

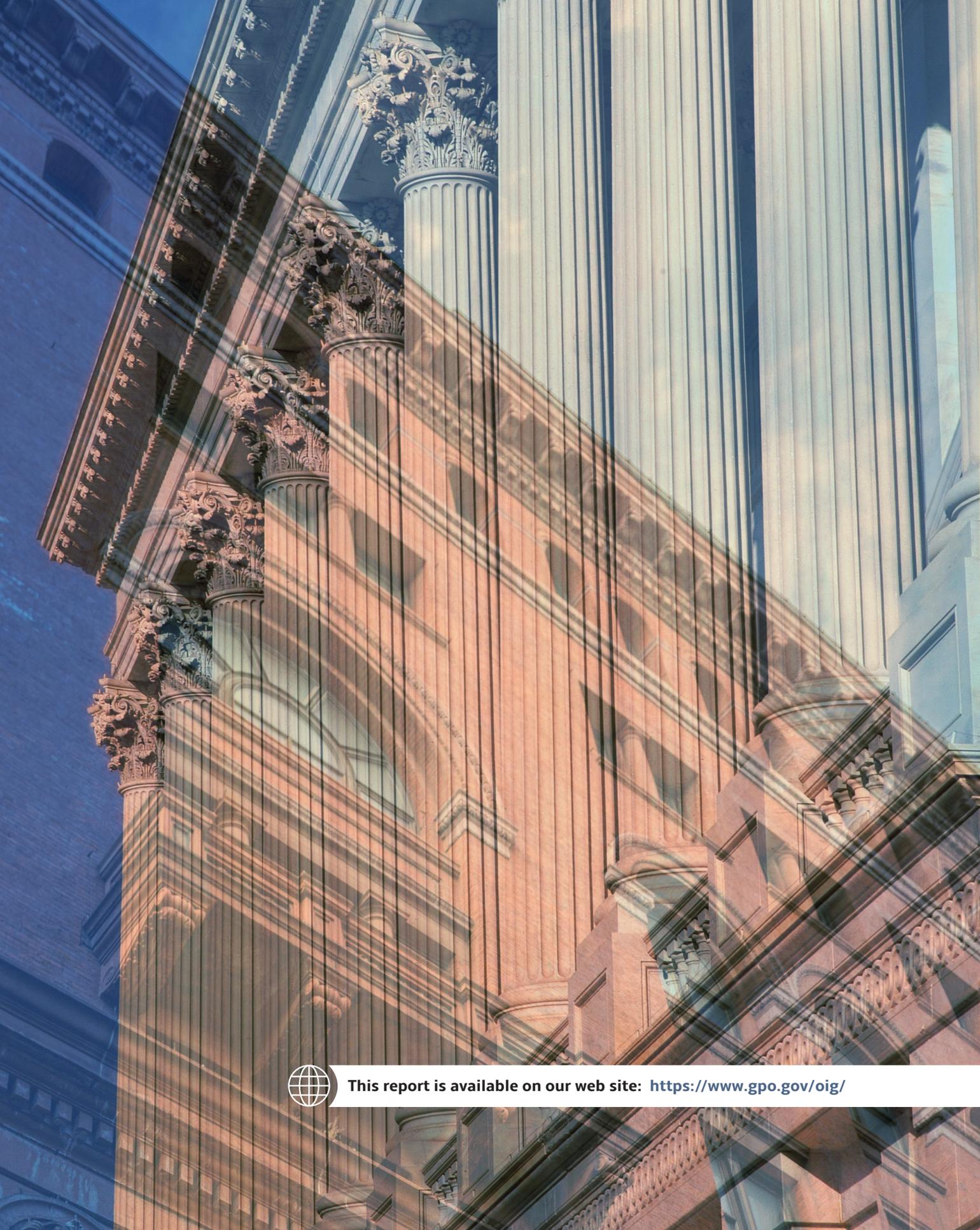


OFFICE *of the*
INSPECTOR GENERAL
U.S. GOVERNMENT PUBLISHING OFFICE



SEMIANNUAL REPORT TO CONGRESS

October 1, 2019 – March 31, 2020



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



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INSPECTOR GENERAL**
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ABOUT THE GOVERNMENT PUBLISHING OFFICE

The Government Publishing Office (GPO) was established in 1861 and 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 informational products and services for all three branches of the Federal Government, including U.S. passports for the Department of State (DoS) 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 **GovInfo.gov** and via partnerships with libraries nationwide participating in the Federal Depository Library Program.

ABOUT THE OFFICE OF INSPECTOR GENERAL

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

The GPO Inspector General Act of 1988, Title 44, Chapter 39, along with the Inspector General Act of 1978, Title 5, of the United States Code establishes the responsibilities and duties of the OIG. GPO-OIG independence was enhanced and duties were expanded by the signing into law of the Legislative Branch Inspectors General Independence Act of 2019. This Act granted, among other things, GPO-OIG independent law enforcement authority.

The OIG, located in Washington, D.C., is allocated 24 employees and is organized in three main divisions: Audits, Inspections including Management and Program Analysis, and Investigations. Through audits, inspections, investigations, and other activities, the OIG conducts independent and objective reviews of GPO programs and operations in order to help keep the Director, Congress and the public informed of problems or deficiencies relating to administering and operating GPO.





**OFFICE of the
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INSPECTOR GENERAL MESSAGE

Having joined the GPO as Inspector General (IG) in April of 2019, this is my second report to Congress and it reflects a major transition towards production in support of our stakeholders. Last year I sought to address the relationship between my office and the agency and Congress and my office's focus towards relevant and valued work. This culminated, among other things, with an office-wide reorganization and the passage of the Legislative Branch Inspectors General Independence Act of 2019. The Act presented us with welcome but additional challenges to determine how best to achieve an appropriate independence in our hiring, budgeting and contracting, as well as in implementing an unprecedented law enforcement authority. We have successfully established our law enforcement program but these other areas will be an ongoing challenge. Nonetheless, we remain capable and effective while we address them.

This year we are focused on returning Congress' and the GPO's investment of time and support by providing enhanced products and services. We have already published an audit report and an inspection report, initiated new investigations and begun an agency wide training program on fraud detection and prevention; as well as a comprehensive outreach program addressing the function of the OIG and the Whistleblower Program. The arrival of COVID-19 presents obvious and significant challenges to overcome for effectively executing my vision for producing OIG reports and services. I believe we can still operate effectively in spite of those challenges and execute our annual work plan. Acting responsibly, I believe that technology can allow us to continue with our work across all three divisions. We will make whatever adjustments necessary to continue our mission and protect our people.

My office continues to expend significant efforts towards hiring with limited success. This will remain a priority in order to enable us to undertake more audits, inspections, and investigations and operate a front office. I note here that I have been without a Counselor since December of 2019 and this has a significant impact on my office. In addition to detailees, to supplement my existing staff I have initiated a number of contracts with professional service firms capable of completing timely, targeted, and beneficial analyses. I expect that I will continue to augment the work of my staff with such contracts as is consistent with practice across the IG Community.

On March 3, 2020, I testified for the second time before Congress; on this occasion before the Committee on House Administration on my near term oversight plans and efforts to incorporate additional authorities granted to my office by the passage of the Legislative Branch Inspector General Independence Act of 2019. I am grateful for the continued interest of Members in my program and welcome all such opportunities. In addition to this I have met more than a dozen times with staff from both the House and Senate oversight and budget committees during this period, mostly in order to discuss my internal operations, and to brief them on my oversight efforts. Keeping Congress fully and appropriately informed while maintaining a necessary independence is an enduring focus. To be effective I believe it

important for me to establish more clear and direct communications with Members and am committed to doing so.

I would be remiss if I did not acknowledge the invaluable support I received from the IG Community. In particular, I want to thank Roy Lavik, IG of the Commodity Futures Trading Commission for allowing use of Tony Baptiste, as a detailee, during this period. Tony has been invaluable as my acting Deputy. Finally, I remain fully engaged in the Council of Inspectors General for Efficiency and Effectiveness (CIGIE) and I continue to seek greater integration with the broader IG Community as a clear path towards more consistent and higher standards in my own office.

A handwritten signature in black ink, appearing to read 'M. Leary', with a large, sweeping horizontal stroke across the middle.

Michael P. Leary
Inspector General



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SELECTED STATISTICS

Audits

Audits Reports Issued 2

Inspections

Inspections Reports Issued..... 2

Investigations

Complaints Opened..... 1

Complaints Closed 5

Investigative Cases Opened..... 1

Investigative Cases Closed 36

Subpoenas Issued..... 2

Referrals to GPO Management 2

MANAGEMENT CHALLENGES

To identify management challenges, we examine past audit, inspection, and investigative work, as well as reports where corrective actions have yet to be taken. We assess ongoing audit, inspection, and investigative work to identify significant vulnerabilities and analyze new programs and activities that could pose significant challenges. We also examine GPO Annual Reports, Budget Justification Reports, and Strategic Plans for relevant information about key issues facing the Agency.

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 below challenges were first introduced in the previous fall 2019 Semi-Annual Report to Congress. Progress is normally reviewed annually. However, with the appointment of a new permanent Director, management challenge 2 is updated below. In addition, the agency reported positive financial results for Fiscal Year (FY) 2019 and thus management challenge 3 is also updated.

Challenge 1: GPO will continue to be challenged to attract, develop, and maintain a workforce that best positions the agency to fully transform from print to digital publishing; and which allows its business model to grow.

Overview: Subject to a federal hiring system that is less flexible than its private sector counterparts, GPO faces enduring and complex difficulties achieving its long term transformation goals. There are key positions that remain unfilled in the critical areas of acquisition services, finance, and human capital. Hiring subject matter experts in digital publishing practices in direct competition with the private sector hiring is also a significant challenge. While concerns about the length of time it takes to recruit and fill positions with well qualified candidates are not unique to GPO as a federal agency, they are potentially more harmful since it operates on a business model. Inefficiencies in onboarding transformative candidates may result in those highest qualified candidates choosing not to join GPO.

Challenge: Ensuring GPO has a comprehensive workforce plan for identifying, recruiting, and filling the mission-critical occupations and positions needed to ensure GPO can continue the transformation from print to digital publishing. Improving and updating the personnel policies to facilitate recruiting, hiring, training, retaining, managing and rewarding a high performance workforce.

GPO progress: This management challenge was identified as part of OIG’s fall 2019 assessment of GPO’s mission, strategic plan, and demands on its resources. We will comment on progress in the Fall 2020 Semi Annual Report to Congress (SARC).

Challenge 2: Strategic impact on GPO caused by the extended absence of a confirmed Director for the agency.

Overview: GPO has had acting senior leadership for a protracted period of time. It is essential for the agency to align its workforce, continue to modernize, develop its acquisitions plan, and focus on a long term vision that aligns with its current strategic priorities. This is best accomplished with a permanent and confirmed Director who is empowered by Congress. GPO has published a Five Year Strategic Plan (FY 18-22) and continues efforts to modernize agency workforce, equipment, and processes, but this is subject to review and revision once a Director is eventually confirmed.

Challenge: The difficulty for the current acting leadership team is strategically aligning the workforce with the vision of an eventually confirmed GPO Director and senior leadership team. It has been almost two years since the last confirmed director resigned. In addition, the hiring of a permanent leadership team is hindered while waiting for the selection of a permanent Director. The lack of a permanent leadership team impacts potential development and implementation of a new vision, strategic plan, developing effective long term business opportunities, infrastructure investment and workforce alignment with new developments and priorities. Obviously, the process relies on many external factors outside of GPO’s control; however, the impact on the agency is potentially significant and must be accountable.

GPO progress: The confirmation of Director Halpern in December 2019 was an important step toward addressing this management challenge; however, the more substantive challenge involves developing a cogent vision and installing a team to realize that vision. We will comment on progress further in the next SARC.

Challenge 3: Ensuring GPO has a sustainable business model for the near and mid-term future.

Overview: GPO operates on a revolving fund basis, similar to a private sector business. According to GPO, just 16 percent of GPO’s funding comes from direct appropriations to cover the cost of congressional work, the depository library program and supporting distribution programs, and increases to working capital for specified projects in GPO’s Business Operations Revolving Fund. All other revenues to GPO are reimbursements from agencies for work performed or sales of publications to the public.

GPO needs to continue to position itself to effectively bring about a new level of visibility to the agency’s expanding array of products and services that meet the changing information needs of Congress, Federal agencies, and the American public in the digital age.

Challenge: Ensuring first-rate, system-wide solutions that meet customer requirements and exceed customer expectations. Improve processes and technologies to ensure that solutions are scalable, cost-effective, and secure.

GPO progress: This management challenge was identified as part of OIG’s fall 2019 assessment of GPO’s mission, strategic plan, and demands on its resources. Sustained positive gains will alleviate this management challenge and 2019 was an indicator of positive action. GPO’s operations recorded positive net income of \$36.2¹ million for 2019. GPO attributed the revenue increase to controlling spending, keeping overhead costs down and an increase in agency work through the print procurement program. This data point needs to be understood in context with other factors, such as stable or increasing customer demand and capital improvements that promote both efficiency and savings as well as best practices to determine real progress. We will comment further in the next SARC on this progress

Challenge 4: Improving Procurement Programs.

Overview: GPO is the principal agent for Government printing. Title 44, Chapter 5, Section 501 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.

Challenge: Ensuring GPO strengthens the integrity of the procurement process by ensuring key provisions of GPO’s Print Procurement Regulations are followed in its bid selection and contract awarding procedures through greater oversight and closer scrutiny. Due diligence in reviewing contractor’s past performance and financial data must remain a priority and become more effective. The thousands of contracts and contractors, and the hundreds of millions of dollars applied to these contracts require particular scrutiny for waste, fraud and abuse.

GPO progress: GPO continues to address contract specifications and publishing needs. Our office has a number of projects in progress that will inform our assessment of this challenge. We intend to comment on this challenge in the next SARC.

¹ \$36.2 million after adjustments for passport reserve for assets, and long-term actuarial workers’ compensation. Total revenues for the year were \$937.4 million.

AUDITS

Audit of GPO Purchase Cards Program

OIG conducted an audit of GPO Purchase Cards Program to determine if charges were allowable under GPO guidelines, and if GPO had sufficient controls to prevent purchase card abuse. This report was published on January 16, 2020. GPO's Purchase Cards Program allows employees to make small purchases for official government use in support of its mission. Credit card usage, among other things, reduces the time it takes to make purchases; cuts the costs associated with producing purchase orders; and streamlines the payment procedures.

We were unable to determine if all purchase card charges were allowable under GPO guidelines because we found instances of missing supporting documentation and the lack of evidence of proper approval. We also found numerous examples of cardholders exceeding their annual spending limits. Moreover, we identified \$23,119 in unsupported costs, \$86,856 where charges lacked the proper approval, and \$1,089 in funds to be put to better use. As a result, we questioned charges in the amount of \$109,975 (\$23,119 and \$86,856).

Additionally, we found deficiencies such as cardholders made split purchases, online money transfer services (e.g., PayPal) were used without prior approval, Information Technology (IT) and IT-peripheral items were procured without informing the IT department, approving officials were also issued purchase cards, training records for Smart Pay (SP) 2 cardholders were not maintained, and, documentation to support assertion that retired/separated GPO cardholders returned their purchase cards was missing.

In their response, GPO noted that, with the implementation of SP3, management has installed provisions and safeguards to prevent recurrence of all issues identified with the now retired SP2 program. Although the purchase card controls have been strengthened, GPO attributed most of the identified issues to systemic oversights.

Recommendations: OIG made three recommendations, accepted by the agency, which included obtaining approving officials' verification that purchases identified as questioned costs were needed to support GPO's mission; issue further guidance to cardholders; and GPO improve oversight of the Purchase Cards Program. (*Opportunities Are Available to Enhance Management of Purchase Cards, Report No. 20-01, January 16, 2020*)

U.S. Government Publishing Office FY 2019 Independent Auditors' Report

OIG contracted with an Independent Public Accounting (IPA) firm to audit GPO's financial statements. In the opinion of the IPA, published on December 12, 2019 the consolidated financial statements presented fairly, in all material respects, the financial position of GPO as of September 30, 2018, and 2019, and the results of its operations and cash flows for the years then ended in accordance with U.S. generally accepted accounting principles.

Recommendations: The reports did not contain any recommendations. (*U.S. Government Publishing Office FY 2019 Independent Auditors' Report, Report No. 20-02, December 12, 2019*)

Management Letter—FY 2019 Financial Statements

In conjunction with the FY 2019 financial statement audit, a management letter² was issued to GPO reporting operational matters involving internal controls not included in the consolidated financial audit report. The following four areas were reported.

- Insufficient Controls over Certain Personnel Actions Activities
- Insufficient Controls over Certain Printing and Binding Requisition Activities
- Insufficient Control Activities and Review within Acquisition Services
- Insufficient Control Activities and Review of the Work in Process Calculation

Recommendations: The report made four recommendations for improving internal controls over financial reporting and other operating efficiencies. These recommendations were accepted by the agency. (*Management Letter—FY 2019 Financial Statements, Report No. 20-03, December 13, 2019*).

Information Technology—FY 2019 Financial Statements

In connection with the audit of the GPO FY 2019 financial statements, an assessment of IT controls was performed. One deficiency was found relating to weakness in GPO's Productivity Reporting for Operations, Budgeting, and Expenditures system server administration recertification process. Corrective actions were completed for the deficiency prior to issuance of the report.

Recommendations: The report did not contain any recommendations. (*Information Technology—FY 2019 Financial Statements, Report No. 20-04, December 13, 2019*)

² A management letter describes the deficiencies in internal controls identified during the audit that do not rise to the level of seriousness to be stated in the final auditor's report.

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 Costs (\$)	Funds Put to Better Use (\$)	Other Monetary Impact (\$)
Opportunities Are Available to Enhance Management of Purchase Cards	3	\$109,975	\$1,089	
U.S. Government Publishing Office FY 2019 Independent Auditors' Report (Report No. 20-01)	0			
Management Letter—FY 2019 Financial Statements (Report No. 20-03)	4			
Information Technology—FY 2019 Financial Statements (Report No. 20-04)	0			

See also Appendix A and Appendix B for additional details.

INSPECTIONS

Contingent Liabilities Cost and Trend Analysis, Report No. 20-05

As a follow-up to the FY 2019 Independent Auditors' Report (Report No. 20-02), we reviewed GPO's Contingent Liabilities in order to 1) understand the magnitude of settlements and losses incurred by GPO resulting from suits filed against the Agency, and 2) identify any trends or remarkable issues that could be addressed in order to lower GPO's liability. In a report dated March 12, 2020 we noted one area for improvement with respect to how the Agency accounts for settlements. Also, aside from multiple repeat complainants, we did not identify significant trends or concerns for GPO.

Recommendation: One recommendation, accepted by the agency, for the Chief Financial Officer to create a Standard Operating Procedure to document the overall settlement process, including documentation of year-end Contingent Liabilities.

Inspection of Next Generation Passport Program, Report No. 20-06

We inspected the GPO's Next Generation Passport Program with the intent of answering the following question: Is GPO prepared to meet the DoS production orders for the blank Next Generation Passport booklets? In our report published on March 11, 2020, we found that with respect to machine and process readiness, GPO is prepared to meet future Next Generation Passport orders.

Recommendations: The report did not contain any recommendations.

Oversight of GPO's Cybersecurity Controls

As stated in the last SARC, on June 12, 2019, after coordination with the requisite GPO leadership and personnel, my office transferred the penetration testing and Public Key Infrastructure (PKI) compliance responsibilities back to the Agency. As part of our continuing oversight of GPO IT, I asked GPO for a status update. In a letter dated March 23, 2020, GPO leadership stated that a Purchase Request for the penetration testing contract will be awarded by March 31, 2020. GPO then plans to conduct agency-wide pen-testing (ten systems) within four to eight weeks of the award date. With respect to PKI, the specific FY20 contract has yet to be awarded but is being worked. The annual GPO PKI audit is traditionally conducted during May-June of each year with the final report issued by the contractor in September. GPO intends to keep that timeline. We will continue to monitor GPO's penetration testing and PKI compliance.

Table B: Inspection Reports Issued In Reporting Period

Including Questioned Costs, Funds Put to Better Use and Other Monetary Impact				
Report Name	Number of Recommendations	Questioned Costs	Funds Put to Better Use	Other Monetary Impact
Contingent Liabilities (Report No. 20-05)	1	\$0	\$0	\$0
Next Generation Passport Program (Report No. 20-06)	0	\$0	\$0	\$0

See also Appendix A and Appendix B for additional details.

INVESTIGATIONS

Background

During this semi-annual reporting period Congress passed and the President signed into law on December 20, 2019 the Legislative Branch Inspectors General Independence Act of 2019. The Act provided the Inspector General with statutory law enforcement authority. On March 12, 2020, after the implementation of a comprehensive OIG law enforcement authority program adhering to Attorney General Guidelines and the CIGIE Quality Standards for Investigations, IG Leary deputized Office of Investigations special agents with law enforcement authority enabling them to apply for and execute warrants, make arrests, carry firearms, serve subpoenas, and pursue investigative matters nationwide. Office of Investigations will undertake strategic law enforcement initiatives to deliver timely solutions to mitigate fraud and criminal undertakings affecting GPO.

GPO Contractor Owner Enters into a Plea Agreement Charging Theft of Government Funds and False Claims

On February 17, 2020, a GPO contractor owner entered into a plea agreement charging Theft of Government Funds and False Claims, in violation of Title 18, U.S.C. Sections 641 and 287, respectively. The OIG investigation determined that the GPO contractor owner directed contractor company employees to under produce and distribute approximately half of the materials required in connection with several GPO contracts and to invoice GPO as if the contractor company had completely fulfilled the contract requirements. The contractor company then submitted numerous fraudulent invoices to GPO seeking \$100,620 which resulted in a loss to the U.S. Government of \$47,255. The plea hearing date is currently pending. The OIG is coordinating this investigation with the U.S. Attorney's Office in the Northern District of Florida.

Status:

This remains an open investigation pending final court proceedings.

Notice of Proposed Debarment Issued to a GPO Contractor Company and its Owner; Management Implication Report Issued to Agency

On December 19, 2019, the OIG issued a Suspension and Debarment referral to the GPO Contracting and Debarment Official. The OIG investigation determined that a GPO contractor company and its owner violated GPO contract terms and the GPO Printing Procurement Regulation (PPR) when failing to return government property after the contract was terminated. The OIG investigation also determined that the GPO contractor company and its owner failed to properly secure Personally Identifiable Information (PII) while under their control.

On November 21, 2019, the OIG issued a Management Implication Report (MIR) to the agency reporting that the GPO Privacy Officer and the Privacy Incident Response Team (PIRT) did not take action on the initial report of the PII breach in accordance with the GPO Directive, Guidelines, and Best Practices.

Agency Response: On February 19, 2020, the GPO Suspension and Debarment Official issued a Notice of Proposed Debarment to the GPO contractor company and its owner. A final determination by the agency is pending.

On December 9, 2019, the agency responded to the MIR that it did not concur with the OIG's report that the GPO Privacy Officer and the PIRT did not take appropriate action, and stated that detailed steps were taken. However, the agency also responded that it will strengthen GPO's position with regards to PII in the future by ensuring that the Privacy Officer receives the appropriate PII and Privacy Training; updating the PIRT Framework and Escalation Procedure tables; and, offering the agency's employees PII and privacy training to ensure they are privacy conscious.

Notice of Proposed Debarment Issued to a GPO Contractor Company

On September 28, 2018, the OIG issued a Notice of Proposed Debarment to the GPO Suspension and Debarment Official. The OIG investigation determined that the GPO contractor company mischarged items, failed to apply agreed upon discounts, and did not adhere to contract modifications by repeatedly overcharging the GPO by using higher rates than those contractually agreed upon.

Agency Response: On November 18, 2019, the GPO Suspension and Debarment Official issued a Notice of Proposed Debarment to the GPO contractor company, the contractor company's president, and the contractor company's director.

Status: A final determination by the agency is pending.

Letter of Caution Issued to a GPO Contractor Company

On January 26, 2018, the OIG issued a Suspension and Debarment referral to a GPO contractor company. The OIG investigation determined that the GPO contractor company violated the Buy America Act (BAA) and GPO contract terms when it provided foreign-manufactured goods in fulfillment of GPO contracts without disclosing their place of origin to GPO. This investigation was closed on February 21, 2020.

Agency Response: On September 21, 2018, the GPO Suspension and Debarment Official issued a Notice of Proposed Debarment to the GPO contractor company. On November 25, 2019, the GPO Suspension and Debarment Official issued a final ruling stating the agency would not debar the contractor company, but provided instruction to the contractor company that it should take care to ensure that their products are properly identified as foreign sourced prior to contract award and consistent with the PPR.

Table C: Investigations Statistics for Reporting Period³

Item	Quantity	
Complaints Opened	1	
Complaints Closed	5	
Complaint Referrals to Other Agencies	2	
Complaint Referrals to Office of Audits and Inspections	1	
Investigations Opened by Office of Investigations during Reporting Period	1	
Investigations Open at End of Reporting Period	15	
Investigations Closed	36	
Total Number of Investigative Reports Issued in Reporting Period	0	
Referrals to GPO Management (Complaints and Investigations for either Corrective Action or Informational Purposes)	2	
Current Open Investigations	Number	Percentage
Procurement/Contract Fraud	11	73
Employee Misconduct	1	7
Workers' Compensation Fraud	0	0
IT/Computer Crimes	1	7
Proactive Initiatives	1	7
Other Investigations	1	7
Total	15	100

³ Metrics for developing data for reported statistics were obtained from OIG's Case Management Tracking System.

Table D: Investigations Productivity Statistics for Reporting Period⁴

Item	No. or Amt.
Arrests, including Summons in Lieu of Arrest	0
Persons Referred to Federal Prosecutors	2
Persons Accepted for Federal Prosecution	0
Persons Declined for Federal Prosecution	3
Persons Pending Prosecutorial Determination	0
Persons Referred to State/Local Prosecution	0
Persons Accepted for State/Local Prosecution	0
Persons Declined for State/Local Prosecution	0
Indictments/Information/Complaints	1
Convictions	0
Guilty Pleas/Deferred Prosecution Agreements	0
Criminal Fines, Fees, Recovery, and/or Restitution	\$0
GPO Fines, Fees, and 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	0
Referrals to GPO Management for Possible Corrective Action and/or Information Purposes	2
Employee Corrective Action	1
Agency/Process Corrective Action	1
Business/Individual Referrals to GPO Suspending and Debarring Official for Suspension and/or Debarment	2
Suspensions	0
Debarments	0
Notices of Proposed Suspension	0
Notices of Proposed Debarments	5
Letters of Warning/Caution	1
Employee Suspension/Termination/Other Action	0
Subpoenas Issued	2
Investigations Open at the Beginning of the Period	50
Investigations Open at the End of the Period	15
Complaints Open at the Beginning of the Period	24
Complaints Open at the End of the Period	20
Total: Fines, Questioned Costs, Overcharges, Restitution	0⁵

4 Metrics for developing data for reported statistics were obtained from OIG's Case Management Tracking System.

5 This amount does not include any questioned costs or information on financial impact relating to the 2020 Census printing and mailing contract reported previously because the total impact is not yet known.

OTHER INFORMATION

Significant Revised Management Decisions⁶

There were two revised management decisions this reporting period.

Significant Management Decision with which the IG Disagreed

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

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

There were no instances during the reporting period whereby OIG completed an audit, inspection, or investigation without disclosing the results to the public. All such, product titles are listed on <https://www.gpo.gov/oig/>. Where possible, the report was also posted. Beginning October 2018, report titles and when possible, the audit and inspection reports, were posted at www.oversight.gov.

Whistleblower Retaliation Investigations

None.

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

There were no instances whereby GPO refused to provide information or assistance or interfered with the OIG's independence during this reporting period.

⁶ Since the Joint Committee on Printing exercises certain management functions over GPO and by extension, the GPO Office of Inspector General, where applicable, it may be included in references to "Management."

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. GPO OIG received a peer review rating of pass with deficiencies. OIG addressed the deficiencies identified during the review.

After our one year extension request, our next audit peer review is scheduled for October 2020.

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 CIGIE established and applicable Attorney General Guidelines.

Our next investigation peer review is scheduled for September 2020.

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

APPENDIX A

Summary of Each Audit Report over 6 Months Old for Which No Management Decision Has Been Made⁷

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

⁷ 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 Year⁸

Date Issued	Name of Audit	Report Number	Number of Recommendations	Monetary Impact (\$)
March 28, 2017	Financial Management: Unbilled Congressional Publication Jacket ⁹	17-08	1	
March 28, 2019	Management of Simplified Purchase Agreements	19-08	2	
		Total	3	

⁹ For additional information please visit <https://www.gpo.gov/docs/default-source/inspector-general/recommendations/current-list-of-open-recommendations-3-12-20.pdf>

APPENDIX C

Reporting Requirements under the IG Act of 1978

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	18
Section 5(a)(4)	Matters Referred for Prosecutorial Authorities	10
Section 5(a)(5); 6(b)(2)	Information or Assistance Unreasonably Refused or Not Provided	15
Section 5(a)(6)	List of Completed Audit, Inspection, or Evaluation Reports	5 – 9
Section 5(a)(7)	Summary of Significant Reports	5 – 9
Section 5(a)(8)	Statistical Tables Related to Total Value of Questioned or Unsupported Costs	7 – 9
Section 5(a)(9)	Statistical Tables Related to Funds Recommended To Be Put to Better Use	7 – 9
Section 5(a)(10)	Summary of Each Audit Report over 6 Months Old for Which No Management Decision Has Been Made	17
Section 5(a)(11)	Description and Explanation of Any Significant Revised Management Decision	15
Section 5(a)(12)	Information on Any Significant Management Decision with which the IG Disagrees	15
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	16
Section 5(a)(17)	Statistical Tables Related to Investigations	13 – 14
Section 5(a)(18)	Description of Metrics Used for Developing the Data for the Statistical Tables under Section 5(a)(17)	13 – 14
Section 5(a)(19)	Investigations Involving Senior Government Employees Where Allegations of Misconduct Were Substantiated	None
Section 5(a)(20)	Description of Any Instance(s) of Whistleblower Retaliation	15
Section 5(a)(21)	Description of Any Attempt(s) by the Agency to Interfere with the Independence of the OIG	15
Section 5(a)(22)	Inspections, Evaluations, Audits, and Investigations Involving Senior Government Employees That Were Closed and Not Disclosed to the Public	None

APPENDIX D

Abbreviations and Acronyms

ACT	Legislative Branch Inspectors General Independence Act of 2019
BAA	Buy American Act
CIGIE	Council of Inspectors General for Efficiency and Effectiveness
DoS	U.S. Department of State
FY	Fiscal Year
GPO	Government Publishing Office
IG	Inspector General
IT	Information Technology
JCP	Joint Committee on Printing
MIR	Management Implications Report
OIG	Office of the Inspector General
PII	Personally Identifiable Information
PIRT	Privacy Incident Response Team
PKI	Public Key Infrastructure
PPR	Printing Procurement Regulation
SARC	Semi Annual Report to Congress
SP	Smart Pay
U.S.C.	United States Code

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.

Management Letter

A management letter describes the deficiencies in internal controls identified during the audit that do not rise to the level of seriousness to be stated in the final auditor's report.

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

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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