



**U.S. GOVERNMENT PUBLISHING OFFICE**  
Office of Inspector General

# SEMIANNUAL REPORT TO CONGRESS

April 1, 2018 through September 30, 2018





## **ABOUT THE GOVERNMENT PUBLISHING OFFICE**

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 1,400 libraries nationwide participating in the Federal Depository Library Program (FDLP). The GPO employees approximately 1,740 personnel.<sup>1</sup>

## **ABOUT 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, 44 United States Code Chapter 39, establishes the responsibilities and duties of the OIG. The OIG is located in Washington, D.C. It is authorized 22 employees and organized into 2 major functions—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 fully informed of any problems or deficiencies relating to administering and operating GPO. The Inspector General IG reports directly to and serves at the pleasure of the Director as an independent function within GPO. OIG follows professional standards as required by the Act.

### **Online Availability**

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

Front Cover and Interior Photos:  
GPO Photographer - Aaron Sweet

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<sup>1</sup> GPO Budget Justification for Fiscal Year 2019



# INSPECTOR GENERAL MESSAGE

I am honored to have been appointed in July 2018 as the GPO Inspector General entrusted with not only detecting and deterring fraud, waste, and abuse but also evaluating GPO operations and programs for economies and efficiencies.

This year marks the 40th anniversary of the IG Act and the creation of the original 12 Offices of Inspectors General. The GPO OIG was created in 1988.

Since that time we have been part of a community that has grown to include 73 statutory Inspectors General who collectively oversee the operations of nearly every aspect of the Federal government. Every 6 months we provide Congress with a report detailing our independent oversight of the GPO during the reporting period. In the years to come, we look forward to continuing our efforts to provide independent and effective oversight of the GPO and working with the Council of Inspectors General on Integrity and Efficiency on important issues that cut across our government.

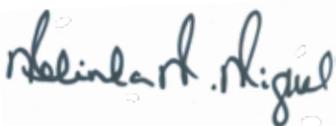
For this reporting period, I am pleased to present our semiannual report that summarizes the work and accomplishments of our office from April 1, 2018, through September 30, 2018. During this time, Stephen Roy served as the Acting IG from April to July 2018. I thank him for leading this office after the March 31, 2018 retirement of the former IG. I am also pleased to report that as of September 16, 2018, Freddie Hall was appointed the Assistant Inspector General for Audits and Inspections (AIGA).

In this report, we focus on the impact of our work over the last 6 months and how our findings have helped inspire action for improving GPO programs and operations. During this reporting period, the OIG continued to experience approximately seven vacancies including the AIGA and the OIG is in the process of advertising these key positions.

As the work outlined in this report demonstrates, we continue to be driven by the mission of providing independent and objective oversight of GPO and its operations. The OIG team is dedicated to ensuring the office is a well-trained, high-performing, and respected office that strives for continuous improvement.

I am excited about the opportunity for the OIG to advance its mission and thank the staff members for their invaluable contributions. I am grateful for the Acting Director's support for an independent and engaged IG. Lastly, I appreciate the continued commitment and support of Congress for the important and independent work of our office.

Respectfully,

A handwritten signature in blue ink that reads "Melinda M. Miguel". The signature is written in a cursive style with a blue ink color.

Melinda M. Miguel  
Inspector General



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# SELECTED STATISTICS

## Investigations

Complaints Opened.....	20
Complaints Closed.....	14
Investigative Cases Opened.....	11
Persons Referred for Prosecution.....	6
Persons Referred for Civil Action.....	10
Investigative Cases Closed.....	2
Suspension and/or Debarment Referrals.....	35
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# MANAGEMENT CHALLENGES

To identify management challenges, we routinely examine past audit, inspection, and investigative work, as well as 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 also examine other GPO Annual Reports, Budget Justification Reports, and Strategic Plans for relevant information about key factors facing the Agency. The prior Semiannual Report showed the following as challenges GPO faces:

- Keeping focus on its mission of information dissemination
- Improving the Enterprise Architecture (EA) and infrastructure to support enterprise-wide as well as GPO's Federal Digital System (FDsys) transformation
- Securing IT systems and protecting related information assets
- Improving Print Procurement Programs

For each challenge, OIG provides a statement about GPO's progress in addressing that challenge. Challenges will be examined in greater detail in the next reporting period.

## Changes from Previous Reporting Period

The following key criteria are considered for whether to remove a management challenge from a prior report: (1) demonstrated strong leadership commitment in addressing the issue; (2) ability to address the problem; (3) plan for how corrective measures will be implemented; (4) program for monitoring the corrective action; and (5) demonstrated progress in the implementation of the corrective measures. The following challenges were reported in the prior reporting period. Updates may be included in the next 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 impacted 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: Improving the EA and IT Infrastructure to Support Enterprise-Wide and Federal Digital System (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 continues to anticipate.

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

## **CHALLENGE 3: Securing Information Technology Systems and Protecting Related Information Assets**

**Overview:** GPO IT 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’s Progress:** GPO continues to identify and address risks to cyber assets, information, and efforts for resolving identified deficiencies. OIG conducts penetration testing to assist in mitigating certain risks associated with this strategic challenge.

## **CHALLENGE 4: Improving Print Procurement Programs**

**Overview:** GPO is the principal agent for almost all Government printing. Section 501, Title 44 of the United States Code requires that GPO perform all printing, binding, and blank-book work for Congress, the Executive Branch, the Judiciary—other than the Supreme Court of the United States—and every executive department, 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 department, independent office, or establishment; and, (3) procurement of printing by an executive department, independent office, or establishment from allotments for contract field printing, if approved by the JCP.

**Challenge:** GPO's identification of violations of Title 44 of the United States Code and working with executive branch agencies to prevent a loss of documents for the 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.

# AUDITS AND INSPECTIONS

## Evaluation of Cybersecurity Controls of GPO's Composition System Replacement

OIG conducted penetration testing of GPO's Composition System Replacement (CSR) web application. The testing assessed the Agency's cybersecurity efforts and identified vulnerabilities that could be exploited.

The CSR web application uses GPO local area network authentication to identify users who submit a file for CSR web processing. The web application then returns the composed file to the user over the web session. We found five vulnerabilities requiring cybersecurity countermeasures.

**Recommendations:** OIG made five recommendations for strengthening cybersecurity controls. Management implemented or plans to implement the necessary corrective actions for addressing the vulnerabilities. (*Information Security Penetration Testing of GPO's Composition System Replacement (CSR) Report No. 18-12*)

## Evaluation of Cybersecurity Controls of GPO's General Services Support System

OIG conducted penetration testing of GPO's General Services Support (GSS). The GSS system comprises multiple systems that support the GPO enterprise, including active directory, email Office 365 Cloud services, F5 Load Balancer, Firewalls, and various other applications. We identified 16 vulnerabilities requiring cybersecurity countermeasures.

**Recommendations:** OIG made 16 recommendations for strengthening cybersecurity controls. Management implemented or plans to implement the necessary corrective actions for addressing the vulnerabilities. (*Information Security-Penetration Testing of GPO's General Services Support [GSS] System Report No. 18-13*)

## Evaluation of Cybersecurity Controls of GPO's Contractor Connection Web Application

OIG conducted penetration testing of GPO's Contractor Connection. Contractor Connection links to GPO's online procurement program and provides information about upcoming GPO and industry events, online small purchases, bid opportunities, and bid results. We discovered 11 vulnerabilities requiring corrective actions.

**Recommendations:** OIG made 11 recommendations for strengthening cybersecurity controls. Management implemented or has plans to implement the necessary corrective actions for addressing the vulnerabilities. (*Information Security Penetration Testing of GPO's Contractor Connection Web Application Report No. 18-14*)

## Follow-Up on GPO's Penetration Testing Vulnerabilities in Audit Reports Issued from FY 2015 through FY 2017

OIG conducted an audit to review GPO's high or critical vulnerabilities identified during penetration testing from October 2014 through September 2017. OIG issued 29 reports about penetration testing that identified 211 cybersecurity vulnerabilities within GPO's systems and networks during the 3-year period. Of the 211 vulnerabilities identified, 27 were high or critical.

OIG assessed whether GPO developed a mechanism for deploying security countermeasures for all of the systems affected by a vulnerability when the vulnerability was initially found in a system, and whether GPO had a comprehensive policy for patch management.

The audit found that GPO did not have a mechanism that would proactively fix systems containing vulnerabilities once a vulnerability was identified in a system. In addition, GPO did not establish a comprehensive policy for patch management defining the necessary procedures and responsibilities for applying patches, including time frames for evaluating and reviewing new patches, deployment of emergency patches, and document retention for patch logs.

**Recommendations:** OIG made two recommendations for addressing the issues identified. Management implemented or plans to implement the necessary corrective actions for addressing the deficiencies. (*Information Security Follow-Up on GPOs Penetration Testing Vulnerabilities, Report No. 18-15*)

## Evaluation of Cybersecurity Controls of GPOProc Web Application

OIG conducted penetration testing of GPOProc web applications. GPOProc is a web-based system that allows customer agencies to submit printing and binding requisitions to GPO. Using GPOProc, a printing specialist can write printing specifications and electronically generate quotation requests for small purchases. The application also allows users to enter printing contractor quotations, on-line job awards, and generate purchase orders for small purchases, normal bids and converted print orders. Our testing revealed two vulnerabilities requiring cybersecurity countermeasures.

**Recommendations:** OIG made two recommendations for strengthening cybersecurity controls. Management implemented or plans to implement the necessary corrective actions for addressing the vulnerabilities. (*Information Security Penetration Testing of GPOProc Web Application, Report No. 18-16*)

## Evaluation of Cybersecurity Controls of OnBase Web Application

Penetration testing of OnBase web application services was conducted to find vulnerabilities that could be exploited. OnBase is a single enterprise information platform for managing content, processes, and cases. OnBase also provides a single platform to build content-enabled applications. GPO is licensed to use the OnBase web client application. We found two vulnerabilities requiring cybersecurity countermeasures.

**Recommendations:** OIG made two recommendations for strengthening cybersecurity controls. Management implemented or plans to implement the necessary corrective actions for addressing the vulnerabilities. (*Information Security Penetration Testing of OnBase Web Application, Report No. 18-17*)

## Evaluation of Cybersecurity Controls of GPO's Business Information System (GBIS) Contract Lifecycle Management Web Application

Penetration testing of GPO's GBIS Contract Lifecycle Management (CLM) web application was conducted to find vulnerabilities that an attacker could exploit. The GBIS CLM is a fully integrated procure-to-pay system designed to provide automated and auditable processes from purchase requisition generation through solicitation to payment entitlements. The contract life cycle module was deployed in the first quarter of FY 2018 to implement an effective and comprehensive workflow with the integration of the acquisition life cycle. We identified three vulnerabilities requiring cybersecurity countermeasures.

**Recommendations:** OIG made three recommendations for strengthening cybersecurity controls. Management implemented or plans to implement the necessary corrective actions for addressing the vulnerabilities. (*Information Security Penetration Testing of GBIS CLM, Report No. 18-18*)

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

GPO operates as a Certification Authority (GPO-CA) known as the GPO Public Key Infrastructure (PKI) Certification Authority 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. 18-19, September 17, 2018, and WebTrust for Certification Authority, Report No. 18-20, September 17, 2018*).

**Table A: Audit Reports Issued In Reporting Period  
Including Questioned Costs, Funds Put to Better Use and Other Monetary Impact**

Report Name	Number of Recommendations	Questioned Cost (\$)	Funds Put To Better Use (\$)	Other Monetary Impact (\$)
Information Security: Penetration Testing of GPO's Composition System Replacement (CSR) (Report No. 18-12)	5			
Information Security: Penetration Testing of GPO's General Services Support (GSS) (Report No. 18-13)	16			
Information Security: Penetration Testing of GPO's Contractor Connection Web Application (Report No. 18-14)	11			
Information Security: Follow-Up on GPO's Penetration Testing Vulnerabilities for Reports Issued Fiscal Year 2015 to Fiscal Year 2017 (Report No. 18-15)	2			
Information Security: Penetration Testing of GPO's Proc Web Application (Report No. 18-16)	2			
Information Security: Penetration Testing of OnBase Web Application (Report No. 18-17)	2			
Information Security: Penetration Testing of GBIS Contract Lifecycle Management (CLM) Web Application (Report No. 18-18)	3			
Federal PKI Compliance (Report No. 18-19)	0			
Web Trust for Certification Authority (Report No. 18-20)	0			

See also Appendix A and Appendix B for additional details.

# INVESTIGATIONS

## **May 2, 2018, Management Implication Report; Time and Attendance Fraud (17-0020-I):**

OIG investigated an allegation that a GPO employee in the Medical Section was improperly claiming night differential when submitting the employee's bi-weekly timesheet. The investigation revealed that the employee was not entitled to the night differential included in the employee's salary. The employee improperly claimed a total of \$28,030.67 over an 8-year period.

**Agency Response:** On May 8, 2018, GPO notified the OIG that it was initiating a collection action in the amount of \$18,936.86 from the employee.

## **May 10, 2018, Management Implication Report; GPO Stennis Waste Disposal Procedures (18-0007-I):**

OIG was asked to investigate an incident occurring at the Stennis Secure Production Facility (SPF) where a GPO employee was injured as the result of modifying a container removed from GPO property. OIG identified several issues requiring management's attention to include: disposition of excess property; accountability and disposal of hazardous materials; and training of GPO employees who come in contact with hazardous materials.

**Agency Response:** The GPO Acting General Counsel informed OIG that GPO would be using the report as part of its response to any legal or administrative action resulting from the incident. In addition, management reported that the matters the OIG identified would be addressed through additional training and written policy.

## **June 21, 2018, Letter to the Joint Committee on Printing; Misconduct by Senior GPO Officials – Interim Report (18-0011-I):**

This matter is restricted.

## **June 29, 2018, Letter to the Joint Committee on Printing; Misconduct by Senior GPO Officials – Interim Report (18-0011-I):**

This matter is restricted.

## **July 5, 2018, Suspension and Debarment Referral; Unauthorized Subcontracting of the Predominant Production Function (18-0012-I):**

A printer located in Baltimore, Maryland violated GPO contract terms when it failed to execute a novation agreement with GPO after the purchase of an independent printing business.

As a result, the contractor was not authorized to subcontract the predominant production function called for in four print orders, which it had done. The questioned invoices totaled \$91,437.57.

**Agency Response:** On July 9, 2018, the GPO Debarring Official proposed debarment of the contractors and their principal officials.

**August 31, 2018, Management Implication Report; Abuse of GPO Transit Subsidy (16-0021-I):**

On September 28, 2016, OIG filed a criminal complaint with the Prince George's County, Maryland District Attorney alleging that a GPO employee defrauded the GPO Transit Subsidy Program of \$2,008.65. On January 25, 2017, the GPO employee was charged with felony-level theft of funds and conspiracy against GPO and subsequently pleaded guilty to a lesser charge of theft of funds. The employee was sentenced to 90 days incarceration and 180 days of unsupervised probation and ordered to repay \$2,008.65 to GPO.

**Agency Response:** GPO management is considering this matter and the subject has begun making restitution payments.

**September 26, 2018, Suspension and Debarment Referral; Fraudulent Billing – Failure to Apply Mandated Discounts (18-0010-I):**

A Bridgewater, New Jersey company was investigated for allegedly overcharging GPO for document scanning. The investigation showed that the company intentionally failed to apply mandated economic price adjustments, as per the terms of the contract, and overcharged GPO on 34 invoices totaling \$9,343.18.

**Agency Response:** The GPO Debarring Official is considering this matter.

**September 28, 2018, Suspension and Debarment Referral; Unauthorized Subcontracting of the Predominant Production Function (15-0009-I):**

A Butler, Pennsylvania company was found to have improperly engaged with 3 GPO contractors in unauthorized subcontracting of the predominant production function related to 27 GPO contracts. Of the \$421,290.00 invoiced by the contractor, \$215,088.19 was for invoices to the subcontractors for an additional cost to GPO of \$206,201.81. The U.S. Attorney accepted the matter for civil prosecution, where it is pending.

**Agency Response:** The GPO Debarring Official is considering this matter.

**Table B: Investigations Statistics for Reporting Period <sup>2</sup>**

Item	Quantity	
Complaints Opened	20	
Complaints Closed	14	
Complaint Referrals to Other Agencies	0	
Complaint Referrals to Office of Audits and Inspections	2	
Investigations Opened by Office of Investigations during Reporting Period	11	
Investigations Open at End of Reporting Period	61	
Investigations Closed	2	
Total Number of Investigative Reports Issued in Reporting Period	9	
Referrals to GPO Management (Complaints and Investigations for either Corrective Action or Informational Purposes)	7	
Current Open Investigations	Number	Percentage
Procurement/Contract Fraud	29	47
Employee Misconduct	18	30
Workers' Compensation Fraud	0	0
IT/Computer Crimes	2	3
Proactive Initiatives	9	15
Other Investigations	3	5
<b>Total</b>	<b>61</b>	<b>100</b>

<sup>2</sup> The metrics for developing data for reported statistics are obtained from the OIG's Case Management Tracking System.

**Table C: Investigations Productivity Statistics for Reporting Period <sup>3</sup>**

Item	No. or Amt
Arrests, including Summons in Lieu of Arrest	0
Persons Referred to Federal Prosecutors	6
Persons Accepted for Federal Prosecution	2
Persons Declined for Federal Prosecution	4
Persons Referred to State/Local Prosecutors	0
Persons Accepted for State/Local Prosecution	0
Persons Declined for State/Local Prosecution	0
Indictments/Information/Complaints	2
Convictions	0
Guilty Pleas/Deferred Prosecution Agreements	1
Probation (in Months)	6
Jail Time (in Days)	90
Criminal Fines, Fees, Recovery, and/or Restitution	\$2,008.65
GPO Fines, Fees, and Restitution	\$18,936.86
Persons Referred for Civil Action	10
Persons Accepted for Civil Action	10
Persons Declined for Civil Action	0
Civil Settlements	0
Civil Fines, Fees, Recovery, and/or Restitution	\$0.00
Total Number of Investigative Reports Issued	9
Referrals to GPO Management for Possible Corrective Action and/or Information Purposes	7
Employee Corrective Action	3
Agency/Process Corrective Action	2
Business/Individual Referrals to GPO Suspending and Debaring Official for Suspension and/or Debarment	17
Suspensions	35
Debarments	0
Other Response/Action	0
Employee Suspension/Termination/Other Action	3
Subpoenas Issued	9
Investigations Open at the Beginning of the Period	50
Investigations Open at the End of the Period	61
Complaints Open at the Beginning of the Period	25
Complaints Open at the End of the Period	31
<b>Total: Fines, Questioned Costs, Overcharges, Restitution</b>	<b>\$327,928.07 <sup>4</sup></b>

<sup>3</sup> The metrics for developing data for reported statistics are obtained from the OIG's Case Management Tracking System.

<sup>4</sup> [\$2,008.65+\$18,936.86+\$306,982.56] This amount does not include any questioned costs or information on financial impact relating to the 2020 Census printing and mailing contract reported in the last reporting period because the total impact is not yet known.

# OTHER INFORMATION

## Significantly Revised Management Decisions

There were no significantly revised management decisions this reporting period.

## Significant Management Decisions with which the IG Disagrees

There were no significant management decisions with which the current IG disagreed during the reporting period.

## Inspections, Evaluations, and Audits, and Investigations Involving Senior Government Employees that were Not Disclosed to the Public or Where Allegations of Misconduct Were Substantiated

There were no instances in the reporting period in which we completed an inspection, evaluation, or audit without disclosing it to the public. All such product titles are listed on <https://www.gpo.gov/oig/>. When possible, the report is also posted. Beginning October 2018, all future report titles and when possible, the audit and inspection reports will be posted at <https://www.oversight.gov>. There were two investigative report titles [18-0002-I and 18-0011-I] listed on the OIG website this reporting period. For 18-0002-I, the case involved allegations referred to the OIG from the Committee on House Administration and the interim summary report shows there was evidence supporting personal relationships provided an opportunity for favoritism. Per policy, we are unable to comment or provide additional information about ongoing investigations.

## Whistleblower Retaliation Investigations

None.

## Instances of the GPO Refusing to Provide Information or Assistance or Interfering with the OIG's Independence

As a new IG, I am assessing the operations and culture of the OIG and GPO. Since my arrival in July 2018, OIG has experienced slow responses to two internal requests for information that were adequately addressed with GPO without incident.

Another matter was reported to the Committee for House Administration and Senate Rules and resolved.

# PEER REVIEW RESULTS

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 Export-Import Bank OIG reviewed the system of quality control for the audit organization of the GPO OIG and issued its report on June 2, 2017. The GPO OIG received a peer review rating of pass with deficiencies. OIG addressed the deficiencies identified during the 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. GPO OIG received a rating of compliant with the quality standards the Council of Inspectors General on Integrity and Efficiency established and applicable Attorney General guidelines.

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

# APPENDIX A

## Summary of Each Audit Report over 6 Months Old for Which No Management Decision Has Been Made <sup>5</sup>

Date Issued	Name	Report Number	Number of Recommendations	Costs (\$)
None				

<sup>5</sup>Section 5(a)(10), IG Act of 1978

# APPENDIX B

## Prior Audit Recommendations on Which Corrective Action Has Not Been Completed in More Than 1 Year <sup>6</sup>

Date Issued	Name of Audit	Report Number	Number of Recommendations	Monetary Impact (\$)
Mar. 24, 2014	Changes Can Provide GPO Better Information on Establishing Billing Rates for Congressional Hearings (Product Code 83)	14-07	1	
Mar. 30, 2016	Independent Verification and Validation of GPO's Composition System Replacement	16-11	1	\$742,952
Sep. 29, 2016	Organizational Transformation: Composition System Replacement	16-21	1	
Sep. 30, 2016	Cloud Computing: Transition of GPO's Integrated Library System	16-22	1	
Feb. 1, 2017	Information Security: Penetration Testing of GPO's Automated PDF Signing (APS)	17-02	3	
Dec. 16, 2016	U.S. Government Publishing Office FY 2016 Independent Auditor's Rpt. Consolidated Financial Statements (CFS) Audit	17-03	1	
Mar. 28, 2017	Financial Management: Unbilled Congressional Publication Jackets	17-08	2	
Jul. 24, 2017	Information Security: Penetration Testing of GPO's PROBE system	17-11	8	
Aug. 18, 2017	Information Security: Penetration Testing of GPO's Web Hosted Service <a href="http://www.publications.usa.gov">www.publications.usa.gov</a>	17-15	1	

<sup>6</sup> Section 5(a)(3), IG Act of 1978

(continued on page 17)

## APPENDIX B

Date Issued	Name of Audit	Report Number	Number of Recommendations	Monetary Impact (\$)
Aug. 18, 2017	Information Security: Penetration Testing of GPO's Web Hosted Service  <a href="http://www.memberguide.gpo.gov">www.memberguide.gpo.gov</a>	17-16	2	
Sep. 7, 2017	Information Security: Penetration Testing of GPO's Web Hosted Service  <a href="http://www.cah.gpo.gov">www.cah.gpo.gov</a>	17-17	4	
Sep. 7, 2017	Information Security: Penetration Testing of GPO's Web Hosted Service  <a href="http://www.fedreg.gov">www.fedreg.gov</a>	17-18	4	
Aug. 30, 2017	Information Security: Penetration Testing of GPO's Web Hosted Service  <a href="http://www.uscc.gov">www.uscc.gov</a>	17-20	1	
Sep. 7, 2017	Information Security: Penetration Testing of GPO's Web Hosted Service  <a href="http://www.ofr.gov">www.ofr.gov</a>	17-23	1	
<b>Total</b>			<b>31</b>	<b>\$742,952</b>

# APPENDIX C

Reporting	Requirement	Pages
Section 4(a)(2)	Review of Legislation and Regulations (none for this period)	None
Section 5(a)(1)	Significant Problems, Abuses, and Deficiencies	All
Section 5(a)(2)	Recommendations for Corrective Actions to Address Significant Problems, Abuses, and Deficiencies Identified	5, 9
Section 5(a)(3)	Significant Outstanding Recommendations on which Corrective Action has Not Been Completed	16
Section 5(a)(4)	Matters Referred for Prosecutorial Authorities	12
Section 5(a)(5); 6(b)(2)	Information or Assistance Unreasonably Refused or Not Provided	13
Section 5(a)(6)	List of Completed Audit, Inspection, or Evaluation Reports	5
Section 5(a)(7)	Summary of Significant Reports	All
Section 5(a)(8)	Statistical Tables Related to Total Value of Questioned or Unsupported Costs	8, 12
Section 5(a)(9)	Statistical Tables Related to Funds Recommended To Be Put to Better Use	8, 12
Section 5(a)(10)	Summary of Each Audit Report over 6 Months Old for Which No Management Decision Has Been Made	None
Section 5(a)(11)	Description and Explanation of Any Significant Revised Management Decision	None
Section 5(a)(12)	Information on Any Significant Management Decision with which the IG Disagrees	None
Section 5(a)(13)	Information described under section 804(b) of the Federal Financial Management Improvement Act of 1996 – not applicable to GPO	N/A
Section 5(a)(14) Through (16)	Peer Review Results	14
Section 5(a)(17)	Statistical Tables Related to Investigations	11, 12
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# APPENDIX D

## Abbreviations and Acronyms

AIGA	Assistant Inspector General for Audits and Investigations
CA	Certification Authority
CLM	Contract Lifecycle Management
CSR	Composition System Replacement
EA	Enterprise Architecture
FBCA	Federal Bridge Certificate Authority
FDLP	Federal Depository Library Program
FDsys	Federal Digital System
FY	Fiscal Year
GSS	General Services Support
GBIS	Government Business Information System
GPO	Government Publishing Office
IG	Inspector General
IT	Information Technology
JCP	Joint Committee on Printing
OIG	Office of Inspector General
PKI	Public Key Infrastructure
SID	Security and Intelligent Documents
SPF	Secure Production Facility

# APPENDIX E

## 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 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 U.S. Attorney, filed 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.

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# APPENDIX E

## Glossary of Terms

### **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**

Action 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 Cost**

Questioned cost not supported by adequate documentation.





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