



U.S. GOVERNMENT PUBLISHING OFFICE  
OFFICE OF INSPECTOR GENERAL

**SEMIANNUAL REPORT TO CONGRESS**

APRIL 1, 2016 – SEPTEMBER 30, 2016







**U.S. GOVERNMENT PUBLISHING OFFICE**

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## 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](http://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 (IG) 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 problems or deficiencies relating to administering and operating GPO.

### **ONLINE AVAILABILITY**

This report and other OIG reports are available on our Web site: [www.gpo.gov/oig](http://www.gpo.gov/oig)



## A MESSAGE FROM THE INSPECTOR GENERAL

I am pleased to submit the Semiannual Report to Congress for the period ending September 30, 2016. This report is a compilation of our work designed to promote economy, efficiency, and effectiveness in the administration of, and to prevent and detect fraud, waste, and abuse in GPO programs and operations.

OIG issued 14 reports on GPO programs and operations. OIG investigations, inspections, audits, evaluations, and other reviews identified approximately \$17.4 million in monetary impact. We made 40 program improvement recommendations and 16 suspension and/or debarment referrals to GPO.

Our accomplishments this reporting period are the result of the dedicated team of men and women who make up the OIG workforce and their firm commitment to accomplishing OIG's mission. I sincerely appreciate the dedication to service routinely exhibited by the OIG staff.

I am appreciative of the continuous strong support of our mission demonstrated by GPO's Director, GPO's senior management team, and interested Committees and members of Congress. We look forward to continuing these partnerships as we all work together to carry out GPO's mission while we promote a culture of accountability and continuous improvement.

MICHAEL A. RAPONI  
*Inspector General*



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## SELECTED STATISTICS

### Investigations

Investigative cost-efficiencies, restitutions, fines, penalties, and funds put to better use	\$813,909
Complaints opened	42
Complaints closed	49
Investigative cases opened	9
Investigative cases referred for prosecution	4
Investigative cases referred for administrative/civil action	5
Investigative cases closed	20
Suspension and/or debarment referrals	16
Subpoenas issued	9
Referrals to GPO management	5

### Audits and Inspections

Audits and other reports issued	9
Questioned costs, funds put to better use, and other monetary impact	\$17.3 million
Number of recommendations made	40



## 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 our assessment of GPO's progress in addressing the 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 to 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 next generation ePassport incorporates electronic devices (chips and antennae array) upon which important information such as biometric identification data are maintained. The next generation 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 IT 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 FDLF 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: Oracle Maintenance and Support Licenses

OIG conducted an audit to assess how GPO determined the number of Oracle maintenance and support licenses it purchased, how software products were selected, and the extent to which the licenses and products were used in support of its e-business suite and database software. The audit revealed GPO developed policy that addresses loading and executing new software, use of system utility software, authorizations required for system changes, and software license management. While policy was developed, OIG noted:

- An absence of procedures, techniques, mechanisms, and oversight for: (1) determining the number of licenses needed, (2) determining Oracle products needed to support and maintain production licenses, and (3) monitoring product use.
- Differences between the numbers of licenses purchased compared with the number of system users and the total number of GPO employees.
- Differences between products specified in the contract and products installed on GPO computer systems.
- Low use of installed products.

GPO expects to spend approximately \$7 million for licenses to maintain and support use of its Oracle-based e-business suite and database between November 2015 and September 2019.

**Recommendations:** OIG recommended GPO: (1) document a standard methodology for determining the number of Oracle maintenance and support licenses and products, (2) assess the number of maintenance and support licenses needed and limit the number of licenses to the number of users, and (3) assess the technical requirements necessary to maintain and support Oracle production licenses and limit the purchase of products to technically necessary products. Management concurred with the recommendations and has implemented or planned necessary corrective actions. (*Information Technology: Oracle Maintenance and Support Licenses, Report No. 16-19, September 29, 2016*).

### System Development of Composition System Replacement

OIG reviewed the steps GPO followed during development of the Composition System Replacement (CSR) system as it pertained to EA. CSR is expected to produce output in formats that provide for enhanced search, data repurposing as well as interface with FDsys. CSR is required to work within GPO's EA as well as serve as a stand-alone application and deployed remotely at the U.S. Capitol. GPO reported CSR is being deployed at the U.S. Capitol without notable incidents.

GPO policy requires evaluation of IT investments with a focus on interoperability, application portability, and scalability across networks of heterogeneous hardware, software, and telecommunications platforms, and compliance with Technical Reference Model (TRM). It also requires that the Architecture Review Board (ARB) provide guidance and assistance for development, maintenance, and management of its TRM. The review board must verify alignment with existing standards and skillset decisions, including TRM. TRM is a component-based technical framework used to categorize standards, specifications, and technologies supporting and enabling the delivery of service.

OIG identified areas where GPO could mitigate investment risks. Our evaluation revealed: (1) CSR was not evaluated for compliance with GPO's TRM, and (2) the ARB did not verify CSR alignment with the TRM. In addition, GPO EA policy did not reflect key changes in Federal EA guidance to include key security controls. GPO expects to spend approximately \$4.6 million on the development.

**Recommendations:** OIG recommended GPO: (1) ensure interoperability of CSR within GPO's EA and Congress, (2) ensure security factors based on a risk-based framework are addressed prior to granting an Authorization to Operate, and (3) evaluate EA policy and if appropriate revise and implement updated policy to reflect current Federal EA guidance. Management concurred with the recommendations and has implemented or planned necessary corrective actions. (*Organizational Transformation: Composition System Replacement, Report No. 16-21, September 29, 2016*).

### 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 access and configuration management controls for the following three systems:

- Next Generation FDsys
- Enterprise Credit Card System
- Integrated Library System

**Recommendations:** OIG made 29 recommendations to strengthen cybersecurity controls with the three 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 Next Generation FDsys, Report No. 16-16, July 5, 2016*), (*Information Security: Penetration Testing of GPO's Enterprise Credit Card System, Report No. 16-17, July 5, 2016*), and (*Information Security: Penetration Testing of GPO's Integrated Library System, Report No. 16-18, July 5, 2016*).

### **Federal Public Key Infrastructure Compliance Report and WebTrust for Certification Authority**

GPO operates as a Certification Authority (CA) known as the GPO Public Key Infrastructure (PKI) Certification Authority (GPO-CA) in Washington, D.C. GPO's PKI is cross-certified with the Federal Bridge Certificate Authority (FBCA). FBCA certification requires that GPO PKI undergo an annual independent compliance assessment. The assessment determined that GPO's Principal Certification Authority Certificate Practices Statement conformed in all material respects to GPO-CA and the Federal PKI common policies, and GPO fairly stated management's assertion in all material respects.

**Recommendations:** The reports did not contain any recommendations. (*Federal PKI Compliance Report, Report No. 16-23, September 23, 2016*, and *WebTrust for Certification Authority, Report No. 16-24, September 23, 2016*).



## OPERATIONAL AND FINANCIAL MANAGEMENT

### OIG Strategic Goal 2:

Promote economy, efficiency, and effectiveness in GPO operations by helping GPO 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.

### Unscheduled and Unpaid Absenteeism in the Office of Plant Operations

OIG reviewed activities and processes of employees who used Leave Without Pay (LWOP) along with receiving pay in excess of their annual base salary in leave year 2015. GPO records show nearly 29 percent (221 of 767 employees) of Plant Operation employees took LWOP during this period and 103 employees took LWOP yet received more than their annual base pay. Summarized below are the irregularities of 103 employees:

- LWOP was not properly requested and approved for 68 employees. Issues included documentation not supporting leave requests, no reason for supervisory approval given, employees not always validating their own WebTA timesheets, and a supervisor not always certifying the WebTA timesheet.
- Annual leave was advanced to five employees deemed ineligible for advanced leave.
- Disciplinary action was not taken for 14 employees in which Absence Without Leave (AWOL) was recorded in GPO's payroll system. Similar results existed for an additional 41 employees outside the scope of the 103 employees.
- Monetary awards were given to six employees for whom AWOL was recorded.
- Of the 103 employees, 75 employees had taken consecutive years of LWOP since leave year 2013—48 incurred LWOP during the 3 consecutive years reviewed (2013 through 2015), and an additional 27 employees incurred LWOP during both 2014 and 2015.

OIG reported that such actions and inactions detract from GPO's mission and ultimately create an undue burden on managers, supervisors, employees who must fill in for absent employees, and/or causes GPO to incur premium costs, such as overtime. Collectively, the employees involved were paid approximately \$5.1 million in salaries for 2015, which included \$455,740 more than their base salary.

**Recommendations:** OIG recommended GPO: (1) require all Plant Line Supervisors to enforce GPO policy for approving LWOP and advancing annual leave, disciplining AWOL and documenting the actions taken, and providing incentive awards, (2) review the 2015 time and attendance records for the 103 employees listed and if appropriate correct all errors associated with the review and approval of LWOP and timesheets, and (3) monitor all plant time and attendance records to ensure compliance with GPO policy. Management concurred with the recommendations and has implemented or planned necessary corrective actions. (*Unscheduled and Unpaid Absenteeism in the Office of Plant Operations, Report No. 16-20, September 30, 2016*).

## PRINT PROCUREMENT PROGRAMS

### OIG Strategic Goal 3:

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

#### Improper Transfer of Government Contracts

A New Jersey-based contractor violated contract requirements when it improperly transferred GPO contracts—that included duplicating and scanning sensitive information—to an unregistered third-party affiliate—after being told the transfer was prohibited without a novation agreement. In one instance, information was governed by Rule 6(e)(3) of the Federal Rules of Criminal Procedure. In a second instance, documents contained Personally Identifiable Information (PII), which must be safeguarded. The unregistered third-party affiliate submitted four invoices totaling approximately \$46,112 for work it was not authorized to perform. OIG referred the contractor and related parties to GPO to consider suspension and/or debarment. (Case Number 16-0009-I).

A Maryland-based contractor violated contract requirements when it inappropriately transferred a term contract to an unregistered third party. The GPO contractor masked the transfer by permitting the non-GPO contractor to use its GPO contractor code to accept print orders and submit invoices. The transferal of this term contract was not allowable because the two contractors had not entered into a Novation Agreement with GPO. The unregistered contractor submitted invoices for 56 print orders totaling \$17,797 for work performed under the term contract. OIG referred the contractor and related parties to GPO to consider suspension and/or debarment. (Case Number 16-0008-I).

#### Other Investigative Matters

In June 2016, subsequent to an OIG investigation and action taken by the U.S. Attorney's Office, Quad/Graphics Inc. agreed to pay \$750,000 to the United States to resolve allegations they violated security requirements involving PII on contracts with GPO. The investigation determined that Quad/Graphics Inc. failed to dispose of waste according to GPO procedures, used malfunctioning security cameras to monitor production runs and the bale room, allowed unauthorized employees who had not undergone required background checks to work on the contracts, and altered sign-in sheets to conceal the fact that the unauthorized employees had access to the secure work area. (Case Number 15-0007-I).

## PROGRAM AND OPERATIONAL INTEGRITY

### OIG 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.

#### Employee Misconduct

**Workplace Violence.** An OIG investigation determined a GPO employee engaged in a verbal altercation laced with expletives at a loud volume with another employee and in the course of the altercation made threatening statements. The employee was charged with a criminal offense that led to a Plea Agreement executed with the U.S. Attorney's Office. OIG referred the results of the investigation and Plea Agreement to GPO. (Case Number 16-0011-I).

**Time and Attendance Records Falsified.** OIG substantiated an allegation that an employee was routinely leaving GPO premises during duty hours to perform duties as an independent agent for a second employment. The investigation also revealed the employee's supervisor was aware of the absences but did not take disciplinary action. OIG referred the results of the investigation to GPO. (Case Number 16-0004-I).

**Employment Application Misrepresented Key Information.** An OIG investigation revealed a GPO employee submitted false information to a critical question on the employment application. Specifically, the employee answered "no" to the question that asks, "During the last 10 years have you been convicted, been imprisoned, been on probation, or been on parole?" OIG obtained information that was contradictory to the employee's answer. We determined the employee served a 10-year sentence for drug distribution, resisting arrest, and possession of drugs. In a second instance, the employee was convicted of possession of a controlled dangerous substance and reckless driving. The employee received an 8-year suspended sentence. OIG referred the results of the investigation to GPO. (Case Number 16-0003-I).

# STEWARDSHIP OVER OFFICIAL PUBLICATIONS

## 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.

### Transition of GPO's Integrated Library System

OIG conducted an audit to determine the steps GPO took when it transitioned the Integrated Library System administered by Progressive Technology Federal Systems, a GPO contractor, to Amazon Web Services—a cloud computing service provider. The contract award amount, which spanned from April 1, 2015, through September 30, 2016, totaled \$681,022.

OIG identified the following areas that required management attention:

- GPO policy did not include Cloud Computing and/or Hosted Service definitions, principles, rules, and guidelines.
- Personnel did not follow Configuration Management policy during transition to the Amazon Web Services.
- Contract language did not address hosted services.

Without established policies and definitive processes for transitioning IT investment to a hosted service, management could not ensure a consistency of comparing costs and benefits across various transition projects, that transition projects were monitored and provided with adequate management oversight, or that completed transition projects were consistently evaluated to determine overall organizational performance improvement. Also although the Amazon Web Services is authorized by the Federal Risk and Authorization Management Program, lack of appropriate contract language for data ownership established an increased risk. Such a risk could have allowed the cloud provider with unnecessary access to Federal data. In addition, failure to define security standards and testing requirements increased the risk of a data breach, which could have led to the loss or corruption of data.

**Recommendations:** OIG recommended GPO: (1) develop a policy that defines and implements key principle actions pertaining to “cloud computing” and “hosted services,” and (2) revise the contract to include cloud computing in accordance with best practices as the Chief Information Officers Council and Chief Acquisition Officers Council define. (*Cloud Computing: Transition of GPO's Integrated Library System, Report No. 16-22, September 30, 2016*).

## ABBREVIATIONS AND ACRONYMS

ARB	Architecture Review Board
AWOL	Absence Without Leave
CA	Certification Authority
CSR	Composition System Replacement
CIGIE	Council of Inspectors General on Integrity and Efficiency
EA	Enterprise Architecture
FBCA	Federal Bridge Certificate Authority
FDLP	Federal Depository Library Program
FDsys	Federal Digital System
FY	Fiscal Year
GPO	Government Publishing Office
IT	Information Technology
JCP	Joint Committee on Printing
LWOP	Leave Without Pay
OIG	Office of Inspector General
PII	Personally Identifiable Information
PKI	Public Key Infrastructure
TRM	Technical Reference Model

## GLOSSARY OF TERMS

**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 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.

**Management Decision**

An agreement between the IG and management on the actions taken or to be taken to resolve a recommendation. The agreement may include an agreed-upon dollar amount affecting the recommendation and an estimated completion date, unless all corrective action is completed by the time agreement is reached.

**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	17
Section 5(a)(4)	Matters Referred to Prosecutive Authorities	23
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	19
Section 5(a)(9)	Statistical Tables on Management Decisions on Recommendations That Funds Be Put to Better Use	19
Section 5(a)(10)	Summary of Each Audit Report over 6 Months Old for Which No Management Decision Has Been Made	18
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 3(d)	Peer Review	24

## APPENDIX B

### Final Reports Issued and Grouped by OIG Strategic Goal

Report Name	Number of Recommendations	Questioned Costs (\$)	Funds Put To Better Use (\$)	Other Monetary Impact (\$)
<b>Transforming GPO into a Digital Platform</b>				
Information Technology: Oracle Maintenance and Support Licenses, Report No. 16-19, September 29, 2016	3	\$7 million		
Organizational Transformation: Composition System Replacement, Report No. 16-21, September 29, 2016	3			\$4.6 million
Information Security: Penetration Testing of GPO's Next Generation FDSys, Report No. 16-16, July 5, 2016	16			
Information Security: Penetration Testing of GPO's Enterprise Credit Card System, Report No. 16-17, July 5, 2016	4			
Information Security: Penetration Testing of GPO's Integrated Library System, Report No. 16-18, July 5, 2016	9			
Federal PKI Compliance Report, Report No. 16-23, September 23, 2016				
WebTrust for Certification Authority, Report No. 16-24, September 23, 2016				
<b>Operational and Financial Management</b>				
Unscheduled and Unpaid Absenteeism in the Office of Plant Operations, Report No. 16-20, September 30, 2016	3			\$5.1 million
<b>Stewardship over Official Publications</b>				
Cloud Computing: Transition of GPO's Integrated Library System, Report No. 16-22, September 30, 2016	2	\$681,022		

## 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**

<b>Date Issued</b>	<b>Name of Audit</b>	<b>Report Number</b>	<b>Number of Recommendations</b>	<b>Monetary Impact (\$)</b>
Nov. 16, 2011	Final Report on Audit of Selected Aspects of GPO Time and Attendance and Payroll Administration	12-01	1	\$ 372,717
Sep. 28, 2012	Audit of Controls over GPO's Fleet Credit Card Program	12-18	1	\$ 4,751
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 US Passport Covers	14-14	2	\$15,700,000
Sep. 23, 2014	Prompt Payment of Invoices on Hold	14-21	1	\$ 45,572
Sep. 26, 2014	IT Professional Services Integrated Library System	14-16	2	\$ 1,100,000
Mar. 20, 2015	Development of a Secure Credential Production System	15-02	1	
Mar. 27, 2015	Improved Contract Administration Needed for the Acquisition of U.S. Passport Paper (Visa)	15-09	3	

## APPENDIX E

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

Description	Number of Reports	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: none	4	\$17,381,022
<b>Subtotals</b>	<b>4</b>	<b>\$17,381,022</b>
Information Technology: Oracle Maintenance and Support Licenses Report No. 16-19, September 29, 2016	1	\$7 million
Organizational Transformation: Composition System Replacement Report No. 16-21, September 29, 2016	1	\$4.6 million
Unscheduled and Unpaid Absenteeism in the Office of Plant Operations Report No. 16-20, September 30, 2016	1	\$5.1 million
Cloud Computing: Transition of GPO's Integrated Library System Report No. 16-22, September 30, 2016	1	\$681,022

## APPENDIX F

### Investigations Case Summary

Item	Quantity
Total New Hotline/Other Allegations Received during Reporting Period	42
Preliminary Investigations (Complaints) Closed	50
Complaint Referrals to Other Agencies	0
Complaint Referrals to Office of Audits and Inspections	0
Investigations Opened by Office of Investigations during Reporting Period	9
Investigations Open at Beginning of Reporting Period	55
Investigations Closed during Reporting Period	22
Investigations Open at End of Reporting Period	48
Referrals to GPO Management (Complaints and Investigations for corrective action or information purposes)	5

Current Open Investigations	Number	Percent
Procurement/Contract Fraud	26	52
Employee Misconduct	11	22
Workers' Compensation Fraud	0	0
Information Technology/Computer Crimes	0	0
Proactive Initiatives	9	18
Other Investigations	4	8
<b>Total</b>	<b>50</b>	<b>100.0</b>



## APPENDIX G

### Investigations Productivity Summary

Item	Quantity
Investigative cost-efficiencies, restitutions, recoveries, fines, and penalties, Funds Put to Better Use	\$813,909
Arrests	0
Presentations to Prosecuting Authorities	5
Criminal Acceptances	1
Criminal Declinations	4
Indictments/Information/Complaints	0
Convictions	0
Guilty Pleas/Deferred Prosecution Agreements	1
Probation (months)	0
Jail Time (days)	0
Criminal Fines, Fees, Recovery, and/or Restitution	\$ 0
Presentations for Civil Action	4
Civil Acceptances	3
Civil Declinations	1
Civil Settlements	1
Civil Fines, Fees, Recovery, and/or Restitution	\$ 750,000
Referrals to GPO Management for Possible Corrective Action and/or Information Purposes	5
Employee Corrective Action	5
Agency/Process Corrective Action	0
Business/Individual Referrals to GPO Suspending and Debarring Official (SDO) for Suspension and/or Debarment	16
Suspensions	18
Debarment	0
Other Suspending and Debarring Official Response/Action	12
Employee Suspension	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.

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. The 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 [www.gpo.gov/oig](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.





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