Officers for Naval Hospital Camp Pendleton, Naval Medical Center San Diego, U.S. Naval Ship <i>Mercy</i>, the 436th Medical Group, and Wright-Patterson Medical Center appropriately configure and regularly review system audit reports and logs to identify user and system activity anomalies.*</p>	<p>2 years 10 months 29 days</p>

(FOUO)

# APPENDIX A

## Department of the Navy – Report No. DODIG-2018-109 (cont’d)

(FOUO)	Recommendation Number and Text	Age of Recommendation on 3/31/21
	<b>Rec. 1.f:</b> The DoD OIG recommended that the Chief Information Officers for Naval Hospital Camp Pendleton, Naval Medical Center San Diego, U.S. Naval Ship <i>Mercy</i> , the 436th Medical Group, and Wright-Patterson Medical Center appropriately configure and regularly review system audit reports and logs to identify user and system activity anomalies.*	2 years 10 months 29 days
	<b>Rec. 1.g:</b> The DoD OIG recommended that the Chief Information Officers for Naval Hospital Camp Pendleton, Naval Medical Center San Diego, U.S. Naval Ship <i>Mercy</i> , the 436th Medical Group, and Wright-Patterson Medical Center develop and maintain standard operating procedures for granting access, assigning and elevating privileges, and deactivating user access.	2 years 10 months 29 days
	<b>Rec. 1.h:</b> The DoD OIG recommended that the Chief Information Officers for Naval Hospital Camp Pendleton, Naval Medical Center San Diego, U.S. Naval Ship <i>Mercy</i> , the 436th Medical Group, and Wright-Patterson Medical Center review and identify all systems used to process, store, and transmit patient health information, develop a baseline of systems used at each military treatment facility, and regularly, at least annually, validate the accuracy of the inventory of systems.	2 years 10 months 29 days
	<b>Rec. 1.i:</b> The DoD OIG recommended that the Chief Information Officers for Naval Hospital Camp Pendleton, Naval Medical Center San Diego, U.S. Naval Ship <i>Mercy</i> , the 436th Medical Group, and Wright-Patterson Medical Center develop and maintain access request forms for all users of systems that process, store, and transmit patient health information, and verify, at least annually, the continued need for system access.*	2 years 10 months 29 days
	<b>Rec. 1.i:</b> The DoD OIG recommended that the Chief Information Officers for Naval Hospital Camp Pendleton, Naval Medical Center San Diego, U.S. Naval Ship <i>Mercy</i> , the 436th Medical Group, and Wright-Patterson Medical Center develop and maintain access request forms for all users of systems that process, store, and transmit patient health information, and verify, at least annually, the continued need for system access.*	2 years 10 months 29 days
	<b>Rec. 2.a:</b> The DoD OIG recommended that the Surgeons General for the Departments of the Navy and Air Force, in coordination with Chief Information Officers for the U.S. Navy Bureau of Medicine and Surgery and the U.S. Air Force Medical Service, assess whether the systemic issues identified in this report exist at other Service-specific military treatment facilities and develop and implement an oversight plan to verify that military treatment facilities enforce the use of Common Access Cards to access systems that process, store, and transmit patient health information or obtain a waiver that exempts the systems from using Common Access Cards.	2 years 10 months 29 days

(FOUO)



**Department of the Navy – Report No. DODIG-2018-109 (cont’d)**

<b>(FOUO)</b> Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 2.b:</b> The DoD OIG recommended that the Surgeons General for the Departments of the Navy and Air Force, in coordination with Chief Information Officers for the U.S. Navy Bureau of Medicine and Surgery and the U.S. Air Force Medical Service, assess whether the systemic issues identified in this report exist at other Service-specific military treatment facilities and develop and implement an oversight plan to verify that military treatment facilities configure passwords for systems that process, store, and transmit patient health information to meet DoD length and complexity requirements.</p>	2 years 10 months 29 days
<p><b>Rec. 2.c:</b> The DoD OIG recommended that the Surgeons General for the Departments of the Navy and Air Force, in coordination with Chief Information Officers for the U.S. Navy Bureau of Medicine and Surgery and the U.S. Air Force Medical Service, assess whether the systemic issues identified in this report exist at other Service-specific military treatment facilities and develop and implement an oversight plan to develop a baseline of systems used at each military treatment facility, and regularly, at least annually, validate the accuracy of the inventory of systems.</p>	2 years 10 months 29 days
<p><b>Rec. 2.d:</b> The DoD OIG recommended that the Surgeons General for the Departments of the Navy and Air Force, in coordination with Chief Information Officers for the U.S. Navy Bureau of Medicine and Surgery and the U.S. Air Force Medical Service, assess whether the systemic issues identified in this report exist at other Service-specific military treatment facilities and develop and implement an oversight plan to verify that privacy impact assessments are developed and updated for all systems that process, store, and transmit patient health information.</p>	2 years 10 months 29 days
<p><b>(FOUO) Rec. 4:</b> The DoD OIG recommended that the Chief Information Officers for Naval Hospital Camp Pendleton, U.S. Naval Ship <i>Mercy</i>, and Wright-Patterson Medical Center [REDACTED] and [REDACTED] for systems that process, store, and transmit patient health information.</p>	2 years 10 months 29 days

\* Because the DoD OIG directed this recommendation to more than one office, it counts as more than one recommendation for tracking purposes.

(FOUO)



# APPENDIX A

## Department of the Navy (cont'd)

### Report No. DODIG-2018-117, "Department of the Navy Qualified Recycling Programs," May 10, 2018

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1:</b> The DoD OIG recommended that the Assistant Secretary of the Navy (Financial Management and Comptroller), Office of Financial Operations, develop and implement the following standard operating procedures to provide guidance to Department of the Navy Headquarters personnel on how to oversee the qualified recycling program. The procedures should include the following guidance:</p> <ol style="list-style-type: none"> <li>1. performing assessments of the qualified recycling programs, including review of the financial records and compliance with regulations;</li> <li>2. ensuring duties are appropriately segregated;</li> <li>3. depositing checks into the Department of the Treasury in a timely manner;</li> <li>4. developing complete business plans that are reviewed and updated annually;</li> <li>5. reconciling the revenue and expense transactions with the accounting system; and</li> <li>6. ensuring that checks are made to the Department of the Treasury, the collection of cash is not permitted, and appropriate remedial measures are taken when vendors do not comply with these requirements.</li> </ol>	<p>2 years 10 months 21 days</p>
<p><b>Rec. 2:</b> The DoD OIG recommended that the Commander of Navy Installations Command for Facility Services and the Commander of Marine Corps Installations Command improve the documentation of the sale of recycled materials. Specifically, Commander, Navy Installations Command Instruction 7300.1A and the U.S. Marine Corps Qualified Recycling Program Guidance, Version 2.x. should include a requirement for the qualified recycling program managers to document the list of bidders, response from the bidders, winning bids for recycling material, contract or sales agreement; weight tickets of the materials sold; and market price or other agreed-upon sale price.</p>	<p>2 years 10 months 21 days</p>

### Report No. DODIG-2018-120, "The Treasury Index 97 Cash Management Report," May 23, 2018

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 2:</b> The DoD OIG recommended that the Assistant Secretary of the Navy (Financial Management and Comptroller) correct the Navy's financial systems to report Treasury Index 97 transactions with the limits established by Defense Finance and Accounting Service-Indianapolis and approved by the Office of the Under Secretary of Defense (Comptroller)/Deputy Chief Financial Officer.</p>	<p>2 years 10 months 8 days</p>

APPENDIX A

**Department of the Navy (cont'd)**

**Report No. DODIG-2018-129, "Department of the Navy Civilian Pay Budget Process," June 20, 2018**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.1:</b> The DoD OIG recommended that the Assistant Secretary of the Navy (Financial Management and Comptroller) establish and implement controls for the civilian pay budget process to ensure that budget officials document the calculations and assumptions used to support each Program Budget Information System adjustment made to civilian pay requirements.</p>	<p>2 years 9 months 11 days</p>

**Report No. DODIG-2018-140, "Acquisition of the Navy's Mine Countermeasures Mission Package," July 25, 2018**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1:</b> The DoD OIG recommended that the Expeditionary Warfare Division (N95) Director delay future procurement of the Airborne Laser Mine Detection System, Airborne Mine Neutralization System, and Coastal Battlefield Reconnaissance Analysis until the Assistant Secretary of the Navy (Research, Development, and Acquisition) and Chief of Naval Operations require the Program Manager of the Mine Warfare Office to complete operational test and evaluations demonstrating the systems are effective and suitable to support full-rate production.</p>	<p>2 years 8 months 6 days</p>

**Report No. DODIG-2018-151, "Military Sealift Command's Maintenance of Prepositioning Ships," September 24, 2018 (Full Report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.a:</b> The DoD OIG recommended that the Director of Military Sealift Command Engineering Directorate update the technical drawings and manuals for its prepositioning fleet.</p>	<p>2 years 6 months 7 days</p>
<p><b>Rec. 1.b:</b> The DoD OIG recommended that the Director of Military Sealift Command Engineering Directorate revise Military Sealift Command policies so that all system users are provided initial and annual refresher training on the proper use of the Shipboard Automated Maintenance Management system, which includes the use of the different modules and of the feedback log.</p>	<p>2 years 6 months 7 days</p>
<p><b>Rec. 2.a:</b> The DoD OIG recommended that the Military Sealift Command Contacting Office Director, in conjunction with the Prepositioning Program Management Office Program Manager, conduct a review and modify all contracts to require formal Shipboard Automated Maintenance Management system training for all users as well as clarify vague requirements and align contract language with Military Sealift Command procedures. The updated contracts should include, at a minimum, detailed requirements for the contractor's expected use of the Shipboard Automated Maintenance Management System, including data inputs and the feedback log process.</p>	<p>2 years 6 months 7 days</p>

# APPENDIX A

## Department of the Navy – Report No. DODIG-2018-151 (cont’d)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 2.b:</b> The DoD OIG recommended that the Military Sealift Command Contacting Office Director, in conjunction with the Prepositioning Program Management Office Program Manager, ensure that contracting officers appoint a qualified contracting officer’s representative or contracting officer’s technical representative to conduct regular surveillance of contractors at sea and during shipyard availabilities. Military Sealift Command should also ensure the contracting officer’s representative or contracting officer’s technical representative executes a quality assurance surveillance plan.</p>	<p>2 years 6 months 7 days</p>

## Report No. DODIG-2019-019, “Evaluation of Contracting Officer Actions on Contractor Pricing Proposals Deemed Inadequate by Defense Contract Audit Agency,” November 14, 2018

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. C.1:</b> The DoD OIG recommended that the Commanders at the eight DoD buying commands, including the Air Force Sustainment Center, the Air Force Life Cycle Management Center, the Naval Air Systems Command, the Naval Sea Systems Command, the Space and Naval Warfare Systems Command, and the Army Contracting Commands at Redstone, Rock Island, and Warren, provide refresher training to contracting personnel on the requirements for distributing the negotiation memorandum in accordance with Federal Acquisition Regulation 15.406-3(b), “Documenting the Negotiation.”*</p>	<p>2 years 4 months 17 days</p>
<p><b>Rec. C.1:</b> The DoD OIG recommended that the Commanders at the eight DoD buying commands, including the Air Force Sustainment Center, the Air Force Life Cycle Management Center, the Naval Air Systems Command, the Naval Sea Systems Command, the Space and Naval Warfare Systems Command, and the Army Contracting Commands at Redstone, Rock Island, and Warren, provide refresher training to contracting personnel on the requirements for distributing the negotiation memorandum in accordance with Federal Acquisition Regulation 15.406-3(b), “Documenting the Negotiation.”*</p>	<p>2 years 4 months 17 days</p>
<p><b>Rec. C.2:</b> The DoD OIG recommended that the Commanders at the eight DoD buying commands, including the Air Force Sustainment Center, the Air Force Life Cycle Management Center, the Naval Air Systems Command, the Naval Sea Systems Command, the Space and Naval Warfare Systems Command, and the Army Contracting Commands at Redstone, Rock Island, and Warren, provide refresher training to contracting personnel on the requirements for filing the negotiation memorandum in accordance with Defense Federal Acquisition Regulation Supplement, Procedures, Guidance, and Information 215.406-3(a)(11), “Documenting the Negotiation.”*</p>	<p>2 years 4 months 17 days</p>

**Department of the Navy – Report No. DODIG-2019-019 (cont’d)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. C.2:</b> The DoD OIG recommended that the Commanders at the eight DoD buying commands, including the Air Force Sustainment Center, the Air Force Life Cycle Management Center, the Naval Air Systems Command, the Naval Sea Systems Command, the Space and Naval Warfare Systems Command, and the Army Contracting Commands at Redstone, Rock Island, and Warren, provide refresher training to contracting personnel on the requirements for filing the negotiation memorandum in accordance with Defense Federal Acquisition Regulation Supplement, Procedures, Guidance, and Information 215.406-3(a)(11), “Documenting the Negotiation.”*</p>	<p>2 years 4 months 17 days</p>

\* Because the DoD OIG directed this recommendation to more than one office, it counts as more than one recommendation for tracking purposes.

**Report No. DODIG-2019-038, “Follow-up of Delinquent Medical Service Account Audits,” December 19, 2018**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.3.a:</b> The DoD OIG recommended that the Surgeon General of U.S. Navy Bureau of Medicine and Surgery require Naval Medical Center Portsmouth Uniform Business Office personnel to review and process the 18,898 billable accounts, valued at \$2.4 million, and determine whether all billable accounts are included in the medical treatment facility’s daily reviews.</p>	<p>2 years 3 months 12 days</p>
<p><b>Rec. A.3.b:</b> The DoD OIG recommended that the Surgeon General of U.S. Navy Bureau of Medicine and Surgery establish standard operating procedures for processing accounts in the Armed Forces Billing and Collection Utilization Solution system when the accounts are sent to the Centralized Receivables Service and Cross Servicing Next Generation.</p>	<p>2 years 3 months 12 days</p>

**Report No. DODIG-2019-047, “Navy and Marine Corps Backup Aircraft and Depot Maintenance Float for Ground Combat and Tactical Vehicles,” January 18, 2019 (Full report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.2.b:</b> The DoD OIG recommended that the Commander of Naval Air Systems Command require the F/A-18 and T-45 program offices to implement a plan to incorporate future program changes, as necessary. The plan should include the effects of delayed replacement programs and extension of the service life on aircraft maintenance, spare parts, and aircraft inventory management during replacement aircraft acquisition planning.</p>	<p>2 years 2 months 13 days</p>
<p><b>Rec. B.1.a:</b> The DoD OIG recommended that the Deputy Chief of Naval Operations for Warfare Systems implement a communication plan to keep dependent weapon system’s divisions and program offices up to date on changes in quantity and delivery schedule.</p>	<p>2 years 2 months 13 days</p>
<p><b>Rec. B.1.b:</b> The DoD OIG recommended that the Deputy Chief of Naval Operations for Warfare Systems reassess the procurement quantity if there are any changes to the quantity of a dependent weapon system.</p>	<p>2 years 2 months 13 days</p>

# APPENDIX A

## Department of the Navy (cont'd)

Report No. DODIG-2019-063, "Followup Audit on the Military Departments' Security Safeguards Over Secret Internet Protocol Router Network Access Points," March 18, 2019 (Full Report is Classified)

(FOUO) Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. A.2.a:</b> Recommendation is Classified.	2 years 13 days
<b>Rec. A.2.c:</b> The DoD OIG recommended that the Navy Chief Information Officer direct Navy Command officials to implement processes to ensure that SECRET Internet Protocol Router Network users complete all required security training before receiving access to the network and ensure that all SECRET Internet Protocol Router Network users complete all required refresher training to maintain network access and ensure compliance with the processes.	2 years 13 days
(FOUO) <b>Rec. A.2.d:</b> The DoD OIG recommended that the Navy Chief Information Officer direct Navy Command officials to [REDACTED]	2 years 13 days
(FOUO) <b>Rec. A.2.e:</b> The DoD OIG recommended that the Navy Chief Information Officer direct Navy Command officials to [REDACTED]	2 years 13 days
(FOUO) <b>Rec. B.8:</b> The DoD OIG recommended that the [REDACTED]	2 years 13 days
(FOUO)	

Report No. DODIG-2019-066, "Summary Audit of Systemic Weaknesses in the Cost of War Reports," March 22, 2019

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 2:</b> The DoD OIG recommended that the Under Secretary of the Navy, in coordination with the Assistant Secretary of the Navy for Financial Management and Comptroller and the Deputy Commandant of the Marine Corps for Programs and Resources, develop and implement procedures to capture the required level of detail of war related overseas contingency operation costs in the respective accounting system.	2 years 9 days

## APPENDIX A

### *Department of the Navy (cont'd)*

**Report No. DODIG-2019-072, "Audit of Consolidated Afloat Networks and Enterprise Services Security Safeguards," April 8, 2019 (Full Report is Classified)**

(FOUO)	Recommendation Number and Text	Age of Recommendation on 3/31/21
	<b>Rec. 1:</b> Recommendation is Classified.	1 year 11 months 23 days
	<b>Rec. 3.a:</b> Recommendation is Classified.*	1 year 11 months 23 days
	<b>Rec. 3.a:</b> Recommendation is Classified.*	1 year 11 months 23 days
	<b>Rec. 3.d:</b> The DoD OIG recommended that the U.S. Ship <i>Abraham Lincoln</i> , U.S. Ship <i>Ronald Reagan</i> , U.S. Ship <i>Ramage</i> , and U.S. Ship <i>Russell</i> Commanding Officers, in coordination with the ships' Combat Systems Officers, review and reconcile whether all personnel assigned to each ship have completed Operations Security training and cyber awareness training, and require personnel who have not completed the training to immediately complete the annual security-related training.	1 year 11 months 23 days
(FOUO)	<b>Rec. 4:</b> The DoD OIG recommended that the [REDACTED] [REDACTED] [REDACTED] [REDACTED] [REDACTED].*	1 year 11 months 23 days
(FOUO)	<b>Rec. 4:</b> The DoD OIG recommended that the [REDACTED] [REDACTED] [REDACTED] [REDACTED] [REDACTED].*	1 year 11 months 23 days
(FOUO)	<b>Rec. 4:</b> The DoD OIG recommended that the [REDACTED] [REDACTED] [REDACTED] [REDACTED] [REDACTED].*	1 year 11 months 23 days
	<b>Rec. 6:</b> Recommendation is Classified.	1 year 11 months 23 days
(FOUO)	<b>Rec. 7:</b> The DoD OIG recommended that the [REDACTED] [REDACTED] [REDACTED] [REDACTED] [REDACTED].*	1 year 11 months 23 days

(FOUO)

# APPENDIX A

## Department of the Navy – Report No. DODIG-2019-072 (cont’d)

<b>(FOUO)</b> Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 8.a:</b> Recommendation is Classified.	1 year 11 months 23 days
<b>Rec. 8.b:</b> Recommendation is Classified.	1 year 11 months 23 days

\* Because the DoD OIG directed this recommendation to more than one office, it counts as more than one recommendation for tracking purposes.

(FOUO)

## Report No. DODIG-2019-075, “Evaluation of Military Services’ Law Enforcement Responses to Domestic Violence Incidents,” April 19, 2019

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. B.1.b:</b> The DoD OIG recommended that the Secretaries of the Army, Navy, and Air Force take prompt action to ensure that a comprehensive review of all criminal investigative databases and files is conducted to verify that all subjects of domestic violence incidents from 1998 to present are titled and indexed in the Defense Central Index of Investigation, as required by DoD Instruction 5505.07, “Titling and Indexing Subjects of Criminal Investigations in the Department of Defense,” January 27, 2012.	1 year 11 months 12 days
<b>Rec. B.1.c:</b> The DoD OIG recommended that the Secretaries of the Army, Navy, and Air Force take prompt action to ensure that subject fingerprint cards and final disposition reports are collected and submitted to the Federal Bureau of Investigations Criminal Justice Information Services Division database for all subjects that we determined were not submitted, as required by DoD Instruction 5505.11, “Fingerprint Card and Final Disposition Report Submission Requirements,” July 21, 2014, as amended.*	1 year 11 months 12 days
<b>Rec. B.1.c:</b> The DoD OIG recommended that the Secretaries of the Army, Navy, and Air Force take prompt action to ensure that subject fingerprint cards and final disposition reports are collected and submitted to the Federal Bureau of Investigations Criminal Justice Information Services Division database for all subjects that we determined were not submitted, as required by DoD Instruction 5505.11, “Fingerprint Card and Final Disposition Report Submission Requirements,” July 21, 2014, as amended.*	1 year 11 months 12 days
<b>Rec. B.1.d:</b> The DoD OIG recommended that the Secretaries of the Army, Navy, and Air Force take prompt action to ensure that DNA is collected and submitted to the Defense Forensics Science Center for submission to the Combined DNA Index System for all qualifying subjects that we determined were not submitted, as required by DoD Instruction 5505.14, “Deoxyribonucleic Acid (DNA) Collection Requirements for Criminal Investigations, Law Enforcement, Corrections, and Commanders,” December 22, 2015.	1 year 11 months 12 days

APPENDIX A

**Department of the Navy – Report No. DODIG-2019-075 (cont’d)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B.1.e:</b> The DoD OIG recommended that the Secretaries of the Army, Navy, and Air Force take prompt action to ensure that the importance of complying with DoD and supplemental Military Service policies related to law enforcement’s response to domestic violence incidents when collecting evidence, conducting interviews, notifying Family Advocacy Program staff members, and titling and indexing subjects in the Defense Central Index of Investigations is emphasized in writing to all law enforcement organizations.</p>	<p>1 year 11 months 12 days</p>
<p><b>Rec. B.1.f:</b> The DoD OIG recommended that the Secretaries of the Army, Navy, and Air Force take prompt action to ensure that law enforcement practices, equipment, and supervisory reviews are adequate to comply with DoD policies when collecting evidence, conducting interviews, notifying Family Advocacy Program staff members, and titling and indexing subjects in the Defense Central Index of Investigations.</p>	<p>1 year 11 months 12 days</p>

\* Because the DoD OIG directed this recommendation to more than one office, it counts as more than one recommendation for tracking purposes.

**Report No. DODIG-2019-084, “Evaluation of the Operations and Management of Military Cemeteries,” May 20, 2019**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B.2:</b> The DoD OIG recommended that, once the DoD issues its instruction, the Secretaries of the Army, Navy, and Air Force update the cemetery regulations accordingly.</p>	<p>1 year 10 months 11 days</p>

**Report No. DODIG-2019-091, “Evaluation of the DoD’s Management of Opioid Use Disorder for Military Health System Beneficiaries,” June 10, 2019**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.1:</b> The DoD OIG recommended that the Secretary of the Navy modify Marine Corps orders and policies, and memorandums of understanding between the Marine Corps and the Bureau of Medicine and Surgery, to be consistent with Department of Defense Instruction 1010.04, Bureau of Medicine and Surgery Instruction 6010.30, and Department of Defense Instruction 6040.45, to reflect that substance Abuse Counseling Center counselors may not independently make substance use disorder diagnoses without clinical privileges, and all substance use disorder diagnoses must be documented in the DoD Health Record.</p>	<p>1 year 9 months 21 days</p>
<p><b>Rec. A.2:</b> The DoD OIG recommended that the Secretary of the Navy modify the position descriptions for the Marine Corps Substance Abuse Counseling Centers’ directors and counselors to ensure that, with respect to diagnosis and treatment of substance use disorder cases, their authorities and duties are consistent with Department of Defense Instruction 1010.04 and Bureau of Medicine and Surgery Instruction 6010.30.</p>	<p>1 year 9 months 21 days</p>



## APPENDIX A

### Department of the Navy – Report No. DODIG-2019-091 (cont’d)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.3:</b> The DoD OIG recommended that the Secretary of the Navy review all historical records of individuals served by the Marine Corps Substance Abuse Counseling Centers and document all appropriate medical information about substance use disorder diagnosis and treatment within the DoD Health Record, consistent with Department of Defense Instruction 6040.45.</p>	<p>1 year 9 months 21 days</p>
<p><b>Rec. A.4:</b> The DoD OIG recommended that the Secretary of the Navy certify that all substance use disorder diagnoses are made by a privileged health care provider and that all diagnoses are documented in the DoD Health Record.</p>	<p>1 year 9 months 21 days</p>

### Report No. DODIG-2019-108, “Audit of the DoD’s Management of the Third Party Collection Program for Medical Claims,” September 16, 2019

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 2.a:</b> The DoD OIG recommended that the Commander of Naval Hospital Bremerton direct personnel at all medical facility clinics and clinical support activities to collect hardcopy or electronic versions of DD Form 2569, and as appropriate, take administrative action for noncompliance.</p>	<p>1 year 6 months 15 days</p>
<p><b>Rec. 2.b:</b> The DoD OIG recommended that the Commander of Naval Hospital Bremerton resolve the 7,757 encounters with patient category code errors in the Armed Forces Billing and Collection Utilization Solution system and process the claims through the applicable cost recovery program.</p>	<p>1 year 6 months 15 days</p>
<p><b>Rec. 2.c:</b> The DoD OIG recommended that the Commander of Naval Hospital Bremerton develop a plan and take action to process, and as appropriate, bill through the applicable cost recovery program, all patient encounters at Naval Hospital Bremerton that are not assigned a credentialed provider or are missing medical coding or doctor’s notes, including the 2,236 patient encounters in the Family Medicine clinic.</p>	<p>1 year 6 months 15 days</p>
<p><b>Rec. 2.d:</b> The DoD OIG recommended that the Commander of Naval Hospital Bremerton review and modify procedures for claim followup so debt can be transferred to the appropriate debt collection agency when claims become 120 days delinquent.</p>	<p>1 year 6 months 15 days</p>
<p><b>Rec. 2.e:</b> The DoD OIG recommended that the Commander of Naval Hospital Bremerton develop and implement procedures to review and validate denials before writing off claims, and implement procedures to process denials by beneficiary.</p>	<p>1 year 6 months 15 days</p>
<p><b>Rec. 2.f:</b> The DoD OIG recommended that the Commander of Naval Hospital Bremerton review all outstanding third party claims that are delinquent for more than 120 days to determine which claims are eligible for transfer to the Treasury Cross-Servicing Program or local Judge Advocate office, and transfer all eligible claims for collection assistance.</p>	<p>1 year 6 months 15 days</p>

APPENDIX A

**Department of the Navy – Report No. DODIG-2019-108 (cont’d)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 2.g:</b> The DoD OIG recommended that the Commander of Naval Hospital Bremerton provide sufficient legal support to pursue collections through the Third Party Collection Program.	1 year 6 months 15 days
<b>Rec. 3.a:</b> The DoD OIG recommended that the Commander of Naval Medical Center San Diego review and modify procedures for claim followup so debt can be transferred to the appropriate debt collection agency when claims become 120 days delinquent.	1 year 6 months 15 days
<b>Rec. 3.b:</b> The DoD OIG recommended that the Commander of Naval Medical Center San Diego review all outstanding third party claims that are delinquent for more than 120 days to determine which claims are eligible for transfer to the Treasury Cross-Servicing Program or local Judge Advocate office, and transfer all eligible claims for collection assistance.	1 year 6 months 15 days
<b>Rec. 3.c:</b> The DoD OIG recommended that the Commander of Naval Medical Center San Diego provide sufficient legal support to pursue collections through the Third Party Collection Program.	1 year 6 months 15 days

**Report No. DODIG-2019-116, “Audit of Contingency Planning for DoD Information Systems,” August 21, 2019 (Full Report is FOUO)**

<b>(FOUO)</b> Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>(FOUO) Rec. 3:</b> The DoD OIG recommended that the Secretary of the Navy, in coordination with the Navy Chief Information Officer, [REDACTED] based on the revisions made to DoD Instruction 8500.01, “Cybersecurity,” March 14, 2014, or any additional guidance provided by the DoD Chief Information Officer.	1 year 7 months 10 days
<b>(FOUO)</b>	

**Report No. DODIG-2020-003, “Audit of DoD’s Use of Additive Manufacturing for Sustainment Parts,” October 17, 2019 (Full Report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 4:</b> The DoD OIG recommended that the Under Secretary of Defense for Research and Engineering, Under Secretary of Defense for Acquisition and Sustainment, Military Service Secretaries, and the Marine Corps Commandant conduct a review to identify the appropriate funding and number of personnel to pursue benefits of additive manufacturing throughout the DoD.	1 year 5 months 14 days

## APPENDIX A

### Department of the Navy (cont'd)

Report No. DODIG-2020-006, "Evaluation of the V-22 Engine Air Particle Separator," November 7, 2019 (Full Report is FOUO)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.1.a:</b> The DoD OIG recommended that the V-22 Joint Program Office Commander conduct a review of alternatives for the Engine Air Particle Separator and V-22 engine so that the Engine Air Particle Separator adequately protects the V-22 engine in all desert environments.</p>	<p>1 year 4 months 24 days</p>
<p><b>Rec. A.1.b:</b> The DoD OIG recommended that the V-22 Joint Program Office Commander develop a plan to include a sampling of additional soils, whose compositions and concentrations are representative of those found in actual V-22 operational environments, in the testing for the Engine Air Particle Separator and engine.</p>	<p>1 year 4 months 24 days</p>

Report No. DODIG-2020-030, "Audit of Navy and Defense Logistics Agency Spare Parts for F/A-18 E/F Super Hornets," November 19, 2019 (Full Report is FOUO)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.a:</b> The DoD OIG recommended that the PMA-265 Program Manager determine the parts or supplies that are obsolete or are limited in quantity and develop and implement a plan to minimize the impact of obsolete materials, including ensuring the parts or supplies are covered by the obsolescence program.</p>	<p>1 year 4 months 12 days</p>
<p><b>Rec. 1.b:</b> The DoD OIG recommended that the PMA-265 Program Manager develop alternative contracting sources to eliminate delivery delays.</p>	<p>1 year 4 months 12 days</p>
<p><b>Rec. 1.c:</b> The DoD OIG recommended that the PMA-265 Program Manager develop and implement plans, in coordination with the organizations responsible for managing repair materials and support equipment for the Navy, to ensure the availability of those materials and support equipment needed to complete repairs.</p>	<p>1 year 4 months 12 days</p>
<p><b>Rec. 1.d:</b> The DoD OIG recommended that the PMA-265 Program Manager develop and implement a strategy to obtain technical data, to obtain access to technical data, or to mitigate the barriers when the contractor owns the data rights in order to increase the Navy's repair capability.</p>	<p>1 year 4 months 12 days</p>
<p><b>Rec. 2:</b> The DoD OIG recommended that the Naval Air Forces Commander review the Navy's cannibalization practice to determine whether aircraft maintainers are using cannibalization to avoid obtaining approval from higher level officials as required in the Navy cannibalization guidance, and determine whether the Navy should make appropriate changes to the guidance.</p>	<p>1 year 4 months 12 days</p>

**Department of the Navy (cont'd)**

**Report No. DODIG-2020-040, "Audit of Cost Increases and Schedule Delays for Military Construction Projects at Joint Region Marianas," December 11, 2019**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.5:</b> The DoD OIG recommended that the Chief of Naval Operations revise and reissue Office of the Chief of Naval Operations Instruction 11010.20H, "Navy Facilities Projects," to ensure that all Navy military construction projects, including housing projects, follow the same planning and programming process.</p>	<p>1 year 3 months 20 days</p>

**Report No. DODIG-2020-045, "Evaluation of the Military Service Capacity to Fill Combatant Command Requests for Counterintelligence Support," December 30, 2019 (Full Report is Classified)**

(FOUO) Recommendation Number and Text	Age of Recommendation on 3/31/21
<p>(FOUO) <b>Rec. 3:</b> The DoD OIG recommended that the [REDACTED]</p>	<p>1 year 3 months 1 day</p>
<p>(FOUO) <b>Rec. 4:</b> The DoD OIG recommended that the [REDACTED]</p>	<p>1 year 3 months 1 day</p>
<p>(FOUO) <b>Rec. 5:</b> The DoD OIG recommended that the [REDACTED]</p>	<p>1 year 3 months 1 day</p>
(FOUO)	

**Report No. DODIG-2020-056, "Audit of Readiness of Arleigh Burke-Class Destroyers," January 31, 2020 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.a:</b> The DoD OIG recommended that the Commander of U.S. Fleet Forces Command, in collaboration with the Commander of Naval Surface Force Atlantic, determine whether <i>Arleigh Burke</i>-class destroyers currently deployed or in the sustainment phase of the Optimized Fleet Response Plan have outstanding training deficiencies.</p>	<p>1 year 2 months</p>

# APPENDIX A

## Department of the Navy – Report No. DODIG-2020-056 (cont’d)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.b:</b> The DoD OIG recommended that the Commander of U.S. Fleet Forces Command, in collaboration with the Commander of Naval Surface Force Atlantic, direct <i>Arleigh Burke</i>-class destroyers identified under Recommendation 1.a to complete any outstanding training requirements immediately or as soon as the mission allows.</p>	<p>1 year 2 months</p>
<p><b>Rec. 2.a:</b> The DoD OIG recommended that the Commander of U.S. Pacific Fleet, in collaboration with the Commander of Naval Surface Force, U.S. Pacific Fleet, determine whether <i>Arleigh Burke</i>-class destroyers currently deployed or in the sustainment phase of the Optimized Fleet Response Plan have outstanding training deficiencies.</p>	<p>1 year 2 months</p>
<p><b>Rec. 2.b:</b> The DoD OIG recommended that the Commander of U.S. Pacific Fleet, in collaboration with the Commander of Naval Surface Force, U.S. Pacific Fleet, direct <i>Arleigh Burke</i>-class destroyers identified under Recommendation 2.a to complete any outstanding training requirements immediately or as soon as the mission allows.</p>	<p>1 year 2 months</p>

## Report No. DODIG-2020-060, “Audit of Contract Costs for Hurricane Recovery Efforts at Navy Installations,” February 12, 2020 (Full Report is FOUO)

<p>{FOUO}</p> Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.1.e:</b> The DoD OIG recommended that the Commander of Naval Facilities Engineering Command Atlantic review the task orders that Naval Facilities Engineering Command Southeast issued for Hurricanes Matthew, Harvey, Irma in North Florida, and Michael to determine whether Naval Facilities Engineering Command Southeast contracting officials awarded and administered the contracts in accordance with the Federal Acquisition Regulation and Naval Facilities Engineering Command standard operating procedures for the Global Contingency Construction contract.</p>	<p>1 year 1 month 19 days</p>
<p><b>{FOUO} Rec. A.2.b:</b> The DoD OIG recommended that the Commander of Naval Facilities Engineering Command Southeast request a refund from URS for any excess payment identified by the Defense Contract Audit Agency audit, which could include the \$ [REDACTED] million of profit incorrectly paid to the prime contractor.</p>	<p>1 year 1 month 19 days</p>
<p><b>{FOUO} Rec. B.2.b:</b> The DoD OIG recommended that the Commander of Naval Facilities Engineering Command Mid-Atlantic require the contracting officer to request a refund or a price adjustment for the excess payment identified for Recommendation B.2.a, which could include the \$ [REDACTED] million we identified [REDACTED]</p>	<p>1 year 1 month 19 days</p>

{FOUO}

APPENDIX A

**Department of the Navy – Report No. DODIG-2020-060 (cont’d)**

<b>(FOUO)</b> Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>(FOUO) Rec. B.2.e:</b> The DoD OIG recommended that the Commander of Naval Facilities Engineering Command Mid-Atlantic require the contracting officer to request a refund or a price adjustment for the excess payment identified for Recommendation B.2.d, [REDACTED]	1 year 1 month 19 days
<b>(FOUO)</b>	

**Report No. DODIG-2020-064, “Evaluation of DoD Law Enforcement Organization Submissions of Criminal History Information to the Federal Bureau of Investigation,” February 21, 2020**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 1.a:</b> The DoD OIG recommended that the Secretary of the Navy take prompt action to update the Navy Security Forces Master-at-Arms School law enforcement training to include instruction on fingerprint and final disposition report collection and submission to the Federal Bureau of Investigation Criminal Justice Information Services Division.	1 year 1 month 10 days
<b>Rec. 1.b:</b> The DoD OIG recommended that the Secretary of the Navy take prompt action to require the Navy Security Forces to establish management oversight procedures to verify fingerprints and final disposition reports were submitted to the Federal Bureau of Investigation Criminal Justice Information Services Division.	1 year 1 month 10 days
<b>Rec. 3.a:</b> The DoD OIG recommended that the Secretary of Navy take prompt action to direct the Navy Security Forces to collect and submit Deoxyribonucleic Acid samples to the U.S. Army Criminal Investigation Laboratory for entry into the Federal Bureau of Investigation Combined Deoxyribonucleic Acid Index System as required by DoD Instruction 5505.14.	1 year 1 month 10 days
<b>Rec. 3.b:</b> The DoD OIG recommended that the Secretary of Navy take prompt action to establish policy, processes, training, and management oversight procedures for Navy Security Forces personnel to collect and submit Deoxyribonucleic Acid samples to the U.S. Army Criminal Investigation Laboratory for entry into the Federal Bureau of Investigation Combined Deoxyribonucleic Acid Index System as required by DoD Instruction 5505.14.	1 year 1 month 10 days
<b>Rec. 8:</b> The DoD OIG recommended that the Secretary of the Navy revise Secretary of the Navy Instruction 5800.14A to require the DD Form 2791 be provided to the Naval Criminal Investigative Service and the U.S. Marshals Service National Sex Offender Targeting Center as required by DoD Instruction 5525.20.	1 year 1 month 10 days

# APPENDIX A

## Department of the Navy (cont'd)

Report No. DODIG-2020-066, "Audit of the Department of Defense Supply Chain Risk Management Program for Nuclear Command, Control, and Communications Systems," March 2, 2020 (Full Report is Classified)

Recommendation Number and Text	Age of Recommendation on 3/31/21
Rec. A.1.a: Recommendation is Classified.	1 year 29 days
Rec. A.1.c: Recommendation is Classified.	1 year 29 days
Rec. A.3.a.1: Recommendation is Classified.	1 year 29 days
Rec. A.3.a.2: Recommendation is Classified.	1 year 29 days
Rec. A.3.a.3: Recommendation is Classified.	1 year 29 days
Rec. A.3.b: Recommendation is Classified.	1 year 29 days

Report No. DODIG-2020-068, "Audit of Security Controls Over the Department of Defense's Global Command and Control System-Joint Information Technology System," March 18, 2020 (Full Report is Classified)

(FOUO) Recommendation Number and Text	Age of Recommendation on 3/31/21
(FOUO) Rec. 4.g: The DoD OIG recommended that the [REDACTED]	1 year 13 days
(FOUO) Rec. 4.h: The DoD OIG recommended that the [REDACTED] annually verify that the required security controls are implemented as required in the type authorization to operate and Chairman of the Joint Chiefs of Staff Instruction 6731.01C.	1 year 13 days

(FOUO)

Report No. DODIG-2020-071, "Audit of the Department of Defense's Ground Transportation and Secure Hold of Arms, Ammunition, and Explosives in the United States," March 23, 2020

Recommendation Number and Text	Age of Recommendation on 3/31/21
Rec. 2: The DoD OIG recommended that the Assistant Secretary of the Army for Acquisition, Logistics, and Technology; the Assistant Secretary of the Navy for Research, Development, and Acquisition; and the Assistant Secretary of the Air Force for Acquisition, Technology, and Logistics, in coordination with the Commander of Military Surface Deployment and Distribution Command, develop and implement training for secure hold requirements at their respective military installations and direct the base commanders with secure hold areas to implement the training with appropriate staff.	1 year 8 days

**Department of the Navy (cont'd)**

**Report No. DODIG-2020-082, "Evaluation of the DoD's Management of Health and Safety Hazards in Government-Owned and Government-Controlled Military Family Housing," April 30, 2020**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 3.a:</b> The DoD OIG recommended that the Office of the Assistant Secretary of the Navy for Energy, Installations and Environment (on behalf of the U.S. Navy and U.S. Marine Corps) update Service policies to align with revisions to DoD policy for health and safety hazard management.	11 months 1 day
<b>Rec. 3.b:</b> The DoD OIG recommended that the Office of the Assistant Secretary of the Navy for Energy, Installations and Environment (on behalf of the U.S. Navy and U.S. Marine Corps) develop oversight policies and procedures to assess the management of health and safety hazards in Government-Owned/Government-Controlled military family housing.	11 months 1 day
<b>Rec. 3.c:</b> The DoD OIG recommended that the Office of the Assistant Secretary of the Navy for Energy, Installations and Environment (on behalf of the U.S. Navy and U.S. Marine Corps) direct installation officials to correct the specific lead-based paint, asbestos-containing material, and radon health and safety hazard management deficiencies discussed in this report.	11 months 1 day

**Report No. DODIG-2020-084, "Audit of Military Department Management of Undefined Contract Actions," May 11, 2020 (Full Report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 3.a:</b> The DoD OIG recommended that the Deputy Assistant Secretary of the Navy for Procurement implement the use at Navy contracting activities of updated Defense Federal Acquisition Regulation Supplement Part 215 and DD Form 1547, "Weighted Guidelines," once it is issued, when determining profit for future Undefined Contract Actions.	10 months 20 days
<b>Rec. 3.b:</b> The DoD OIG recommended that the Deputy Assistant Secretary of the Navy for Procurement require the head of each contracting activity to establish a process by which the contracting officers who have not received a qualifying proposal in accordance with the Undefined Contract Action definitization schedule to immediately report to their Head of the Contracting Activity on why a qualifying proposal was not received, how they plan to obtain a qualifying proposal within 60 days or less, and if payments will be withheld.	10 months 20 days

**Report No. DODIG-2020-087, "Audit of Training of Mobile Medical Teams in the U.S. Indo-Pacific Command and U.S. Africa Command Areas of Responsibility," June 8, 2020**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 2:</b> The DoD OIG recommended that the Surgeons General of the Army, Navy, and Air Force issue guidance implementing the Joint Trauma Education and Training Branch's standardized training program for all mobile medical teams.	9 months 23 days



## APPENDIX A

### Department of the Navy – Report No. DODIG-2020-087 (cont'd)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 3:</b> The DoD OIG recommended that the Surgeons General of the Army, Navy, and Air Force update training curriculums at the Military medical training commands for tactical training of mobile medical teams.</p>	<p>9 months 23 days</p>
<p><b>Rec. 5:</b> The DoD OIG recommended that the Surgeons General of the Army, Navy, and Air Force, in coordination with the Command Surgeons of the U.S. Indo-Pacific Command and U.S. Africa Command, require that all mobile medical team personnel individually complete standardized post-deployment after action reports, using the Joint Trauma System Performance Improvement Branch template, before redeploying to their home station, and submit them to the Joint Lessons Learned Information System for the purposes of the Lessons Learned program.</p>	<p>9 months 23 days</p>

### Report No. DODIG-2020-091, “Audit of Contractor Employee Qualifications for Defense Health Agency-Funded Information Technology Contracts,” June 15, 2020

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 3.a:</b> The DoD OIG recommended that the Executive Director of the Naval Information Warfare Center Atlantic develop an oversight program that requires a higher-level reviewer to select a sample of key personnel approvals to ensure contracting officers are approving employees in accordance with contract requirements.</p>	<p>9 months 16 days</p>
<p><b>Rec. 3.b:</b> The DoD OIG recommended that the Executive Director of the Naval Information Warfare Center Atlantic require the appropriate contracting officers or technical experts to determine if the key personnel referenced in this report met the minimum labor qualifications specified in the contracts, and, if not, take appropriate corrective action, including replacing key personnel with qualified employees and recovering any improper payments.</p>	<p>9 months 16 days</p>
<p><b>Rec. 3.c:</b> The DoD OIG recommended that the Executive Director of the Naval Information Warfare Center Atlantic develop policy for information technology service contracts to require contracting officers to include a requirement in the quality assurance surveillance plan to revalidate all key personnel annually to determine whether the contractors meet the labor categories specified in the contract.</p>	<p>9 months 16 days</p>
<p><b>Rec. 3.d:</b> The DoD OIG recommended that the Executive Director of the Naval Information Warfare Center Atlantic develop policy that requires their contracting officers to maintain documentation in the contract files that demonstrates their review and approval of initial and replacement contractor employees in key personnel positions.</p>	<p>9 months 16 days</p>
<p><b>Rec. 3.e:</b> The DoD OIG recommended that the Executive Director of the Naval Information Warfare Center Atlantic require the appropriate contracting officers or technical experts to determine if the non-key personnel referenced in this report met the minimum labor qualifications specified in the contracts, and, if not, take appropriate corrective action, including recovering improper payments.</p>	<p>9 months 16 days</p>

**Department of the Navy – Report No. DODIG-2020-091 (cont’d)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 3.f:</b> The DoD OIG recommended that the Executive Director of the Naval Information Warfare Center Atlantic develop policy for information technology service contracts to require contracting officers to include a requirement in the quality assurance surveillance plan to review a sample of non-key personnel quarterly to determine whether the contractor personnel meet the labor categories specified in the contract.</p>	<p>9 months 16 days</p>
<p><b>Rec. 3.g:</b> The DoD OIG recommended that the Executive Director of the Naval Information Warfare Center Atlantic reiterate to contracting officers that labor categories and minimum labor requirements should be avoided in the contracts or performance work statements unless the information technology service cannot be provided without them.</p>	<p>9 months 16 days</p>
<p><b>Rec. 3.h:</b> The DoD OIG recommended that the Executive Director of the Naval Information Warfare Center Atlantic report all improper payments to the Office of the Under Secretary of Defense (Comptroller)/Chief Financial Officer.</p>	<p>9 months 16 days</p>

**Report No. DODIG-2020-093, “Audit of the Department of Defense’s Processes to Identify and Clear Munitions and Explosives of Concern During Construction on Guam,” June 16, 2020**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 2:</b> The DoD OIG recommended that the Chief of Naval Operations determine if a more efficient process exists to approve deviation requests from installation commanders in a timely manner to reduce further schedule delays and associated cost increases for military construction projects. If a more efficient process exists, the Chief should implement that process throughout the Navy.</p>	<p>9 months 15 days</p>
<p><b>Rec. 3.b:</b> The DoD OIG recommended that the Commander of the Naval Facilities Engineering Command conduct a study to determine the amount of equipment necessary for quality assurance personnel to perform adequate oversight over munitions and explosives of concern clearance activities and identify a solution to obtain the necessary equipment the study deems necessary to reduce contract delays related to oversight.</p>	<p>9 months 15 days</p>
<p><b>Rec. 3.c:</b> The DoD OIG recommended that the Commander of the Naval Facilities Engineering Command conduct a study to examine potential alternative funding sources for performing munitions and explosives of concern clearance and related quality assurance to determine whether a more accurate and equitable method is available to meet the mission as it relates to military construction on Guam.</p>	<p>9 months 15 days</p>
<p><b>Rec. 5.b:</b> The DoD OIG recommended the Joint Region Marianas Commander develop a plan to ensure tools based on historical and current data to assist in making decisions about the likelihood of encountering munitions and explosives of concern during military construction projects are adequately resourced.</p>	<p>9 months 15 days</p>

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### Department of the Navy – Report No. DODIG-2020-093 (cont’d)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 5.c:</b> The DoD OIG recommended the Commander Joint Region Marianas develop and implement corrective actions to address any open deficiencies identified in Naval Ordnance Safety and Security Activity technical assist visit reports.</p>	<p>9 months 15 days</p>
<p><b>Rec. 5.d:</b> The DoD OIG recommended the Commander, Joint Region Marianas develop standard operating procedures to ensure that deviation requests are processed consistently, through the proper channels, and meet the justification criteria for submitting a deviation request.</p>	<p>9 months 15 days</p>
<p><b>Rec. 5.e:</b> The DoD OIG recommended the Commander, Joint Region Marianas implement long-term construction schedule plans, work with contracting officials to ensure that contracts consider potential delays in the original award, and develop deviation requests for managing exclusion zones to minimize delays resulting from the impacts of munitions and explosives of concern clearance on construction projects in overlapping exclusion zones.</p>	<p>9 months 15 days</p>
<p><b>Rec. 5.f:</b> The DoD OIG recommended the Commander, Joint Region Marianas issue policy to establish the roles, authorities, and duties of the personnel involved with the military construction and munitions and explosives of concern clearance processes to clarify procedures for communication and notification requirements during the completion of military construction project in accordance with munitions and explosives of concern clearance standards.</p>	<p>9 months 15 days</p>

### Report No. DODIG-2020-095, “Audit of Purchases of Ammonium Perchlorate Through Subcontracts With a Single Department of Defense-Approved Domestic Supplier,” July 9, 2020 (Full Report is CUI)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 3:</b> The DoD OIG recommended that the Naval Sea Systems Command Commander require all contracting officers who negotiate a prime production contract for weapon systems involving American Pacific Corporation subcontracts that provide Ammonium Perchlorate, Grade 1 (AP1) under Government prime contracts to request uncertified cost data and perform a cost analysis of AP1 subcontract price unless adequate pricing information is available to establish that the price for AP1 included in the prime contractor’s proposal is fair and reasonable.</p>	<p>8 months 22 days</p>
<p><b>Rec. 4:</b> The DoD OIG recommended that the Navy Strategic Systems Program Director require all contracting officers who negotiate a prime production contract for weapon systems involving American Pacific Corporation subcontracts that provide Ammonium Perchlorate, Grade 1 (AP1) under Government prime contracts to request uncertified cost data and perform a cost analysis of AP1 subcontract price unless adequate pricing information is available to establish that the price for AP1 included in the prime contractor’s proposal is fair and reasonable.</p>	<p>8 months 22 days</p>

**Department of the Navy (cont'd)**

**Report No. DODIG-2020-098, "Audit of Governance and Protection of Department of Defense Artificial Intelligence Data and Technology," June 29, 2020 (Full Report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B.1.a:</b> The DoD OIG recommended that the Chief Information Officers for the Army, Marine Corps, Navy, and Air Force develop and implement a plan to correct the weaknesses identified at facilities that manage artificial intelligence projects related to enforcing the use of multifactor authentication and strong passwords, when necessary, to reduce the risk of disclosing sensitive DoD information.</p>	<p>9 months 2 days</p>
<p><b>Rec. B.1.b:</b> The DoD OIG recommended that the Chief Information Officers for the Army, Marine Corps, Navy, and Air Force develop and implement a plan to correct the weaknesses identified at facilities that manage artificial intelligence projects related to regularly monitoring networks and systems to identify unusual user and system activity.</p>	<p>9 months 2 days</p>
<p><b>Rec. B.1.c:</b> The DoD OIG recommended that the Chief Information Officers for the Army, Marine Corps, Navy, and Air Force develop and implement a plan to correct the weaknesses identified at facilities that manage artificial intelligence projects related to configuring all systems to lock automatically after 15 minutes of inactivity.</p>	<p>9 months 2 days</p>
<p><b>Rec. B.1.e:</b> The DoD OIG recommended that the Chief Information Officers for the Army, Marine Corps, Navy, and Air Force develop and implement a plan to correct the weaknesses identified at facilities that manage artificial intelligence projects related to securing data centers, server racks, and associated keys.</p>	<p>9 months 2 days</p>

**Report No. DODIG-2020-101, "Naval Ordnance Data Classification Issues Identified During the Oversight of the U.S. Navy General Fund Financial Statement Audit for FY 2020," July 2, 2020 (Full Report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1:</b> The DoD OIG recommended that the Naval Supply Systems Command-Navy Ammunition Logistics Command (NAVSUP-NALC) and Deputy Chief of Naval Operations for Fleet Readiness and Logistics (OPNAV N4) officials review the security classification guides for all ordnance in ordnance information systems to ensure that the information is marked at the correct classification. NAVSUP-NALC and OPNAV N4 officials should also coordinate with Marine Corps officials to ensure that the handling of ordnance information is consistent throughout the Department of the Navy.</p>	<p>8 months 29 days</p>

## APPENDIX A

### Department of the Navy (cont'd)

**Report No. DODIG-2020-106, "Evaluation of Security Controls for Intelligence, Surveillance, and Reconnaissance Supply Chains," July 22, 2020 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 2:</b> Recommendation is Classified.	8 months 9 days

**Report No. DODIG-2020-113, "Followup Audit on Recommendations to Correct Building Deficiencies at the Naval Station Great Lakes Fire Station," August 13, 2020**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 1:</b> The DoD OIG recommended that the Commander, Navy Region Mid-Atlantic, and Commanding Officer, Naval Station Great Lakes, in coordination with the Public Works Officer, Public Works Department Great Lakes, Naval Facilities Engineering Command, Mid-Atlantic, assess and correct the deficiencies identified in this report to ensure compliance with current Unified Facilities Criteria and National Fire Protection Association requirements.	7 months 18 days
<b>Rec. 4:</b> The DoD OIG recommended that the Public Works Officer, Public Works Department Great Lakes, Naval Facilities Engineering Command, Mid-Atlantic, in coordination with the Director, Facilities Management Division, Public Works Department, Naval Facilities Engineering Command, Mid-Atlantic, develop and implement a building monitor training program for Naval Station Great Lakes in accordance with Commander, Navy Region Mid-Atlantic Instruction 11000.2A.	7 months 18 days
<b>Rec. 5.a:</b> The DoD OIG recommended that the Commander, Navy Region Mid-Atlantic, in coordination with the Public Works Officer, Public Works Department Great Lakes, Naval Facilities Engineering Command, Mid-Atlantic, inspect building 2801 for noncompliance with current Unified Facilities Criteria 4-730-10 and incorporate corrective actions into the planned renovation project for building 2801.	7 months 18 days
<b>Rec. 5.b:</b> The DoD OIG recommended that the Commander, Navy Region Mid-Atlantic, in coordination with the Public Works Officer, Public Works Department Great Lakes, Naval Facilities Engineering Command, Mid-Atlantic, inspect building 2801 for noncompliance with current National Fire Protection Association requirements and take corrective actions.	7 months 18 days

**Department of the Navy (cont'd)**

**Report No. DODIG-2020-119, "Followup Evaluation of DODIG-2014-083, Insufficient Infrastructure Support to the Fixed Submarine Broadcast System," August 21, 2020 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 2:</b> The DoD OIG recommended that the Deputy Chief of Naval Operations for Shore Readiness integrate nuclear command and control requirements from the Chairman of the Joint Chiefs of Staff Instructions 6810.01 and 6811.01 into the mission area assessment process performed by the Navy at naval nuclear command and control facilities.</p>	<p>7 months 10 days</p>
<p><b>Rec. 3.a:</b> The DoD OIG recommended that the Commander of U.S. Fleet Cyber Command develop Mission Essential Tasks for the Fixed Submarine Broadcast System sites that are focused on the ability to broadcast command and control orders to the submarine fleet. These Mission Essential Tasks should be developed and used as Defense Readiness Reporting System sites to report individually real-time site capacities and site readiness through the Defense Readiness Reporting System as required in DoD Directive 7730.65.</p>	<p>7 months 10 days</p>
<p><b>Rec. 3.b:</b> The DoD OIG recommended that the Commander of U.S. Fleet Cyber Command develop Defense Readiness Reporting System guidelines, in coordination with U.S. Strategic Command, to ensure the Mission Essential Tasks and Defense Readiness Reporting System guidelines accurately report the ability of Fixed Submarine Broadcast System sites to support the broadcasting of nuclear command and control orders to submarines assigned to U.S. Strategic Command Global Citadel Operational Plan.</p>	<p>7 months 10 days</p>
<p><b>Rec. 4:</b> The DoD OIG recommended that the Commander of Naval Information Warfare Systems Command conduct a review of the Low-Band Universal Communications System upgrade to the Fixed Submarine Broadcast System transmitters and report to the Chairman of the Joint Chiefs of Staff any shortfalls and a plan to mitigate the lack of dual path connectivity required by Joint Chiefs of Staff Instructions 6810.01 and 6811.01.</p>	<p>7 months 10 days</p>
<p><b>Rec. 5:</b> The DoD OIG recommended that the Commander of Naval Information Warfare Systems Command update the Fleet Readiness Certification Board Handbook to include the Technical Warrant Holder for nuclear command, control, and communications high-voltage and power systems engineering as a review team member.</p>	<p>7 months 10 days</p>

# APPENDIX A

## Department of the Navy (cont'd)

Report No. DODIG-2020-122, "Audit of the Supply Chain Risk Management for the Navy's Nuclear Weapons Delivery System," September 1, 2020 (Full Report is Classified)

<del>(CUI)</del> Recommendation Number and Text	Age of Recommendation on 3/31/21
<del>(CUI)</del> Rec. 2: The DoD OIG recommended that the [REDACTED]	6 months 30 days
<del>(CUI)</del> Rec. 3.a: The DoD OIG recommended that the Director for the Navy Strategic Systems Programs [REDACTED]	6 months 30 days
<del>(CUI)</del> Rec. 3.b: The DoD OIG recommended that the Director for the Navy Strategic Systems Programs [REDACTED]	6 months 30 days
Rec. 3.c: Recommendation is Classified.	6 months 30 days
<del>(CUI)</del> Rec. 3.d: The DoD OIG recommended that the Director for the Navy Strategic Systems Programs [REDACTED]	6 months 30 days

~~(CUI)~~

Report No. DODIG-2020-127, "Evaluation of the Department of Defense and Department of Defense Education Activity Responses to Incidents of Serious Juvenile-on-Juvenile Misconduct on Military Installations," September 4, 2020

Recommendation Number and Text	Age of Recommendation on 3/31/21
Rec. B.2: The DoD OIG recommended that the Secretaries of the Army, Navy, and Air Force update Military Law Enforcement Organization and Military Criminal Investigative Organization policies to require personnel to document in all investigative case files all notifications to civilian legal authorities and installation commanders, and, when possible, the legal and administrative actions taken.	6 months 27 days

**Department of the Navy (cont'd)**

**Report No. DODIG-2021-049, "Evaluation of the Navy's Plans and Response to the Coronavirus Disease-2019 Onboard Navy Warships and Submarines," February 4, 2021 (Full Report is CUI)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1:</b> The DoD OIG recommended that the Deputy Chief of Naval Operations for Operations, Plans, and Strategy and the Surgeon General of the Navy review and update Office of the Chief of Naval Operations Instruction 3500.41A "Pandemic Influenza and Infectious Disease Policy" November 19, 2018, and Navy Technical Reference Publication 4-02.10 "Shipboard Quarantine and Isolation," September 2014, to include guidance and lessons learned from Coronavirus Disease-2019.</p>	<p>1 month 27 days</p>
<p><b>Rec. 3:</b> The DoD OIG recommended that the Deputy Chief of Naval Operations for Operations, Plans, and Strategy develop a plan of action and milestones for Navy component commands to conduct biennial Pandemic Influenza and Infectious Disease exercises, in accordance with Office of the Chief of Naval Operations Instruction 3500.41A, "Pandemic Influenza and Infectious Disease Policy," November 19, 2018.</p>	<p>1 month 27 days</p>

**Report No. DODIG-2021-063, "Audit of Host Nation Logistical Support in the U.S. European Command," March 23, 2021 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 2.a:</b> The DoD OIG recommended that the U.S. Naval Forces Europe Commander identify remaining host nation support requirements for the additional host nations that U.S. Naval Forces Europe needs to execute Operation Plan 4020-19 through the U.S. European Command's Support Access Working Group.</p>	<p>8 days</p>
<p><b>Rec. 2.b:</b> The DoD OIG recommended that the U.S. Naval Forces Europe Commander provide the remaining host nation support requirements to the Director of Logistics of the U.S. European Command through the U.S. European Command's Support Access Working Group.</p>	<p>8 days</p>

**Report No. DODIG-2021-064, "Audit of Maintaining Cybersecurity in the Coronavirus Disease-2019 Telework Environment," March 29, 2021 (Full Report is CUI)**

<p>(CUI)</p> <p>Recommendation Number and Text</p>	Age of Recommendation on 3/31/21
<p><del>(CUI)</del> <b>Rec. 4:</b> The DoD OIG recommended that the Commander, U.S. Fleet Cyber Command reconsider his decision to [REDACTED], and [REDACTED] in accordance with Navy and the Defense Information Systems Agency policies.</p>	<p>2 days</p>
<p>(CUI)</p>	



# APPENDIX A

**Department of the Navy – Report No. DODIG-2021-064 (cont’d)**

<b>(CUI)</b> Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>(CUI) Rec. 5:</b> The DoD OIG recommended that the Navy Chief Information Officer direct the Commander, U.S. Fleet Cyber Command to identify mitigating efforts for preventing malicious cyber actors from exploiting inactive user accounts older than [REDACTED].	2 days
<b>(CUI)</b>	

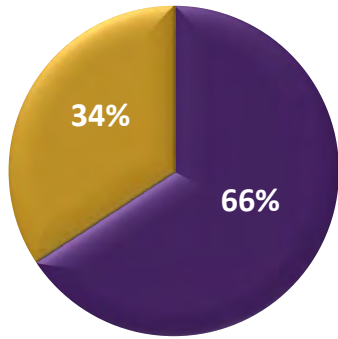
**Report No. DODIG-2021-069, “Audit of the Impact of Coronavirus Disease–2019 on Basic Training,” March 31, 2021 (Full Report is CUI)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 4:</b> The DoD OIG recommended that the Commanders of the Marine Corps Training and Education Command; Naval Education and Training Command; Naval Service Training Command; and Air Education and Training Command develop procedures to ensure compliance with the use of cleaning supplies necessary for basic training.	1 day
<b>Rec. 5:</b> The DoD OIG recommended that the Commanders of the Naval Education and Training Command; Naval Service Training Command; and Air Education and Training Command assess manpower requirements for training personnel to ensure compliance with COVID-19 procedures required by DoD guidance and take appropriate action based on that assessment.	1 day

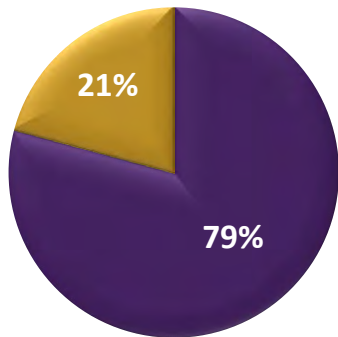


**Statistics – U.S. Marine Corps**

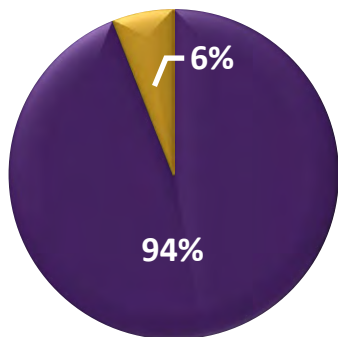
**Recommendations from 2018 Compendium**



**Recommendations from 2019 Compendium**

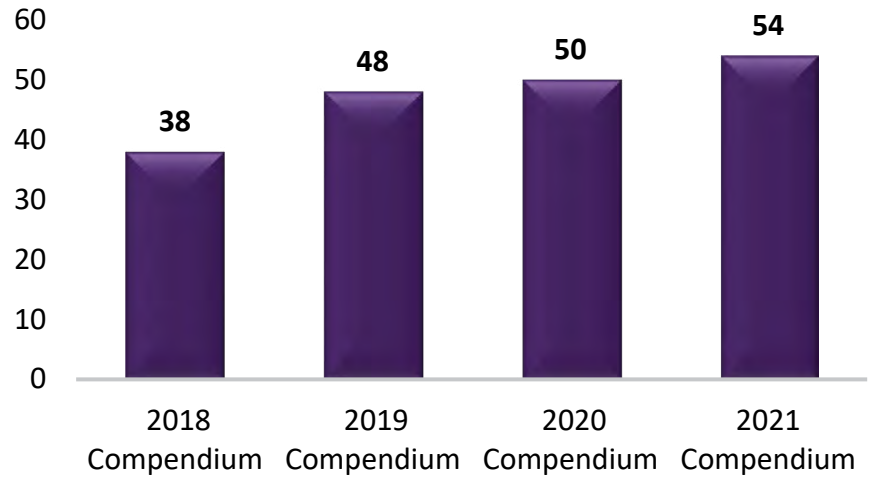


**Recommendations from 2020 Compendium**



Percentage remaining open as of 3/31/2021  
 Percentage closed as of 3/31/2021

**Open Recommendations**



Number of Unresolved Recommendations	2
Number of Recommendations Open Longer than 5 Years	12
Potential Monetary Benefits	\$110 million

## APPENDIX A

### U.S. Marine Corps

**Report No. D-2011-060, “Marine Corps Inventory of Small Arms Was Generally Accurate but Improvements Are Needed for Related Guidance and Training,” April 22, 2011**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 2.a:</b> The DoD OIG recommended that the Deputy Commandant, Plans, Policies, and Operations, update the small arms accountability guidance in Marine Corps Order 5530.14A consistent with Marine Corps Bulletin 4440 and the updates to Marine Corps Order 8300.1C.	9 years 11 months 9 days

**Report No. DODIG-2014-100, “Assessment of DoD Wounded Warrior Matters: Selection and Training of Warrior Transition Unit and Wounded Warrior Battalion Leaders and Cadre,” August 28, 2014**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 2.b:</b> The DoD OIG recommended that the Deputy Commandant for Manpower and Reserve Affairs revalidate whether the manning precedence level category of Wounded Warrior Battalion-East and Wounded Warrior Battalion-West should be changed in the Commandant of the Marine Corps Precedence Levels for Manning and Staffing.	6 years 7 months 3 days
<b>Rec. 2.d:</b> The DoD OIG recommended that the Deputy Commandant for Manpower and Reserve Affairs develop policy and procedures to extend the standard length of Wounded Warrior Battalion Reserve Individual Mobilization Augmentee assignments to 2 years to ensure greater stability in force structure, staff continuity, and to sustain the mission.	6 years 7 months 3 days
<b>Rec. 3.a:</b> The DoD OIG recommended that the Deputy Commandant for Manpower and Reserve Affairs establish a standard formalized screening, selection, and assignment process for Enlisted Active Component Marines filling Wounded Warrior Battalion positions similar to the process currently used for Reserve Individual Mobilization augmentee Marines.	6 years 7 months 3 days
<b>Rec. 3.b:</b> The DoD OIG recommended that the Deputy Commandant for Manpower and Reserve Affairs establish a standard review process whereby regiment and battalion leaders can interview potential Enlisted Active Component U.S. Marine Corps Wounded Warrior Battalion candidates to ensure they are the “best fit” and most qualified to better serve the Marines in the Wounded Warrior Battalions.	6 years 7 months 3 days

**Report No. DODIG-2015-016, “Department of Defense Suicide Event Report Data Quality Assessment,” November 14, 2014**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 2.b:</b> The DoD OIG recommended that the Chiefs of the Military Services update their policies to incorporate DoD guidance requiring suicide event boards to establish a multidisciplinary approach for obtaining the data necessary to make comprehensive DoD Suicide Event Report submissions.	6 years 4 months 17 days

**U.S. Marine Corps – Report No. DODIG-2015-016 (cont’d)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 3.d:</b> The DoD OIG recommended that the Chiefs of the Military Services update guidance to:</p> <ol style="list-style-type: none"> <li>1. identify subject matter experts to provide Department of Defense Suicide Event Report tech support to address questions, and</li> <li>2. adapt and implement the proposed standard operating procedure/guidelines for the Department of Defense Suicide Event Report submission process to help Department of Defense Suicide Event Report submitters understand the various sources of information (for example, military law enforcement and medical) needed to submit a complete Department of Defense Suicide Event Report.</li> </ol>	<p>6 years 4 months 17 days</p>
<p><b>Rec. 4.e:</b> The DoD OIG recommended that the Chiefs of the Military Services update policies to integrate Department of Defense Suicide Event Report data collection and submission practices into their Service suicide prevention lessons learned processes.</p>	<p>6 years 4 months 17 days</p>

**Report No. DODIG-2015-143, “Patriot Express Program Could Be More Cost-Effective for Overseas Permanent Change of Station and Temporary Duty Travel,” July 6, 2015**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 5:</b> The DoD OIG recommended that the Marine Corps Logistics Plans, Policy, and Strategic Mobility Director, in coordination with the Commander of U.S. Transportation Command perform a review to determine the primary reasons why passengers do not show up for, or cancel, booked Patriot Express flights and implement any necessary changes to the program, such as developing cancellation guidelines, to minimize the burden of no-show passengers.</p>	<p>5 years 8 months 25 days</p>

**Report No. DODIG-2015-159, “Followup Audit: More Improvements Needed for the Development of Wounded Warrior Battalion-East Marines’ Recovery Plans,” August 7, 2015**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 2.d:</b> The DoD OIG recommended that the Director of the Marine Corps Regional Contracting Office-National Capital Region initiate a performance review of the Wounded Warrior Regiment contracting officer(s) for the Recovery Care Coordinator contract to determine whether administrative actions are warranted.</p>	<p>5 years 7 months 24 days</p>

## APPENDIX A

### U.S. Marine Corps (cont'd)

**Report No. DODIG-2016-026, "Combat Mission Teams and Cyber Protection Teams Lacked Adequate Capabilities and Facilities to Perform Missions," November 24, 2015 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1:</b> The DoD OIG recommended that the Commander of U.S. Cyber Command, the Chiefs of Staff for the U.S. Army and U.S. Air Force, the Chief of Naval Operations, and the Commandant of the Marine Corps develop a doctrine, organization, training, materiel, leadership and education, personnel, facilities, and policy framework that addresses strategies to build, grow, and sustain the Cyber Mission Force.</p>	5 years 4 months 7 days
<p><b>Rec. 2:</b> The DoD OIG recommended that the Commander of U.S. Cyber Command, the Chiefs of Staff for the U.S. Army and the U.S. Air Force, the Chief of Naval Operations, and the Commandant of the Marine Corps formalize an agreement to focus capability development on functional and mission areas consistent with results of the mission alignment board.</p>	5 years 4 months 7 days

**Report No. DODIG-2018-035, "Evaluation of Fingerprint Card and Final Disposition Report Submissions by Military Service Law Enforcement Organizations," December 4, 2017**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. G.1.a:</b> The DoD OIG recommended that the Secretary of the Navy and Commandant of the Marine Corps take prompt action to submit to the Federal Bureau of Investigation Criminal Justice Information Service the 37 fingerprint cards and 46 final disposition reports of the Marine Corps that are not on file in the Federal Bureau of Investigation Next Generation Identification database.</p>	3 years 3 months 27 days
<p><b>Rec. G.1.b:</b> The DoD OIG recommended that the Secretary of the Navy and Commandant of the Marine Corps immediately and comprehensively review all Marine Corps criminal investigative databases and files to ensure that all fingerprint cards and final disposition reports for anyone investigated for, or convicted of, qualifying offenses before 1998 have been reported to the Federal Bureau of Investigation Criminal Justice Information Services in compliance with DoD and Federal Bureau Investigation requirements.</p>	3 years 3 months 27 days
<p><b>Rec. G.1.c:</b> The DoD OIG recommended that the Secretary of the Navy and Commandant of the Marine Corps take prompt action to ensure that Marine Corps command, supervisory, and management oversight controls verify compliance with fingerprint card and final disposition report submission requirements and ensure such compliance is included as a special interest item in Inspector General inspections and is conducted.</p>	3 years 3 months 27 days
<p><b>Rec. G.1.d:</b> The DoD OIG recommended that the Secretary of the Navy and Commandant of the Marine Corps take prompt action to comprehensively review Marine Corps criminal history reporting programs to ensure that all fingerprinting and final disposition report submission policy, training, and processes are consistent with DoD Instruction 5505.11, and have been implemented.</p>	3 years 3 months 27 days

**U.S. Marine Corps – Report No. DODIG-2018-035 (cont’d)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. G.1.e:</b> The DoD OIG recommended that the Secretary of the Navy and Commandant of the Marine Corps take prompt action to ensure that other required investigative and criminal history information, such as criminal incident data and Deoxyribonucleic Acid (DNA) samples, has been submitted for inclusion in Federal Bureau of Investigation databases.</p>	<p>3 years 3 months 27 days</p>

**Report No. DODIG-2018-063, “Navy and Marine Corps Management of Relocatable Buildings,”  
January 29, 2018**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.4.a:</b> The DoD OIG recommended that the Directorate of Public Works Chief, Marine Corps Base Camp Pendleton, apply for approval of relocatable buildings that initially were never submitted for approval.</p>	<p>3 years 2 months 2 days</p>
<p><b>Rec. A.4.b:</b> The DoD OIG recommended that the Directorate of Public Works Chief, Marine Corps Base Camp Pendleton, establish exit strategies for relocatable buildings that do not have one.</p>	<p>3 years 2 months 2 days</p>
<p><b>Rec. A.4.c:</b> The DoD OIG recommended that the Directorate of Public Works Chief, Marine Corps Base Camp Pendleton, request extensions for relocatable buildings that are past the established expiration date and still needed or terminate the use of the relocatable buildings that are no longer needed.</p>	<p>3 years 2 months 2 days</p>
<p><b>Rec. A.5.a:</b> The DoD OIG recommended that the Directorate of Public Works Chief, Marine Corps Base Camp Lejeune, apply for approval of relocatable buildings that initially were never submitted for approval.</p>	<p>3 years 2 months 2 days</p>
<p><b>Rec. A.5.b:</b> The DoD OIG recommended that the Directorate of Public Works Chief, Marine Corps Base Camp Lejeune, develop procedures to ensure that personnel are performing the required lease-versus-buy analysis before extending existing leases or obtaining additional relocatable buildings.</p>	<p>3 years 2 months 2 days</p>
<p><b>Rec. B.3.a:</b> The DoD OIG recommended that the Commandant of the Marine Corps revise Marine Corps Order 11000.12, Appendix G, and the Marine Corps Headquarters GF-6 Real Estate and Real Property Accountability Handbook to reflect updates made to Department of Defense Instruction 4165.56 and train Department of Public Works personnel on the proper classification of relocatable buildings.</p>	<p>3 years 2 months 2 days</p>
<p><b>Rec. B.3.b:</b> The DoD OIG recommended that the Commandant of the Marine Corps develop procedures to ensure that Department of Public Works personnel properly apply the interim facility requirement when classifying relocatable buildings as required by Department of Defense Instruction 4165.56.</p>	<p>3 years 2 months 2 days</p>
<p><b>Rec. B.3.c:</b> The DoD OIG recommended that the Commandant of the Marine Corps revise guidance to separate non-relocatable buildings from properly classified relocatable buildings within the Internet Navy Facility Assets Data Store system for tracking all facilities if fire and emergency services are needed.</p>	<p>3 years 2 months 2 days</p>

## APPENDIX A

### U.S. Marine Corps (cont'd)

#### Report No. DODIG-2018-117, "Department of the Navy Qualified Recycling Programs," May 10, 2018

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 2:</b> The DoD OIG recommended that the Commander of Navy Installations Command for Facility Services and the Commander of Marine Corps Installations Command improve the documentation of the sale of recycled materials. Specifically, Commander, Navy Installations Command Instruction 7300.1A and the U.S. Marine Corps Qualified Recycling Program Guidance, Version 2.x. should include a requirement for the qualified recycling program managers to document the list of bidders, response from the bidders, winning bids for recycling material, contract or sales agreement; weight tickets of the materials sold; and market price or other agreed-upon sale price.</p>	<p>2 years 10 months 21 days</p>

#### Report No. DODIG-2018-129, "Department of the Navy Civilian Pay Budget Process," June 20, 2018

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B.1:</b> The DoD OIG recommended that the Deputy Commandant of the Marine Corps, Programs and Resources, determine budgeted civilian pay funding levels using full-time equivalents calculated based on projected hours to be worked, as required by Office of Management and Budget Circular No. A-11.</p>	<p>2 years 9 months 11 days</p>

#### Report No. DODIG-2018-141, "United States Marine Corps Aviation Squadron Aircraft Readiness Reporting," August 8, 2018

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1:</b> The DoD OIG recommended that the Deputy Commandant for Aviation, Headquarters, Marine Corps, require all reporting units and organizations use the Optimized Organizational Maintenance Activity system as the sole source for reporting aircraft readiness.</p>	<p>2 years 7 months 23 days</p>
<p><b>Rec. 2.a:</b> The DoD OIG recommended that the Deputy Commandant for Plans, Policies, and Operations, in coordination with the Deputy Commandant for Aviation revise the Marine Corps Order 3000.13A to include a clear definition of present state, and clarify how the number of mission-capable aircraft should be reported in the mission essential task assessment and how a mission essential task should be properly reported as resourced.</p>	<p>2 years 7 months 23 days</p>
<p><b>Rec. 2.b:</b> The DoD OIG recommended that the Deputy Commandant for Plans, Policies, and Operations, in coordination with the Deputy Commandant for Aviation implement training on reporting readiness in accordance with the revised Marine Corps Order 3000.13A for reporting units and organizations.</p>	<p>2 years 7 months 23 days</p>
<p><b>Rec. 2.c:</b> The DoD OIG recommended that the Deputy Commandant for Plans, Policies, and Operations, in coordination with the Deputy Commandant for Aviation develop and implement procedures, in accordance with the revised Marine Corps Order 3000.13A, to ensure that intermediate commands verify the completeness and accuracy of their subordinate units' readiness reports.</p>	<p>2 years 7 months 23 days</p>

**U.S. Marine Corps (cont'd)**

**Report No. DODIG-2018-152, "Management of Prepositioned Stock in U.S. European Command,"  
September 17, 2018**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec 3.b:</b> The DoD OIG recommended that the Deputy Commandant for U.S. Marine Corps Installations and Logistics, in conjunction with the Commander of Blount Island Command, update U.S. Marine Corps Technical Manual 4790-14/1G, "Logistics Support for Marine Corps Prepositioning Program-Norway (MCPN)," June 28, 2013, and the local bilateral agreement to include a requirement for the Norwegian Defense Logistics Organization to monitor and control the humidity levels within the caves where equipment is stored.</p>	<p>2 years 6 months 14 days</p>
<p><b>Rec 3.c:</b> The DoD OIG recommended that the Deputy Commandant for U.S. Marine Corps Installations and Logistics, in conjunction with the Commander of Blount Island Command, develop maintenance requirements for weapons stored in Level A packaging.</p>	<p>2 years 6 months 14 days</p>
<p><b>Rec 3.d:</b> The DoD OIG recommended that the Deputy Commandant for U.S. Marine Corps Installations and Logistics, in conjunction with the Commander of Blount Island Command, develop standard operating procedures for recording and documenting completed weapons and vehicle maintenance within Global Combat Support System-Marine Corps.</p>	<p>2 years 6 months 14 days</p>
<p><b>Rec 3.e:</b> The DoD OIG recommended that the Deputy Commandant for U.S. Marine Corps Installations and Logistics, in conjunction with the Commander of Blount Island Command, develop an automated process for monitoring completed maintenance cycles and include a requirement for the Norwegian Defense Logistics Organization to utilize the new process in the local bilateral agreement.</p>	<p>2 years 6 months 14 days</p>

**Report No. DODIG-2019-004, "DoD Oversight of Bilateral Agreements With the Republic of the Philippines,"  
November 2, 2018**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec 3.a:</b> The DoD OIG recommended that the Commander of Marine Corps Forces, Pacific, designate an Acquisition and Cross-Servicing Agreement Finance Program Manager and ensure that the individual completes the Joint Knowledge Online-Training that will provide access and the basic instruction for the Acquisition and Cross-Servicing Agreement Finance Program Manager to build, track, and manage transactions in the Acquisition and Cross-Servicing Agreement Global Automated Tracking and Reporting System.</p>	<p>2 years 4 months 29 days</p>



## APPENDIX A

### *U.S. Marine Corps – Report No. DODIG-2019-004 (cont’d)*

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec 3.b:</b> The DoD OIG recommended that the Commander of Marine Corps Forces, Pacific, input and track all Acquisition and Cross-Servicing Agreement transactions from October 1, 2016, to present, and all future transactions, including the 15 line items the United States Indo-Pacific Command identified, in the Acquisition and Cross-Servicing Agreement Global Automated Tracking and Reporting System.</p>	<p>2 years 4 months 29 days</p>

### **Report No. DODIG-2019-047, “Navy and Marine Corps Backup Aircraft and Depot Maintenance Float for Ground Combat and Tactical Vehicles,” January 18, 2019 (Full Report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. C.1:</b> The DoD OIG recommended that the Marine Corps Installations and Logistics Deputy Commandant require Installations and Logistics officials to initiate and complete depot maintenance float allowance annual reviews and approve all depot maintenance float allowance authorization changes according to Marine Corps Order 5311.1E.</p>	<p>2 years 2 months 13 days</p>

### **Report No. DODIG-2019-075, “Evaluation of Military Services’ Law Enforcement Responses to Domestic Violence Incidents,” April 19, 2019**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B.1.a:</b> The DoD OIG recommended that the Secretaries of the Army, Navy, and Air Force take prompt action to ensure that all subjects that we determined were not properly titled and indexed in the Defense Central Index of Investigations are titled and indexed, as required by DoD Instruction 5505.07, “Titling and Indexing Subjects of Criminal Investigations in the Department of Defense,” January 27, 2012.</p>	<p>1 year 11 months 12 days</p>
<p><b>Rec. B.1.b:</b> The DoD OIG recommended that the Secretaries of the Army, Navy, and Air Force take prompt action to ensure that a comprehensive review of all criminal investigative databases and files is conducted to verify that all subjects of domestic violence incidents from 1998 to present are titled and indexed in the Defense Central Index of Investigation, as required by DoD Instruction 5505.07, “Titling and Indexing Subjects of Criminal Investigations in the Department of Defense,” January 27, 2012.</p>	<p>1 year 11 months 12 days</p>
<p><b>Rec. B.1.c:</b> The DoD OIG recommended that the Secretaries of the Army, Navy, and Air Force take prompt action to ensure that subject fingerprint cards and final disposition reports are collected and submitted to the Federal Bureau of Investigations Criminal Justice Information Services Division database for all subjects that we determined were not submitted, as required by DoD Instruction 5505.11, “Fingerprint Card and Final Disposition Report Submission Requirements,” July 21, 2014, as amended.</p>	<p>1 year 11 months 12 days</p>

APPENDIX A

**U.S. Marine Corps – Report No. DODIG-2019-075 (cont’d)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B.1.d:</b> The DoD OIG recommended that the Secretaries of the Army, Navy, and Air Force take prompt action to ensure that DNA is collected and submitted to the Defense Forensics Science Center for submission to the Combined DNA Index System for all qualifying subjects that we determined were not submitted, as required by DoD Instruction 5505.14, “Deoxyribonucleic Acid (DNA) Collection Requirements for Criminal Investigations, Law Enforcement, Corrections, and Commanders,” December 22, 2015.</p>	<p>1 year 11 months 12 days</p>
<p><b>Rec. B.1.e:</b> The DoD OIG recommended that the Secretaries of the Army, Navy, and Air Force take prompt action to ensure that the importance of complying with DoD and supplemental Military Service policies related to law enforcement’s response to domestic violence incidents when collecting evidence, conducting interviews, notifying Family Advocacy Program staff members, and titling and indexing subjects in the Defense Central Index of Investigations is emphasized in writing to all law enforcement organizations.</p>	<p>1 year 11 months 12 days</p>
<p><b>Rec. B.1.f:</b> The DoD OIG recommended that the Secretaries of the Army, Navy, and Air Force take prompt action to ensure that law enforcement practices, equipment, and supervisory reviews are adequate to comply with DoD policies when collecting evidence, conducting interviews, notifying Family Advocacy Program staff members, and titling and indexing subjects in the Defense Central Index of Investigations.</p>	<p>1 year 11 months 12 days</p>

**Report No. DODIG-2020-003, “Audit of DoD’s Use of Additive Manufacturing for Sustainment Parts,” October 17, 2019 (Full Report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 3:</b> The DoD OIG recommended that the Military Service Secretaries and the Marine Corps Commandant require the additive manufacturing leads to implement a process that compiles a complete list of all parts produced using additive manufacturing and parts waiting for approval to share within each Military Service and update the list as needed.</p>	<p>1 year 5 months 14 days</p>
<p><b>Rec. 4:</b> The DoD OIG recommended that the Under Secretary of Defense for Research and Engineering, Under Secretary of Defense for Acquisition and Sustainment, Military Service Secretaries, and the Marine Corps Commandant conduct a review to identify the appropriate funding and number of personnel to pursue benefits of additive manufacturing throughout the DoD.</p>	<p>1 year 5 months 14 days</p>

## APPENDIX A

### U.S. Marine Corps (cont'd)

**Report No. DODIG-2020-067, "Followup Audit on Corrective Actions Taken by DoD Components in Response to DoD Cyber Red Team-Identified Vulnerabilities and Additional Challenges Facing DoD Cyber Red Team Missions," March 13, 2020 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.3:</b> The DoD OIG recommended that the Program Manager Advanced Amphibious Assault for the Amphibious Combat Vehicle prioritize the risk of each unmitigated vulnerability identified in adversarial assessments, take immediate actions to mitigate high-risk vulnerabilities, and if unable to immediately mitigate any of the vulnerabilities, include them on a command-approved plan of action and milestones.</p>	<p>1 year 18 days</p>

**Report No. DODIG-2020-098, "Audit of Governance and Protection of Department of Defense Artificial Intelligence Data and Technology," June 29, 2020 (Full Report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec B.1.a:</b> The DoD OIG recommended that the Chief Information Officers for the Army, Marine Corps, Navy, and Air Force develop and implement a plan to correct the weaknesses identified at facilities that manage artificial intelligence projects related to enforcing the use of multifactor authentication and strong passwords, when necessary, to reduce the risk of disclosing sensitive DoD information.</p>	<p>9 months 2 days</p>
<p><b>Rec. B.1.b:</b> The DoD OIG recommended that the Chief Information Officers for the Army, Marine Corps, Navy, and Air Force develop and implement a plan to correct the weaknesses identified at facilities that manage artificial intelligence projects related to regularly monitoring networks and systems to identify unusual user and system activity.</p>	<p>9 months 2 days</p>
<p><b>Rec. B.1.e:</b> The DoD OIG recommended that the Chief Information Officers for the Army, Marine Corps, Navy, and Air Force develop and implement a plan to correct the weaknesses identified at facilities that manage artificial intelligence projects related to securing data centers, server racks, and associated keys.</p>	<p>9 months 2 days</p>

**Report No. DODIG-2020-127, "Evaluation of the Department of Defense and Department of Defense Education Activity Responses to Incidents of Serious Juvenile-on-Juvenile Misconduct on Military Installations," September 4, 2020**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B.2:</b> The DoD OIG recommended that the Secretaries of the Army, Navy, and Air Force update Military Law Enforcement Organization and Military Criminal Investigative Organization policies to require personnel to document in all investigative case files all notifications to civilian legal authorities and installation commanders, and, when possible, the legal and administrative actions taken.</p>	<p>6 months 27 days</p>

**U.S. Marine Corps (cont'd)**

**Report No. DODIG-2021-069, "Audit of the Impact of Coronavirus Disease–2019 on Basic Training,"  
March 31, 2021 (Full Report is CUI)**

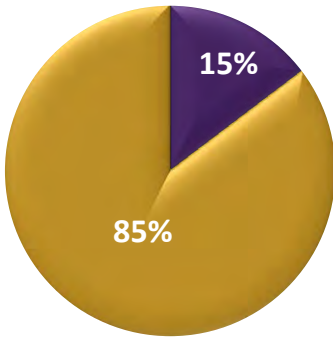
Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1:</b> The DoD OIG recommended that the Commanders of the U.S. Army Training and Doctrine Command; Marine Corps Training and Education Command; Naval Education and Training Command; Naval Service Training Command; and Air Education and Training Command develop procedures to ensure compliance with the implementation of COVID-19 guidance at basic training centers.</p>	<p>1 day</p>
<p><b>Rec. 2:</b> The DoD OIG recommended that the Commanders of Marine Corps Training and Education Command and Air Education and Training Command develop procedures to ensure compliance with screening and testing of recruits and training personnel, including procedures for timely testing and delivery of results.</p>	<p>1 day</p>
<p><b>Rec. 4:</b> The DoD OIG recommended that the Commanders of the Marine Corps Training and Education Command; Naval Education and Training Command; Naval Service Training Command; and Air Education and Training Command develop procedures to ensure compliance with the use of cleaning supplies necessary for basic training.</p>	<p>1 day</p>



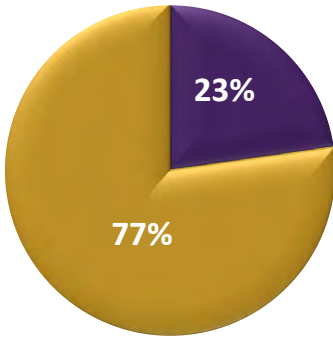
APPENDIX A

**Statistics – Department of the Air Force**

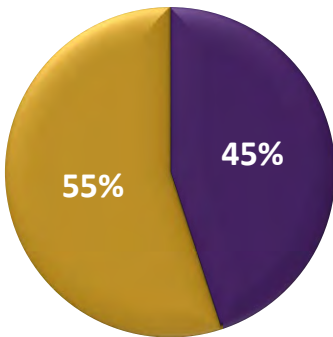
**Recommendations from 2018 Compendium**



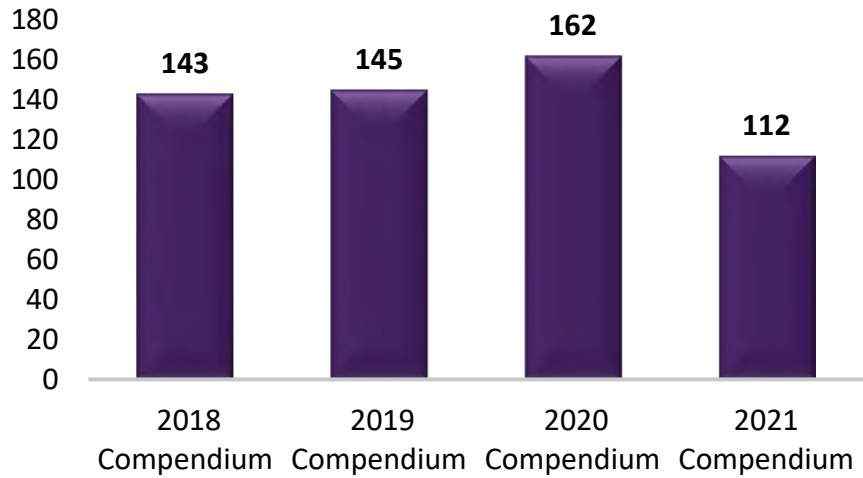
**Recommendations from 2019 Compendium**





**Recommendations from 2020 Compendium**



**Open Recommendations**



Number of Unresolved Recommendations	1
Number of Recommendations Open Longer than 5 Years	8
Potential Monetary Benefits	\$10 million

 Percentage remaining open as of 3/31/2021  
 Percentage closed as of 3/31/2021

**Department of the Air Force**

**Report No. DODIG-2015-052, “Air Force Life Cycle Management Center’s Management of F119 Engine Spare Parts Needs Improvement,” December 19, 2014 (Full Report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.5:</b> The DoD OIG recommended that the Air Force Life Cycle Management Center Director clarify the Defense Contract Management Agency’s responsibility to formally accept F119 engine spare parts on behalf of the Life Cycle Management Center.</p>	<p>6 years 3 months 12 days</p>

**Report No. DODIG-2015-090, “Evaluation of Aircraft Ejection Seat Safety When Using Advanced Helmet Sensors,” March 9, 2015**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B:</b> The DoD OIG recommended that the Navy and Air Force review and update the Joint Service Specification Guide to reflect changes in policy and technology that have occurred in the last 16 years.</p>	<p>6 years 22 days</p>

**Report No. DODIG-2015-162, “Continental United States Military Housing Inspections-National Capital Region,” August 13, 2015**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. D.1:</b> The DoD OIG recommended that the Joint Base Anacostia-Bolling Commander conduct an effective root cause analysis and implement a corrective action plan for all electrical deficiencies identified in this report.*</p>	<p>5 years 7 months 18 days</p>
<p><b>Rec. E.1:</b> The DoD OIG recommended that the Joint Base Anacostia-Bolling Commander conduct an effective root cause analysis and implement a corrective action plan for all fire protection deficiencies identified in this report.*</p>	<p>5 years 7 months 18 days</p>
<p><b>Rec. F.1:</b> The DoD OIG recommended that the Joint Base Anacostia-Bolling Commander conduct an effective root cause analysis and implement a corrective action plan for all environmental health and safety deficiencies identified in this report.*</p>	<p>5 years 7 months 18 days</p>

\* Responsibility for implementing Recommendations D.1, E.1, and F.1 was transferred from the Department of the Navy to the Department of the Air Force.

## APPENDIX A

### Department of the Air Force (cont'd)

**Report No. DODIG-2015-168, "Air Force Commands Need to Improve Logical and Physical Security Safeguards That Protect SIPRNet Access Points," September 3, 2015 (Full Report is Classified)**

(FOUO)	Recommendation Number and Text	Age of Recommendation on 3/31/21
	<b>Rec. A.5.a:</b> The DoD OIG recommended that the Air Force Chief, Information Dominance Chief Information Officer review the deficiencies identified, require a thorough review of the Air Force Secret Internet Protocol Router Network security safeguards performed at each command, and apply corrective actions as necessary.	5 years 6 months 28 days
	<b>Rec. A.5.b:</b> The DoD OIG recommended that the Air Force Chief, Information Dominance Chief Information Officer develop a plan to create a list of mission critical systems, update the list periodically, and provide this information to the appropriate communications squadron and network personnel at each base.	5 years 6 months 28 days
(FOUO)	<b>Rec. A.10.d:</b> The DoD OIG recommended that the Commander, [REDACTED] develop and implement [REDACTED] according to the Chairman of the Joint Chiefs of Staff Instruction 6510.01F, "Information Assurance (IA) and Support to Computer Network Defense (CND)," February 9, 2011, and Air Force Manual 33 282, "Computer Security," March 27, 2012, and if [REDACTED] cannot be developed, then coordinate with base communications squadrons and any other necessary parties to develop a [REDACTED].	5 years 6 months 28 days
(FOUO)		

**Report No. DODIG-2016-114, "Actions Needed to Improve Reporting of Marine Corps, Navy, and Air Force Operating Materials and Supplies," July 26, 2016**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. A.2.a:</b> The DoD OIG recommended that the Deputy Chief of Staff Air Force Headquarters, A4, develop a plan to perform complete, quarterly reconciliations of Army-held Operating Materials and Supplies-Ammunition using alternative procedures that resolve all differences between the summary-level data provided by the Army and used by Combat Ammunition System and Logistics Modernization Program until Combat Ammunition System is capable of receiving transaction-level data from the Army.	4 years 8 months 5 days
<b>Rec. A.2.b:</b> The DoD OIG recommended that the Deputy Chief of Staff Air Force Headquarters, A4, develop a plan to perform complete, quarterly reconciliations of Army-held Operating Materials and Supplies-Ammunition using the Combat Ammunition System once it is capable of receiving transaction-level data from the Army.	4 years 8 months 5 days

# APPENDIX A

## Department of the Air Force – Report No. DODIG-2016-114 (cont'd)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B.3:</b> The DoD OIG recommended that the Assistant Secretary of the Air Force (Financial Management and Comptroller) completely reconcile amounts reported by field locations in the summary data submission to General Accounting and Finance System-Re-Engineered on a quarterly basis and resolve differences.</p>	<p>4 years 8 months 5 days</p>

## Report No. DODIG-2017-004, “Summary Report-Inspections of DoD Facilities and Military Housing and Audits of Base Operations and Support Services Contracts,” October 14, 2016

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.1:</b> The DoD OIG recommended that the Secretaries of the Military Departments annually perform at least two comprehensive, independent inspections of installations. The purpose of these inspections is to verify compliance with all applicable health and safety requirements.</p>	<p>4 years 5 months 17 days</p>

## Report No. DODIG-2017-093, “Control Systems Supporting Tier I Task Critical Assets Lacked Basic Cybersecurity Controls,” June 15, 2017 (Full Report is Classified)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 3:</b> The DoD OIG recommended that the Headquarters Air Force Director of Civil Engineers develop and implement cybersecurity training for all civil engineer personnel responsible for control system cybersecurity management.</p>	<p>3 years 9 months 16 days</p>

## Report No. DODIG-2017-094, “Audit of Air Force Munitions Requirements and Storage Facilities in the Republic of Korea,” June 26, 2017 (Full Report is Classified)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.1.b:</b> The DoD OIG recommended that the 7th Air Force Commander implement the Assistant Secretary of the Air Force for installations, Environment and Energy’s 18-month plan, when approved.</p>	<p>3 years 9 months 5 days</p>
<p><b>Rec. C.1.a:</b> The DoD OIG recommended that the 7th Air Force Commander correct the maintenance deficiencies identified in Appendix B.</p>	<p>3 years 9 months 5 days</p>
<p><b>Rec. C.1.e:</b> The DoD OIG recommended that the 7th Air Force Commander ensure the Republic of Korea Air Force complies with the terms established in the Munitions Activities Gained by Negotiations between the United States Air Force and Republic of Korea Air Force Memorandum of Understanding by addressing the maintenance deficiencies identified at those facilities.</p>	<p>3 years 9 months 5 days</p>



## APPENDIX A

### Department of the Air Force (cont'd)

#### Report No. DODIG-2017-106, "Evaluation of the Air Force and Navy Explosive Ordnance Disposal Capabilities to Respond to a Nuclear Weapon Accident or Incident," July 28, 2017 (Full Report is Classified)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. C:</b> The DoD OIG recommended that the Secretary of the Air Force and the Secretary of the Navy, in coordination with the Director, Defense Threat Reduction Agency and the Under Secretary of Defense for Acquisition and Sustainment, comply with Presidential Policy Directive-35 and develop and field secure communications between Custodial explosive ordnance disposal units and National responders.</p>	<p>3 years 8 months 3 days</p>

#### Report No. DODIG-2018-035, "Evaluation of Fingerprint Card and Final Disposition Report Submissions by Military Service Law Enforcement Organizations," December 4, 2017

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. F.1.b:</b> The DoD OIG recommended that the Secretary of the Air Force immediately and comprehensively review all Air Force Security Forces criminal investigative databases and files to ensure that all fingerprint cards and final disposition reports for anyone investigated for, or convicted of, qualifying offenses before 1998 have been reported to the Federal Bureau of Investigation Criminal Justice Information Services in compliance with DoD and Federal Bureau of Investigation requirements.</p>	<p>3 years 3 months 27 days</p>
<p><b>Rec. F.1.e:</b> The DoD OIG recommended that the Secretary of the Air Force take prompt action to ensure that other required investigative and criminal history information, such as criminal incident data and Deoxyribonucleic Acid (DNA) samples, has been submitted for inclusion in Federal Bureau of Investigation databases.</p>	<p>3 years 3 months 27 days</p>

#### Report No. DODIG-2018-092, "DoD Emergency Management Programs in the U.S. Africa Command," March 28, 2018 (Full Report is Classified)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 5.a:</b> The DoD OIG recommended that the Installation Commander, [REDACTED], use Air Force Manual 10-2502, "Air Force Incident Management Systems (AFIMS) Standards and Procedures," when finalized by U.S. Air Forces, Headquarters to categorize [REDACTED], personnel and provide the milestones for completion.</p>	<p>3 years 3 days</p>
<p><b>Rec. 5.h:</b> The DoD OIG recommended that the Installation Commander, [REDACTED], establish a [REDACTED], emergency operating center and ensure the emergency operating center personnel develop and maintain a common operating picture for the installation.</p>	<p>3 years 3 days</p>

**Department of the Air Force (cont'd)**

**Report No. DODIG-2018-122, "U.S. Strategic Command Facility Construction Project," May 31, 2018 (Full Report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 4:</b> The DoD OIG recommended that the U.S. Air Force Civil Engineer Center Commander conduct program life-cycle evaluations to determine the success of the Cost Estimating Improvement Plan.</p>	<p>2 years 10 months</p>

**Report No. DODIG-2018-145, "Air Force C-5 Squadrons' Capability to Meet U.S. Transportation Command Mission Requirements," August 13, 2018 (Final Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B.1:</b> The DoD OIG recommended that the Air Mobility Command Commander request the Air Force Manpower Analysis Agency to create a C-5 logistics composite model to identify aircraft maintenance authorization ratios that better align with current C-5 maintenance needs for use in determining future authorization levels.</p>	<p>2 years 7 months 18 days</p>

**Report No. DODIG-2019-056, "Accounting and Financial Reporting for the Military Housing Privatization Initiative," February 12, 2019 (Full Report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B.5.a:</b> The DoD OIG recommended that the Assistant Chief of Staff for Installation Management, Department of the Army; Commander, Naval Facilities Engineering Command; and Director, Air Force Civil Engineer Center to reconcile their privatized housing inventories with the private partners' housing inventories and update the records as needed to establish a baseline.</p>	<p>2 years 1 month 19 days</p>
<p><b>Rec. B.5.b:</b> The DoD OIG recommended that the Assistant Chief of Staff for Installation Management, Department of the Army; Commander, Naval Facilities Engineering Command; and Director, Air Force Civil Engineer Center to develop and implement procedures to accurately record the additions and removals of housing records to ensure consistency between the Military Department and private partner systems.</p>	<p>2 years 1 month 19 days</p>
<p><b>Rec. B.5.c:</b> The DoD OIG recommended that the Assistant Chief of Staff for Installation Management, Department of the Army; Commander, Naval Facilities Engineering Command; and Director, Air Force Civil Engineer Center to develop and implement controls to ensure that the enterprise Military Housing system and Military Department housing records reconcile once privatized housing records are in the enterprise Military Housing system.</p>	<p>2 years 1 month 19 days</p>

## APPENDIX A

### Department of the Air Force (cont'd)

Report No. DODIG-2019-058, "Summary and Follow-up Report on Audits of DoD Energy Savings Performance Contracts," February 14, 2019

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 2.a:</b> The DoD OIG recommended that the Assistant Secretary of the Air Force for Acquisition, Technology, and Logistics direct Air Force energy savings performance contracting officers, and coordinate with the Air Force Civil Engineer Center Commander, to identify all active legacy Air Force energy savings performance contracts with contractor-claimed energy savings not previously validated by the Government validation.</p>	<p>2 years 1 month 17 days</p>
<p><b>Rec. 2.c:</b> The DoD OIG recommended that the Assistant Secretary of the Air Force for Acquisition, Technology, and Logistics direct Air Force energy savings performance contracting officers, and coordinate with the Air Force Civil Engineer Center Commander, to, based on the results of the validations, as mandated by law, take appropriate contractual action (if necessary), such as recovering unrealized guaranteed energy savings or buying out the remaining portion of the applicable contracts.</p>	<p>2 years 1 month 17 days</p>

Report No. DODIG-2019-063, "Followup Audit on the Military Departments' Security Safeguards Over Secret Internet Protocol Router Network Access Points," March 18, 2019 (Full Report is Classified)

(FOUO) Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.3.b:</b> The DoD OIG recommended that the Air Force Chief Information Officer direct Air Force Command officials to [REDACTED]</p>	<p>2 years 13 days</p>
<p><b>Rec. A.3.c:</b> The DoD OIG recommended that the Air Force Chief Information Officer direct Air Force Command officials to implement processes to ensure that SECRET Internet Protocol Router Network users complete all required security training before receiving access to the network and ensure all SECRET Internet Protocol Router Network users complete all required refresher training to maintain network access and ensure compliance with the processes.</p>	<p>2 years 13 days</p>
<p><b>(FOUO) Rec. A.3.d:</b> The DoD OIG recommended that the Air Force Chief Information Officer direct Air Force Command officials to [REDACTED]</p>	<p>2 years 13 days</p>

(FOUO)

APPENDIX A

**Department of the Air Force— Report No. DODIG-2019-063 (cont'd)**

<b>(FOUO)</b> Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>(FOUO) Rec. A.3.e:</b> The DoD OIG recommended that the Air Force Chief Information Officer direct Air Force Command officials to [REDACTED]	2 years 13 days
<b>(FOUO) Rec. A.3.f:</b> The DoD OIG recommended that the Air Force Chief Information Officer direct Air Force Command officials to [REDACTED]	2 years 13 days

(FOUO)

**Report No. DODIG-2019-075, “Evaluation of Military Services’ Law Enforcement Responses to Domestic Violence Incidents,” April 19, 2019**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. B.1.b:</b> The DoD OIG recommended that the Secretaries of the Army, Navy, and Air Force take prompt action to ensure that a comprehensive review of all criminal investigative databases and files is conducted to verify that all subjects of domestic violence incidents from 1998 to present are titled and indexed in the Defense Central Index of Investigation, as required by DoD Instruction 5505.07, “Titling and Indexing Subjects of Criminal Investigations in the Department of Defense,” January 27, 2012.	1 year 11 months 12 days

**Report No. DODIG-2019-078, “Evaluation of the Air Force’s Implementation of DoD OIG Recommendations Concerning Modifications of the Integrated Tactical Warning and Attack Assessment (ITW/AA) Mobile Ground System,” April 17, 2019 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 2:</b> The DoD OIG recommended that the Secretary of the Air Force develop a plan to fund and field the Space Based Infrared System Survivable and Endurable Evolution program and the Universal Ground Nuclear Detonation Terminal in time to prevent a gap in survivable and endurable missile warning and nuclear detonation detection.	1 year 11 months 14 days

## APPENDIX A

### *Department of the Air Force (cont'd)*

**Report No. DODIG-2019-080, "Audit of the B61-12 Tail Kit Assembly Program," April 19, 2019  
(Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 1:</b> Recommendation is Classified.	1 year 11 months 12 days

**Report No. DODIG-2019-084, "Evaluation of the Operations and Management of Military Cemeteries," May 20, 2019**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. B.2:</b> The DoD OIG recommended that, once the DoD issues its instruction, the Secretaries of the Army, Navy, and Air Force update the cemetery regulations accordingly.	1 year 10 months 11 days

**Report No. DODIG-2019-088, "Evaluation of DoD Efforts to Combat Trafficking in Persons in Kuwait," June 11, 2019**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. A.2:</b> The DoD OIG recommended that the Commander of U.S. Air Forces Central Command develop and implement a combating trafficking in persons program, as required by Central Command Regulation 570-4.*	1 year 9 months 20 days
<b>Rec. B.1.c:</b> The DoD OIG recommended that the U.S. Air Forces Central Command Chief of Contracting and the Army Contracting Command-Rock Island Executive Director ensure that contracting officers document in the contract file how monitoring for compliance with the Combating Trafficking in Persons clause will be accomplished, and by whom, if a contract does not require a quality assurance surveillance plan.*	1 year 9 months 20 days
<b>Rec. B.1.d:</b> The DoD OIG recommended that the U.S. Air Forces Central Command Chief of Contracting and the Army Contracting Command-Rock Island Executive Director ensure that contracting officers verify that contracting officer's representatives accomplish and document proper monitoring of contractor compliance with DoD combating trafficking in persons regulations.*	1 year 9 months 20 days
<b>Rec. C.2:</b> The DoD OIG recommended that the Deputy Assistant Secretary (Contracting) establish a process or identify a resource for DoD contracting officials to obtain definitive guidance on Kuwaiti labor laws that apply to DoD contracts.*	1 year 9 months 20 days

\* The DoD OIG is evaluating implementation of this recommendation as part of an ongoing followup project.

# APPENDIX A

## Department of the Air Force (cont'd)

**Report No. DODIG-2019-093, "Evaluation of U.S. European Command's Nuclear Command and Control Between the President and Theater Nuclear Forces," June 10, 2019 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 2.b:</b> Recommendation is Classified.</p>	<p>1 year 9 months 21 days</p>
<p><b>Rec. 2.c:</b> Recommendation is Classified.</p>	<p>1 year 9 months 21 days</p>

**Report No. DODIG-2019-108, "Audit of the DoD's Management of the Third Party Collection Program for Medical Claims," September 16, 2019**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 6.a:</b> The DoD OIG recommended that the Commander of the 59th Medical Wing at Lackland Air Force Base direct personnel at all medical facility clinics and clinical support activities to collect hardcopy or electronic versions of DD Form 2569, and as appropriate, take administrative action for noncompliance.</p>	<p>1 year 6 months 15 days</p>
<p><b>Rec. 6.b:</b> The DoD OIG recommended that the Commander of the 59th Medical Wing at Lackland Air Force Base review and modify procedures for claim followup so debt can be transferred to the appropriate debt collection agency when claims become 120 days delinquent.</p>	<p>1 year 6 months 15 days</p>
<p><b>Rec. 6.c:</b> The DoD OIG recommended that the Commander of the 59th Medical Wing at Lackland Air Force Base review all outstanding third party claims that are delinquent for more than 120 days to determine which claims are eligible for transfer to the Treasury Cross-Servicing Program or local Judge Advocate office, and transfer all eligible claims for collection assistance.</p>	<p>1 year 6 months 15 days</p>
<p><b>Rec. 6.d:</b> The DoD OIG recommended that the Commander of the 59th Medical Wing at Lackland Air Force Base provide sufficient legal support to pursue collections through the Third Party Collection Program.</p>	<p>1 year 6 months 15 days</p>
<p><b>Rec. 7.a:</b> The DoD OIG recommended that the Commander of the 75th Medical Group at Hill Air Force Base direct personnel at all medical facility clinics and clinical support activities to collect hardcopy or electronic versions of DD Form 2569, and as appropriate, take administrative action for noncompliance.</p>	<p>1 year 6 months 15 days</p>
<p><b>Rec. 7.b:</b> The DoD OIG recommended that the Commander of the 75th Medical Group at Hill Air Force Base review and modify procedures for obtaining pre-authorization when beneficiaries receive services at the medical facility that require pre-authorization from the insurance provider.</p>	<p>1 year 6 months 15 days</p>
<p><b>Rec. 7.c:</b> The DoD OIG recommended that the Commander of the 75th Medical Group at Hill Air Force Base review and modify procedures for claim followup so debt can be transferred to the appropriate debt collection agency when claims become 120 days delinquent.</p>	<p>1 year 6 months 15 days</p>

## APPENDIX A

### Department of the Air Force – Report No. DODIG-2019-108 (cont'd)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 7.d:</b> The DoD OIG recommended that the Commander of the 75th Medical Group at Hill Air Force Base review the 15 claims with potential invalid denials or awaiting resolution to determine whether they are still awaiting resolution or were written off for valid reasons, and if not, re bill the claims to the insurance provider.</p>	<p>1 year 6 months 15 days</p>
<p><b>Rec. 7.e:</b> The DoD OIG recommended that the Commander of the 75th Medical Group at Hill Air Force Base develop and implement procedures to review and validate denials before writing off claims, and implement procedures to process denials by beneficiary.</p>	<p>1 year 6 months 15 days</p>
<p><b>Rec. 7.f:</b> The DoD OIG recommended that the Commander of the 75th Medical Group at Hill Air Force Base identify the impact a \$505,787 refund to an insurance provider will have on the 75th Medical Group’s operations and maintenance budget, and take appropriate action to mitigate any impact on the medical facility’s mission.</p>	<p>1 year 6 months 15 days</p>
<p><b>Rec. 7.g:</b> The DoD OIG recommended that the Commander of the 75th Medical Group at Hill Air Force Base review all outstanding third party claims that are delinquent for more than 120 days to determine which claims are eligible for transfer to the Treasury Cross-Servicing Program or local Judge Advocate office, and transfer all eligible claims for collection assistance.</p>	<p>1 year 6 months 15 days</p>
<p><b>Rec. 7.h:</b> The DoD OIG recommended that the Commander of the 75th Medical Group at Hill Air Force Base provide sufficient legal support to pursue collections through the Third Party Collection Program.</p>	<p>1 year 6 months 15 days</p>
<p><b>Rec. 11.a:</b> The DoD OIG recommended that the Commanding General of Army Regional Health Command-Atlantic; the Director of the Defense Health Agency, National Capital Region Medical Directorate; and Commander of the Air Force Medical Operations Agency review the contract language for the Third Party Collection Program contracts, and align the contract terms with all applicable Federal and DoD regulations.</p>	<p>1 year 6 months 15 days</p>
<p><b>Rec. 11.b:</b> The DoD OIG recommended that the Commanding General of Army Regional Health Command-Atlantic; the Director of the Defense Health Agency, National Capital Region Medical Directorate; and Commander of the Air Force Medical Operations Agency implement oversight procedures to monitor contractor performance in accordance with the terms of the contract and all Federal and DoD regulations.</p>	<p>1 year 6 months 15 days</p>
<p><b>Rec. 11.c:</b> The DoD OIG recommended that the Commanding General of Army Regional Health Command-Atlantic; the Director of the Defense Health Agency, National Capital Region Medical Directorate; and Commander of the Air Force Medical Operations Agency hold any contracting personnel assigned oversight responsibility accountable for not appropriately performing oversight procedures necessary to ensure the contractor complied with Federal and DoD regulations and contract terms.</p>	<p>1 year 6 months 15 days</p>

APPENDIX A

**Department of the Air Force (cont'd)**

**Report No. DODIG-2020-042, "Audit of the Service Acquisition Executives' Management of Defense Acquisition Category 2 and 3 Programs," December 20, 2019**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.12.a:</b> The DoD OIG recommended that the Service Acquisition Executives for the Army, Navy, and Air Force verify and validate that all programs have approved Acquisition Program Baselines as required by DoD Instruction 5000.02.</p>	<p>1 year 3 months 11 days</p>
<p><b>Rec. A.12.c:</b> The DoD OIG recommended that the Service Acquisition Executives for the Army, Navy, and Air Force report to their respective Military Department Secretary when this verification and validation effort has been completed.</p>	<p>1 year 3 months 11 days</p>

**Report No. DODIG-2020-059, "Evaluation of Weather Support Capabilities for the MQ-9 Reaper," February 5, 2020 (Full Report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 2:</b> The DoD OIG recommended that the Department of the Air Force Auditor General conduct a review of Air Force Components' use of Overseas Contingency Operations and Maintenance funding to develop innovation projects to ensure these funds are not used to develop capabilities that are not needed or that may be stopped due to shortages in Overseas Contingency Operations funding without being fully developed.</p>	<p>1 year 1 month 26 days</p>

**Report No. DODIG-2020-066, "Audit of the Department of Defense Supply Chain Risk Management Program for Nuclear Command, Control, and Communications Systems," March 2, 2020 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B.1.a:</b> The DoD OIG recommended that the Commander of the Air Force Life Cycle Management Center develop a security classification guide for the Nuclear Planning and Execution System program in accordance with the Acting Secretary of Defense and Chairman of the Joint Chiefs of Staff memorandum, "Nuclear Command, Control, Communications Umbrella Security Classification and Handling Guidance," June 6, 2019, and DoD Manual 5200.45, "Instructions for Developing Security Classification Guides," April 2, 2013, Incorporating Change 1, Effective April 6, 2018.</p>	<p>1 year 29 days</p>
<p><b>Rec. B.1.b:</b> The DoD OIG recommended that the Commander of the Air Force Life Cycle Management Center submit a plan of action and milestones to the Director of the Nuclear Command, Control, and Communications Enterprise Center for complying with the Acting Secretary of Defense and Chairman of the Joint Chiefs of Staff memorandum, "Nuclear Command, Control, Communications Umbrella Security Classification and Handling Guidance," June 6, 2019, including timeframes for developing the Nuclear Planning and Execution System program security classification guide.</p>	<p>1 year 29 days</p>



# APPENDIX A

## Department of the Air Force (cont'd)

Report No. DODIG-2020-068, "Audit of Security Controls Over the Department of Defense's Global Command and Control System-Joint Information Technology System," March 18, 2020 (Full Report is Classified)

(FOUO) Recommendation Number and Text	Age of Recommendation on 3/31/21
(FOUO) Rec. 6.b: The DoD OIG recommended that the [REDACTED]	1 year 13 days
(FOUO) Rec. 6.g: The DoD OIG recommended that the [REDACTED]	1 year 13 days
(FOUO) Rec. 7.b: The DoD OIG recommended that the [REDACTED]	1 year 13 days
(FOUO) Rec. 7.d: The DoD OIG recommended that the [REDACTED]	1 year 13 days
(FOUO) Rec. 7.h: The DoD OIG recommended that the [REDACTED]	1 year 13 days
(FOUO)	

Report No. DODIG-2020-077, "Evaluation of Niger Air Base 201 Military Construction," March 31, 2020 (Full Report is FOUO)

(FOUO) Recommendation Number and Text	Age of Recommendation on 3/31/21
Rec. 1: The DoD OIG recommended that the Air Force Director of Civil Engineers update Air Force Instruction 32-1021 to identify oversight responsibilities when troop labor construction projects are planned and programmed at the major command level.	1 year
Rec. 3.d: The DoD OIG recommended that the Commander of U.S. Air Forces in Europe-Air Forces Africa conduct a review of the use of airfield solar lights, in coordination with the Air Force Installation Management Support Center, Engineering Support Division and the Air Force Civil Engineer Center, Operations Directorate, to determine whether airfield solar lights meet the intent of ETL 11-27 and are adequate for operational safety at Air Base 201.	1 year
(FOUO)	

APPENDIX A

**Department of the Air Force – Report No. DODIG-2020-077 (cont’d)**

<b>(FOUO)</b> Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>(FOUO) Rec. 3.f:</b> The DoD OIG recommended that the Commander of U.S. Air Forces in Europe-Air Forces Africa submit a waiver request to U.S. Africa Command Commander [REDACTED], as required.	1 year
<b>Rec. 4:</b> The DoD OIG recommended that the Assistant Secretary of the Air Force (Financial Management and Comptroller) initiate a preliminary review to determine whether the use of Procurement funds for the acquisition of the guard towers resulted in a potential Antideficiency Act violation and, if so, conduct a formal investigation and provide the results of the review to the DoD Office of Inspector General.	1 year
<b>(FOUO)</b>	

**Report No. DODIG-2020-082, “Evaluation of the DoD’s Management of Health and Safety Hazards in Government-Owned and Government-Controlled Military Family Housing,” April 30, 2020**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 4.a:</b> The DoD OIG recommended that the Office of the Assistant Secretary of the Air Force for Installations, Environment and Energy update Service policies to align with revisions to DoD policy for health and safety hazard management.	11 months 1 day
<b>Rec. 4.b:</b> The DoD OIG recommended that the Office of the Assistant Secretary of the Air Force for Installations, Environment and Energy develop oversight policies and procedures to assess the management of health and safety hazards in Government-Owned/Government-Controlled military family housing.	11 months 1 day
<b>Rec. 4.c:</b> The DoD OIG recommended that the Office of the Assistant Secretary of the Air Force for Installations, Environment and Energy direct installation officials to correct the specific lead-based paint, asbestos-containing material, radon, fire safety, and drinking water quality health and safety hazard management deficiencies discussed in this report.	11 months 1 day

**Report No. DODIG-2020-084, “Audit of Military Department Management of Undefinitized Contract Actions,” May 11, 2020 (Full Report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 4.a:</b> The DoD OIG recommended that the Deputy Assistant Secretary (Contracting) Assistant Secretary of the Air Force (Acquisition, Technology, and Logistics) implement the use at Air Force contracting activities of the updated Defense Federal Acquisition Regulation Supplement Part 215 and DD Form 1547, “Weighted Guidelines,” once it is issued, when determining profit for future Undefinitized Contract Actions.	10 months 20 days

## APPENDIX A

### Department of the Air Force – Report No. DODIG-2020-084 (cont’d)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 4.b:</b> The DoD OIG recommended that the Deputy Assistant Secretary (Contracting) Assistant Secretary of the Air Force (Acquisition, Technology, and Logistics) require the head of each contracting activity to establish a process by which the contracting officers who have not received a qualifying proposal in accordance with the Undefinitized Contract Action definitization schedule to immediately report to their Head of the Contracting Activity on why a qualifying proposal was not received, how they plan to obtain a qualifying proposal within 60 days or less, and if payments will be withheld.</p>	<p>10 months 20 days</p>

### Report No. DODIG-2020-087, “Audit of Training of Mobile Medical Teams in the U.S. Indo-Pacific Command and U.S. Africa Command Areas of Responsibility,” June 8, 2020

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 2:</b> The DoD OIG recommended that the Surgeons General of the Army, Navy, and Air Force issue guidance implementing the Joint Trauma Education and Training Branch’s standardized training program for all mobile medical teams.</p>	<p>9 months 23 days</p>
<p><b>Rec. 3:</b> The DoD OIG recommended that the Surgeons General of the Army, Navy, and Air Force update training curriculums at the Military medical training commands for tactical training of mobile medical teams.</p>	<p>9 months 23 days</p>
<p><b>Rec. 5:</b> The DoD OIG recommended that the Surgeons General of the Army, Navy, and Air Force, in coordination with the Command Surgeons of the U.S. Indo-Pacific Command and U.S. Africa Command, require that all mobile medical team personnel individually complete standardized post-deployment after action reports, using the Joint Trauma System Performance Improvement Branch template, before redeploying to their home station, and submit them to the Joint Lessons Learned Information System for the purposes of the Lessons Learned program.</p>	<p>9 months 23 days</p>

### Report No. DODIG-2020-098, “Audit of Governance and Protection of Department of Defense Artificial Intelligence Data and Technology,” June 29, 2020 (Full Report is FOUO)

(FOUO) Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B.1.a:</b> The DoD OIG recommended that the Chief Information Officers for the Army, Marine Corps, Navy, and Air Force develop and implement a plan to correct the weaknesses identified at facilities that manage artificial intelligence projects related to enforcing the use of multifactor authentication and strong passwords, when necessary, to reduce the risk of disclosing sensitive DoD information.</p>	<p>9 months 2 days</p>
(FOUO)	

APPENDIX A

**Department of the Air Force – Report No. DODIG-2020-098 (cont’d)**

<b>(FOUO)</b> Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. B.1.b:</b> The DoD OIG recommended that the Chief Information Officers for the Army, Marine Corps, Navy, and Air Force develop and implement a plan to correct the weaknesses identified at facilities that manage artificial intelligence projects related to regularly monitoring networks and systems to identify unusual user and system activity.	9 months 2 days
<b>Rec. B.1.c:</b> The DoD OIG recommended that the Chief Information Officers for the Army, Marine Corps, Navy, and Air Force develop and implement a plan to correct the weaknesses identified at facilities that manage artificial intelligence projects related to configuring all systems to lock automatically after 15 minutes of inactivity.	9 months 2 days
<b>(FOUO) Rec. B.1.d:</b> The DoD OIG recommended that the Chief Information Officers for the Army, Marine Corps, Navy, and Air Force develop and implement a plan to correct the weaknesses identified at facilities that manage artificial intelligence projects related to ██████████ to monitor personnel and respond to security incidents.	9 months 2 days
<b>Rec. B.1.e:</b> The DoD OIG recommended that the Chief Information Officers for the Army, Marine Corps, Navy, and Air Force develop and implement a plan to correct the weaknesses identified at facilities that manage artificial intelligence projects related to securing data centers, server racks, and associated keys.	9 months 2 days
<b>(FOUO)</b>	

**Report No. DODIG-2020-106, “Evaluation of Security Controls for Intelligence, Surveillance, and Reconnaissance Supply Chains,” July 22, 2020 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 2:</b> Recommendation is Classified.	8 months 9 days

**Report No. DODIG-2020-110, “Evaluation of U.S. Air Force Air Refueling Support to the U.S. Strategic Command’s Nuclear Deterrence Mission,” August 3, 2020 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 2.a:</b> The DoD OIG recommended that the Commander of the Air Force Material Command schedule threat-level electromagnetic pulse protection tests for the KC-135 Block 45 and implement protection efforts.	7 months 28 days
<b>Rec. 2.b:</b> The DoD OIG recommended that the Commander of the Air Force Material Command test the KC-46 for survivability against an electromagnetic pulse in accordance with the 20 decibel design margin required in Military Standard 3023.	7 months 28 days

# APPENDIX A

## Department of the Air Force – Report No. DODIG-2020-110 (cont'd)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 3.a:</b> The DoD OIG recommended that the Commander of Air Mobility Command, in conjunction with the Chief of the Air Force Reserve and the Director of the National Guard Bureau develop plans to ensure that Air Refueling Wing facilities meet Air Mobility Command Instruction 13-520 and Air Force Manual 32-1084 requirements.*</p>	<p>7 months 28 days</p>
<p><b>Rec. 3.a:</b> The DoD OIG recommended that the Commander of Air Mobility Command, in conjunction with the Chief of the Air Force Reserve and the Director of the National Guard Bureau develop plans to ensure that Air Refueling Wing facilities meet Air Mobility Command Instruction 13-520 and Air Force Manual 32-1084 requirements.*</p>	<p>7 months 28 days</p>
<p><b>Rec. 4:</b> The DoD OIG recommended that the Deputy Chief of Staff of the Air Force for Manpower, Personnel, and Services, in conjunction with the Chief of the Air Force Reserve and the Director of the National Guard Bureau, determine the anticipated future manning levels for aircrew, security forces, and maintenance crews, and develop recruiting and retention efforts to ensure that the U.S. Strategic Command nuclear mission can be performed.*</p>	<p>7 months 28 days</p>
<p><b>Rec. 4:</b> The DoD OIG recommended that the Deputy Chief of Staff of the Air Force for Manpower, Personnel, and Services, in conjunction with the Chief of the Air Force Reserve and the Director of the National Guard Bureau, determine the anticipated future manning levels for aircrew, security forces, and maintenance crews, and develop recruiting and retention efforts to ensure that the U.S. Strategic Command nuclear mission can be performed.*</p>	<p>7 months 28 days</p>
<p><b>Rec. 4:</b> The DoD OIG recommended that the Deputy Chief of Staff of the Air Force for Manpower, Personnel, and Services, in conjunction with the Chief of the Air Force Reserve and the Director of the National Guard Bureau, determine the anticipated future manning levels for aircrew, security forces, and maintenance crews, and develop recruiting and retention efforts to ensure that the U.S. Strategic Command nuclear mission can be performed.*</p>	<p>7 months 28 days</p>

\* Because the DoD OIG directed this recommendation to more than one office, it counts as more than one recommendation for tracking purposes.

## Report No. DODIG-2020-127, “Evaluation of the Department of Defense and Department of Defense Education Activity Responses to Incidents of Serious Juvenile-on-Juvenile Misconduct on Military Installations,” September 4, 2020

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B.2:</b> The DoD OIG recommended that the Secretaries of the Army, Navy, and Air Force update Military Law Enforcement Organization and Military Criminal Investigative Organization policies to require personnel to document in all investigative case files all notifications to civilian legal authorities and installation commanders, and, when possible, the legal and administrative actions taken.</p>	<p>6 months 27 days</p>

**Department of the Air Force (cont'd)**

**Report No. DODIG-2021-033, "Audit of the Department of Defense's Compliance With the Berry Amendment," December 14, 2020**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 4.a:</b> The DoD OIG recommended that the Assistant Secretary of the Air Force (Acquisition, Technology, and Logistics) establish the Defense Acquisition University "CLC 125 Berry Amendment" course as a mandatory training for those contracting workforce officials who procure goods and services subject to the Berry Amendment on a regular basis or are assigned a contract subject to the Berry Amendment. Furthermore, the training should be required every 2 years as a refresher course.</p>	<p>3 months 17 days</p>
<p><b>Rec. 4.b:</b> The DoD OIG recommended that the Assistant Secretary of the Air Force (Acquisition, Technology, and Logistics) implement the Defense Pricing and Contracting and Berry Amendment best practices identified during the audit into contracting guidance and practices for future procurements.</p>	<p>3 months 17 days</p>
<p><b>Rec. 8.a:</b> The DoD OIG recommended that the Squadron Commander at the Air Force Special Operations Command, 1st Special Operations Contracting Squadron develop a policy for awarding and administering contracts that require compliance with the Berry Amendment.</p>	<p>3 months 17 days</p>
<p><b>Rec. 8.b:</b> The DoD OIG recommended that the Squadron Commander at the Air Force Special Operations Command, 1st Special Operations Contracting Squadron review all active contracts for the Federal Supply Groups that the Berry Amendment applies to, in order to ensure compliance with Berry Amendment requirements, and modify the contracts as necessary.</p>	<p>3 months 17 days</p>

**Report No. DODIG-2021-046, "Evaluation of the Aircraft Monitor and Control System's Nuclear Certification," January 22, 2021 (Full Report is CUI)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.a:</b> The DoD OIG recommended that the Air Force Nuclear Weapons Center Commander establish a procedure for the Aircraft Monitor and Control Project Officers Group Chair to establish an annual Aircraft Monitor and Control testing schedule that complies with the joint Department of Defense-Department of Energy testing requirements.</p>	<p>2 months 9 days</p>
<p><b>Rec. 1.b:</b> The DoD OIG recommended that the Air Force Nuclear Weapons Center Commander establish a procedure for the Aircraft Monitor and Control Project Officers Group Chair to report any conflicts that would prevent future Aircraft Monitor and Control tests from being accomplished without the required number of aircraft, the types of tests, or the frequency of tests, to the Nuclear Weapons Council Standing and Safety Committee through Headquarters Air Force.</p>	<p>2 months 9 days</p>
<p><b>Rec. 1.c:</b> The DoD OIG recommended that the Air Force Nuclear Weapons Center Commander establish a procedure for the Aircraft Monitor and Control Project Officers Group Chair to report the results of each Aircraft Monitor and Control test to Air Combat Command or Air Force Global Strike Command, as applicable.</p>	<p>2 months 9 days</p>

## APPENDIX A

### Department of the Air Force – Report No. DODIG-2021-046 (cont'd)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.d:</b> The DoD OIG recommended that the Air Force Nuclear Weapons Center Commander establish a procedure for the Aircraft Monitor and Control Project Officers Group Chair to provide an annual report to the Nuclear Weapons Council Standing and Safety Committee through Headquarters Air Force that includes the number of required and completed Aircraft Monitor and Control system tests and the results of those tests.</p>	<p>2 months 9 days</p>
<p><b>Rec. 2:</b> The DoD OIG recommended that the Air Force Nuclear Weapon Center Commander, in conjunction with the National Nuclear Security Administration, develop and implement a plan for the Aircraft Monitor and Control Project Officers Group to meet all Project Officers Group requirements identified in Department of Defense Manual 5030.55, supplemented with Air Force Manual 63-103.</p>	<p>2 months 9 days</p>
<p><b>Rec. 3.a:</b> The DoD OIG recommended that the Air Force Deputy Chief of Staff for Strategic Deterrence and Nuclear Integration, as the Headquarters Air Force accountable officer to the Secretary of the Air Force and Chief of Staff of the Air Force for the Air Force Nuclear Mission, in coordination with the National Nuclear Security Administration update the 2001 Memorandum of Understanding to reflect Aircraft Monitor and Control system test and certification roles and responsibilities.</p>	<p>2 months 9 days</p>
<p><b>Rec. 3.b:</b> The DoD OIG recommended that the Air Force Deputy Chief of Staff for Strategic Deterrence and Nuclear Integration, as the Headquarters Air Force accountable officer to the Secretary of the Air Force and Chief of Staff of the Air Force for the Air Force Nuclear Mission, in coordination with the National Nuclear Security Administration direct a joint Department of Defense-Department of Energy review to determine if the correct number of tests and test aircraft have been performed to date to ensure the safety and surety of the Aircraft Monitor and Control systems currently deployed.</p>	<p>2 months 9 days</p>
<p><b>Rec. 3.c:</b> The DoD OIG recommended that the Air Force Deputy Chief of Staff for Strategic Deterrence and Nuclear Integration, as the Headquarters Air Force accountable officer to the Secretary of the Air Force and Chief of Staff of the Air Force for the Air Force Nuclear Mission, in coordination with the National Nuclear Security Administration Direct a joint Department of Defense-Department of Energy study to determine the correct number of test aircraft to minimize risk.</p>	<p>2 months 9 days</p>

### Report No. DODIG-2021-063, “Audit of Host Nation Logistical Support in the U.S. European Command,” March 23, 2021 (Full Report is Classified)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 4.a:</b> The DoD OIG recommended that the U.S. Air Forces in Europe Commander identify host nation support requirements for the additional host nations that U.S. Air Forces in Europe needs to execute Operation Plan 4020-19 through the U.S. European Command’s Support Access Working Group.</p>	<p>8 days</p>

APPENDIX A

**Department of the Air Force – Report No. DODIG-2021-063 (cont’d)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 4.b:</b> The DoD OIG recommended that the U.S. Air Forces in Europe Commander provide the host nation support requirements to the Director of Logistics of the U.S. European Command through the U.S. European Command’s Support Access Working Group.	8 days

**Report No. DODIG-2021-064, “Audit of Maintaining Cybersecurity in the Coronavirus Disease–2019 Telework Environment,” March 29, 2021 (Full Report is CUI)**

<b>(FOUO)</b> Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>(FOUO) Rec. 6:</b> The DoD OIG recommended that the Air Force Chief Information Officer develop, implement, and enforce a plan to [REDACTED].	2 days
<b>Rec. 7:</b> The DoD OIG recommended that the Air Force Deputy Chief of Staff for Manpower, Personnel, and Services verify that DoD personnel completed telework agreements and the required DoD telework training before teleworking.	2 days
<b>(FOUO)</b>	

**Report No. DODIG-2021-069, “Audit of the Impact of Coronavirus Disease–2019 on Basic Training,” March 31, 2021 (Full Report is CUI)**

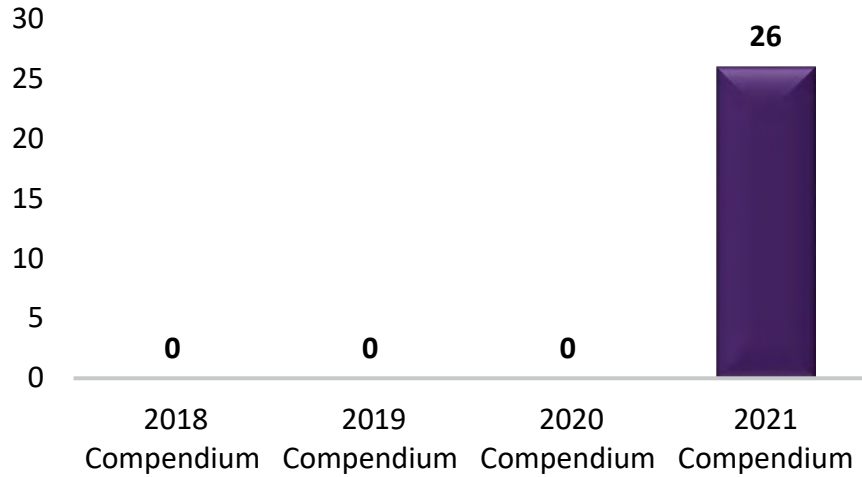
Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 4:</b> The DoD OIG recommended that the Commanders of the Marine Corps Training and Education Command; Naval Education and Training Command; Naval Service Training Command; and Air Education and Training Command develop procedures to ensure compliance with the use of cleaning supplies necessary for basic training.	1 day
<b>Rec. 5:</b> The DoD OIG recommended that the Commanders of the Naval Education and Training Command; Naval Service Training Command; and Air Education and Training Command assess manpower requirements for training personnel to ensure compliance with COVID-19 procedures required by DoD guidance and take appropriate action based on that assessment.	1 day



APPENDIX A

*Statistics – U.S. Space Force*

**Open Recommendations**



Number of Unresolved Recommendations	7
Number of Recommendations Open Longer than 5 Years	–
Potential Monetary Benefits	–

**U.S. Space Force**

**Report No. DODIG-2016-133, “Evaluation of Integrated Tactical Warning/Attack Assessment Ground-Based Radars,” September 8, 2016 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B.1.b:</b> The DoD OIG recommended that the Commander of Air Force Space Command ensure that all scheduled Integrated Threat Warning/Attack Assessment Electromagnetic Pulse projects, to include final verification testing, are completed.*</p>	<p>4 years 6 months 23 days</p>

\* U.S. Space Force (formerly Air Force Space Command) was established on December 20, 2019 with the enactment of FY 2020 National Defense Authorization Act.

**Report No. DODIG-2018-143, “Air Force Space Command Supply Chain Risk Management of Strategic Capabilities,” August 14, 2018 (Full Report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 2:</b> The DoD OIG recommended that the Commander of Air Force Space Command conduct a detailed review of the supply chain risk management for the Air Force Satellite Control Network, Family of Advanced Beyond Line-of-Sight Terminals, and Global Positioning System programs, and all other programs deemed critical to the Air Force Space Command, to ensure compliance with DoD supply chain risk management policy. If deficiencies are identified, Air Force Space Command officials must develop a plan of action with milestones to correct the deficiencies.*</p>	<p>2 years 7 months 17 days</p>

\* U.S. Space Force (formerly Air Force Space Command) was established on December 20, 2019 with the enactment of FY 2020 National Defense Authorization Act.

**Report No. DODIG-2021-054, “Audit of Cybersecurity Controls Over the Air Force Satellite Control Network,” February 17, 2021 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.a:</b> Recommendation is Classified.</p>	<p>1 month 14 days</p>
<p><b>Rec. 1.b:</b> Recommendation is Classified.</p>	<p>1 month 14 days</p>
<p><b>Rec. 1.c:</b> Recommendation is Classified.</p>	<p>1 month 14 days</p>
<p><b>Rec. 1.d:</b> Recommendation is Classified.</p>	<p>1 month 14 days</p>
<p><b>Rec. 1.e:</b> Recommendation is Classified.</p>	<p>1 month 14 days</p>
<p><b>Rec. 1.f:</b> Recommendation is Classified.</p>	<p>1 month 14 days</p>
<p><b>Rec. 1.g:</b> Recommendation is Classified.</p>	<p>1 month 14 days</p>
<p><b>Rec. 1.h:</b> Recommendation is Classified.</p>	<p>1 month 14 days</p>
<p><b>Rec. 1.i:</b> Recommendation is Classified.</p>	<p>1 month 14 days</p>

# APPENDIX A

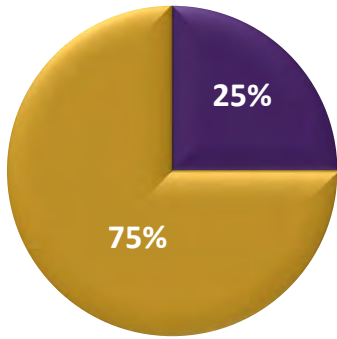
## *U.S. Space Force – Report No. DODIG-2021-054 (cont'd)*

Recommendation Number and Text	Age of Recommendation on 3/31/21
Rec. 1.j: Recommendation is Classified.	1 month 14 days
Rec. 2.a: Recommendation is Classified.	1 month 14 days
Rec. 2.b: Recommendation is Classified.	1 month 14 days
Rec. 2.c: Recommendation is Classified.	1 month 14 days
Rec. 2.d: Recommendation is Classified.	1 month 14 days
Rec. 2.e: Recommendation is Classified.	1 month 14 days
Rec. 2.f: Recommendation is Classified.	1 month 14 days
Rec. 2.g: Recommendation is Classified.	1 month 14 days
Rec. 3.a: Recommendation is Classified.	1 month 14 days
Rec. 3.b: Recommendation is Classified.	1 month 14 days
Rec. 3.c: Recommendation is Classified.	1 month 14 days
Rec. 3.d: Recommendation is Classified.	1 month 14 days
Rec. 3.e: Recommendation is Classified.	1 month 14 days
Rec. 3.f: Recommendation is Classified.	1 month 14 days
Rec. 3.g: Recommendation is Classified.	1 month 14 days

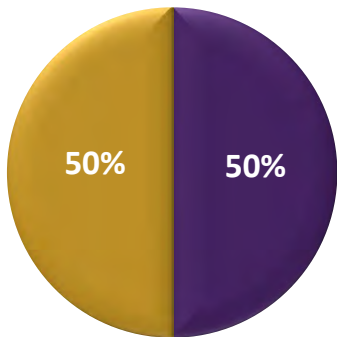


**Statistics – Joint Chiefs of Staff**

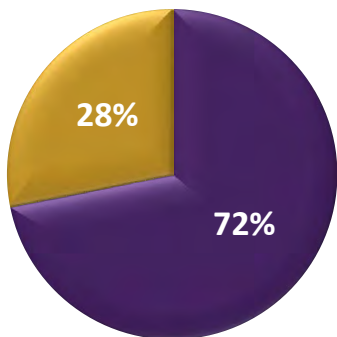
**Recommendations from 2018 Compendium**





**Recommendations from 2019 Compendium**

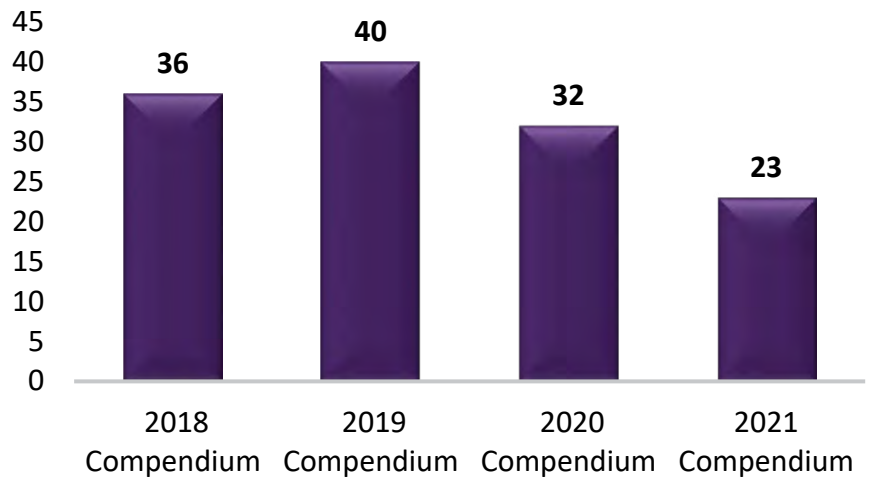


**Recommendations from 2020 Compendium**



 Percentage remaining open as of 3/31/2021  
 Percentage closed as of 3/31/2021

**Open Recommendations**



Number of Unresolved Recommendations	3
Number of Recommendations Open Longer than 5 Years	2
Potential Monetary Benefits	–

## APPENDIX A

### Joint Chiefs of Staff

**Report No. DODIG-2015-134, "Assessment of the U.S. Theater Nuclear Planning Process," June 18, 2015 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.a:</b> The DoD OIG recommended that the Chairman of the Joint Chiefs of Staff update Chairman of the Joint Chiefs of Staff Instruction 3110.04, "Nuclear Supplement to the Joint Strategic Capabilities Plan" planning guidance to identify geographic combatant command planning responsibilities and requirements for developing nuclear response options. Guidance should include type and level of planning information required for directed contingency plans.</p>	<p>5 years 9 months 13 days</p>

**Report No. DODIG-2015-172, "Naval Sea Systems Command Needs to Improve Management of Waiver and Deferral Requests," September 14, 2015**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1:</b> The DoD OIG recommended that the Joint Chiefs of Staff Vice Chairman revise the Joint Capabilities Integration and Development System Manual to require sponsors of Acquisition Category I programs, or programs of interest to the Joint Chiefs of Staff, to notify the Joint Chiefs of Staff when deferrals to operationally testing system performance will delay demonstrating primary system requirements beyond the scheduled date for initial operational capability, as defined in the requirements document.</p>	<p>5 years 6 months 17 days</p>

**Report No. DODIG-2016-120, "Joint Improvised-Threat Defeat Agency Needs to Improve Assessment and Documentation of Counter-Improvised Explosive Device Initiatives," August 9, 2016 (Full Report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.a:</b> The DoD OIG recommended that the Joint Staff Director establish controls to make sure the sponsors of counter-Improvised Explosive Device solutions that the Joint Improvised-Threat Defeat Agency delivers in response to validated Joint Urgent Operational Needs or Joint Emergent Operational Needs meet the requirements in the "Manual for the Operation of the Joint Capabilities Integration and Development System," February 12, 2015, for completing an assessment of the solutions' ability to deliver required capabilities within 6 months of initial delivery to operational users in theater.</p>	<p>4 years 7 months 22 days</p>
<p><b>Rec. 1.b:</b> The DoD OIG recommended that the Joint Staff Director establish controls to make sure the sponsors of counter-Improvised Explosive Device solutions that the Joint Improvised-Threat Defeat Agency delivers in response to validated Joint Urgent Operational Needs or Joint Emergent Operational Needs meet the requirements in the "Manual for the Operation of the Joint Capabilities Integration and Development System," February 12, 2015, for posting completed assessments to the Knowledge Management/Decisions Support repository maintained in the Office of the Joint Chiefs of Staff.</p>	<p>4 years 7 months 22 days</p>

**Joint Chiefs of Staff (cont'd)**

**Report No. DODIG-2016-125, "Evaluation of the DoD Nuclear Enterprise Governance," September 19, 2016 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B.3:</b> The DoD OIG recommended that the Joint Staff Director update and reissue Doctrine for Joint Nuclear Operations.</p>	<p>4 years 6 months 12 days</p>

**Report No. DODIG-2017-049, "Unclassified Report of Investigation on Allegations Relating to USCENTCOM Intelligence Products," January 31, 2017**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 19:</b> The DoD OIG recommended that the Joint Staff update Joint Publication 2-0 to bring it into compliance with the 2015 version of Intelligence Community Directive 203. The Expressions of Uncertainties in Appendix A and Figure A-1 should match the Intelligence Community Directive 203's expressions of likelihood or probability (Para D.6.e.(2)(a)).</p>	<p>4 years 2 months</p>

**Report No. DODIG-2017-075, "The Army Needs to More Effectively Prepare for Production of the Common Infrared Countermeasure System," April 26, 2017 (Full Report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.3:</b> The DoD OIG recommended that the Vice Chairman of the Joint Chiefs of Staff revise the capability development document for the Common Infrared Countermeasure system to clarify that the requirements developer and the acquisition milestone decision authority must have concurrence from the Joint Requirements Oversight Council, as validation authority, before lowering threshold (minimum) values of any primary system requirement.</p>	<p>3 years 11 months 5 days</p>

**Report No. DODIG-2017-106, "Evaluation of the Air Force and Navy Explosive Ordnance Disposal Capabilities to Respond to a Nuclear Weapon Accident or Incident," July 28, 2017 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B.2.b:</b> The DoD OIG recommended that the Joint Staff Director of Operations incorporate Custodial Explosive Ordnance Disposal Unit roles and responsibilities in Concept of Operations Plan 0300-14.</p>	<p>3 years 8 months 3 days</p>

## APPENDIX A

### *Joint Chiefs of Staff (cont'd)*

**Report No. DODIG-2018-097, "U.S. European Command Efforts to Integrate Cyberspace Operations Into Contingency Plans," March 30, 2018 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 2:</b> Recommendation is Classified.	3 years 1 day

**Report No. DODIG-2018-159, "Evaluation of the Integrated Tactical Warning and Attack Assessment System," September 26, 2018 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 1:</b> Recommendation is Classified.	2 years 6 months 5 days

**Report No. DODIG-2019-055, "Evaluation of Integrated Joint Special Technical Operations," February 11, 2019 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 2.a:</b> Recommendation is Classified.	2 years 1 month 20 days
<b>Rec. 2.b.1:</b> Recommendation is Classified.	2 years 1 month 20 days
<b>Rec. 2.b.2:</b> Recommendation is Classified.	2 years 1 month 20 days
<b>Rec. 2.b.3:</b> Recommendation is Classified.	2 years 1 month 20 days
<b>Rec. 2.b.4:</b> Recommendation is Classified.	2 years 1 month 20 days
<b>Rec. 2.c:</b> Recommendation is Classified.	2 years 1 month 20 days
<b>Rec. 2.d:</b> Recommendation is Classified.	2 years 1 month 20 days
<b>Rec. 2.e:</b> Recommendation is Classified.	2 years 1 month 20 days
<b>Rec. 2.f:</b> Recommendation is Classified.	2 years 1 month 20 days
<b>Rec. 2.g:</b> Recommendation is Classified.	2 years 1 month 20 days

**Joint Chiefs of Staff (cont'd)**

**Report No. DODIG-2020-045, "Evaluation of the Military Service Capacity to Fill Combatant Command Requests for Counterintelligence Support," December 30, 2019 (Full Report is Classified)**

(FOUO) Recommendation Number and Text	Age of Recommendation on 3/31/21
(FOUO) Rec. 2: The DoD OIG recommended that the [REDACTED]	1 year 3 months 1 day
(FOUO) Rec. 3: The DoD OIG recommended that the [REDACTED]	1 year 3 months 1 day

(FOUO)

**Report No. DODIG-2020-067, "Followup Audit on Corrective Actions Taken by DoD Components in Response to DoD Cyber Red Team-Identified Vulnerabilities and Additional Challenges Facing DoD Cyber Red Team Missions," March 13, 2020 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. A.6:</b> The DoD OIG recommended that the Chairman of the Joint Chiefs of Staff revise Chairman of the Joint Chiefs of Staff Instruction 6510.05 and Chairman of the Joint Chiefs of Staff Manual 6510.02, in conjunction with the implementation of Recommendation A.5, to include requirements for addressing DoD Cyber Red Team-identified vulnerabilities and reporting actions taken to mitigate those vulnerabilities.	1 year 18 days

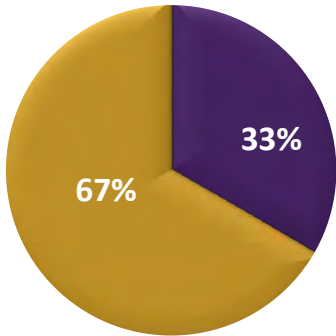




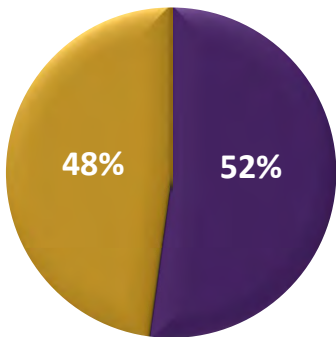
APPENDIX A

**Statistics – Under Secretary of Defense  
for Acquisition and Sustainment**

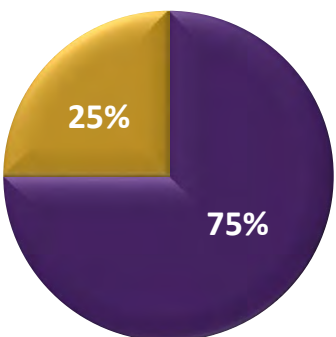
**Recommendations from  
2018 Compendium**



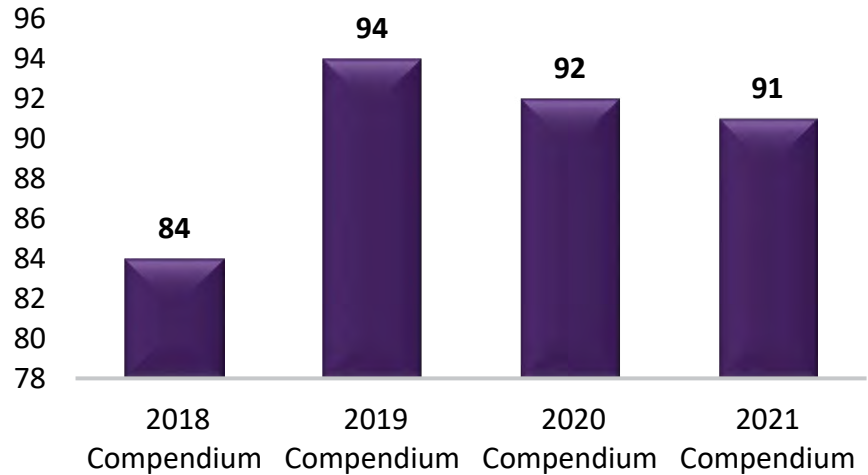
**Recommendations from  
2019 Compendium**



**Recommendations from  
2020 Compendium**



**Open Recommendations**




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Number of Unresolved Recommendations	8
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Number of Recommendations Open Longer than 5 Years	5
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Potential Monetary Benefits	\$877 million
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Percentage remaining open as of 3/31/2021

Percentage closed as of 3/31/2021

***Under Secretary of Defense for Acquisition and Sustainment***

**Report No. DODIG-2012-082, “DoD Can Improve Its Accounting for Residual Value From the Sale of U.S. Facilities in Europe,” May 4, 2012**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B:</b> The DoD OIG recommended that the Deputy Under Secretary of Defense for Installations and Environment and the Commander for U.S. European Command revise DoD Instruction 4165.69 and U.S. European Command Instruction 4101.02, respectively, to require that future residual value settlement negotiations analyze and document how the residual value settlement amount was determined, to include at a minimum:</p> <ol style="list-style-type: none"> <li>1. results of an independent appraisal of the facility’s value or the reasons why it was deemed not worth performing one;</li> <li>2. analysis of any agreed-upon calculation methodology used to determine the values for the land and capital improvements;</li> <li>3. evaluation of any environmental remediation being claimed for reasonableness, if there is an offsetting effect on the residual value received; and</li> <li>4. description of specific documents that should be maintained supporting residual value settlements and how long these documents should be maintained.</li> </ol>	<p>8 years 10 months 27 days</p>

**Report No. DODIG-2013-050, “Recovering Organizational Clothing and Individual Equipment from Civilians and Contractor Employees Remains a Challenge,” February 22, 2013**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.a-c:</b> The DoD OIG recommended that the Under Secretary of Defense for Acquisition, Technology, and Logistics implement corrective actions to address all recommendations, with the exception of Recommendation 1.b, in DoD Office of Inspector General Report No. D-2010-069, “Central Issue Facilities at Fort Benning and Related Activities,” June 21, 2010. Specifically:</p> <ol style="list-style-type: none"> <li>a. identify civilians and contractor employees who returned from deployment but did not return organizational clothing and individual equipment;</li> <li>b. obtain unreturned organizational clothing and individual equipment or reimbursement from civilians and contractor employees; and</li> <li>c. require DoD Components to include proper language in new contracts and modify existing contracts to hold contracting companies liable for unreturned organizational clothing and individual equipment.</li> </ol>	<p>8 years 1 month 9 days</p>

## APPENDIX A

### *Under Secretary of Defense for Acquisition and Sustainment (cont'd)*

**Report No. DODIG-2015-031, "The Services Need To Improve Accuracy When Initially Assigning Demilitarization Codes," November 7, 2014**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 6:</b> The DoD OIG recommended that the Assistant Secretary of Defense for Logistics and Materiel Readiness require the Services to establish controls for personnel to assign accurate demilitarization codes and hold personnel accountable for not reviewing and assigning accurate demilitarization codes.	6 years 4 months 24 days

**Report No. DODIG-2015-062, "DoD Needs Dam Safety Inspection Policy To Enable the Services To Detect Conditions That Could Lead to Dam Failure," December 31, 2014 (Full Report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 1:</b> The DoD OIG recommended that the Under Secretary of Defense for Acquisition, Technology, and Logistics establish DoD dam safety inspection policy that is in accordance with the Federal Guidelines for Dam Safety, which define inspection frequency, scope, and inspector qualifications and outline the need to develop and maintain inspection support documentation.	6 years 3 months

**Report No. DODIG-2016-002, "DoD Needs a Comprehensive Approach to Address Workplace Violence," October 15, 2015**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 3:</b> The DoD OIG recommended that the Defense Procurement and Acquisition Policy Director for the Office of the Under Secretary of Defense for Acquisition, Technology, and Logistics, in coordination with the Under Secretary of Defense for Personnel and Readiness, direct the Defense Acquisition Regulations Council to revise the Defense Federal Acquisition Regulation Supplement to address interim and final contractor requirements for the prevention of workplace violence.	5 years 5 months 16 days

**Report No. DODIG-2016-094, "Audit of the DoD Healthcare Management System Modernization Program," May 31, 2016 (Full Report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 1.a:</b> The DoD OIG recommended that the Program Executive Officer for Defense Healthcare Management Systems perform a schedule analysis to determine whether the December 2016 initial operational capability deadline is achievable.	4 years 10 months

APPENDIX A

**Under Secretary of Defense for Acquisition and Sustainment (cont'd)**

**Report No. DODIG-2017-002, "Consolidation Needed for Procurements of DoD H-60 Helicopter Spare Parts," October 12, 2016 (Full Report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.a:</b> The DoD OIG recommended that the Under Secretary of Defense for Acquisition, Technology, and Logistics perform a cost-benefit analysis to determine whether the procurement responsibility for all H-60 spare parts, including those procured under performance based logistics and contractor logistics support contracts, should be transferred to the Defense Logistics Agency, as originally required by Base Realignment and Closure Act 2005 Recommendation 176.</p>	<p>4 years 5 months 19 days</p>
<p><b>Rec. 1.b:</b> The DoD OIG recommended that the Under Secretary of Defense for Acquisition, Technology, and Logistics review and update the DoD's policy, specifically DoD Manual 4140.26, volume 2, enclosure 2, section 2.d, based on decisions made in response to Recommendation 1.a regarding the procurement of depot-level reparable and consumable spare parts to include those procured under performance-based logistics and contractor logistics support contracts.</p>	<p>4 years 5 months 19 days</p>
<p><b>Rec. 1.c:</b> The DoD OIG recommended that the Under Secretary of Defense for Acquisition, Technology, and Logistics notify Congress if the DoD determines it will not transfer the procurement responsibility to the Defense Logistics Agency.</p>	<p>4 years 5 months 19 days</p>

**Report No. DODIG-2017-004, "Summary Report-Inspections of DoD Facilities and Military Housing and Audits of Base Operations and Support Services Contracts," October 14, 2016**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. C:</b> The DoD OIG recommended that the Under Secretary of Defense for Acquisition, Technology, and Logistics, establish a permanent policy for the sustainment of facilities, including standardized facility inspections. This policy should incorporate the requirements in the September 10, 2013, "Standardizing Facility Condition Assessments," and in the April 29, 2014, "Facility Sustainment and Recapitalization Policy," memorandums.</p>	<p>4 years 5 months 17 days</p>

**Report No. DODIG-2017-090, "The Army Needs to Improve Controls Over Chemical Surety Materials," June 7, 2017**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.1:</b> The DoD OIG recommended that the Deputy Assistant Secretary of Defense for Chemical and Biological Defense revise DoD Instruction 5210.65 to define acceptable inventory practices and to provide guidance on appropriate segregation of duties.</p>	<p>3 years 9 months 24 days</p>

## APPENDIX A

### *Under Secretary of Defense for Acquisition and Sustainment (cont'd)*

**Report No. DODIG-2017-092, "Audit of the Defense Contract Audit Agency Field Detachment," June 14, 2017 (Full Report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.1.a:</b> The DoD OIG recommended that the Under Secretary of Defense for Acquisition, Technology, and Logistics Special Access Program Central Office, conduct a risk assessment on the all missing Defense Contract Audit Agency security incident information.</p>	<p>3 years 9 months 17 days</p>

**Report No. DODIG-2017-106, "Evaluation of the Air Force and Navy Explosive Ordnance Disposal Capabilities to Respond to a Nuclear Weapon Accident or Incident," July 28, 2017 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B.3:</b> The DoD OIG recommended that the Under Secretary of Defense for Acquisition, Technology, and Logistics revise DoD Manual 3150.08, "Nuclear Weapon Accident Response Procedures," August 22, 2013, to align Custodial Explosive Ordnance Disposal guidance with President Directives.</p>	<p>3 years 8 months 3 days</p>
<p><b>Rec. C:</b> The DoD OIG recommended that the Secretary of the Air Force and the Secretary of the Navy, in coordination with the Director, Defense Threat Reduction Agency and the Under Secretary of Defense for Acquisition and Sustainment, comply with Presidential Policy Directive-35 and develop and field secure communications between Custodial explosive ordnance disposal units and National responders.</p>	<p>3 years 8 months 3 days</p>

**Report No. DODIG-2017-121, "U.S. Africa Command's Management of Acquisition and Cross-Servicing Agreements," September 21, 2017**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.a:</b> The DoD OIG recommended that the Under Secretary of Defense for Acquisition, Technology, and Logistics review the current implementation and execution of the Acquisition and Cross-Servicing Agreement program and update DoD Directive 2010.9, "Acquisition and Cross-Servicing Agreements," November 24, 2003.</p>	<p>3 years 6 months 10 days</p>
<p><b>Rec. 1.a.1:</b> The DoD OIG recommended that the Under Secretary of Defense for Acquisition, Technology, and Logistics review the current implementation and execution of the Acquisition and Cross-Servicing Agreement program and update DoD Directive 2010.9, "Acquisition and Cross-Servicing Agreements," November 24, 2003. The updated guidance should clearly define Office of the Secretary of Defense, Military Department, Defense Agency, Joint Staff, and Combatant Command oversight responsibilities.</p>	<p>3 years 6 months 10 days</p>

APPENDIX A

**Under Secretary of Defense for Acquisition and Sustainment – Report No. DODIG-2017-121 (cont'd)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.a.2:</b> The DoD OIG recommended that the Under Secretary of Defense for Acquisition, Technology, and Logistics review the current implementation and execution of the Acquisition and Cross-Servicing Agreement program and update DoD Directive 2010.9, “Acquisition and Cross-Servicing Agreements,” November 24, 2003. The updated guidance should require the use of a DoD system of record for maintaining all Acquisition and Cross-Servicing Agreement transactions and supporting documentation.</p>	<p>3 years 6 months 10 days</p>
<p><b>Rec. 1.a.3:</b> The DoD OIG recommended that the Under Secretary of Defense for Acquisition, Technology, and Logistics review the current implementation and execution of the Acquisition and Cross-Servicing Agreement program and update DoD Directive 2010.9, “Acquisition and Cross-Servicing Agreements,” November 24, 2003. The updated guidance should clearly define roles and responsibilities of Acquisition and Cross-Servicing Agreement order and billing officials (financial management staff), including appointment requirements.</p>	<p>3 years 6 months 10 days</p>
<p><b>Rec. 1.a.4:</b> The DoD OIG recommended that the Under Secretary of Defense for Acquisition, Technology, and Logistics review the current implementation and execution of the Acquisition and Cross-Servicing Agreement program and update DoD Directive 2010.9, “Acquisition and Cross-Servicing Agreements,” November 24, 2003. The updated guidance should clarify requirements for an implementing arrangement and what is acceptable for establishing parameters under Acquisition and Cross-Servicing Agreement authorities.</p>	<p>3 years 6 months 10 days</p>
<p><b>Rec. 1.c:</b> The DoD OIG recommended that the Under Secretary of Defense for Acquisition, Technology, and Logistics develop a training program or training program requirements for the implementation of the Acquisition and Cross-Servicing Agreement program and execution of Acquisition and Cross Servicing Agreement authorities.</p>	<p>3 years 6 months 10 days</p>

**Report No. DODIG-2018-063, “Navy and Marine Corps Management of Relocatable Buildings,” January 29, 2018**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B.1:</b> The DoD OIG recommended that the Assistant Secretary of Defense for Energy, Installations, and Environment update Department of Defense Instruction 4165.56 to include details and illustrated examples on how to properly classify relocatable buildings based on the definition and interim facility requirement.</p>	<p>3 years 2 months 2 days</p>

## APPENDIX A

### *Under Secretary of Defense for Acquisition and Sustainment (cont'd)*

**Report No. DODIG-2018-069, "Navy Single-Award Indefinite-Delivery Indefinite-Quantity (IDIQ) Contracts," February 1, 2018**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 2.a:</b> The DoD OIG recommended that the Director, Defense Procurement and Acquisition Policy conduct a review of the use of the determination and findings document to determine if there is a continued need for the Military Services to submit determination and findings documents; revise the reporting requirements accordingly; and communicate the reporting requirements to the Military Services.</p>	<p>3 years 1 month 30 days</p>
<p><b>Rec. 2.b:</b> The DoD OIG recommended that the Director, Defense Procurement and Acquisition Policy implement procedures to verify that the Military Services are submitting all approved determination and findings documents.</p>	<p>3 years 1 month 30 days</p>

**Report No. DODIG-2018-089, "Contracting Strategy for F-22 Modernization," March 21, 2018**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.a:</b> The DoD OIG recommended that the Office of the Under Secretary of Defense for Acquisition, Technology, and Logistics review the DoD Instruction 5000.02 and relevant acquisition guidance and revise, as necessary, to allow for the implementation of agile software development methods on programs that include both hardware and software.</p>	<p>3 years 10 days</p>
<p><b>Rec. 1.b:</b> The DoD OIG recommended that the Office of the Under Secretary of Defense for Acquisition, Technology, and Logistics compile lessons learned from DoD programs implementing agile software development methods to share with other DoD programs.</p>	<p>3 years 10 days</p>

**Report No. DODIG-2018-092, "DoD Emergency Management Programs in the U.S. Africa Command," March 28, 2018 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 7.a:</b> The DoD OIG recommended that the Deputy Assistant Secretary of Defense for Environment, Safety, and Occupation Health update DoD Instruction 6055.17 to require DoD Components to complete risk assessments at all locations worldwide to determine whether locations require an emergency management program and report the results of the assessments to the responsible combatant command. The update should also include instructions for determining which DoD Components are responsible for completing the risk assessment and determining whether a location requires an emergency management program.</p>	<p>3 years 3 days</p>
<p><b>Rec. 7.c:</b> The DoD OIG recommended that the Deputy Assistant Secretary of Defense for Environment, Safety, and Occupation Health develop an assessment process to ensure that DoD Components are effectively and consistently applying and integrating the DoD Emergency Management Program.</p>	<p>3 years 3 days</p>

APPENDIX A

**Under Secretary of Defense for Acquisition and Sustainment (cont'd)**

**Report No. DODIG-2018-101, "DoD Reporting of Charge Card Misuse to OMB," April 3, 2018**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.1.a:</b> The DoD OIG recommended that the Defense Procurement and Acquisition Policy Director develop quality assurance procedures to evaluate whether the purchase card information they receive from the Military Services and Defense agencies is accurate and complete.</p>	<p>2 years 11 months 28 days</p>
<p><b>Rec. A.1.c:</b> The DoD OIG recommended that the Defense Procurement and Acquisition Policy Director conduct monthly statistically valid samples of reviewed transactions to determine whether accurate conclusions were made on the validity of the transactions and its compliance with applicable criteria.</p>	<p>2 years 11 months 28 days</p>

**Report No. DODIG-2018-122, "U.S. Strategic Command Facility Construction Project," May 31, 2018 (Full Report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.a:</b> The DoD OIG recommended that the Office of the Assistant Secretary of Defense Energy, Installations, and Environment develop guidance requiring DoD organizations involved with a military construction project to draft a charter early in the project life cycle, focusing on communications and accountability by including at least the following in the project management plan:</p> <ol style="list-style-type: none"> <li>1. establishment of a Program Management Office for each project, where applicable;</li> <li>2. establishment of performance goals;</li> <li>3. identification of roles and responsibilities for key segments of construction including, but not limited to, budgetary submissions, planning, and execution; and</li> <li>4. establishment of a formal approval process for change orders.</li> </ol>	<p>2 years 10 months</p>
<p><b>Rec. 1.b:</b> The DoD OIG recommended that the Office of the Assistant Secretary of Defense Energy, Installations, and Environment develop guidance establishing metrics that include financial risk management parameters and triggers including, but not limited to, threshold changes to scope, cost, or timeline; emerging issues; dispute resolution; and statutory reporting requirements when higher headquarters engagement is required.</p>	<p>2 years 10 months</p>



## APPENDIX A

### *Under Secretary of Defense for Acquisition and Sustainment (cont'd)*

**Report No. DODIG-2018-125, "The Fort Bliss Hospital Replacement Military Construction Project," June 6, 2018**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.b.i:</b> The DoD OIG recommended that the Assistant Secretary of Defense for Energy, Installations, and Environment issue guidance to identify the roles, responsibilities, and deciding officials for key segments of a facility construction project, including but not limited to, the project development, budgetary submissions, design reviews, planning, construction management, and assessment of contractor performance.</p>	<p>2 years 9 months 25 days</p>
<p><b>Rec. 1.b.ii:</b> The DoD OIG recommended that the Assistant Secretary of Defense for Energy, Installations, and Environment issue guidance to establish metrics that include financial risk management parameters and triggers, including, but not limited to, threshold changes to scope, cost, or timeline; emerging issues; dispute resolution; and statutory reporting requirements when higher headquarters engagement is required.</p>	<p>2 years 9 months 25 days</p>

**Report No. DODIG-2018-144, "Evaluation of Intelligence Support to Protect U.S. Nuclear Weapons in Europe," August 10, 2018 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. D.1:</b> The DoD OIG recommended that the Office of the Deputy Assistant Secretary of Defense (Nuclear Matters) revise DoD Directive 5210.41 to establish requirements for the Defense Intelligence Agency to produce a Secret version of the "Nuclear Security Threat Capabilities Assessment," and produce a Secret version of the "Nuclear Security Threat Capabilities Assessment" that is releasable to North Atlantic Treaty Organization partners.</p>	<p>2 years 7 months 21 days</p>

**Report No. DODIG-2019-029, "DoD Task Orders Issued Under One Acquisition Solution for Integrated Services Contracts," November 27, 2018**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.a:</b> The DoD OIG recommended that the Defense Pricing and Contracting Director develop policy for the DoD task orders issued under the One Acquisition Solution for Integrated Services contracts, and other applicable indefinite-delivery, indefinite-quantity service contracts, that requires contracting officers to develop verification procedures within the quality assurance surveillance plan to determine whether employees meet the labor categories specified in the task orders.</p>	<p>2 years 4 months 4 days</p>

APPENDIX A

**Under Secretary of Defense for Acquisition and Sustainment – Report No. DODIG-2019-029 (cont’d)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.b:</b> The DoD OIG recommended that the Defense Pricing and Contracting Director develop policy for the DoD task orders issued under the One Acquisition Solution for Integrated Services contracts, and other applicable indefinite-delivery, indefinite-quantity service contracts, that requires contracting officers to specify in the request for proposals that education and years of work experience should be relevant to the labor category but that contractors may deviate from relevant education and years of work experience as long as the contractor clearly identifies the deviation in the proposal.</p>	<p>2 years 4 months 4 days</p>
<p><b>Rec. 1.c:</b> The DoD OIG recommended that the Defense Pricing and Contracting Director develop policy for the DoD task orders issued under the One Acquisition Solution for Integrated Services contracts, and other applicable indefinite-delivery, indefinite-quantity service contracts, that requires contracting officers to identify any proposed deviations from the relevant education and year of work experience qualifications in the contract files, considering any potential performance and price impacts on the agency’s requirements.</p>	<p>2 years 4 months 4 days</p>
<p><b>Rec. 1.d:</b> The DoD OIG recommended that the Defense Pricing and Contracting Director develop policy for the DoD task orders issued under the One Acquisition Solution for Integrated Services contracts, and other applicable indefinite-delivery, indefinite-quantity service contracts, that requires contracting officers to document the reasons for accepting any proposed changes to the contract requirements.</p>	<p>2 years 4 months 4 days</p>

**Report No. DODIG-2019-056, “Accounting and Financial Reporting for the Military Housing Privatization Initiative,” February 12, 2019 (Full Report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B.1.a:</b> The DoD OIG recommended that the Assistant Secretary of Defense for Sustainment issue policy requiring the maximum loan amount on promissory notes to match the corresponding loan agreements and promissory notes to contain complete histories of all amendments to the notes.</p>	<p>2 years 1 month 19 days</p>
<p><b>Rec. B.1.b:</b> The DoD OIG recommended that the Assistant Secretary of Defense for Sustainment coordinate with the DoD Deputy Comptroller for Program/Budget and Military Department personnel to issue policies requiring the identification of deobligation opportunities, such as when the maximum loan amount is reduced or no longer available, and develop procedures for working with DoD Deputy Comptroller for Program/Budget personnel to deobligate funds when the opportunities arise.</p>	<p>2 years 1 month 19 days</p>
<p><b>Rec. B.1.c.1:</b> The DoD OIG recommended that the Assistant Secretary of Defense for Sustainment issue a policy requiring Military Department personnel to calculate changes in subsidy cost for all Government Direct Loans and Government Loan Guarantees before agreeing to any loan term changes.</p>	<p>2 years 1 month 19 days</p>

## APPENDIX A

### *Under Secretary of Defense for Acquisition and Sustainment – Report No. DODIG-2019-056 (cont'd)*

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B.1.c.2:</b> The DoD OIG recommended that the Assistant Secretary of Defense for Sustainment issue a policy requiring Military Department personnel to submit the calculations to the Assistant Secretary of Defense for Sustainment for review and to the Office of Management and Budget for approval before agreeing to any loan term changes.</p>	<p>2 years 1 month 19 days</p>
<p><b>Rec. B.1.c.3:</b> The DoD OIG recommended that the Assistant Secretary of Defense for Sustainment issue a policy requiring Military Department personnel to ensure that the approved amount of funding is in the DoD Family Housing Improvement Fund before agreeing to any loan term changes.</p>	<p>2 years 1 month 19 days</p>
<p><b>Rec. B.1.d:</b> The DoD OIG recommended that the Assistant Secretary of Defense for Sustainment develop and implement controls to ensure that the most recent Office of Management and Budget-approved loan amounts for Government Direct Loans and Government Loan Guarantees reconcile to the annual reestimate calculations.</p>	<p>2 years 1 month 19 days</p>
<p><b>Rec. B.1.e:</b> The DoD OIG recommended that the Assistant Secretary of Defense for Sustainment coordinate with the enterprise Military Housing Program Management Office to ensure the development and implementation of detailed procedures for Military Department personnel to input privatized housing records into the enterprise Military Housing system, which would allow all Military Departments to comply with the “Enterprise Military Housing Information Management System” memorandum, dated April 16, 2014.</p>	<p>2 years 1 month 19 days</p>

### **Report No. DODIG-2019-060, “Review of Parts Purchased From TransDigm Group, Inc.,” February 25, 2019 (Full Report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 4.a:</b> The DoD OIG recommended that the Defense Pricing and Contracting Principal Director examine the United States Code, Federal Acquisition Regulation, Defense Federal Acquisition Regulation Supplement, and the Defense Federal Acquisition Regulation Supplement Procedures, Guidance, and Information, to determine changes needed in the acquisition process of parts produced or provided from a sole source to ensure that contracting officers obtain uncertified cost data when requested and that the DoD receives full and fair value in return for its expenditures.</p>	<p>2 years 1 month 6 days</p>

### **Report No. DODIG-2019-062, “Audit of Management of Government-Owned Property Supporting the F-35 Program,” March 13, 2019**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.a:</b> The DoD OIG recommended that the Under Secretary of Defense for Acquisition and Sustainment review the accounting and management actions of the F-35 Program Office for F-35 Program Government property.</p>	<p>2 years 18 days</p>

APPENDIX A

**Under Secretary of Defense for Acquisition and Sustainment – Report No. DODIG-2019-062 (cont’d)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.b:</b> The DoD OIG recommended that the Under Secretary of Defense for Acquisition and Sustainment take appropriate action, if warranted, to hold the necessary officials accountable.</p>	<p>2 years 18 days</p>

**Report No. DODIG-2019-079, “Audit of the Identification and Training of DoD’s Operational Contract Support Workforce,” April 16, 2019**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 2:</b> The DoD OIG recommended that the Under Secretary of Defense for Acquisition and Sustainment, in coordination with the Joint Staff, combatant commands, and Services, develop and implement policy to establish tiered minimum training (tactical, operational, and strategic) requirements and qualifications for Operational Contract Support positions at each echelon; and identify which positions require an Operational Contract Support-trained professional.</p>	<p>1 year 11 months 15 days</p>

**Report No. DODIG-2019-081, “Audit of Training Ranges Supporting Aviation Units in the U.S. Indo-Pacific Command,” April 17, 2019 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.a:</b> The DoD OIG recommended that in accordance with Public Law 115-232, Section 2862, paragraphs a through c, the Under Secretaries of Defense for Personnel and Readiness and for Acquisition and Sustainment, in coordination with the Services, review the individual Services’ range plans, including the response provided to address the requirement of the National Defense Authorization Act, and determine whether Service solutions to training limitations can be accomplished across the DoD. The review should include live, virtual, constructive, and regionalization training.</p>	<p>1 year 11 months 14 days</p>
<p><b>Rec. 1.b:</b> The DoD OIG recommended that in accordance with Public Law 115-232, Section 2862, paragraphs a through c, the Under Secretaries of Defense for Personnel and Readiness and for Acquisition and Sustainment, in coordination with the Services, develop and implement a plan to field and sustain DoD-wide solutions to address training gaps, including addressing:</p> <ol style="list-style-type: none"> <li>1. the airspace and impact area needs of advanced aircraft and weapons, such as the F-35; and</li> <li>2. the need to join neighboring airspace on a continuing basis.</li> </ol>	<p>1 year 11 months 14 days</p>

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### *Under Secretary of Defense for Acquisition and Sustainment (cont'd)*

**Report No. DODIG-2019-089, "Audit of the DoD's Implementation of the Joint Regional Security Stacks," June 4, 2019 (Full Report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1:</b> The DoD OIG recommended that the Under Secretary of Defense for Acquisition and Sustainment, in coordination with the DoD Chief Information Officer, establish or revise guidance that requires DoD Components to follow the same requirements when developing a technology refresh that will exceed an established cost threshold, as required for new acquisitions under DoD Instruction 5000.02.</p>	<p>1 year 9 months 27 days</p>

**Report No. DODIG-2019-103, "Audit of Air Force Accountability of Government Property and Oversight of Contractual Maintenance Requirements in the Contract Augmentation Program IV in Southwest Asia," July 18, 2019**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.2:</b> The DoD OIG recommended that the Principal Director of the Defense Pricing and Contracting Division in the Office of the Under Secretary of Defense for Acquisition and Sustainment make existing Government-furnished training resources mandatory for all contracting personnel and coordinate with the Services to implement Government-furnished property training courses for contingency contracting personnel. The training should outline Service-specific implementation of Federal and Department of Defense accountability requirements.</p>	<p>1 year 8 months 13 days</p>

**Under Secretary of Defense for Acquisition and Sustainment (cont'd)**

**Report No. DODIG-2019-105, "Audit of Protection of DoD Controlled Unclassified Information on Contractor-Owned Networks and Systems," July 23, 2019 (Full Report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.2.a-e:</b> The DoD OIG recommended that the Principal Director for Defense Pricing and Contracting, in coordination with the appropriate DoD Component responsible for developing policy:</p> <ul style="list-style-type: none"> <li>a. revise its current policy to require DoD Component contracting offices, as part of the Request for Proposal and source selection processes, and requiring activities, during the performance of the contract, to assess whether contractors comply with the National Institute of Standards and Technology requirements for protecting controlled unclassified information before contract award and throughout the contracts' period of performance.</li> <li>b. develop and implement policy requiring DoD Component contracting offices and requiring activities to maintain an accurate accounting of contractors that access, maintain, or develop controlled unclassified information as part of their contractual obligations.</li> <li>c. revise its current policy to include language that will require DoD Component contracting offices and requiring activities to validate contractor compliance with National Institute of Standards and Technology Special Publication 800-171 requirements.</li> <li>d. require DoD Component contracting offices, in coordination with DoD requiring activities, to develop and implement a risk-based process to verify that contractors comply with the Defense Federal Acquisition Regulation Supplement clause 252.204-7012 for protecting controlled unclassified information.</li> <li>e. require DoD Component contracting offices, in coordination with DoD requiring activities, to take corrective actions against contractors that fail to meet the National Institute of Standards and Technology and contract requirements for protecting controlled unclassified information.</li> </ul>	<p>1 year 8 months 8 days</p>

**Report No. DODIG-2019-106, "Audit of the DoD's Management of the Cybersecurity Risks for Government Purchase Card Purchases of Commercial Off-the-Shelf Items," July 26, 2019 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 2.a:</b> The DoD OIG recommended that the Under Secretary of Defense for Acquisition and Sustainment update existing DoD acquisition policies or develop and implement new policy to require organizations to review and evaluate cybersecurity risks, including supply chain and counterintelligence risks, for high-risk commercial off-the-shelf items prior to purchase, regardless of purchase method.</p>	<p>1 year 8 months 5 days</p>

# APPENDIX A

**Under Secretary of Defense for Acquisition and Sustainment – Report No. DODIG-2019-106 (cont'd)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 2.b:</b> The DoD OIG recommended that the Under Secretary of Defense for Acquisition and Sustainment update Government purchase card program policy and training to include training on common cybersecurity risks, including supply chain and counterintelligence risks, for commercial off-the-shelf information technology items and the impact of the risks to the mission.</p>	<p>1 year 8 months 5 days</p>

**Report No. DODIG-2020-042, “Audit of the Service Acquisition Executives’ Management of Defense Acquisition Category 2 and 3 Programs,” December 20, 2019**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.1.b:</b> The DoD OIG recommended that the Under Secretary of Defense for Acquisition and Sustainment populate the common data framework, establishing both criteria and guidelines for declaring program start, designating the initial acquisition category, and defining the minimum program data needed at program start.</p>	<p>1 year 3 months 11 days</p>

**Report No. DODIG-2020-063, “Audit of DoD Service-Disabled Veteran-Owned Small Business Contract Awards,” February 18, 2020**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.a:</b> The DoD OIG recommended that the DoD Office of Small Business Programs Director conduct a review, in coordination with the Military Departments and Defense agencies, of all 17 contractors that received DoD Service-Disabled Veteran-Owned Small Business set-aside or sole-source contracts but were denied Service-Disabled Veteran-Owned Small Business status by the Department of Veterans Affairs Center for Verification and Evaluation to determine if they meet the requirements for Service-Disabled Veteran-Owned Small Business status. Based on the review, the Director should take action, as appropriate, against any contractors found to have misrepresented their Service-Disabled Veteran-Owned Small Business status to the DoD to obtain contracts by coordinating with the applicable contracting officer to protest, through the Small Business Administration, any contractors that appear to be ineligible.</p>	<p>1 year 1 month 13 days</p>
<p><b>Rec. 1.b:</b> The DoD OIG recommended that the DoD Office of Small Business Programs Director conduct a review, in coordination with the Military Departments and Defense agencies, of all 16 contractors in our sample that received DoD Service-Disabled Veteran-Owned Small Business contracts that we determined to be ineligible Service-Disabled Veteran-Owned Small Businesses to determine if they meet the eligibility requirements. Based on the review, the Director should take action, as appropriate, against any contractors found to have misrepresented their Service-Disabled Veteran-Owned Small Business status to the DoD to obtain set-aside and sole-source contracts by coordinating with the applicable contracting officer to protest, through the Small Business Administration, any contractors that appear to be ineligible.</p>	<p>1 year 1 month 13 days</p>

APPENDIX A

**Under Secretary of Defense for Acquisition and Sustainment – Report No. DODIG-2020-063 (cont'd)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.c:</b> The DoD OIG recommended that the DoD Office of Small Business Programs Director implement procedures, in coordination with Defense Pricing and Contracting, to require contractors to submit documentation to support the owner and highest ranking officer is a service-disabled veteran when submitting proposals for Service-Disabled Veteran-Owned Small Business set-aside and sole-source contracts. Additionally, the procedures should require contractors to submit documentation supporting that they meet the Service-Disabled Veteran-Owned Small Business requirements for majority ownership and management and control of the long-term decisions and daily business operations.</p>	<p>1 year 1 month 13 days</p>
<p><b>Rec. 1.d:</b> The DoD OIG recommended that the DoD Office of Small Business Programs Director implement procedures, in coordination with Defense Pricing and Contracting, for the Services' Small Business Offices to periodically review contractors that have obtained Service-Disabled Veteran-Owned Small Business contracts, where eligibility was not verified at the time of award, to determine if those contractors meet the Service-Disabled Veteran-Owned Small Business eligibility requirements, and coordinate with the applicable contracting officer to protest, through the Small Business Administration, any contractors that appear to be ineligible.</p>	<p>1 year 1 month 13 days</p>
<p><b>Rec. 1.e:</b> The DoD OIG recommended that the DoD Office of Small Business Programs Director implement procedures, in coordination with Defense Pricing and Contracting, requiring contracting personnel to track and monitor the amounts Service-Disabled Veteran-Owned Small Businesses pay to joint venture partners that are not Service-Disabled Veteran-Owned Small Businesses throughout contract performance to ensure that contractors do not exceed the required net profit limitations, as defined by the Code of Federal Regulations.</p>	<p>1 year 1 month 13 days</p>
<p><b>Rec. 1.f:</b> The DoD OIG recommended that the DoD Office of Small Business Programs Director implement procedures, in coordination with Defense Pricing and Contracting, requiring contracting personnel to track and monitor the amounts Service-Disabled Veteran-Owned Small Businesses spend on subcontractors that are not Service-Disabled Veteran-Owned Small Businesses throughout contract performance to ensure that contractors do not exceed the required limitations, as defined by the Code of Federal Regulations.</p>	<p>1 year 1 month 13 days</p>
<p><b>Rec. 1.g:</b> The DoD OIG recommended that the DoD Office of Small Business Programs Director conduct a review of all socio-economic contracting programs that require contractors to self-certify their status and, as appropriate, implement procedures, in coordination with Defense Pricing and Contracting, requiring contractors to submit documentation to support that they meet the applicable eligibility requirements, including ownership and control, before receiving set-aside and sole-source contracts.</p>	<p>1 year 1 month 13 days</p>
<p><b>Rec. 1.h:</b> The DoD OIG recommended that the DoD Office of Small Business Programs Director coordinate with Defense Pricing and Contracting, the General Services Administration, and the Small Business Administration to implement procedures to ensure that contractors update the System for Award Management after the Small Business Administration determines the contractors are ineligible for Service-Disabled Veteran-Owned Small Business contracts.</p>	<p>1 year 1 month 13 days</p>



## APPENDIX A

### *Under Secretary of Defense for Acquisition and Sustainment – Report No. DODIG-2020-063 (cont'd)*

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.i:</b> The DoD OIG recommended that the DoD Office of Small Business Programs Director coordinate with Defense Pricing and Contracting and the Small Business Administration to implement procedures to ensure protest results are communicated to contracting personnel DoD-wide when the Small Business Administration determines a contractor is not eligible for Service-Disabled Veteran-Owned Small Business set-aside or sole-source contracts.</p>	<p>1 year 1 month 13 days</p>
<p><b>Rec. 1.j:</b> The DoD OIG recommended that the DoD Office of Small Business Programs Director reinforce existing procedures, in coordination with Defense Pricing and Contracting, to ensure contracting officers are aware of the protest procedures and their responsibilities.</p>	<p>1 year 1 month 13 days</p>

### **Report No. DODIG-2020-071, “Audit of the Department of Defense’s Ground Transportation and Secure Hold of Arms, Ammunition, and Explosives in the United States,” March 23, 2020**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.a.2:</b> The DoD OIG recommended that the Assistant Secretary of Defense for Sustainment, in coordination with U.S. Transportation Command and the Military Services, give the Military Surface Deployment and Distribution Command the authority and ability to enforce the Military Services’ compliance with the Military Surface Deployment and Distribution Command accident investigation recommendations by tasking the Military Services to take specific action through a system of draft recommendations, command response, Military Surface Deployment and Distribution Command evaluation of those responses, and adjustment of the Military Surface Deployment and Distribution Command recommendations.</p>	<p>1 year 8 days</p>
<p><b>Rec. 1.c:</b> The DoD OIG recommended that the Assistant Secretary of Defense for Sustainment, in coordination with U.S. Transportation Command and the Military Services, evaluate creating a centralized tracking system to track rail shipments of arms, ammunition, and explosives and implement that tracking system, if appropriate.</p>	<p>1 year 8 days</p>

### **Report No. DODIG-2020-079, “Report on the Joint Enterprise Defense Infrastructure (JEDI) Cloud Procurement,” April 13, 2020 (Full Report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1:</b> The DoD OIG recommended that the Acting Director for Contract Policy, Defense Pricing and Contracting, consider developing and implementing appropriate policy to require some level of documentation and analysis supporting key acquisition decisions, including any legal reviews and advice, for contracts that exceed the \$112 million threshold established by statute.</p>	<p>11 months 18 days</p>

***Under Secretary of Defense for Acquisition and Sustainment (cont'd)***

**Report No. DODIG-2020-082, "Evaluation of the DoD's Management of Health and Safety Hazards in Government-Owned and Government-Controlled Military Family Housing," April 30, 2020**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1:</b> The DoD OIG recommended that the Under Secretary of Defense for Acquisition and Sustainment and the Under Secretary of Defense for Personnel and Readiness collaboratively establish or revise appropriate DoD policy(s) to address health and safety hazards—including lead-based paint, asbestos-containing material, radon, fire and electrical safety, drinking water quality, window fall prevention, mold, carbon monoxide, and pest management—in military family housing to manage health, safety, and environmental risks to acceptable levels for military family housing residents.</p>	<p>11 months 1 day</p>

**Report No. DODIG-2020-084, "Audit of Military Department Management of Undefinitized Contract Actions," May 11, 2020 (Full Report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.a:</b> The DoD OIG recommended that the Defense Pricing and Contracting Principal Director update the Defense Federal Acquisition Regulation Supplement to clarify that when considering the reduced cost risks associated with allowable incurred costs on a Undefinitized Contract Action, it is appropriate to apply separate and differing contract risk factors for allowable incurred costs and estimated costs to complete, in accordance with the requirements in 10 U.S.C. § 2326, "Undefinitized Contractual Actions: Restrictions," when completing the contract risk sections of DD Form 1547, "Record of Weighted Guidelines."</p>	<p>10 months 20 days</p>
<p><b>Rec. 1.b:</b> The DoD OIG recommended that the Defense Pricing and Contracting Principal Director encourage contractors to provide timely qualifying proposals by updating the Defense Federal Acquisition Regulation Supplement Subpart 217.7404-3, "Definitization Schedule," to: 1. Open the suspension and reduction of progress payments to include all types of contract payments and not just progress payments. 2. Provide clarification for contracting officers on "other appropriate actions" that could further incentivize the contractor to provide timely qualifying proposals. 3. Require contracting officers to document in the contract file their justification for why payments were not withheld if the qualifying proposal was not received in accordance with the initial definitization schedule.</p>	<p>10 months 20 days</p>
<p><b>Rec. 1.c:</b> The DoD OIG recommended that the Defense Pricing and Contracting Principal Director update the Defense Federal Acquisition Regulation Supplement clause 252.217-7027, "Contract Definitization," to include that failure to meet the qualifying proposal date in the definitization schedule could result in the Government withholding a percentage of all payments yet to be paid under an Undefinitized Contract Action until the qualifying proposal is received.</p>	<p>10 months 20 days</p>

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### *Under Secretary of Defense for Acquisition and Sustainment – Report No. DODIG-2020-084 (cont'd)*

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.d:</b> The DoD OIG recommended that the Defense Pricing and Contracting Principal Director update Defense Federal Acquisition Regulation Supplement Procedures Guidance and Information 217.7405, “Plans and Reports,” to include a requirement that the Military Departments reconcile Federal Procurement Data System-Next Generation data to the Undefined Contract Action information they are reporting semiannually to Defense Pricing and Contracting before submitting the information.</p>	<p>10 months 20 days</p>

### **Report No. DODIG-2020-093, “Audit of the Department of Defense’s Processes to Identify and Clear Munitions and Explosives of Concern During Construction on Guam,” June 16, 2020**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.a:</b> The DoD OIG recommended that the Under Secretary of Defense for Acquisition and Sustainment perform a documented review of explosives safety standards-in conjunction with DoD Explosives Safety Board representatives, Service-level policymakers, and construction managers with experience on projects involving munitions and explosives of concern clearance-to determine whether increased munitions and explosives of concern risk is acceptable in certain instances based on the adverse operational risks that munitions and explosives of concern clearance has created.</p>	<p>9 months 15 days</p>
<p><b>Rec. 1.b:</b> The DoD OIG recommended that the Under Secretary of Defense for Acquisition and Sustainment issue guidance for estimating and presenting munitions and explosives of concern clearance costs on DD Form 1391, “FY ____ Military Construction Project Data,” that will enable personnel to assess the accuracy of the munitions and explosives of concern clearance budget and enable DoD leaders to refine future military construction projects based on historical comparisons of methods used to develop munitions and explosives of concern clearance budgets.</p>	<p>9 months 15 days</p>
<p><b>Rec. 1.c:</b> The DoD OIG recommended that the Under Secretary of Defense for Acquisition and Sustainment issue procedures or other clarifying guidance to establish authorities and ensure that any revised explosives safety standards include language concerning when revisions become effective and how existing military construction contracts are affected by changes in standards.</p>	<p>9 months 15 days</p>

### **Report No. DODIG-2020-095, “Audit of Purchases of Ammonium Perchlorate Through Subcontracts With a Single Department of Defense-Approved Domestic Supplier,” July 9, 2020 (Full Report is CUI)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1:</b> The DoD OIG recommended that the Deputy Assistant Secretary of Defense for Industrial Policy monitor and assess the Ammonium Perchlorate, Grade 1 (AP1) industrial base to identify cost-effective AP1 alternative sources and assist the Military Services and Defense agencies on strategies related to AP1 pricing, capability, and capacity.</p>	<p>8 months 22 days</p>

***Under Secretary of Defense for Acquisition and Sustainment (cont'd)***

**Report No. DODIG-2020-105, "Followup Evaluation of Report DODIG-2016-078, Evaluation of the Department of Defense's Biological Select Agents and Toxins Biosafety and Biosecurity Program Implementation," July 16, 2020**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1:</b> The DoD OIG recommended that the Office of the Under Secretary of Defense for Acquisition and Sustainment issue policy requiring all DoD biological select agents and toxins-registered laboratories to implement an internal technical and scientific peer review function that addresses both biosafety and biosecurity.</p>	<p>8 months 15 days</p>

**Report No. DODIG-2020-106, "Evaluation of Security Controls for Intelligence, Surveillance, and Reconnaissance Supply Chains," July 22, 2020 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1:</b> Recommendation is Classified.</p>	<p>8 months 9 days</p>

**Report No. DODIG-2020-123, "Audit of the F-35 Program Office's Beyond Economical Repair Process for Parts," September 4, 2020 (Full Report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1:</b> The DoD OIG recommended that the Under Secretary of Defense for Acquisition and Sustainment, develop DoD-wide guidance that aligns with DoD Manual 4140.01 to establish minimum data and documentation requirements for beyond economical repair processes, to include a method for defining the replacement price or cost that should be used in beyond economical repair calculations, the responsible party for approving the beyond economical repair decision, and any other considerations outside of cost factors.</p>	<p>6 months 27 days</p>

**Report No. DODIG-2021-001, "Audit of the Solicitation, Award, and Administration of Washington Headquarters Services Contract and Task Orders for Office of Small Business Programs," October 7, 2020**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 2.a:</b> The DoD OIG recommended that the Deputy Assistant Secretary of Defense, Industrial Policy establishes controls for higher level review and approval of the Office of Small Business Programs contracting requirements, including an adequate segregation of duties.</p>	<p>5 months 24 days</p>
<p><b>Rec. 2.b:</b> The DoD OIG recommended that the Deputy Assistant Secretary of Defense, Industrial Policy review the actions of the Mentor Protégé Program Manager related to the unjustified duplication of efforts for the development of a Mentor-Protégé Program web portal and initiate administrative action, as appropriate.</p>	<p>5 months 24 days</p>

## APPENDIX A

### *Under Secretary of Defense for Acquisition and Sustainment – Report No. DODIG-2021-001 (cont'd)*

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 3.a:</b> The DoD OIG recommended that the Director, DoD Office of Small Business Programs, develop and implement policies and procedures to verify and ensure that program officials develop performance work statements with contract requirements that are clear, specific, and with objective terms and measurable outcomes.</p>	<p>5 months 24 days</p>
<p><b>Rec. 3.b:</b> The DoD OIG recommended that the Director, DoD Office of Small Business Programs, develop and implement policies and procedures to require that contracting officer’s representatives maintain a contract file documenting contractor performance and the review and approval of contract deliverables.</p>	<p>5 months 24 days</p>
<p><b>Rec. 3.c:</b> The DoD OIG recommended that the Director, DoD Office of Small Business Programs, develop and implement policies and procedures to verify and ensure that contracting officer’s representatives perform required contract administration duties and hold them accountable.</p>	<p>5 months 24 days</p>
<p><b>Rec. 3.d:</b> The DoD OIG recommended that the Director, DoD Office of Small Business Programs, develop and implement policies and procedures to ensure that future information technology acquisitions have the appropriate Federal Risk and Authorization Management Program security level.</p>	<p>5 months 24 days</p>

### **Report No. DODIG-2021-041, “Evaluation of the Department of Defense Processes to Counter Radio Controlled Improvised Explosive Devices,” January 22, 2021 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.a:</b> The DoD OIG recommended that the Under Secretary of Defense for Acquisition and Sustainment revise DoD Directive 5101.14 to clarify the appointment of the Secretary of the Army as the counter radio-controlled improvised explosive device electronic warfare executive agent.</p>	<p>2 months 9 days</p>
<p><b>Rec. 1.b:</b> The DoD OIG recommended that the Under Secretary of Defense for Acquisition and Sustainment modify counter radio-controlled improvised explosive device electronic warfare executive agent responsibilities to include coordinating across the Department of Defense, with other Government agencies, and with foreign partners to ensure counter radio-controlled improvised explosive device electronic warfare unity of effort, common standards, system interoperability, and threat prioritization.</p>	<p>2 months 9 days</p>

***Under Secretary of Defense for Acquisition and Sustainment (cont'd)***

**Report No. DODIG-2021-047, "Evaluation of Department of Defense Contracting Officer Actions on Questioned Direct Costs," January 21, 2021**

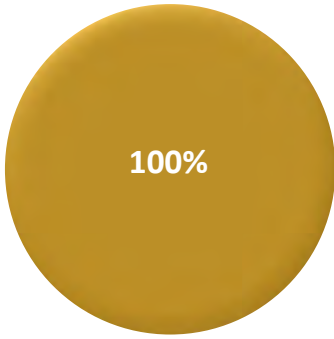
Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.7:</b> The DoD OIG recommended that the Defense Pricing and Contracting Principal Director issue guidance to the DoD Components to clarify who has the authority to settle Defense Contract Audit Agency questioned direct costs in accordance with Federal Acquisition Regulation Subpart 42.3, "Contract Administration Office Functions."</p>	<p>2 months 10 days</p>



APPENDIX A

**Statistics – Under Secretary of Defense for Research and Engineering**

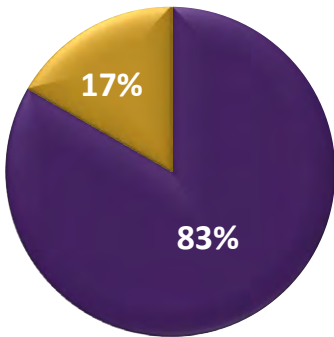
**Recommendations from 2018 Compendium**



**Recommendations from 2019 Compendium**

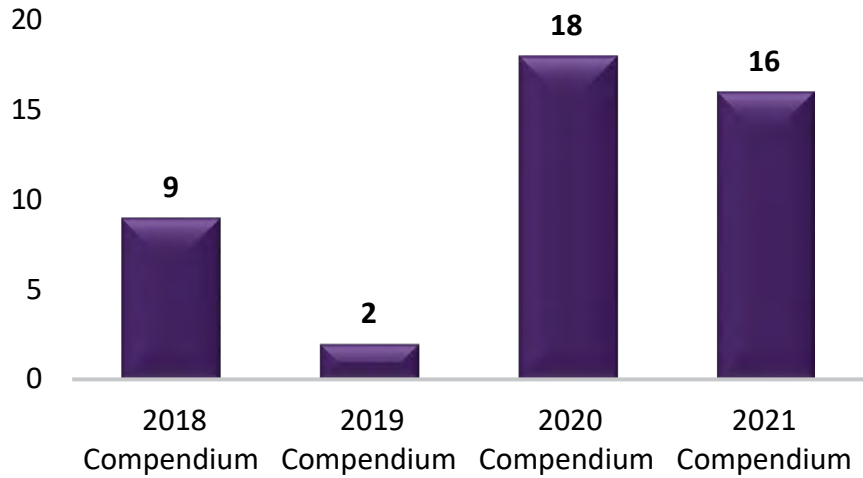


**Recommendations from 2020 Compendium**



■ Percentage remaining open as of 3/31/2021  
■ Percentage closed as of 3/31/2021

**Open Recommendations**




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Number of Unresolved Recommendations	3
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Number of Recommendations Open Longer than 5 Years	2
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Potential Monetary Benefits	\$36 million
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***Under Secretary of Defense for Research and Engineering***

**Report No. DODIG-2014-049, “DoD Considered Small Business Innovation Research Intellectual Property Protections in Phase III Contracts, but Program Improvements Are Needed,” March 27, 2014**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.a:</b> The DoD OIG recommended that the Administrator, DoD Office of Small Business Programs, Small Business Innovation Research Office, issue single, overarching guidance and related training for all DoD organizations to follow that will provide for the uniform application of intellectual property protections across DoD. Guidance and training should include:</p> <ol style="list-style-type: none"> <li>1. standard intellectual property protections within the Small Business Innovation Research Program, including the use and application of the data assertions table; and</li> <li>2. when the protection period begins and when it can be extended.</li> </ol>	<p>7 years 4 days</p>
<p><b>Rec. 1.b:</b> The DoD OIG recommended that the Administrator for the DoD Office of Small Business Programs, Small Business Innovation Research Office, issue clarifying guidance to address the requirement for organizations to provide the Small Business Administration a complete and timely notification detailing why a proposed Small Business Innovation Research Phase III contract could not be awarded to the developer. The clarifying guidance should provide a single DoD interpretation of the requirement and address reporting requirements outlined in the Small Business Administration Small Business Innovation Research Policy Directive.</p>	<p>7 years 4 days</p>

**Report No. DODIG-2020-003, “Audit of DoD’s Use of Additive Manufacturing for Sustainment Parts,” October 17, 2019 (Full Report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.a:</b> The DoD OIG recommended that the Under Secretary of Defense for Research and Engineering standardize the data to be reported by the Military Services for parts produced using additive manufacturing and additive manufacturing equipment.</p>	<p>1 year 5 months 14 days</p>
<p><b>Rec. 1.b:</b> The DoD OIG recommended that the Under Secretary of Defense for Research and Engineering standardize the data to be reported by the Military Services and Defense Logistics Agency for the amount spent on additive manufacturing.</p>	<p>1 year 5 months 14 days</p>
<p><b>Rec. 2.a:</b> The DoD OIG recommended that the Under Secretary of Defense for Research and Engineering, in coordination with the Under Secretary of Defense for Acquisition and Sustainment, develop policy that standardizes the cataloging of additively manufactured parts and update the policy as necessary after the Integrated Material Management Committee’s decision.</p>	<p>1 year 5 months 14 days</p>



## APPENDIX A

### *Under Secretary of Defense for Research and Engineering – Report No. DODIG-2020-003 (cont'd)*

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 2.b:</b> The DoD OIG recommended that the Under Secretary of Defense for Research and Engineering, in coordination with the Under Secretary of Defense for Acquisition and Sustainment, develop and require the Military Services and the Defense Logistics Agency to use a single method to share data on additively manufactured parts.</p>	<p>1 year 5 months 14 days</p>
<p><b>Rec. 2.c:</b> The DoD OIG recommended that the Under Secretary of Defense for Research and Engineering, in coordination with the Under Secretary of Defense for Acquisition and Sustainment, inform the Military Services and the Defense Logistics Agency program officers, logisticians, contracting officers, and senior DoD management about additive manufacturing and about updates to the DoD’s additive manufacturing capabilities.</p>	<p>1 year 5 months 14 days</p>
<p><b>Rec. 2.d:</b> The DoD OIG recommended that the Under Secretary of Defense for Research and Engineering, in coordination with the Under Secretary of Defense for Acquisition and Sustainment, require the Military Services and the Defense Logistics Agency to update their additive manufacturing guidance to require contracting, acquisition, logistics, and senior management officials to obtain additive manufacturing training.</p>	<p>1 year 5 months 14 days</p>
<p><b>Rec. 4:</b> The DoD OIG recommended that the Under Secretary of Defense for Research and Engineering, Under Secretary of Defense for Acquisition and Sustainment, Military Service Secretaries, and the Marine Corps Commandant conduct a review to identify the appropriate funding and number of personnel to pursue benefits of additive manufacturing throughout the DoD.</p>	<p>1 year 5 months 14 days</p>

### **Report No. DODIG-2020-066, “Audit of the Department of Defense Supply Chain Risk Management Program for Nuclear Command, Control, and Communications Systems,” March 2, 2020 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.6:</b> The DoD OIG recommended that the Commander of U.S. Strategic Command and the Under Secretary of Defense for Research and Engineering develop and implement a plan to conduct independent evaluations of supply chain risk management for nuclear command, control, and communications systems. The plan should outline responsibilities for conducting the evaluations, criteria and methodology that will be used, and timeframes for conducting the evaluations.</p>	<p>1 year 29 days</p>
<p><b>Rec. A.7.a:</b> The DoD OIG recommended that the Under Secretary of Defense for Research and Engineering, in coordination with the Under Secretary of Defense for Acquisition and Sustainment and the DoD Chief Information Officer, update DoD Instruction 5200.44 to incorporate current initiatives, roles, and responsibilities.</p>	<p>1 year 29 days</p>

# APPENDIX A

## *Under Secretary of Defense for Research and Engineering – Report No. DODIG-2020-066 (cont’d)*

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.7.b:</b> The DoD OIG recommended that the Under Secretary of Defense for Research and Engineering, in coordination with the Under Secretary of Defense for Acquisition and Sustainment and the DoD Chief Information Officer, evaluate the use of threat assessments by program offices and determine whether the assessments are effective in achieving supply chain risk management objectives by informing risk management decisions.</p>	<p>1 year 29 days</p>
<p><b>Rec. A.7.c:</b> The DoD OIG recommended that the Under Secretary of Defense for Research and Engineering, in coordination with the Under Secretary of Defense for Acquisition and Sustainment and the DoD Chief Information Officer, establish performance measures to assess the effectiveness of the Joint Federated Assurance Center in assisting program offices with supply chain risk management practices.</p>	<p>1 year 29 days</p>
<p><b>Rec. A.7.d:</b> The DoD OIG recommended that the Under Secretary of Defense for Research and Engineering, in coordination with the Under Secretary of Defense for Acquisition and Sustainment and the DoD Chief Information Officer, assess the effectiveness of supply chain risk management practices, as implemented by program offices, in mitigating risks to subcomponents in critical systems. Based on the results of the assessment, provide clarification on requirements in policy or guidance, as needed.</p>	<p>1 year 29 days</p>

## **Report No. DODIG-2020-072, “Audit of DoD Hotline Allegations Concerning the Defense Microelectronics Activity,” March 24, 2020**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1:</b> The DoD OIG recommended that the Director of Defense Research and Engineering for Research and Technology, Office of the Under Secretary of Defense for Research and Engineering, complete an assessment of the use of the existing foundry and determine whether the existing foundry is still needed.*</p>	<p>1 year 7 days</p>

\* The agreed-upon corrective actions have been completed by DoD management; however, recovery of monetary benefits from those actions is still pending.

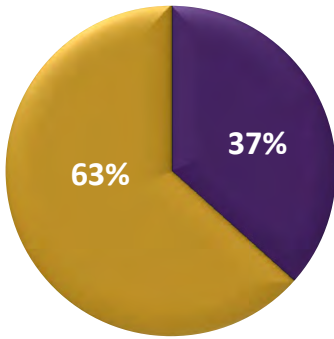
## **Report No. DODIG-2020-122, “Audit of the Supply Chain Risk Management for the Navy’s Nuclear Weapons Delivery System,” September 1, 2020 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1:</b> The DoD OIG recommended that the Under Secretary of Defense for Research and Engineering, in coordination with the Under Secretary of Defense for Acquisition and Sustainment and the DoD Chief Information Officer, revise DoD Instruction 5200.44 or issue clarifying guidance to implement DoD supply chain risk management requirements for legacy sustainment systems.</p>	<p>6 months 30 days</p>

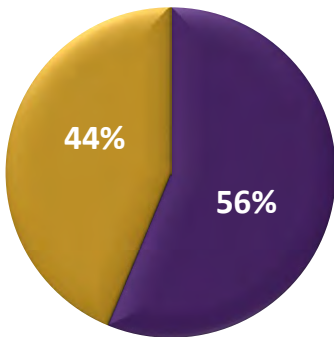
APPENDIX A

*Statistics – Under Secretary of Defense for Policy*

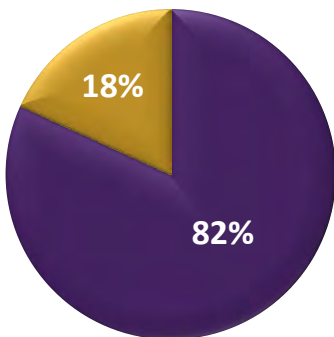
**Recommendations from 2018 Compendium**



**Recommendations from 2019 Compendium**

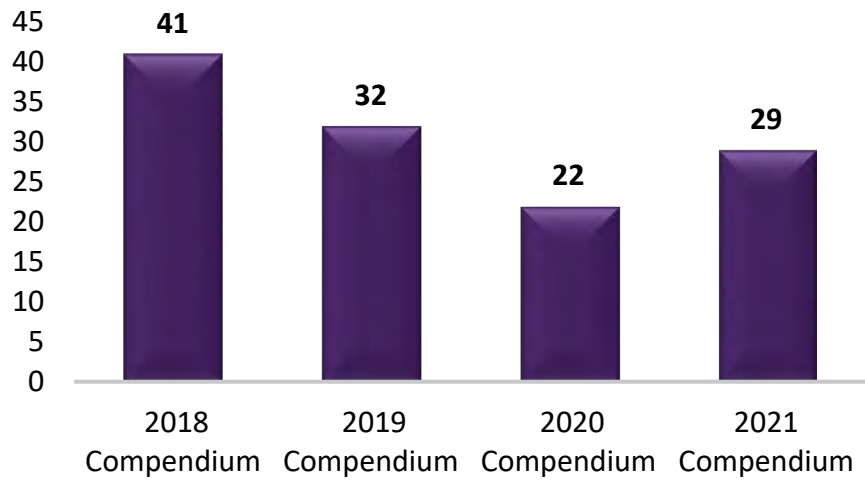


**Recommendations from 2020 Compendium**



Percentage remaining open as of 3/31/2021  
 Percentage closed as of 3/31/2021

**Open Recommendations**



Number of Unresolved Recommendations	4
Number of Recommendations Open Longer than 5 Years	5
Potential Monetary Benefits	–

APPENDIX A

**Under Secretary of Defense for Policy**

Report No. DODIG-2015-070, "Evaluation of Alternative Compensatory Control Measures Program," January 28, 2015 (Full Report is Classified)

<b>(FOUO)</b> Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>(FOUO)</b> Rec. A: The DoD OIG recommended that the [REDACTED]	6 years 2 months 3 days
<b>(FOUO)</b> Rec. B: The DoD OIG recommended that the [REDACTED]	6 years 2 months 3 days
<b>(FOUO)</b> Rec. C: The DoD OIG recommended that the [REDACTED]	6 years 2 months 3 days
<b>(FOUO)</b> Rec. D: The DoD OIG recommended that the [REDACTED]	6 years 2 months 3 days
<b>(FOUO)</b> Rec. E: The DoD OIG recommended that the [REDACTED]	6 years 2 months 3 days
<b>(FOUO)</b>	

Report No. DODIG-2016-081, "Evaluation of U.S. Intelligence and Information Sharing with Coalition Partners in Support of Operation Inherent Resolve," April 25, 2016 (Full Report is Classified)

<b>(FOUO)</b> Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>(FOUO)</b> Rec. A.1: The DoD OIG recommended that the [REDACTED]	4 years 11 months 6 days
<b>(FOUO)</b>	

## APPENDIX A

### *Under Secretary of Defense for Policy (cont'd)*

**Report No. DODIG-2016-098, "Evaluation of Foreign Officer Involvement at the United States Special Operations Command," June 15, 2016 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.1:</b> The DoD OIG recommended that the Under Secretary of Defense for Policy update DoD Directive 5230.20, "Visits and Assignments of Foreign Nationals," June 22, 2005, to include the establishment of criteria for granting exceptions to policy and clarification of guidance on the use of extended visit requests.</p>	<p>4 years 9 months 16 days</p>

**Report No. DODIG-2018-018, "Implementation of the DoD Leahy Law Regarding Allegations of Child Sexual Abuse by Members of the Afghan National Defense and Security Forces," November 16, 2017**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.1:</b> The DoD OIG recommended that the Secretary of Defense designate an Office of Primary Responsibility to develop and implement detailed procedures on gross violation of human rights reporting within the Department.</p>	<p>3 years 4 months 15 days</p>
<p><b>Rec. B.1:</b> The DoD OIG recommended that the Secretary of Defense define "credible information" as it applies to gross violation of human rights determinations and the DoD Leahy Law.</p>	<p>3 years 4 months 15 days</p>
<p><b>Rec. B.2:</b> The DoD OIG recommended that the Secretary of Defense establish the specific process by which DoD Leahy Law credible information determinations are made.</p>	<p>3 years 4 months 15 days</p>
<p><b>Rec. B.3:</b> The DoD OIG recommended that the Deputy Assistant Secretary of Defense for Afghanistan, Pakistan, and Central Asia establish and implement a records management policy for all alleged gross violations of human rights in Afghanistan. Specifically, this policy should require the Deputy Assistant Secretary of Defense for Afghanistan, Pakistan, and Central Asia to maintain documentation sufficient to identify how and why credible information determinations were made and to clearly identify what credibility determinations were made in each case.</p>	<p>3 years 4 months 15 days</p>
<p><b>Rec. C:</b> The DoD OIG recommended that the Secretary of Defense develop procedures for application of the DoD Leahy Law, as stated in our recommendations from Findings A and B, including requiring time frames for reaching credible information decisions.</p>	<p>3 years 4 months 15 days</p>
<p><b>Rec. D.1:</b> The DoD OIG recommended that the Secretary of Defense issue guidance outlining the requirements for creating and maintaining an official system to track gross violation of human rights information, which could include allegations of child sexual abuse by Afghan National Defense and Security Force personnel in Afghanistan.</p>	<p>3 years 4 months 15 days</p>

APPENDIX A

**Under Secretary of Defense for Policy – Report No. DODIG-2018-018 (cont'd)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. D.2:</b> The DoD OIG recommended that the Deputy Assistant Secretary of Defense for Afghanistan, Pakistan, and Central Asia review the United States Central Command and United States Special Operations Command historical records to determine whether allegations of child sexual abuse by Afghan National Defense Security Forces personnel are gross violations of human rights that require further review by United States Forces-Afghanistan or the Gross Violation of Human Rights Forum. Subsequently, if those allegations have credible information, determine what actions should be taken to comply with the DoD Leahy Law.</p>	<p>3 years 4 months 15 days</p>

**Report No. DODIG-2018-090, “Summary Report on U.S. Direct Funding Provided to Afghanistan,” March 21, 2018**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1:</b> The DoD OIG recommended that the Under Secretary of Defense for Policy evaluate whether using Bilateral Financial Commitment Letters is the most effective method to manage and oversee the administering and expending of U.S. direct funding to the Ministry of Defense and the Ministry of Interior and, if not, identify a more effective method. The most effective method should identify more realistic and achievable terms and conditions for the Ministry of Defense and the Ministry of Interior to accomplish and show incremental improvement and develop a formal documented process for assessing penalties against the Ministry of Defense and the Ministry of Interior for continued commitment letter violations.</p>	<p>3 years 10 days</p>

**Report No. DODIG-2019-055, “Evaluation of Integrated Joint Special Technical Operations,” February 11, 2019 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 3.a:</b> Recommendation is Classified.</p>	<p>2 years 1 month 20 days</p>
<p><b>Rec. 3.b:</b> Recommendation is Classified.</p>	<p>2 years 1 month 20 days</p>
<p><b>Rec. 3.c:</b> Recommendation is Classified.</p>	<p>2 years 1 month 20 days</p>

## APPENDIX A

### *Under Secretary of Defense for Policy (cont'd)*

**Report No. DODIG-2020-090, "Evaluation of the Department of Defense Regional Centers for Security Studies," June 10, 2020**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A:</b> The DoD OIG recommended that the Under Secretary of Defense for Policy, in coordination with the Defense Security Cooperation Agency Director, provide the Regional Centers with the technical assistance and subject matter expertise indicated by DoD Instruction 5132.14, "Assessment, Monitoring, and Evaluation Policy for the Security Cooperation Enterprise," to develop and implement performance measures to track progress on achieving program outputs and outcomes.</p>	<p>9 months 21 days</p>

**Report No. DODIG-2020-097, "Audit of Protective Security Details in the Department of Defense," June 30, 2020 (Full Report is FOUO-Law Enforcement Sensitive)**

<b>(FOUO)</b> Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.1.a:</b> The DoD OIG recommended that the Under Secretary of Defense for Policy eliminate the preassigned levels of protection for permanent high-risk personnel in DoD Instruction O-2000.22 and revise the Instruction to clarify that protection for high-risk-personnel should be based on recommendations supported in the individual high-risk personnel personal security vulnerability assessments or nomination packages.</p>	<p>9 months 1 day</p>
<p><b>(FOUO) Rec. A.1.b:</b> The DoD OIG recommended that the Under Secretary of Defense for Policy establish a working group, including representatives from each protection-providing organization, to revise DoD Instruction O-2000.22 to include guidance on whether high-risk personnel can [REDACTED] protection provided under the Instruction and a standardized waiver process and the circumstances in which a waiver might be appropriate.</p>	<p>9 months 1 day</p>
<p><b>Rec. A.1.c:</b> The DoD OIG recommended that the Under Secretary of Defense for Policy require and validate that the Assistant Secretary of Defense (Homeland Defense &amp; Global Support) performs an annual review of the protection providing organization's performance of protective security details to ensure compliance with DoD Instruction O-2000.22.</p>	<p>9 months 1 day</p>
<p><b>Rec. B.1.a.i:</b> The DoD OIG recommended that the Under Secretary of Defense for Policy establish a working group including representatives from each protection-providing organization to revise DoD Instruction O-2000.22 to include guidance on the size and number of days of advance work needed for protective security detail missions.</p>	<p>9 months 1 day</p>
<p><b>Rec. B.1.a.ii:</b> The DoD OIG recommended that the Under Secretary of Defense for Policy establish a working group including representatives from each protection-providing organization to revise DoD Instruction O-2000.22 to include guidance on use of security control rooms.</p>	<p>9 months 1 day</p>
<b>(FOUO)</b>	

APPENDIX A

**Under Secretary of Defense for Policy – Report No. DODIG-2020-097 (cont'd)**

<b>(FOUO)</b> Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. B.1.b:</b> The DoD OIG recommended that the Under Secretary of Defense for Policy require and validate that the Assistant Secretary of Defense (Homeland Defense and Global Security) perform an annual review of the protection-providing organizations’ performance of protective security details to ensure compliance with DoD Instruction O-2000.22.	9 months 1 day
<b>Rec. C.1.a:</b> The DoD OIG recommended that the Under Secretary of Defense for Policy establish a working group including representatives from each protection-providing organization to revise DoD Instruction O-2000.22 to include clarifying guidance on the maximum number of agents permanently assigned to a high-risk personnel team and that can be used when performing a protective security detail mission.	9 months 1 day
<b>Rec. C.1.b:</b> The DoD OIG recommended that the Under Secretary of Defense for Policy require and validate that the Assistant Secretary of Defense (Homeland Defense and Global Security) perform an annual review of the protection-providing organizations’ performance of protective security details to ensure compliance with DoD Instruction O-2000.22.	9 months 1 day
<b>(FOUO) Rec. D.1:</b> The DoD OIG recommended that the Under Secretary of Defense for Policy establish a working group including representatives from each protection-providing organization to revise DoD Instruction O-2000.22 to [REDACTED].	9 months 1 day
<b>(FOUO)</b>	

**Report No. DODIG-2021-065, “Evaluation of Access to Department of Defense Information Technology and Communications During the Coronavirus Disease–2019 Pandemic,” March 30, 2021**

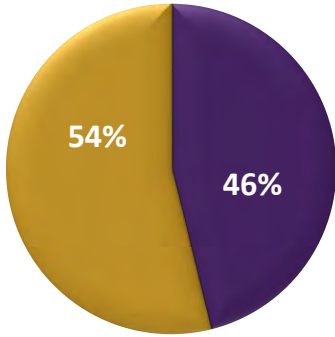
Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 2:</b> The DoD OIG recommended that the Under Secretary of Defense for Policy, in coordination with the Under Secretary of Defense for Personnel and Readiness, establish management oversight procedures to verify that DoD Components have performed the testing, training, and exercise requirements of the DoD Implementation Plan for Pandemic Influenza and the DoD Telework Policy. The oversight procedures should assess the ability of DoD Components to support Government-wide mandated telework, including the results from tests of network and communications systems and telework exercises with personnel.	1 day



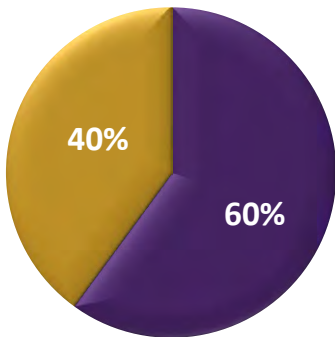
APPENDIX A

**Statistics – Under Secretary of Defense (Comptroller)**

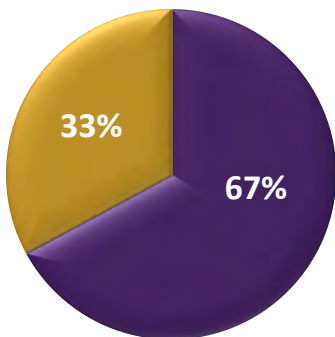
**Recommendations from 2018 Compendium**



**Recommendations from 2019 Compendium**

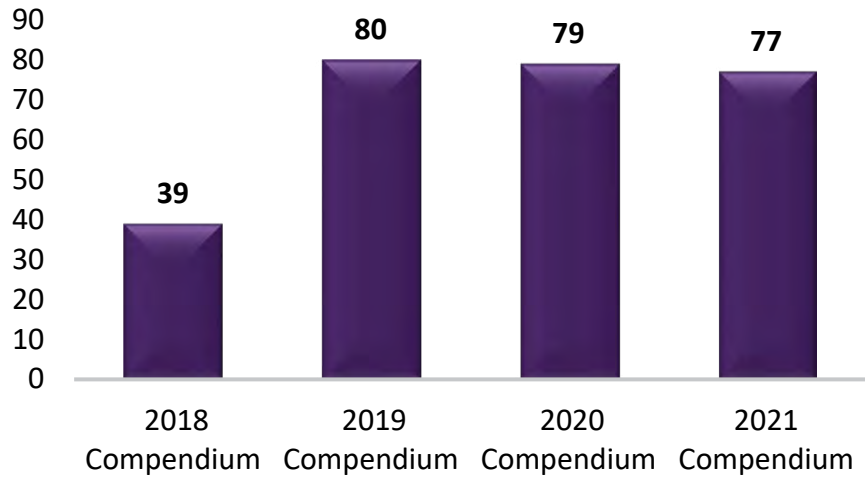


**Recommendations from 2020 Compendium**



Percentage remaining open as of 3/31/2021  
 Percentage closed as of 3/31/2021

**Open Recommendations**



Number of Unresolved Recommendations	2
Number of Recommendations Open Longer than 5 Years	10
Potential Monetary Benefits	\$29 million

APPENDIX A

**Under Secretary of Defense (Comptroller)**

**Report No. D-2009-062, “Internal Controls Over DoD Cash and Other Monetary Assets,” March 25, 2009**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.1.a:</b> The DoD OIG recommended that the Office of the Under Secretary of Defense (Comptroller)/Chief Financial Officer, DoD, charge a proper appropriation, or coordinate with the Office of Management and Budget and the U.S. Treasury to:</p> <ol style="list-style-type: none"> <li>1. obtain a waiver to hold a certain amount of cash without charging an appropriation, or</li> <li>2. establish a new U.S. Treasury account symbol to charge when cash is obtained from the U.S. Treasury.</li> </ol>	<p>12 years 6 days</p>
<p><b>Rec. A.1.b:</b> The DoD OIG recommended that the Office of the Under Secretary of Defense (Comptroller)/Chief Financial Officer, DoD, revise DoD Financial Management Regulation 7000.14, volume 5, to reflect the implementation of Recommendation A.1.a.(1)-(2).</p>	<p>12 years 6 days</p>

**Report No. DODIG-2012-107, “Defense Finance and Accounting Service Needs to Improve the Process for Reconciling the Other Defense Organizations’ Fund Balance with Treasury,” July 9, 2012**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.a:</b> The DoD OIG recommended that the Defense Finance and Accounting Service-Indianapolis Director develop a systems infrastructure that will allow personnel to readily retrieve the detailed transactions supporting all open appropriations that the Accounts Maintenance and Control branch is responsible for accounting for and reconciling on the Cash Management Report.*</p>	<p>8 years 8 months 22 days</p>

\* Responsibility for implementing Recommendation 1.a was transferred from DFAS to OUSD(C).

**Report No. DODIG-2013-070, “Defense Agencies Initiative Did Not Contain Some Required Data Needed to Produce Reliable Financial Statements,” April 19, 2013**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 2.a:</b> The DoD OIG recommended that the Under Secretary of Defense (Comptroller)/Chief Financial Officer, DoD, revise the guidance contained in the DoD Financial Management Regulation, volume 6B, chapter 5, paragraph 050301.B. to require costs of program reported in the Statement of Net Cost to be accounted for by program costs and not by appropriation, enabling the use of the Program Indicator Code attribute.</p>	<p>7 years 11 months 12 days</p>

## APPENDIX A

### *Under Secretary of Defense (Comptroller) (cont'd)*

**Report No. DODIG-2015-056, "Opportunities to Improve the Elimination of Intragovernmental Transactions in DoD Financial Statements," December 22, 2014**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.b:</b> The DoD OIG recommended that the Under Secretary of Defense (Comptroller)/Chief Financial Officer, DoD, review the results of the Department of the Treasury Invoice Processing Platform pilot program at the U.S. Marine Corps to determine whether it should be implemented throughout the DoD. If it is determined that the Invoice Processing Platform should be implemented throughout the DoD, develop cost estimates and obtain funding for implementing the Invoice Processing Platform across the DoD.</p>	<p>6 years 3 months 9 days</p>
<p><b>Rec. 1.f:</b> The DoD OIG recommended that the Under Secretary of Defense (Comptroller)/Chief Financial Officer, DoD, review the results of the Department of the Treasury Invoice Processing Platform pilot program at the U.S. Marine Corps to determine whether it should be implemented throughout the DoD. If it is determined that the Invoice Processing Platform should be implemented throughout the DoD, ensure implementation guidance includes procedures for reconciling and eliminating intragovernmental transactions other than Buy/Sell intragovernmental transactions, including intragovernmental Benefit, Fiduciary, and Transfer transactions.</p>	<p>6 years 3 months 9 days</p>

**Report No. DODIG-2016-064, "Other Defense Organizations and Defense Finance and Accounting Service Controls Over High-Risk Transactions Were Not Effective," March 28, 2016**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.a:</b> The DoD OIG recommended that the Under Secretary of Defense (Comptroller)/Chief Financial Officer, DoD, and the Deputy Chief Management Officer develop a coordinated and standardized strategy with the Defense Finance and Accounting Service and the Other Defense Organizations to exchange and manage problem disbursement data. The strategy should focus on the end-to-end integrated business process that includes the identification of key internal and compensating controls at the Defense Finance and Accounting Service and the Other Defense Organizations.</p>	<p>5 years 3 days</p>
<p><b>Rec. 1.b:</b> The DoD OIG recommended that the Under Secretary of Defense (Comptroller)/Chief Financial Officer, DoD, and the Deputy Chief Management Officer oversee the implementation of the strategy developed to exchange and manage problem disbursements to ensure that the process is standardized and systemized for the Other Defense Organizations.</p>	<p>5 years 3 days</p>

**Under Secretary of Defense (Comptroller) (cont'd)**

**Report No. DODIG-2016-066, "Improvements Could Be Made in Reconciling Other Defense Organizations' Civilian Pay to the General Ledger," March 25, 2016**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.d:</b> The DoD OIG recommended that the Defense Finance and Accounting Service-Indianapolis Director revise existing Standard Operating Procedures to clearly describe the civilian pay reconciliation process. At a minimum, the Standard Operating Procedure should:</p> <ol style="list-style-type: none"> <li>1. identify all the components involved in the reconciliation process;</li> <li>2. define the roles and responsibilities of components involved in the Other Defense Organizations civilian pay reconciliations;</li> <li>3. provide the general ledger accounts (budgetary and proprietary) that are used in the reconciliation processes; and</li> <li>4. establish procedures to check the accuracy of the system-generated payroll accrual entry in the Defense Agency Initiatives general ledger system.*</li> </ol>	<p>5 years 6 days</p>
<p><b>Rec. 1.e:</b> The DoD OIG recommended that the Defense Finance and Accounting Service-Indianapolis Director centralize the Other Defense Organizations civilian payroll reconciliations processes.*</p>	<p>5 years 6 days</p>

\* Responsibility for implementing Recommendations 1.d and 1.e was transferred from DFAS to OUSD(C).

**Report No. DODIG-2016-086, "DoD Met Most Requirements of the Improper Payments Elimination and Recovery Act in FY 2015, but Improper Payment Estimates Were Unreliable," May 3, 2016**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.b:</b> The DoD OIG recommended that the Under Secretary of Defense (Comptroller)/Chief Financial Officer, DoD, determine the source of all disbursed obligations not reviewed for improper payments and whether those disbursements are subject to improper payment reporting requirements.</p>	<p>4 years 10 months 28 days</p>

**Report No. DODIG-2016-126, "Improvements Needed In Managing the Other Defense Organizations' Suspense Accounts," August 25, 2016**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.1.b:</b> The DoD OIG recommended that the Directors of Defense Finance and Accounting Service-Indianapolis and -Columbus obtain the complete universe of detailed transactions supporting the suspense account balances, perform regular and recurring reconciliations of the data, and remediate any deficiencies that impact the accuracy of the balances.*</p>	<p>4 years 7 months 6 days</p>

## APPENDIX A

### *Under Secretary of Defense (Comptroller) – Report No. DODIG-2016-126 (cont’d)*

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B.1.b:</b> The DoD OIG recommended that the Directors of Defense Finance and Accounting Service-Indianapolis and -Columbus, in coordination with the Office of the Under Secretary of Defense (Comptroller)/Chief Financial Officer, DoD, establish, in coordination with the Office of Management and Budget and the U.S. Treasury, special fund accounts for recording and reporting the revenue-generating transactions and a deposit fund account for properly recording Thrift Savings Plan transactions.*</p>	<p>4 years 7 months 6 days</p>

\* Responsibility for implementing Recommendations A.1.b and B.1.b was transferred from DFAS to OUSD(C).

### **Report No. DODIG-2017-078, “The DoD Did Not Comply With the Improper Payment Elimination and Recovery Act in FY 2016,” May 8, 2017**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.a.1:</b> The DoD OIG recommended that the Under Secretary of Defense (Comptroller)/Chief Financial Officer coordinate with DoD Improper Payment Elimination and Recovery Act reporting Components to verify that all payments are assessed for the risk of improper payments or are reporting estimated improper payments.</p>	<p>3 years 10 months 23 days</p>

### **Report No. DODIG-2018-020, “DoD Compliance With the Digital Accountability and Transparency Act of 2014,” November 8, 2017**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B.1:</b> The DoD OIG recommended that the Senior Accountable Official work with the Office of the Under Secretary of Defense (Comptroller), the Office of the Under Secretary of Defense for Acquisition, Technology, and Logistics (Defense Procurement and Acquisition Policy), and the Office of the Assistant Secretary of Defense (Research and Engineering) personnel to develop Digital Accountability and Transparency Act processes, procedures, and internal controls to ensure compliance with Office of Management and Budget and Department of the Treasury Government-wide data elements.</p>	<p>3 years 4 months 23 days</p>

**Under Secretary of Defense (Comptroller) (cont'd)**

**Report No. DODIG-2018-021, "U.S. Army Corps of Engineers Compliance With the Digital Accountability and Transparency Act of 2014," November 8, 2017**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.1.a:</b> The DoD OIG recommended that the Senior Accountable Official responsible for the U.S. Army Corps of Engineers' Digital Accountability and Transparency Act compliance work with the DoD and the Department of the Treasury to develop processes and procedures to identify and separate U.S. Army Corps of Engineers award data from the DoD data to ensure compliance with Digital Accountability and Transparency Act requirements, or combine the DoD and U.S. Army Corps of Engineers submissions into one Digital Accountability and Transparency Act submission including both DoD and U.S. Army Corps of Engineers data.</p>	<p>3 years 4 months 23 days</p>

**Report No. DODIG-2018-041, "The Defense Finance and Accounting Service Financial Reporting Process for Other Defense Organizations' General Funds," December 15, 2017**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.a:</b> The DoD OIG recommended that the Under Secretary of Defense (Comptroller)/Deputy Chief Financial Officer manage the development of a universe of Other Defense Organizations' General Fund transactions.</p>	<p>3 years 3 months 16 days</p>
<p><b>Rec. 3.c:</b> The DoD OIG recommended that the Director of Defense Finance and Accounting Service Enterprise Solutions and Standards monitor the status of the open recommendation and, when appropriate, expedite the implementation of the last phase of the Department 97 Reconciliation and Reporting Tool and develop milestones for its implementation.*</p>	<p>3 years 3 months 16 days</p>

\* Responsibility for implementing Recommendations 3.c was transferred from DFAS to OUSD(C).

**Report No. DODIG-2018-120, "The Treasury Index 97 Cash Management Report," May 23, 2018**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.a:</b> The DoD OIG recommended that the Office of the Under Secretary of Defense (Comptroller)/Deputy Chief Financial Officer create individual Defense Working Capital Fund accounts at the Department of the Treasury for the Defense Information Systems Agency, Defense Logistics Agency, and Defense Finance and Accounting Service.</p>	<p>2 years 10 months 8 days</p>
<p><b>Rec. 1.b:</b> The DoD OIG recommended that the Office of the Under Secretary of Defense (Comptroller)/Deputy Chief Financial Officer oversee the corrections to the Cash Management Report or develop a single, consolidated Treasury Index 97 Fund Balance With Treasury reconciliation tool that allows stakeholders to perform detailed reconciliations for the Treasury Index 97 Fund Balance With Treasury accounts at the voucher level.</p>	<p>2 years 10 months 8 days</p>

# APPENDIX A

## *Under Secretary of Defense (Comptroller) – Report No. DODIG-2018-120 (cont’d)*

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.c:</b> The DoD OIG recommended that the Office of the Under Secretary of Defense (Comptroller)/Deputy Chief Financial Officer develop and issue policy establishing that Defense Finance and Accounting Service Manual 7097.01, “Financial Management Departmental Reporting Manual for the Office of the Secretary of Defense (Treasury Index 97) Appropriations,” is the authoritative list of approved limits and requiring the use of these limits when executing Treasury Index 97 transactions.</p>	<p>2 years 10 months 8 days</p>
<p><b>Rec. 1.d:</b> The DoD OIG recommended that the Office of the Under Secretary of Defense (Comptroller)/Deputy Chief Financial Officer develop a plan to reduce the number and dollar amount of unidentified limits used for Treasury Index 97 appropriations.</p>	<p>2 years 10 months 8 days</p>
<p><b>Rec. 1.e:</b> The DoD OIG recommended that the Office of the Under Secretary of Defense (Comptroller)/Deputy Chief Financial Officer establish metrics that report the number of transactions in unidentified limits and the total absolute dollar amount of these transactions by accounting and disbursing system monthly.</p>	<p>2 years 10 months 8 days</p>
<p><b>Rec. 1.f:</b> The DoD OIG recommended that the Office of the Under Secretary of Defense (Comptroller)/Deputy Chief Financial Officer work with the Department of the Treasury to either establish Fund Balance With Treasury accounts for select Other Defense Organizations when appropriate or establish four-digit limits for Treasury Index 97 Fund Balance With Treasury accounts in the Central Accounting and Reporting System.</p>	<p>2 years 10 months 8 days</p>
<p><b>Rec. 1.g:</b> The DoD OIG recommended that the Office of the Under Secretary of Defense (Comptroller)/Deputy Chief Financial Officer develop a comprehensive Treasury Index 97 Fund Balance With Treasury account reconciliation process that incorporates the entire Fund Balance With Treasury universe of transactions (funding, collections, disbursements, and transfers of funds) in accordance with the DoD Financial Management Regulation.</p>	<p>2 years 10 months 8 days</p>
<p><b>Rec. 1.h:</b> The DoD OIG recommended that the Office of the Under Secretary of Defense (Comptroller)/Deputy Chief Financial Officer require DoD disbursing stations to report transaction-level data to the Department of the Treasury on a daily basis.</p>	<p>2 years 10 months 8 days</p>

**Under Secretary of Defense (Comptroller) (cont'd)**

**Report No. DODIG-2019-039, "Reporting of Improper Payments for the Defense Finance and Accounting Service Commercial Pay Program," December 21, 2018**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.c:</b> The DoD OIG recommended that the Under Secretary of Defense (Comptroller)/Chief Financial Officer, DoD, in coordination with the Defense Finance and Accounting Service Enterprise Solutions and Standards Director, conduct an annual review of the Defense Finance and Accounting Service Commercial Pay program through the Senior Accountable Officials Steering Committee and Action Officers Working Group to identify all types of payments made across DoD Components; verify that existing risk assessments and sampling plans cover all defined commercial payment types; and update risk assessments and sampling plans for program segments that experienced a significant change in legislation or a significant increase in funding level.</p>	<p>2 years 3 months 10 days</p>

**Report No. DODIG-2019-041, "DoD Civilian Pay Budgeting Process," January 3, 2019 (Full Report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.a:</b> The DoD OIG recommended that the Under Secretary of Defense (Comptroller)/Chief Financial Officer implement additional internal controls to document and communicate procedures to current and future budget officials across the Department of Defense. Specifically, the DoD OIG recommended that the Under Secretary of Defense (Comptroller)/Chief Financial Officer update the DoD Financial Management Regulation, volume 2A, chapters 1 and 3, to include:</p> <ol style="list-style-type: none"> <li>1. recurring instructions from the Budget Estimate Submission guidance and President's Budget guidance that are not unique to a particular year;</li> <li>2. a guide from the Defense Finance and Accounting Service's payroll system's gross reconciliation codes to the OP-8 and OP-32 budget exhibit line items and personnel categories;</li> <li>3. further clarification for calculating full-time equivalents and straight-time hours worked; and</li> <li>4. a requirement to include variable costs in the Services' and Defense agencies' budget requests.</li> </ol>	<p>2 years 2 months 28 days</p>



# APPENDIX A

## *Under Secretary of Defense (Comptroller) – Report No. DODIG-2019-041 (cont’d)*

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.b:</b> The DoD OIG recommended that the Under Secretary of Defense (Comptroller)/Chief Financial Officer implement additional internal controls to document and communicate procedures to current and future budget officials across the Department of Defense. Specifically, the DoD OIG recommended that the Under Secretary of Defense (Comptroller)/Chief Financial Officer develop a civilian pay budget analyst career path and require Department of Defense civilian pay budget development training as part of the Department of Defense Financial Management certification program.</p>	<p>2 years 2 months 28 days</p>
<p><b>Rec. 1.c:</b> The DoD OIG recommended that the Under Secretary of Defense (Comptroller)/Chief Financial Officer implement additional internal controls to document and communicate procedures to current and future budget officials across the Department of Defense. Specifically, the DoD OIG recommended that the Under Secretary of Defense (Comptroller)/Chief Financial Officer require its analysts to document their procedures, lessons learned, and standard lists of reports and analyses to mitigate the risks of having corporate knowledge limited to a single person or losing the corporate knowledge if key analysts vacate positions, in accordance with GAO 14 704G, “Standards for Internal Control in the Federal Government,” September 2014.</p>	<p>2 years 2 months 28 days</p>
<p><b>Rec. 1.d:</b> The DoD OIG recommended that the Under Secretary of Defense (Comptroller)/Chief Financial Officer implement additional internal controls to document and communicate procedures to current and future budget officials across the Department of Defense. Specifically, the DoD OIG recommended that the Under Secretary of Defense (Comptroller)/Chief Financial Officer require the Services and Defense agencies to document their budget development procedures, calculations, and lessons learned to mitigate the risks of having the corporate knowledge limited to a single person or losing the corporate knowledge if key officials vacate positions, in accordance with GAO 14 704G, “Standards for Internal Control in the Federal Government,” September 2014.</p>	<p>2 years 2 months 28 days</p>

APPENDIX A

**Under Secretary of Defense (Comptroller) – Report No. DODIG-2019-041 (cont’d)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.e:</b> The DoD OIG recommended that the Under Secretary of Defense (Comptroller)/Chief Financial Officer implement additional internal controls to document and communicate procedures to current and future budget officials across the Department of Defense. Specifically, the DoD OIG recommended that the Under Secretary of Defense (Comptroller)/Chief Financial Officer develop and require a budget submission checklist to provide additional assurance that the Services and Defense agencies accurately and completely develop their budgets in accordance with the Office of Management and Budget Circular No. A-11 and the DoD Financial Management Regulation. The checklist should include directions and reminders for the Services and Defense agencies, including, but not limited to:</p> <ol style="list-style-type: none"> <li>1. comparison of the printed budget exhibits to the data submitted to the Office of the Under Secretary of Defense (Comptroller);</li> <li>2. verification that the data submitted in the Program Resource Collection Process system and the Comptroller Information System match and that the data in the OP-8, OP-5, and OP-32 budget exhibits match;</li> <li>3. verification that the Service consulted the annual update of OMB Circular No. A-11;</li> <li>4. comparison of the actual civilian pay costs reported in the OP-8 budget exhibit by object class code to payroll data obtained from Defense Finance and Accounting Service;</li> <li>5. verification that the budgeted variable costs reported in the OP-8 budget exhibit were consistent with the actual variable costs reported in the execution data submitted to Congress;</li> <li>6. verification that the Office of Management and Budget pay raises were correctly applied to the first full pay period of the calendar year, instead of the fiscal year; and</li> <li>7. verification of compliance with all special instructions and non-recurring requirements that are explained in the annual Budget Estimate Submission and President’s Budget guidance.</li> </ol>	<p>2 years 2 months 28 days</p>

**Report No. DODIG-2019-056, “Accounting and Financial Reporting for the Military Housing Privatization Initiative,” February 12, 2019 (Full Report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.1.a.1:</b> The DoD OIG recommended that the DoD Deputy Chief Financial Officer issue interim policy until the Department of the Treasury updates the U.S. Standard General Ledger and coordinate with the Treasury to update the U.S. Standard General Ledger with guidance on how to record equity investments in Military Housing Privatization Initiative projects, including the cash and real property contributed.</p>	<p>2 years 1 month 19 days</p>

# APPENDIX A

## Under Secretary of Defense (Comptroller) – Report No. DODIG-2019-056 (cont’d)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.1.a.2:</b> The DoD OIG recommended that the DoD Deputy Chief Financial Officer issue interim policy until the Department of the Treasury updates the U.S. Standard General Ledger and coordinate with the Treasury to update the U.S. Standard General Ledger with guidance on how to record the sale of equity investments in Military Housing Privatization Initiative projects.</p>	<p>2 years 1 month 19 days</p>
<p><b>Rec. A.1.a.3:</b> The DoD OIG recommended that the DoD Deputy Chief Financial Officer issue interim policy until the Department of the Treasury updates the U.S. Standard General Ledger and coordinate with the Treasury to update the U.S. Standard General Ledger with guidance on how to record equity investment profits and losses allocated to the Military Departments for Military Housing Privatization Initiative projects.</p>	<p>2 years 1 month 19 days</p>
<p><b>Rec. A.1.b:</b> The DoD OIG recommended that the DoD Deputy Chief Financial Officer update the DoD Chart of Accounts and the DoD Transaction Library to comply with new Department of the Treasury U.S. Standard General Ledger Chart of Accounts and Transaction Guidance on accounting for equity investments, once established.</p>	<p>2 years 1 month 19 days</p>
<p><b>Rec. A.1.c.1:</b> The DoD OIG recommended that the DoD Deputy Chief Financial Officer issue accounting policy and implement oversight controls that ensure the Military Departments identify and provide Defense Finance and Accounting Service-Indianapolis personnel with the documentation needed to support, record, and correctly report DoD Agency-Wide Financial Statement amounts related to Government Direct Loans and Government Loan Guarantees, including private loan disbursement confirmations for loans guaranteed.</p>	<p>2 years 1 month 19 days</p>
<p><b>Rec. A.1.c.2:</b> The DoD OIG recommended that the DoD Deputy Chief Financial Officer issue accounting policy and implement oversight controls that ensure the Military Departments identify and provide Defense Finance and Accounting Service-Indianapolis personnel with the documentation needed to support, record, and report in the DoD Agency-Wide Financial Statements the equity investment profits and losses allocated to the Military Departments.</p>	<p>2 years 1 month 19 days</p>
<p><b>Rec. A.1.c.3:</b> The DoD OIG recommended that the DoD Deputy Chief Financial Officer issue accounting policy and implement oversight controls that ensure the Military Departments identify and provide Defense Finance and Accounting Service-Indianapolis personnel with the documentation needed to report in the DoD Agency-Wide Financial Statements all Government Direct Loan and Government Loan Guarantee information required by the Office of Management and Budget Circular No. A 136, Statement of Federal Financial Accounting Standards No. 18, and the DoD Financial Management Regulation, volume 6B, chapter 10.</p>	<p>2 years 1 month 19 days</p>
<p><b>Rec. A.1.d:</b> The DoD OIG recommended that the DoD Deputy Chief Financial Officer issue updated accounting policy with specific guidance on how real property ownership transferred to projects as equity investments should be recorded in DoD financial systems and reported in the DoD Agency-Wide Financial Statements, along with the responsibilities of each DoD organization involved.</p>	<p>2 years 1 month 19 days</p>

**Under Secretary of Defense (Comptroller) – Report No. DODIG-2019-056 (cont’d)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.2.a:</b> The DoD OIG recommended that the Defense Finance and Accounting Service-Indianapolis Director review the accounting transactions for all equity investments and revise the transactions as needed to comply with the updated DoD Chart of Accounts and the DoD Transaction Library.</p>	<p>2 years 1 month 19 days</p>
<p><b>Rec. A.2.f.1:</b> The DoD OIG recommended that the Defense Finance and Accounting Service-Indianapolis Director coordinate with the Military Department program and financial management personnel to develop and implement procedures to record and report real property ownership transferred to equity investment projects as increases to Other Investments.</p>	<p>2 years 1 month 19 days</p>
<p><b>Rec. A.2.f.2:</b> The DoD OIG recommended that the Defense Finance and Accounting Service-Indianapolis Director coordinate with the Military Department program and financial management personnel to develop and implement procedures to record and report equity investment profits and losses allocated to the Military Departments as changes to Other Investments and disclose a description of the accounting method used to account for equity investments.</p>	<p>2 years 1 month 19 days</p>
<p><b>Rec. A.2.f.3:</b> The DoD OIG recommended that the Defense Finance and Accounting Service-Indianapolis Director coordinate with the Military Department program and financial management personnel to develop and implement procedures to identify and report all required Government Direct Loan and Government Loan Guarantee information.</p>	<p>2 years 1 month 19 days</p>
<p><b>Rec. A.3.a:</b> The DoD OIG recommended that the Under Secretary of Defense (Comptroller)/Chief Financial Officer, DoD, ensure that the real property ownership transferred to projects as equity investments are reported in the DoD Agency-Wide Financial Statements prior to issuance.</p>	<p>2 years 1 month 19 days</p>
<p><b>Rec. A.3.b:</b> The DoD OIG recommended that the Under Secretary of Defense (Comptroller)/Chief Financial Officer, DoD, ensure that equity investment profits and losses allocated to the Military Departments, along with the accounting method used, are reported in the DoD Agency-Wide Financial Statements prior to issuance.</p>	<p>2 years 1 month 19 days</p>
<p><b>Rec. B.3:</b> The DoD OIG recommended that the DoD Deputy Chief Financial Officer and DoD Deputy Comptroller for Program/Budget coordinate with the Department of the Treasury and the Office of Management and Budget to update the U.S. Standard General Ledger and DoD accounting policy to provide guidance on whether the funding for equity investments should be initially considered expended and whether any portion of equity investment sales proceeds are available without a new appropriation.</p>	<p>2 years 1 month 19 days</p>

## APPENDIX A

### *Under Secretary of Defense (Comptroller) (cont'd)*

**Report No. DODIG-2019-066, "Summary Audit of Systemic Weaknesses in the Cost of War Reports," March 22, 2019**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 3:</b> The DoD OIG recommended that the Deputy Comptroller (Program/Budget), Office of the Under Secretary of Defense (Comptroller)/Chief Financial Officer, DoD, in coordination with the Defense Finance and Accounting Service Director and each Service's Assistant Secretary for Financial Management and Comptroller, develop and implement a review process to verify that DoD Components update their management tools and accounting systems to properly identify and record war-related overseas contingency operation costs.</p>	<p>2 years 9 days</p>

**Report No. DODIG-2019-087, "Audit of the DoD's FY 2018 Compliance With the Improper Payments Elimination and Recovery Act Requirements," May 15, 2019**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.d:</b> The DoD OIG recommended that the Under Secretary of Defense (Comptroller)/Chief Financial Officer, DoD, ensure that Components establish aggressive yet realistic improper payment reduction targets for each program.</p>	<p>1 year 10 months 16 days</p>
<p><b>Rec. 2.a:</b> The DoD OIG recommended that the Under Secretary of Defense (Comptroller)/Chief Financial Officer, DoD, in coordination with the Defense Finance and Accounting Service Director, develop a process that uses the amount paid for the Commercial Pay and DoD Travel Pay programs.</p>	<p>1 year 10 months 16 days</p>
<p><b>Rec. 2.b:</b> The DoD OIG recommended that the Under Secretary of Defense (Comptroller)/Chief Financial Officer, DoD, in coordination with the Defense Finance and Accounting Service Director, develop and implement sufficient control measures in the population review process to ensure that the DoD includes all necessary payments for Military Pay, Civilian Pay, Military Retirement, and DoD Travel Pay populations and reports accurate improper payment estimates in the Agency Financial Report.</p>	<p>1 year 10 months 16 days</p>
<p><b>Rec. 5:</b> The DoD OIG recommended that the Under Secretary of Defense (Comptroller)/Chief Financial Officer, DoD, in coordination with the Defense Finance and Accounting Service Director and other DoD Components, establish an improper payment review process for the Civilian Pay program that examines supporting documentation and verifies that civilian employees are eligible for the payments that they received.</p>	<p>1 year 10 months 16 days</p>

**Under Secretary of Defense (Comptroller) (cont'd)**

**Report No. DODIG-2020-077, "Evaluation of Niger Air Base 201 Military Construction," March 31, 2020  
(Full Report is FOUO)**

<b>(FOUO)</b> Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>(FOUO) Rec. 5:</b> The DoD OIG recommended that the Under Secretary of Defense (Comptroller)/Chief Financial Officer, DoD, conduct a review of the Air Force programming actions [REDACTED] to determine whether the programming actions for Air Base 201 are in accordance with applicable appropriation laws and regulation.	1 year
<b>(FOUO)</b>	

**Report No. DODIG-2020-114, "Audit of Department of Defense Use of Security Assistance Program Funds and Asset Accountability," August 17, 2020**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. A.1.a:</b> The DoD OIG recommended that the Under Secretary of Defense (Comptroller)/Chief Financial Officer, DoD, work with the DoD Components to identify and track all the DoD civilian employees who provide any support to the security assistance programs.	7 months 14 days
<b>Rec. A.1.b:</b> The DoD OIG recommended that the Under Secretary of Defense (Comptroller)/Chief Financial Officer, DoD, work with the DoD Components to determine whether their current staff level is adequate to support their security assistance mission and request additional security assistance-funded positions, as needed.	7 months 14 days
<b>Rec. A.1.c:</b> The DoD OIG recommended that the Under Secretary of Defense (Comptroller)/Chief Financial Officer, DoD, work with the DoD Components to identify and recover all security assistance-related salary expenses for each DoD civilian employee between FYs 2014 and 2019 from the Defense Security Cooperation Agency.	7 months 14 days
<b>Rec. A.1.d:</b> The DoD OIG recommended that the Under Secretary of Defense (Comptroller)/Chief Financial Officer, DoD, work with the DoD Components to develop, document, and implement Component-level policies and procedures to identify, track, and recover salary expenses for DoD civilians who support security assistance programs in future years.	7 months 14 days
<b>Rec. A.1.e:</b> The DoD OIG recommended that the Under Secretary of Defense (Comptroller)/Chief Financial Officer, DoD, work with the DoD Components to identify all DoD civilians who support security assistance programs full-time and ensure their positions are designated as security assistance positions within the Defense Civilian Payroll System. Employees who support security assistance programs full-time should be paid directly from the Foreign Military Sales Trust Fund.	7 months 14 days

# APPENDIX A

## Under Secretary of Defense (Comptroller) – Report No. DODIG-2020-114 (cont’d)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.1.f:</b> The DoD OIG recommended that the Under Secretary of Defense (Comptroller)/Chief Financial Officer, DoD, work with the DoD Components to reprogram the Defense Civilian Payroll System to allow for DoD civilian employees to be paid from multiple appropriations.</p>	<p>7 months 14 days</p>
<p><b>Rec. A.1.g:</b> The DoD OIG recommended that the Under Secretary of Defense (Comptroller)/Chief Financial Officer, DoD, work with the DoD Components to recover the security assistance-related costs from the Defense Security Cooperation Agency for changes to the Defense Civilian Payroll System necessary to correct position records and to pay personnel from multiple appropriations.</p>	<p>7 months 14 days</p>
<p><b>Rec. A.1.h:</b> The DoD OIG recommended that the Under Secretary of Defense (Comptroller)/Chief Financial Officer, DoD, work with the DoD Components to identify and recover any storage costs that they did not recover for storing security assistance assets at all DoD facilities between FYs 2014 and 2019 from the Defense Security Cooperation Agency.</p>	<p>7 months 14 days</p>
<p><b>Rec. A.1.i:</b> The DoD OIG recommended that the Under Secretary of Defense (Comptroller)/Chief Financial Officer, DoD, work with the DoD Components to develop, document, and implement Component-level policies and procedures to identify, track, and recover storage expenses for storing security assistance assets at DoD facilities in future years.</p>	<p>7 months 14 days</p>
<p><b>Rec. A.1.j:</b> The DoD OIG recommended that the Under Secretary of Defense (Comptroller)/Chief Financial Officer, DoD, work with the DoD Components to recover all operating costs that the implementing agencies did not recover for providing administrative space to security assistance personnel at all DoD facilities between FYs 2014 and 2019 from the Defense Security Cooperation Agency.</p>	<p>7 months 14 days</p>
<p><b>Rec. A.1.k:</b> The DoD OIG recommended that the Under Secretary of Defense (Comptroller)/Chief Financial Officer, DoD, work with the DoD Components to develop, document, and implement Component-level policies and procedures to identify, track, and recover all operating costs for DoD facilities used to support security assistance programs in future years. This includes identifying where employees who support security assistance programs sit at all DoD facilities.</p>	<p>7 months 14 days</p>
<p><b>Rec. A.1.l:</b> The DoD OIG recommended that the Under Secretary of Defense (Comptroller)/Chief Financial Officer, DoD, work with the DoD Components to perform an assessment of DoD facilities to determine whether administrative space shortages exist and can be reduced by relocating security assistance personnel to commercial lease space. The assessment should be provided to the DoD Office of Inspector General for review.</p>	<p>7 months 14 days</p>
<p><b>Rec. A.2.a:</b> The DoD OIG recommended that the Under Secretary of Defense (Comptroller)/Chief Financial Officer, DoD, revise DoD Regulation 7000.14-R, “DoD Financial Management Regulation,” Volume 15, “Security Cooperation Policy,” Chapter 7, “Pricing,” to clarify that DoD Components are required to recover all security assistance-related salary expenses.</p>	<p>7 months 14 days</p>



**Under Secretary of Defense (Comptroller) – Report No. DODIG-2020-114 (cont’d)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.2.b:</b> The DoD OIG recommended that the Under Secretary of Defense (Comptroller)/Chief Financial Officer, DoD, work with the Deputy Under Secretary of the Air Force for International Affairs to relocate security assistance personnel and necessary equipment from Wright-Patterson Air Force Base to commercial lease space. The relocation expenses and commercial lease space should be paid with Foreign Military Sales administrative funds.</p>	<p>7 months 14 days</p>
<p><b>Rec. A.2.c:</b> The DoD OIG recommended that the Under Secretary of Defense (Comptroller)/Chief Financial Officer, DoD, work with the appropriate personnel at the Army, Navy, Air Force, and Defense Logistics Agency to perform a preliminary review of potential Antideficiency Act violations that may have occurred within their organizations by subsidizing security assistance-related expenses with appropriated funds. The review should be completed within 16 weeks of initial discovery as required by DoD Regulation 7000.14-R, “DoD Financial Management Regulation,” Volume 14, “Administrative Control of Funds and Antideficiency Act Violations,” Chapter 3, “Antideficiency Act Violation Process,” and the results of the preliminary investigation should be provided to the DoD Office of Inspector General.</p>	<p>7 months 14 days</p>
<p><b>Rec. A.2.d:</b> The DoD OIG recommended that the Under Secretary of Defense (Comptroller)/Chief Financial Officer, DoD, track the dollar amount of costs recovered for security assistance-related administrative expenses, including salary, storage, and facility expenses.</p>	<p>7 months 14 days</p>
<p><b>Rec. A.2.e:</b> The DoD OIG recommended that the Under Secretary of Defense (Comptroller)/Chief Financial Officer, DoD, track the dollar amount of future savings for security assistance-related administrative expenses, including salary, storage, and facility expenses.</p>	<p>7 months 14 days</p>
<p><b>Rec. A.2.f:</b> The DoD OIG recommended that the Under Secretary of Defense (Comptroller)/Chief Financial Officer, DoD, require the Service audit organizations and internal audit organizations within the DoD Components to audit their organizations’ security assistance-related cost recovery processes and procedures on an annual basis.</p>	<p>7 months 14 days</p>
<p><b>Rec. B.1.a:</b> The DoD OIG recommended that the Under Secretary of Defense (Comptroller)/Chief Financial Officer, DoD, work with the Deputy Assistant Secretary of the Army for Defense Exports and Cooperation to recover funds from the Defense Security Cooperation Agency in the amount equal to the current market price of the chemical-biological masks that Army personnel shipped to foreign customers.</p>	<p>7 months 14 days</p>
<p><b>Rec. B.1.b:</b> The DoD OIG recommended that the Under Secretary of Defense (Comptroller)/Chief Financial Officer, DoD, work with the Deputy Assistant Secretary of the Army for Defense Exports and Cooperation to initiate an investigation to determine why the Special Defense Acquisition Fund masks were misplaced and take appropriate action in accordance with DoD Regulation 7000.14-R, “DoD Financial Management Regulation,” Volume 12, “Special Accounts, Funds, and Programs,” Chapter 7, “Financial Liability for Government Property Lost, Damaged, Destroyed, or Stolen.”</p>	<p>7 months 14 days</p>



# APPENDIX A

## *Under Secretary of Defense (Comptroller) – Report No. DODIG-2020-114 (cont’d)*

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B.2.a:</b> The DoD OIG recommended that the Under Secretary of Defense (Comptroller)/Chief Financial Officer, DoD, work with the Under Secretary of Defense for Acquisition and Sustainment and the DoD Components to develop, document, and implement Component-level inventory management policies and procedures to prevent DoD personnel from shipping DoD assets to foreign customers, unless a valid reason exists. The procedures should include a supervisory review of all materiel release orders to foreign customers. The review should be documented and maintained in the case files.</p>	<p>7 months 14 days</p>
<p><b>Rec. B.2.b:</b> The DoD OIG recommended that the Under Secretary of Defense (Comptroller)/Chief Financial Officer, DoD, work with the Under Secretary of Defense for Acquisition and Sustainment and the DoD Components to develop, document, and implement an internal control environment at DoD facilities that prevents DoD assets from being misplaced in the future.</p>	<p>7 months 14 days</p>
<p><b>Rec. B.2.c:</b> The DoD OIG recommended that the Under Secretary of Defense (Comptroller)/Chief Financial Officer, DoD, work with the Under Secretary of Defense for Acquisition and Sustainment and the DoD Components to incorporate all security assistance assets into their inventory and property management systems. The DoD Components should be able to identify the quantity, location, and value of security assistance assets in their custody on demand when requested by management and stakeholders.</p>	<p>7 months 14 days</p>

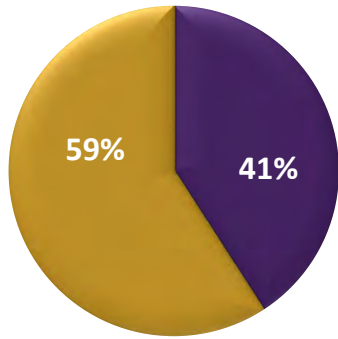
## **Report No. DODIG-2021-024, “Audit of the Accuracy of the Improper Payment Estimates Reported for Mechanization of Contract Administration Services System,” November 12, 2020**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 5:</b> The DoD OIG recommended that the Under Secretary of Defense (Comptroller)/Chief Financial Officer, DoD, in coordination with the Director of Accounting Operations for the Defense Finance and Accounting Service-Columbus, and the contracting agencies, conduct a root cause analysis on the Short Pay transactions to prevent future occurrences.</p>	<p>4 months 19 days</p>

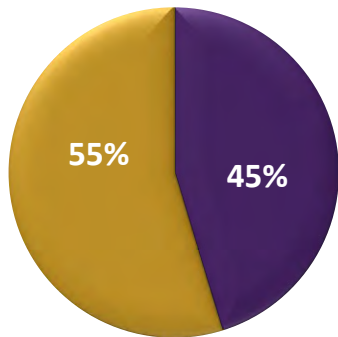


**Statistics – Under Secretary of Defense for Personnel and Readiness**

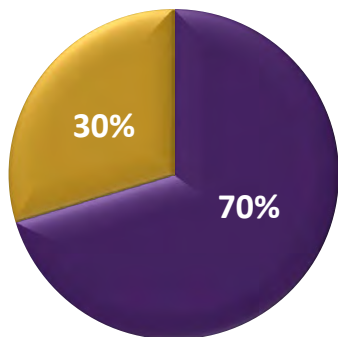
**Recommendations from 2018 Compendium**





**Recommendations from 2019 Compendium**

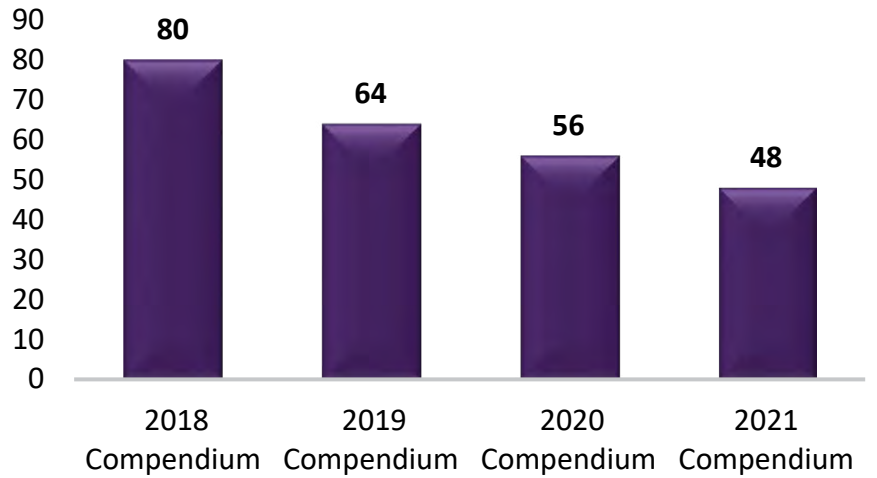


**Recommendations from 2020 Compendium**



 Percentage remaining open as of 3/31/2021  
 Percentage closed as of 3/31/2021

**Open Recommendations**



Number of Unresolved Recommendations	2
Number of Recommendations Open Longer than 5 Years	14
Potential Monetary Benefits	–

## APPENDIX A

### *Under Secretary of Defense for Personnel and Readiness*

Report No. DODIG-2014-121, "Military Housing Inspections - Japan," September 30, 2014

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. D.2.a-b:</b> The DoD OIG recommended that the Office of the Under Secretary of Defense for Acquisition, Technology, and Logistics include guidance for both accompanied and unaccompanied housing within the Overseas Environmental Baseline Guidance Document for:</p> <ul style="list-style-type: none"> <li>a. control and remediation of mold; and</li> <li>b. radon evaluation and mitigation.*</li> </ul>	<p>6 years 6 months 1 day</p>

\* Responsibility for implementing Recommendations D.2.a-b was transferred from USD(A&S) to USD(P&R).

Report No. DODIG-2015-001, "Assessment of the Department of Defense Prisoner of War/Missing in Action Accounting Community," October 17, 2014

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 5:</b> The DoD OIG recommended that the Under Secretary of Defense for Personnel and Readiness establish DoD-wide policy regarding the disinterment of unknowns from past conflicts.</p>	<p>6 years 5 months 14 days</p>

Report No. DODIG-2015-002, "Assessment of DoD-Provided Healthcare for Members of the United States Armed Forces Reserve Components," October 8, 2014

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 4:</b> The DoD OIG recommended that the Under Secretary of Defense for Personnel and Readiness establish policy that assigns responsibilities to Commanders and medical authorities to manage medical histories and line of duty documentation for deployed or temporary duty Reserve Component service members in a standardized manner across all Services so that both are complete and available to their units in a timely manner.</p>	<p>6 years 5 months 23 days</p>
<p><b>Rec. 5:</b> The DoD OIG recommended that the Under Secretary of Defense for Personnel and Readiness establish standardized DoD form(s) and procedures that provide access for all Reserve Component service members to line of duty care at all military treatment facilities.</p>	<p>6 years 5 months 23 days</p>

## APPENDIX A

### *Under Secretary of Defense for Personnel and Readiness (cont'd)*

**Report No. DODIG-2015-013, "Military Housing Inspections - Republic of Korea," October 28, 2014**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. D.2.a-b:</b> The DoD OIG recommended that the Office of the Under Secretary of Defense for Acquisition, Technology, and Logistics include guidance for both accompanied and unaccompanied housing within the Overseas Environmental Baseline Guidance Document for:</p> <ul style="list-style-type: none"> <li>a. control and remediation of mold; and</li> <li>b. radon evaluation and mitigation.*</li> </ul>	6 years 5 months 3 days

\* Responsibility for implementing Recommendations D.2.a-b was transferred from USD(A&S) to USD(P&R).

**Report No. DODIG-2015-016, "Department of Defense Suicide Event Report Data Quality Assessment," November 14, 2014**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 2.a:</b> The DoD OIG recommended that the Under Secretary of Defense for Personnel and Readiness publish guidance requiring suicide event boards to establish a multidisciplinary approach for obtaining the data necessary to make comprehensive Department of Defense Suicide Event Report submissions. For each suicide death, this board should:</p> <ol style="list-style-type: none"> <li>1. be a locally (command or installation level) chartered board with defined task, purpose, and outcome for each suicide death review;</li> <li>2. include participation by unit leadership, medical/mental health organizations, and Military Criminal Investigative organizations; and</li> <li>3. articulate the requirement to appropriately share information (for example, medical and law enforcement reports) from ongoing investigations.</li> </ol>	6 years 4 months 17 days
<p><b>Rec. 3.a:</b> The DoD OIG recommended that the Under Secretary of Defense for Personnel and Readiness, in accordance with Recommendation 2.a, publish guidance requiring a suicide event board to enable a multidisciplinary approach for obtaining the data required to make a comprehensive Department of Defense Suicide Event Report submission.</p>	6 years 4 months 17 days
<p><b>Rec. 4.a:</b> The DoD OIG recommended that the Under Secretary of Defense for Personnel and Readiness authorize senior commanders to produce unit/installation reports to better understand suicide trends, make informed local suicide prevention policy, and relate their trends to Service and DoD trends.</p>	6 years 4 months 17 days

## APPENDIX A

### *Under Secretary of Defense for Personnel and Readiness (cont'd)*

**Report No. DODIG-2015-078, "Evaluation of the Defense Criminal Investigative Organizations' Compliance with the Lautenberg Amendment Requirements and Implementing Guidance," February 6, 2015**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B.1:</b> The DoD OIG recommended that the Office of the Deputy Assistant Secretary of Defense for Military Community and Family Policy revise DoD Instruction 6400.06 to incorporate language requiring commanders and supervisors to advise all employees (military and civilian) found to have a qualifying conviction to dispose of their privately owned firearms and ammunitions in accordance with the law.</p>	<p>6 years 1 month 25 days</p>
<p><b>Rec. C.1:</b> The DoD OIG recommended that the Office of the Deputy Assistant Secretary of Defense for Military Community and Family Policy revise DoD Instruction 6400.06 to require all employees (military and civilian) serving in a covered position to complete the DD Form 2760 annually, at a minimum.</p>	<p>6 years 1 month 25 days</p>
<p><b>Rec. D:</b> The DoD OIG recommended that the Office of the Deputy Assistant Secretary of Defense for Military Community and Family Policy revise DoD Instruction 6400.06 by removing the requirement for a separate memorandum of understanding executed between civilian law enforcement and the Military Criminal Investigative Organizations.</p>	<p>6 years 1 month 25 days</p>

**Report No. DODIG-2015-148, "Rights of Conscience Protections for Armed Forces Service Members and Their Chaplains," July 22, 2015**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 7:</b> The DoD OIG recommended that the Under Secretary of Defense for Personnel and Readiness, in coordination with the Office of Diversity Management and Equal Opportunity, the Service Military Equal Opportunity and Inspectors General Offices, and the Defense Privacy and Civil Liberties Division, develop a more efficient and effective means of gathering data in support of the mandated report to Congress detailing DoD civil liberties oversight efforts, including the data regarding the status of rights of conscience protections for service members.</p>	<p>5 years 8 months 9 days</p>

**Report No. DODIG-2016-002, "DoD Needs a Comprehensive Approach to Address Workplace Violence," October 15, 2015**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 2.a:</b> The DoD OIG recommended that the Under Secretary of Defense for Personnel and Readiness, based on the results of Recommendation 1, revise current policies and procedures and integrate existing programs to develop a comprehensive DoD-wide approach to address prevention and response to workplace violence.</p>	<p>5 years 5 months 16 days</p>

APPENDIX A

**Under Secretary of Defense for Personnel and Readiness – Report No. DODIG-2016-002 (cont’d)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 2.b:</b> The DoD OIG recommended that the Under Secretary of Defense for Personnel and Readiness develop and issue interim, comprehensive DoD-wide policy for the prevention and response to workplace violence until the publication of final policies and procedures.</p>	<p>5 years 5 months 16 days</p>

**Report No. DODIG-2017-038, “Assessment of Warriors in Transition Program Oversight,” December 31, 2016**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B.1:</b> The DoD OIG recommended that the Deputy Assistant Secretary of Defense (Warrior Care Policy) establish guidance for writing Recovery Coordination Program oversight reports that include the requirement to specifically assign a person or organization to take action on each recommendation.</p>	<p>4 years 3 months</p>
<p><b>Rec. B.2:</b> The DoD OIG recommended that the Deputy Assistant Secretary of Defense (Warrior Care Policy) establish policy that ensures followup of all Recovery Coordination Program oversight report recommendations until corrective actions are complete.</p>	<p>4 years 3 months</p>

**Report No. DODIG-2017-123, “The Troops-to-Teachers Program,” September 28, 2017**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.a:</b> The DoD OIG recommended that the Assistant Secretary of Defense for Readiness develop and implement policies to clearly define the Troops-to-Teachers program requirements for participant eligibility.</p>	<p>3 years 6 months 3 days</p>
<p><b>Rec. 1.b:</b> The DoD OIG recommended that the Assistant Secretary of Defense for Readiness develop and implement policies to implement, manage, and oversee the Troops-to-Teachers grant program to ensure the planned way forward complies with regulations.</p>	<p>3 years 6 months 3 days</p>
<p><b>Rec. 2.a:</b> The DoD OIG recommended that the Naval Education and Training Command Commander direct Troops-to-Teachers management to develop procedures for reviewing participant applications that align with newly developed Troops-to-Teachers policy.</p>	<p>3 years 6 months 3 days</p>
<p><b>Rec. 2.b:</b> The DoD OIG recommended that the Naval Education and Training Command Commander direct Troops-to-Teachers management to review the current standard operating procedures in coordination with management officials and the Office of General Counsel to ensure they fully comply with 10 U.S.C. § 1154 (2015) and finalize the procedures when new policy is developed.</p>	<p>3 years 6 months 3 days</p>
<p><b>Rec. 2.c:</b> The DoD OIG recommended that the Naval Education and Training Command Commander direct Troops-to-Teachers management to provide training for all Government and contract employees working with the Troops-to-Teachers program after new policy and procedures are created.</p>	<p>3 years 6 months 3 days</p>

# APPENDIX A

## *Under Secretary of Defense for Personnel and Readiness (cont'd)*

**Report No. DODIG-2018-036, "DoD's Response to the Patient Safety Elements in the 2014 Military Health System Review," December 14, 2017**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. D.2:</b> The DoD OIG recommended that the Under Secretary of Defense for Personnel and Readiness establish and implement specific Department of Defense policy on fatigue risk management for Military Health System staff.	3 years 3 months 17 days

**Report No. DODIG-2018-095, "Defense Human Resources Activity Reimbursable Agreements," March 27, 2018**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. B.1.b:</b> The DoD OIG recommended that the Defense Human Resources Activity Director implement procedures to review all reimbursable programs to identify and correct funding and reimbursement processes that are not cost-effective.	3 years 4 days
<b>Rec. B.2.c:</b> The DoD OIG recommended that the Defense Human Resources Activity Director implement its corrective action plans, document Defense Agencies Initiative procedures, and test Defense Agencies Initiatives to ensure corresponding revenue and expense transactions are recorded in the same reporting period, including procedures to reconcile revenue and expense transactions, as required by DoD Regulation 7000.14-R, "DoD Financial Management Regulation," volume 4, chapters 16 and 17.	3 years 4 days
<b>Rec. B.3:</b> The DoD OIG recommended that the Defense Human Resources Activity Director, in coordination with the Director of Defense Finance and Accounting Service-Columbus, develop and implement a plan to identify and correct all misstated account balances converted from the Defense Business Management System, including the \$4.7 million misstatement due to expense transactions exceeding revenue transactions and the \$9.3 million misstatement due to incorrectly accounting for advanced billing in prior fiscal years.	3 years 4 days

**Report No. DODIG-2018-096, "Followup Audit: The Defense Enrollment Eligibility Reporting System Security Posture," March 30, 2018 (Full Report is FOUO)**

<b>(FOUO)</b>	
<b>(FOUO)</b>	
Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>(FOUO) Rec. 1.a:</b> The DoD OIG recommended that the Defense Manpower Data Center Director update the Defense Enrollment Eligibility Reporting System server ██████████ in accordance with National Institute of Standards and Technology Special Publication 800-53 requirements.	3 years 1 day
<b>Rec. 1.b:</b> The DoD OIG recommended that the Defense Manpower Data Center Director establish a centralized procedure for out-processing terminated personnel.	3 years 1 day
<b>(FOUO)</b>	

APPENDIX A

**Under Secretary of Defense for Personnel and Readiness – Report No. DODIG-2018-096 (cont’d)**

<b>(FOUO)</b> Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 1.c:</b> The DoD OIG recommended that the Defense Manpower Data Center Director identify and appoint trusted agents responsible for revoking access for out-processing terminated personnel.	3 years 1 day
<b>(FOUO) Rec. 1.d:</b> The DoD OIG recommended that the Defense Manpower Data Center Director [REDACTED]	3 years 1 day
<b>(FOUO)</b>	

**Report No. DODIG-2019-079, “Audit of the Identification and Training of DoD’s Operational Contract Support Workforce,” April 16, 2019**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 1:</b> The DoD OIG recommended that the Under Secretary of Defense for Personnel and Readiness collaborate with Under Secretary of Defense for Acquisition and Sustainment, Joint Staff, applicable Defense agencies, combatant commands, and Military Services to conduct an Operational Contract Support Functional Competency Model assessment for DoD military personnel.	1 year 11 months 15 days

**Report No. DODIG-2019-081, “Audit of Training Ranges Supporting Aviation Units in the U.S. Indo-Pacific Command,” April 17, 2019 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 1.a:</b> The DoD OIG recommended that in accordance with Public Law 115-232, Section 2862, paragraphs a through c, the Under Secretaries of Defense for Personnel and Readiness and for Acquisition and Sustainment, in coordination with the Services, review the individual Services’ range plans, including the response provided to address the requirement of the National Defense Authorization Act, and determine whether Service solutions to training limitations can be accomplished across the DoD. The review should include live, virtual, constructive, and regionalization training.	1 year 11 months 14 days
<b>Rec. 1.b:</b> The DoD OIG recommended that in accordance with Public Law 115-232, Section 2862, paragraphs a through c, the Under Secretaries of Defense for Personnel and Readiness and for Acquisition and Sustainment, in coordination with the Services, develop and implement a plan to field and sustain DoD-wide solutions to address training gaps, including addressing: <ol style="list-style-type: none"> <li>1. the airspace and impact area needs of advanced aircraft and weapons, such as the F-35; and</li> <li>2. the need to join neighboring airspace on a continuing basis.</li> </ol>	1 year 11 months 14 days



## APPENDIX A

### *Under Secretary of Defense for Personnel and Readiness – Report No. DODIG-2019-081 (cont'd)*

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 2:</b> The DoD OIG recommended that the Under Secretary of Defense for Personnel and Readiness, in coordination with the Army and the Air Force, develop and implement plans to synchronize Army and Air Force range management and range use in Alaska for:</p> <ul style="list-style-type: none"> <li>a. joint training events,</li> <li>b. individual through collective level training for the Army and the Air Force, and</li> <li>c. future F-35 training needs across the DoD to ensure readiness and the ability to accomplish operation plans.</li> </ul>	<p>1 year 11 months 14 days</p>

### **Report No. DODIG-2019-084, “Evaluation of the Operations and Management of Military Cemeteries,” May 20, 2019**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.1:</b> The DoD OIG recommended that the Under Secretary of Defense for Personnel and Readiness develop standardized training for Cemetery Responsible Officials, including procedures on how to record burials and how to order headstones from the Department of Veterans Affairs.</p>	<p>1 year 10 months 11 days</p>
<p><b>Rec. A.2:</b> The DoD OIG recommended that the Under Secretary of Defense for Personnel and Readiness develop and publish business rules to standardize the method for adjudicating data discrepancies and inaccuracies.</p>	<p>1 year 10 months 11 days</p>
<p><b>Rec. A.3:</b> The DoD OIG recommended that the Under Secretary of Defense for Personnel and Readiness conduct a census of Military Cemeteries by applying the business rules referred to in the previous recommendation and direct a conversion to full use of digital records.</p>	<p>1 year 10 months 11 days</p>
<p><b>Rec. B.1:</b> The DoD OIG recommended that the Under Secretary of Defense for Personnel and Readiness, in coordination with the Under Secretary of Defense for Acquisition and Sustainment, publish a comprehensive instruction that provides guidance on operation of the Military Cemeteries, including management, accountability, and inspections.</p>	<p>1 year 10 months 11 days</p>

### **Report No. DODIG-2019-125, “Evaluation of the DoD’s Handling of Incidents of Sexual Assault Against (or Involving) Cadets at the United States Air Force Academy,” September 30, 2019**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. D.1:</b> The DoD OIG recommended that the Under Secretary of Defense for Personnel and Readiness develop and institute a process to ensure that the accurate number of reports of sexual assaults made to the United States Air Force Family Advocacy Program are included in all future annual reports on Sexual Harassment and Violence at the Military Service Academies.</p>	<p>1 year 6 months 1 day</p>

***Under Secretary of Defense for Personnel and Readiness (cont'd)***

**Report No. DODIG-2020-082, “Evaluation of the DoD’s Management of Health and Safety Hazards in Government-Owned and Government-Controlled Military Family Housing,” April 30, 2020**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1:</b> The DoD OIG recommended that the Under Secretary of Defense for Acquisition and Sustainment and the Under Secretary of Defense for Personnel and Readiness collaboratively establish or revise appropriate DoD policy(s) to address health and safety hazards—including lead-based paint, asbestos-containing material, radon, fire and electrical safety, drinking water quality, window fall prevention, mold, carbon monoxide, and pest management—in military family housing to manage health, safety, and environmental risks to acceptable levels for military family housing residents.</p>	<p>11 months 1 day</p>

**Report No. DODIG-2020-127, “Evaluation of the Department of Defense and Department of Defense Education Activity Responses to Incidents of Serious Juvenile-on-Juvenile Misconduct on Military Installations,” September 4, 2020**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.1.b:</b> The DoD OIG recommended that the Department of Defense Education Activity Director develop an ASPEN regulation that details what information should be included in an ASPEN report.</p>	<p>6 months 27 days</p>
<p><b>Rec. A.1.c:</b> The DoD OIG recommended that the Department of Defense Education Activity Director perform trend analysis and use the results to provide guidance and target problems, as required by Department of Defense Education Activity Regulation 4700.02.</p>	<p>6 months 27 days</p>
<p><b>Rec. B.1.a:</b> The DoD OIG recommended that the Under Secretary of Defense for Personnel and Readiness develop policy that specifies how installation commanders should address serious juvenile-on-juvenile misconduct incidents.</p>	<p>6 months 27 days</p>
<p><b>Rec. B.1.b:</b> The DoD OIG recommended that the Under Secretary of Defense for Personnel and Readiness develop policy that identifies which support agency will provide counseling support services to victims and offenders of serious juvenile-on-juvenile misconduct incidents.</p>	<p>6 months 27 days</p>

# APPENDIX A

## *Under Secretary of Defense for Personnel and Readiness (cont'd)*

Report No. DODIG-2020-133, "Evaluation of Department of Defense Medical Treatment Facility Challenges During the Coronavirus Disease–2019 (COVID-19) Pandemic," September 30, 2020

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.a:</b> The DoD OIG recommended that the Under Secretary of Defense for Personnel and Readiness, in conjunction with the Assistant Secretary of Defense for Health Affairs and Secretaries of the Military Departments, establish a working group within 30 days of this report’s publication, to address the personnel, supplies, testing capabilities, information technology, communication, and lines of authority challenges that we identified during the Coronavirus Disease–2019 pandemic that exist between the Services and the Defense Health Agency. The working group should establish milestones to develop guidance for coordinating the staffing of multi-Service military treatment facilities during a pandemic.</p>	<p>6 months 1 day</p>
<p><b>Rec. 1.c:</b> The DoD OIG recommended that the Under Secretary of Defense for Personnel and Readiness, in conjunction with the Assistant Secretary of Defense for Health Affairs and Secretaries of the Military Departments, establish a working group within 30 days of this report’s publication, to address the personnel, supplies, testing capabilities, information technology, communication, and lines of authority challenges that we identified during the Coronavirus Disease–2019 pandemic that exist between the Services and the Defense Health Agency. The working group should establish milestones to create a pandemic-related informational website and a toll-free number for beneficiaries to find Coronavirus Disease–2019-related information and ensure the website and toll-free number are advertised and maintained.</p>	<p>6 months 1 day</p>
<p><b>Rec. 1.d:</b> The DoD OIG recommended that the Under Secretary of Defense for Personnel and Readiness, in conjunction with the Assistant Secretary of Defense for Health Affairs and Secretaries of the Military Departments, establish a working group within 30 days of this report’s publication, to address the personnel, supplies, testing capabilities, information technology, communication, and lines of authority challenges that we identified during the Coronavirus Disease–2019 pandemic that exist between the Services and the Defense Health Agency. The working group should establish milestones to issue clarifying guidance for defining essential personnel for civilian healthcare workers.</p>	<p>6 months 1 day</p>
<p><b>Rec. 1.e:</b> The DoD OIG recommended that the Under Secretary of Defense for Personnel and Readiness, in conjunction with the Assistant Secretary of Defense for Health Affairs and Secretaries of the Military Departments, establish a working group within 30 days of this report’s publication, to address the personnel, supplies, testing capabilities, information technology, communication, and lines of authority challenges that we identified during the Coronavirus Disease–2019 pandemic that exist between the Services and the Defense Health Agency. The working group should establish milestones to update contracts to allow for more flexibility regarding the use of contracted personnel during extenuating circumstances, such as a pandemic.</p>	<p>6 months 1 day</p>

***Under Secretary of Defense for Personnel and Readiness (cont'd)***

**Report No. DODIG-2021-066, "Evaluation of Department of Defense Voting Assistance Program for Calendar Year 2020," March 29, 2021**

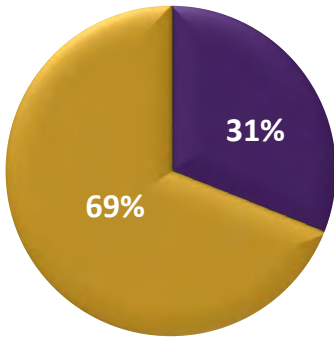
Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1:</b> The DoD OIG recommended that the Director of the Federal Voting Assistance Program develop and implement agreements, such as memorandums of understanding, with all external stakeholder agencies to enhance outreach and ensure a collaborative and efficient effort to support Uniformed and Overseas Citizen Absentee Voter Act voters and their eligible family members, including those in deployed, dispersed, and tenant organizations.</p>	<p>1 day</p>



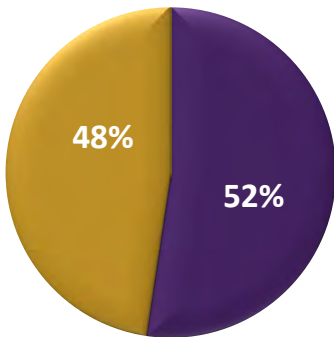
APPENDIX A

**Statistics – Under Secretary of Defense for Intelligence and Security**

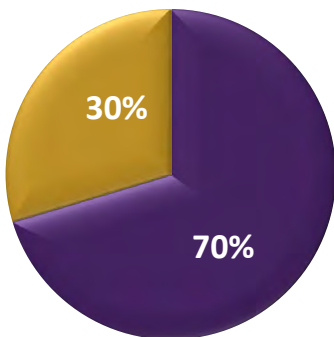
**Recommendations from 2018 Compendium**



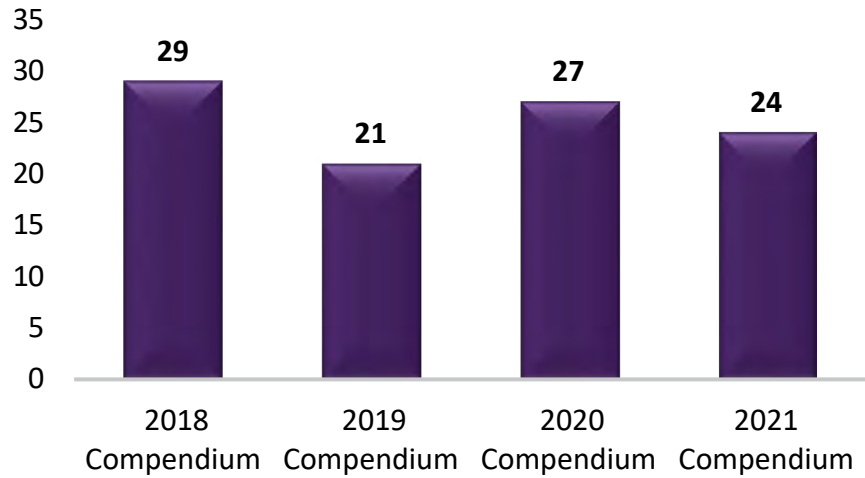
**Recommendations from 2019 Compendium**





**Recommendations from 2020 Compendium**



**Open Recommendations**



Number of Unresolved Recommendations	4
Number of Recommendations Open Longer than 5 Years	8
Potential Monetary Benefits	–

 Percentage remaining open as of 3/31/2021  
 Percentage closed as of 3/31/2021

***Under Secretary of Defense for Intelligence and Security***

**Report No. DODIG-2013-072, “Data Loss Prevention Strategy Needed for the Case Adjudication Tracking System,” April 24, 2013 (Full Report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B:</b> The DoD OIG recommended that the Director of Information Management for the Department of Army Military Intelligence and the Program Executive Officer for the Defense Logistics Agency immediately move the back-up servers to an approved location outside of the geographic region that complies with Federal and DoD information assurance requirements. If moving the back-up servers is not immediately feasible, request an interim waiver from the Designated Approving Authority and develop a time-phased plan to move the back-up servers outside of the geographic region.*</p>	<p>7 years 11 months 7 days</p>

\* Responsibility for implementing Recommendation B was transferred from OUSD(P&R) to OUSD(I&S).

**Report No. DODIG-2013-112, “Assessment of DoD Long-Term Intelligence Analysis Capabilities,” August 5, 2013 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.1:</b> The DoD OIG recommended that the Office of the Under Secretary of Defense for Intelligence, partnering with the Defense Intelligence Agency, the Combatant Commands, and the Services, develop an All-Source Analysis certification program that leads to training, developing, and retaining a more experienced and robust workforce. We recommend that such a program includes common core analytical skills and performance standards, and an enterprise-wide all-source analysis occupational-specialty career track and development program.</p>	<p>7 years 7 months 26 days</p>

**Report No. DODIG-2014-060, “An Assessment of Contractor Personnel Security Clearance Processes in the Four Defense Intelligence Agencies,” April 14, 2014**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.1:</b> The DoD OIG recommended that the Under Secretary of Defense for Intelligence develop and issue an overarching policy governing operation of the System of Record for Personnel Security Clearances.</p>	<p>6 years 11 months 17 days</p>
<p><b>Rec. B.1.a:</b> The DoD OIG recommended that the Under Secretary of Defense for Intelligence prepare an overarching policy governing the operation of the Defense Central Index of Investigations, including identification of the categories of investigations to be titled and indexed, and the retention criteria for investigations so titled and indexed.</p>	<p>6 years 11 months 17 days</p>
<p><b>Rec. B.1.b:</b> The DoD OIG recommended that the Under Secretary of Defense for Intelligence direct the Defense intelligence agencies to review the procedures that their Offices of Security use to ensure that the Joint Personnel Adjudicative System and SCATTERED CASTLES system are being properly populated.</p>	<p>6 years 11 months 17 days</p>

# APPENDIX A

## *Under Secretary of Defense for Intelligence and Security – Report No. DODIG-2014-060 (cont'd)*

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B.1.d:</b> The DoD OIG recommended that the Under Secretary of Defense for Intelligence conduct one of the following actions to ensure subjects of past investigations are titled and indexed in the Defense Central Index of Investigations:</p> <ol style="list-style-type: none"> <li>1. initiate action with the Office of Personnel and Management to require that Office of Personnel and Management investigators conducting background investigations on current and former civilian employees, military assignees, and contract employees of the Defense intelligence agencies conduct name checks with the inspectors general of those agencies; or</li> <li>2. direct that the directors of the agencies ensure that the subjects of past agency inspector general criminal investigations are titled and indexed in the Defense Central Index of Investigations.</li> </ol>	<p>6 years 11 months 17 days</p>

## **Report No. DODIG-2015-011, “Evaluation of the Defense Criminal Investigative Organizations’ Defense Incident-Based Reporting System Reporting and Reporting Accuracy,” October 29, 2014**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.a:</b> The DoD OIG recommended that the Defense Human Resources Activity Director provide functional guidance to the Defense Manpower Data Center and the Defense Incident-Based Reporting System data submitters by reestablishing the cross-functional Defense Incident-Based Reporting System Council to provide a forum for the exchange of information, best practices, and the continuing operation of the Defense Incident-Based Reporting System, as required by DoD Manual 7730.47-M, volume 1.*</p>	<p>6 years 5 months 2 days</p>

\* Responsibility for implementing Recommendation 1.a was transferred from OUSD(P&R) to OUSD(I&S).

## **Report No. DODIG-2015-064, “Assessment of Intelligence Support to In-Transit Force Protection,” January 2, 2015 (Full Report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B:</b> The DoD OIG recommended that the Under Secretary of Defense for Intelligence, coordinate with the appropriate Department of State office to update the 2003 Memorandum of Understanding to reflect DoD policy and requirements with the Force Protection Detachment program and the Embassy’s Country Team environment.</p>	<p>6 years 2 months 29 days</p>

APPENDIX A

**Under Secretary of Defense for Intelligence and Security (cont'd)**

**Report No. DODIG-2018-097, "U.S. European Command Efforts to Integrate Cyberspace Operations Into Contingency Plans," March 30, 2018 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
Rec. 2: Recommendation is Classified.	3 years 1 day

**Report No. DODIG-2018-162, "Evaluation of Airborne Intelligence, Surveillance, and Reconnaissance Processing, Exploitation, and Dissemination Process in Support of Operation Inherent Resolve" September 27, 2018 (Full Report is Classified)**

<b>(FOUO)</b> Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>(FOUO)</b> Rec. 2.b: The DoD OIG recommended that the [REDACTED].	2 years 6 months 4 days
<b>(FOUO)</b>	

**Report No. DODIG-2019-032, "Evaluation of Combatant Command Intelligence Directorate Internal Communications Processes," December 4, 2018 (Full Report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
Rec. A.1: The DoD OIG recommended that the Under Secretary of Defense for Intelligence examine current DoD intelligence training and education policies and mandate, as necessary, training standards based on a common essential body of knowledge, including Intelligence Community Directive 203, "Analytic Standards," January 2, 2015, for all entry-level/developmental intelligence professionals.	2 years 3 months 27 days

**Report No. DODIG-2019-071, "Evaluation of DoD Component Responsibilities for Counterintelligence Support for the Protection of Defense Critical Infrastructure," April 5, 2019**

Recommendation Number and Text	Age of Recommendation on 3/31/21
Rec. 1: The DoD OIG recommended that the Director for Defense Intelligence (Intelligence and Security), Office of the Under Secretary of Defense for Intelligence, revise all applicable DoD policies to ensure the protection of essential DoD services and infrastructure.	1 year 11 months 26 days



## APPENDIX A

### *Under Secretary of Defense for Intelligence and Security (cont'd)*

**Report No. DODIG-2019-107, "Evaluation of Combatant Commands' Insider Threat Programs," July 30, 2019 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.d:</b> The DoD OIG recommended that the Under Secretary of Defense for Intelligence establish milestones for the Insider Threat Enterprise Program Management Office to develop an oversight plan for evaluating DoD Component Heads' insider threat programs to ensure compliance with DoD insider threat policies.</p>	<p>1 year 8 months 1 day</p>

**Report No. DODIG-2020-025, "Evaluation of the Algorithmic Warfare Cross-Functional Team (Project Maven)," November 8, 2019 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.1.a:</b> The DoD OIG recommended that the Under Secretary of Defense for Intelligence include information assurance requirements in the Project Maven queue of unfinished work (product backlog) to address information assurance challenges.</p>	<p>1 year 4 months 23 days</p>
<p><b>Rec. A.1.b:</b> The DoD OIG recommended that the Under Secretary of Defense for Intelligence develop a test and evaluation plan for artificial intelligence algorithms and coordinate with and provide input to the Director of the Joint Artificial Intelligence Center on the development of DoD standards for the test and evaluation of artificial intelligence.</p>	<p>1 year 4 months 23 days</p>
<p><b>Rec. A.1.c:</b> The DoD OIG recommended that the Under Secretary of Defense for Intelligence develop processes and procedures for future data-labeling requirements, and provide lessons learned to the Director of the Joint Artificial Intelligence Center.</p>	<p>1 year 4 months 23 days</p>
<p><b>Rec. A.3:</b> The DoD OIG recommended that the Under Secretary of Defense for Intelligence lead and coordinate with the Services and the Director of the Joint Artificial Intelligence Center to conduct a review of Military Intelligence Program funded legacy systems that are being considered for integration with artificial intelligence algorithms in order to determine where improvements to the legacy systems may be required in order to more effectively support artificial intelligence integration.</p>	<p>1 year 4 months 23 days</p>

**Under Secretary of Defense for Intelligence and Security (cont'd)**

**Report No. DODIG-2020-045, "Evaluation of the Military Service Capacity to Fill Combatant Command Requests for Counterintelligence Support," December 30, 2019 (Full Report is Classified)**

<b>(FOUO)</b> Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>(FOUO) Rec. 1.a:</b> The DoD OIG recommended that the [REDACTED]	1 year 3 months 1 day

**(FOUO)**

**Report No. DODIG-2020-064, "Evaluation of DoD Law Enforcement Organization Submissions of Criminal History Information to the Federal Bureau of Investigation," February 21, 2020**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 10:</b> The DoD OIG recommended that the Under Secretary of Defense for Intelligence determine whether the Defense Incident Based Reporting System should be used for reporting Brady Act information to the applicable Federal Bureau of Investigation databases to make it available to the National Instant Criminal Background Check System.	1 year 1 month 10 days

**Report No. DODIG-2020-101, "Naval Ordnance Data Classification Issues Identified During the Oversight of the U.S. Navy General Fund Financial Statement Audit for FY 2020," July 2, 2020 (Full Report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 2:</b> The DoD OIG recommend that the Office of the Under Secretary of Defense for Intelligence and Security and Office of the Deputy Under Secretary of the Navy for Policy officials develop a policy to ensure that security classification guides are coordinated across the Department and the Military Services to identify conflicting requirements prior to being finalized.	8 months 29 days

# APPENDIX A

## *Under Secretary of Defense for Intelligence and Security (cont'd)*

Report No. DODIG-2020-106, "Evaluation of Security Controls for Intelligence, Surveillance, and Reconnaissance Supply Chains," July 22, 2020 (Full Report is Classified)

Recommendation Number and Text	Age of Recommendation on 3/31/21
Rec. 1: Recommendation is Classified.	8 months 9 days
Rec. 3: Recommendation is Classified.	8 months 9 days

Report No. DODIG-2021-041, "Evaluation of the Department of Defense Processes to Counter Radio Controlled Improvised Explosive Devices," January 22, 2021 (Full Report is Classified)

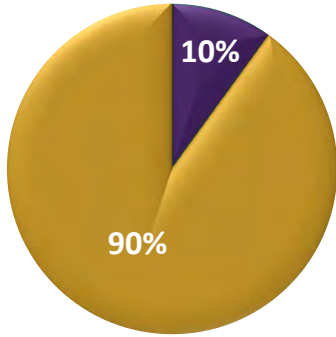
{FOUO} Recommendation Number and Text	Age of Recommendation on 3/31/21
<p>Rec. 2.a: The DoD OIG recommended that the Under Secretary of Defense for Intelligence and Security seek an agreement between the Department of Defense and the Department of Justice which formalizes the:</p> <p>{FOUO} i. [REDACTED]</p> <p>and</p> <p>{FOUO} ii. [REDACTED]</p>	2 months 9 days
Rec. 2.b: Recommendation is Classified.	2 months 9 days

{FOUO}

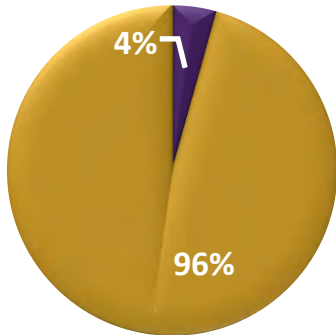


**Statistics – National Guard Bureau**

**Recommendations from 2018 Compendium**



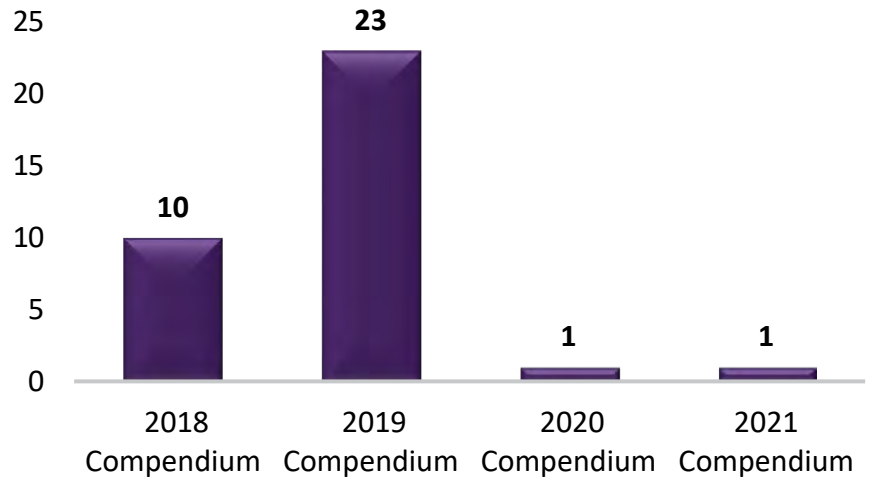
**Recommendations from 2019 Compendium**





**Recommendations from 2020 Compendium**



**Open Recommendations**



Number of Unresolved Recommendations	–
Number of Recommendations Open Longer than 5 Years	1
Potential Monetary Benefits	–

 Percentage remaining open as of 3/31/2021  
 Percentage closed as of 3/31/2021

# APPENDIX A

## National Guard Bureau

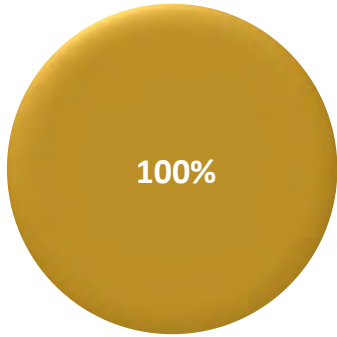
Report No. DODIG-2013-102, "Improved Oversight of Communications Capabilities Preparedness Needed for Domestic Emergencies," July 1, 2013

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 4:</b> The DoD OIG recommended that the National Guard Bureau Chief establish oversight procedures, including performance metrics, to verify that National Guard units Report the readiness status of personnel and equipment for the Joint Incident Site Communications Capability system in a timely manner.</p>	<p>7 years 8 months 30 days</p>



**Statistics – U.S. Indo-Pacific Command**

**Recommendations from  
2018 Compendium**



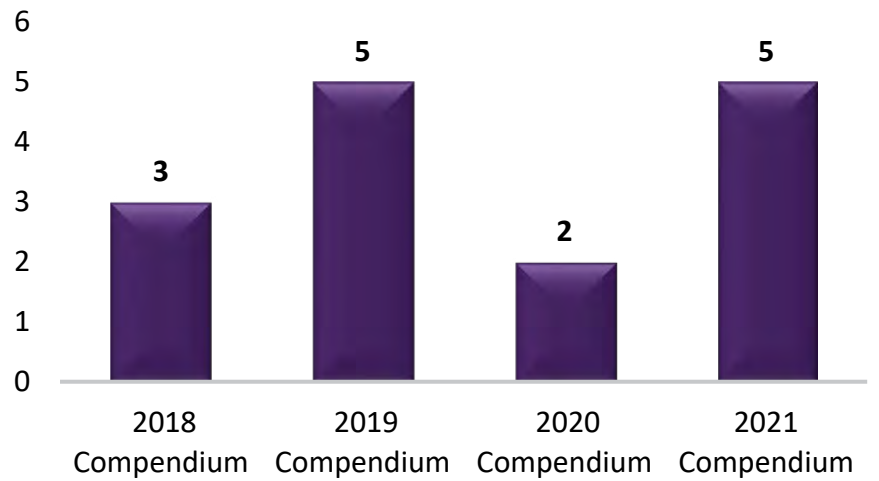
**Recommendations from  
2019 Compendium**



**Recommendations from  
2020 Compendium**



**Open Recommendations**




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Number of Unresolved Recommendations	–
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Number of Recommendations Open Longer than 5 Years	–
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Potential Monetary Benefits	–
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 Percentage remaining open as of 3/31/2021

 Percentage closed as of 3/31/2021

# APPENDIX A

## U.S. Indo-Pacific Command

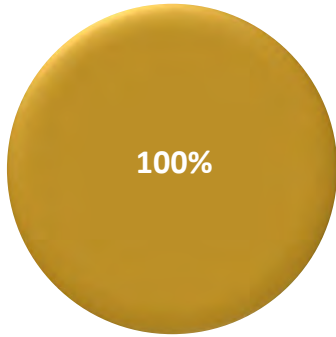
Report No. DODIG-2021-067, "Evaluation of the U.S. Indo-Pacific Command's Response to the Coronavirus Disease-2019," March 31, 2021 (Final Report is Classified)

(CUI) Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.a:</b> The DoD OIG recommended that the Commander of United States Indo-Pacific Command update Commander, United States Indo-Pacific Command, "Concept Plan 5003-18 for Pandemic and Emerging Infectious Disease," February 1, 2019, to incorporate the policies, procedures, and responsibilities for executing mission essential staff functions in a socially distanced or telework environment, and send the updated Concept Plan to U.S. Northern Command for review, as required by U.S. Northern Command, "Department of Defense Global Campaign Plan for Pandemic Influenza and Infectious Disease 3551-13," October 15, 2013.</p>	1 day
<p><b>Rec. 1.b:</b> The DoD OIG recommended that the Commander of United States Indo Pacific Command finalize and issue the annex to Commander, United States Indo-Pacific Command, "Headquarters Continuity of Operations Plan," June 19, 2015, and update the plan with lessons learned from the coronavirus disease-19 pandemic response.</p>	1 day
<p><b>Rec. 1.c:</b> The DoD OIG recommended that the Commander of United States Indo-Pacific Command develop a plan to integrate pandemic response activities from Commander, United States Indo-Pacific Command, "Concept Plan 5003-18 for Pandemic and Emerging Infectious Disease," February 1, 2019, and continuity of operations activities from Commander, United States Indo-Pacific Command, "Headquarters Continuity of Operations Plan," June 19, 2015, into United States Indo-Pacific Command's Joint Exercise Program.</p>	1 day
<p><b>(CUI) Rec. 1.d:</b> The DoD OIG recommended that the [REDACTED]</p>	1 day
<p><b>(CUI) Rec. 1.e:</b> The DoD OIG recommended that the [REDACTED]</p>	1 day

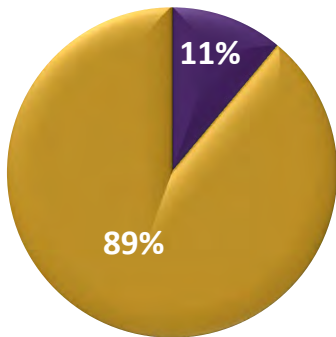
(CUI)

**Statistics – U.S. European Command**

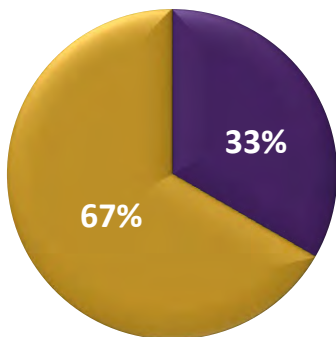
**Recommendations from 2018 Compendium**





**Recommendations from 2019 Compendium**

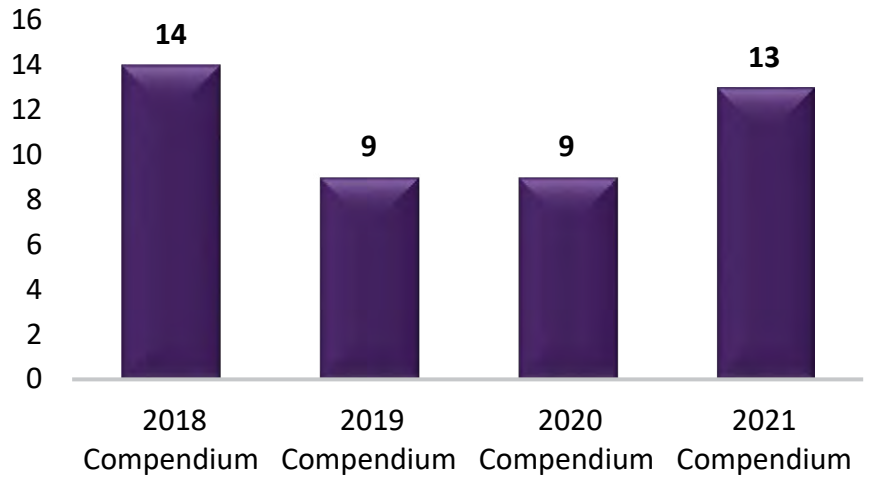


**Recommendations from 2020 Compendium**



 Percentage remaining open as of 3/31/2021  
 Percentage closed as of 3/31/2021

**Open Recommendations**



Number of Unresolved Recommendations	–
Number of Recommendations Open Longer than 5 Years	–
Potential Monetary Benefits	–



# APPENDIX A

## U.S. European Command

Report No. DODIG-2018-142, "U.S. Africa Command and U.S. European Command Integration of Operational Contract Support," August 9, 2018 (Full Report is Classified)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. B.1.a:</b> The DoD OIG recommended that the Commander, U.S. European Command update the annex W's for 3T concept plans and operation plans to meet operational contract support requirements.	2 years 7 months 22 days

Report No. DODIG-2019-093, "Evaluation of U.S. European Command's Nuclear Command and Control Between the President and Theater Nuclear Forces," June 10, 2019 (Full Report is Classified)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 1.a:</b> Recommendation is Classified.	1 year 9 months 21 days

Report No. DODIG-2019-107, "Evaluation of Combatant Commands' Insider Threat Programs," July 30, 2019 (Full Report is Classified)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 3.a:</b> The DoD OIG recommended that all Combatant Commanders establish a full-time insider threat program manager position to ensure that the program meets national and DoD requirements.	1 year 8 months 1 day

Report No. DODIG-2021-002, "Evaluation of the U.S. European Command's Response to the Coronavirus Disease-2019," October 8, 2020 (Full Report is Classified)

(FOUO) Recommendation Number and Text	Age of Recommendation on 3/31/21
(FOUO) <b>Rec. 1.a:</b> The DoD OIG recommended that the Commander, U.S. European Command [REDACTED]	5 months 23 days
(FOUO) <b>Rec. 1.b:</b> The DoD OIG recommended that the Commander, U.S. European Command [REDACTED]	5 months 23 days

(FOUO)

APPENDIX A

**U.S. European Command – Report No. DODIG-2021-002 (cont'd)**

<b>(FOUO)</b> Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>(FOUO) Rec. 1.c:</b> The DoD OIG recommended that the Commander, U.S. European Command [REDACTED]	5 months 23 days
<b>(FOUO) Rec. 1.d:</b> The DoD OIG recommended that the Commander, U.S. European Command [REDACTED]	5 months 23 days
<b>(FOUO) Rec. 1.f:</b> The DoD OIG recommended that the Commander, U.S. European Command [REDACTED]	5 months 23 days
<b>(FOUO) Rec. 1.g:</b> The DoD OIG recommended that the Commander, U.S. European Command [REDACTED]	5 months 23 days
<b>Rec. 1.h:</b> Recommendation is Classified.	5 months 23 days
<b>(FOUO)</b>	

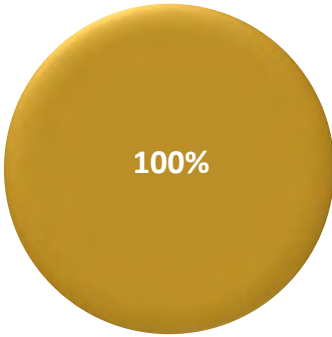
**Report No. DODIG-2021-063, “Audit of Host Nation Logistical Support in the U.S. European Command,” March 23, 2021 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 1:</b> The DoD OIG recommended that the Director of Logistics of the U.S. European Command complete the analysis to determine the extent to which international agreements and arrangements provide the level of support needed from the host nations for the U.S. European Command to execute Operation Plan 4020-19 through the U.S. European Command’s Support Access Working Group.	8 days
<b>Rec. 5:</b> The DoD OIG recommended that the Commander of the U.S. European Command designate a single office of record for maintaining a repository of international agreements at the U.S. European Command.	8 days
<b>Rec. 6:</b> The DoD OIG recommended that the Commander of the U.S. European Command require U.S. European Command officials to maintain a central repository of international arrangements that provide host nation support and were approved by officials from the U.S. European Command or Component commands.	8 days

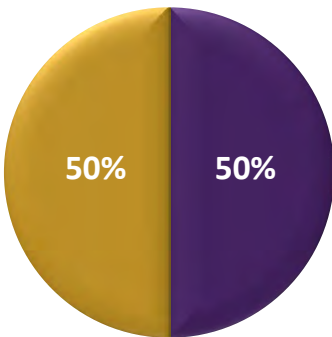
APPENDIX A

**Statistics – U.S. Southern Command**

**Recommendations from 2018 Compendium**





**Recommendations from 2019 Compendium**

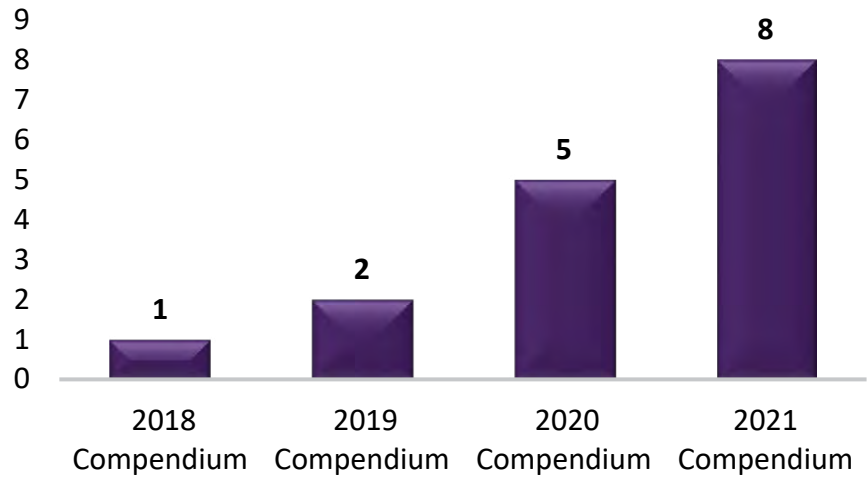


**Recommendations from 2020 Compendium**



 Percentage remaining open as of 3/31/2021  
 Percentage closed as of 3/31/2021

**Open Recommendations**




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Number of Unresolved Recommendations	–
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Number of Recommendations Open Longer than 5 Years	–
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Potential Monetary Benefits	–
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**U.S. Southern Command**

**Report No. DODIG-2019-065, “Evaluation of DoD Voting Assistance Programs for 2018,” March 25, 2019**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B:</b> The DoD OIG recommended that the Commanders of U.S. Central Command, U.S. Cyber Command, U.S. European Command, U.S. Indo-Pacific Command, U.S. Northern Command, U.S. Special Operations Command, U.S. Southern Command, and U.S. Strategic Command develop and implement written voting policies to support all eligible Uniformed Services personnel and their family members, including those in deployed, dispersed, and tenant organizations.</p>	<p>2 years 6 days</p>

**Report No. DODIG-2019-107, “Evaluation of Combatant Commands’ Insider Threat Programs,” July 30, 2019 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 3.a:</b> The DoD OIG recommended that all Combatant Commanders establish a full-time insider threat program manager position to ensure that the program meets national and DoD requirements.</p>	<p>1 year 8 months 1 day</p>
<p><b>Rec. 3.c:</b> The DoD OIG recommended that all Combatant Commanders establish a plan to fully train the insider threat workforce to conduct critical tasks and insider threat HUB operations.</p>	<p>1 year 8 months 1 day</p>
<p><b>Rec. 3.d:</b> The DoD OIG recommended that all Combatant Commanders establish and implement reporting procedures for the DoD Insider Threat Management and Analysis Center on all relevant insider threat information that meets the 13 DoD Insider Threat Management and Analysis Center thresholds.</p>	<p>1 year 8 months 1 day</p>

**Report No. DODIG-2020-067, “Followup Audit on Corrective Actions Taken by DoD Components in Response to DoD Cyber Red Team-Identified Vulnerabilities and Additional Challenges Facing DoD Cyber Red Team Missions,” March 13, 2020 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.1:</b> The DoD OIG recommended that the Commander for U.S. Southern Command prioritize the risk of each unmitigated vulnerability identified in DoD Cyber Red Team Reports and adversarial assessments, take immediate actions to mitigate high-risk vulnerabilities, and if unable to immediately mitigate any of the vulnerabilities, include them on a command-approved plan of action and milestones.</p>	<p>1 year 18 days</p>

# APPENDIX A

## U.S. Southern Command (cont'd)

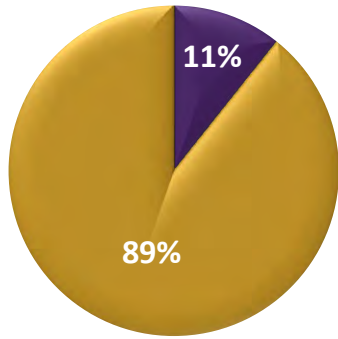
Report No. DODIG-2021-068, "Evaluation of the U.S. Southern Command's Response to the Coronavirus Disease-2019," March 31, 2021 (Final Report is Classified)

<b>(CUI)</b> Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 1.a:</b> The DoD OIG recommended that the Commander of United States Southern Command updated the United States Southern Command, "Continuity of Operations (COOP) Plan," March 26, 2019, and incorporate the policies and procedures, and responsibilities for executing mission essential functions in socially distanced or telework environment, including situations of mass telework and alternative work schedules.	
<b>Rec. 1.b:</b> The DoD OIG recommended that the Commander of United States Southern Command develop a detailed mass telework policy and a plan to identify and distribute any necessary software and equipment to support mass telework scenarios, including identifying resources to conduct classified operations.	
<p><b>Rec. 1.c:</b> The DoD OIG recommended that the Commander of United States Southern Command update the United States Southern Command Plan 6160-14, "Pandemic Influenza and Infectious Disease Plan," April 28, 2014, to:</p> <p><b>(CUI)</b> i. [REDACTED]</p> <p><b>(CUI)</b> ii. [REDACTED]</p> <p><b>(CUI)</b> iii. [REDACTED]</p>	
<b>(CUI)</b>	

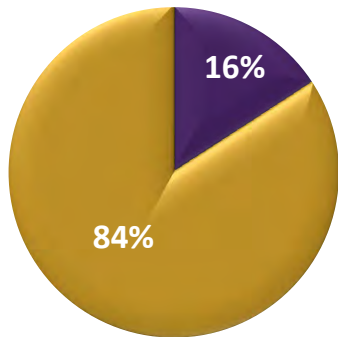


**Statistics – U.S. Central Command**

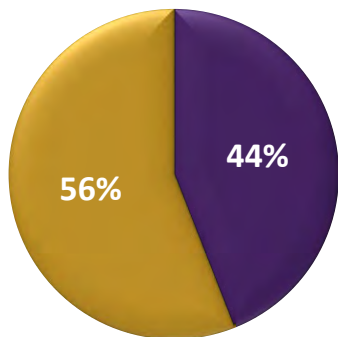
**Recommendations from 2018 Compendium**





**Recommendations from 2019 Compendium**

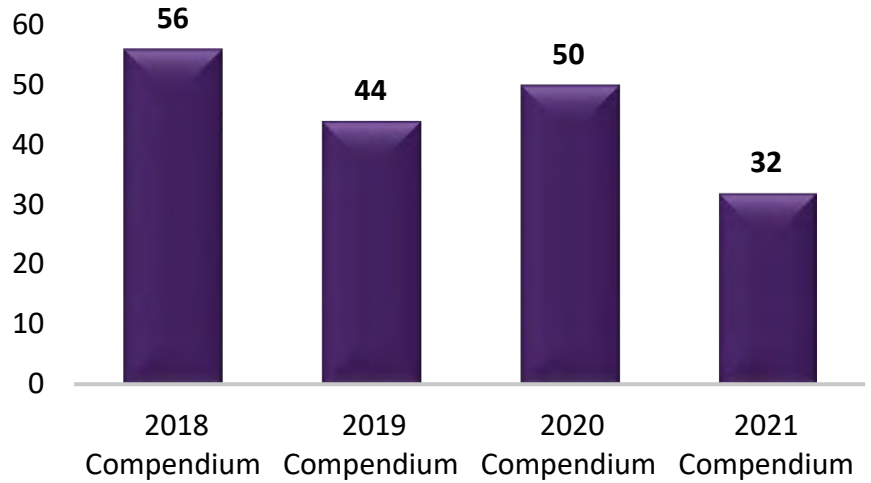


**Recommendations from 2020 Compendium**



 Percentage remaining open as of 3/31/2021  
 Percentage closed as of 3/31/2021

**Open Recommendations**



Number of Unresolved Recommendations	2
Number of Recommendations Open Longer than 5 Years	4
Potential Monetary Benefits	–

## APPENDIX A

### *U.S. Central Command*

**Report No. DODIG-2015-107, “Challenges Exist for Asset Accountability and Maintenance and Sustainment of Vehicles Within the Afghan National Security Forces,” April 17, 2015 (Full Report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. A.1:</b> The DoD OIG recommended that the Commander of the Combined Security Transition Command-Afghanistan instruct the Security Assistance Office to reconcile information in Operational Verification of Reliable Logistics Oversight Database against information in Security Cooperation Information Portal to ensure vehicle information is accurate and complete.	5 years 11 months 14 days
<b>Rec. A.2:</b> The DoD OIG recommended that the Commander of the Combined Security Transition Command-Afghanistan assess the accuracy of property transfer records after the Security Assistance Office completes its reconciliation and take the necessary steps to maintain the completeness and accuracy of these records.	5 years 11 months 14 days
<b>Rec. A.6:</b> The DoD OIG recommended that the Commander of the Combined Security Transition Command-Afghanistan obtain a complete inventory of vehicles received by the Afghan National Security Forces and reconcile this list to help identify any missing records in the Security Cooperation Portal.	5 years 11 months 14 days

**Report No. DODIG-2015-134, “Assessment of the U.S. Theater Nuclear Planning Process,” June 18, 2015 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 3.a:</b> Recommendation is Classified.	5 years 9 months 13 days

**Report No. DODIG-2017-105, “Evaluation of U.S. and Coalition Efforts to Enable the Afghan Ministry of Defense to Develop Its Oversight and Internal Control Capability,” August 4, 2017 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. B.3:</b> The DoD OIG recommended that the Director, Essential Function 2, in coordination with the Chief of Staff, Resolute Support, and Deputy Advisor to the Ministry of Defense, update the Ministerial Internal Control Program advisory training to ensure that U.S. and Coalition advisors for the Ministry of Defense, Afghan National Army Corps, and subordinate commands can train, advise, and assist in the development and implementation of the Ministerial Internal Control Program.	3 years 7 months 27 days

**U.S. Central Command (cont'd)**

**Report No. DODIG-2018-058, "Progress of U.S. and Coalition Efforts to Train, Advise, and Assist the Afghan Air Force," January 4, 2018 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. C:</b> The DoD OIG recommended that the Train, Advise, Assist Command-Air coordinate with the Commander of Combined Security Transition Command-Afghanistan to identify requirements and modify aircraft Contractor Logistic Support contracts as appropriate to increase emphasis on building the Afghan aircraft maintenance capability, increase the Afghan responsibility for daily aircraft maintenance, and identify the transition criteria for Afghan-led maintenance within the Afghan Air Force.</p>	<p>3 years 2 months 27 days</p>

**Report No. DODIG-2019-042, "Evaluation of Social Media Exploitation Procedures Supporting Operation Inherent Resolve," December 28, 2018 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1:</b> Recommendation is Classified.</p>	<p>2 years 3 months 3 days</p>

**Report No. DODIG-2019-074, "Evaluation of Targeting Operations and Civilian Casualties in Operation Inherent Resolve," April 18, 2019 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 3:</b> Recommendation is Classified.</p>	<p>1 year 11 months 13 days</p>
<p><b>Rec. 6:</b> Recommendation is Classified.</p>	<p>1 year 11 months 13 days</p>

**Report No. DODIG-2019-077, "Evaluation of the Oversight of Intelligence Interrogation Approaches and Techniques," April 15, 2019 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 2.a:</b> The DoD OIG recommended that the Commander of U.S. Central Command review and update Central Command Regulation 381-21 to reflect U.S. Central Command's current operating procedures for maintaining and overseeing U.S. Central Command's Intelligence interrogation-related records.</p>	<p>1 year 11 months 16 days</p>
<p><b>Rec. 2.b:</b> The DoD OIG recommended that the Commander of U.S. Central Command review and update Central Command Regulation 381-21 to require Headquarters, U.S. Central Command personnel to have access to all of the data repositories that maintain U.S. Central Command's intelligence interrogation-related records.</p>	<p>1 year 11 months 16 days</p>



## APPENDIX A

### *U.S. Central Command (cont'd)*

**Report No. DODIG-2019-088, "Evaluation of DoD Efforts to Combat Trafficking in Persons in Kuwait," June 11, 2019**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. A.1.a:</b> The DoD OIG recommended that the Commander of U.S. Central Command enforce all aspects of Central Command Regulation 570-4 throughout the command's area of responsibility.*	1 year 9 months 20 days
<b>Rec. A.1.b:</b> The DoD OIG recommended that the Commander of U.S. Central Command clearly assign roles and responsibilities to its subordinate commands regarding combating trafficking in persons, including formally designating an appropriate command headquarters in Kuwait to be responsible for Combating Trafficking in Persons compliance.*	1 year 9 months 20 days
<b>Rec. A.1.c:</b> The DoD OIG recommended that the Commander of U.S. Central Command collect and report data on all Trafficking in Persons incidents, investigations, prosecutions, and training programs in the U.S. Central Command area of responsibility to the DoD's Combating Trafficking in Persons Program Management Office.*	1 year 9 months 20 days
<b>Rec. D.2:</b> The DoD OIG recommended that the Commander of U.S. Central Command create designated Combating Trafficking in Person Inspection Teams and personnel billets to provide oversight of DoD contracts in countries for which it has command responsibility and that have potential trafficking in persons problems.*	1 year 9 months 20 days

\* The DoD OIG is evaluating implementation of this recommendation as part of an ongoing followup project.

**Report No. DODIG-2019-107, "Evaluation of Combatant Commands' Insider Threat Programs," July 30, 2019 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 3.b:</b> The DoD OIG recommended that all Combatant Commanders designate the required subject matter experts for HUB operations to integrate the monitoring, analysis, and reporting of, and the response to, insider threats.	1 year 8 months 1 day

**Report No. DODIG-2019-110, "Evaluation of U.S. and Coalition Efforts to Train, Advise, Assist, and Equip the Afghan Tactical Air Coordinators and Air Liaison Officers," August 8, 2019 (Full Report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 3:</b> The DoD OIG recommended that the Train, Advise, Assist Command-Air Commander and the North Atlantic Treaty Organization Special Operations Component Command-Afghanistan Commander direct air-to-ground integration advisors to use the operational data collected in response to Recommendation 2 to inform and adjust train, advise, assist, and equip efforts for Afghan tactical air coordinators, air Liaison officers, and Afghan air targeting officers.	1 year 7 months 23 days

APPENDIX A

**U.S. Central Command – Report No. DODIG-2019-110 (cont’d)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 4:</b> The DoD OIG recommended that the North Atlantic Treaty Organization Special Operations Component Command-Afghanistan Commander develop a plan with specific objectives and milestones for Afghan Special Security Forces’ air-to-ground integration capability that includes all Afghan Special Security Forces elements with Afghan tactical air coordinators and Afghan air targeting officers.</p>	<p>1 year 7 months 23 days</p>

**Report No. DODIG-2020-026, “Audit of the DoD Requirements for the National Maintenance Strategy-Ground Vehicle Support Contract,” December 13, 2019**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.b:</b> The DoD OIG recommended that the Commander of Combined Security Transition Command-Afghanistan document and report the Afghan National Defense and Security Forces’ progression towards the three levels of maintenance and separately record the vehicle maintenance and repairs completed by the Afghan National Defense and Security Forces and the contractor.</p>	<p>1 year 3 months 18 days</p>

**Report No. DODIG-2020-065, “Evaluation of Combined Joint Task Force-Operation Inherent Resolve’s Military Information Support Operations,” February 25, 2020 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1:</b> The DoD OIG recommended that the Commander, U.S. Central Command, in coordination with the Under Secretary of Defense for Policy, the Department of State, and the U.S. Embassy-Baghdad, develop a plan for interagency coordination and integration of U.S. Government messaging in Iraq.</p>	<p>1 year 1 month 6 days</p>
<p><b>Rec. 2:</b> The DoD OIG recommended that the Commander, U.S. Central Command, in coordination with the U.S. Embassy-Baghdad, define U.S. forces’ roles and responsibilities and identify Department of State counterparts to support the transition of U.S. Government messaging requirements and responsibilities from the DoD to the U.S. Embassy-Baghdad in Iraq.</p>	<p>1 year 1 month 6 days</p>
<p><b>Rec. 3:</b> The DoD OIG recommended that the Commander, U.S. Central Command, after coordination with the U.S. Embassy-Baghdad, modify the existing transition plans and orders to assign U.S. forces’ roles and responsibilities in the transition of messaging from the DoD to the U.S. Embassy-Baghdad in Iraq.</p>	<p>1 year 1 month 6 days</p>

## APPENDIX A

### U.S. Central Command (cont'd)

**Report No. DODIG-2021-041, "Evaluation of the Department of Defense Processes to Counter Radio Controlled Improvised Explosive Devices," January 22, 2021 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 4.a:</b> Recommendation is Classified.	2 months 9 days
<b>Rec. 4.b:</b> Recommendation is Classified.	2 months 9 days
<b>Rec. 4.c:</b> Recommendation is Classified.	2 months 9 days

**Report No. DODIG-2021-058, "Evaluation of the U.S. Central Command's Response to the Coronavirus Disease-2019," March 3, 2021 (Final Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 1.a:</b> The DoD OIG recommended that the Commander of the U.S. Central Command update the U.S. Central Command Regulation 525-40, "Continuity of Operations Plan," August 20, 2020, to include the policies, procedures, and responsibilities for executing mission essential functions in a pandemic environment. In addition, develop a plan to annually integrate the updated continuity of operations procedures into the U.S. Central Command Joint Exercise Program.	28 days
<b>Rec. 1.b:</b> The DoD OIG recommended that the Commander of the U.S. Central Command modify U.S. Central Command's telework policy to include guidance on the implementation of mass telework distribution of telework resources, telework agreements, and telework training.	28 days
<b>Rec. 1.d:</b> The DoD OIG recommended that the Commander of the U.S. Central Command develop and memorialize COVID-19 lessons learned and incorporate them into U.S. Central Command Pandemic Influenza and Infections Disease Concept Plan, supporting component plans, and Central Command Regulation 525-40, "Continuity of Operations Plan," August 20, 2020. The Continuity of Operations Plan should include information on quarantine processes and contractor personnel.	28 days

**Report No. DODIG-2021-062, "Audit of Coalition Partner Reimbursements for Contracted Rotary Wing Air Transportation Services in Afghanistan," March 22, 2021**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 1.a:</b> The DoD OIG recommended that the U.S. Forces-Afghanistan Multinational Logistics Branch Chief, in coordination with U.S. Army Central Multinational Logistics Branch Chief obtain Effective Visible Execution flight usage data on a regular basis.	9 days

**U.S. Central Command – Report No. DODIG-2021-062 (cont’d)**

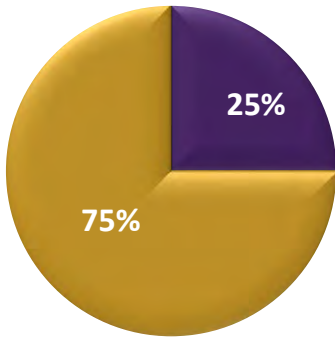
Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.c:</b> The DoD OIG recommended that the U.S. Forces-Afghanistan Multinational Logistics Branch Chief, in coordination with U.S. Army Central Multinational Logistics Branch Chief establish an agreement, including costs and reimbursement methods, with each Pay-to-Play Coalition partner in order to seek reimbursement for air transportation services.</p>	<p>9 days</p>
<p><b>Rec. 1.d:</b> The DoD OIG recommended that the U.S. Forces-Afghanistan Multinational Logistics Branch Chief, in coordination with U.S. Army Central Multinational Logistics Branch Chief initiate Acquisition and Cross-Servicing Agreement orders in the Acquisition and Cross-Servicing Agreement Global Automated Tracking and Reporting System for Pay-to-Play Coalition partners’ air transportation services.</p>	<p>9 days</p>
<p><b>Rec. 2:</b> The DoD OIG recommended that the U.S. Army Central Multinational Logistics Branch Chief, in coordination with the U.S. Forces-Afghanistan Multinational Logistics Branch Chief, conduct a review of all reimbursable services provided in Afghanistan to Coalition partners and establish internal controls over the Acquisition and Cross-Servicing Agreement program in Afghanistan to ensure that Acquisition and Cross-Servicing Agreement orders for Coalition partners’ air transportation services are initiated in the Acquisition and Cross-Servicing Agreement Global Automated Tracking and Reporting System.</p>	<p>9 days</p>



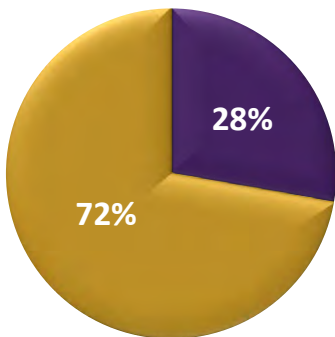
APPENDIX A

**Statistics – U.S. Special Operations Command**

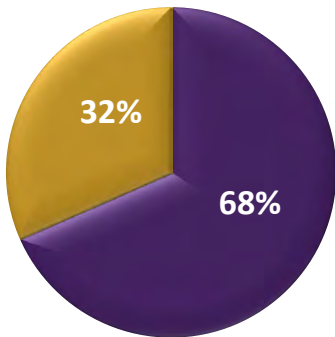
**Recommendations from 2018 Compendium**



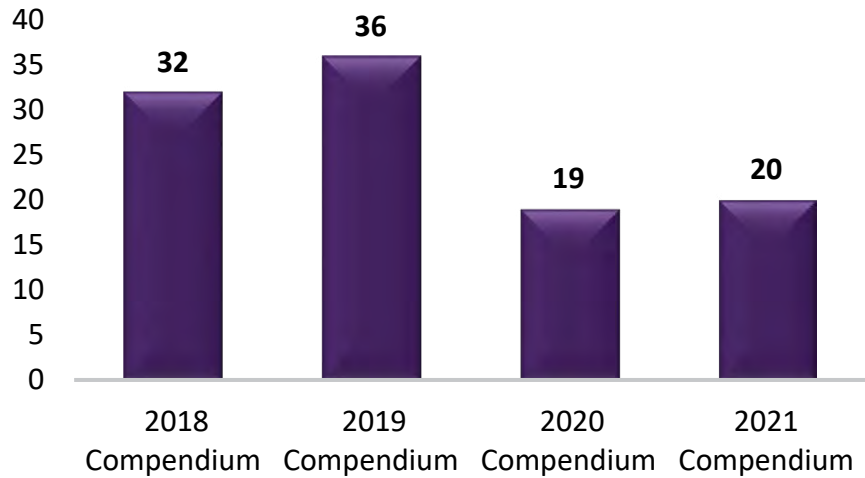
**Recommendations from 2019 Compendium**





**Recommendations from 2020 Compendium**



**Open Recommendations**



Number of Unresolved Recommendations	–
Number of Recommendations Open Longer than 5 Years	–
Potential Monetary Benefits	–

 Percentage remaining open as of 3/31/2021  
 Percentage closed as of 3/31/2021

### U.S. Special Operations Command

Report No. DODIG-2017-030, “USSOCOM Needs to Improve Management of Sensitive Equipment,”  
December 12, 2016

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.a:</b> The DoD OIG recommended that the Special Operations Forces Acquisition, Technology, and Logistics Director update guidance to include specific procedures for establishing sensitive equipment accountability.</p>	<p>4 years 3 months 19 days</p>
<p><b>Rec. 1.b:</b> The DoD OIG recommended that the Special Operations Forces Acquisition, Technology, and Logistics Director require U.S. Special Operations Command, Directorate of Logistics, to conduct a 100-percent inventory of sensitive equipment to establish a sensitive equipment baseline and reconcile inventory discrepancies.</p>	<p>4 years 3 months 19 days</p>
<p><b>Rec. 1.c.1:</b> The DoD OIG recommended that the Special Operations Forces Acquisition, Technology, and Logistics Director instruct U.S. Special Operations Command, Directorate of Logistics, to determine the utility of continuing the temporary loan process and, if continued, ensure that the process is comprehensively defined in U.S. Special Operations Command guidance to include whether the U.S. Special Operations Command warehouse or the units are responsible for maintaining equipment accountability.</p>	<p>4 years 3 months 19 days</p>
<p><b>Rec. 1.c.2:</b> The DoD OIG recommended that the Special Operations Forces Acquisition, Technology, and Logistics Director instruct U.S. Special Operations Command, Directorate of Logistics, to mandate Special Operations Logistics Management System equipment-level reporting requirements to include identifying standardized data elements and establishing an equipment reporting frequency for U.S. Special Operations Command warehouses and Service Component commands.</p>	<p>4 years 3 months 19 days</p>

Report No. DODIG-2018-100, “U.S. Special Operations Command’s Management of Excess Equipment,”  
March 29, 2018 (Full Report is FOUO)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.a:</b> The DoD OIG recommended that the U.S. Special Operations Command Commander update U.S. Special Operations Command guidance to include detailed procedures for reporting and updating Special Operations-Peculiar equipment authorizations and allocations in the U.S. Special Operations Command Table of Equipment Distribution and Allowance. The procedures should provide clear and concise policy outlining the source of the authorization data and how this data should be presented, and should establish periodic reviews of the information to ensure that the authorizations match the capability documents.</p>	<p>3 years 2 days</p>
<p><b>Rec. 1.b:</b> The DoD OIG recommended that the U.S. Special Operations Command Commander direct a review of existing Special Operations-Peculiar equipment authorizations and allocations and update U.S. Special Operations Command Table of Equipment Distribution and Allowance and all systems and documents that contain authorizations and allocations accordingly.</p>	<p>3 years 2 days</p>

## APPENDIX A

### *U.S. Special Operations Command – Report No. DODIG-2018-100 (cont’d)*

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 1.c:</b> The DoD OIG recommended that the U.S. Special Operations Command Commander update U.S. Special Operations Command guidance to include detailed procedures for conducting periodic reconciliations of Special Operations-Peculiar equipment authorizations and allocations to inventory.	3 years 2 days
<b>Rec. 1.d:</b> The DoD OIG recommended that the U.S. Special Operations Command Commander direct a reconciliation of Special Operations-Peculiar equipment authorizations and allocations to inventory based on the updated guidance, and if excess equipment is identified, redistribute or dispose of the excess equipment.	3 years 2 days

### **Report No. DODIG-2018-123, “U.S. Special Operations Command Reporting of General Equipment on Its Financial Statements,” June 4, 2018**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 6.b:</b> The DoD OIG recommended that the Director of Accounting for U.S. Special Operations Command assist Component Special Operations Command personnel in identifying all the critical data elements that U.S. Special Operations Command needs from the Component Special Operations Commands’ property systems to accurately report and support U.S. Special Operations Command General Equipment and Accumulated Depreciation account balances.	2 years 9 months 27 days
<b>Rec. 6.c:</b> The DoD OIG recommended that the Director of Accounting for U.S. Special Operations Command request Component Special Operations Command personnel provide read-only access to their property systems to confirm that the U.S. Special Operations Command has all the critical data elements it needs to accurately report and support the U.S. Special Operations Command General Equipment and Accumulated Depreciation account balances.	2 years 9 months 27 days

### **Report No. DODIG-2019-074, “Evaluation of Targeting Operations and Civilian Casualties in Operation Inherent Resolve,” April 18, 2019 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 5:</b> Recommendation is Classified.	1 year 11 months 13 days

### **Report No. DODIG-2019-077, “Evaluation of the Oversight of Intelligence Interrogation Approaches and Techniques,” April 15, 2019 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 3:</b> Recommendation is Classified.	1 year 11 months 16 days

**U.S. Special Operations Command (cont'd)**

**Report No. DODIG-2019-107, "Evaluation of Combatant Commands' Insider Threat Programs," July 30, 2019 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 3.a:</b> The DoD OIG recommended that all Combatant Commanders establish a full-time insider threat program manager position to ensure that the program meets national and DoD requirements.</p>	<p>1 year 8 months 1 day</p>

**Report No. DODIG-2020-111, "Audit of U.S. Special Operations Command Testing and Evaluation," August 12, 2020 (Full Report is CUI)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.a.1:</b> The DoD OIG recommended that the Commander, U.S. Special Operations Command develop internal controls to ensure that U.S. Special Operations Command program managers develop and maintain a detailed requirements correlation matrix for each Special Operations-Peculiar acquisition programs that clearly matches the key performance parameters to test and evaluation.</p>	<p>7 months 19 days</p>
<p><b>Rec. 1.a.2:</b> The DoD OIG recommended that the Commander, U.S. Special Operations Command develop internal controls to ensure that U.S. Special Operations Command program managers integrate the requirements correlation matrix into test and evaluation.</p>	<p>7 months 19 days</p>
<p><b>Rec. 1.a.3:</b> The DoD OIG recommended that the Commander, U.S. Special Operations Command develop internal controls to ensure that U.S. Special Operations Command program managers document the results of test and evaluation for each key performance parameter in the requirements correlation matrix.</p>	<p>7 months 19 days</p>
<p><b>Rec. 1.b.1:</b> The DoD OIG recommended that the Commander, U.S. Special Operations Command update U.S. Special Operations Command directives related to fielding and deployment releases to require that a requirements correlation matrix, including test and evaluation results, be submitted and validated prior to issuing a fielding and deployment release for Special Operations-Peculiar programs.</p>	<p>7 months 19 days</p>
<p><b>Rec. 1.b.2.a:</b> The DoD OIG recommended that the Commander, U.S. Special Operations Command update U.S. Special Operations Command directives related to fielding and deployment releases to require that conditional fielding and deployment releases identify the specific key performance parameter that was not met during test and evaluation.</p>	<p>7 months 19 days</p>
<p><b>Rec. 1.b.2.b:</b> The DoD OIG recommended that the Commander, U.S. Special Operations Command update U.S. Special Operations Command directives related to fielding and deployment releases to require that conditional fielding and deployment releases outline any restrictions on the use of the Special Operations-Peculiar equipment.</p>	<p>7 months 19 days</p>



# APPENDIX A

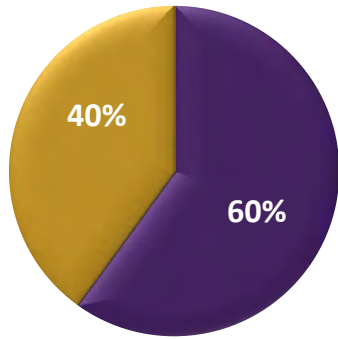
## *U.S. Special Operations Command – Report No. DODIG-2020-111 (cont'd)*

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.b.2.c:</b> The DoD OIG recommended that the Commander, U.S. Special Operations Command update U.S. Special Operations Command directives related to fielding and deployment releases to require that conditional fielding and deployment releases document what work must be completed before a full fielding and deployment release can be issued.</p>	<p>7 months 19 days</p>

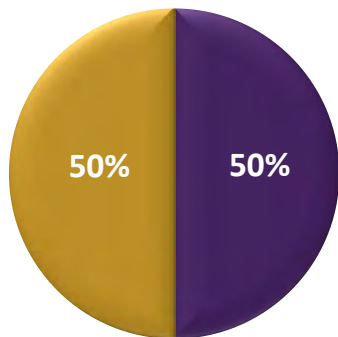


**Statistics – U.S. Transportation Command**

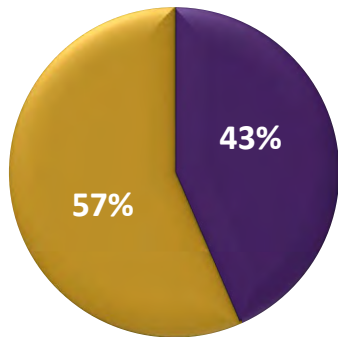
**Recommendations from 2018 Compendium**



**Recommendations from 2019 Compendium**

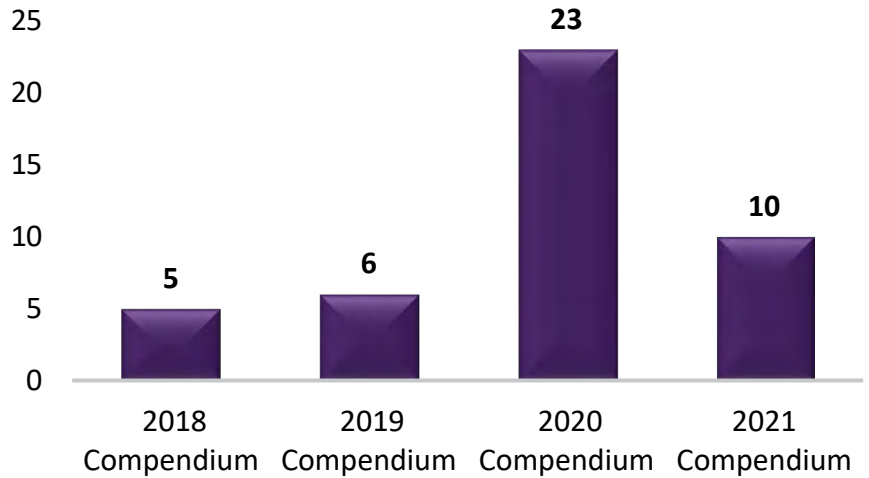


**Recommendations from 2020 Compendium**



Percentage remaining open as of 3/31/2021  
 Percentage closed as of 3/31/2021

**Open Recommendations**



Number of Unresolved Recommendations	–
Number of Recommendations Open Longer than 5 Years	–
Potential Monetary Benefits	–

# APPENDIX A

## U.S. Transportation Command

Report No. DODIG-2017-108, "United States Transportation Command Triannual Reviews," August 9, 2017

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.a:</b> The DoD OIG recommended that the Director of the Program Analysis and Financial Management Directorate, United States Transportation Command, develop and implement processes and procedures to execute triannual reviews in accordance with DoD Regulation 7000.14-R, "DoD Financial Management Regulation," volume 3, chapter 8, "Standards for Recording and Reviewing Commitments and Obligations." The processes and procedures at a minimum should identify staff positions responsible for executing proper triannual reviews.</p>	<p>3 years 7 months 22 days</p>
<p><b>Rec. 1.b:</b> The DoD OIG recommended that the Director of the Program Analysis and Financial Management Directorate, United States Transportation Command, develop and implement processes and procedures to execute triannual reviews in accordance with DoD Regulation 7000.14-R, "DoD Financial Management Regulation," volume 3, chapter 8, "Standards for Recording and Reviewing Commitments and Obligations." The processes and procedures at a minimum should include detailed review requirements to ensure that each commitment, obligation, accounts payable, unfilled customer order, and accounts receivable are properly recorded in the general ledger.</p>	<p>3 years 7 months 22 days</p>
<p><b>Rec. 1.c:</b> The DoD OIG recommended that the Director of the Program Analysis and Financial Management Directorate, United States Transportation Command, develop and implement processes and procedures to execute triannual reviews in accordance with DoD Regulation 7000.14-R, "DoD Financial Management Regulation," volume 3, chapter 8, "Standards for Recording and Reviewing Commitments and Obligations." The processes and procedures at a minimum should include detailed instructions to ensure reports are prepared for submission in the DoD standard format and contain the valid, accurate, and complete status of each fund balance.</p>	<p>3 years 7 months 22 days</p>

Report No. DODIG-2019-105, "Audit of Protection of DoD Controlled Unclassified Information on Contractor-Owned Networks and Systems," July 23, 2019 (Full Report is FOUO)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.3.a:</b> The DoD OIG recommended that the Assistant Secretary of the Air Force (Acquisition, Technology &amp; Logistics); Director of Acquisitions for the Missile Defense Agency; and Contracting Officers for the U.S. Army, U.S. Navy, U.S. Cyber Command, U.S. Transportation Command, Defense Contract Management Agency, Office of the Director of Operational Test and Evaluation, and Defense Microelectronics Activity, in coordination with DoD requiring activities, develop and implement a plan to verify that contractors correct the weaknesses identified in this report related to using multifactor authentication.</p>	<p>1 year 8 months 8 days</p>

**U.S. Transportation Command (cont'd)**

**Report No. DODIG-2020-046, "Audit of the DoD Personal Property Program Related to Household Goods Shipments," January 6, 2020**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.2.b:</b> The DoD OIG recommended that the Commander of U.S. Transportation Command update the Defense Transportation Regulations to contact the DoD members if they do not complete Customer Satisfaction Surveys within 1 month after receiving the shipments, to increase the survey completion percentage and develop a more accurate Best Value Score.</p>	<p>1 year 2 months 25 days</p>

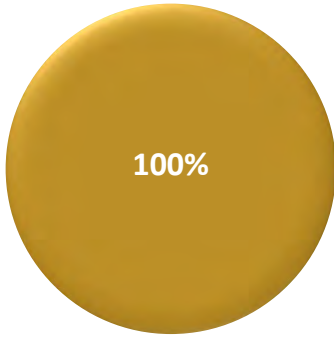
**Report No. DODIG-2020-047, "Audit of Surge Sealift Readiness Reporting," January 22, 2020 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.1.a:</b> The DoD OIG recommended that the Commander of Military Sealift Command establish policies to verify whether deficiencies identified in ship inspection reports match the corresponding contractor-issued casualty reports.</p>	<p>1 year 2 months 9 days</p>
<p><b>Rec. A.1.c:</b> The DoD OIG recommended that the Commander of Military Sealift Command establish policies to reconcile casualty reports to the ship's reported status in Defense Readiness Reporting System-Strategic to ensure accurate ship readiness reporting.</p>	<p>1 year 2 months 9 days</p>
<p><b>Rec. B.1:</b> The DoD OIG recommended that the Commander of Military Sealift Command develop a business process agreement with the Maritime Administration to establish standard criteria for readiness assessments for both Military Sealift Command and Maritime Administration ships.</p>	<p>1 year 2 months 9 days</p>
<p><b>Rec. B.2.a:</b> The DoD OIG recommended that the Commander of Military Sealift Command develop an oversight plan to verify the readiness status of the Maritime Administration surge sealift ships and identify documentation and processes needed for this oversight.</p>	<p>1 year 2 months 9 days</p>
<p><b>Rec. B.2.b:</b> The DoD OIG recommended that the Commander of Military Sealift Command coordinate with the Department of Transportation Maritime Administration to obtain the documentation and establish the processes necessary for the Military Sealift Command to perform the oversight.</p>	<p>1 year 2 months 9 days</p>

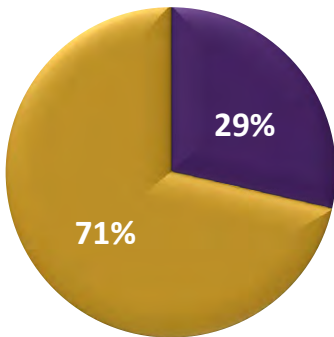
APPENDIX A

**Statistics – U.S. Strategic Command**

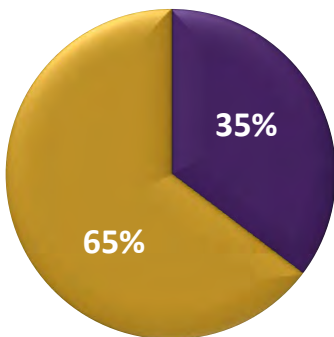
**Recommendations from 2017 Compendium**





**Recommendations from 2019 Compendium**

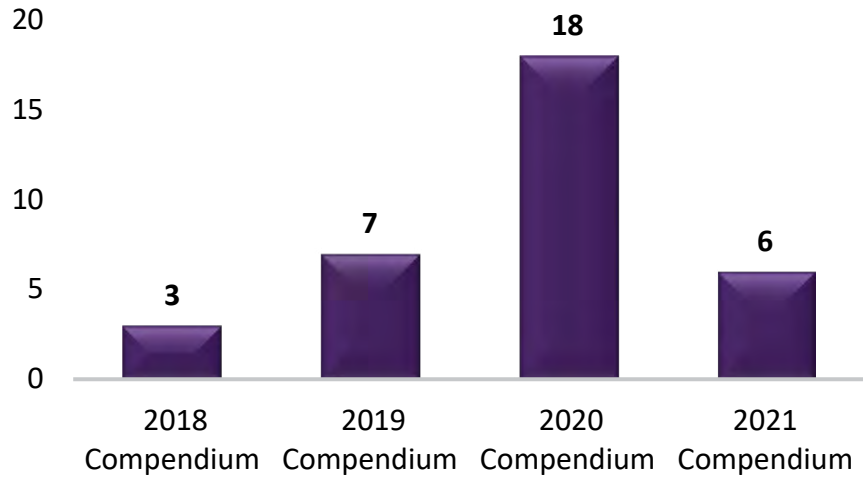


**Recommendations from 2020 Compendium**



 Percentage remaining open as of 3/31/2021  
 Percentage closed as of 3/31/2021

**Open Recommendations**



Number of Unresolved Recommendations	2
Number of Recommendations Open Longer than 5 Years	–
Potential Monetary Benefits	–

### U.S. Strategic Command

Report No. DODIG-2018-122, “U.S. Strategic Command Facility Construction Project,” May 31, 2018  
(Full Report is FOUO)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 2.a:</b> The DoD OIG recommended that the Commander of U.S. Strategic Command complete an after-action review following the construction of the U.S. Strategic Command replacement facility.	2 years 10 months
<b>Rec. 2.b:</b> The DoD OIG recommended that the U.S. Strategic Command Commander review the administrative actions of individuals involved in the cost increases or schedule delays of the U.S. Strategic Command Facility Construction Project and initiate action as appropriate.	2 years 10 months

Report No. DODIG-2020-066, “Audit of the Department of Defense Supply Chain Risk Management Program for Nuclear Command, Control, and Communications Systems,” March 2, 2020 (Full Report is Classified)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. A.5:</b> Recommendation is Classified.	1 year 29 days
<b>Rec. A.6:</b> The DoD OIG recommended that the Commander of U.S. Strategic Command and the Under Secretary of Defense for Research and Engineering develop and implement a plan to conduct independent evaluations of supply chain risk management for nuclear command, control, and communications systems. The plan should outline responsibilities for conducting the evaluations, criteria and methodology that will be used, and timeframes for conducting the evaluations.	1 year 29 days

Report No. DODIG-2020-067, “Followup Audit on Corrective Actions Taken by DoD Components in Response to DoD Cyber Red Team-Identified Vulnerabilities and Additional Challenges Facing DoD Cyber Red Team Missions,” March 13, 2020 (Full Report is Classified)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. A.2:</b> The DoD OIG recommended that the Commander for U.S. Strategic Command prioritize the risk of each unmitigated vulnerability identified in DoD Cyber Red Team Reports and adversarial assessments, take immediate actions to mitigate high-risk vulnerabilities, and if unable to immediately mitigate any of the vulnerabilities, include them on a command-approved plan of action and milestones.	1 year 18 days

# APPENDIX A

## U.S. Strategic Command (cont'd)

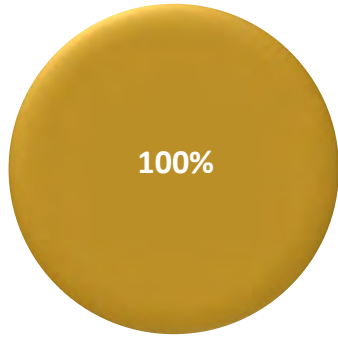
Report No. DODIG-2020-068, "Audit of Security Controls Over the Department of Defense's Global Command and Control System-Joint Information Technology System," March 18, 2020 (Full Report is Classified)

<b>(FOUO)</b> Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>(FOUO) Rec. 1.a:</b> The DoD OIG recommended that the [REDACTED] appoint required personnel to implement the requirements in the Global Command and Control System-Joint type authorization to operate.	1 year 13 days
<b>(FOUO)</b>	

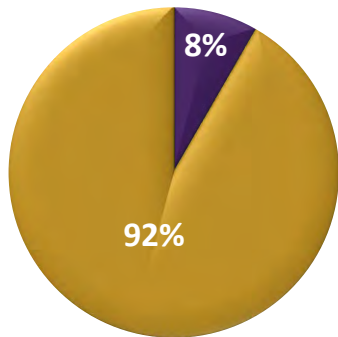


**Statistics – U.S. Africa Command**

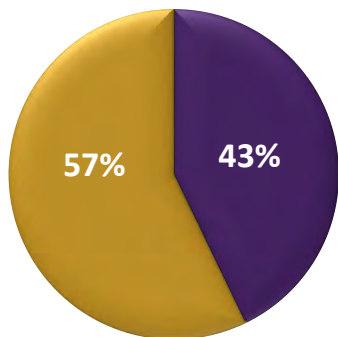
**Recommendations from 2018 Compendium**





**Recommendations from 2019 Compendium**

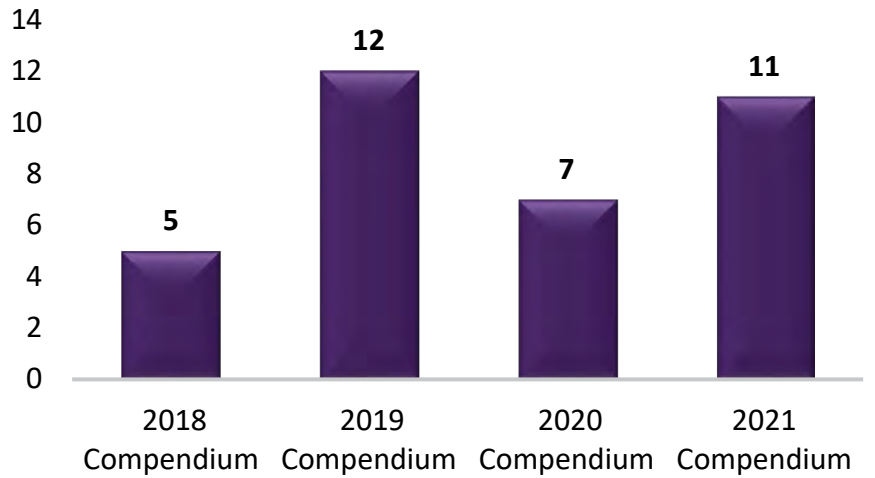


**Recommendations from 2020 Compendium**



 Percentage remaining open as of 3/31/2021  
 Percentage closed as of 3/31/2021

**Open Recommendations**



Number of Unresolved Recommendations	1
Number of Recommendations Open Longer than 5 Years	–
Potential Monetary Benefits	–



## APPENDIX A

### *U.S. Africa Command*

**Report No. DODIG-2018-142, “U.S. Africa Command and U.S. European Command Integration of Operational Contract Support,” August 9, 2018 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. A.1.b:</b> The DoD OIG recommended that the Commander, U.S. Africa Command update the U.S. Africa Command Instruction 4800.01A to include critical operational contract support requirements related to training, common operational picture, and working group attendance.	2 years 7 months 22 days

**Report No. DODIG-2019-111, “Evaluation of USAFRICOM and SOCAFRICA’s Processes for Determining and Fulfilling Intelligence Requirements for Counterterrorism,” August 13, 2019 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 2.a:</b> Recommendation is Classified.	1 year 7 months 18 days

**Report No. DODIG-2020-077, “Evaluation of Niger Air Base 201 Military Construction,” March 31, 2021 (Full Report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 2:</b> The DoD OIG recommended that the Commander of U.S. Africa Command establish a coordination and decision-making process with key stakeholders for troop labor construction projects, including a forum to directly communicate with the military construction program manager, designer of record, construction provider, and base support integrator, as applicable.	1 year

**Report No. DODIG-2020-132, “Evaluation of the U.S. Africa Command’s Response to the Coronavirus Disease–2019,” September 30, 2020 (Full Report is Classified)**

(FOUO) Recommendation Number and Text	Age of Recommendation on 3/31/21
(FOUO) <b>Rec. 1.a:</b> The DoD OIG recommended that the Commander, U.S. Africa Command [REDACTED]	6 months 1 day
(FOUO)	

APPENDIX A

**U.S. Africa Command – Report No. DODIG-2020-132 (cont'd)**

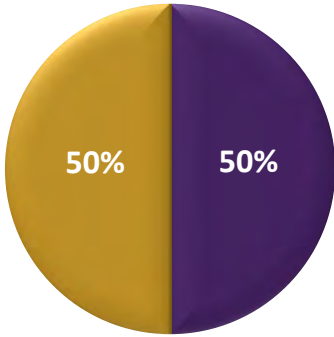
<b>(FOUO)</b> Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>(FOUO) Rec. 1.b:</b> The DoD OIG recommended that the Commander, U.S. Africa Command [REDACTED]	6 months 1 day
<b>(FOUO) Rec. 1.c:</b> The DoD OIG recommended that the Commander, U.S. Africa Command [REDACTED]	6 months 1 day
<b>(FOUO) Rec. 1.d:</b> The DoD OIG recommended that the Commander, U.S. Africa Command [REDACTED]	6 months 1 day
<b>(FOUO) Rec. 1.e:</b> The DoD OIG recommended that the Commander, U.S. Africa Command [REDACTED]	6 months 1 day
<b>(FOUO) Rec. 1.f:</b> The DoD OIG recommended that the Commander, U.S. Africa Command [REDACTED]	6 months 1 day
<b>(FOUO) Rec. 1.g:</b> The DoD OIG recommended that the Commander, U.S. Africa Command [REDACTED]	6 months 1 day
<b>(FOUO) Rec. 1.h:</b> The DoD OIG recommended that the Commander, U.S. Africa Command [REDACTED]	6 months 1 day

**(FOUO)**

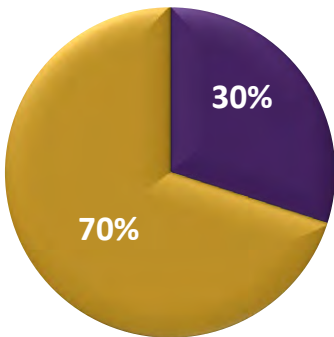
APPENDIX A

**Statistics – U.S. Cyber Command**

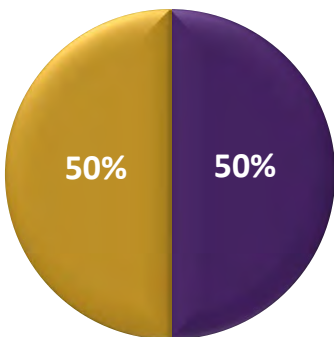
**Recommendations from 2018 Compendium**



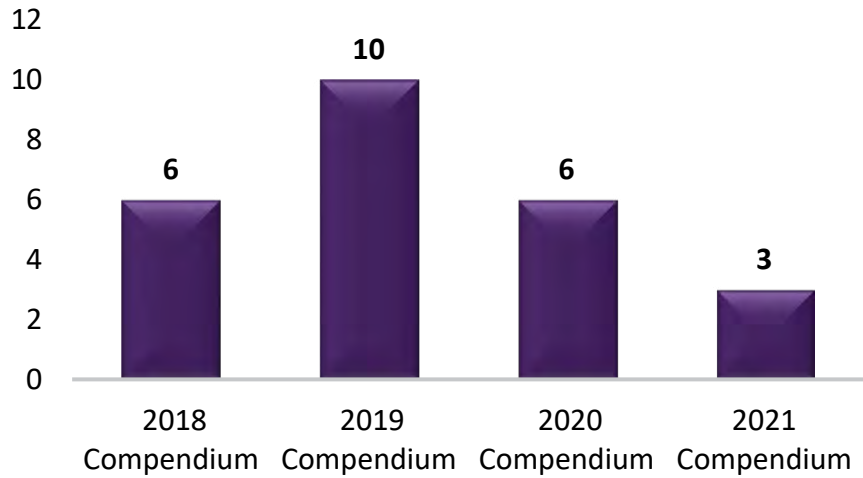
**Recommendations from 2019 Compendium**





**Recommendations from 2020 Compendium**



**Open Recommendations**



Number of Unresolved Recommendations	–
Number of Recommendations Open Longer than 5 Years	3
Potential Monetary Benefits	–

 Percentage remaining open as of 3/31/2021  
 Percentage closed as of 3/31/2021

**U.S. Cyber Command**

**Report No. DODIG-2016-026, “Combat Mission Teams and Cyber Protection Teams Lacked Adequate Capabilities and Facilities to Perform Missions,” November 24, 2015 (Full Report is Classified)**

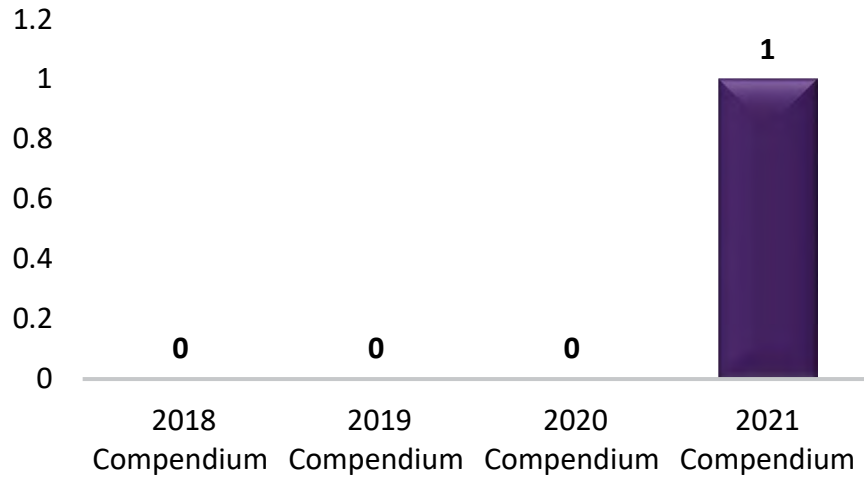
Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1:</b> The DoD OIG recommended that the Commander of U.S. Cyber Command, the Chiefs of Staff for the U.S. Army and U.S. Air Force, the Chief of Naval Operations, and the Commandant of the Marine Corps develop a doctrine, organization, training, materiel, leadership and education, personnel, facilities, and policy framework that addresses strategies to build, grow, and sustain the Cyber Mission Force.</p>	<p>5 years 4 months 7 days</p>
<p><b>Rec. 2:</b> The DoD OIG recommended that the Commander of U.S. Cyber Command, the Chiefs of Staff for the U.S. Army and the U.S. Air Force, the Chief of Naval Operations, and the Commandant of the Marine Corps formalize an agreement to focus capability development on functional and mission areas consistent with results of the mission alignment board.</p>	<p>5 years 4 months 7 days</p>
<p><b>Rec. 3:</b> The DoD OIG recommended that the Commander of U.S. Cyber Command, in coordination with the Service Components and the Defense Information Systems Agency, develop and specify a capability baseline and interoperability standards for all Cyber Protection Teams.</p>	<p>5 years 4 months 7 days</p>



APPENDIX A

**Statistics – U.S. Space Command**

**Open Recommendations**



Number of Unresolved Recommendations	–
Number of Recommendations Open Longer than 5 Years	–
Potential Monetary Benefits	–

**U.S. Space Command**

Report No. DODIG-2018-159, "Evaluation of the Integrated Tactical Warning and Attack Assessment System," September 26, 2018 (Full Report is Classified)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 2:</b> Recommendation is Classified.*	2 years 6 months 5 days

\* Responsibility for implementing Recommendation 2 was transferred from USSTRATCOM to USSPACECOM.



APPENDIX A

**Statistics – DoD Office of the General Counsel**

**Recommendations from 2018 Compendium**



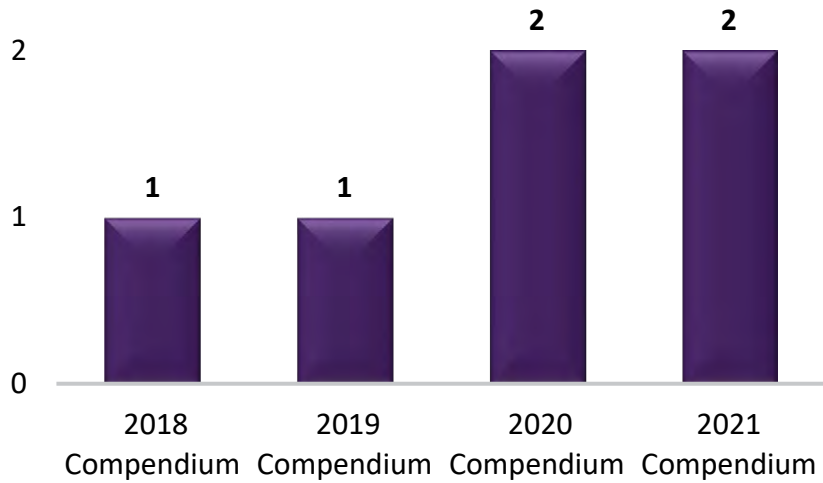
**Recommendations from 2019 Compendium**




**Recommendations from 2020 Compendium**




**Open Recommendations**



Number of Unresolved Recommendations	1
Number of Recommendations Open Longer than 5 Years	1
Potential Monetary Benefits	–

 Percentage remaining open as of 3/31/2021

 Percentage closed as of 3/31/2021

**DoD Office of the General Counsel**

**Report No. DODIG-2014-060, “An Assessment of Contractor Personnel Security Clearance Processes in the Four Defense Intelligence Agencies,” April 14, 2014**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.3:</b> The DoD OIG recommended that the DoD Office of General Counsel prepare an update to or replacement for DoD Directive 5220.6 to make it compliant with the requirements of DoD Instruction 5025.01 for accuracy and currency.</p>	<p>6 years 11 months 17 days</p>

**Report No. DODIG-2019-088, “Evaluation of DoD Efforts to Combat Trafficking in Persons in Kuwait,” June 11, 2019**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. C.4:</b> The DoD OIG recommended that the General Counsel of the Department of Defense coordinate with the DoD organizations responsible for overseeing contracting in Kuwait, such as U.S. Central Command, U.S. Army Contracting Command-Rock Island, Deputy Assistant Secretary (Contracting), and Army and Air Force Exchange Service, to determine the appropriate DoD organization responsible for determining definitive guidance on Kuwaiti labor laws that apply to DoD contracts with performance in Kuwait, work to resolve disagreements among the organizations, and advise the Secretary of Defense and the Deputy Secretary of Defense on a comprehensive solution.*</p>	<p>1 year 9 months 20 days</p>

\* The DoD OIG is evaluating implementation of this recommendation as part of an ongoing followup project.

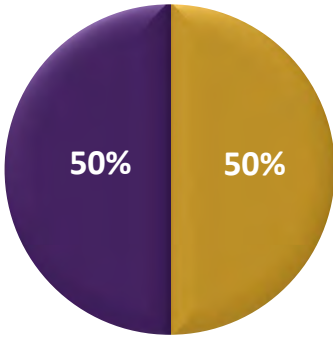




APPENDIX A



**Statistics – Director of Cost Assessment and Program Evaluation**

**Recommendations from 2019 Compendium**

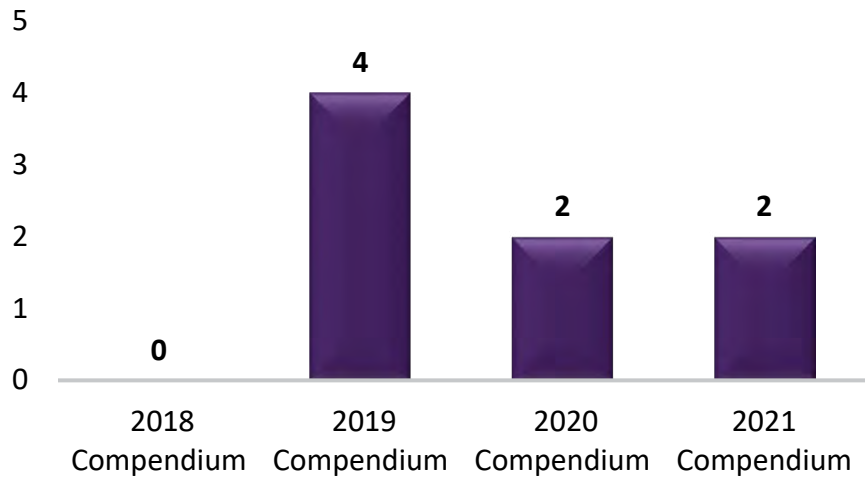


**Recommendations from 2020 Compendium**



-  Percentage remaining open as of 3/31/2021
-  Percentage closed as of 3/31/2021

**Open Recommendations**



Number of Unresolved Recommendations	–
Number of Recommendations Open Longer than 5 Years	–
Potential Monetary Benefits	–

**Director of Cost Assessment and Program Evaluation**

Report No. DODIG-2018-160, "Evaluation of the Space-Based Segment of the U.S. Nuclear Detonation Detection System," September 28, 2018 (Full Report is Classified)

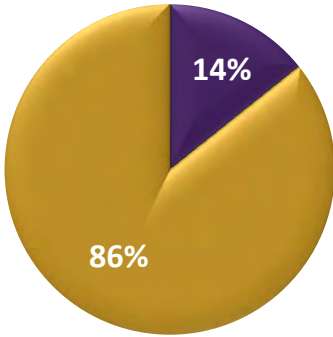
<b>(FOUO)</b> Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 1.b:</b> Recommendation is Classified.	2 years 6 months 3 days
<b>(FOUO) Rec. 1.c:</b> The DoD OIG recommended that the Deputy Secretary of Defense, in coordination with the appropriate interagency stakeholders, [REDACTED].	2 years 6 months 3 days
<b>(FOUO)</b>	



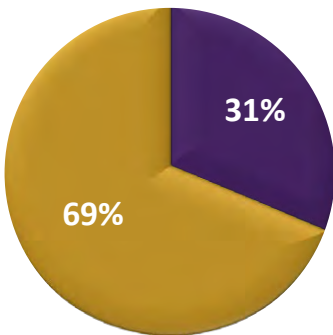
APPENDIX A

**Statistics – DoD Chief Information Officer**

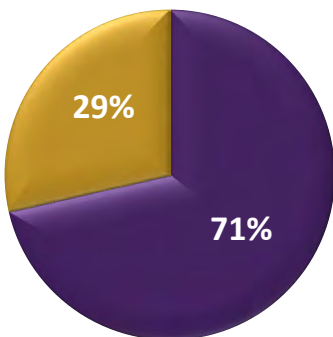
**Recommendations from 2018 Compendium**



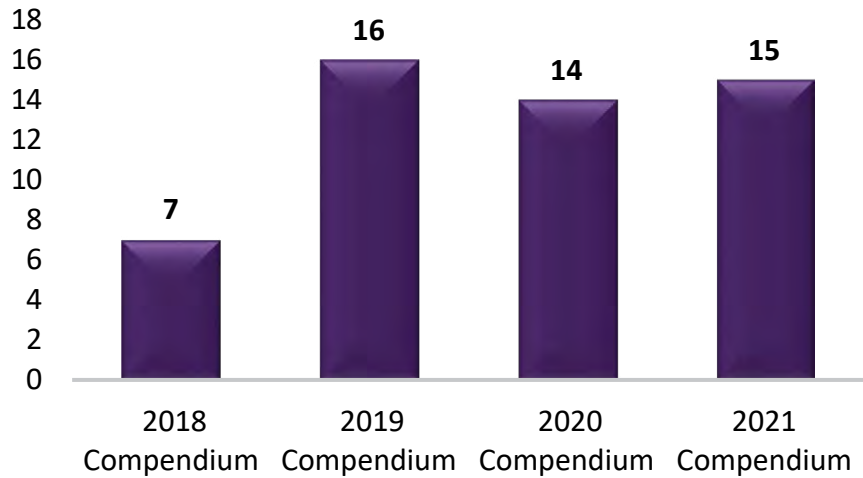
**Recommendations from 2019 Compendium**





**Recommendations from 2020 Compendium**



**Open Recommendations**



Number of Unresolved Recommendations	1
Number of Recommendations Open Longer than 5 Years	1
Potential Monetary Benefits	–

 Percentage remaining open as of 3/31/2021  
 Percentage closed as of 3/31/2021

**DoD Chief Information Officer**

**Report No. DODIG-2015-045, “DoD Cloud Computing Strategy Needs Implementation Plan and Detailed Waiver Process,” December 4, 2014**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. B.3:</b> The DoD OIG recommended that the DoD Chief Information Officer develop and publish a waiver process providing detailed guidance on how to obtain a Global Information Grid waiver for cloud computing in the DoD.	6 years 3 months 27 days

**Report No. DODIG-2019-016, “DoD Actions Taken to Implement the Cybersecurity Information Sharing Act of 2015,” November 8, 2018**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 1:</b> The DoD OIG recommended that the DoD Chief Information Officer, in coordination with the Under Secretary of Defense for Policy, issue DoD-wide policy implementing the Cybersecurity Information Sharing Act of 2015 requirements, including a requirement for the DoD Components to document barriers to sharing cyber threat indicators and defensive measures and take appropriate actions to mitigate the identified barriers.	2 years 4 months 23 days

**Report No. DODIG-2019-037, “DoD Management of Software Applications,” December 13, 2018 (Full Report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 1.c:</b> The DoD OIG recommended that the DoD Chief Information Officer, in coordination with the DoD Chief Management Officer to conduct periodic reviews to ensure DoD Components are regularly validating the accuracy of their inventory of owned and in use software applications and that DoD Components are eliminating duplicate and obsolete software applications.	2 years 3 months 18 days

**Report No. DODIG-2019-063, “Followup Audit on the Military Departments’ Security Safeguards Over Secret Internet Protocol Router Network Access Points,” March 18, 2019 (Full Report is Classified)**

<b>(FOUO)</b> Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>(FOUO) Rec. A.4:</b> The DoD OIG recommended that the [REDACTED]	2 years 13 days
<b>(FOUO)</b>	

## APPENDIX A

### DoD Chief Information Officer – Report No. DODIG-2019-063 (cont'd)

(FOUO)	Recommendation Number and Text	Age of Recommendation on 3/31/21
	<p><b>Rec. B.10:</b> The DoD OIG recommended that the DoD Chief Information Officer, in coordination with the Under Secretary of Defense (Intelligence), ensure that the Army, Navy, and Air Force Chief Information Officers; the Army Deputy Chief of Staff for Intelligence; and the Army Provost Marshal General apply corrective actions related to physical security safeguards at each Command within their Components.</p>	2 years 13 days
(FOUO)		

### Report No. DODIG-2019-105, “Audit of Protection of DoD Controlled Unclassified Information on Contractor-Owned Networks and Systems,” July 23, 2019 (Full Report is FOUO)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.1.a:</b> The DoD OIG recommended that the DoD Chief Information Officer, in coordination with Defense Pricing and Contracting, implement or revise policy to require all systems and networks that maintain DoD information, including those owned by contractors that maintain DoD information, to use strong passwords that, at a minimum, meet DoD password length and complexity requirements.</p>	1 year 8 months 8 days
<p><b>Rec. A.1.b:</b> The DoD OIG recommended that the DoD Chief Information Officer, in coordination with Defense Pricing and Contracting, implement or revise policy to require all systems and networks that maintain DoD information, including those owned by contractors that maintain DoD information, to configure their systems and networks to align with DoD requirements for locking after 15 minutes of inactivity and 3 unsuccessful logon attempts.</p>	1 year 8 months 8 days

### Report No. DODIG-2019-106, “Audit of the DoD’s Management of the Cybersecurity Risks for Government Purchase Card Purchases of Commercial Off-the-Shelf Items,” July 26, 2019 (Full Report is Classified)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 3:</b> The DoD OIG recommended that the DoD Chief Information Officer revise DoD Instruction 8100.04, “DoD Unified Capabilities (UC),” December 9, 2010, to require an assessment of supply chain risks as a condition for approval to be included on the Unified Capabilities approved products list.</p>	1 year 8 months 5 days

**DoD Chief Information Officer (cont'd)**

**Report No. DODIG-2019-107, "Evaluation of Combatant Commands' Insider Threat Programs," July 30, 2019 (Full Report is Classified)**

(FOUO) Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 2.a:</b> The DoD OIG recommended that the DoD Chief Information Officer develop and issue a user activity monitoring policy and strategy, as required by DoD Directive 5205.16, "The DoD Insider Threat Program," September 29, 2014, incorporating Change 2, August 28, 2017.	1 year 8 months 1 day
(FOUO) <b>Rec. 2.b:</b> The DoD OIG recommended that the [REDACTED]	1 year 8 months 1 day

(FOUO)

**Report No. DODIG-2020-098, "Audit of Governance and Protection of Department of Defense Artificial Intelligence Data and Technology," June 29, 2020 (Full Report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. A.1.e:</b> The DoD OIG recommended that the Director of the Joint Artificial Intelligence Center establish an artificial intelligence governance framework that includes a central repository for storing and sharing tools, data, policies, and procedures related to artificial intelligence projects and technologies.	9 months 2 days
<b>Rec. A.1.f:</b> The DoD OIG recommended that the Director of the Joint Artificial Intelligence Center establish an artificial intelligence governance framework that includes standards for assessing legal and privacy considerations when developing and using artificial intelligence data and technologies.	9 months 2 days
<b>Rec. A.1.g:</b> The DoD OIG recommended that the Director of the Joint Artificial Intelligence Center establish an artificial intelligence governance framework that includes a strategy for identifying similar artificial intelligence projects and promoting the collaboration of artificial intelligence efforts across the DoD.	9 months 2 days

# APPENDIX A

## DoD Chief Information Officer (cont'd)

Report No. DODIG-2021-064, "Audit of Maintaining Cybersecurity in the Coronavirus Disease-2019 Telework Environment," March 29, 2021 (Full Report is CUI)

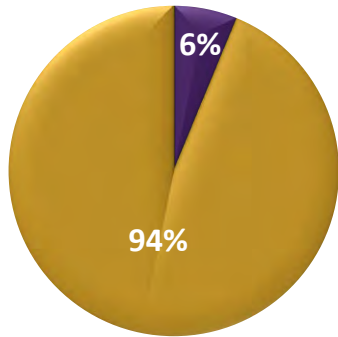
<b>(CUI)</b> Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>(CUI) Rec. 1.a:</b> The DoD OIG recommended that the DoD Chief Information Officer direct the Defense Information Systems Agency to review the language in the Virtual Private Network Security Requirements Guide and revise the guide to include specific language that [REDACTED]	2 days
<b>(FOUO) Rec. 1.b:</b> The DoD OIG recommended that the DoD Chief Information Officer direct the DoD Deputy Chief Information Officer for Information Enterprise to implement controls to [REDACTED]	2 days

(CUI)

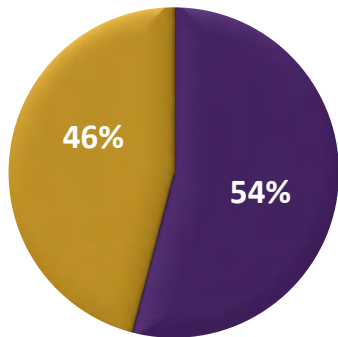


**Statistics – Assistant Secretary of Defense for Health Affairs**

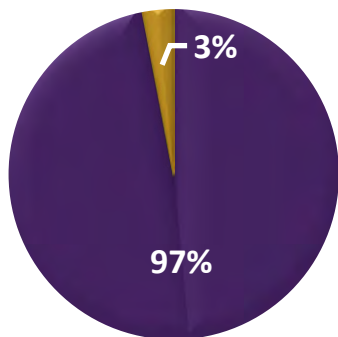
**Recommendations from 2018 Compendium**





**Recommendations from 2019 Compendium**

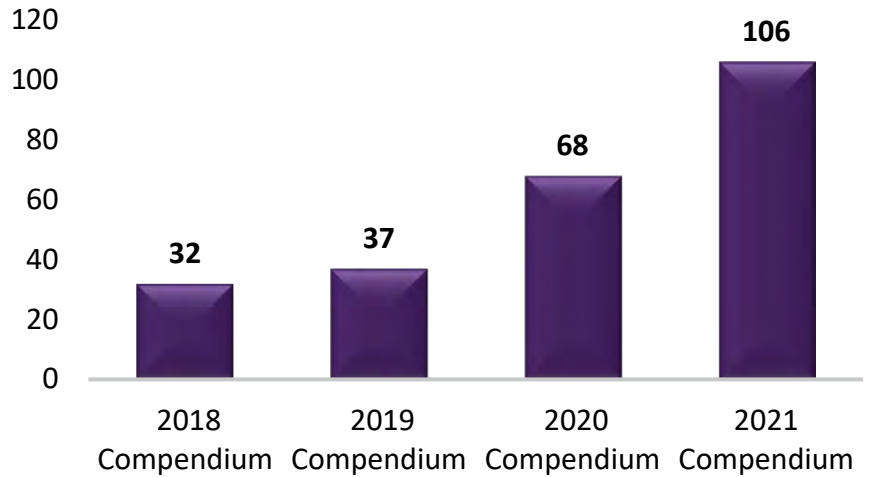


**Recommendations from 2020 Compendium**



 Percentage remaining open as of 3/31/2021  
 Percentage closed as of 3/31/2021

**Open Recommendations**



Number of Unresolved Recommendations	6
Number of Recommendations Open Longer than 5 Years	2
Potential Monetary Benefits	\$61 million



## APPENDIX A

### *Assistant Secretary of Defense for Health Affairs*

**Report No. DODIG-2015-016, “Department of Defense Suicide Event Report Data Quality Assessment,” November 14, 2014**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 4.c:</b> The DoD OIG recommended that the National Center for Telehealth and Technology Director, upon receipt of authority resulting from Recommendation 4.a, update software to allow unit/installation trend reports.	6 years 4 months 17 days

**Report No. DODIG-2016-064, “Other Defense Organizations and Defense Finance and Accounting Service Controls Over High-Risk Transactions Were Not Effective,” March 28, 2016**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 2:</b> The DoD OIG recommended that the Directors of the Other Defense Organizations and Defense Finance and Accounting Service revise service-level agreements based on the end-to-end business process identified. Service-level agreements should include clearly defined roles and responsibilities, internal controls, performance metrics, and quality assurance plans to ensure that detail-level data for problem disbursements are provided and problem disbursements are reduced and corrected in a timely manner.	5 years 3 days

**Report No. DODIG-2017-045, “Medical Service Accounts at U.S. Army Medical Command Need Additional Management Oversight,” January 27, 2017**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 1.a:</b> The DoD OIG recommended that the Commander of U.S. Army Medical Command review the 21,742 medical service accounts that military treatment facility Uniform Business Offices determined were uncollectible to ensure all collection efforts have been exhausted and to obtain approval from the proper authority to terminate the accounts that are uncollectible.*	4 years 2 months 4 days

\* Responsibility for implementing Recommendation 1.a was transferred from Army to ASD(HA).

**Report No. DODIG-2019-038, “Follow-up of Delinquent Medical Service Account Audits,” December 19, 2018**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. A.1.a:</b> The DoD OIG recommended that the Defense Health Agency Director coordinate with Brooke Army Medical Center and Landstuhl Regional Medical Center management, through U.S. Army Medical Command, to develop a plan to review the delinquent debt identified in the prior audit reports, Report No. DODIG-2014-101 and DODIG-2016-079.	2 years 3 months 12 days
<b>Rec. A.1.b:</b> The DoD OIG recommended that the Defense Health Agency Director implement guidance and require all Services to develop procedures to review and process their old delinquent accounts.	2 years 3 months 12 days

# APPENDIX A

## Assistant Secretary of Defense for Health Affairs – Report No. DODIG-2019-038 (cont'd)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.1.c:</b> The DoD OIG recommended that the Defense Health Agency Director coordinate with U.S. Army Medical Command to assist U.S. Army Medical Command officials with obtaining the authority from the Office of the Secretary of the Army to terminate uncollectible debt under \$100,000.</p>	<p>2 years 3 months 12 days</p>
<p><b>Rec. A.1.d:</b> The DoD OIG recommended that the Defense Health Agency Director establish and implement guidance for all Services to review uncollectible accounts and obtain approval from the proper authority to terminate debt.</p>	<p>2 years 3 months 12 days</p>
<p><b>Rec. A.1.e:</b> The DoD OIG recommended that the Defense Health Agency Director work with David Grant Medical Center Uniform Business Office personnel to obtain denied Medicare claims identified in the prior report, DODIG-2015-179, and review those claims to determine whether Medicare denied the claims for valid reasons. The Defense Health Agency Director should then work with the Department of Health and Human Services to resolve the issues with receiving reimbursement for services rendered for any claims that were denied for invalid reasons.</p>	<p>2 years 3 months 12 days</p>
<p><b>Rec. A.1.f:</b> The DoD OIG recommended that the Defense Health Agency Director review the current process to determine how to improve the transfer time of delinquent accounts, as well as establish and implement guidance for monitoring and processing delinquent accounts to allow for compliance with the Financial Management Regulation requirement to send 120-day delinquent accounts to the Treasury.</p>	<p>2 years 3 months 12 days</p>
<p><b>Rec. A.1.g:</b> The DoD OIG recommended that the Defense Health Agency Director determine whether enrollment in Medicare and Medicaid is in the best interest of the medical treatment facilities and provide guidance to the medical treatment facilities based on determination.</p>	<p>2 years 3 months 12 days</p>
<p><b>Rec. A.1.h:</b> The DoD OIG recommended that the Defense Health Agency Director develop a process to improve billing of Medicare and Medicaid claims to ensure reimbursement for services provided to beneficiaries.</p>	<p>2 years 3 months 12 days</p>
<p><b>Rec. A.1.i:</b> The DoD OIG recommended that the Defense Health Agency Director coordinate with Department of Health and Human Services to develop a strategy to improve Medicare and Medicaid billing, including a review of the number of days required to submit a claim, a determination of whether enrollment is appropriate, and a decision of whether the medical treatment facilities should become preferred providers.</p>	<p>2 years 3 months 12 days</p>
<p><b>Rec. A.1.j:</b> The DoD OIG recommended that the Defense Health Agency Director work with the Services to establish and implement detailed guidance for processing accounts in the Armed Forces Billing and Collection Utilization Solution system that includes guidance for transaction codes.</p>	<p>2 years 3 months 12 days</p>
<p><b>Rec. A.1.k:</b> The DoD OIG recommended that the Defense Health Agency Director work with the Services and the medical treatment facilities management to develop standardized procedures to obtain patient demographic information and address how to handle accounts that do not have adequate information to bill the patient.</p>	<p>2 years 3 months 12 days</p>

# APPENDIX A

## Assistant Secretary of Defense for Health Affairs – Report No. DODIG-2019-038 (cont’d)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.1.l:</b> The DoD OIG recommended that the Defense Health Agency Director review the current process for deploying the inpatient diagnostic-related group rates each fiscal year and determine how to improve the process to allow for more timely billing.</p>	<p>2 years 3 months 12 days</p>
<p><b>Rec. A.1.m:</b> The DoD OIG recommended that the Defense Health Agency Director work with medical treatment facilities’ Uniform Business Office management to research and review all Composite Health Care System transactions transferred to the Armed Forces Billing and Collection Utilization Solution system and identify all information that was not properly transferred to ensure that account data and status is accurate and that the accounts are billed, transferred to the Treasury, or written off as appropriate.</p>	<p>2 years 3 months 12 days</p>
<p><b>Rec. A.1.n:</b> The DoD OIG recommended that the Defense Health Agency Director determine which reports in the Armed Forces Billing and Collection Utilization Solution system are used to identify medical service accounts for billing and reporting and require medical treatment facility Uniform Business Office personnel for all Services to review those reports to ensure the data is accurate and reliable.</p>	<p>2 years 3 months 12 days</p>
<p><b>Rec. A.1.o:</b> The DoD OIG recommended that the Defense Health Agency Director establish standardized guidance for which reports the medical treatment facilities must review in the Armed Forces Billing and Collection Utilization Solution system to identify accounts ready to be billed.</p>	<p>2 years 3 months 12 days</p>
<p><b>Rec. A.1.p:</b> The DoD OIG recommended that the Defense Health Agency Director review all billing processes, including the use of Centralized Receivables Service, and determine a billing process that would be in the best interest of all Services.</p>	<p>2 years 3 months 12 days</p>
<p><b>Rec. A.1.q:</b> The DoD OIG recommended that the Defense Health Agency Director provide additional training to Uniform Business Office personnel for processing medical service accounts in the Armed Forces Billing and Collection Utilization Solution system.</p>	<p>2 years 3 months 12 days</p>
<p><b>Rec. A.2:</b> The DoD OIG recommended that the Commander of the U.S. Army Medical Command update applicable regulations to identify U.S. Army Medical Command as the debt termination authority if U.S. Army Medical Command officials obtain the authority from the Secretary of the Army.*</p>	<p>2 years 3 months 12 days</p>

\* Responsibility for implementing Recommendation A.2 was transferred from Army to ASD(HA).

**Assistant Secretary of Defense for Health Affairs (cont'd)**

**Report No. DODIG-2019-073, "Audit of Payments to the DoD for Medical Services Provided to Department of Veterans Affairs Beneficiaries at Selected Army Medical Centers," April 8, 2019**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 1:</b> The DoD OIG recommended that the Assistant Secretary of Defense (Health Affairs) coordinate with Department of Veterans Affairs counterparts on the Health Executive Committee to determine the source of Veterans Affairs Pacific Island Health Care System payment delays to Tripler Army Medical Center and develop a joint solution to improve the timeliness of payments.	1 year 11 months 23 days
<b>Rec. 2.a:</b> The DoD OIG recommended that the Defense Health Agency identify the source of billing system errors that prevented payment of inpatient professional fees.	1 year 11 months 23 days
<b>Rec. 2.a.1:</b> The DoD OIG recommended that the Defense Health Agency modify the billing system to prevent future errors.	1 year 11 months 23 days
<b>Rec. 2.a.2:</b> The DoD OIG recommended that the Defense Health Agency determine whether the billing system errors affected other sharing sites.	1 year 11 months 23 days
<b>Rec. 2.a.3:</b> The DoD OIG recommended that the Defense Health Agency provide guidance to impacted sharing sites to bill for any previously unbilled care.	1 year 11 months 23 days
<b>Rec. 2.b:</b> The DoD OIG recommended that the Defense Health Agency update the scheduling system to ensure that all care provided to Department of Veterans Affairs beneficiaries can be properly recorded, tracked, and billed.	1 year 11 months 23 days
<b>Rec. 2.c:</b> The DoD OIG recommended that the Defense Health Agency coordinate with the Health Executive Committee to develop a standardized process that allows the Department of Veterans Affairs to review and retroactively authorize all emergency and inpatient care.	1 year 11 months 23 days
<b>Rec. 3:</b> The DoD OIG recommended that the Commander of the U.S. Army Medical Command coordinate with the Health Executive Committee to develop a requirement for the clear identification of Veterans Affairs Pacific Island Health Care System rejected claims.*	1 year 11 months 23 days
<b>Rec. 4.d:</b> The DoD OIG recommended that the Tripler Army Medical Center Commander review procedures for coding and billing for care to Department of Veterans Affairs beneficiaries and adjust procedures or allocate additional resources to enable billing within the 30-day timeliness standard.*	1 year 11 months 23 days

\* Responsibility for implementing Recommendations 3 and 4.d was transferred from Army to ASD(HA).

## APPENDIX A

### *Assistant Secretary of Defense for Health Affairs (cont'd)*

#### **Report No. DODIG-2019-091, "Evaluation of the DoD's Management of Opioid Use Disorder for Military Health System Beneficiaries," June 10, 2019**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B.1:</b> The DoD OIG recommended that the Assistant Secretary of Defense (Health Affairs) develop policy to standardize the methodology to identify the population of patients with opioid use disorder within the Military Health System.</p>	<p>1 year 9 months 21 days</p>
<p><b>Rec. B.2:</b> The DoD OIG recommended that the Assistant Secretary of Defense (Health Affairs) develop policy establish and implement minimum standard outcome and process measures, including data for both direct care and purchased care, for the treatment of opioid use disorder.</p>	<p>1 year 9 months 21 days</p>

#### **Report No. DODIG-2019-108, "Audit of the DoD's Management of the Third Party Collection Program for Medical Claims," September 16, 2019**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.a.1:</b> The DoD OIG recommended that the Director of the Defense Health Agency review all medical facilities in the Military Health System to determine which medical facilities are not collecting other health insurance information at all clinics in accordance with Defense Health Agency Procedures Manual 6015.01, and coordinate with commanders of those medical facilities to enforce existing other health insurance collection regulations, and as appropriate, take administrative action for noncompliance.</p>	<p>1 year 6 months 15 days</p>
<p><b>Rec. 1.a.2:</b> The DoD OIG recommended that the Director of the Defense Health Agency review all medical facilities in the Military Health System to determine which medical facilities are not submitting claims to insurance providers in compliance with the time requirements in Defense Health Agency Procedures Manual 6015.01, and coordinate with commanders of those medical facilities to implement additional controls that enforce the requirements.</p>	<p>1 year 6 months 15 days</p>
<p><b>Rec. 1.a.3:</b> The DoD OIG recommended that the Director of the Defense Health Agency review all medical facilities in the Military Health System to determine which medical facilities are not obtaining pre-authorization for treatment, and coordinate with commanders of those medical facilities to develop and implement a process for obtaining pre-authorization when services rendered for a beneficiary require a pre-authorization from the insurance provider.</p>	<p>1 year 6 months 15 days</p>
<p><b>Rec. 1.a.4:</b> The DoD OIG recommended that the Director of the Defense Health Agency review all medical facilities in the Military Health System to determine which medical facilities are not conducting followup in compliance with the requirements in Defense Health Agency Procedures Manual 6015.01, and coordinate with commanders of those medical facilities to immediately revise procedures to ensure claims are followed up on in accordance with Defense Health Agency Procedures Manual 6015.01 and DoD Financial Management Regulation Volume 16, Chapter 2, requirements.</p>	<p>1 year 6 months 15 days</p>

# APPENDIX A

## Assistant Secretary of Defense for Health Affairs – Report No. DODIG-2019-108 (cont'd)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.a.5:</b> The DoD OIG recommended that the Director of the Defense Health Agency review all medical facilities in the Military Health System to determine which medical facilities are not managing claims requiring refunds, and as appropriate, coordinate with commanders of those medical facilities to initiate refunds to insurance providers, identify funds spent that the medical facility was not entitled to spend, and take action to mitigate any risk to the medical facilities' mission.</p>	<p>1 year 6 months 15 days</p>
<p><b>Rec. 1.a.6:</b> The DoD OIG recommended that the Director of the Defense Health Agency review all medical facilities in the Military Health System to determine which medical facilities are not transferring eligible third party claims that are delinquent for more than 120 days to the Treasury Cross-Servicing Program, coordinate with commanders of those medical facilities to enforce Public Laws 104-134 and 113-101, which require medical facilities to transfer eligible delinquent claims to the Treasury Cross-Servicing Program, and take administrative action for noncompliance.</p>	<p>1 year 6 months 15 days</p>
<p><b>Rec. 1.a.7:</b> The DoD OIG recommended that the Director of the Defense Health Agency review all medical facilities in the Military Health System to determine which medical facilities are not providing legal support to the Uniform Business Office and coordinate with commanders of those medical facilities to provide legal support to collect on Third Party Collection Program claims, and report on the benefits of the Defense Health Agency providing centralized legal resources for all DoD medical facilities to support cost recovery programs, and take action as appropriate.</p>	<p>1 year 6 months 15 days</p>
<p><b>Rec. 1.b:</b> The DoD OIG recommended that the Director of the Defense Health Agency coordinate with commanders at all medical facilities operating Military Health System GENESIS to identify whether other facilities have patient category code errors similar to Naval Hospital Bremerton, and as appropriate, require front desk personnel to take patient category training at least annually.</p>	<p>1 year 6 months 15 days</p>
<p><b>Rec. 1.c:</b> The DoD OIG recommended that the Director of the Defense Health Agency coordinate with commanders at all medical facilities operating Military Health System GENESIS to implement procedures to correct patient category codes in Military Health System GENESIS when patient category code errors are identified.</p>	<p>1 year 6 months 15 days</p>
<p><b>Rec. 1.d:</b> The DoD OIG recommended that the Director of the Defense Health Agency determine whether changing the field name in Military Health System GENESIS to assist front desk personnel resolved credentialed provider errors at medical facilities using Military Health System GENESIS and if not, identify an alternative course of action to assign credentialed providers to patient encounters.</p>	<p>1 year 6 months 15 days</p>
<p><b>Rec. 1.e:</b> The DoD OIG recommended that the Director of the Defense Health Agency coordinate with commanders at all medical facilities operating Military Health System GENESIS to identify all patient encounters that are not assigned a credentialed provider or are missing medical coding or doctor's notes, and develop a course of action to process and bill the claims through the appropriate cost recovery program.</p>	<p>1 year 6 months 15 days</p>

## APPENDIX A

### *Assistant Secretary of Defense for Health Affairs – Report No. DODIG-2019-108 (cont’d)*

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 1.f:</b> The DoD OIG recommended that the Director of the Defense Health Agency coordinate with medical facility commanders to implement procedures to ensure claims are accurate before submission to the insurance provider.	1 year 6 months 15 days
<b>Rec. 1.g:</b> The DoD OIG recommended that the Director of the Defense Health Agency coordinate with medical facility commanders to develop a course of action and enforce existing Defense Health Agency requirements that Uniform Business Office personnel review previous patient encounters for potentially billable events when new other health insurance is identified for a beneficiary.	1 year 6 months 15 days
<b>Rec. 1.h:</b> The DoD OIG recommended that the Director of the Defense Health Agency report the dollar impact of not collecting on prescriptions written for more than a 30-day supply and as appropriate, implement procedures to require Uniform Business Office personnel to collect at least the reasonable charges on pharmaceutical claims equal to the allowable portion covered by insurance policies.	1 year 6 months 15 days
<b>Rec. 1.i:</b> The DoD OIG recommended that the Director of the Defense Health Agency review and verify, at least annually, that billing personnel at all medical facilities in the Military Health System are meeting the Defense Health Agency Procedures Manual 6015.01 and the DoD Financial Management Regulation Volume 16, Chapter 2, requirements for following up on delinquent debt.	1 year 6 months 15 days
<b>Rec. 1.j:</b> The DoD OIG recommended that the Director of the Defense Health Agency review denials management programs of all medical treatment facilities and, when applicable, coordinate with facility commanders to develop and implement procedures for reviewing and validating denials before writing off claims, along with implementing an approach for reviewing denials by beneficiary.	1 year 6 months 15 days
<b>Rec. 8.a:</b> The DoD OIG recommended that the Director of the Walter Reed National Military Medical Center direct personnel at all medical facility clinics and clinical support activities to collect hardcopy or electronic versions of DD Form 2569, and as appropriate, take administrative action for noncompliance.	1 year 6 months 15 days
<b>Rec. 8.b:</b> The DoD OIG recommended that the Director of the Walter Reed National Military Medical Center implement procedures requiring Uniform Business Operations personnel to review and submit bills to insurance providers in compliance with the time requirements outlined in the Defense Health Agency Procedures Manual 6015.01, including procedures for high dollar claims held for review within the Armed Forces Billing and Collection Utilization Solution.	1 year 6 months 15 days
<b>Rec. 8.c:</b> The DoD OIG recommended that the Director of the Walter Reed National Military Medical Center review and modify procedures for claim followup so debt can be transferred to the appropriate debt collection agency when claims become 120 days delinquent.	1 year 6 months 15 days
<b>Rec. 8.d:</b> The DoD OIG recommended that the Director of the Walter Reed National Military Medical Center review all outstanding third party claims that are delinquent for more than 120 days to determine which claims are eligible for transfer to the Treasury Cross-Servicing Program or local Judge Advocate office, and transfer all eligible claims for collection assistance.	1 year 6 months 15 days



# APPENDIX A

## Assistant Secretary of Defense for Health Affairs – Report No. DODIG-2019-108 (cont'd)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 8.e:</b> The DoD OIG recommended that the Director of the Walter Reed National Military Medical Center provide sufficient legal support to pursue collections through the Third Party Collection Program.</p>	<p>1 year 6 months 15 days</p>
<p><b>Rec. 9.a:</b> The DoD OIG recommended that the Commander of the Fort Belvoir Community Hospital direct personnel at all medical facility clinics and clinical support activities to collect hardcopy or electronic versions of DD Form 2569, and as appropriate, take administrative action for noncompliance.</p>	<p>1 year 6 months 15 days</p>
<p><b>Rec. 9.b:</b> The DoD OIG recommended that the Commander of the Fort Belvoir Community Hospital review and modify procedures for claim followup so debt can be transferred to the appropriate debt collection agency when claims become 120 days delinquent.</p>	<p>1 year 6 months 15 days</p>
<p><b>Rec. 9.c:</b> The DoD OIG recommended that the Commander of the Fort Belvoir Community Hospital review all outstanding third party claims that are delinquent for more than 120 days to determine which claims are eligible for transfer to the Treasury Cross-Servicing Program or local Judge Advocate office, and transfer all eligible claims for collection assistance.</p>	<p>1 year 6 months 15 days</p>
<p><b>Rec. 9.d:</b> The DoD OIG recommended that the Commander of the Fort Belvoir Community Hospital provide sufficient legal support to pursue collections through the Third Party Collection Program.</p>	<p>1 year 6 months 15 days</p>
<p><b>Rec. 11.a:</b> The DoD OIG recommended that the Commanding General of Army Regional Health Command-Atlantic; the Director of the Defense Health Agency, National Capital Region Medical Directorate; and Commander of the Air Force Medical Operations Agency review the contract language for the Third Party Collection Program contracts, and align the contract terms with all applicable Federal and DoD regulations.</p>	<p>1 year 6 months 15 days</p>
<p><b>Rec. 11.b:</b> The DoD OIG recommended that the Commanding General of Army Regional Health Command-Atlantic; the Director of the Defense Health Agency, National Capital Region Medical Directorate; and Commander of the Air Force Medical Operations Agency implement oversight procedures to monitor contractor performance in accordance with the terms of the contract and all Federal and DoD regulations.</p>	<p>1 year 6 months 15 days</p>
<p><b>Rec. 11.c:</b> The DoD OIG recommended that the Commanding General of Army Regional Health Command-Atlantic; the Director of the Defense Health Agency, National Capital Region Medical Directorate; and Commander of the Air Force Medical Operations Agency hold any contracting personnel assigned oversight responsibility accountable for not appropriately performing oversight procedures necessary to ensure the contractor complied with Federal and DoD regulations and contract terms.</p>	<p>1 year 6 months 15 days</p>
<p><b>Rec. 12:</b> The DoD OIG recommended that the Director of the Defense Health Agency, National Capital Region Medical Directorate, require the contracting officer to prepare contractor performance assessment reports for Third Party Collection Program contracts, in accordance with the Federal Acquisition Regulation and Defense Federal Acquisition Regulation Supplement.</p>	<p>1 year 6 months 15 days</p>



# APPENDIX A

## *Assistant Secretary of Defense for Health Affairs (cont'd)*

**Report No. DODIG-2019-112, "Audit of TRICARE Payments for Health Care Services and Equipment That Were Paid Without Maximum Allowable Reimbursement Rates," August 20, 2019 (Full Report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.a:</b> The DoD OIG recommended that the Defense Health Agency Director identify the reasons why TRICARE region contractors did not use existing TRICARE maximum allowable reimbursement rates, and take immediate actions to confirm that TRICARE claims for vaccines and contraceptive systems are paid using the TRICARE maximum allowable reimbursement rates. Further, the Director should recoup overpayments for which the TRICARE contractors did not use existing TRICARE maximum allowable reimbursement rates.</p>	<p>1 year 7 months 11 days</p>
<p><b>Rec. 1.b:</b> The DoD OIG recommended that the Defense Health Agency Director determine whether TRICARE region contractors did not apply TRICARE maximum allowable reimbursement rates to health care services, other than just vaccines and contraceptive systems.</p>	<p>1 year 7 months 11 days</p>
<p><b>Rec. 1.c:</b> The DoD OIG recommended that the Defense Health Agency Director conduct a review to determine whether the Defense Health Agency should adopt vaccine manufacturer rates as reported by the Centers for Disease Control and Prevention when reimbursing TRICARE claims for vaccines. If adopted, the Defense Health Agency should regularly update rates to stay current with the vaccine manufacturer rates as reported by the Centers for Disease Control and Prevention.</p>	<p>1 year 7 months 11 days</p>
<p><b>Rec. 1.d:</b> The DoD OIG recommended that the Defense Health Agency Director conduct annual reviews to identify health care services, supplies, and equipment for which TRICARE paid higher prices, and establish and implement new TRICARE maximum allowable reimbursement rates as necessary.</p>	<p>1 year 7 months 11 days</p>
<p><b>Rec. 1.e:</b> The DoD OIG recommended that the Defense Health Agency Director revise TRICARE policy to incorporate wording regarding reasonable cost and being a prudent buyer similar to the related clauses in 42 Code of Federal Regulations 405.502 and Centers for Medicare &amp; Medicaid Services Publication 15-1, "Provider Reimbursement Manual."</p>	<p>1 year 7 months 11 days</p>
<p><b>Rec. 1.f:</b> The DoD OIG recommended that the Defense Health Agency Director revise TRICARE reimbursement methodologies to align with the Medicare program, when practicable, and establish a process to identify future changes to Medicare reimbursement methodologies.</p>	<p>1 year 7 months 11 days</p>
<p><b>Rec. 1.g:</b> The DoD OIG recommended that the Defense Health Agency Director seek voluntary refunds from TRICARE providers where Defense Health Agency paid more than other pricing benchmarks identified in this report.</p>	<p>1 year 7 months 11 days</p>

**Assistant Secretary of Defense for Health Affairs (cont'd)**

**Report No. DODIG-2020-048, "Audit of Controls Over Opioid Prescriptions at Selected DoD Military Treatment Facilities," January 10, 2020**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.a:</b> The DoD OIG recommended that the Defense Health Agency Director continue to monitor morphine milligrams equivalent per day by beneficiary, examine data for unusually high opioid prescriptions, and if appropriate, hold providers accountable for overprescribing opioids.</p>	<p>1 year 2 months 21 days</p>
<p><b>Rec. 1.b:</b> The DoD OIG recommended that the Defense Health Agency Director implement controls to ensure that prescriptions in the Military Health System Data Repository exist and that the dispense date and the metric quantity field for opioid prescriptions in liquid form in the Military Health System Data Repository are accurate and consistent among all systems.</p>	<p>1 year 2 months 21 days</p>

**Report No. DODIG-2020-078, "Audit of Physical Security Controls at Department of Defense Medical Treatment Facilities," April 6, 2020 (Full Report is FOUO)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.a:</b> The DoD OIG recommended that the Defense Health Agency Director issue guidance for all medical treatment facilities under Defense Health Agency control to require security personnel to remove access permissions for unauthorized staff, and conduct quarterly system reviews to ensure that access to sensitive areas is limited to authorized personnel.</p>	<p>11 months 25 days</p>
<p><b>Rec. 1.b:</b> The DoD OIG recommended that the Defense Health Agency Director determine whether community-based clinics under Defense Health Agency control have established a baseline level of protection for leased facilities as required by DoD guidance, and established access controls based on risk to limit entry to authorized personnel only.</p>	<p>11 months 25 days</p>
<p><b>Rec. 1.c:</b> The DoD OIG recommended that the Defense Health Agency Director assess generator and fuel storage security at each medical treatment facility under Defense Health Agency control, and implement controls that meet DoD Unified Facilities Criteria requirements for generator facilities and fuel storage tanks, working with installation commanders when necessary.</p>	<p>11 months 25 days</p>
<p><b>Rec. 1.d:</b> The DoD OIG recommended that the Defense Health Agency Director issue guidance that requires personnel to enter and exit medical treatment facilities through specific sets of doors, such as main entrance or emergency room doors.</p>	<p>11 months 25 days</p>
<p><b>Rec. 1.e:</b> The DoD OIG recommended that the Defense Health Agency Director immediately develop and issue standards for the use of security guards within DoD medical treatment facilities.</p>	<p>11 months 25 days</p>
<p><b>Rec. 1.f:</b> The DoD OIG recommended that the Defense Health Agency Director develop minimum standards and issue guidance for use of alarm systems and video monitoring within DoD medical treatment facilities.</p>	<p>11 months 25 days</p>

## APPENDIX A

### *Assistant Secretary of Defense for Health Affairs – Report No. DODIG-2020-078 (cont’d)*

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 1.g:</b> The DoD OIG recommended that the Defense Health Agency Director conduct physical security inspections for all medical treatment facilities to determine where weaknesses exist and implement controls to mitigate those weaknesses.	11 months 25 days

### **Report No. DODIG-2020-087, “Audit of Training of Mobile Medical Teams in the U.S. Indo-Pacific Command and U.S. Africa Command Areas of Responsibility,” June 8, 2020**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 1:</b> The DoD OIG recommended that the Chief of the Joint Trauma Education and Training Branch continue efforts to complete and implement standardized medical training, to include an Austere Surgical Resuscitative Course, in accordance with the Fiscal Year 2017 National Defense Authorization Act and Joint Requirements Oversight Council Memorandum 125-17.	9 months 23 days

### **Report No. DODIG-2020-088, “Audit of the Safety and Security of Radioactive Materials at DoD Military Treatment Facilities,” June 10, 2020**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 1.a:</b> The DoD OIG recommended that the Defense Health Agency Director coordinate and conduct external audits among medical facility Radiation Safety Officers to expedite the sharing of best practices across the Services and individual medical facilities. Additionally, the Defense Health Agency should consider developing a database or repository for inspecting Radiation Safety Officers to input information on best practices and lessons learned through external audits for medical facility personnel to review for potential best practices or process improvements that may be implemented.	9 months 21 days
<b>Rec. 1.b:</b> The DoD OIG recommended that the Defense Health Agency Director implement supplemental guidance to instruct the medical facilities on appropriate steps to take after a failed quality control test to ensure survey instruments are properly calibrated.	9 months 21 days

APPENDIX A

**Assistant Secretary of Defense for Health Affairs (cont'd)**

**Report No. DODIG-2020-091, "Audit of Contractor Employee Qualifications for Defense Health Agency-Funded Information Technology Contracts," June 15, 2020**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 1.a:</b> The DoD OIG recommended that the Director of the Defense Health Agency develop an oversight program that requires a higher-level reviewer to select a sample of key personnel approvals to ensure contracting officers are approving employees in accordance with contract requirements.	9 months 16 days
<b>Rec. 1.c:</b> The DoD OIG recommended that the Director of the Defense Health Agency develop policy for information technology service contracts to require contracting officers to include a requirement in the quality assurance surveillance plan to revalidate all key personnel annually to determine whether the contractors meet the labor categories specified in the contract.	9 months 16 days
<b>Rec. 1.d:</b> The DoD OIG recommended that the Director of the Defense Health Agency develop policy that requires the contracting officers to maintain documentation in the contract files that demonstrates their review and approval of initial and replacement contractor employees in key personnel positions.	9 months 16 days
<b>Rec. 1.f:</b> The DoD OIG recommended that the Director of the Defense Health Agency develop policy for information technology service contracts to require contracting officers to include a requirement in the quality assurance surveillance plan to review a sample of non-key personnel quarterly to determine whether the contractor personnel meet the labor categories specified in the contract.	9 months 16 days
<b>Rec. 1.h:</b> The DoD OIG recommended that the Director of the Defense Health Agency reiterate to contracting officers that labor categories and minimum labor requirements should be avoided in the contracts or performance work statements unless the information technology service cannot be provided without them.	9 months 16 days
<b>Rec. 1.i:</b> The DoD OIG recommended that the Director of the Defense Health Agency report all improper payments to the Office of the Under Secretary of Defense (Comptroller)/Chief Financial Officer.	9 months 16 days

**Report No. DODIG-2020-103, "Audit of the Department of Defense's Sustainment, Restoration, and Modernization of Military Medical Treatment Facilities," July 8, 2020**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 1.a:</b> The DoD OIG recommended that the Defense Health Agency Director develop and implement guidance that establishes uniform funding thresholds for all unfunded sustainment, restoration, and modernization requirements.	8 months 23 days
<b>Rec. 1.b:</b> The DoD OIG recommended that the Defense Health Agency Director develop and implement standard procedures to prioritize unfunded requirements.	8 months 23 days

## APPENDIX A

### *Assistant Secretary of Defense for Health Affairs – Report No. DODIG-2020-103 (cont’d)*

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 1.c.1:</b> The DoD OIG recommended that the Defense Health Agency Director address the following items for the BUILDER Sustainment Management System: Develop and implement formal guidance for updating the data in the BUILDER Sustainment Management System to reflect the current state of repair as reported in Defense Medical Logistics Standard and Support-Facilities Management.	8 months 23 days
<b>Rec. 1.c.2:</b> The DoD OIG recommended that the Defense Health Agency Director address the following items for the BUILDER Sustainment Management System: Develop and implement formal guidance for managing and updating the BUILDER Sustainment Management System. In the guidance, grant BUILDER Sustainment Management System access to the facility managers.	8 months 23 days
<b>Rec. 1.c.3:</b> The DoD OIG recommended that the Defense Health Agency Director address the following items for the BUILDER Sustainment Management System: Reconcile the data in the BUILDER Sustainment Management System to Defense Medical Logistics Standard and Support-Facilities Management on an annual basis, to prevent the BUILDER Sustainment Management System from becoming outdated.	8 months 23 days
<b>Rec. 1.d:</b> The DoD OIG recommended that the Defense Health Agency Director develop and implement standard training for personnel on Defense Medical Logistics Standard and Support-Facilities Management and the BUILDER Sustainment Management System.	8 months 23 days

### **Report No. DODIG-2020-112, “Evaluation of Access to Mental Health Care in the Department of Defense,” August 10, 2020**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 1:</b> The DoD OIG recommended that the Assistant Secretary of Defense for Health Affairs update Memorandum, “TRICARE Policy for Access to Care,” February 23, 2011, to remove the eight-visit limitation for outpatient mental health care.	7 months 21 days
<b>Rec. 2.a:</b> The DoD OIG recommended that the Defense Health Agency Director develop a single Military Health System-wide staffing approach for the Behavioral Health System of Care that estimates the number of appointments and personnel required to meet the enrolled population’s demand for mental health services.	7 months 21 days
<b>Rec. 2.b:</b> The DoD OIG recommended that the Defense Health Agency Director establish policy that identifies which population of beneficiaries by military treatment facility will receive outpatient specialty mental health services through the direct care system.	7 months 21 days

# APPENDIX A

## Assistant Secretary of Defense for Health Affairs – Report No. DODIG-2020-112 (cont'd)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 2.c.1:</b> The DoD OIG recommended that the Defense Health Agency Director update and clarify DoD and Defense Health Agency policy, including TRICARE policy to update the access to care standard for a non-urgent initial behavioral health assessment in Defense Health Agency and TRICARE policy to be consistent with the 7-day standard established by the Assistant Secretary of Defense for Health Affairs Memorandum, TRICARE Policy for Access to Care, dated February 23, 2011.</p>	<p>7 months 21 days</p>
<p><b>Rec. 2.c.2:</b> The DoD OIG recommended that the Defense Health Agency Director update and clarify DoD and Defense Health Agency policy, including TRICARE policy to develop a standard definition and required elements for an initial non-urgent mental health assessment and develop a way to track whether the assessment is completed within the 7-day standard, in either a primary care or a specialty mental health clinic.</p>	<p>7 months 21 days</p>
<p><b>Rec. 2.c.3:</b> The DoD OIG recommended that the Defense Health Agency Director update and clarify DoD and Defense Health Agency policy, including TRICARE policy to describe standard procedures for implementing centralized appointing for behavioral health services.</p>	<p>7 months 21 days</p>
<p><b>Rec. 2.c.4:</b> The DoD OIG recommended that the Defense Health Agency Director update and clarify DoD and Defense Health Agency policy, including TRICARE policy to standardize the outpatient mental health care process of providing behavioral health services from first patient contact through follow-up care for a patient needing non-urgent outpatient mental health care.</p>	<p>7 months 21 days</p>
<p><b>Rec. 2.c.5:</b> The DoD OIG recommended that the Defense Health Agency Director update and clarify DoD and Defense Health Agency policy, including TRICARE policy to align the Defense Health Agency and TRICARE requirements for outcomes monitoring using standardized measurement tools and assessment intervals. Specifically, update the TRICARE Policy Manual (Psychotherapy) to be consistent with the Defense Health Agency Procedural Instruction 6490.02.</p>	<p>7 months 21 days</p>
<p><b>Rec. 2.d:</b> The DoD OIG recommended that the Defense Health Agency Director develop a method for the Military Health System to book patient appointments in the purchased care system to confirm that patients are able to obtain care, except when a patient chooses to book directly with a purchased care provider.</p>	<p>7 months 21 days</p>
<p><b>Rec. 2.e:</b> The DoD OIG recommended the Defense Health Agency Director include TRICARE provider appointment availability for TRICARE beneficiaries within the network adequacy report.</p>	<p>7 months 21 days</p>
<p><b>Rec. 2.f.1:</b> The DoD OIG recommended that the Defense Health Agency Director develop standardized mental health access to care measures for direct and purchased care for both active duty service members and their families, to include tracking the time from patient request or referral for mental health care to the time of the initial non-urgent mental health assessment.</p>	<p>7 months 21 days</p>

# APPENDIX A

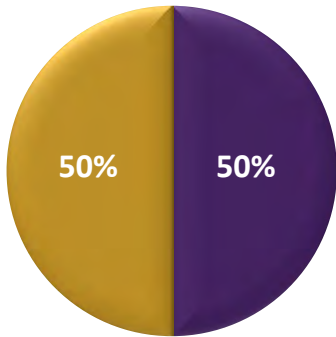
## *Assistant Secretary of Defense for Health Affairs – Report No. DODIG-2020-112 (cont’d)*

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 2.f.2:</b> The DoD OIG recommended that the Defense Health Agency Director develop standardized mental health access to care measures for direct and purchased care for both active duty service members and their families, to include tracking adherence with outcomes monitoring using standardized measurement tools and assessment intervals.</p>	<p>7 months 21 days</p>
<p><b>Rec. 2.f.3:</b> The DoD OIG recommended that the Defense Health Agency Director develop standardized mental health access to care measures for direct and purchased care for both active duty service members and their families, to include tracking the number and percentage of mental health referrals that are not used.</p>	<p>7 months 21 days</p>
<p><b>Rec. 2.f.4:</b> The DoD OIG recommended that the Defense Health Agency Director develop standardized mental health access to care measures for direct and purchased care for both active duty service members and their families, to include tracking reasons patients are unable to book an appointment.</p>	<p>7 months 21 days</p>

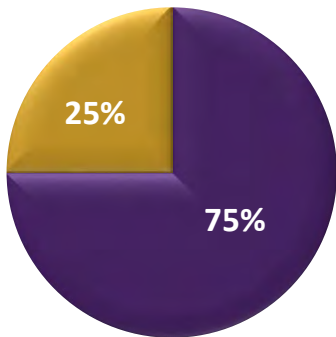


**Statistics – Assistant Secretary of Defense for  
Homeland Defense and Global Security**

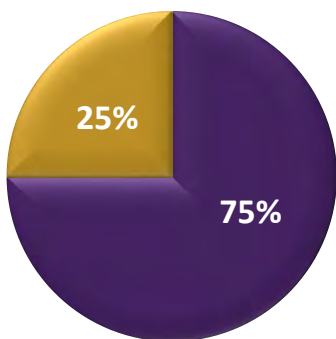
**Recommendations from  
2018 Compendium**



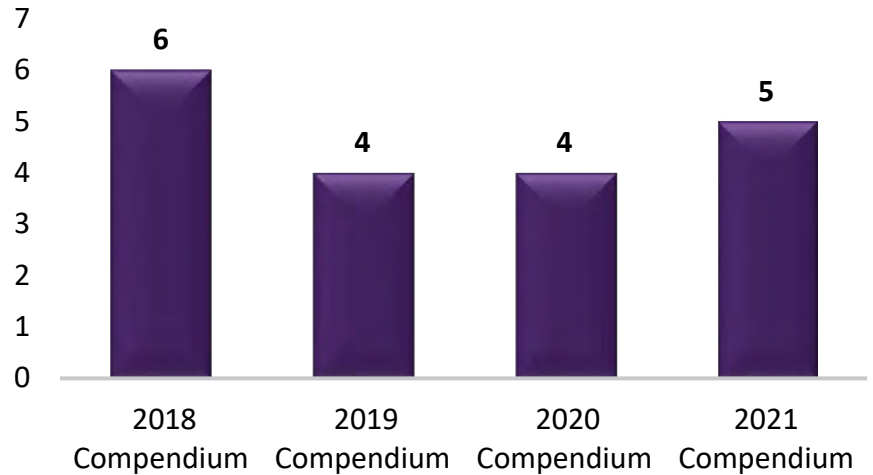
**Recommendations from  
2019 Compendium**



**Recommendations from  
2020 Compendium**





**Open Recommendations**



Number of Unresolved Recommendations	1
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Number of Recommendations Open Longer than 5 Years	3
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Potential Monetary Benefits	–
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 Percentage remaining open as of 3/31/2021  
 Percentage closed as of 3/31/2021



## APPENDIX A

### *Assistant Secretary of Defense for Homeland Defense and Global Security*

Report No. DODIG-2013-119, “Better Procedures and Oversight Needed to Accurately Identify and Prioritize Task Critical Assets,” August 16, 2013 (Full Report is Classified)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.a:</b> The DoD OIG recommended that the Under Secretary of Defense for Policy update DoD Instruction 3020.45, “Defense Critical Infrastructure Program Management,” April 21, 2008, to require that the Assistant Secretary of Defense for Homeland Defense and Americas’ Security Affairs perform comprehensive Defense Critical Infrastructure Program reviews to help identify and resolve challenges in implementing the Critical Asset Identification Process across all DoD Components and Defense Infrastructure Sector Lead Agents.</p>	<p>7 years 7 months 15 days</p>
<p><b>Rec. 1.b:</b> The DoD OIG recommended that the Under Secretary of Defense for Policy, in coordination with the DoD Chief Information Officer and the Chairman of the Joint Chiefs of Staff, develop and implement a Defense Critical Infrastructure Program net-centric approach to facilitate asset information sharing among the DoD Components and Defense Infrastructure Sector Lead Agents.</p>	<p>7 years 7 months 15 days</p>
<p><b>Rec. 2.a:</b> The DoD OIG recommended that the Assistant Secretary of Defense for Homeland Defense and Americas’ Security Affairs implement a comprehensive program review process to verify that the critical asset identification and prioritization process is working effectively for DoD Components and Defense Infrastructure Sector Lead Agents to identify, prioritize, and coordinate critical asset information that could affect each other’s missions or functions.</p>	<p>7 years 7 months 15 days</p>

Report No. DODIG-2021-065, “Evaluation of Access to Department of Defense Information Technology and Communications During the Coronavirus Disease–2019 Pandemic,” March 30, 2021

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.a:</b> The DoD OIG recommended that the Assistant Secretary of Defense for Homeland Defense and Global Security revise the “DoD Implementation Plan for Pandemic Influenza” to update the planning assumptions in the DoD Implementation Plan for Pandemic Influenza to include the use of telework for essential and non-essential personnel and to align the DoD Implementation Plan for Pandemic Influenza with the DoD Telework Policy, Enclosure 3, Section 3(i)(2).</p>	<p>1 day</p>
<p><b>Rec. 1.b:</b> The DoD OIG recommended that the Assistant Secretary of Defense for Homeland Defense and Global Security revise the “DoD Implementation Plan for Pandemic Influenza” to require DoD Components to update their Pandemic Plans to include the revised assumptions regarding telework for essential and non essential personnel and the resources required to support the teleworking workforce.</p>	<p>1 day</p>

**Statistics – Assistant Secretary of Defense for Public Affairs**

**Recommendations from 2018 Compendium**



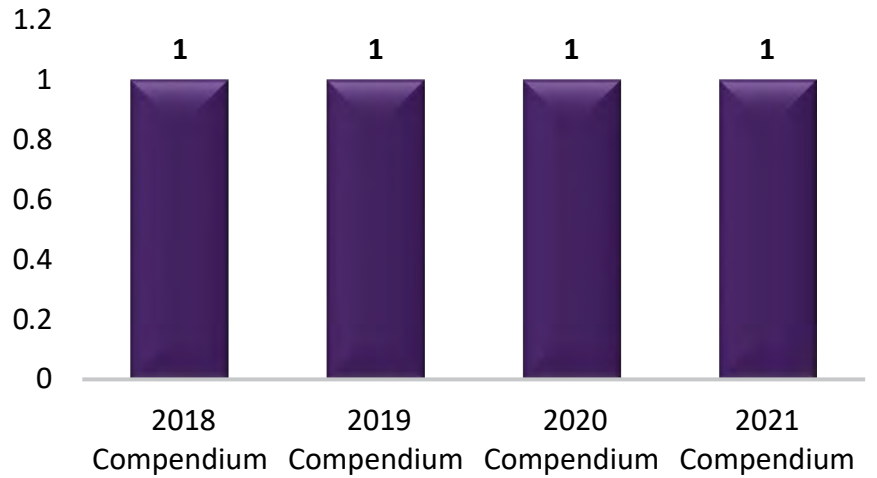
**Recommendations from 2019 Compendium**





**Recommendations from 2020 Compendium**



**Open Recommendations**



Number of Unresolved Recommendations	–
Number of Recommendations Open Longer than 5 Years	1
Potential Monetary Benefits	–

 Percentage remaining open as of 3/31/2021  
 Percentage closed as of 3/31/2021

# APPENDIX A

## *Assistant Secretary of Defense for Public Affairs*

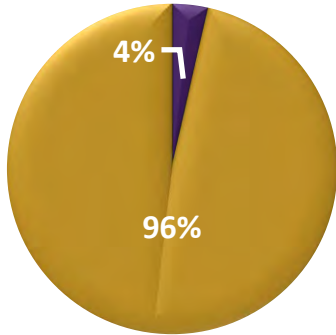
Report No. D-2010-026, "Joint Civilian Orientation Conference Program," December 9, 2009

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.1.a:</b> The DoD OIG recommended that the Assistant Secretary of Defense (Public Affairs) and the Washington Headquarters Services Director work with the DoD General Counsel to establish detailed policies and procedures for managing future Joint Civilian Orientation Conferences in compliance with section 2262, title 10, United States Code. Specifically, they should update DoD Instruction 5410.19 to provide guidance on how to effectively administer and manage the Joint Civilian Orientation Conference program. This guidance should require the development and submission of an annual budget estimate for conducting the program, including an estimate of the amount of appropriated funding needed to support DoD personnel involved in the program and the amount of reimbursable authority needed to collect fees from non DOD participants. The Instruction should also describe refund procedures for conference fees.</p>	<p>11 years 3 months 22 days</p>

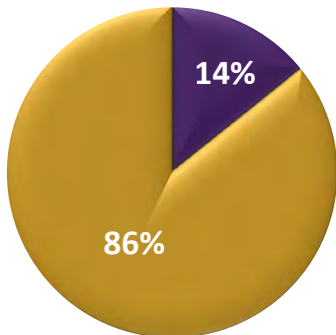


**Statistics – National Security Agency**

**Recommendations from 2018 Compendium**



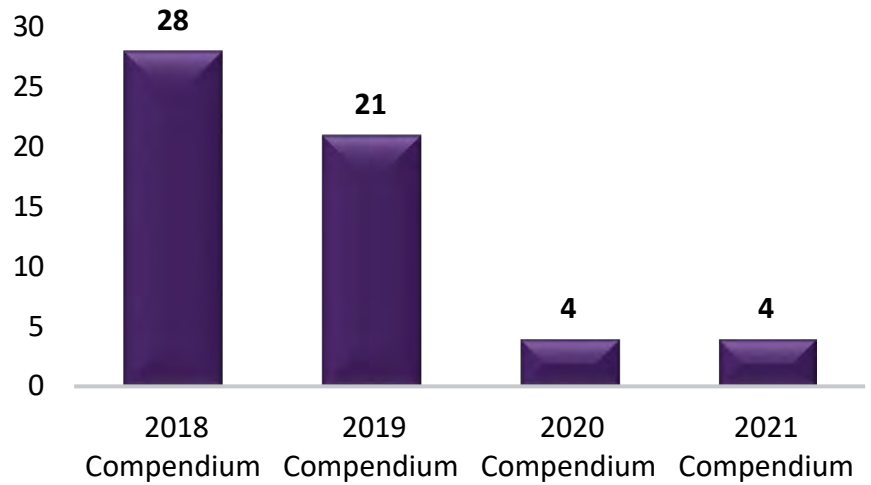
**Recommendations from 2019 Compendium**





**Recommendations from 2020 Compendium**



**Open Recommendations**



Number of Unresolved Recommendations	–
Number of Recommendations Open Longer than 5 Years	–
Potential Monetary Benefits	–

 Percentage remaining open as of 3/31/2021  
 Percentage closed as of 3/31/2021

# APPENDIX A

## National Security Agency

Report No. DODIG-2017-061, "Evaluation of the National Security Agency Counterterrorism Tasking Process Involving Second Party Partners," March 1, 2017 (Full Report is Classified)

Recommendation Number and Text	Age of Recommendation on 3/31/21
Rec. 1: Recommendation is Classified.	4 years 30 days

Report No. DODIG-2019-016, "DoD Actions Taken to Implement the Cybersecurity Information Sharing Act of 2015," November 8, 2018

(FOUO) Recommendation Number and Text	Age of Recommendation on 3/31/21
(FOUO) Rec. 2.a: The DoD OIG recommended that the National Security Agency Director [REDACTED].	2 years 4 months 23 days
(FOUO)	

Report No. DODIG-2019-055, "Evaluation of Integrated Joint Special Technical Operations," February 11, 2019 (Full Report is Classified)

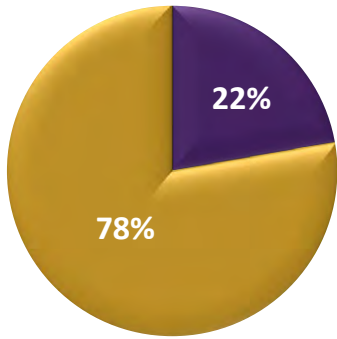
Recommendation Number and Text	Age of Recommendation on 3/31/21
Rec. 4: Recommendation is Classified.	2 years 1 month 20 days

Report No. DODIG-2019-111, "Evaluation of USAFRICOM and SOCAFRICA's Processes for Determining and Fulfilling Intelligence Requirements for Counterterrorism," August 13, 2019 (Full Report is Classified)

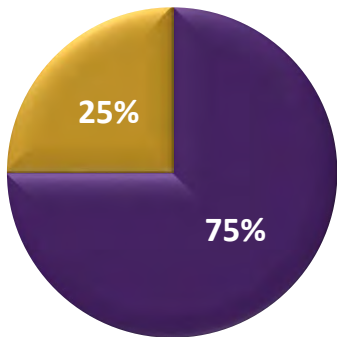
Recommendation Number and Text	Age of Recommendation on 3/31/21
Rec. 2.b: Recommendation is Classified.	1 year 7 months 18 days

**Statistics – Defense Threat Reduction Agency**

**Recommendations from 2018 Compendium**





**Recommendations from 2019 Compendium**

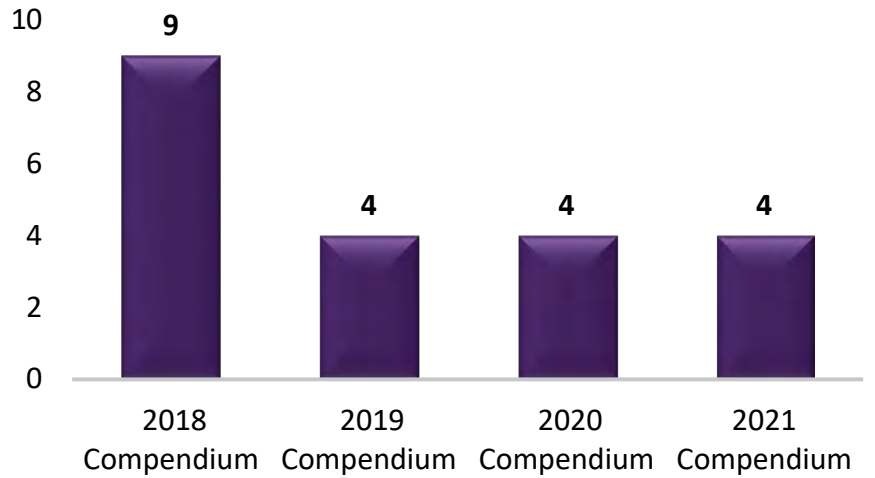


**Recommendations from 2020 Compendium**



 Percentage remaining open as of 3/31/2021  
 Percentage closed as of 3/31/2021

**Open Recommendations**



Number of Unresolved Recommendations	–
Number of Recommendations Open Longer than 5 Years	2
Potential Monetary Benefits	–

## APPENDIX A

### *Defense Threat Reduction Agency*

**Report No. DODIG-2014-055, “Investigation of a Hotline Allegation of a Questionable Intelligence Activity Concerning the Joint IED Defeat Organization (JIEDDO) Counter-IED Operations/Intelligence Integration Center (COIC),” April 4, 2014 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.2:</b> The DoD OIG recommended that the Deputy Secretary of Defense approve DoD Directive 2000.19E to reflect the Joint Improvised Explosive Device Defeat Organization Counter-Improvised Explosive Device Operations/Intelligence Integration Center’s authorized intelligence functions, roles, and responsibilities, and assign an executive agent for the Joint Improvised Explosive Device Defeat Organization’s external intelligence oversight.*</p>	<p>6 years 11 months 27 days</p>
<p><b>Rec. A.6:</b> The DoD OIG recommended that the Joint Improvised Explosive Device Defeat Organization Director cease intelligence collection activities, pending Office of the Secretary of Defense authorization.</p>	<p>6 years 11 months 27 days</p>

\* Responsibility for implementing Recommendation A.2 was transferred from DEPSECDEF to DTRA.

**Report No. DODIG-2019-031, “Evaluation of the Defense Threat Reduction Agency’s Counterintelligence Program,” November 21, 2018 (Full Report is Classified)**

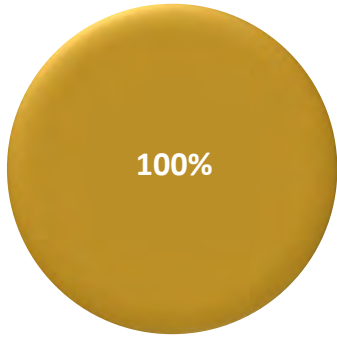
Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 2.a:</b> The DoD OIG recommended that the Defense Threat Reduction Agency Counterintelligence Division create a System of Records Notice and have it published in the Federal Register.</p>	<p>2 years 4 months 10 days</p>

**Report No. DODIG-2020-043, “Audit of Jordan Border Security Program Oversight,” December 20, 2019**

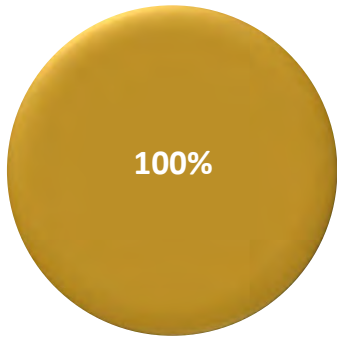
Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 2:</b> The DoD OIG recommended that the Cooperative Threat Reduction Director request the Jordanian Armed Forces to perform a full annual inventory of equipment received to support the Jordan Border Security System during task order 0012. If this request is refused, pursue consultation or negotiation through appropriate channels between the U.S. Government and the Government of the Hashemite Kingdom of Jordan under the terms of the Transfer of Property form. If this condition is ultimately determined to be either unreasonable or unenforceable, remove it from the form for future equipment transfers. In addition, the Defense Threat Reduction Agency should conduct a statistically significant sample of task order 0012 equipment to perform a physical inventory.</p>	<p>1 year 3 months 11 days</p>

**Statistics – Defense Information Systems Agency**

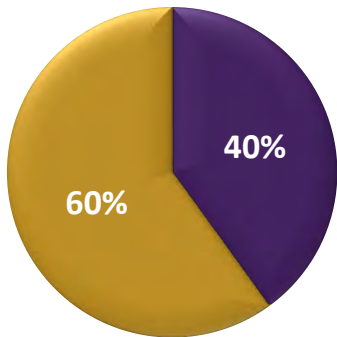
**Recommendations from 2018 Compendium**





**Recommendations from 2019 Compendium**

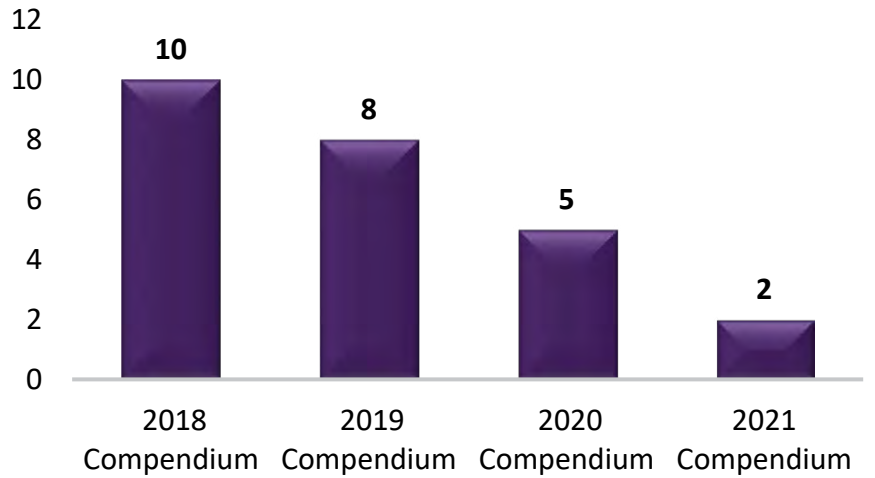


**Recommendations from 2020 Compendium**



 Percentage remaining open as of 3/31/2021  
 Percentage closed as of 3/31/2021

**Open Recommendations**



Number of Unresolved Recommendations	–
Number of Recommendations Open Longer than 5 Years	–
Potential Monetary Benefits	–



# APPENDIX A

## Defense Information Systems Agency

Report No. DODIG-2019-089, "Audit of the DoD's Implementation of the Joint Regional Security Stacks," June 4, 2019 (Full Report is FOUO)

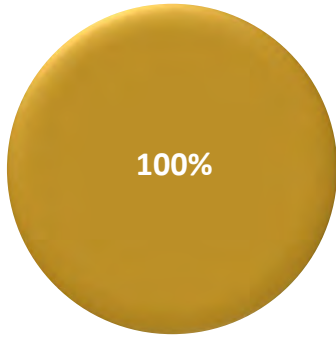
(FOUO) Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 3.b:</b> The DoD OIG recommended that the Defense Information Systems Agency Director direct the Joint Regional Security Stacks Program Management Officer to develop and implement a schedule to provide all Joint Regional Security Stacks operators with training, as required by the Joint Regional Security Stack Operations Training Requirements Document.	1 year 9 months 27 days
(FOUO) <b>Rec. 3.c:</b> The DoD OIG recommended that the Defense Information Systems Agency Director direct the Joint Regional Security Stacks Program Management Officer to [REDACTED].	1 year 9 months 27 days

(FOUO)

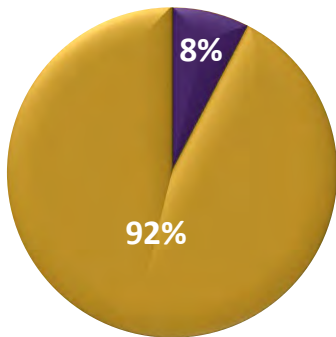


**Statistics – Defense Intelligence Agency**

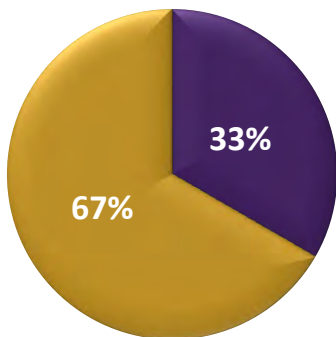
**Recommendations from 2018 Compendium**





**Recommendations from 2019 Compendium**

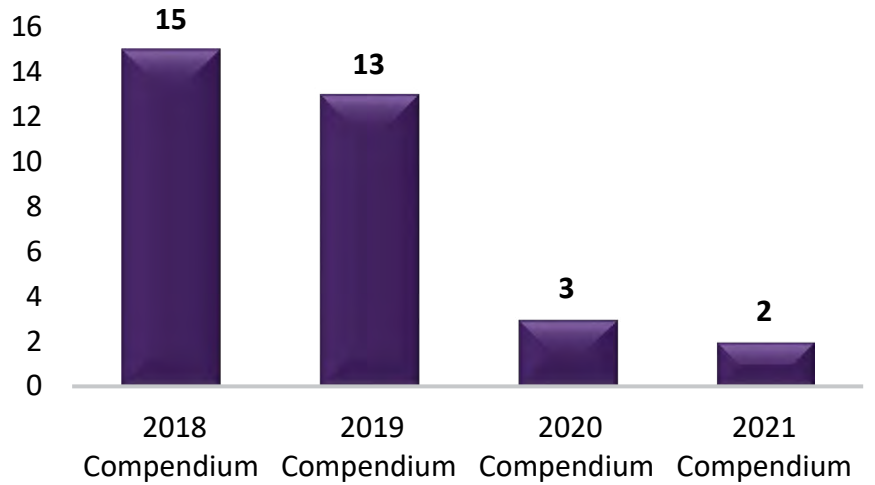


**Recommendations from 2020 Compendium**



 Percentage remaining open as of 3/31/2021  
 Percentage closed as of 3/31/2021

**Open Recommendations**



Number of Unresolved Recommendations	1
Number of Recommendations Open Longer than 5 Years	–
Potential Monetary Benefits	–

# APPENDIX A

## Defense Intelligence Agency

Report No. DODIG-2019-042, "Evaluation of Social Media Exploitation Procedures Supporting Operation Inherent Resolve," December 28, 2018 (Full Report is Classified)

(FOUO) Recommendation Number and Text	Age of Recommendation on 3/31/21
(FOUO) Rec. 2: The DoD OIG recommended that the [REDACTED]	2 years 3 months 3 days
(FOUO)	

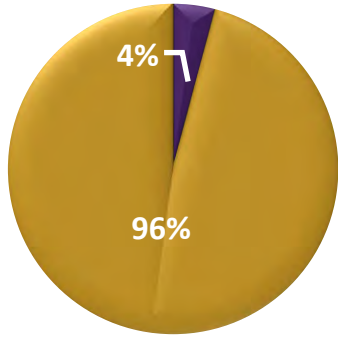
Report No. DODIG-2020-106, "Evaluation of Security Controls for Intelligence, Surveillance, and Reconnaissance Supply Chains," July 22, 2020 (Full Report is Classified)

Recommendation Number and Text	Age of Recommendation on 3/31/21
Rec. 4: Recommendation is Classified.	8 months 9 days

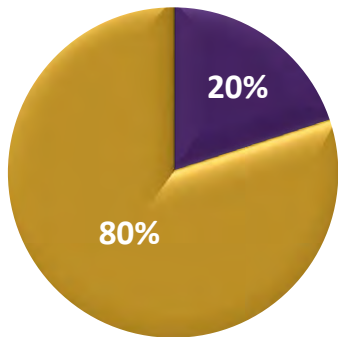


**Statistics – Defense Logistics Agency**

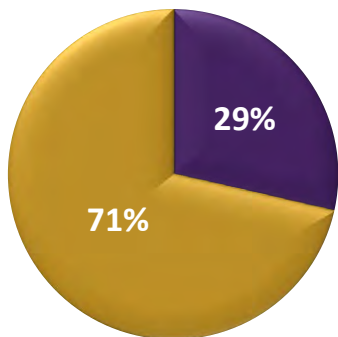
**Recommendations from 2018 Compendium**





**Recommendations from 2019 Compendium**

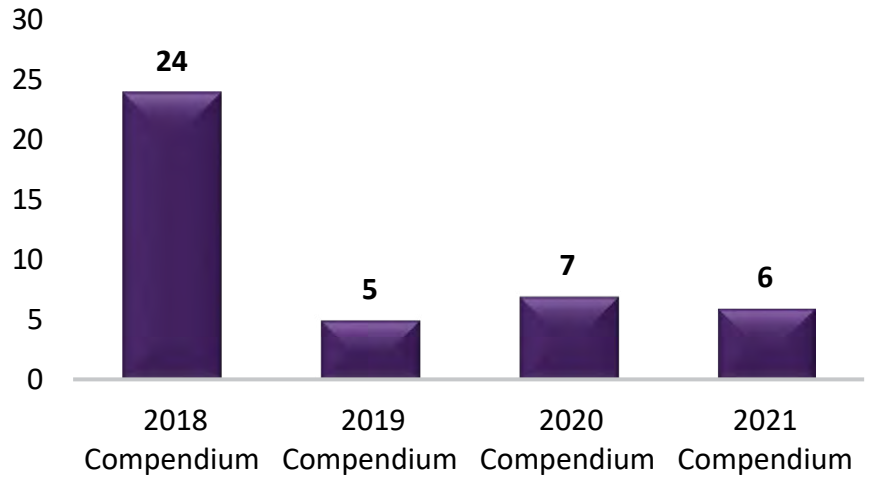


**Recommendations from 2020 Compendium**



 Percentage remaining open as of 3/31/2021  
 Percentage closed as of 3/31/2021

**Open Recommendations**



Number of Unresolved Recommendations	–
Number of Recommendations Open Longer than 5 Years	1
Potential Monetary Benefits	\$632 million

# APPENDIX A

## Defense Logistics Agency

Report No. DODIG-2013-100, "Contract Administration of the Subsistence Prime Vendor Contract for Afghanistan Improved, but Additional Actions are Needed," July 2, 2013

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.a:</b> The DoD OIG recommended that the Defense Logistics Agency Troop Support Commander implement corrective actions to address all recommendations, with the exception of Recommendations A.1.b, A.2.a, A.2.b, A.2.c, A.3, A.4.a, A.4.b, B.1, and B.2, in DoD OIG Report No. D-2011-047, "Improvements Needed in Contract Administration of the Subsistence Prime Vendor Contract for Afghanistan," March 2, 2011. Specifically, initiate corrective actions to recover premium transportation fees and refund the Army after litigation is completed.*</p>	<p>7 years 8 months 29 days</p>

\* The agreed-upon corrective actions have been completed by DoD management; however, the Department's recovery of monetary benefits accruing from those actions is a matter in litigation at the Armed Services Board of Contract Appeals.

Report No. DODIG-2019-127, "Audit of Access Controls in the Defense Logistics Agency's Commercial and Government Entity Code Program," September 30, 2019 (Full Report is FOUO-Law Enforcement Sensitive)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B.1.c:</b> Recommendation is For Official Use Only-Law Enforcement Sensitive.</p>	<p>1 year 6 months 1 day</p>

Report No. DODIG-2021-053, "Audit of the Defense Logistics Agency's Sole-Source Captains of Industry Strategic Support Contracts," February 11, 2021 (Full Report is CUI)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.1:</b> The DoD OIG recommended that the Defense Logistics Agency Aviation Commander, on completion of the incentive price revision process for contract line item number 0001 on contract SPRPA1-14-D-002U, validate the estimates from the business case analysis to identify actual savings and compare the results to the expected cost savings documented in the price negotiation memorandum. If there are significant differences between the expected and actual cost savings, identify the reasons for the differences, and determine whether the business case analysis calculations and assumptions need to be changed in order to improve future estimates.</p>	<p>1 month 20 days</p>
<p><b>Rec. A.2:</b> The DoD OIG recommended that the Defense Logistics Agency Aviation Commander develop and implement procedures for all Captains of Industry contracts to validate cost savings estimates from the business case analyses based on actual performance data, identify the reasons for any variances between the expected and actual cost savings, and share information and lessons learned regarding business case analyses, to improve the estimating process across all Defense Logistics Agency Aviation contracts.</p>	<p>1 month 20 days</p>

**Defense Logistics Agency – Report No. DODIG-2021-053 (cont’d)**

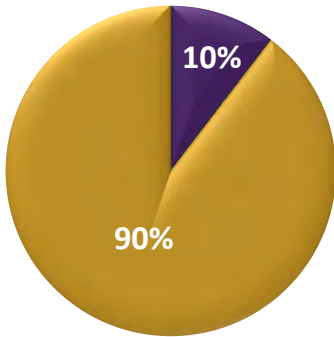
Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B.2.a:</b> The DoD OIG recommended that the Defense Logistics Agency Aviation Commander develop and implement procedures on all current and future Captains of Industry contracts to plan for substantial bundling work at the beginning of contracts and document actions to maximize small business participation, as required by Federal Acquisition Regulation Part 7, “Acquisition Planning,” in the acquisition strategy.</p>	<p>1 month 20 days</p>
<p><b>Rec. B.2.b:</b> The DoD OIG recommended that the Defense Logistics Agency Aviation Commander develop and implement procedures on all current and future Captains of Industry contracts to include contract incentives and disincentives for meeting and exceeding small business goals on all future bundled work.</p>	<p>1 month 20 days</p>



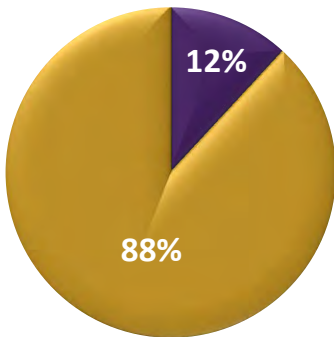
APPENDIX A

**Statistics – Defense Contract Audit Agency**

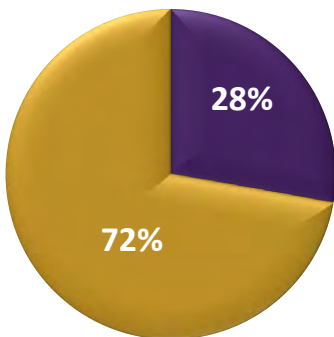
**Recommendations from 2018 Compendium**



**Recommendations from 2019 Compendium**

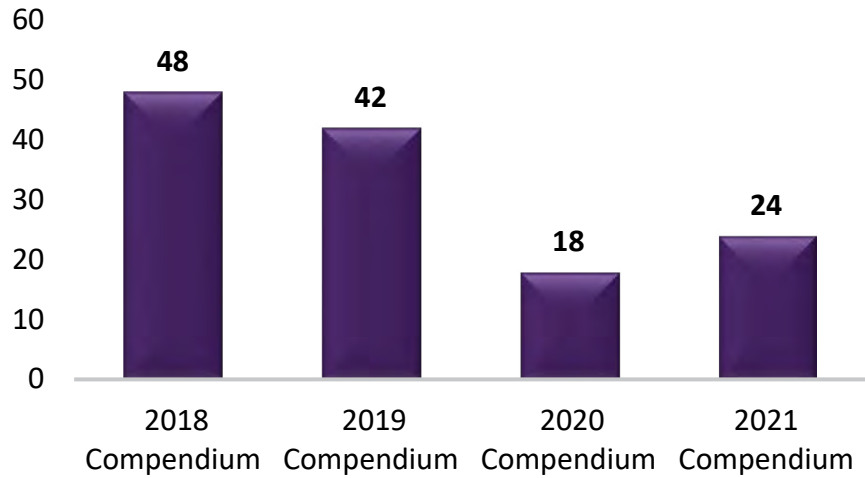


**Recommendations from 2020 Compendium**



Percentage remaining open as of 3/31/2021  
 Percentage closed as of 3/31/2021

**Open Recommendations**



Number of Unresolved Recommendations	–
Number of Recommendations Open Longer than 5 Years	–
Potential Monetary Benefits	–

### Defense Contract Audit Agency

Report No. DODIG-2017-092, "Audit of the Defense Contract Audit Agency Field Detachment," June 14, 2017 (Full Report is FOUO)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B.2.b:</b> The DoD OIG recommended that the Field Detachment Regional Director for Defense Contract Audit Agency establish and implement a process for annual planning and coordination with customer program security officers and Field Detachment supervisors to identify classified and special access programs.</p>	<p>3 years 9 months 17 days</p>
<p><b>Rec. B.2.b.1:</b> The DoD OIG recommended that the Field Detachment Regional Director for Defense Contract Audit Agency work with Defense Contract Audit Agency Security Officer and the Under Secretary of Defense for Acquisition, Technology, and Logistics Special Access Program Central Office, to designate a group of Field Detachment leadership and branch managers, to receive access to special access programs to conduct planning and oversight.</p>	<p>3 years 9 months 17 days</p>
<p><b>Rec. B.2.b.2:</b> The DoD OIG recommended that the Field Detachment Regional Director for Defense Contract Audit Agency conduct annual planning to identify Field Detachment audit oversight efforts for classified and special access program projects.</p>	<p>3 years 9 months 17 days</p>
<p><b>Rec. B.2.b.4:</b> The DoD OIG recommended that the Field Detachment Regional Director for Defense Contract Audit Agency determine annually whether classified, sensitive compartmented information and special access programs are receiving adequate audit oversight.</p>	<p>3 years 9 months 17 days</p>
<p><b>Rec. B.2.c:</b> The DoD OIG recommended that the Field Detachment Regional Director for Defense Contract Audit Agency acquire and use a classified automated information system for conducting classified audit assignments and reports.</p>	<p>3 years 9 months 17 days</p>

Report No. DODIG-2021-059, "External Peer Review of the Defense Contract Audit Agency System Review Report," March 5, 2021

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.a-c:</b> The DoD OIG recommended that the Defense Contract Audit Agency Director provide training to auditors on the importance of adhering to the Defense Contract Audit Agency policy requirements for obtaining sufficient evidence, which incorporates scenario-based learning and includes the following concepts:</p> <ul style="list-style-type: none"> <li>a. establishing the reliability of the contractor’s information as basis for supporting the reported conclusion;</li> <li>b. supporting conclusions that a contractor’s proposed costs were reasonable; and</li> <li>c. supporting conclusions that a contractor’s proposed costs were in accordance with contract terms.</li> </ul>	<p>26 days</p>



# APPENDIX A

## Defense Contract Audit Agency – Report No. DODIG-2021-059 (cont'd)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 2:</b> The DoD OIG recommended that the Defense Contract Audit Agency Director establish policies and procedures to require that auditors identify and document in the audit program the specific procedures to be performed and evidence to be obtained when planning procedures to determine that costs are reasonable in accordance with solicitation and contract terms.</p>	<p>26 days</p>
<p><b>Rec. 4.a:</b> The DoD OIG recommended that the Defense Contract Audit Agency Director provide training to auditors on the importance of adhering to the Defense Contract Audit Agency policy requirements for planning the audit that incorporates scenario-based examples and includes reviewing and summarizing the request for proposal for solicitation terms and the contract for contract terms that are the criteria against the subject matter that will be examined.</p>	<p>26 days</p>
<p><b>Rec. 4.d:</b> The DoD OIG recommended that the Defense Contract Audit Agency Director provide training to auditors on the importance of adhering to the Defense Contract Audit Agency policy requirements for planning the audit that incorporates scenario-based examples and includes planning procedures to address the risk of material misstatement of the subject matter.</p>	<p>26 days</p>
<p><b>Rec. 4.e:</b> The DoD OIG recommended that the Defense Contract Audit Agency Director provide training to auditors on the importance of adhering to the Defense Contract Audit Agency policy requirements for planning the audit that incorporates scenario-based examples and includes developing awareness of fraud risk when planning the audit.</p>	<p>26 days</p>
<p><b>Rec. 5.a:</b> The DoD OIG recommended that the Defense Contract Audit Agency Director evaluate the significance of the missing noncompliances on the reported opinion for Audit Report Numbers 01151-2018T23000001, 03241-2016S10100006, 03931-2015D10100009, and 07281-2014C10100014 and determine if the need exists to communicate the noncompliances in writing to the report recipients, and document the determination and communication, if needed, in the working papers.</p>	<p>26 days</p>
<p><b>Rec. 5.b:</b> The DoD OIG recommended that the Defense Contract Audit Agency Director evaluate the significance of the missing scope limitations in Audit Report Numbers 01191-2018G17200001, 01321-2018V17900002, 01341-2015P10100019, and 01571-2015H10100011 and determine if the reports can still be relied upon.</p>	<p>26 days</p>
<p><b>Rec. 5.c:</b> The DoD OIG recommended that the Defense Contract Audit Agency Director issue a memorandum to the auditors to emphasize the requirements in the Defense Contract Audit Agency Contract Audit Manual for reporting noncompliances and scope limitations.</p>	<p>26 days</p>
<p><b>Rec. 5.d:</b> The DoD OIG recommended that the Defense Contract Audit Agency Director send DCAA Audit Report Numbers 01331-2019H17740002, 01341-2015P10100019, and 04981-2018E17900003 to the required officials who did not receive the audit reports from the Defense Contract Audit Agency or other officials.</p>	<p>26 days</p>

**Defense Contract Audit Agency – Report No. DODIG-2021-059 (cont'd)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 5.e:</b> The DoD OIG recommended that the Defense Contract Audit Agency Director require all Defense Contract Audit Agency auditors to complete comprehensive training on complying with reporting standards, such as AUD104, “Developing an Effective Audit Report.”</p>	<p>26 days</p>
<p><b>Rec. 6.a-f:</b> The DoD OIG recommended that the Defense Contract Audit Agency Director provide training to audit staff on the expectations for documenting the work performed in sufficient detail and emphasize:</p> <ul style="list-style-type: none"> <li>a. procedures planned to satisfy the audit objective;</li> <li>b. rationale for significant judgments made;</li> <li>c. procedures performed and evidence obtained to support the conclusions reached;</li> <li>d. procedures performed to test for compliance with the subject matter criteria;</li> <li>e. scope of the audit in the summary risk assessment working paper; and</li> <li>f. procedures performed to reconcile the contractor-provided data to supporting documentation.</li> </ul>	<p>26 days</p>
<p><b>Rec. 7:</b> The DoD OIG recommended that the Defense Contract Audit Agency Director remind supervisors in writing of the need to document auditor guidance and feedback and to ensure that the feedback is sufficiently addressed by auditors.</p>	<p>26 days</p>
<p><b>Rec. 8:</b> The DoD OIG recommended that the Defense Contract Audit Agency Director provide training to audit staff that incorporates scenario-based learning on Sections 3.109, 3.110, and 3.113 of the 2018 Government Auditing Standards requirements for exercising professional judgment and for adhering to the key concepts of planning, documentation, evidence, and reporting.</p>	<p>26 days</p>
<p><b>Rec. 9.a:</b> The DoD OIG recommended that the Defense Contract Audit Agency Director conduct and document a review of the six audits to determine whether DCAA Audit Report Numbers 01161-2015K10100002, 01431-2013C10100022, 01571-2015H10100011, 03401-2016E19410001, 07281-2014C10100014, and 09851-2014A10100005 should be rescinded or revised.</p>	<p>26 days</p>
<p><b>Rec. 9.b:</b> The DoD OIG recommended that the Defense Contract Audit Agency Director remind all audit staff in writing of the importance of exercising due professional care in planning and performing the audit as well as reporting the results.</p>	<p>26 days</p>
<p><b>Rec. 2 (Letter of Comment):</b> The DoD OIG recommended that the Defense Contract Audit Agency Director require audit staff to document a justification for supervisory approvals after the date of the report.</p>	<p>26 days</p>

# APPENDIX A

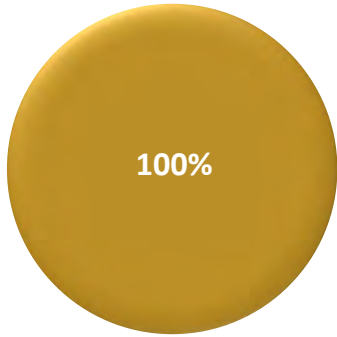
## Defense Contract Audit Agency – Report No. DODIG-2021-059 (cont'd)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 3.a (Letter of Comment):</b> The DoD OIG recommended that the Defense Contract Audit Agency Director issue a memorandum to reemphasize to the audit staff the critical need for all audit staff to assess their independence in accordance with Section 3.18 of the 2018 Government Auditing Standards and to sign a statement confirming their independence in accordance with agency policy before starting work on an audit.</p>	<p>26 days</p>
<p><b>Rec. 3.b (Letter of Comment):</b> The DoD OIG recommended that the Defense Contract Audit Agency Director issue a memorandum to require that supervisors remind all audit staff assigned to the audit to create their independence determination prior to starting work on the audit, which could be before the audit staff creates any audit working papers.</p>	<p>26 days</p>
<p><b>Rec. 5 (Letter of Comment):</b> The DoD OIG recommended that the Defense Contract Audit Agency Director align the procedures described in the standard audit program for forward pricing rate proposals to the opinion cited in the audit report.</p>	<p>26 days</p>

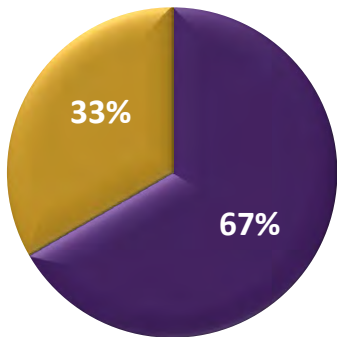


**Statistics – Defense Security Cooperation Agency**

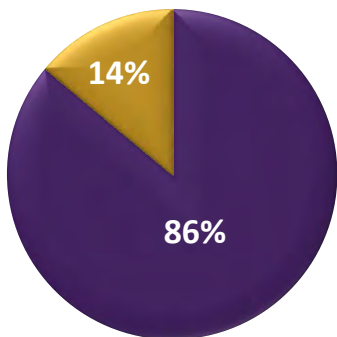
**Recommendations from 2018 Compendium**





**Recommendations from 2019 Compendium**

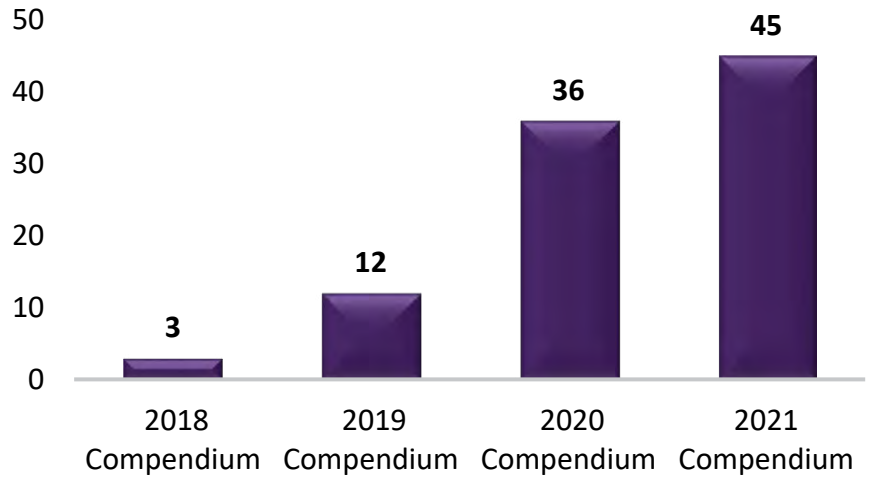


**Recommendations from 2020 Compendium**



 Percentage remaining open as of 3/31/2021  
 Percentage closed as of 3/31/2021

**Open Recommendations**



Number of Unresolved Recommendations	1
Number of Recommendations Open Longer than 5 Years	1
Potential Monetary Benefits	\$746 million

## APPENDIX A

### *Defense Security Cooperation Agency*

Report No. DODIG-2013-005, “Performance Framework and Better Management of Resources Needed for the Ministry of Defense Advisors Program,” October 23, 2012

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.1:</b> The DoD OIG recommended that the Deputy Assistant Secretary of Defense for Partnership Strategy and Stability Operations, in coordination with the Commander, U.S. Combined Security Transition Command-Afghanistan, develop a performance management framework to include goals, objectives, and performance indicators to assess progress and measure program results. The performance management framework should also consider environmental and external factors that could affect the goals and objectives from being accomplished.*</p>	<p>8 years 5 months 8 days</p>

\* Responsibility for implementing Recommendation A.1 was transferred from ASD(SO/LIC) to DSCA.

Report No. DODIG-2017-099, “Evaluation of Department of Defense Efforts to Build Counterterrorism and Stability Operations Capacity of Foreign Military Forces with Section 1206/2282 Funding,” July 21, 2017

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. C.1.a:</b> The DoD OIG recommended that the Assistant Secretary of Defense for Special Operations and Low-Intensity Conflict pursuant to implementing activities authorized under 10 U.S.C. § 2282, take action to issue and enforce proposal guidance, including standards for submitting specific information necessary to fully describe partner-nation requirements, the metrics to assess project impact, and the means to sustain a project, if applicable.*</p>	<p>3 years 8 months 10 days</p>
<p><b>Rec. C.1.b:</b> The DoD OIG recommended that the Assistant Secretary of Defense for Special Operations and Low-Intensity Conflict pursuant to implementing activities authorized under 10 U.S.C. § 2282, take action to update proposal forms to provide guidance about including sections that enable Geographic Combatant Commands and United States Embassy Security Cooperation Organizations to document required data.*</p>	<p>3 years 8 months 10 days</p>
<p><b>Rec. C.2:</b> The DoD OIG recommended that the Assistant Secretary of Defense for Special Operations and Low-Intensity Conflict in coordination with applicable Combatant Commands and Military Department Implementing Agencies, take action to ensure that Security Cooperation Organization personnel assigned to United States Embassies have the appropriate training, capability, and necessary Department of Defense support to develop equipment and requirement details meeting project-proposal standards required by 10 U.S.C. § 2282.*</p>	<p>3 years 8 months 10 days</p>
<p><b>Rec. D.2:</b> The DoD OIG recommended that the Assistant Secretary of Defense for Special Operations and Low-Intensity Conflict ensure that Department of Defense components responsible for implementing 10 U.S.C. § 2282 comply with Department of Defense security cooperation directives and procedures for documenting and retaining records pursuant to that authority.*</p>	<p>3 years 8 months 10 days</p>

**Defense Security Cooperation Agency – Report No. DODIG-2017-099 (cont’d)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. F.1:</b> The DoD OIG recommended that the Assistant Secretary of Defense for Special Operations and Low-Intensity Conflict, in coordination with relevant United States Government stakeholders, take action to ensure project proposals currently authorized under 10 U.S.C. § 2282 include fully developed and coordinated sustainment plans, as warranted.*</p>	<p>3 years 8 months 10 days</p>
<p><b>Rec. F.2:</b> The DoD OIG recommended that the Assistant Secretary of Defense for Special Operations and Low-Intensity Conflict, in coordination with relevant United States Government stakeholders, take action to ensure geographic Combatant Commands and United States Embassy Security Cooperation Organizations are aware of, and fully use, all funding authorities and sources available for sustaining capability provided by 10 U.S.C. § 2282.*</p>	<p>3 years 8 months 10 days</p>
<p><b>Rec. G:</b> The DoD OIG recommended that the Assistant Secretary of Defense for Special Operations and Low-Intensity Conflict, in coordination with relevant Department of Defense stakeholders, systematically monitor implementation of 10 U.S.C. § 2282 with performance measures and indicators that enable senior-level management reviews in accordance with applicable Department of Defense, Office of Management and Budget, and other Government directives and guidance.*</p>	<p>3 years 8 months 10 days</p>

\* Responsibility for implementing Recommendations C.1.a, C.1.b, C.2, D.2, F.1, F.2, and G was transferred from ASD(SO/LIC) to DSCA.

**Report No. DODIG-2019-085, “Audit of the Defense Security Cooperation Agency–Security Assistance Accounts,” May 8, 2019**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.1.a:</b> The DoD OIG recommended that the Defense Security Cooperation Agency Director provide the implementing organizations with detailed accounting and reporting guidance for the Special Defense Acquisition Fund inventory that complies with Statement of Federal Financial Accounting Standards 3.</p>	<p>1 year 10 months 23 days</p>
<p><b>Rec. A.1.b:</b> The DoD OIG recommended that the Defense Security Cooperation Agency Director update the Security Assistance Management Manual to require the implementing organizations to report the value and location of Special Defense Acquisition Fund inventory quarterly.</p>	<p>1 year 10 months 23 days</p>
<p><b>Rec. A.1.c:</b> The DoD OIG recommended that the Defense Security Cooperation Agency Director work with the Directors of the implementing organizations to develop and implement a comprehensive end-to-end accounting and reporting process for Special Defense Acquisition Fund inventory. The Defense Security Cooperation Agency should require the implementing organizations to report the following attributes quarterly: item quantities, location, identification number, and value. The Defense Security Cooperation Agency should have this information readily available for management and stakeholders.</p>	<p>1 year 10 months 23 days</p>

# APPENDIX A

## Defense Security Cooperation Agency – Report No. DODIG-2019-085 (cont'd)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.1.d:</b> The DoD OIG recommended that the Defense Security Cooperation Agency Director perform annual inspections of DoD and contractor facilities to determine the location, identification numbers, quantities, and values of the inventory on hand.</p>	<p>1 year 10 months 23 days</p>
<p><b>Rec. A.1.e:</b> The DoD OIG recommended that the Defense Security Cooperation Agency Director establish definitions for all Special Defense Acquisition Fund collection sources and issue detailed accounting and reporting guidance to the implementing organizations for the transactions.</p>	<p>1 year 10 months 23 days</p>
<p><b>Rec. A.1.f.2:</b> The DoD OIG recommended that the Defense Security Cooperation Agency Director work with the Defense Finance and Accounting Service–Indianapolis Director to test the completeness and accuracy of the Special Defense Acquisition Fund accounting records in the systems identified.</p>	<p>1 year 10 months 23 days</p>
<p><b>Rec. A.1.f.3:</b> The DoD OIG recommended that the Defense Security Cooperation Agency Director work with the Defense Finance and Accounting Service–Indianapolis Director to develop a corrective action plan to remedy any deficiencies identified during testing.</p>	<p>1 year 10 months 23 days</p>
<p><b>Rec. A.1.f.4:</b> The DoD OIG recommended that the Defense Security Cooperation Agency Director work with the Defense Finance and Accounting Service–Indianapolis Director to correct the Defense Departmental Reporting System to accept, consolidate, reconcile, and report Special Defense Acquisition Fund accounting records.</p>	<p>1 year 10 months 23 days</p>
<p><b>Rec. A.1.f.5:</b> The DoD OIG recommended that the Defense Security Cooperation Agency Director work with the Defense Finance and Accounting Service–Indianapolis Director to analyze all Foreign Military Sales cases dating back to FY 2012 to identify the correct number of lease cases.</p>	<p>1 year 10 months 23 days</p>
<p><b>Rec. A.1.f.6:</b> The DoD OIG recommended that the Defense Security Cooperation Agency Director work with the Defense Finance and Accounting Service–Indianapolis Director to analyze all open and closed Foreign Military Sales cases to determine whether the cases were properly coded in accordance with the Security Assistance Management Manual.</p>	<p>1 year 10 months 23 days</p>
<p><b>Rec. A.1.f.7:</b> The DoD OIG recommended that the Defense Security Cooperation Agency Director work with the Defense Finance and Accounting Service–Indianapolis Director to recover and transfer into the Special Defense Acquisition Fund all lease payments dating back to FY 2012 that the Defense Finance and Accounting Service did not transfer into the Special Defense Acquisition Fund account.</p>	<p>1 year 10 months 23 days</p>
<p><b>Rec. A.1.f.8:</b> The DoD OIG recommended that the Defense Security Cooperation Agency Director work with the Defense Finance and Accounting Service–Indianapolis Director to recover and transfer into the Special Defense Acquisition Fund account all authorized collections dating back to FY 2012 that the Defense Finance and Accounting Service did not transfer into the Special Defense Acquisition Fund account.</p>	<p>1 year 10 months 23 days</p>

**Defense Security Cooperation Agency – Report No. DODIG-2019-085 (cont’d)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.1.f.9:</b> The DoD OIG recommended that the Defense Security Cooperation Agency Director work with the Defense Finance and Accounting Service–Indianapolis Director to develop and implement internal controls to prevent the implementing organizations from improperly coding Foreign Military Sales cases.</p>	<p>1 year 10 months 23 days</p>
<p><b>Rec. A.1.f.10:</b> The DoD OIG recommended that the Defense Security Cooperation Agency Director work with the Defense Finance and Accounting Service–Indianapolis Director to obtain transaction-level detail for the Accrued Unfunded Annual Leave liability balance for all DoD employees who support the Security Assistance Accounts.</p>	<p>1 year 10 months 23 days</p>
<p><b>Rec. A.1.f.11:</b> The DoD OIG recommended that the Defense Security Cooperation Agency Director work with the Defense Finance and Accounting Service–Indianapolis Director to develop and implement standard operating procedures, process narratives, and process maps to instruct Defense Finance and Accounting Service personnel on how to record the Accrued Unfunded Annual Leave balance correctly.</p>	<p>1 year 10 months 23 days</p>
<p><b>Rec. A.1.f.12:</b> The DoD OIG recommended that the Defense Security Cooperation Agency Director work with the Defense Finance and Accounting Service–Indianapolis Director to develop and implement internal controls to ensure that all Accrued Unfunded Annual Leave transactions are recorded completely and accurately.</p>	<p>1 year 10 months 23 days</p>
<p><b>Rec. B.1.a:</b> The DoD OIG recommended that the Defense Security Cooperation Agency Director review and provide written approval for each reconciliation performed by the Defense Finance and Accounting Service–Indianapolis of the Security Assistance Accounts.</p>	<p>1 year 10 months 23 days</p>
<p><b>Rec. B.1.b:</b> The DoD OIG recommended that the Defense Security Cooperation Agency Director review and provide written approval for each adjustment made by the Defense Finance and Accounting Service–Indianapolis to the Security Assistance Accounts.</p>	<p>1 year 10 months 23 days</p>
<p><b>Rec. B.1.c:</b> The DoD OIG recommended that the Defense Security Cooperation Agency Director develop and implement detailed standard operating procedures, process narratives, and process maps for each of the Security Assistance Accounts. The documentation should include the entire life cycle of each transaction within the Security Assistance Accounts, roles and responsibilities, internal controls, and a listing and description of interfaces with other accounting cycles and systems. Defense Security Cooperation Agency management should review the documentation annually.</p>	<p>1 year 10 months 23 days</p>
<p><b>Rec. B.1.d.1:</b> The DoD OIG recommended that the Defense Security Cooperation Agency Director work with the Defense Finance and Accounting Service–Indianapolis Director to research and resolve at the transaction level each of the transactions aged over 60 days.</p>	<p>1 year 10 months 23 days</p>



# APPENDIX A

## Defense Security Cooperation Agency – Report No. DODIG-2019-085 (cont’d)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B.1.d.2:</b> The DoD OIG recommended that the Defense Security Cooperation Agency Director work with the Defense Finance and Accounting Service–Indianapolis Director to research and resolve each of the adjustments on the FY 2017 Security Assistance Account Central Accounting and Reporting Systems statements.</p>	<p>1 year 10 months 23 days</p>
<p><b>Rec. B.1.d.3:</b> The DoD OIG recommended that the Defense Security Cooperation Agency Director work with the Defense Finance and Accounting Service–Indianapolis Director to develop and implement a Fund Balance With Treasury reconciliation process for all of the Security Assistance Accounts. The process should be documented in standard operating procedures, process narratives, and process maps.</p>	<p>1 year 10 months 23 days</p>
<p><b>Rec. B.1.d.4:</b> The DoD OIG recommended that the Defense Security Cooperation Agency Director work with the Defense Finance and Accounting Service–Indianapolis Director to make the necessary corrections to the Defense Department Reporting System to collect and reconcile data so that the DoD can report all Security Assistance Account balances in the DoD Agency Financial Report.</p>	<p>1 year 10 months 23 days</p>

## Report No. DODIG-2020-090, “Evaluation of the Department of Defense Regional Centers for Security Studies,” June 10, 2020

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B.1:</b> The DoD OIG recommended that the Defense Security Cooperation Agency Director develop and implement a plan to execute its executive agent responsibilities over the Regional Centers’ travel program, as required by DoD Directive 5200.41E.</p>	<p>9 months 21 days</p>
<p><b>Rec. B.2:</b> The DoD OIG recommended that the Directors of the Regional Centers for Security Studies develop an inspections process to verify that their travel programs comply with DoD regulations.*</p>	<p>9 months 21 days</p>
<p><b>Rec. B.2:</b> The DoD OIG recommended that the Directors of the Regional Centers for Security Studies develop an inspections process to verify that their travel programs comply with DoD regulations.*</p>	<p>9 months 21 days</p>
<p><b>Rec. B.2:</b> The DoD OIG recommended that the Directors of the Regional Centers for Security Studies develop an inspections process to verify that their travel programs comply with DoD regulations.*</p>	<p>9 months 21 days</p>
<p><b>Rec. B.2:</b> The DoD OIG recommended that the Directors of the Regional Centers for Security Studies develop an inspections process to verify that their travel programs comply with DoD regulations.*</p>	<p>9 months 21 days</p>

APPENDIX A

**Defense Security Cooperation Agency – Report No. DODIG-2020-090 (cont’d)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. B.2:</b> The DoD OIG recommended that the Directors of the Regional Centers for Security Studies develop an inspections process to verify that their travel programs comply with DoD regulations.*	9 months 21 days

\* Because the DoD OIG directed this recommendation to more than one office, it counts as more than one recommendation for tracking purposes.

**Report No. DODIG-2020-121, “Evaluation of Department of Defense Enhanced End-Use Monitoring for Equipment Transferred to the Government of Ukraine,” August 27, 2020 (Full Report is CUI)**

<b>(CUI)</b> Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. A.1:</b> The DoD OIG recommended that the Defense Security Cooperation Agency Director withhold her recommendation that Ukraine be eligible to receive more night vision devices until the Ukrainian Armed Forces begin providing loss reports in a timely manner, as described under the terms of the Letters of Offer and Acceptance.	7 months 4 days
<b>Rec. A.2:</b> The DoD OIG recommended that the Defense Security Cooperation Agency Director develop a new information field within the Security Cooperation Information Portal to record devices that have been reported as lost but for which the partner nation has not yet transmitted an official investigation report.	7 months 4 days
<b>Rec. A.3:</b> The DoD OIG recommended that the Defense Security Cooperation Agency Director, in coordination with the Commanding General of U.S. Army Security Assistance Command, develop a process to permanently mark serial numbers on each Night Vision Device to avoid serial number stickers that, with use, can become detached from the device or become illegible.	7 months 4 days
<b>(CUI) Rec. B.1.a:</b> The DoD OIG recommended that the Office of Defense Cooperation-Ukraine Security Cooperation Chief, [REDACTED].	7 months 4 days
<b>Rec. B.1.b:</b> The DoD OIG recommended that the Office of Defense Cooperation-Ukraine Security Cooperation Chief request written guidance and procedures from the Defense Security Cooperation Agency addressing how and when compensatory measures can replace Letter of Offer and Acceptance-directed requirements specified in the Night Vision Device storage facility physical security checklist; and update Enhanced End-Use Monitoring Standard Operating procedures to reflect that guidance.	7 months 4 days
<b>(CUI)</b>	

# APPENDIX A

## Defense Security Cooperation Agency – Report No. DODIG-2020-121 (cont'd)

(CUI) Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. B.2.a:</b> The DoD OIG recommended that the Defense Security Cooperation Agency Director establish a frequency for Compliance Assessment Visits for countries identified as high risk, according to the criteria established in the Security Assistance Management Manual, with intervals between Compliance Assessment Visits not to exceed a maximum time specified by the Defense Security Cooperation Agency.	7 months 4 days
<b>Rec. B.2.b:</b> The DoD OIG recommended that the Defense Security Cooperation Agency Director reschedule a Compliance Assessment Visit for Ukraine within 12 months of publication of this report.	7 months 4 days
(CUI)	

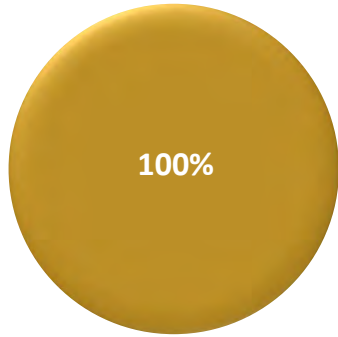
## Report No. DODIG-2021-003, “Audit of the Department of Defense Process for Developing Foreign Military Sales Agreements,” October 9, 2020 (Full Report is CUI)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. B.1:</b> The DoD OIG recommended that the Defense Security Cooperation Agency Director coordinate with the Military Department Implementing Agencies to establish controls and oversight mechanisms and require compliance with Defense Security Cooperation Agency policy for accurately entering foreign partner Letters of Request and establishing the case initialization and Letters of Request complete milestones in the Defense Security Assistance Management System.	5 months 22 days

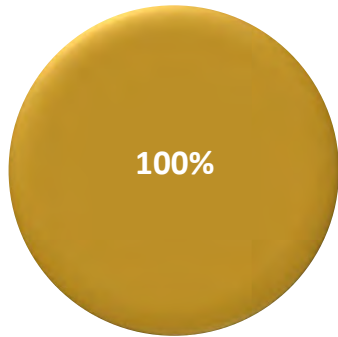


**Statistics – Missile Defense Agency**

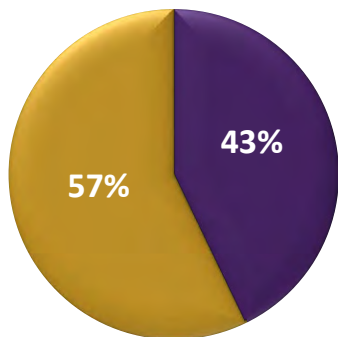
**Recommendations from 2018 Compendium**





**Recommendations from 2019 Compendium**

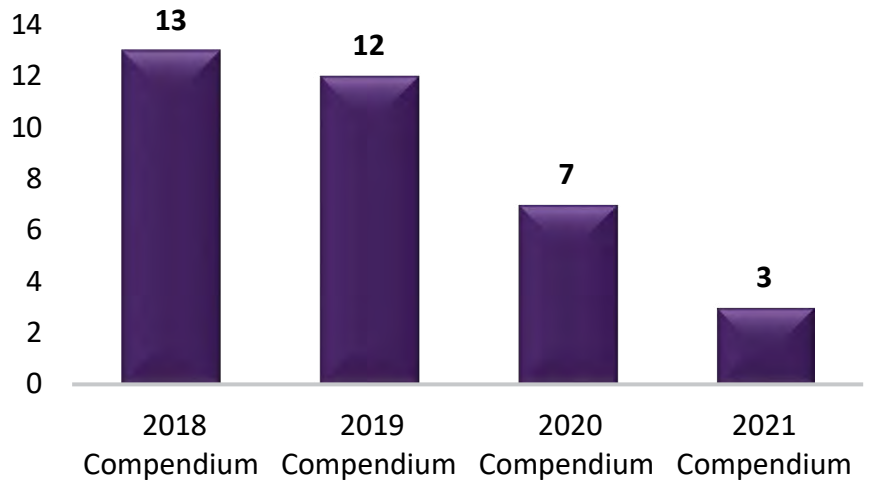


**Recommendations from 2020 Compendium**



 Percentage remaining open as of 3/31/2021  
 Percentage closed as of 3/31/2021

**Open Recommendations**



Number of Unresolved Recommendations	–
Number of Recommendations Open Longer than 5 Years	–
Potential Monetary Benefits	–

# APPENDIX A

## Missile Defense Agency

Report No. DODIG-2019-076, "Evaluation of the Missile Defense Agency's Pentagon Force Protection Agency's, and Defense Commissary Agency's Use of Counterintelligence Inquiry Authority," April 16, 2019 (Full Report is Classified)

(FOUO) Recommendation Number and Text	Age of Recommendation on 3/31/21
(FOUO) Rec. A.1.b: The DoD OIG recommended that the [REDACTED]	1 year 11 months 15 days
(FOUO) Rec. A.1.c: The DoD OIG recommended that the Director of the [REDACTED]	1 year 11 months 15 days
(FOUO)	

Report No. DODIG-2019-116, "Audit of Contingency Planning for DoD Information Systems," August 21, 2019 (Full Report is FOUO)

(FOUO) Recommendation Number and Text	Age of Recommendation on 3/31/21
(FOUO) Rec. 5: The DoD OIG recommended that the Missile Defense Agency Director [REDACTED] based on the revisions made to DoD Instruction 8500.01, "Cybersecurity," March 14, 2014, or any additional guidance provided by the DoD Chief Information Officer.	1 year 7 months 10 days
(FOUO)	

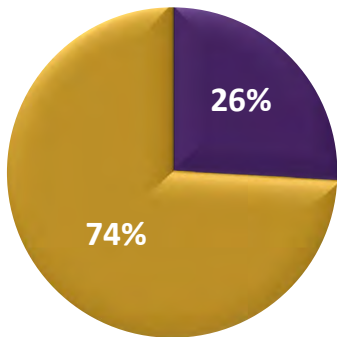


**Statistics – Defense Commissary Agency**

**Recommendations from 2018 Compendium**



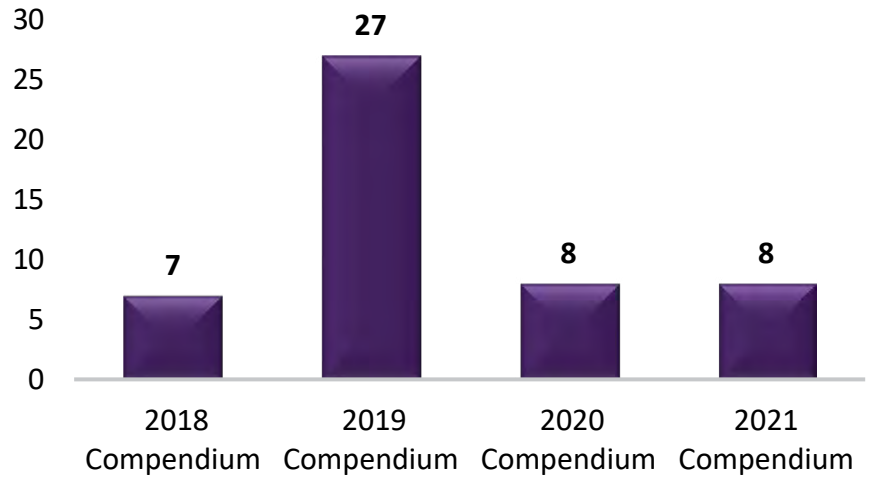
**Recommendations from 2019 Compendium**





**Recommendations from 2020 Compendium**



**Open Recommendations**



Number of Unresolved Recommendations	–
Number of Recommendations Open Longer than 5 Years	–
Potential Monetary Benefits	–

 Percentage remaining open as of 3/31/2021  
 Percentage closed as of 3/31/2021

## APPENDIX A

### Defense Commissary Agency

**Report No. DODIG-2017-060, “Defense Commissary Agency Purchases of Fresh Produce in Guam,” February 28, 2017**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 1:</b> The DoD OIG recommended that the Defense Commissary Agency Director reevaluate transportation options to address the price increase of bagged salads at the Guam commissaries.	4 years 1 month 3 days
<b>Rec. 2:</b> The DoD OIG recommended that the Defense Commissary Agency Director require Guam commissary produce personnel to document quality problems with fresh produce in commissary display areas and identify whether problems were related to ordering, product rotation, or receiving.	4 years 1 month 3 days

**Report No. DODIG-2018-072, “Defense Commissary Agency’s Purchases of Fresh Produce for Japan and South Korea,” February 12, 2018**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 1:</b> The DoD OIG recommended that the Defense Commissary Agency Director conduct a business case analysis or detailed market research on the Pacific fresh produce purchase process to identify potential opportunities to lower fresh produce prices and improve produce quality for customers.	3 years 1 month 19 days

**Report No. DODIG-2018-078, “Defense Commissary Agency Oversight of Fresh Produce Contracts in Japan and South Korea,” February 22, 2018**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 1.a:</b> The DoD OIG recommended that the Defense Commissary Agency Director develop policies and procedures defining roles and responsibilities regarding contract quality assurance and surveillance on the Japan and South Korea produce contracts. The policies and procedures should provide guidance on how Defense Commissary Agency personnel should oversee and verify the surveys, and calculate and verify contract fill rates before the information is used for contract performance evaluation.	3 years 1 month 9 days
<b>Rec. 1.b:</b> The DoD OIG recommended that the Defense Commissary Agency Director develop training for personnel on contract quality assurance and surveillance on the Japan and South Korea produce contracts. The training should include how to oversee the surveys and how to calculate contract fill rates.	3 years 1 month 9 days

**Defense Commissary Agency – Report No. DODIG-2018-078 (cont’d)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.c:</b> The DoD OIG recommended that the Defense Commissary Agency Director require Defense Commissary Agency personnel to review and verify credit information for all produce inspection worksheets previously submitted to support all vouchers that have been paid on the Japan and South Korea contracts, since the original award in July 2015. If Defense Commissary Agency personnel find incorrect credit information and incorrect voucher amounts that were paid, they should fix the under or overstated amount paid. The Director, Defense Commissary Agency, should provide the results of the review to the DoD Office of Inspector General.</p>	<p>3 years 1 month 9 days</p>
<p><b>Rec. 1.d:</b> The DoD OIG recommended that the Defense Commissary Agency Director develop policies and procedures which require Defense Commissary Agency personnel to review and verify the accuracy of all future produce inspection worksheets-including the case price, pack size, cases received, units received, percent case credit, amount to be credited, and total credit-before processing vouchers for payment.</p>	<p>3 years 1 month 9 days</p>

**Report No. DODIG-2019-076, “Evaluation of the Missile Defense Agency’s Pentagon Force Protection Agency’s, and Defense Commissary Agency’s Use of Counterintelligence Inquiry Authority,” April 16, 2019 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B.1:</b> The DoD OIG recommended that the Deputy Director of the Defense Commissary Agency, in coordination with the Commander of the Army Intelligence and Security Command, revise Section 4 of the Memorandum of Agreement between the Army Intelligence and Security Command and the Defense Commissary Agency by deleting the clause within Section 4 which stated that the Army Intelligence and Security Command will assist the Defense Commissary Agency in developing Defense Commissary Agency counterintelligence functional services.</p>	<p>1 year 11 months 15 days</p>

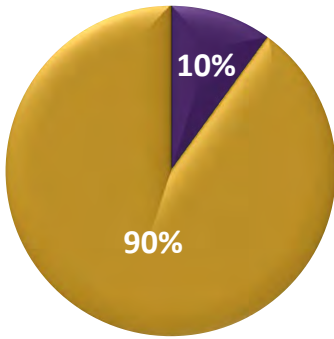




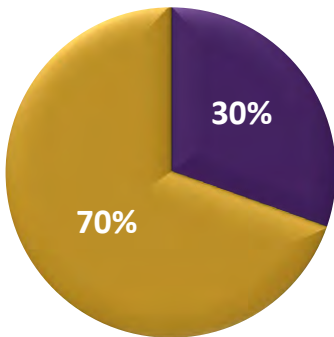
APPENDIX A

**Statistics – Defense Finance and Accounting Service**

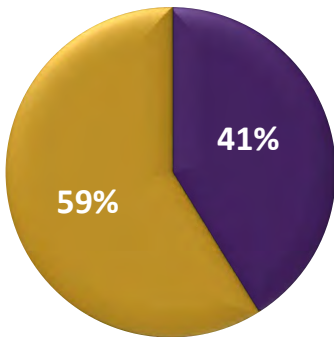
**Recommendations from 2018 Compendium**





**Recommendations from 2019 Compendium**

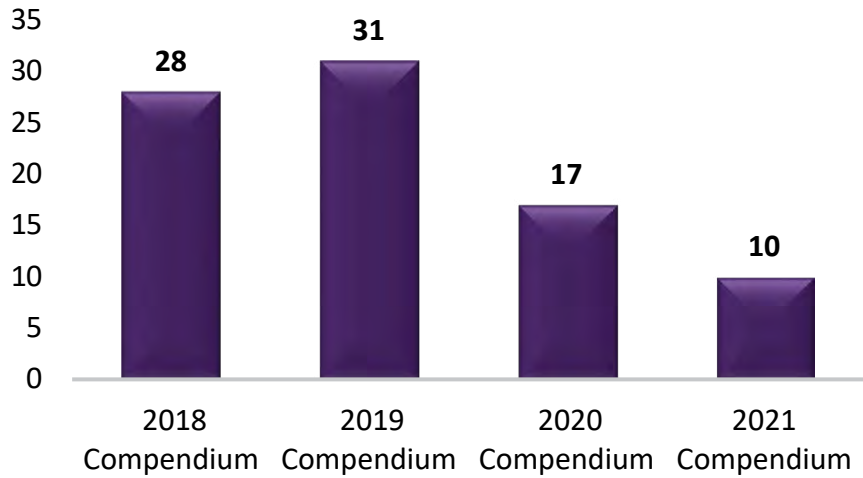


**Recommendations from 2020 Compendium**



 Percentage remaining open as of 3/31/2021  
 Percentage closed as of 3/31/2021

**Open Recommendations**



Number of Unresolved Recommendations	–
Number of Recommendations Open Longer than 5 Years	–
Potential Monetary Benefits	–

### *Defense Finance and Accounting Service*

**Report No. DODIG-2016-126, “Improvements Needed In Managing the Other Defense Organizations’ Suspense Accounts,” August 25, 2016**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.1.c:</b> The DoD OIG recommended that the Directors of Defense Finance and Accounting Service–Indianapolis and -Columbus develop an estimate using relevant, sufficient, and reliable information to record the consolidated Other Defense Organizations’ suspense account balances on the individual Other Defense Organizations’ financial statements.</p>	<p>4 years 7 months 6 days</p>

**Report No. DODIG-2017-015, “Application Level General Controls for the Defense Cash Accountability System Need Improvement,” November 10, 2016**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.1.c.1:</b> The DoD OIG recommended that the Director of Business Enterprise Information Services and Other Systems, Defense Finance and Accounting Service, develop and implement procedures to require Information System Security Officers to comply with the certification requirements established in DoD Manual 8570.01-M, “Information Assurance Workforce Improvement Program.”</p>	<p>4 years 4 months 21 days</p>

**Report No. DODIG-2018-120, “The Treasury Index 97 Cash Management Report,” May 23, 2018**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 3.a.1:</b> The DoD OIG recommended that the Director of Defense Finance and Accounting Service–Indianapolis improve the Cash Management Report process to produce one consolidated Cash Management Report that reports all the Other Defense Organizations financial activity.</p>	<p>2 years 10 months 8 days</p>
<p><b>Rec. 3.a.3:</b> The DoD OIG recommended that the Director of Defense Finance and Accounting Service–Indianapolis improve the Cash Management Report process to produce one consolidated Cash Management Report that supports all Treasury Index 97 Fund Balance With Treasury account reconciliations.</p>	<p>2 years 10 months 8 days</p>
<p><b>Rec. 3.b:</b> The DoD OIG recommended that the Director of Defense Finance and Accounting Service–Indianapolis document the updated Cash Management Reporting process for all Treasury Index 97 Fund Balance With Treasury accounts in process maps and process narratives.</p>	<p>2 years 10 months 8 days</p>
<p><b>Rec. 3.c:</b> The DoD OIG recommended that the Director of Defense Finance and Accounting Service–Indianapolis Revise Standard Operating Procedure, “Cash Management Report Summary-Level Preparation,” September 2015, to include adequate procedures that require a reconciliation of all Treasury Index 97 Fund Balance With Treasury accounts in the Cash Management Report with all the Treasury Index 97 Fund Balance With Treasury accounts in the Central Accounting and Reporting System.</p>	<p>2 years 10 months 8 days</p>

## APPENDIX A

### *Defense Finance and Accounting Service (cont'd)*

**Report No. DODIG-2018-136, "Followup Audit: Application Level General Controls for the Defense Cash Accountability System," July 10, 2018**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.1.a:</b> The DoD OIG recommended that the Business Enterprise Information Services and Other Systems Director, Defense Finance and Accounting Service review and verify policies and procedures to execute periodic user reviews in accordance with the Defense Cash Accountability System Access Control Policy are operating effectively by documenting that 100 percent of sensitive users are reviewed each quarter and 100 percent of authorized users are reviewed within the last year.</p>	<p>2 years 8 months 21 days</p>

**Report No. DODIG-2020-083, "Audit of the Department of Defense's Compliance in Fiscal Year 2019 With Improper Payments Elimination and Recovery Act Requirements," May 1, 2020**

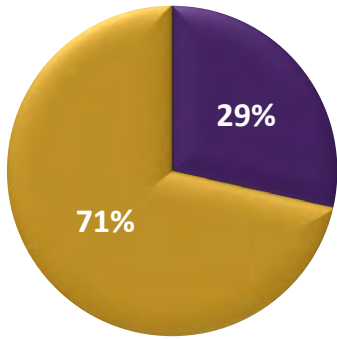
Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 2.a:</b> The DoD OIG recommended that the Deputy Director of Enterprise Audit Support for the Defense Finance and Accounting Service develop and implement internal controls to ensure that the development of the improper payment estimate for the Military Retirement program is complete and accurate.</p>	<p>10 months 30 days</p>
<p><b>Rec. 2.b:</b> The DoD OIG recommended that the Deputy Director of Enterprise Audit Support for the Defense Finance and Accounting Service develop and implement complete standard operating procedures of the Military Retirement improper payment review process.</p>	<p>10 months 30 days</p>

**Report No. DODIG-2021-024, "Audit of the Accuracy of the Improper Payment Estimates Reported for Mechanization of Contract Administration Services System," November 12, 2020**

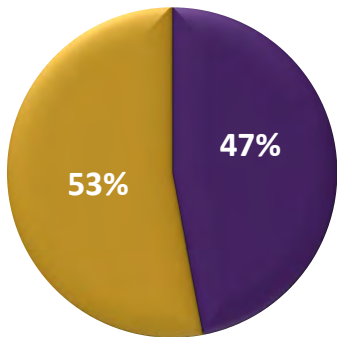
Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 3.a:</b> The DoD OIG recommended that the Deputy Director of Enterprise Audit Support and Compliance for the Defense Finance and Accounting Service, in coordination with the Director of Accounting Operations for the Defense Finance and Accounting Service-Columbus develop and implement a post-pay review process that reviews for propriety to the certified voucher in accordance with the Post-Pay Review for Commercial Pay standard operating procedures.</p>	<p>4 months 19 days</p>

**Statistics – Defense Contract Management Agency**

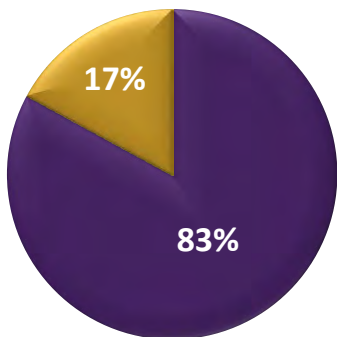
**Recommendations from 2018 Compendium**



**Recommendations from 2019 Compendium**

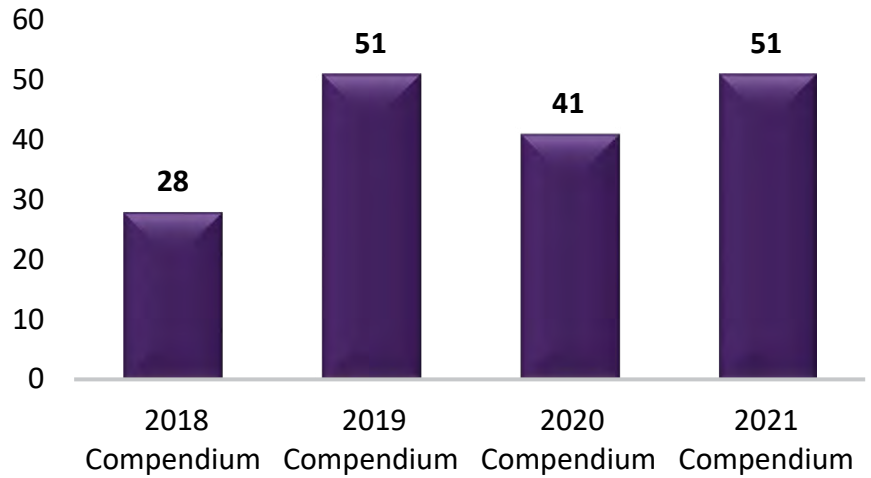


**Recommendations from 2020 Compendium**



Percentage remaining open as of 3/31/2021  
 Percentage closed as of 3/31/2021

**Open Recommendations**



Number of Unresolved Recommendations	–
Number of Recommendations Open Longer than 5 Years	2
Potential Monetary Benefits	\$614 million

# APPENDIX A

## Defense Contract Management Agency

Report No. DODIG-2014-077, "Hotline Complaint Regarding the Settlement of the Pratt & Whitney Commercial Engine Cost Accounting Standards Case," May 30, 2014

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. F:</b> The DoD OIG recommended that the Defense Contract Management Agency Director take the following actions in a timely manner to ensure that (i) the cost accounting practice used by Pratt includes the actual cost of collaboration parts in the allocation base used to allocate material overhead costs to U.S. Government contracts in accordance with the rules and regulations established by the Cost Accounting Standards Board, and (ii) the U.S. Government recovers any increased costs paid to Pratt since 2005 resulting from the contractor's use of a cost accounting practice determined by the Defense Contract Management Agency to be noncompliant with CAS 418 on June 5, 2006:</p> <ol style="list-style-type: none"> <li>1. if legally required, make a second determination of compliance or noncompliance in accordance with FAR 30.605(b)(3)(ii);</li> <li>2. if legally required, notify the contractor of this determination in accordance with FAR 30.605(b)(3)(iii);</li> <li>3. make a determination of materiality in accordance with the requirements of FAR 30.605(b)(4);</li> <li>4. in making the decision on materiality as required by FAR 30.605(b)(4), abide by the decision of the United States Court of Appeals for the Federal Circuit and, where Pratt argues that some portion of the revenue share payments represent payments for items other than parts, require that Pratt provide evidence that the revenue share payments included payments beyond that for the collaboration parts;</li> <li>5. follow the procedures in paragraphs (c) through (h) of FAR 30.605 to correct the noncompliant cost accounting practice;</li> <li>6. when evaluating a general dollar magnitude proposal (FAR 30.605(d)) or a detailed cost impact proposal (FAR 30.605(f)), abide by the decision of the Court and, where Pratt argues that some portion of the revenue share payments represent payments for items other than parts, require that Pratt provide evidence that the revenue share payments included payments beyond that for the collaboration parts;</li> <li>7. obtain a legal counsel opinion regarding the applicability, if any, of the requirement in the Contracts Disputes Act that the government submit a claim to the contractor within 6 years after the accrual of the claim and how this may impact the U.S. Government's ability to recover any increased costs paid since 2005; and</li> <li>8. provide semiannual updates to the DoD OIG Assistant Inspector General, Audit Policy &amp; Oversight, until all recommendations have been implemented.*</li> </ol>	<p>6 years 10 months 1 day</p>

\* The agreed-upon corrective actions have been completed by DoD management; however, the Department's recovery of monetary benefits accruing from those actions is a matter in litigation at the Armed Services Board of Contract Appeals.

**Defense Contract Management Agency (cont'd)**

**Report No. DODIG-2015-006, "Policy Changes Needed at Defense Contract Management Agency to Ensure Forward Pricing Rates Result in Fair and Reasonable Contract Pricing," October 9, 2014**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B.2:</b> The DoD OIG recommended that the Defense Contract Management Agency Director provide training to the administrative contracting officer community on the Federal Acquisition Regulation requirement to tailor the request for audit services.</p>	<p>6 years 5 months 22 days</p>

**Report No. DODIG-2017-055, "Evaluation of Defense Contract Management Agency Contracting Officer Actions on Defense Contract Audit Agency Incurred Cost Audit Reports," February 9, 2017**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.1.a-b:</b> The DoD OIG recommended that the Defense Contract Management Agency Director request the six Defense Contract Management Agency contracting officers with negotiation authority to:</p> <ul style="list-style-type: none"> <li>a. take appropriate action on the Defense Contract Audit Agency reported questioned direct costs of \$297.6 million; and</li> <li>b. document the action in a post-negotiation memorandum, as DoD Instruction 7640.02 requires.</li> </ul>	<p>4 years 1 month 22 days</p>
<p><b>Rec. A.2.a-b:</b> The DoD OIG recommended that the Defense Contract Management Agency Director direct the two remaining Defense Contract Management Agency contracting officers to:</p> <ul style="list-style-type: none"> <li>a. coordinate with the other DoD Component contracting officers having authority to negotiate the reported questioned direct costs of \$7.2 million; and</li> <li>b. incorporate the negotiation results from the other DoD Components in a post-negotiation memorandum, as DoD Instruction 7640.02 requires. 02/2019: DCMA did not discuss and provide supporting documentation in its response to the DoD OIG that substantiate the actions stated in your March 2018 response regarding DCAA Report No. 2161-2007T10100001 and DCAA Report No. 3181-2009D10100001.</li> </ul>	<p>4 years 1 month 22 days</p>
<p><b>Rec. B.1.b:</b> The DoD OIG recommended that the Defense Contract Management Agency Director consider educational or corrective opportunities for each of the contracting officers that did not assess penalties or appropriately waive them to ensure the contracting officers are aware of their responsibilities for complying with Federal Acquisition Regulation 42.709.</p>	<p>4 years 1 month 22 days</p>
<p><b>Rec. B.1.c:</b> The DoD OIG recommended that the Defense Contract Management Agency Director improve the management review of contracting officer actions to better ensure contracting officers assess penalties for expressly unallowable costs or document a waiver of penalties that complies with Federal Acquisition Regulation 42.709-5.</p>	<p>4 years 1 month 22 days</p>

# APPENDIX A

## Defense Contract Management Agency – Report No. DODIG-2017-055 (cont’d)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. C.1:</b> The DoD OIG recommended that the Defense Contract Management Agency Director improve controls for ensuring the completeness and accuracy of negotiation documents in accordance with Federal Acquisition Regulation 42.705-1(b)(5), DoD Instruction 7640.02, and the Defense Contract Management Agency Instruction 125.</p>	<p>4 years 1 month 22 days</p>
<p><b>Rec. D.1.a-c:</b> The DoD OIG recommended that the Defense Contract Management Agency Director request that the contracting officers assigned to Audit Report Numbers 6281-2005G10100001, 3321-2009K10100002 and 4531-2007K10100001:</p> <ul style="list-style-type: none"> <li>a. determine the actions they should take to appropriately disposition the audit findings;</li> <li>b. document the actions taken to achieve disposition at least monthly; and</li> <li>c. document the disposition of the audit findings in a negotiation memorandum.</li> </ul>	<p>4 years 1 month 22 days</p>

## Report No. DODIG-2018-110, “Defense Contract Management Agency’s Information Technology Contracts,” April 25, 2018

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.1.a.1:</b> The DoD OIG recommended that the Defense Contract Management Agency Director establish internal controls to ensure Defense Contract Management Agency contracting officials develop contract performance work statements for service acquisitions that include performance requirements in terms of defined deliverables, contractor performance objectives and standards, and a quality assurance plan.</p>	<p>2 years 11 months 6 days</p>
<p><b>Rec. A.1.a.2:</b> The DoD OIG recommended that the Defense Contract Management Agency Director establish internal controls to ensure Defense Contract Management Agency contracting officials develop acquisition plans for all service acquisitions of \$3,000 or more.</p>	<p>2 years 11 months 6 days</p>
<p><b>Rec. A.1.b:</b> The DoD OIG recommended that the Defense Contract Management Agency Director develop internal guidance to establish multi-functional teams that include the program manager, contracting officer, contracting officer’s representative, finance officer, and legal advisor to plan and manage service acquisitions from when the agency identifies a need for a service through the execution of the contract.</p>	<p>2 years 11 months 6 days</p>
<p><b>Rec. A.1.f:</b> The DoD OIG recommended that the Defense Contract Management Agency Director immediately identify the mission-critical requirements being met through flexible ordering agreements and award new contracts before the current flexible ordering agreements’ periods of performance end.</p>	<p>2 years 11 months 6 days</p>

**Defense Contract Management Agency – Report No. DODIG-2018-110 (cont’d)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.1.g:</b> The DoD OIG recommended that the Defense Contract Management Agency Director initiate a review of the contracting officers’ actions to continue the use of flexible ordering agreements, despite the Government Accountability Office’s decision and, as appropriate, initiate management action to hold the officials accountable.</p>	<p>2 years 11 months 6 days</p>
<p><b>Rec. B.1.a.10:</b> The DoD OIG recommended that the Defense Contract Management Agency Director establish internal controls, such as checklists, standard operating procedures, or reviews by supervisors, to ensure that only the Defense Contract Management Agency contracting officers or officials with the delegated authority from a contracting officer accept services and approve invoices.</p>	<p>2 years 11 months 6 days</p>
<p><b>Rec. B.1.a.1:</b> The DoD OIG recommended that the Defense Contract Management Agency Director establish internal controls, such as checklists, standard operating procedures, or reviews by supervisors, to ensure that contracting officer’s representatives or contracting officers perform inspections and monitor contractor performance on service contracts.</p>	<p>2 years 11 months 6 days</p>
<p><b>Rec. B.1.a.2:</b> The DoD OIG recommended that the Defense Contract Management Agency Director establish internal controls, such as checklists, standard operating procedures, or reviews by supervisors, to ensure that contracting officer’s representatives complete and submit monthly reports on the contractor’s performance and contracting officers review contracting officer’s representative monthly reports.</p>	<p>2 years 11 months 6 days</p>
<p><b>Rec. B.1.a.3:</b> The DoD OIG recommended that the Defense Contract Management Agency Director establish internal controls, such as checklists, standard operating procedures, or reviews by supervisors, to ensure that either the contracting officer or contracting officer’s representative performs reviews or inspections of contractor deliverables before accepting services.</p>	<p>2 years 11 months 6 days</p>
<p><b>Rec. B.1.a.4:</b> The DoD OIG recommended that the Defense Contract Management Agency Director establish internal controls, such as checklists, standard operating procedures, or reviews by supervisors, to ensure that the contracting officer or contracting officer’s representative determines whether the contractor performed satisfactorily and ensure the work progressed according to the contract before approving invoices.</p>	<p>2 years 11 months 6 days</p>
<p><b>Rec. B.1.a.5:</b> The DoD OIG recommended that the Defense Contract Management Agency Director establish internal controls, such as checklists, standard operating procedures, or reviews by supervisors, to ensure that requiring activities nominate qualified contracting officer’s representatives for all ongoing service contracts without contracting officer’s representatives and for future service contracts prior to the award of the contracts.</p>	<p>2 years 11 months 6 days</p>



## APPENDIX A

### Defense Contract Management Agency – Report No. DODIG-2018-110 (cont'd)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B.1.a.6:</b> The DoD OIG recommended that the Defense Contract Management Agency Director establish internal controls, such as checklists, standard operating procedures, or reviews by supervisors, to ensure that contracting officers appoint contracting officer’s representatives for all ongoing service contracts without contracting officer’s representatives and for future service contracts prior to the award of the contracts.</p>	<p>2 years 11 months 6 days</p>
<p><b>Rec. B.1.a.7:</b> The DoD OIG recommended that the Defense Contract Management Agency Director establish internal controls, such as checklists, standard operating procedures, or reviews by supervisors, to ensure that contracting officers terminate the contracting officer’s representative appointment when a contracting officer’s representative has unsatisfactory performance, transfers, or retires and appoint a new contracting officer’s representative.</p>	<p>2 years 11 months 6 days</p>
<p><b>Rec. B.1.a.8:</b> The DoD OIG recommended that the Defense Contract Management Agency Director establish internal controls, such as checklists, standard operating procedures, or reviews by supervisors, to ensure that contracting officers provide contracting officer’s representatives with contract-specific training on contracting officer’s representative duties and specific contract terms, conditions, and requirements prior to appointing contracting officer’s representatives.</p>	<p>2 years 11 months 6 days</p>
<p><b>Rec. B.1.a.9:</b> The DoD OIG recommended that the Defense Contract Management Agency Director establish internal controls, such as checklists, standard operating procedures, or reviews by supervisors, to ensure that requiring activities develop quality assurance surveillance plans for all service acquisitions in accordance with the DoD Contracting Officer’s Representative Handbook and in conjunction with the performance standards contained in the performance work statement.</p>	<p>2 years 11 months 6 days</p>
<p><b>Rec. B.1.b:</b> The DoD OIG recommended that the Defense Contract Management Agency Director reemphasize the importance of all aspects of the contracting process and provide training on the importance of following established internal controls for Defense Contract Management Agency officials responsible for contract monitoring and administration of information technology service contracts.</p>	<p>2 years 11 months 6 days</p>

### Report No. DODIG-2020-036, “Evaluation of Contracting Officer Actions on Defense Contract Audit Agency Reports that Disclaim an Opinion,” November 26, 2019

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.1.a:</b> The DoD OIG recommended that the Director of the Defense Contract Management Agency require the contracting officers to determine if any of the \$219 million in questioned costs reported by Defense Contract Audit Agency in Report Nos. 6341-2009A10100044 and 1281-2007J10100015 are not allowable according to Federal Acquisition Regulation Part 31, “Contracts with Commercial Organizations.”</p>	<p>1 year 4 months 5 days</p>

APPENDIX A

**Defense Contract Management Agency – Report No. DODIG-2020-036 (cont’d)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.1.b:</b> The DoD OIG recommended that the Director of the Defense Contract Management Agency require the contracting officers to take steps to recoup any portion of the \$219 million that is not allowed on Government contracts.</p>	<p>1 year 4 months 5 days</p>
<p><b>Rec. A.1.c:</b> The DoD OIG recommended that the Director of the Defense Contract Management Agency require the contracting officers to review the actions of the contracting officers on Report Nos. 6341-2009A10100044 and 1281-2007J10100015 to determine whether management action is necessary to hold those individuals accountable.</p>	<p>1 year 4 months 5 days</p>

**Report No. DODIG-2020-049, “Evaluation of Defense Contract Management Agency Contracting Officer Actions on Penalties Recommended by the Defense Contract Audit Agency,” January 10, 2020**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.1.a:</b> The DoD OIG recommended that the Defense Contract Management Agency Director for the 18 audit reports in which the contracting officers did not document adequate rationale as shown in Appendix B, review the contracting officers’ decision to not assess penalties on \$43 million of expressly unallowable costs reported by Defense Contract Audit Agency, to determine whether the costs are expressly unallowable in accordance with Federal Acquisition Regulation 31.205, “Selected Costs,” and subject to penalty in accordance with Federal Acquisition Regulation 42.709, “Penalties for Unallowable Costs.”</p>	<p>1 year 2 months 21 days</p>
<p><b>Rec. A.1.b:</b> The DoD OIG recommended that the Defense Contract Management Agency Director, based on the results of the review in Recommendation A.1.a, take steps to:</p> <ol style="list-style-type: none"> <li>1. recoup any expressly unallowable costs not previously disallowed; and</li> <li>2. obtain payment from the contractor for any associated penalties due to the Government.</li> </ol>	<p>1 year 2 months 21 days</p>
<p><b>Rec. A.2:</b> The DoD OIG recommended that the Defense Contract Management Agency Director provide training to contracting officers and supervisors on the requirements for identifying unallowable costs and for assessing and waiving penalties, including:</p> <ol style="list-style-type: none"> <li>a. Federal Acquisition Regulation 31.205, “Selected Costs,” and</li> <li>b. Federal Acquisition Regulation 42.709, “Penalties for Unallowable Costs.”</li> </ol>	<p>1 year 2 months 21 days</p>
<p><b>Rec. A.3:</b> The DoD OIG recommended that the Defense Contract Management Agency Director revise Defense Contract Management Agency procedures to require that supervisors document their review comments on the contracting officers’ actions in writing.</p>	<p>1 year 2 months 21 days</p>

# APPENDIX A

## Defense Contract Management Agency – Report No. DODIG-2020-049 (cont'd)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. B.1.a:</b> The DoD OIG recommended that the Defense Contract Management Agency Director, for the audit reports for which the contracting officers did not correctly calculate penalties and interest as shown in Appendix D, review the contracting officers’ calculation of penalty and interest due to the Government to determine the penalties and interest that should have been collected in accordance with Federal Acquisition Regulation 42.709-1, “General,” and 42.709-4, “Computing Interest.”</p>	<p>1 year 2 months 21 days</p>
<p><b>Rec. B.1.b:</b> The DoD OIG recommended that the Defense Contract Management Agency Director, based on the results of the review in Recommendation B.1.a, take steps to recoup the difference between the penalties and interest that should have been collected in accordance with the Federal Acquisition Regulation and the amounts that were previously collected.</p>	<p>1 year 2 months 21 days</p>
<p><b>Rec. B.2:</b> The DoD OIG recommended that the Defense Contract Management Agency Director provide training to contracting officers in the following areas:</p> <ol style="list-style-type: none"> <li>1. calculating penalties in accordance with Federal Acquisition Regulation 42.709-1(a)(1)(i), “General,”</li> <li>2. computing interest in accordance with Federal Acquisition Regulation 42.709-4, “Computing Interest.”</li> </ol>	<p>1 year 2 months 21 days</p>

## Report No. DODIG-2021-047, “Evaluation of Department of Defense Contracting Officer Actions on Questioned Direct Costs,” January 21, 2021

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.1.a:</b> The DoD OIG recommended that the Defense Contract Management Agency Director require the Defense Contract Management Agency divisional contracting officers to reopen the 12 Defense Contract Audit Agency audit reports shown in Tables 1 and 2 in the Contract Audit Follow-Up System because the questioned direct costs have not been settled.</p>	<p>2 months 10 days</p>
<p><b>Rec. A.1.b:</b> The DoD OIG recommended that the Defense Contract Management Agency Director require the Defense Contract Management Agency divisional contracting officers to coordinate the settlement of the questioned direct costs with the contracting officers with settlement responsibility.</p>	<p>2 months 10 days</p>
<p><b>Rec. A.1.c:</b> The DoD OIG recommended that the Defense Contract Management Agency Director require the Defense Contract Management Agency divisional contracting officers to consult with legal counsel for any concerns that the 6-year statute of limitations has expired or may expire soon.</p>	<p>2 months 10 days</p>
<p><b>Rec. A.1.d:</b> The DoD OIG recommended that the Defense Contract Management Agency Director require the Defense Contract Management Agency divisional contracting officers to explore available remedies for recovering any unallowable direct costs that were reimbursed to the contractor on DoD contracts.</p>	<p>2 months 10 days</p>

**Defense Contract Management Agency – Report No. DODIG-2021-047 (cont’d)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.1.e:</b> The DoD OIG recommended that the Defense Contract Management Agency Director require the Defense Contract Management Agency divisional contracting officers to close the 12 records shown in Tables 1 and 2 in the Contract Audit Follow-up System after all questioned direct costs are settled.</p>	<p>2 months 10 days</p>
<p><b>Rec. A.2.a:</b> The DoD OIG recommended that the Defense Contract Management Agency Director review the contracting officers’ actions for closing the 12 reports from Tables 1 and 2 in the Contract Audit Follow-up system without settling all questioned direct costs in noncompliance with DoD Instruction 7640.02.</p>	<p>2 months 10 days</p>
<p><b>Rec. A.2.b:</b> The DoD OIG recommended that the Defense Contract Management Agency Director, based on the results of the review, take action as appropriate for the noncompliances, such as providing remedial training or initiating management action to hold personnel accountable.</p>	<p>2 months 10 days</p>
<p><b>Rec. A.3:</b> The DoD OIG recommended that the Defense Contract Management Agency Director require the supervisors of the Defense Contract Management Agency divisional administrative contracting officers responsible for the 12 Defense Contract Audit Agency audit reports shown in Tables 1 and 2 to take the training on the requirements for settling questioned direct costs outlined in DoD Instruction 7640.02, “Policy for Follow-up of Contract Audit Reports;” Defense Contract Management Agency Manual 2201-03, “Final Indirect Cost Rates;” and Manual 2201-04, “Contract Audit Follow-Up.”</p>	<p>2 months 10 days</p>
<p><b>Rec. A.4.a:</b> The DoD OIG recommended that the Defense Contract Management Agency Director update Defense Contract Management Agency Manual 2201-03, “Final Indirect Cost Rates,” and Manual 2201-04, “Contract Audit Follow-Up,” to require that contracting officers use the contracting officer locator form to-identify contracting officers responsible for settling questioned direct costs.</p>	<p>2 months 10 days</p>
<p><b>Rec. A.4.b:</b> The DoD OIG recommended that the Defense Contract Management Agency Director update Defense Contract Management Agency Manual 2201-03, “Final Indirect Cost Rates,” and Manual 2201-04, “Contract Audit Follow-Up,” to require that contracting officers and supervisors use the Contract Audit Follow-Up checklist to help ensure that the findings and recommendations related to questioned direct costs have been settled before the record is closed in the Contract Audit Follow-Up system.</p>	<p>2 months 10 days</p>
<p><b>Rec. A.5:</b> The DoD OIG recommended that the Defense Contract Management Agency Director require that the Defense Contract Management Agency Office of Inspector General perform internal reviews of divisional administrative contracting officer actions on questioned direct costs for compliance with DoD Instruction 7640.02, “Policy for Follow-up of Contract Audit Reports;” and Defense Contract Management Agency Manual 2201-03, “Final Indirect Cost Rates;” and Manual 2201-04, “Contract Audit Follow-Up.”</p>	<p>2 months 10 days</p>
<p><b>Rec. A.6:</b> The DoD OIG recommended that the Defense Contract Management Agency Director conduct a review of the Agency’s policy on settling questioned direct costs to clarify the authority of divisional administrative contracting officers to settle questioned direct costs in Defense Contract Audit Agency audit reports.</p>	<p>2 months 10 days</p>

# APPENDIX A

## Defense Contract Management Agency (cont'd)

Report No. DODIG-2021-056, "Evaluation of Defense Contract Management Agency Actions Taken on Defense Contract Audit Agency Report Findings Involving Two of the Largest Department of Defense Contractors," February 26, 2021 (Full Report is CUI)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.a-c:</b> The DoD OIG recommended that the Defense Contract Management Agency Director take the following steps for the eight audit reports listed in Appendix B for which the contracting officer did not adequately document or adequately explain the reason for disagreeing with the Defense Contract Audit Agency:</p> <ul style="list-style-type: none"> <li>a. reopen the audit report in the Contract Audit Follow-up System until all findings are settled;</li> <li>b. review the contracting officer's decision to not uphold the \$97 million in Defense Contract Audit Agency questioned costs and determine whether the costs are unallowable in accordance with the Federal Acquisition Regulation; and</li> <li>c. disallow and recoup any unallowable costs not previously disallowed.</li> </ul>	<p>1 month 5 days</p>
<p><b>Rec. 2:</b> The DoD OIG recommended that the Defense Contract Management Agency Director remind all Defense Contract Management Agency contracting officers in writing of the requirement to issue a notice of potential Cost Accounting Standard noncompliance within 15 days of receipt of a reported Cost Accounting Standard noncompliance, in accordance with Federal Acquisition Regulation 30.605(b)(1) and Defense Contract Management Agency Instruction 108.</p>	<p>1 month 5 days</p>
<p><b>Rec. 3.a-c:</b> The DoD OIG recommended that the Defense Contract Management Agency Director require the contracting officers for Audit Report Numbers 6631-2016C19200001 and 6631-2016C19200002 to take the following actions in accordance with Federal Acquisition Regulation 30.605 and Defense Contract Management Agency Instruction 108:</p> <ul style="list-style-type: none"> <li>a. Reopen the audit report in the Contract Audit Follow-up System until all findings are settled.</li> <li>b. Make a determination of Cost Accounting Standards compliance (if applicable).</li> <li>c. Based on the results of the review in Recommendation 3.b, take steps to:                             <ul style="list-style-type: none"> <li>1. notify the contractor of the compliance determination;</li> <li>2. make a determination on the cost impact; and</li> <li>3. recoup any cost increase to the Government as a result of the noncompliances.</li> </ul> </li> </ul>	<p>1 month 5 days</p>

**Defense Contract Management Agency – Report No. DODIG-2021-056 (cont’d)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 4:</b> The DoD OIG recommended that the Defense Contract Management Agency Director require the supervisors of the contracting officers for the 14 audit reports listed in Appendix C to receive training on the level of review necessary to provide an effective control for ensuring that contracting officers complete actions appropriately when addressing Defense Contract Audit Agency audit reports.	1 month 5 days
<b>Rec. 5:</b> The DoD OIG recommended that the Defense Contract Management Agency Director implement a policy which requires contracting officers to retain key documents that support their actions on audit reports in Defense Contract Management Agency’s Electronic Document Records Management System.	1 month 5 days



# APPENDIX A

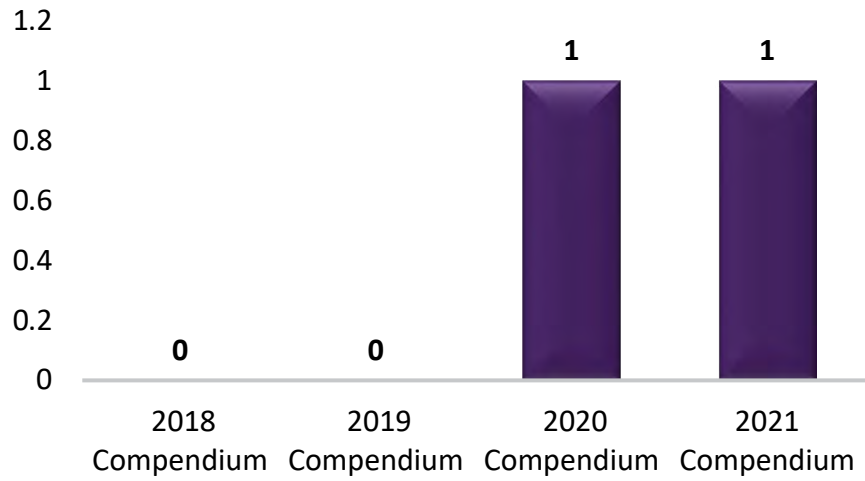
## Statistics – Army and Air Force Exchange Service

### Recommendations from 2020 Compendium



- Percentage remaining open as of 3/31/2021
- Percentage closed as of 3/31/2021

### Open Recommendations




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Number of Unresolved Recommendations	–
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Number of Recommendations Open Longer than 5 Years	–
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Potential Monetary Benefits	–
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**Army and Air Force Exchange Service**

Report No. DODIG-2019-088, "Evaluation of DoD Efforts to Combat Trafficking in Persons in Kuwait," June 11, 2019

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. C.3:</b> The DoD OIG recommended that the Army and Air Force Exchange Service Chief Executive Officer establish a process or identify a resource for DoD contracting officials to obtain definitive guidance on Kuwaiti labor laws that apply to DoD contracts.*</p>	<p>1 year 9 months 20 days</p>

\* The DoD OIG is evaluating implementation of this recommendation as part of an ongoing followup project.

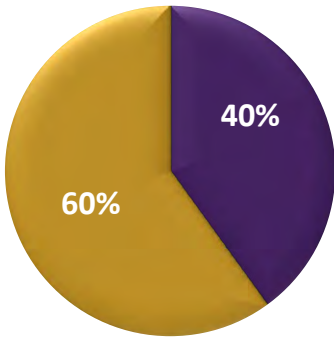




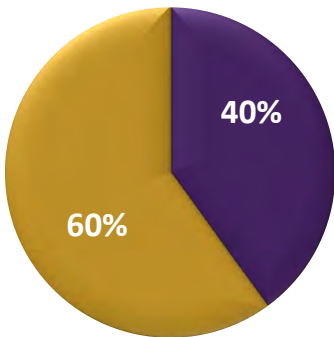
APPENDIX A

**Statistics – Defense Criminal Investigative Service**

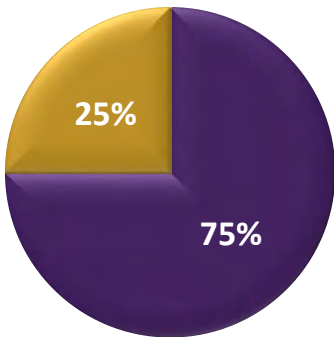
**Recommendations from 2018 Compendium**



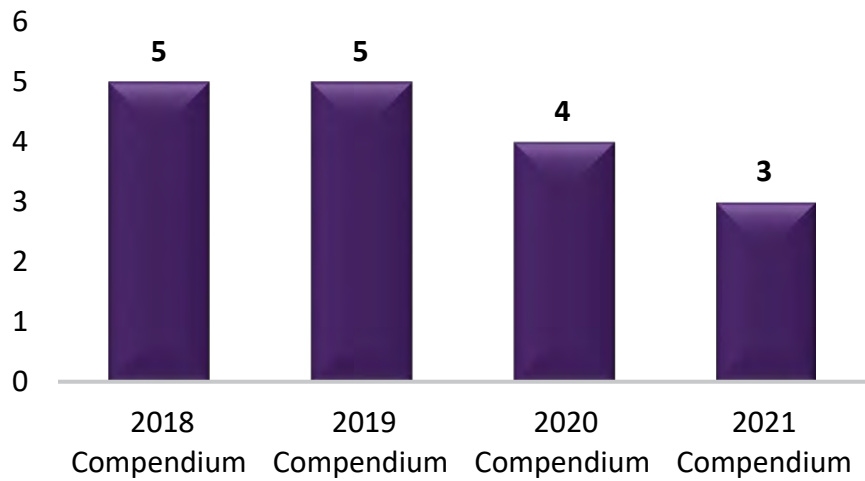
**Recommendations from 2019 Compendium**




**Recommendations from 2020 Compendium**




**Open Recommendations**



Number of Unresolved Recommendations	–
Number of Recommendations Open Longer than 5 Years	–
Potential Monetary Benefits	–

 Percentage remaining open as of 3/31/2021

 Percentage closed as of 3/31/2021

**Defense Criminal Investigative Service**

**Report No. DODIG-2018-035, “Evaluation of Fingerprint Card and Final Disposition Report Submissions by Military Service Law Enforcement Organizations,” December 4, 2017**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. H.1.a:</b> The DoD OIG recommended that the Under Secretary of Defense for Intelligence and the Deputy Chief Management Officer ensure that the Directors of the Defense Intelligence Agency, the National Geospatial-Intelligence Agency, the National Reconnaissance Office, the National Security Agency, and the Pentagon Force Protection Agency to immediately and comprehensively review all their criminal investigative databases and files to ensure that all fingerprint cards and final disposition reports for anyone investigated for, or convicted of, qualifying offenses before 1998 have been reported to the Federal Bureau of Investigation Criminal Justice Information Services in compliance with DoD and Federal Bureau of Investigation requirements.</p>	<p>3 years 3 months 27 days</p>
<p><b>Rec. H.1.d:</b> The DoD OIG recommended that the Under Secretary of Defense for Intelligence and the Deputy Chief Management Officer ensure that the Directors of the Defense Intelligence Agency, the National Geospatial-Intelligence Agency, the National Reconnaissance Office, the National Security Agency, and the Pentagon Force Protection Agency take prompt action to ensure that other required investigative and criminal history information, such as criminal incident data and Deoxyribonucleic Acid (DNA) samples, has been submitted for inclusion in Federal Bureau of Investigation databases.</p>	<p>3 years 3 months 27 days</p>

**Report No. DODIG-2020-064, “Evaluation of DoD Law Enforcement Organization Submissions of Criminal History Information to the Federal Bureau of Investigation,” February 21, 2020**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 6:</b> The DoD OIG recommended that the Defense Criminal Investigative Service Director take prompt action to collect and submit the five missing Deoxyribonucleic Acid samples to the Federal Bureau of Investigation Combined Deoxyribonucleic Acid Index System.</p>	<p>1 year 1 month 10 days</p>

APPENDIX A



**Statistics – Director, DoD Special Access Program Central Office**

**Recommendations from 2019 Compendium**

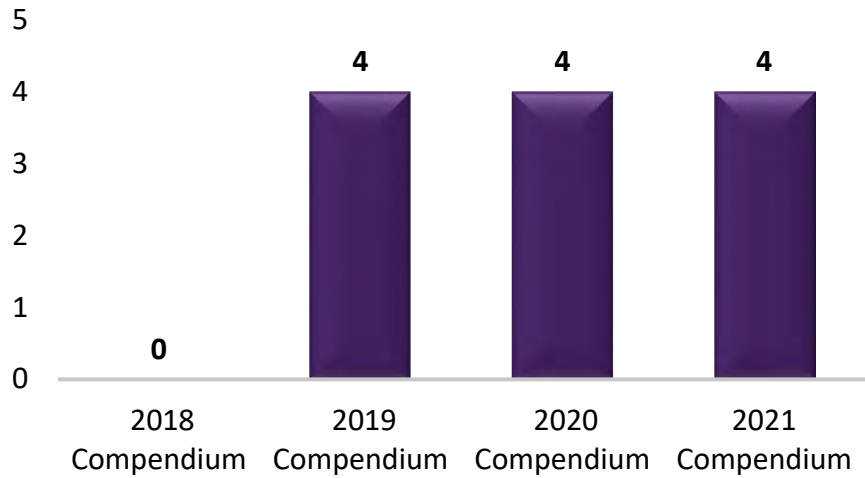


**Recommendations from 2020 Compendium**



-  Percentage remaining open as of 3/31/2021
-  Percentage closed as of 3/31/2021

**Open Recommendations**



Number of Unresolved Recommendations	–
Number of Recommendations Open Longer than 5 Years	–
Potential Monetary Benefits	–

**Director, DoD Special Access Program Central Office**

Report No. DODIG-2019-055, "Evaluation of Integrated Joint Special Technical Operations," February 11, 2019  
 (Full Report is Classified)

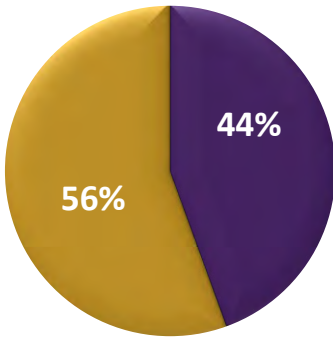
Recommendation Number and Text	Age of Recommendation on 3/31/21
Rec. 5.a: Recommendation is Classified.	2 years 1 month 20 days
Rec. 5.b: Recommendation is Classified.	2 years 1 month 20 days
Rec. 5.c: Recommendation is Classified.	2 years 1 month 20 days
Rec. 5.d: Recommendation is Classified.	2 years 1 month 20 days



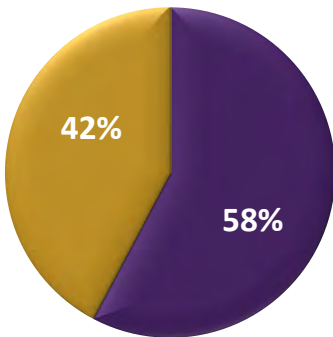
APPENDIX A

**Statistics – F-35 Joint Program Office**

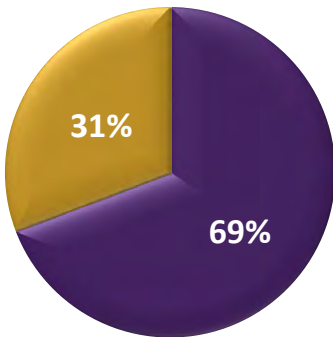
**Recommendations from 2018 Compendium**



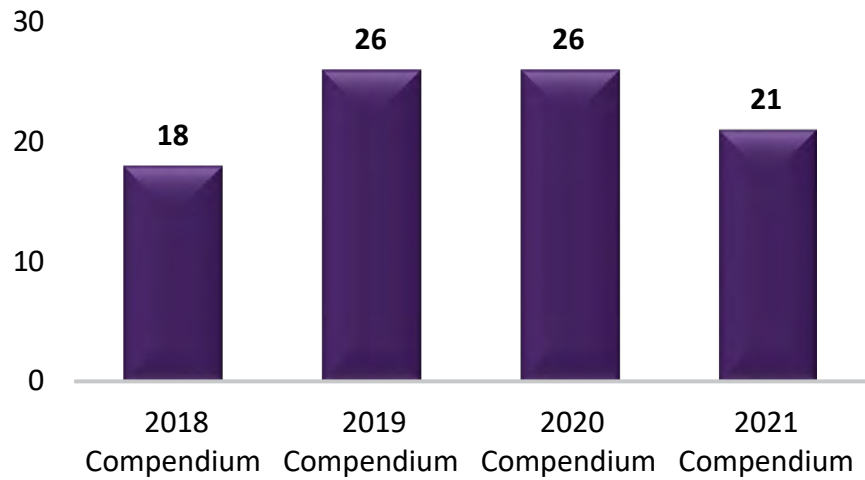
**Recommendations from 2019 Compendium**





**Recommendations from 2020 Compendium**



**Open Recommendations**



Number of Unresolved Recommendations	–
Number of Recommendations Open Longer than 5 Years	8
Potential Monetary Benefits	\$2.1 billion

 Percentage remaining open as of 3/31/2021  
 Percentage closed as of 3/31/2021

### F-35 Joint Program Office

Report No. DODIG-2013-031, "Audit of the F-35 Lightning II Autonomic Logistics Information Systems (ALIS)," December 10, 2012 (Full Report is Classified)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. B:</b> Recommendation is Classified.	8 years 3 months 21 days
<b>Rec. D.1:</b> Recommendation is Classified.	8 years 3 months 21 days
<b>Rec. D.3:</b> Recommendation is Classified.	8 years 3 months 21 days
<b>Rec. D.4:</b> Recommendation is Classified.	8 years 3 months 21 days
<b>Rec. D.5:</b> Recommendation is Classified.	8 years 3 months 21 days

Report No. DODIG-2015-111, "F-35 Engine Quality Assurance Inspection," April 27, 2015 (Full Report is FOUO)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. A.1.a:</b> The DoD OIG recommended that the F-35 Joint Program Office coordinate with the Defense Contract Management Agency to conduct an effective root cause analysis and implement corrective actions for all 61 nonconformities (violations of AS9100C, regulatory requirements, and DoD policies) identified during our inspection.	5 years 11 months 4 days
<b>Rec. B.1:</b> The DoD OIG recommended that the F-35 Joint Program Office ensure that critical safety item contractual requirements and Pratt & Whitney's critical safety item program processes and specifications meet the intent of the Joint Critical Safety Item Instruction and supplemental guidance of the Joint Aeronautical Commanders Group Aviation Critical Safety Item Management Handbook.	5 years 11 months 4 days
<b>Rec. C.3:</b> The DoD OIG recommended that the F-35 Joint Program Office ensure that Pratt & Whitney consistently analyzes and reports Key Product Characteristics Process Capability Index data for F135 engine hardware and that performance improvement plans are established.	5 years 11 months 4 days

Report No. DODIG-2019-062, "Audit of Management of Government-Owned Property Supporting the F-35 Program," March 13, 2019

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 2.a:</b> The DoD OIG recommended that the F-35 Program Executive Officer ensure that contracting officers identify and resolve government-furnished property list inaccuracies and incomplete or missing entries before attachment to and award of subsequent contracts.	2 years 18 days
<b>Rec. 2.c:</b> The DoD OIG recommended that the F-35 Program Executive Officer, before the F-35 Program Office makes a decision to begin full-rate production of the F-35, ensure that the component property lead and accountable property officer reconcile all F-35 Program Government-furnished property by performing a complete inventory of delivered property and use the result of the inventory to establish a baseline property record in its accountable property system of record.	2 years 18 days

# APPENDIX A

## F-35 Joint Program Office – Report No. DODIG-2019-062 (cont'd)

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 2.d:</b> The DoD OIG recommended that the F-35 Program Executive Officer establish and implement procedures for property officials to continuously input the data required by DoD Instruction 5000.64 in its accountable property system of record.</p>	<p>2 years 18 days</p>
<p><b>Rec. 3.a:</b> The DoD OIG recommended that the F-35 Program Executive Officer direct F-35 Program Office officials, in coordination with the Defense Contract Management Agency and the prime contractor, before a decision to begin full-rate production of the F-35 is made, reach an agreement for how to implement processes and procedures to transition F-35 Program contractor-acquired property to Government-furnished property from original contracts to subsequent contracts in accordance with the Defense Federal Acquisition Regulation Supplement.</p>	<p>2 years 18 days</p>
<p><b>Rec. 3.b:</b> The DoD OIG recommended that the F-35 Program Executive Officer direct F-35 Program Office officials, in coordination with the Defense Contract Management Agency and the prime contractor, before a decision to begin full-rate production of the F-35 is made, upon completion of Recommendation 3.a, ensure contractor-acquired property procured on past contracts is transitioned to Government-furnished property on contracting actions as required by the Defense Federal Acquisition Regulation Supplement.</p>	<p>2 years 18 days</p>
<p><b>Rec. 3.c:</b> The DoD OIG recommended that the F-35 Program Executive Officer direct F-35 Program Office officials, in coordination with the Defense Contract Management Agency and the prime contractor, before a decision to begin full-rate production of the F-35 is made and upon completion of Recommendation 3.a, ensure the required delivery of contractor-acquired property identified as special tooling or special test equipment for accountability and management purposes as required by the Defense Federal Acquisition Regulation Supplement.</p>	<p>2 years 18 days</p>
<p><b>Rec. 3.d:</b> The DoD OIG recommended that the F-35 Program Executive Officer direct F-35 Program Office officials, in coordination with the Defense Contract Management Agency and the prime contractor, before a decision to begin full-rate production of the F-35 is made, provide updates for the accountable property system of record for any Government-furnished property resulting from the actions taken for contractor-acquired property in the previous Recommendations.</p>	<p>2 years 18 days</p>

APPENDIX A

**F-35 Joint Program Office (cont'd)**

**Report No. DODIG-2019-094, "Audit of F-35 Ready-For-Issue Spare Parts and Sustainment Performance Incentive Fees," June 13, 2019**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.2:</b> The DoD OIG recommended that the Program Executive Officer for the F-35 Joint Program Office direct the Contracting Officer to add language to the future F-35 sustainment contracts to allow the DoD to collect compensation for each non-Ready-For-Issue spare part provided by the contractor.</p>	<p>1 year 9 months 18 days</p>
<p><b>Rec. A.3:</b> The DoD OIG recommended that the Program Executive Officer for the F-35 Joint Program Office direct the Lead Contracting Officer's Representative to update the Quality Assurance Surveillance Plan, approve the site surveillance plans, and require the Contracting Officer's Representatives to provide monthly information on contractor performance, including the number of non-Ready-For-Issue spare parts received; the manual processes used by the DoD to correct non-Ready-For-Issue problems; the manual processes used by the F-35 sites to keep aircraft flying when non-Ready-For-Issue spare parts are used and the associated increase in availability hours; and the total F-35 aircraft availability hours.</p>	<p>1 year 9 months 18 days</p>
<p><b>Rec. A.4:</b> The DoD OIG recommended that the Program Executive Officer for the F-35 Joint Program Office direct the Lead Contracting Officer's Representative to assign Contracting Officer's Representatives to provide oversight at all F-35 sites and collect contractor performance data from the Contracting Officer's Representatives and the Defense Contract Management Agency to identify systemic contractor performance problems.</p>	<p>1 year 9 months 18 days</p>

**Report No. DODIG-2020-123, "Audit of the F-35 Program Office's Beyond Economical Repair Process for Parts," September 4, 2020 (Full Report is FOUO)**

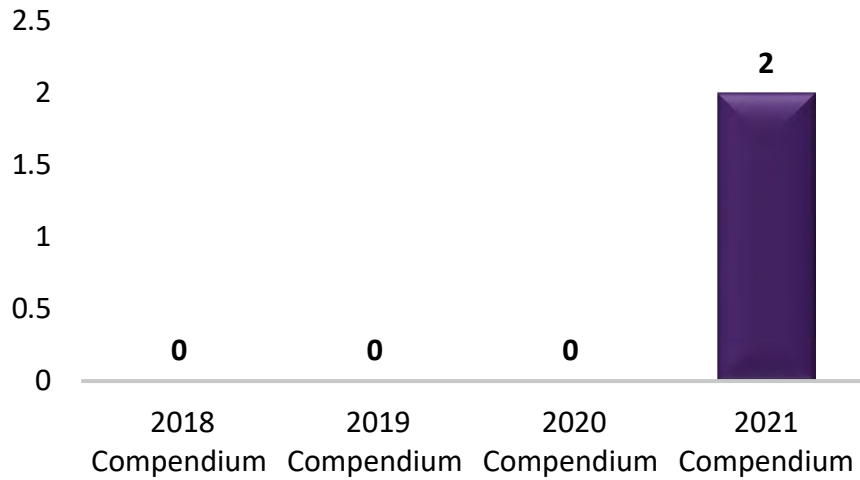
Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 2.a:</b> The DoD OIG recommended that the F-35 Program Executive Officer direct F-35 Program Office logistics, sustainment, and contracting officials, in coordination with Defense Contract Management Agency officials and the contractor, to fully develop and formalize its beyond economical repair process with specific goals, procedures, and data and information requirements that provide the DoD information on the impact of the beyond economical repair process for achieving desired outcomes such as a minimum readiness level or reduced costs.</p>	<p>6 months 27 days</p>
<p><b>Rec. 2.b:</b> The DoD OIG recommended that the F-35 Program Executive Officer direct the F-35 Procurement Contracting Officer to update the current and future sustainment contracts to incentivize repair of repairable spare parts within specific timeframes that have been negotiated with the contractor.</p>	<p>6 months 27 days</p>
<p><b>Rec. 2.c:</b> The DoD OIG recommended that the F-35 Program Executive Officer direct the F-35 Procurement Contracting Officer, in coordination with the contractor, to determine accurate costs for DoD replacement parts to use in making beyond economical repair determinations and incorporate the methodology for determining those costs in the F-35 contracts.</p>	<p>6 months 27 days</p>



APPENDIX A

**Statistics – Armed Forced Retirement Home**

**Open Recommendations**



Number of Unresolved Recommendations	–
Number of Recommendations Open Longer than 5 Years	1
Potential Monetary Benefits	–

### Armed Forced Retirement Home

Report No. DODIG-2014-093, "Inspection of the Armed Forces Retirement Home," July 23, 2014

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 53.b:</b> The DoD OIG recommended that the Under Secretary of Defense for Personnel and Readiness, under the authority given to the Secretary of Defense in section 411(d)(3), title 24, United States Code, issue a directive-type memorandum for immediate action (followed by a revision of Department of Defense Instruction 1000.28, "Armed Forces Retirement Home," February 1, 2010) to codify the results from Recommendation 53.a.*</p>	<p>6 years 8 months 8 days</p>

\* Responsibility for implementing Recommendation 53.b was transferred from DoD CMO to AFRH.

Report No. DODIG-2018-077, "Financial Management and Contract Award and Administration for the Armed Forces Retirement Home," February 21, 2018

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. A.1.c:</b> The DoD OIG recommended that the Deputy Chief Management Officer, in coordination with the Armed Forces Retirement Home Chief Operating Officer, quantify the impact each major capital project has on the Armed Forces Retirement Home Trust Fund balance and describe the effects on the resident population of the Armed Forces Retirement Home. In addition, the Deputy Chief Management Officer should establish a threshold in which it considers a capital project to be a major capital project and require that the Armed Forces Retirement Home detail how the major capital project risks will be isolated, minimized, monitored, and controlled to prevent problems associated with investment cost, schedule, and performance.*</p>	<p>3 years 1 month 10 days</p>

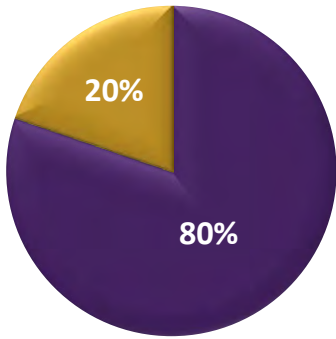
\* Responsibility for implementing Recommendation A.1.c was transferred from DoD CMO to AFRH.



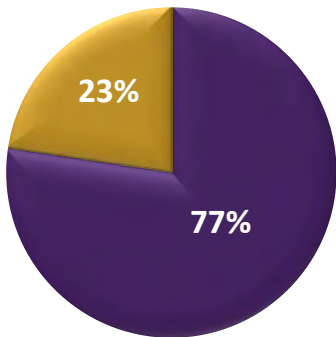
APPENDIX A

**Statistics – Classified**

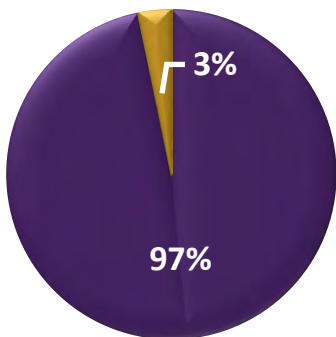
**Recommendations from 2018 Compendium**



**Recommendations from 2019 Compendium**

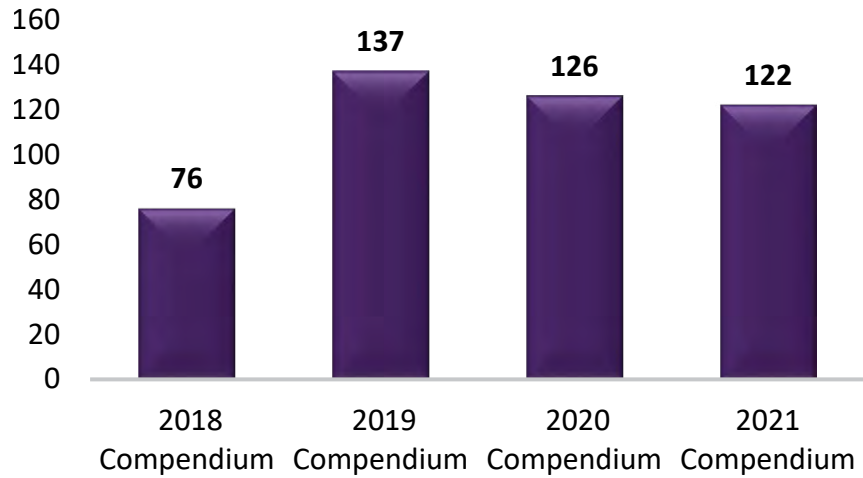


**Recommendations from 2020 Compendium**



Percentage remaining open as of 3/31/2021  
 Percentage closed as of 3/31/2021

**Open Recommendations**



Number of Unresolved Recommendations	11
Number of Recommendations Open Longer than 5 Years	50
Potential Monetary Benefits	–

# APPENDIX A

## Classified

Report No. DODIG-2015-057, "Title is Classified," December 19, 2014 (Full Report is Classified)

Recommendation Number and Text	Age of Recommendation on 3/31/21
Rec. A.2.1: Recommendation is Classified.	6 years 3 months 12 days
Rec. A.2.2: Recommendation is Classified.	6 years 3 months 12 days
Rec. A.2.3: Recommendation is Classified.	6 years 3 months 12 days
Rec. A.2.4: Recommendation is Classified.	6 years 3 months 12 days
Rec. A.2.5: Recommendation is Classified.	6 years 3 months 12 days
Rec. A.3.1: Recommendation is Classified.	6 years 3 months 12 days
Rec. A.3.2: Recommendation is Classified.	6 years 3 months 12 days
Rec. A.3.3: Recommendation is Classified.	6 years 3 months 12 days
Rec. A.3.4: Recommendation is Classified.	6 years 3 months 12 days
Rec. A.4.1: Recommendation is Classified.	6 years 3 months 12 days
Rec. A.4.2: Recommendation is Classified.	6 years 3 months 12 days
Rec. A.4.3: Recommendation is Classified.	6 years 3 months 12 days
Rec. A.4.4: Recommendation is Classified.	6 years 3 months 12 days
Rec. A.4.5: Recommendation is Classified.	6 years 3 months 12 days
Rec. A.4.6: Recommendation is Classified.	6 years 3 months 12 days
Rec. A.4.7: Recommendation is Classified.	6 years 3 months 12 days
Rec. A.4.8: Recommendation is Classified.	6 years 3 months 12 days
Rec. A.4.9: Recommendation is Classified.	6 years 3 months 12 days
Rec. A.4.10: Recommendation is Classified.	6 years 3 months 12 days
Rec. A.4.11: Recommendation is Classified.	6 years 3 months 12 days
Rec. B.1.1: Recommendation is Classified.	6 years 3 months 12 days
Rec. B.1.2: Recommendation is Classified.	6 years 3 months 12 days
Rec. B.1.3: Recommendation is Classified.	6 years 3 months 12 days
Rec. B.1.4: Recommendation is Classified.	6 years 3 months 12 days
Rec. B.1.5: Recommendation is Classified.	6 years 3 months 12 days
Rec. B.1.6: Recommendation is Classified.	6 years 3 months 12 days
Rec. B.1.7: Recommendation is Classified.	6 years 3 months 12 days
Rec. B.1.8: Recommendation is Classified.	6 years 3 months 12 days

# APPENDIX A

**Classified – Report No. DODIG-2015-057 (cont’d)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. B.1.9:</b> Recommendation is Classified.	6 years 3 months 12 days
<b>Rec. B.1.10:</b> Recommendation is Classified.	6 years 3 months 12 days
<b>Rec. B.1.11:</b> Recommendation is Classified.	6 years 3 months 12 days
<b>Rec. B.1.12:</b> Recommendation is Classified.	6 years 3 months 12 days
<b>Rec. B.1.13:</b> Recommendation is Classified.	6 years 3 months 12 days
<b>Rec. B.1.14:</b> Recommendation is Classified.	6 years 3 months 12 days
<b>Rec. B.2:</b> Recommendation is Classified.	6 years 3 months 12 days

**Report No. DODIG-2015-065, “Evaluation of the Defense Sensitive Support Program,” January 5, 2015  
(Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. A.1.a:</b> Recommendation is Classified.	6 years 2 months 26 days
<b>Rec. A.1.b:</b> Recommendation is Classified.	6 years 2 months 26 days
<b>Rec. A.2.a:</b> Recommendation is Classified.	6 years 2 months 26 days
<b>Rec. A.2.b:</b> Recommendation is Classified.	6 years 2 months 26 days
<b>Rec. A.2.c:</b> Recommendation is Classified.	6 years 2 months 26 days
<b>Rec. B.1.a:</b> Recommendation is Classified.	6 years 2 months 26 days
<b>Rec. B.1.b:</b> Recommendation is Classified.	6 years 2 months 26 days
<b>Rec. B.1.c:</b> Recommendation is Classified.	6 years 2 months 26 days
<b>Rec. B.2:</b> Recommendation is Classified.	6 years 2 months 26 days
<b>Rec. C.1.a:</b> Recommendation is Classified.	6 years 2 months 26 days
<b>Rec. C.1.b:</b> Recommendation is Classified.	6 years 2 months 26 days
<b>Rec. C.2.b.1:</b> Recommendation is Classified.	6 years 2 months 26 days
<b>Rec. C.2.b.2:</b> Recommendation is Classified.	6 years 2 months 26 days
<b>Rec. C.2.b.3:</b> Recommendation is Classified.	6 years 2 months 26 days
<b>Rec. C.2.b.4:</b> Recommendation is Classified.	6 years 2 months 26 days

# APPENDIX A

## *Classified (cont'd)*

**Report No. DODIG-2018-037, "Evaluation of the Long Range Strike-Bomber Program Security Controls,"  
December 1, 2017 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
Rec. A.1.a: Recommendation is Classified.	3 years 3 months 30 days
Rec. A.1.b: Recommendation is Classified.	3 years 3 months 30 days
Rec. A.2.a: Recommendation is Classified.	3 years 3 months 30 days
Rec. A.2.b: Recommendation is Classified.	3 years 3 months 30 days
Rec. B.1.a: Recommendation is Classified.	3 years 3 months 30 days
Rec. B.1.b: Recommendation is Classified.	3 years 3 months 30 days
Rec. B.1.c: Recommendation is Classified.	3 years 3 months 30 days
Rec. B.1.d: Recommendation is Classified.	3 years 3 months 30 days
Rec. B.1.e: Recommendation is Classified.	3 years 3 months 30 days
Rec. B.1.f: Recommendation is Classified.	3 years 3 months 30 days
Rec. C.1.a: Recommendation is Classified.	3 years 3 months 30 days
Rec. C.1.b: Recommendation is Classified.	3 years 3 months 30 days
Rec. C.1.c: Recommendation is Classified.	3 years 3 months 30 days
Rec. C.1.d: Recommendation is Classified.	3 years 3 months 30 days
Rec. C.1.d.1: Recommendation is Classified.	3 years 3 months 30 days
Rec. C.1.d.2: Recommendation is Classified.	3 years 3 months 30 days
Rec. C.1.e: Recommendation is Classified.	3 years 3 months 30 days

**Report No. DODIG-2018-047, "Follow-up to Under Secretary of Defense for Intelligence Evaluation,"  
December 18, 2017 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
Rec. B.2: Recommendation is Classified.	3 years 3 months 13 days
Rec. B.3: Recommendation is Classified.	3 years 3 months 13 days
Rec. B.6: Recommendation is Classified.	3 years 3 months 13 days
Rec. B.7: Recommendation is Classified.	3 years 3 months 13 days

# APPENDIX A

**Classified (cont'd)**

**Report No. DODIG-2018-057, “The [REDACTED] Financial Statement Compilation Adjustments and Information Technology Corrective Action Plan Validation Process,” December 21, 2017 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. A.1.a:</b> The DoD OIG recommended that the [REDACTED] Comptroller develop policies and implement procedures to ensure that Journal Vouchers contain valid General Ledger accounts, accurate financial information, and required approvals; include adequate documentation; and reflect correct dollar amounts.	3 years 3 months 10 days
<b>Rec. A.1.b:</b> The DoD OIG recommended that the [REDACTED] Comptroller implement quality control review procedures in accordance with the DoD Financial Management Regulation.	3 years 3 months 10 days
<b>Rec. B.1.a:</b> The DoD OIG recommended that the [REDACTED] Comptroller develop, document, and implement policy to validate that corrective actions have been effectively designed and implemented in accordance with Office of Management and Budget Circular A-123 criteria.	3 years 3 months 10 days
<b>Rec B.1.b:</b> The DoD OIG recommended that the [REDACTED] Comptroller test all corrected controls to ensure that deficiencies are corrected prior to closing Information Technology Corrective Action Plans and determine whether the controls are implemented correctly, operating as intended, and producing the desired outcome.	3 years 3 months 10 days
<b>Rec. B.1.c:</b> The DoD OIG recommended that the [REDACTED] Comptroller maintain an updated and accurate status for identified control deficiencies throughout the entire process.	3 years 3 months 10 days

**Report No. DODIG-2019-034, “Security Controls at DoD Facilities for Protecting Ballistic Missile Defense System Technical Information,” December 10, 2018 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 1.a:</b> The DoD OIG recommended that the [REDACTED] develop and implement a plan to correct the systemic weaknesses at the facilities, data centers, and laboratories that manage ballistic missile defense system technical information related to using multifactor authentication.*	2 years 3 months 21 days
<b>Rec. 1.a:</b> The DoD OIG recommended that the [REDACTED] develop and implement a plan to correct the systemic weaknesses at the facilities, data centers, and laboratories that manage ballistic missile defense system technical information related to using multifactor authentication.*	2 years 3 months 21 days
<b>Rec. 1.b:</b> The DoD OIG recommended that the [REDACTED] develop and implement a plan to correct the systemic weaknesses at the facilities, data centers, and laboratories that manage ballistic missile defense system technical information related to mitigating vulnerabilities in a timely manner.*	2 years 3 months 21 days
<b>Rec. 1.b:</b> The DoD OIG recommended that the [REDACTED] develop and implement a plan to correct the systemic weaknesses at the facilities, data centers, and laboratories that manage ballistic missile defense system technical information related to mitigating vulnerabilities in a timely manner.*	2 years 3 months 21 days

# APPENDIX A

**Classified – Report No. DODIG-2019-034 (cont’d)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<p><b>Rec. 1.c:</b> The DoD OIG recommended that the ████████ develop and implement a plan to correct the systemic weaknesses at the facilities, data centers, and laboratories that manage ballistic missile defense system technical information related to securing server racks.*</p>	<p>2 years 3 months 21 days</p>
<p><b>Rec. 1.c:</b> The DoD OIG recommended that the ████████ develop and implement a plan to correct the systemic weaknesses at the facilities, data centers, and laboratories that manage ballistic missile defense system technical information related to securing server racks.*</p>	<p>2 years 3 months 21 days</p>
<p><b>Rec. 1.d:</b> The DoD OIG recommended that the ████████ develop and implement a plan to correct the systemic weaknesses at the facilities, data centers, and laboratories that manage ballistic missile defense system technical information related to protecting and monitoring data on removable media.</p>	<p>2 years 3 months 21 days</p>
<p><b>Rec. 1.e:</b> The DoD OIG recommended that the ████████ develop and implement a plan to correct the systemic weaknesses at the facilities, data centers, and laboratories that manage ballistic missile defense system technical information related to implementing intrusion detection controls.*</p>	<p>2 years 3 months 21 days</p>
<p><b>Rec. 1.e:</b> The DoD OIG recommended that the ████████ develop and implement a plan to correct the systemic weaknesses at the facilities, data centers, and laboratories that manage ballistic missile defense system technical information related to implementing intrusion detection controls.*</p>	<p>2 years 3 months 21 days</p>
<p><b>Rec. 1.f:</b> The DoD OIG recommended that the ████████ develop and implement a plan to correct the systemic weaknesses at the facilities, data centers, and laboratories that manage ballistic missile defense system technical information related to requiring and maintaining justifications for accessing networks.*</p>	<p>2 years 3 months 21 days</p>
<p><b>Rec. 1.f:</b> The DoD OIG recommended that the ████████ develop and implement a plan to correct the systemic weaknesses at the facilities, data centers, and laboratories that manage ballistic missile defense system technical information related to requiring and maintaining justifications for accessing networks.*</p>	<p>2 years 3 months 21 days</p>
<p><b>Rec. 1.g:</b> The DoD OIG recommended that the ████████ develop and implement a plan to correct the systemic weaknesses at the facilities, data centers, and laboratories that manage ballistic missile defense system technical information related to implementing physical security controls.</p>	<p>2 years 3 months 21 days</p>
<p><b>Rec. 2.a:</b> The DoD OIG recommended that the ████████ enforce the use of multifactor authentication to access systems that process, store, and transmit ballistic missile defense system technical information or obtain a waiver that exempts the networks from using multifactor authentication.</p>	<p>2 years 3 months 21 days</p>
<p><b>Rec. 2.c:</b> The DoD OIG recommended that the ████████ develop and implement a process for identifying individuals who are authorized to use removable media on their networks and systems as well as procedures for monitoring the type and volume of data transferred to and from removable media.</p>	<p>2 years 3 months 21 days</p>



# APPENDIX A

**Classified – Report No. DODIG-2019-034 (cont'd)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 2.e:</b> The DoD OIG recommended that the [REDACTED] develop plans of action and milestones and take appropriate and timely steps to mitigate known vulnerabilities.	2 years 3 months 21 days
<b>Rec. 2.g:</b> The DoD OIG recommended that the [REDACTED] require facility security or maintenance personnel to physically verify, at least daily, that entry and exit doors operate as intended.	2 years 3 months 21 days
<b>Rec. 2.h:</b> The DoD OIG recommended that the [REDACTED] require data center managers to develop and implement procedures to secure server racks, validate that the racks remain locked, and control keys to the server racks.	2 years 3 months 21 days
<b>Rec. 2.i:</b> The DoD OIG recommended that the [REDACTED] require written justification as a condition for obtaining access to all networks and systems that process, store, and transmit ballistic missile defense system technical information.	2 years 3 months 21 days
<b>Rec. 2.j:</b> The DoD OIG recommended that the [REDACTED] maintain access request forms for all users with access to networks and systems that contain ballistic missile defense system technical information and verify, at least annually, the continued need for access.	2 years 3 months 21 days
<b>Rec. 3.b:</b> The DoD OIG recommended that the Chief Information Officer for the [REDACTED] implement intrusion detection capabilities on networks that maintain ballistic missile defense system technical information.	2 years 3 months 21 days
<b>Rec. 4.a:</b> The DoD OIG recommended that the Chief Information Officers for the [REDACTED] encrypt ballistic missile defense system technical information stored on removable media.	2 years 3 months 21 days
<b>Rec. 4.b:</b> The DoD OIG recommended that the Chief Information Officers for the [REDACTED] develop and implement a process for identifying individuals who are authorized to use removable media on their networks and systems as well as procedures for monitoring the type and volume of data transferred to and from removable media.*	2 years 3 months 21 days
<b>Rec. 4.b:</b> The DoD OIG recommended that the Chief Information Officers for the [REDACTED] develop and implement a process for identifying individuals who are authorized to use removable media on their networks and systems as well as procedures for monitoring the type and volume of data transferred to and from removable media.*	2 years 3 months 21 days
<b>Rec. 4.c:</b> The DoD OIG recommended that the Chief Information Officers for the [REDACTED] assess existing security camera placements to identify gaps in security coverage and install security cameras with [REDACTED] to monitor personnel movements throughout their facilities.	2 years 3 months 21 days
<b>Rec. 5.a:</b> The DoD OIG recommended that the Chief Information Officer for the [REDACTED] require data center managers to develop and implement procedures to secure server racks, validate that the racks remain locked, and control keys to the server racks.	2 years 3 months 21 days

# APPENDIX A

## **Classified – Report No. DODIG-2019-034 (cont’d)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 5.b:</b> The DoD OIG recommended that the Chief Information Officer for the [REDACTED] require written justification as a condition for obtaining access to all networks and systems that process, store, and transmit ballistic missile defense system technical information.	2 years 3 months 21 days

\* Because the DoD OIG directed this recommendation to more than one office, it counts as more than one recommendation for tracking purposes.

## **Report No. DODIG-2019-054, “Evaluation of Special Access Programs Industrial Security Program,” February 11, 2019 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 2.a:</b> Recommendation is Classified.	2 years 1 month 20 days
<b>Rec. 2.b:</b> Recommendation is Classified.	2 years 1 month 20 days
<b>Rec. 5:</b> Recommendation is Classified.	2 years 1 month 20 days
<b>Rec. 6.a:</b> Recommendation is Classified.	2 years 1 month 20 days

## **Report No. DODIG-2020-029, “Audit of a Classified Program,” November 13, 2019 (Full Report is Classified)**

Recommendation Number and Text	Age of Recommendation on 3/31/21
<b>Rec. 1.a:</b> Recommendation is Classified.	1 year 4 months 18 days
<b>Rec. 1.b:</b> Recommendation is Classified.	1 year 4 months 18 days
<b>Rec. 1.c:</b> Recommendation is Classified.	1 year 4 months 18 days
<b>Rec. 2.a:</b> Recommendation is Classified.	1 year 4 months 18 days
<b>Rec. 2.b:</b> Recommendation is Classified.	1 year 4 months 18 days
<b>Rec. 2.c:</b> Recommendation is Classified.	1 year 4 months 18 days
<b>Rec. 3.a:</b> Recommendation is Classified.	1 year 4 months 18 days
<b>Rec. 3.b:</b> Recommendation is Classified.	1 year 4 months 18 days
<b>Rec. 3.c:</b> Recommendation is Classified.	1 year 4 months 18 days
<b>Rec. 4.c:</b> Recommendation is Classified.	1 year 4 months 18 days
<b>Rec. 4.d:</b> Recommendation is Classified.	1 year 4 months 18 days
<b>Rec. 4.e:</b> Recommendation is Classified.	1 year 4 months 18 days

# APPENDIX A

**Classified (cont'd)**

Report No. DODIG-2020-039, "Combatant Command Integration of Space Operations Into Military Deception Plans," December 13, 2019 (Full Report is Classified)

Recommendation Number and Text	Age of Recommendation on 3/31/21
Rec. 2.a: Recommendation is Classified.	1 year 3 months 18 days
Rec. 2.b: Recommendation is Classified.	1 year 3 months 18 days
Rec. 3: Recommendation is Classified.	1 year 3 months 18 days
Rec. 4: Recommendation is Classified.	1 year 3 months 18 days



## Open Recommendations from Secret Reports

This appendix contains information about open recommendations made in Secret reports. For access, please email [RFUNET@dodig.smil.mil](mailto:RFUNET@dodig.smil.mil).

## APPENDIX C

### **Open Recommendations from Top Secret Reports**

This appendix contains information about classified open recommendations.

For access, please email [RFUNET@dodig.smil.mil](mailto:RFUNET@dodig.smil.mil).

## Other Classification Open Recommendations

This appendix contains information about other classified open recommendations. For access, please email [RFUNET@dodig.smil.mil](mailto:RFUNET@dodig.smil.mil).



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