SEMIANNUAL REPORT TO
CONGRESS

October 1, 2016 through March 31, 2017

GPO

U.S. GOVERNMENT PUBLISHING OFFICE
Office of Inspector General

ABOUT THE GOVERNMENT PUBLISHING OFFICE...

GPO is the Federal Government's primary resource for producing, procuring, cataloging, indexing, authenticating, disseminating, and preserving the official information products of the U.S. Government in both digital and tangible formats. GPO is responsible for producing and distributing information products and services for all three branches of the Federal Government, including U.S. passports for the Department of State as well as official publications of Congress, the White House, and other Federal agencies. In addition to publication sales, GPO provides for permanent public access to Federal Government information at no charge through GPO's Federal Digital System *(FDsys [www.fdsys.gov])* and through partnerships with approximately 1,200 libraries nationwide participating in the Federal Depository Library Program (FDLP).

AND THE OFFICE OF INSPECTOR GENERAL ...

The Office of Inspector General (OIG) helps GPO effectively carry out its responsibilities by promoting economy, efficiency, and effectiveness in the administration of GPO programs and operations, designed to prevent and detect fraud, waste, and abuse in those programs and operations.

The GPO Inspector General Act of 1988, title II of Public Law 100-504 (October 18, 1988) establishes the responsibilities and duties. OIG, located in Washington, D.C., has 22 employees and is organized into 2 line elements—the Office of Investigations and the Office of Audits and Inspections. Through audits, evaluations, investigations, inspections, and other reviews, OIG conducts independent and objective reviews of Agency programs and helps keep the Director and Congress informed of any problems or deficiencies relating to administering and operating GPO.

Online Availability

This report is available on our Web site: https://www.gpo.gov/oig/

Message from the **INSPECTOR GENERAL**
U.S. GOVERNMENT PUBLISHING OFFICE

I am pleased to submit the Semiannual Report to Congress for the period ending March 31, 2017. This report is a compilation of our work designed to promote economy, efficiency, and effectiveness in the administration of—as well as prevent and detect—fraud, waste, and abuse in GPO programs and operations. The highlights of those activities and discussed in this report are described according to our strategic goals, as outlined in the OIG Strategic Plan for Fiscal Years (FYs) 2016-2019.
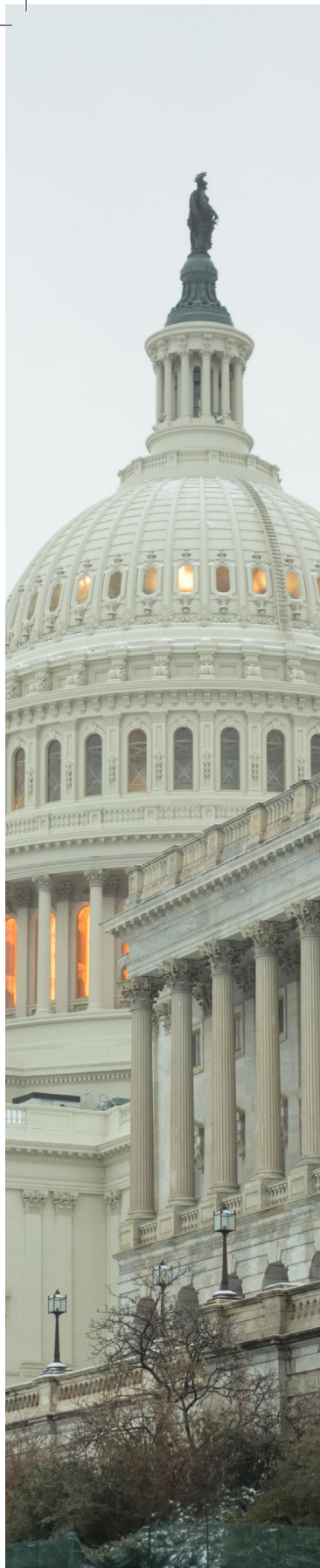
OIG issued 15 reports on GPO programs and operations. OIG investigations, inspections, audits, evaluations, and other reviews identified approximately $13.4 million in monetary impact. We made 30 program improvement recommendations and 23 suspension and/or debarment referrals to management.

The accomplishments are the result of the dedicated work of OIG's professional staff and their commitment to ensuring the efficiency and effectiveness of GPO programs. Our success, in large part, is the result of the continued support of the Director for GPO and GPO senior managers as well as interested congressional committees and Members of Congress.

Michael A. Raponi

Inspector General

TABLE OF CONTENTS

SELECTED STATISTICS

Investigations

Investigative cost efficiencies, restitutions, fines, penalties, and funds put
to better use $22,527

Complaints opened 21

Complaints closed..18

Investigative cases opened 10

Investigative cases referred for prosecution.. 0

Investigative cases referred for administrative/civil action 6

Investigative cases closed 8

Suspension and/or debarment referrals..23

Subpoenas issued.. 7

Referrals to GPO management...6

Audits and Inspections

Audits and other reports issued 8

Questioned costs, funds put to better use, and other
monetary impact... $13.4 million

Number of Recommendations made...30

MANAGEMENT CHALLENGES

The Reports Consolidation Act of 2000 requires that OIG identify and report annually on the most serious management challenges the Agency faces. To identify management challenges, we routinely examine past audit, inspection, and investigative work, as well as include reports where corrective actions have yet to be taken; assess ongoing audit, inspection, and investigative work to identify significant vulnerabilities; and analyze new programs and activities that could pose significant challenges because of their breadth and complexity. We believe GPO faces the following challenges:

- Keeping focus on its mission of information dissemination

- Addressing emerging workforce skills

- Improving the Enterprise Architecture (EA) and infrastructure to support enterprise-wide as well as GPO's FDsys transformation

- Securing Information Technology (IT) systems and protecting related information assets

- Improving Print Procurement Programs

For each challenge, OIG presents the challenge and an assessment of GPO's progress in addressing that challenge.

Changes from Previous Reporting Period

When GPO attains significant progress toward resolving an issue identified as a management challenge, OIG removes the challenge. The following key criteria are considered in whether to remove a management challenge: (1) demonstrated strong leadership commitment to addressing the issue, (2) ability to address the problem, (3) plan for how corrective measures will be implemented, (4) program to monitor the corrective action, and (5) demonstrated progress in the implementation of the corrective measures.

No changes were made to the Top Management Challenges from the previous reporting period.

Challenge 1: Keeping Focus on Its Mission of Information Dissemination

Overview: The transformation of GPO has been underway for several years. The trend of producing Government documents through electronic publishing technology and providing the public with Government documents through the Internet has affected all of the programs at GPO.

Challenge: Making operational and cultural changes that will keep GPO relevant and efficient while at the same time meeting the needs of its customers.

GPO's Progress: Senior management continues its focus on advancing GPO's transformation by identifying and developing technological innovations that support its mission.

Challenge 2: Addressing Emerging Workforce Skills

Overview: As more Government information goes digital, GPO is likely to be confronted with a gap in workforce skills. GPO of today as well as tomorrow is clearly being defined by digital technology, and digital technology itself has radically changed the way printing is performed. Another important product for which GPO is responsible is producing blank ePassports for the Department of State. The ePassport incorporates electronic devices (chips and antennae array) upon which important information such as biometric identification data are maintained. The ePassport also requires enhanced security features making it one of the most secure identification credentials in the world. GPO has also developed a line of secure identification "smart cards" that help support credential requirements of the Department of Homeland Security and other agencies.

Challenge: Developing effective strategies for addressing emerging issues related to potential labor and skills shortages as GPO continues its transformation to a digital- based platform.

GPO's Progress: GPO is continuing its efforts in workforce skill gaps, core competencies, and making efforts to identify measurable goals and targets.

Challenge 3: Improving the Enterprise Architecture and Infrastructure to Support Enterprise-Wide and FDsys Transformation

Overview: GPO relies extensively on computerized information systems and technology to support its transformation. The Government classifies EA as an IT function and defines the term not as the process of examining the enterprise but as the documented results of that examination. Specifically, chapter 36, title 44 of the United States Code defines EA as a "strategic information base" that defines the mission of an agency and describes the technology and information needed to perform that mission, along with descriptions of how

the architecture of the organization should be changed in order to respond to changes in the mission.

Challenge: Existing EA and IT infrastructures need to be able to support the changes and increasing demands that GPO anticipates.

GPO's Progress: GPO continues to address its defined EA and IT infrastructure framework.

Challenge 4: Securing Information Technology Systems and Protecting Related Information Assets

Overview: GPO systems contain vital information central to the GPO mission and effective administration of its programs. Providing assurances that IT systems will function reliably while safeguarding information assets—especially in the face of new security threats and IT developments—will challenge Federal agencies for years to come.

Challenge: Safeguarding information assets is a continuing challenge for Federal agencies, including GPO. Compromise of GPO's data or systems could cause substantial harm to GPO, negatively impact operations, and lead to theft or other fraudulent use of information.

GPO Progress: GPO continues to identify and address risks to cyber assets, information, and resolving identified deficiencies.

Challenge 5: Improving Print Procurement Programs

Overview: GPO is the principal agent for almost all Government printing. Title 44 requires that GPO accomplish any printing, binding, and blank-book work for Congress, executive branch offices, the Judiciary—other than the Supreme Court of the United States—and every Executive Office, independent office, and establishment of the Government. The only exceptions include: (1) classes of work that the Joint Committee on Printing (JCP) considers urgent or necessary to be completed elsewhere, (2) printing in field printing plants operated by an Executive Office, independent office, or establishment, and (3) procurement of printing by an Executive Office, independent office, or establishment from allotments for contract field printing, if approved by the JCP.

Challenge: GPO's identification of title 44 violations and working with executive branch agencies to prevent a loss of documents for FDLP as well as preventing potential higher printing cost as a result of inefficient printing by Executive Office agencies.

GPO's Progress: GPO continues to address contract specifications and publishing needs.

TRANSFORMING GPO INTO A DIGITAL PLATFORM

OIG Strategic Goal 1:

GPO is increasingly dependent on IT to efficiently and effectively deliver its programs and provide meaningful and reliable financial reporting. As a result, OIG will assist GPO in meeting its strategic management goals related to transforming itself into a digital information platform and provider of secure documents to satisfy changing customer requirements in the present and in the future.

Information Technology—Fiscal Year 2016 Financial Statements

In connection with the audit of GPO FY 2016 financial statements, an assessment of IT controls was performed. Audit results indicated deficiencies in the areas of access controls, segregation of duties, and contingency planning. Those conditions were generally the result of GPO's resource constraints and competing priorities.

Access Controls. We noted controls could be strengthened in the new General Support System (GSS) administrator process and in the GPO Oracle Financial [GBIS] separated user process.

Segregation of Duties. We noted the GBIS segregation of duties policy could be strengthened.

Contingency Planning. The contingency plan for the GSS was not yet finalized, approved, and tested.

Recommendations: The independent audit firm made six recommendations for strengthening access controls, segregation of duties, and contingency planning. (Information Technology—FY 2016 Financial Statements, Report No. 17-05, January 19, 2017)

Information Technology—Penetration Testing

Penetration testing was conducted to identify potential security weaknesses in GPO's Web Application-GPO.gov. The testing was designed to simulate real-world attacks and test security policy compliance. Testing disclosed opportunities exist for strengthening technical controls.

Recommendations: OIG made three recommendations for strengthening cybersecurity controls. Management concurred with the recommendations and has implemented or planned necessary corrective actions for addressing the identified vulnerabilities.(Penetration Testing of GPO's Web Application-GPO.gov, Report No. 17-09, March 17, 2017).

OPERATIONAL AND FINANCIAL MANAGEMENT

OIG Strategic Goal 2:

Promote economy, efficiency, and effectiveness in GPO operations by helping managers ensure financial responsibility. Establishing and maintaining sound financial management is a top priority for GPO because managers need accurate and timely information to make decisions about budget, policy, and operations.

### Financial Management: Unbilled Congressional Publication Jackets

OIG conducted a review to determine the GPO framework for timely accounting and closing out of congressional publication products.

As of February 3, 2017, GPO had 1,084 unbilled jackets associated with congressional publication products, dating back to 2012. More than 80 percent of the unbilled jackets pertained to the printing of Congressional Hearings or the Congressional Serial Set. Officials stated that in many instances GPO did not receive the final transcript for Congressional Hearings. Agency officials also stated that because printing the Serial Set workload is not a priority, jackets sometimes remain open and unbilled for years. The 1,084 unbilled jackets totaled approximately $4 million for which GPO could not close out. We attributed the unbilled jackets to a lack of an approved policy and an effective process for monitoring and following up on unbilled jackets.

Recommendations: We recommended that the Chief Financial Officer work with the offices of Official Journals of Government and Plant Operations to: (1) develop and implement a process by which unbilled jackets can be monitored effectively and (2) clear the unbilled jackets by taking necessary action on the 1,084 unbilled jackets. Management concurred with the recommendations and planned the necessary actions. (Financial Management: Unbilled Congressional Publication Jackets (Report Number 17-08, March 28, 2017).

U.S. Government Publishing Office FY 2016 Independent Auditor's Report

OIG contracted with an independent audit firm to audit GPO's financial statements. In the opinion of the independent auditor, the consolidated financial statements presented fairly, in all material respects, the financial position of GPO as of September 30, 2016, and 2015, and the results of its operations and cash flows for the years then ended in accordance with U.S. generally accepted accounting principles.
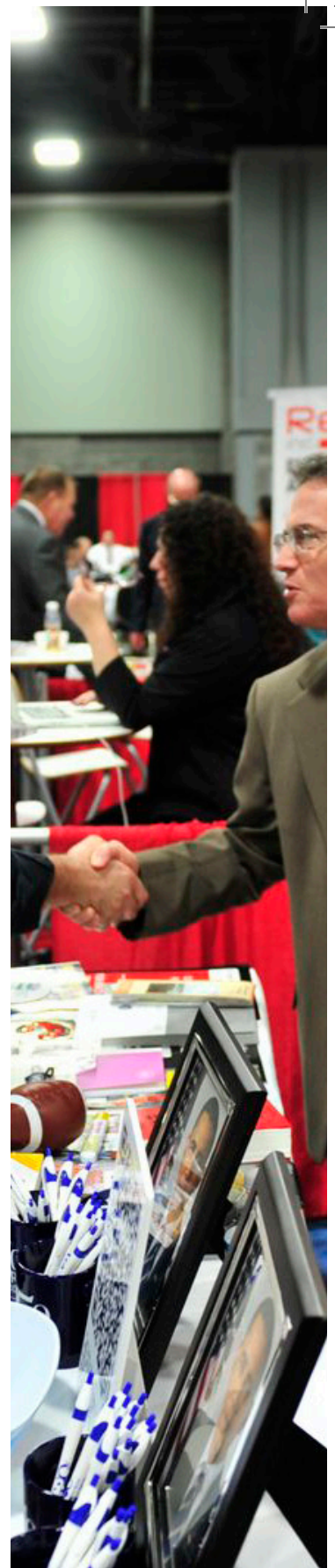
The independent audit firm's opinion on GPO's financial statements was unmodified. The audit firm's consideration of internal control, however, resulted in one significant deficiency related to controls over certification and approval of employee timesheets. A significant deficiency is a deficiency, or combination of deficiencies, in internal control that is less severe than a material weakness, yet important enough to merit attention by those charged with governance.

Recommendations: The independent audit firm made recommendations to address the significant deficiency. Management concurred with the recommendations and planned the necessary actions. (U.S. Government Publishing Office FY 2016 Independent Auditor's Report, Report No. 17 03, December 16, 2016).

Management Advisory Comments

In conjunction with the FY 2016 financial statement audit, a management letter was issued to GPO reporting findings not included in the consolidated financial audit report. The following five areas with recommendations were reported.

- Improper recording of fixed assets disposals

- Insufficient control activities and review within acquisition services

- Processing of personnel actions

- Insufficient controls over inventory held by others

- Insufficient controls over financial reporting

Recommendations: We made seven recommendations to improve internal controls or other operating efficiencies associated with financial accounting. (Management Letter FY 2016 Financial Statements, Report No. 17 04, January 19, 2017).

PRINT PROCUREMENT PROGRAMS

OIG Strategic Goal 3:

Strengthen GPO's print procurement programs that support other Government entities by providing quality and timely assessments.

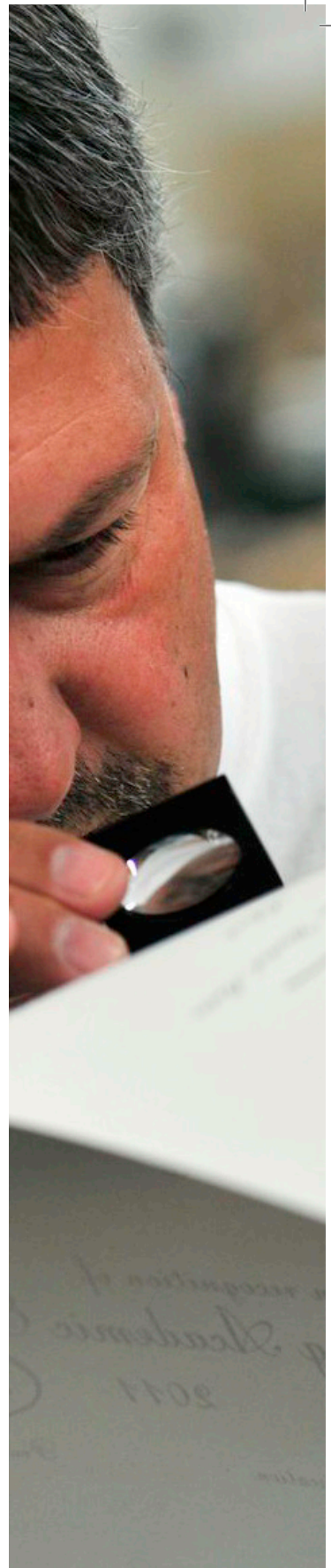### Florida-Based Print Procurement Contractor Made False Representations

OIG substantiated allegations that a GPO contractor disrupted a court trial and raised concerns about the integrity of the U.S. Attorney's Office, Southern District of Florida, when the GPO contractor improperly provided documents—produced under a GPO litigation support services contract—to defense counsel. Since July 2010, contract awards totaled $195,082. OIG referred the case to the GPO Suspending and Debarring Official. (Case Number 16-0018-I).

Ohio-Based Print Procurement Contractor Paid Amounts in Excess of Contract Terms and When Questioned was Untruthful with its Explanation for the Overcharges

A Ohio-based contractor violated contract requirements when it claimed and was paid amounts in excess of contract terms when it overcharged for tags ordered under GPO Program 2061-S and when questioned was untruthful with the explanation for the overcharges. From January 2009 through July 2016, the contractor submitted 671 invoices to GPO totaling $1,413,388.55. OIG referred the case to the GPO Suspending and Debarring Official. (Case Number 14-0016-I).

California-Based Print Procurement Contractor Violated Contract Requirements and Attempted to Mislead a GPO Contracting Official

OIG substantiated allegations that a California-based contractor attempted to mislead a GPO contracting official claiming it was a licensed digital video disc (DVD) replicator when in fact it was not and therefore not permitted to perform DVD replication services required by GPO awarded contracts. In addition, the investigation determined that a total of $18,616.05 was paid to the contractor for six contracts produced in violation of GPO Contract Terms, prohibition on subcontracting the predominant production function. OIG referred the case to the GPO Suspending and Debarring Official. (Case Number 17-0001-I).

Kentucky-Based Print Procurement Contractor Violated Independent Price Determination Requirements and Made False Representations

OIG substantiated allegations of collusive bidding by two contractors within GPO's printing procurement program. The investigation revealed a lack of independent price determination as well as the lack of business integrity and honesty. Since October 2014, one contractor invoiced GPO for a total of $107,172.00 and received $105,011.40. The second contractor has not been awarded any contracts since registering with GPO in 2017. OIG referred the case to the GPO Suspending and Debarring Official. (Case Number 17-0010-I).

Virginia-Based Print Procurement Contractor Made False Representations

A Virginia-based contractor provided false statements to GPO when it misrepresented having a required backup facility capable of producing documents and forms in a timely manner in the event of some disruption (such as act of God or labor disagreements) when in fact it did not. From January 2012 through March 2016, the contractor submitted 72 invoices to GPO and was paid approximately $1.1 million. OIG referred the case to the GPO Suspending and Debarring Official. (Case Number 17-0002-I).

PROGRAM AND OPERATIONAL INTEGRITY
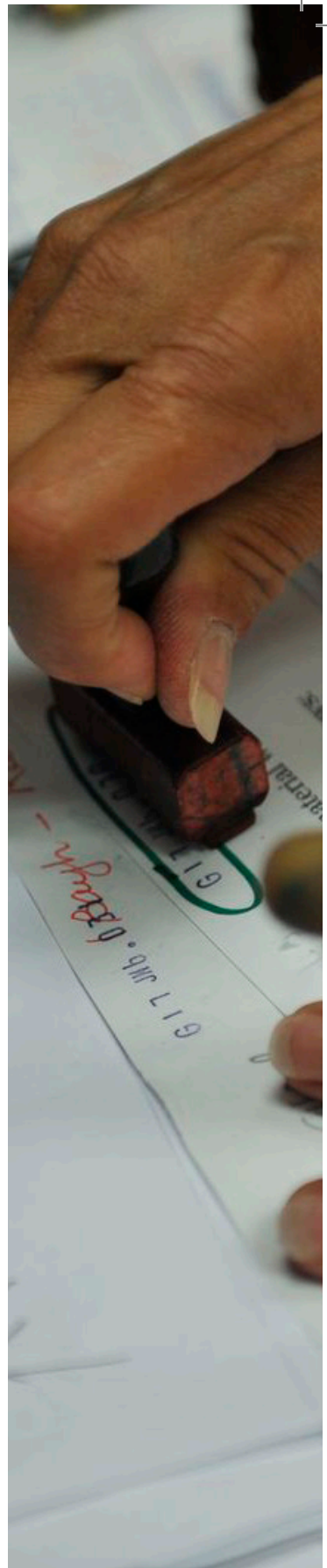
Strategic Goal 4:

Reduce improper payments and related vulnerabilities by helping GPO managers reduce payment errors, waste, fraud, and abuse in the major GPO programs and operations while continuing to ensure that programs serve and provide access to their intended parties.

Review of Claim for Payment (Jacket Number 645-185)

OIG conducted a review of Jacket Number 645-185 (Program 3583-S) awarded to determine whether termination for convenience was processed in accordance with GPO's Printing Procurement Regulation (PPR), and assess whether claimed costs incurred were reasonable, allowable, and allocable as GPO's Contract Cost Principles and Procedures require. We initiated the review after Customer Services informed us of this settlement proposal.

Our work revealed the contractor did not maintain documentation that would sufficiently support that costs incurred were reasonable, allowable, and allocable. OIG questioned claimed costs totaling $61,904.16 based on the lack of documented support of the claim. We attributed the questioned costs to a lack of cost accounting policies, procedures, and practices and contract oversight by all parties.

Recommendation: We recommended when terminating contracts that the Managing Director for Customer Services reiterate contractor responsibility to maintain records, including supporting documentation, that demonstrate any costs claimed were actually incurred, allocable to the contract, and complied with applicable cost principles. Management concurred with the recommendations and planned the necessary actions. (Review of Claim for Payment (Jacket Number 645-185), Report Number 17-07, March 17, 2017).

STEWARDSHIP OVER OFFICIAL PUBLICATIONS

OIG Strategic Goal 5:

Increase the efficiency and effectiveness with which GPO managers exercise stewardship over official publications from all three branches of the Federal Government.

Evaluation of Cybersecurity Controls of Select Information Systems

Penetration testing was conducted to simulate real-world attacks to identify vulnerabilities in security features of the application, system, network, or to identify operational weaknesses in the process or with technical countermeasures. Testing disclosed opportunities exist for strengthening technical controls for the following systems:

- Automated PDF Signing System

- Web Application-FDLP.gov

Recommendations: OIG made eight recommendations to strengthen cybersecurity controls with the two systems. Management concurred with the recommendations and has implemented or planned necessary corrective actions for addressing the vulnerabilities. (Information Security: Penetration Testing of GPO's Automated PDF Signing System, Report No. 17-02, February 1, 2017 and Information Security: Penetration Testing of GPO's Web Application-FDLP.gov, Report No. 17-06, March 3, 2017).

ABBREVIATIONS AND ACRONYMS

CIGIE   Council of Inspectors General on Integrity and Efficiency

DVD   Digital Video Disc

EA   Enterprise Architecture

FDLP   Federal Depository Library Program

FDsys   Federal Digital System

FY   Fiscal Year

GBIS   GPO Business Information System

GPO   Government Publishing Office

GSS   General Support System

IG   Inspector General

IT   Information Technology

JCP   Joint Committee on Printing

OIG   Office of Inspector General

PPR   Printing Procurement Regulation

GLOSSARY OF TERMS

Criminal Complaint
A formal charging document that sets out the facts and cause of action (establishing probable cause) that the government alleges are sufficient to support a claim against the charged party (the defendant).

Finding
Statement of problem identified during an audit or inspection typically having a condition, cause, and effect.

Follow-Up
The process that ensures prompt and responsive action once resolution is reached on an Inspector General (IG) recommendation.

Funds Put To Better Use
An IG recommendation that funds could be used more efficiently if management took actions to implement and complete the audit or inspection recommendation.

Indictment
The written formal charge of a crime by the grand jury, returned when 12 or more grand jurors vote in favor of it.

Information
The written formal charge of crime by the United States Attorney, file against an accused who, if charged with a serious crime, must have knowingly waived the requirements that the evidence first be presented to a grand jury.

Management Implication Report
A report to management issued during or at the completion of an investigation identifying systemic problems or advising management of significant issues that require immediate attention.

Material Weakness
A significant deficiency, or combination of significant deficiencies, that results in more than a remote likelihood that a material misstatement of the financial statements will not be prevented or detected.

Questioned Cost

A cost the IG questions because of an alleged violation of a law, regulation, contract, cooperative agreement, or other document governing the expenditure of funds; such cost is not supported by adequate documentation; or the expenditure of funds for the intended purposes was determined by the IG to be unnecessary or unreasonable.

Recommendation

Actions needed to correct or eliminate recurrence of the cause of the finding identified by the IG to take advantage of an opportunity.

Resolved Audit/Inspection

A report containing recommendations that have all been resolved without exception but not yet implemented.

Unsupported Costs

Questioned costs not supported by adequate documentation.

APPENDIX A

Index of Reporting Requirements under the IG Act of 1978

REPORTING	REQUIREMENT	PAGE
Section 4(a)(2)	Review of Legislation and Regulation	None
Section 5(a)(1)	Significant Problems, Abuses, and Deficiencies	All
Section 5(a)(2)	Recommendations with Respect to Significant Problems, Abuses, and Deficiencies	All
Section 5(a)(3)	Prior Significant Recommendations on Which Corrective Action Has Not Been Completed	19
Section 5(a)(4)	Matters Referred to Prosecutive Authorities	25
Section 5(a)(5) and Section 6(b)(2)	Summary of Instances Where Information Was Refused	None
Section 5(a)(6)	List of Audit Reports	6-12
Section 5(a)(7)	Summary of Significant Reports	All
Section 5(a)(8)	Statistical Tables on Management Decisions on Questioned Costs	22
Section 5(a)(9)	Statistical Tables on Management Decisions on Recommendations That Funds Be Put to Better Use	22

APPENDIX A (Continued)

REPORTING	REQUIREMENT	PAGE
Section 5(a)(10)	Summary of Each Audit Report over 6 Months Old for Which No Management Decision Has Been Made	20
Section 5(a)(11)	Description and Explanation of Any Significant Revised Management Decision	None
Section 5(a)(12)	Information on Any Significant Management Decisions With Which the Inspector General Disagrees	None
Section 5(a)(17)	Statistical Tables on Investigative Reports Issued; Persons Referred to Department of Justice, State, and Local Prosecuting Authorities for Criminal Prosecution; and Indictments and Criminal Informations	25
Section 5(a)(18)	A Description of Metrics Used for Developing the Data for the Statistical Tables under Paragraph (17)	14
Section 5(a)(19)	Investigations Involving Senior Government Employees Where Allegations of Misconduct Were Substantiated	23
Section 5(a)(20)	Description of Any Instance of Whistleblower Retaliation	23
Section 5(a)(21)	Description of Any Attempt by the Agency to Interfere With the Independence of the OIG	23
Section 5(a)(22)	Inspections, Evaluations, and Audits, and Investigations Involving Senior Government Employees That Were Not Disclosed	23
Section 3(d)	Peer Review	26

APPENDIX B

Final Reports Issued and Grouped by OIG Strategic Goal

REPORT NAME	NUMBER OF RECOMMENDATIONS	QUESTIONED COSTS	FUNDS PUT TO BETTER USES ($)	OTHER MONETARY IMPACT ($)
Transforming GPO into a Digital Platform				
Information Technology: FY 2016 Financial Statements (Report No. 17-05)	7			
Information Security: Penetration Testing of GPO's Web Application-GPO.gov (Report No. 17-09)	3			
Operational and Financial Management				
U.S. Government Publishing Office FY 2016 Independent Auditor's Report - Consolidated Financial Statements Audit (Report No. 17-03)	2			
Management Letter for the U.S. Government Publishing Office FY 2016 - Consolidated Financial Statements Audit (Report No. 17-04	7	$7,993,651		$1,281,480
Financial Management: Unbilled Congressional Publication Jackets (Report No. 17-08)	2		$4,036,361	

APPENDIX B (Continued)

REPORT NAME	NUMBER OF RECOMMENDATIONS	QUESTIONED COSTS	FUNDS PUT TO BETTER USES ($)	OTHER MONETARY IMPACT ($)
Program and Operational Integrity				
Review of Claim for Payment (Jacket Number 645-185) (Report No. 17-07)	1	$61,904		
Stewardship over Official Publications				
Information Security: Penetration Testing of GPO's Automated PDF Signing System (Report No. 17-02)	6			
Information Security: Penetration Testing of GPO's Web Application-FDLP.gov (Report No. 17-06)	2			

APPENDIX C

Unresolved Audit Recommendations More Than 6 Months Old
OIG Negotiating with Agency

DATE ISSUED	NAME OF AUDIT	REPORT NUMBER	NUMBER OF RECOMMENDATIONS	COSTS ($)
None				

APPENDIX D

**Prior Recommendations on Which Corrective Action
Has Not Been Completed in More Than 1 Year**

DATE ISSUED	NAME OF AUDIT	REPORT NUMBER	NUMBER OF RECOMMENDATIONS	MONETARY IMPACT ($)
Nov. 16, 2011	Final Report on Audit of Selected Aspects of GPO Time and Attendance and Payroll Administration	12-01	1	$372,717
Mar. 24, 2014	Changes Can Provide GPO Better Information on Establishing Billing Rates for Congressional Hearings (Product Code 83)	14-07	1	
Mar. 25, 2014	Information Technology Professional Services—Oracle Software	14-08	1	$2,760,000
Aug. 1, 2014	Acquisition of U.S. Passport Covers	14-14	2	$15,700,000
Mar. 20, 2015	Development of a Secure Credential Production System	15-02	2	
Mar. 27, 2015	Improved Contract Administration Needed for the Acquisition of U.S. Passport Paper (Visa)	15-09	3	

APPENDIX D (Continued)

DATE ISSUED	NAME OF AUDIT	REPORT NUMBER	NUMBER OF RECOMMENDATIONS	MONETARY IMPACT ($)
Mar. 2, 2016	Information Security: Penetration Testing of GPO's ePassport System	16-07	1	
Mar. 30, 2016	Procurement of End Sheets Used in the Production of U.S. Passports	16-10	1	$5,038,506
Mar. 30, 2016	Independent Verification and Validation of GPO's Composition System Replacement	16-11	20	$742,952
Jul. 5, 2016	Information Security: Penetration Testing of GPO's GPO's Integrated Library System (ILS)	16-18	8	
Sep. 29, 2016	Information Technology: Oracle Maintenance and Support Licenses	16-19	3	$7,076,179
Sep. 29, 2016	Organizational Transformation: Composition System Replacement	16-21	2	$4,600,000
Sep. 30, 2016	Cloud Computing: Transition of GPO's Integrated Library System	16-22	1	
		Total	46	$36,290,354

APPENDIX E

Audit Reports with Recommendations That Funds Be Put To Better Use, Questioned Costs, and Other Monetary Impact

		FUNDS PUT TO BETTER USE, QUESTIONED COSTS, AND OTHER MONETARY IMPACT ($)
Reports for which no management decisions were made by beginning of reporting period	0	0
Reports issued during reporting period	8	$13,373,396
Subtotal	**8**	**$13,373,396**
Management Letter for the U.S. Government Publishing Office FY 2016 - Consolidated Financial Statements Audit, Report No. 17-04, January 19, 2017	1	$9,275,131
Review of Claim for Payment (Jacket Number 645-185), Report No. 17-07, March 17, 2017	1	$61,904
Financial Management—Unbilled Congressional Publication Jackets, Report No. 17 08, March 28, 2017	1	$4,036,361

APPENDIX F

Investigations Case Summary

ITEM	QUANTITY
Total New Hotline/Other Allegations Received during Reporting Period	21
Preliminary Investigations (Complaints) Closed	18
Complaint Referrals to Other Agencies	0
Complaint Referrals to Office of Audits and Inspections	0
Investigations Opened by Office of Investigations during Reporting Period	10
Investigations Open at Beginning of Reporting Period	44
Investigations Closed during Reporting Period	8
Investigations Open at End of Reporting Period	53
Referrals to GPO Management (Complaints and Investigations for Corrective Action or Information Purposes)	6

APPENDIX F (Continued)

CURRENT OPEN INVESTIGATIONS	NUMBER	PERCENT
Procurement/Contract Fraud	29	55
Employee Misconduct	10	19
Workers' Compensation Fraud	0	0
Information Technology/Computer Crimes	0	0
Proactive Initiatives	9	17
Other Investigations	5	9
Total	**53**	**100.0**

Whistle blower Retaliation Investigations

OIG has two whistle blower retaliation investigations open. One pertains to similar allegations pending a hearing with the Equal Employment Opportunity Commission (EEOC). The second pertains to similar allegations associated with on going litigation.

APPENDIX G

Investigations Productivity Summary

ITEM	QUANTITY
Investigative cost efficiencies, restitutions, recoveries, fines, and penalties, Funds Put to Better Use	$22,527
Arrests, including summons in lieu of arrest	1
Persons referred to Federal prosecutors	0
Persons accepted for Federal prosecution	0
Persons declined for Federal prosecution	0
Persons referred to state/local prosecutors	0
Persons accepted for state/local prosecution	1
Persons declined for state/local prosecution	0
Indictments/Information/Complaints	1
Convictions	0
Guilty Pleas/Deferred Prosecution Agreements	0
Probation (months)	0
Jail Time (days)	0
Criminal Fines, Fees, Recovery, and/or Restitution	$0
Persons referred for civil action	0
Persons accepted for civil action	0
Persons declined for civil action	0
Civil Settlements	0
Civil Fines, Fees, Recovery, and/or Restitution	$0

Total Number of Investigative Reports Issued	6
Referrals to GPO Management for Possible Corrective Action and or Information Purpose	6
Employee Corrective Action	0
Agency/Process Corrective Action	1
Business/Individual Referrals to GPO Suspending and Debarring Official for Suspension and/or Debarment	23
Suspensions	0
Debarment	0
Other Suspending and Debarring Official Response/Action	0
Employee Suspension/Termination	0

APPENDIX H

Peer Review Reporting

The following meets the requirement under section 989C of the Dodd-Frank Wall Street Reform and Consumer Protection Act (Public Law 111-203) that IGs include peer review results as an appendix to each semiannual report. Federal audit functions can receive a rating of "pass," "pass with deficiencies," or "fail." Federal investigation functions can receive a rating of "compliant" or "noncompliant."

Peer Review of GPO-OIG Audit Function

The Nuclear Regulatory Commission OIG reviewed the system of quality control for the audit organization of the GPO OIG in effect for the year ended September 30, 2013. GPO OIG received a peer review rating of pass with deficiencies.

APPENDIX H (Continued)

After addressing the deficiencies, GPO OIG entered into a memorandum of understanding with the Library of Congress OIG to conduct a review of the system of quality control for the audit organization of the GPO OIG. The Library of Congress OIG completed its review and provided a letter stating nothing came to their attention that would indicate that the GPO OIG would not receive a rating of pass in its upcoming peer review.

Peer Review of GPO OIG Investigative Function
The U.S. Pension Benefit Guaranty Corporation OIG conducted the most recent peer review of the investigative function at GPO in May 2016. OIG received a rating of compliant with the Council of Inspectors General on Integrity and Efficiency (CIGIE) quality standards established and the applicable Attorney General guidelines.

A copy of both peer review reports can be viewed at http://www.gpo.gov/oig/

REPORT FRAUD, WASTE, AND ABUSE

Report violations of law, rules, or agency regulations, mismanagement, gross waste of funds, abuse of authority, danger to public health and safety related to GPO contracts, programs, and/or employees.

U.S. Government Publishing Office
Office of Inspector General
P.O. Box 1790
Washington, DC 20013-1790
Email: gpoighotline@gpo.gov
Fax: 202-512-1030
Hotline 1-800-743-7574