



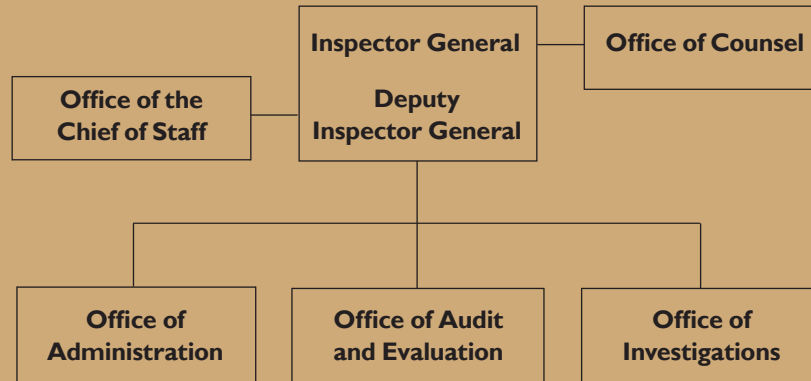
**U.S. Department of Commerce
Office of Inspector General**

Semiannual Report to Congress

September 2019



OFFICE OF INSPECTOR GENERAL



Oversight Areas

Office of the Secretary
Bureau of Economic Analysis
Bureau of Industry and Security
U.S. Census Bureau
U.S. Economic Development Administration
First Responder Network Authority
International Trade Administration
Minority Business Development Agency
National Institute of Standards and Technology
National Oceanic and Atmospheric Administration
National Technical Information Service
National Telecommunications and Information Administration
U.S. Patent and Trademark Office

OIG Main Number

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CONTENTS

1	FROM THE INSPECTOR GENERAL
2	OVERSIGHT AREAS REPORTED ON THIS PERIOD
2	DEPARTMENT-WIDE MANAGEMENT
6	U.S. CENSUS BUREAU
10	U.S. ECONOMIC DEVELOPMENT ADMINISTRATION
12	FIRST RESPONDER NETWORK AUTHORITY
14	INTERNATIONAL TRADE ADMINISTRATION
16	NATIONAL INSTITUTE OF STANDARDS AND TECHNOLOGY
18	NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION
24	NATIONAL TELECOMMUNICATIONS AND INFORMATION ADMINISTRATION
26	U.S. PATENT AND TRADEMARK OFFICE
30	WORK IN PROGRESS
34	STATISTICAL DATA
66	REPORTING REQUIREMENTS
70	ACRONYMS AND ABBREVIATIONS

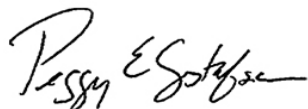
FROM THE INSPECTOR GENERAL

I am pleased to present the Department of Commerce Office of Inspector General's (OIG's) Semiannual Report to Congress for the 6 months ending September 30, 2019.

This report summarizes work that we initiated and completed during this semiannual period on a number of critical Departmental activities. Over the past 6 months, our office issued 13 products related to our audit, evaluation, and inspection work. These products addressed programs and personnel associated with the U.S. Census Bureau (the Bureau), First Responder Network Authority (FirstNet), National Oceanic and Atmospheric Administration (NOAA), U.S. Patent and Trademark Office (USPTO), and the Department itself. This report also describes our investigative activities addressing programs and personnel associated with the Bureau, International Trade Administration (ITA), NOAA, National Telecommunications and Information Administration (NTIA), and USPTO.

As expected of an activity of such significance and substantial cost, the 2020 Census has been a major focus of our efforts and will remain so throughout the course of the next year, particularly as Census Day (April 1, 2020) approaches. Over the course of the last decade, we have completed dozens of audits and evaluations related to this upcoming decennial census, focusing on issues that include cybersecurity, budget, contracts, benchmarks, address lists, nonresponse followup, and general operations. Additionally, we are currently auditing numerous related activities to include nonresponse followup, cost management operations, scalability tests, and the address canvassing operation (see pages 31–32). My office looks forward to supporting the Census Bureau as it completes this Constitutionally-mandated undertaking. In a joint letter with the Census Bureau, we have called upon the director of the Federal Bureau of Investigations (FBI) and law enforcement officials across the nation to help protect 2020 Census field workers, and we continue to monitor and report on related operations through independent and objective oversight.

We thank Secretary Ross, senior officials throughout the Department, and members of Congress and their staffs for their support of our work and for their receptiveness to our recommendations to improve Departmental programs and operations.



PEGGY E. GUSTAFSON

DEPARTMENT-WIDE MANAGEMENT

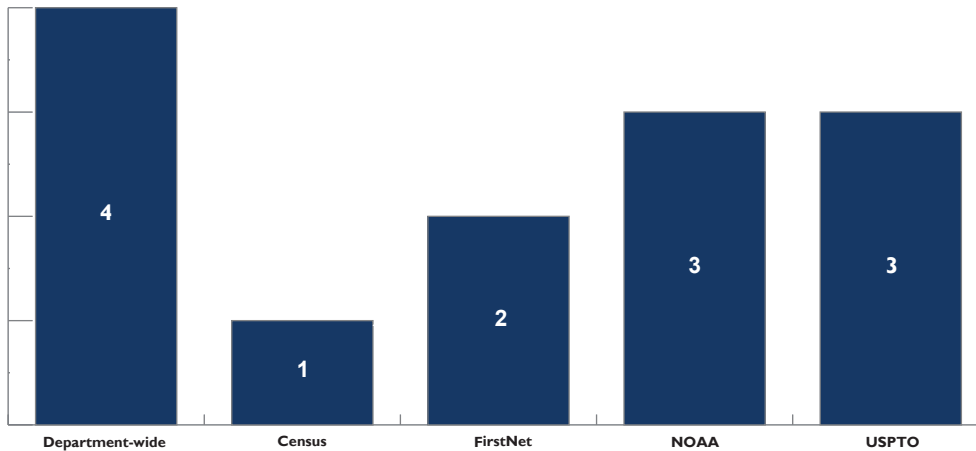


The **U.S. Department of Commerce's** (the Department's) mission is to create the conditions for economic growth and opportunity.

The Department promotes job creation and economic growth by ensuring fair and reciprocal trade, providing the data necessary to support commerce and constitutional democracy, and fostering innovation by setting standards and conducting foundational research and development.

COMPLETED WORKS (BY OVERSIGHT AREA)

During this reporting period, our office completed 13 products related to our audit, evaluation, and inspection work.



FY 2018 COMPLIANCE WITH IMPROPER PAYMENT REQUIREMENTS (OIG-19-013-I)

Our review objective was to determine the Department's fiscal year (FY) 2018 compliance with the Improper Payments Information Act of 2002 (IPIA), as amended. In determining compliance, we also evaluated the accuracy and completeness of the Department's improper payment reporting in the *FY 2018 Agency Financial Report* and its performance in reducing and recapturing improper payments.

Based on our review, we concluded that the Department complied with IPIA compliance criteria. Additionally, our review did not identify any deficiencies regarding the accuracy or completeness of the improper payment reporting data described in the *FY 2018 Agency Financial Report* or the Department's performance in reducing or recapturing improper payments.

ONE YEAR LATER—A LOOK AT THE TIMELINESS AND COMPLETION STATUS OF SECTION 232 PRODUCT EXCLUSION REQUESTS (OIG-19-017-M)

On November 5, 2018, we began an audit of the process for adjudicating product exclusion requests under Section 232 of the Trade Expansion Act of 1962, as amended, by the Bureau of Industry and Security (BIS) and ITA. Our audit objectives are to determine whether (1) BIS and ITA adhere to the processes and procedures in place to review Section 232 product exclusion requests and (2) exclusion request decisions are reached in a consistent and transparent manner.

On July 1, 2019, we issued a memorandum to inform stakeholders about the number of exclusion requests received, in process, and completed as of March 3, 2019. Based on our initial data analysis, we noted the following:

- A backlog of exclusion requests has been created during the first year the tariffs have been in effect, primarily due to three factors.
- Exclusion requests with objections have lower completion rates than requests without objections.
- Exclusion requests with objections consistently miss processing deadlines, while more than half of requests with no objections meet deadlines.
- The percentage of product exclusion requests rejected at pre-clearance has declined over time and averaged 15 percent between May and November 2018.

Information in this memorandum will be included in a later report, which will contain recommendations, along with any Departmental actions taken in response to this memorandum. The final report will extend the range of Section 232 data analyzed to June 12, 2019, the last day before which BIS implemented an online portal to process exclusion request submissions.

MANAGEMENT ALERT: INACCURATE AND INCOMPLETE FLEET INVENTORY DATA (OIG-19-024-M)

On July 17, 2018, we initiated an audit with the objective to determine whether the Department's fleet program operates in accordance with applicable federal fleet requirements for vehicle operations, acquisitions, and utilization.

While conducting data analysis for the audit, we identified problems with the accuracy and completeness of the Department's fleet inventory. Specifically, we observed that

- vehicle records in Sunflower—the Department's personal property management system—are incomplete and inaccurate, and
- there were inconsistencies in the Department's annual Federal Automotive Statistical Tool report to the U.S. General Services Administration (GSA) in FYs 2017 and 2018.

We plan to include the information in a full audit report to be issued at a later date.

THE DEPARTMENT NEEDS TO IMPROVE ITS CAPABILITY TO EFFECTIVELY SHARE CYBER THREAT INFORMATION (OIG-19-026-A)

Our audit objective was to determine the capabilities and practices of the Department to carry out cybersecurity information sharing.

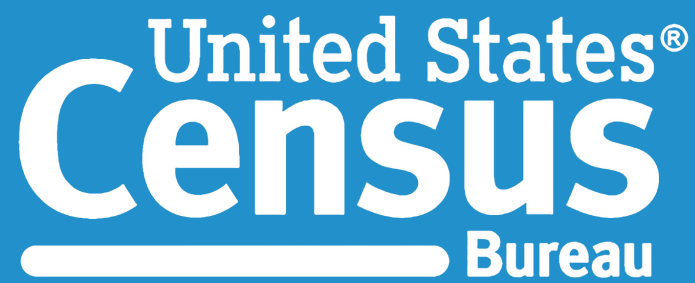
We found that the Department ingests cyber threat information from many different sources. The Department's Enterprise Security Operations Center uses the Commerce Threat Intelligence Portal (CTIP) for the internal dissemination and sharing of information from these sources among the Department's bureaus. Despite recent CTIP software upgrades, we found several challenges the Department faces in sharing cyber threat information effectively. Specifically,

- the Department lacked an internal automated sharing capability;
- the CTIP application was not accessible by all bureaus; and
- the Department lacked adequate information sharing policies, procedures, and training.

We recommended that the Chief Information Officer do the following:

- Finalize CTIP licensing and interconnection agreements and utilize the CTIP Application Programming Interface to automate Department bureaus' ingestion of cyber threat information.
- Ensure that all Department bureaus have access to CTIP.
- Ensure information sharing policies and procedures are compliant with the applicable documents that were created by the U.S. Department of Homeland Security, U.S. Department of Justice, U.S. Department of Defense, and the Office of the Director of National Intelligence.
- Complete a comprehensive CTIP user guide and make it available to all Department bureaus.

U.S. CENSUS BUREAU



The **U.S. Census Bureau's** mission is to serve as the nation's leading provider of quality data about its people and economy.

THE CENSUS BUREAU MUST CORRECT FUNDAMENTAL CLOUD SECURITY DEFICIENCIES IN ORDER TO BETTER SAFEGUARD THE 2020 DECENNIAL CENSUS (OIG-19-015-A)

Our objective was to determine the effectiveness of security processes and controls for select cloud-based information technology (IT) systems supporting the 2020 Census.

We found the following:

- Unsecured GovCloud root user keys caused severe risks to 2020 Census cloud environments.
- Unimplemented security baselines that document system settings and configurations left critical systems vulnerable.
- Basic security practices were not fully implemented to protect Title 13 data hosted in the cloud.

We recommended that the Chief Information Officer of the U.S. Census Bureau do the following:

- Manage the GovCloud root user account according to federal and Departmental requirements. This must include a standardized, documented process to disable the use of all GovCloud root user accounts during the environment creation process for any new GovCloud environments.
- Assess all Amazon Web Services user accounts in accordance with National Institute of Standards and Technology (NIST) account management requirements and conduct periodic reviews as part of Office of Information Security (OIS) assessments.
- Reassess, implement, and continuously monitor security baselines within all cloud environments.
- Perform technical assessments to validate implementation of security baselines as part of the Bureau's cloud systems' initial and ongoing assessments.
- Track all Title 13 data that are stored and processed in Bureau cloud environments. This must include coordination between cloud administrators, operational staff, and OIS personnel.
- Expedite the implementation of the backup solution in progress and ensure it is operating in accordance with NIST guidance.
- Formally document and ensure the implementation of controls compensating for lack of disaster recovery planning or engage in disaster recovery planning if the Bureau is unable to meet its obligation to compensate for the lack of disaster recovery planning.
- Develop and approve an exit strategy for all Bureau cloud systems, including details for completely and securely removing data from the cloud service provider.

JOINT OIG–CENSUS BUREAU LETTER SEEKS ASSISTANCE FROM LAW ENFORCEMENT PROFESSIONALS TO PROTECT 2020 CENSUS EMPLOYEES

The Inspector General and the Director of the Census Bureau, Dr. Steven Dillingham, signed a joint letter highlighting that, during the 2010 Census, employees visited 47 million homes and were the victims of more than 700 reported acts of violence across the United States. While some of these crimes were ultimately investigated and successfully prosecuted, others were not. Additionally, the letter states that it is likely that other criminal acts against Census employees may not have been reported. Prompted by these concerns, the joint letter asked law enforcement officers and deputies across the country for “assistance in aiding in the detection, reporting, and prosecution of violent crimes against Census Bureau workers.”

JOINT OIG–CENSUS BUREAU LETTER SEEKS ASSISTANCE FROM THE FBI TO PROTECT 2020 CENSUS EMPLOYEES

The Inspector General and Dr. Dillingham also signed a joint letter to the FBI that highlighted the more than 700 reported acts of violence against Census employees across the United States during the 2010 Census. Prompted by these concerns—and given the FBI’s national level operations—the joint letter asked for the FBI’s “help with coordination and protocol as potential safety-related incidents regarding Census field staff are reported.”

CENSUS BUREAU EMPLOYEES’ EMAIL AND PASSWORD LOGINS COMPROMISED

In November 2015, the U.S. Environmental Protection Agency OIG reported to our office that one of the co-conspirators in a previous investigation of ours was under investigation for conspiracy to commit wire fraud. The previous investigation involved spear phishing incidents used to obtain government email accounts and passwords in order to set up GSA Advantage accounts, which were then used to purchase large quantities of toner cartridges for shipments overseas (including to Nigeria). We initiated an investigation into the new allegation on November 30, 2015, to determine the individual’s involvement with an international computer hacking and identity theft scheme that has targeted a number of U.S. government agencies (including the Census Bureau), their employees, and vendors that provide services to those government agencies. The subject subsequently fled the United States. An arrest warrant was issued in March 2018. On May 8, 2019, the individual was arrested in Canada. An arraignment hearing for extradition to the United States was held on September 30, 2019.

U.S. ECONOMIC DEVELOPMENT ADMINISTRATION



The **U.S. Economic Development Administration's** mission is to lead the federal economic development agenda by promoting innovation and competitiveness, preparing American regions for growth and success in the worldwide economy. Its investment policy is designed to establish a foundation for sustainable job growth and the building of durable regional economies throughout the United States. This foundation builds on two key economic drivers: innovation and regional collaboration.

QUALITY CONTROL REVIEW OF SOUTH FLORIDA REGIONAL PLANNING COUNCIL FOR THE PERIOD ENDED SEPTEMBER 30, 2017—ISSUED TO EDA (OIG-19-QCR-1)

We initiated a quality control review (QCR) of the South Florida Regional Planning Council audit for its fiscal year ending September 30, 2017. The audit was performed by S. Davis & Associates (SDA), P.A. On our behalf, McBride, Lock & Associates, LLC, performed a review of SDA's audit to determine whether the subject report complied with reporting requirements of the Single Audit Act of 1984, as amended in 1996. The QCR was performed using generally accepted auditing standards published by the American Institute of Certified Public Accountants and generally accepted government auditing standards issued by the U.S. Government Accountability Office (GAO).

The QCR identified an issue related to the selection of major programs using the Low-Risk Federal Program Determination Worksheet.

FIRST RESPONDER NETWORK AUTHORITY



The **First Responder Network Authority**'s mission is to develop, build, and operate the nationwide, broadband network that equips first responders to save lives and protect U.S. communities.

FIRSTNET HAS OPPORTUNITIES TO ADDRESS CONTROL WEAKNESSES (OIG-19-019-A)

Our audit objective was to determine whether FirstNet properly administered the contract's Task Order Number 3 (TO3), *Deployment, Operation, and Maintenance of the Nationwide Core*.

We identified opportunities to address control weaknesses in, and improve management of, TO3 and future task orders. Specifically, we found that FirstNet did not comply with contractual terms, because it issued payment before properly documenting and modifying the Nationwide Public Safety Broadband Network (NPSBN) contract to move 1 of 18 initial operational capability 2 (IOC2) milestones (i.e., objectives for deployment of various features and associated coverage milestones) to a later period. Further, it had not yet modified the contract to request that the contractor meet the final remaining milestone that FirstNet had already paid for.

We recommended that the Chief Procurement Officer do the following:

- Modify the contract to move the IOC2 milestone, which was not completed, to a future IOC period.
- Ensure that, in the future, prior to approving an IOC requirement for payment, FirstNet accepts all milestones, notes any exception and required follow-up in the acceptance memorandum prior to payment, and timely modifies the contract.

MANAGEMENT ALERT: FIRSTNET MANAGEMENT ALTERED CONTRACT REQUIREMENTS WITHOUT AUTHORIZATION (OIG-19-020-M)

On August 1, 2019, we issued a management alert to FirstNet related to an increased risk regarding contract management. Issues regarding this topic came to our attention during fieldwork for another audit.

Contract management areas of concern included unauthorized commitments, the addition of contract requirements without prior contract modification, an improperly executed stop order, and the appearance of a personal services contract.

Only the contracting officer (CO) has the authority to bind the government to agreements or make changes to existing agreements or contracts. However, unauthorized FirstNet managers added requirements to, and increased the cost of, the NPSBN contract without consulting the CO and the contracting officer's representative (COR). The additional requirements were not part of the original scope of work, and modifications were required to authorize informal agreements or work already in progress. The additional requirements were not authorized or funded before the contractor was directed to perform the work.

We proposed that FirstNet's Chief Executive Officer should promptly (a) issue a memorandum to FirstNet staff regarding the important role of the CO and COR and (b) direct acquisition personnel not to authorize additional work on contracts until the work is approved by the CO and properly funded. Additionally, FirstNet's Chief Procurement Officer, with the support of the Chief Executive Officer, should provide training to FirstNet personnel regarding contracting authority.

INTERNATIONAL TRADE ADMINISTRATION



INTERNATIONAL
T R A D E
ADMINISTRATION

The **International Trade Administration's** mission is to create prosperity by strengthening the international competitiveness of U.S. industry, promoting trade and investment, and ensuring fair trade and compliance with trade laws and agreements.

ITA POLITICAL APPOINTEE SENT NUMEROUS “FOR OFFICIAL USE ONLY” EMAILS FROM GOVERNMENT EMAIL ACCOUNT TO PERSONAL EMAIL ACCOUNT

On April 15, 2019, our office closed an investigation relating to an ITA political appointee involved with inappropriate work practices. Among other practices, the ITA political appointee sent numerous emails to include “For Official Use Only” emails from the government email account to a personal email account. There were several other performance issues documented, including tardiness, unreliability, not following standard procedures, and ethics violations. The political appointee was removed from the position.

NATIONAL INSTITUTE OF STANDARDS AND TECHNOLOGY

The logo for the National Institute of Standards and Technology (NIST) is displayed in a bold, white, sans-serif font. The letters 'N', 'I', and 'S' are connected, and the 'T' is separate. The 'I' and 'S' are particularly stylized, with the 'I' having a thick vertical bar and the 'S' having a thick, rounded body.

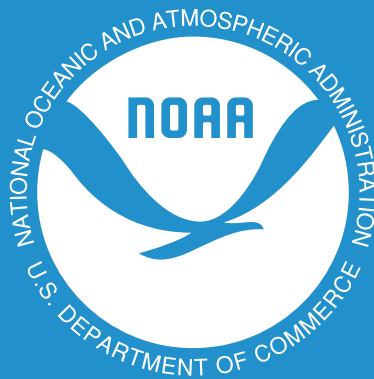
The **National Institute of Standards and Technology** promotes U.S. innovation and industrial competitiveness by advancing measurement science, standards, and technology in ways that enhance economic security and improve our quality of life.

**QUALITY CONTROL REVIEW OF THE INDUSTRIAL TECHNOLOGY INSTITUTE
D/B/A MICHIGAN MANUFACTURING TECHNOLOGY FOR THE PERIOD ENDED
DECEMBER 31, 2017—ISSUED TO NIST (OIG-19-QCR-2)**

We initiated a QCR of the audit of Industrial Technology Institute d/b/a Michigan Manufacturing Technology for the year ending December 31, 2017. The audit was performed by Plante & Moran PLLC. On our behalf, McBride, Lock & Associates, LLC, performed this review to determine whether the subject report complied with reporting requirements of the Single Audit Act of 1984, as amended in 1996. The QCR was performed using generally accepted auditing standards published by the American Institute of Certified Public Accountants and generally accepted government auditing standards issued by GAO.

The QCR identified no deficiencies related to the audit.

NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION



The **National Oceanic and Atmospheric Administration's** mission is to understand and predict changes in climate, weather, oceans, and coasts, to share that knowledge and information with others, and to conserve and manage coastal and marine ecosystems and resources.

AUDIT OF NOAA FINANCIAL ASSISTANCE AWARDS TO THE GULF STATES MARINE FISHERIES COMMISSION (OIG-19-021-A)

The objectives of our audit were to determine whether the Gulf States Marine Fisheries Commission (GSMFC) (1) claimed costs that are allowable, allocable, and reasonable; (2) complied with award terms and conditions, as well as administrative requirements, cost principles, and audit requirements of federal awards; (3) met matching requirements using allowable funds and costs that are properly calculated and valued; and (4) achieved programmatic objectives for each award.

Specifically, we found that GSMFC

- claimed, along with its subrecipients, questioned costs totaling \$1,166,790;
- did not follow contract procurement and program income requirements; and
- cannot verify that it met matching requirements.

We recommended that the Director of the NOAA Grants Management Division do the following:

- Recover the amount disallowed from the \$1,166,790 questioned costs in accordance with the audit resolution process outlined in Department Administrative Order (DAO) 213-5.
- Require GSMFC to implement procedures to monitor subrecipients' compliance with terms and conditions of awards, including ensuring adequate documentation exists to support costs claimed and verifying that amounts claimed are based on actual expenses incurred.
- Require GSMFC to implement internal controls to ensure it allocates costs among federal programs in compliance with federal cost principles and uniform administrative requirements and uses other revenue sources to cover costs that are unallowable for federal awards.
- Require that GSMFC implement procedures to ensure it performs cost or price analysis on procurement contracts and obtains grants officer approval for sole-source contracts.
- Determine whether unreported program income is due to the federal government and require that GSMFC implement procedures to properly report, monitor, and spend program income in accordance with grant award terms and conditions.
- Require GSMFC to implement procedures to ensure match contributions comply with uniform administrative requirements, federal cost principles, and federal records retention requirements.

GEOSTATIONARY OPERATIONAL ENVIRONMENTAL SATELLITE-R SERIES: PROGRAM SUCCESS REQUIRES ADDED ATTENTION TO OVERSIGHT, RISK MANAGEMENT, REQUIREMENTS, AND THE LIFE-CYCLE COST ESTIMATE (OIG-19-022-A)

Our primary objective was to assess the adequacy of the Geostationary Operational Environmental Satellites-R (GOES-R) program's satellite development and testing, as well as the transition of launched satellites into operations. Our second objective was to monitor the program's progress on contracting actions and changes to minimize cost increases.

Regarding our first objective, we identified inadequacies in the development, testing, and operations of the satellites. Regarding our second objective, we narrowed our focus to ground system factors and found that the program's life-cycle cost will increase due to the complexities of its ground system technical refresh. Specifically, we found the following:

- Advanced Baseline Imager (ABI) issues highlight the need for increased oversight in technical, programmatic, and contractual areas.

- GOES-R series magnetometers are less accurate than the previous series, revealing opportunity for NOAA to refine its threshold requirement.
- The GOES-R program did not identify and manage risk to the availability of GOES-East and GOES-West orbital positions.
- Ground system server replacement will increase the program's life-cycle cost and presents risk management challenges.

We found potential monetary benefits of \$284,440,445 related to the fourth finding.

In an "Other Matter" section, we found that processes for reserving orbital positions may not be adequate to meet demands of an increasing number of satellites.

We recommended that the Assistant Administrator for Satellite and Information Services do the following:

- Ensure the GOES-R program addresses anomalies on instruments fulfilling essential mission requirements using a distinct process that is proportional to the criticality of a key performance parameter.
- Ensure an independent review of changes to the ABI contract's performance evaluation plan occurs to determine their rationale, appropriateness, and need for further actions.
- Ensure the GOES-R program updates reliability analyses for ABI, the satellite, and constellation, specifically given the unique conditions of the hardware on GOES-16 and GOES-17 and any design changes for GOES-T and GOES-U.
- Ensure the GOES-R program documents its magnetometer design, integration, and on orbit experience so that it is available to future GOES programs and contractors.
- Ensure that the GOES-R program formally manages risk to geostationary orbital positions for both current and future satellite programs.
- Ensure the GOES-R program updates its life-cycle cost estimate incorporating results from Department's independent assessment.
- Ensure the GOES-R program completes a prioritized list of off-ramps with triggering dates for server replacement activities.
- Ensure the GOES-R program develops a plan to limit the risk of vendor lock-in for ground system sustainment.

We recommended that the Deputy Under Secretary for Operations do the following:

- Ensure that NOAA conducts analysis to determine distinct geomagnetic field measurement accuracy threshold and objective requirement specifications and ensure appropriately supported requirements are reflected in GOES-R program documents.
- Ensure the NOAA Space Weather Prediction Center updates its geomagnetic field observation accuracy requirement validation documentation.
- Ensure NOAA assesses whether GOES are the optimal satellites to achieve geomagnetic field observation requirements, using an analysis of alternatives or similar cost-benefit approach.

REQUEST FOR INFORMATION PURSUANT TO THE INSPECTOR GENERAL ACT OF 1978, AS AMENDED (OIG-19-025-M)

On September 7, 2019, the Inspector General issued a memorandum to leadership at NOAA. The memorandum summarized apparently contradictory communication beginning on September 1, 2019, from the President—and, subsequently, from the NOAA National Weather Service (NWS) office in Birmingham, Alabama—about Hurricane Dorian’s approach to the southeast coast of the United States. The memorandum, in particular, focused on a September 6, 2019, statement released by NOAA—attributed to an unidentified spokesperson—that was contradictory of its own Birmingham NWS office.

To assist OIG in examining the circumstances surrounding NOAA’s September 6 statement, the Inspector General requested that NOAA provide the following documentation by September 13, 2019:

- All communications, including email and text messages, discussing or referring in any manner to the statement, or any draft or precursor statements on the same or similar topics, issued by NOAA on September 6, 2019.
- A description of all calls, meetings, and any other oral communications regarding or discussing the September 6, 2019, statement, including the names and titles of participants, the dates and times of such communications, and any records documenting such calls, meetings, or other oral communications, including but not limited to call logs and calendars.
- All documents discussing or in any manner addressing the applicability of any law, rule, regulation, policy, directive, or other authoritative NOAA document, including the Scientific Integrity Policy, to the September 6, 2019, statement.
- Any and all communications between the NWS Birmingham office and NWS or NOAA and/or Departmental leadership, made on or after September 1, 2019.
- The names and titles of any person who drafted, reviewed, or cleared the unattributed statement issued by NOAA on September 6, 2019.

Our examination into the matter is ongoing.

QUALITY CONTROL REVIEW OF OCEAN EXPLORATION TRUST, INC. FOR THE PERIOD ENDED DECEMBER 31, 2017—ISSUED TO NOAA (OIG-19-QCR-3)

We initiated a QCR of the audit of Ocean Exploration Trust, Inc. for the year ending December 31, 2017. The audit was performed by HintonBurdick, PLLC. On our behalf, McBride, Lock & Associates, LLC, performed this review to determine whether the subject report complied with reporting requirements of the Single Audit Act of 1984, as amended in 1996. The QCR was performed using generally accepted auditing standards published by the American Institute of Certified Public Accountants and generally accepted government auditing standards issued by GAO.

The QCR identified no deficiencies related to the audit.

NOAA EMPLOYEE MISUSED NOAA FUNDS

On May 2, 2019, our office closed an investigation into allegations that a NOAA employee misused NOAA Cooperative Institutes funds by directly transferring millions of dollars to friends. It was also alleged that the employee provided sensitive source selection (SSS) information; awarded contracts to personal associates; misused his or her official government position; received unreported compensation from outside employment; directed the hiring of personal acquaintances; and violated the International Traffic in Arms Regulation (ITAR). Our office substantiated that the employee misused his or her official government position—and partially substantiated multiple ITAR violations, which the NOAA Information System Security Office documented. Our office did

not substantiate the allegations that the employee provided SSS material to associates and received unreported compensation from outside employment. In December 2017, the U.S. Attorney's Office for the District of Maryland declined prosecution based upon the lack of evidence and the employee's resignation from NOAA in 2017.

NATIONAL TELECOMMUNICATIONS AND INFORMATION ADMINISTRATION

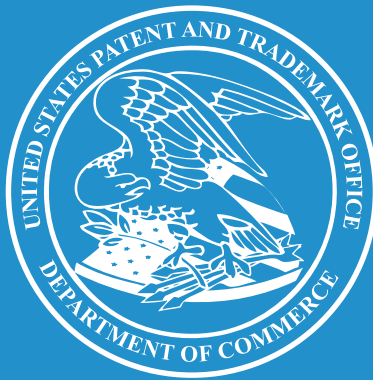


The **National Telecommunications and Information Administration** is the executive branch agency that is principally responsible by law for advising the President on telecommunications and information policy issues. NTIA's programs and policymaking focus largely on expanding broadband internet access and adoption in America, expanding the use of spectrum by all users, and ensuring that the Internet remains an engine for continued innovation and economic growth.

UNSUPPORTED COSTS UNDER NTIA BROADBAND TECHNOLOGY OPPORTUNITIES PROGRAM (BTOP) GRANT RESULTS IN PAYMENT TO THE DEPARTMENT

On July 10, 2019, the Executive Office of West Virginia submitted a payment to the Department for \$244,200, for debt associated with a BTOP grantee's use of excess material. Our investigation determined the BTOP grantee represented it would only install 12 miles of extra cable, which is consistent with industry standard; however, they subsequently installed an additional 37 miles of the cable, which resulted in unsupported costs. The recovery was a result of an investigative report recommendation sent by our office to NTIA on June 15, 2017.

U.S. PATENT AND TRADEMARK OFFICE



The mission of the **U.S. Patent and Trademark Office** is to foster innovation, competitiveness, and economic growth, domestically and abroad, by providing high quality and timely examination of patent and trademark applications, guiding domestic and international intellectual property (IP) policy, and delivering IP information and education worldwide.

INADEQUATE MANAGEMENT OF ACTIVE DIRECTORY PUTS USPTO'S MISSION AT SIGNIFICANT CYBER RISK (OIG-19-014-A)

Our audit objective was to determine whether USPTO has adequately managed its Active Directory to protect mission critical systems and data.

We found that USPTO (1) inadequately managed its Active Directory and (2) poorly protected its critical IT assets hosting Active Directory. Regarding USPTO inadequately managing its Active Directory, we found that

- inadequate configuration of Active Directory allowed excessive access permissions,
- user credentials were not securely stored in Active Directory,
- weak passwords were used, and
- a security best practice was not followed to enforce multi-factor authentication.

Regarding USPTO poorly protecting its critical IT assets hosting Active Directory, we found that

- vulnerability scanning practices were inadequate to identify and remediate vulnerabilities,
- no baseline existed for authorized ports and services, and
- critical vulnerabilities were not remediated in a timely manner.

We recommended that the Under Secretary of Commerce for Intellectual Property and Director of USPTO direct the Chief Information Officer to take the following actions:

- Immediately (1) reevaluate the current Active Directory configuration based on users' roles and responsibilities, (2) reorganize Active Directory user groups based on job functions, and (3) remove any unneeded privileges.
- Eliminate weak credential encryption to the maximum extent possible. For those applications that currently do not support strong encryption, implement additional compensating controls to protect credentials.
- Ensure that all passwords meet the standards set by Department and USPTO policies or implement additional compensating controls to protect them. Furthermore, consider incorporating a password policy that emphasizes password length, a primary factor in characterizing password strength recommended by NIST guidelines.
- Ensure Personal Identity Verification (PIV) card technology compatibility with on-going and future system development for USPTO next-generation applications, and switch PIV enforcement to a per-user basis, when technically feasible.
- Finalize the vulnerability-scanning standard operation procedure and ensure it includes requirements to verify scanning tools are updated prior to scans and credentialed scanning is performed on physical and virtual machines.
- Apply the principle of least functionality by developing an authorized open port baseline for system operation, enforce it, and establish an approval procedure for open port requests that deviate from the baseline.
- Work with USPTO contracting officers to ensure effective government oversight of contractors performing vulnerability assessment scans.
- Streamline the patch management change-review policies and procedures to allow for timely vulnerability remediation.

USPTO COULD IMPROVE OVERSIGHT PRACTICES TO CLOSE OUT CONTRACT FILES BY COMPLYING WITH ACQUISITION REGULATIONS AND POLICIES (OIG-19-018-A)

Our audit objective was to determine whether USPTO contracting personnel administered contract closeout procedures in accordance with federal and Departmental policy and regulations.

We found the following:

- Contracting officers did not close out orders timely.
- Contracting officials did not complete some key closeout steps.
- CORs were not adequately trained, certified and appointed.
- Order files were missing or lacked key documentation.

We recommended that USPTO's Director of the Office of Procurement do the following:

- Improve controls and oversight processes to ensure compliance with federal and Departmental closeout requirements.
- Ensure that contracting officers appoint, in writing, properly trained and certified CORs and remove those who fail to meet those requirements.
- Ensure that all CORs meet their continuous learning requirements and be certified at the appropriate level.
- Ensure that documents required to be in contract files to constitute a complete history of the transaction are contained in the contract file as identified in Federal Acquisition Regulation (FAR) Subpart 4.8.
- Improve controls to ensure contract files are properly safeguarded and maintained as required by the FAR.

Lastly, in another investigation, following a referral by our office to USPTO for further review and consideration, a third employee agreed to serve a 45-day suspension and make a restitution payment of more than \$20,000 for time and attendance abuse between September 2017 and March 2018.

USPTO DID NOT PROVIDE ADEQUATE OVERSIGHT OF MONETARY AWARDS TO ENSURE PATENT EXAMINERS RECEIVE ACCURATE PAYMENTS (OIG-19-023-A)

Our audit objective was to determine whether USPTO monetary awards were (a) granted in compliance with the relevant award criteria and (b) sufficiently documented.

We found that USPTO monetary awards were neither (a) granted in compliance with the relevant award criteria nor (b) sufficiently documented. Overall, USPTO did not provide adequate oversight to ensure patent examiners received accurate award payments. Specifically, we found that USPTO did not

- have a standardized process to calculate award payments;
- validate the addition or accuracy of examiner-related hours included in award calculations; and
- provide adequate evidence to support award payments.

Although we did not find significant errors in awards for full-time examiners, we found that USPTO did not adequately manage the part-time examiners' awards.

We recommended that the Under Secretary of Commerce for Intellectual Property and Director of USPTO direct the Commissioner for Patents to do the following:

- Implement guidance to clearly define the policies, process, validation, and oversight responsibilities covering all key components of the award calculation process.
- Clarify, document, and publish to Supervisory Patent Examiners (SPEs) a list of the examining-related activities eligible for inclusion in gainsharing and special achievement awards.
- Establish requirements to document SPE reviews of examining-related activities for inclusion in award calculations and maintain all supporting documentation for subsequent manual adjustments to award calculations.
- Develop written policies and procedures to identify responsibilities and requirements to review, approve, and validate the accuracy of manual adjustments to monetary award calculations.
- Ensure award nomination forms are complete and accurate, and maintain all documentation that supports awards included in year-end rating forms.

USPTO EMPLOYEE TERMINATED FOR TIME AND ATTENDANCE ABUSE

On July 15, 2019, our office closed an investigation into the allegation that a USPTO employee claimed to have worked during times that the employee did not. We substantiated the allegation and determined that there were approximately 733 hours of paid time claimed by the employee for which there was no supporting evidence of work activities. The U.S. Department of Justice declined the case for criminal prosecution and we referred it to USPTO for administrative action. Subsequently, USPTO terminated the employee and issued a demand notice to the employee for \$43,366.27.

INTELLIGENT PATENT SERVICES, LLC (IPS), OWNER PLEADS GUILTY TO FRAUD IN EFFECTING SALES—FALSE STATEMENT

In October 2017, the Eagle County District Attorney's Office located in Eagle, Colorado, filed a criminal complaint and information against IPS's non-lawyer owner, for three counts of criminal impersonation, one count of fraud in effecting sales—false statements, and one count of bait advertising. The filing was the result of a joint investigation conducted between the Colorado Bureau of Investigations and our office. The subject allegedly engaged in the unauthorized practice of law by advertising, offering, and providing the legal services of patent attorneys to unwitting inventors in Colorado. The subject allegedly drafted and submitted patent applications to USPTO while fraudulently assuming the identities of patent attorneys, resulting in a Departmental nexus. In July 2019, the subject pleaded guilty to one count of fraud in effecting sales—false statements; however, the subject is attempting to withdraw that guilty plea.

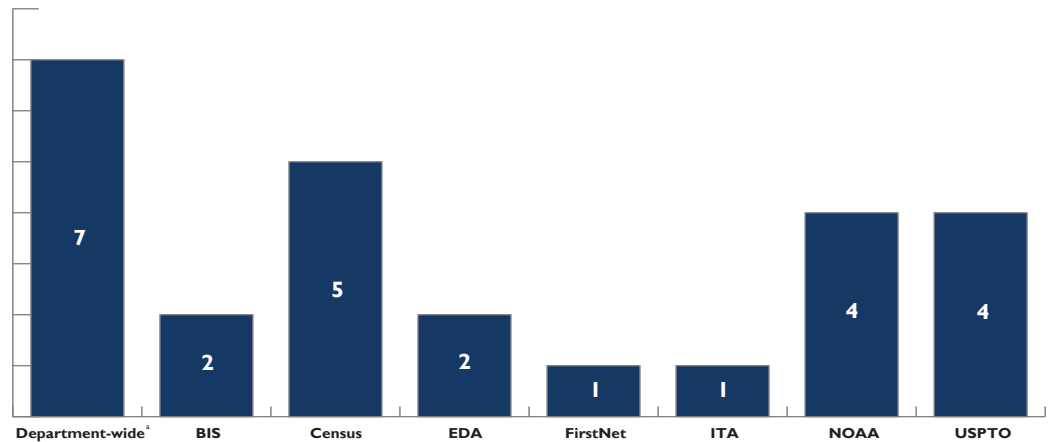
USPTO SUBCONTRACTOR'S CLAIMED WORK TIME SPENT ON NONPROFIT LEADS TO CONTRACTOR REIMBURSEMENT OF USPTO

On September 19, 2019, our office closed an investigation into allegations that a USPTO employee used his or her official position to benefit a nonprofit organization. Our investigation determined that the individual was not a USPTO employee, but was an employee of a USPTO subcontractor who spent 10 percent of claimed labor hours working on the nonprofit organization—and that the individual used USPTO resources to produce materials related to the nonprofit organization. In November 2018, the subcontractor removed the individual from the subcontract work. On August 7, 2019, the prime contractor reimbursed the USPTO \$75,140 for overpayment of labor claims and unofficial use of USPTO resources.

WORK IN PROGRESS

WORK IN PROGRESS (BY OVERSIGHT AREA)

During this reporting period, 26 OIG audit, evaluation, and inspection projects were initiated or underway.



^a Our audit of the Department-wide oversight and practices to close out contract files will result in an audit report, addressed to the Office of the Secretary, that examines contracts issued by the Census Bureau, NIST, and NOAA.

DEPARTMENT-WIDE

Audit of Department-wide Oversight and Practices to Close Out Contract Files

To determine whether the Department administered contract close-out procedures in accordance with federal and Departmental regulations.

Audit of the Department's Fleet Management Practices

To determine whether the Department's fleet program operates in accordance with applicable federal fleet requirements for vehicle operations, acquisitions, and utilization.

Audit of the Department's Implementation of Security Controls to Protect the Enterprise Web Solutions (EWS) System

To determine whether the (1) processes used to vet contracting staff given administrative access to the EWS system are adequate; (2) Department followed a sufficient process to identify the impact level of the EWS system; (3) Office of the Chief Information Officer took appropriate actions to protect the information on the EWS system after it was granted an authorization to operate in 2018; and (4) contract used to procure EWS services and systems complied with Department acquisition regulations.

Audit of Enterprise Services Performance in Managing and Overseeing Select High-Dollar Contracts

To determine whether Enterprise Services effectively and efficiently managed contractor performance of select high-dollar contracts in accordance with federal regulations and Department policy.

FY 2019 Department of Commerce Consolidated Financial Statements Audit (will result in 3 separate reports)

To monitor the independent public accounting firm contracted to determine whether the financial statements are presented fairly, in all material respects, in accordance with generally accepted accounting principles. The audit will also consider the Department's internal control over financial reporting and test compliance with certain provisions of laws, regulations, contracts, and grant agreements that could have a direct and material effect on the financial statements.

FY 2019 Audit of the Department's Digital Accountability and Transparency Act of 2014 Reporting

To (1) assess the completeness, accuracy, timeliness, and quality of the financial and award data submitted for publication on USASpending.gov, and (2) assess the federal agency's implementation and use of the government-wide financial data standards established by the Office of Management and Budget (OMB) and the U.S. Department of the Treasury.

Audit of FY 2019 Federal Information Security Modernization Act (FISMA) Compliance

To assess the effectiveness of the Department's information security program and practices.

BUREAU OF INDUSTRY AND SECURITY

Audit of BIS' Enforcement Programs for End Users

To assess BIS's efforts to ensure foreign end users are suitable to receive and use controlled U.S. exports in accordance with the Export Administration Regulations.

Audit of BIS and ITA Processes and Procedures for Reviewing and Adjudicating Section 232 Exclusion Requests

To determine whether (1) BIS and ITA adhere to the processes and procedures in place to review Section 232 product exclusion requests, and (2) exclusion request decisions are reached in a consistent and transparent manner.

U.S. CENSUS BUREAU

Audit of the U.S. Census Bureau's 2018 End-to-End Census (E2E) Test's Peak Operations

To determine whether (1) the Bureau designed the test to inform the 2020 Census; (2) the Bureau performed Non-ID processing and unduplicated responses in a timely manner to reduce the Nonresponse Followup (NRFU) operation's workload; (3) NRFU systems are included in the test and function as designed; and (4) the test included data quality components identified as success criteria in the test plan.

Audit of the U.S. Census Bureau's 2018 E2E Test's Census Questionnaire Assistance (CQA) Operation

To determine how previous internal assessments have informed the operation and to assess how the CQA contract was planned and how its costs are being managed.

Audit of the U.S. Census Bureau's Integrated Communications Contract with Young and Rubicam, Inc.

To determine whether the Bureau is (1) administering time-and-materials and labor hour delivery orders in accordance with FAR and *Commerce Acquisition Manual* requirements, and (2) effectively monitoring the contract to ensure schedules are met.

Audit of the U.S. Census Bureau's 2020 Census Performance and Scalability Test

To determine whether the Bureau completed phases I through 4 in accordance with the 2020 Census Performance and Scalability Test plan phase requirements and schedule.

Evaluation of the U.S. Census Bureau's 2020 Census Address Canvassing Operation

To determine whether the Bureau implemented an effective strategy for completing the 2020 Census address canvassing operation and producing a complete and accurate address list.

U.S. ECONOMIC DEVELOPMENT ADMINISTRATION**Audit of EDA's Disaster Relief Workforce Planning**

To determine whether EDA's workforce planning process for awarding and administering Disaster Supplemental funds—appropriated by the Bipartisan Budget Act of 2018—is adequate and effective.

Audit of EDA's Disaster Relief Grants Award Administrative Process and Oversight Efforts

To determine whether EDA's grants process for awarding disaster relief funds appropriated by the Bipartisan Budget Act of 2018 is adequate.

FIRST RESPONDER NETWORK AUTHORITY**Audit of the Management of Fee Payments from AT&T**

To determine whether FirstNet's processes for setting, collecting, and managing fees, and NTIA's processes for reviewing and approving the fees are consistent with legislative and contractual requirements.

INTERNATIONAL TRADE ADMINISTRATION**Evaluation of the 2018 U.S. & Foreign Commercial Service Officer Promotion Process**

To determine whether U.S. & Foreign Commercial Service, which is part of ITA's Global Markets business unit, adhered to applicable laws, regulations, and policies when conducting the 2018 officer promotion process.

NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION**Audit of NOAA's Office of Marine and Aviation Operations (OMAO) Ship Fleet Acquisition Planning**

To determine whether NOAA performed effective acquisition planning for its construction of new ships; to review NOAA's management of funds associated with this acquisition.

Supplemental Memorandum on Report No. OIG-19-021-A, Audit of NOAA Financial Assistance Awards to GSMFC

To determine whether the Gulf and South Atlantic Fisheries Foundation, a subrecipient of financial assistance award NAI0NMF4770481 from NOAA, claimed costs that are allowable, allocable, and reasonable.

Audit of Joint Polar Satellite System Spacecraft Acquisition and Development

To assess the cost, schedule, and technical performance of the Joint Polar Satellite System (JPSS) program's spacecraft acquisition and development efforts.

Audit of Joint Polar Satellite System Instruments Acquisition and Development

To assess the cost, schedule, and technical performance of acquisition and development efforts for selected JPSS instruments.

U.S. PATENT AND TRADEMARK OFFICE**Audit of USPTO's Oversight of the Systems Development and Integration Next Generation Contract**

To determine whether USPTO provided adequate oversight and monitoring of contractors' performance for the Systems Development and Integration Next Generation contract.

Audit of USPTO's Small Business Utilization

To determine whether USPTO (1) is achieving its small business utilization goals; (2) contracting officials provided small businesses with adequate contract award opportunities; and (3) took appropriate actions to ensure they met small business contracting goals.

Audit of USPTO's Backup and Restoration Policies, Procedures, and Practices of the Patent Capture and Application Processing System

To determine whether USPTO has adequate data recovery and contingency plans in place to ensure operational availability of the Patent Capture and Application Processing system.

Audit of USPTO FY 2019 Financial Statements (will result in 2 separate reports)

To monitor the independent public accounting firm contracted to determine whether the financial statements are presented fairly, in all material respects, in accordance with generally accepted accounting principles. The audit will also consider USPTO's internal control over financial reporting and test compliance with certain provisions of laws, regulations, and contracts that could have a direct and material effect on the financial statements.

STATISTICAL DATA

The Inspector General Act of 1978, as amended, (IG Act) requires us to present the statistical data contained in the following:

TABLES	PAGE(S)
1. Office of Investigations Statistical Highlights for This Period	35
2. Audit Resolution and Follow-Up	36
3. Audit and Inspection Statistical Highlights for This Period	37
4. Audits with Questioned Costs	38
5. Audits with Recommendations That Funds Be Put to Better Use	38
6. Summary of Report Types for This Period	39
6-a. Performance Audits	40
6-b. Inspections and Evaluations	40
6-c. Other Public Reports	41
7. Summary of Unimplemented and Unresolved Recommendations by Operating Unit	42–43
7-a. Unimplemented Recommendations from Audit, Evaluation, and Inspection Reports	44–55
7-b. Unresolved FY 2019 Recommendations from Audit, Evaluation, and Inspection Reports	56–58
7-c. Reports for Which Management Took Longer Than 60 Days to Respond	59–60
8. Reports on Investigations Concerning Senior Government Employees	61
9. Descriptions of Instances of Whistleblower Retaliation	62
10. Description of Closed and Non-Public Inspections, Evaluations, Audits, and Certain Investigations	63
10-a. Description of Closed and Non-Public Inspections, Evaluations, and Audits	64
10-b. Description of Certain Closed and Non-Public Investigations	65

TABLE I. OFFICE OF INVESTIGATIONS STATISTICAL HIGHLIGHTS FOR THIS PERIOD

Investigative activities cover investigations opened and closed by OIG; arrests by OIG agents; indictments and other criminal charges filed against individuals or entities as a result of OIG investigations; convictions secured at trial or by guilty plea as a result of OIG investigations; and fines, restitution, and all other forms of financial recoveries achieved by OIG as a result of investigative action. Fines and other financial recoveries refer only to agreements that a judge accepted.

Allegations processed presents the number of complaints from employees, stakeholders, and the general public that were handled by our Compliance and Ethics unit. Of these, some resulted in the opening of investigations; others were referred to bureaus for internal administrative follow-up. Others were unrelated to Departmental activities or did not provide sufficient information for any investigative follow-up and so were not accepted for investigation or referral.

Allegations Received	
Total hotline contacts	597
Contacts related to Departmental programs	414
Number of hotline referrals to Departmental management	218
Investigative Caseload	
Investigations opened this period	32
Investigations closed/completed this period	29
Investigations in progress as of September 30, 2019	51 ^a
Reports	
Total number of investigative reports issued during the reporting period	5 ^b
Prosecutive Actions and Monetary Results	
Total number of individuals or entities referred to the U.S. Department of Justice for criminal prosecution	14
Total number of entities referred to state/local prosecuting authorities	2
Indictments/Informations	1
Convictions	2
Monetary recoveries (Fines, Restitution, Settlements, Judgments, and Administrative Remedies)	\$1,334,687 ^c
Administrative Actions	
Suspension/Debarment actions	1
Disciplinary actions	5

^a This figure excludes 31 cases pending U.S. Department of Justice prosecution or agency action, 20 preliminary cases, and 2 cases pending closure.

^b This figure represents the total number of investigative reports issued to Departmental agencies for administrative action.

^c This figure includes \$1,015,347 in monetary issues identified by our office and GSA OIG.

TABLE 2. AUDIT RESOLUTION AND FOLLOW-UP

The IG Act requires us to present in this report information concerning audits issued before the beginning of the reporting period (April 1, 2019) for which no management decision had been made by the end of the period (September 30, 2019). No audit reports remain unresolved for more than 6 months for this reporting period.

Audit resolution is the process by which the Department of Commerce reaches an effective management decision in response to audit reports. **Management decision** refers to management's evaluation of the findings and recommendations included in the audit report and the issuance of a final decision by management concerning its response.

DAO 213-5, *Audit and Evaluation Resolution and Follow-up*, provides procedures for management to request a modification to an approved audit action plan or for a financial assistance recipient to appeal an audit resolution determination. There was no modification or appeal activity during the 6-month period ending September 30, 2019. The following table summarizes modification and appeal activity during the reporting period.

Report Category	Modifications	Appeals
Actions pending (April 1, 2019)	0	0
Submissions	0	0
Decisions	0	0
Actions pending (September 30, 2019)	0	0

TABLE 3. AUDIT AND INSPECTION STATISTICAL HIGHLIGHTS FOR THIS PERIOD

Audits comply with standards established by the Comptroller General of the United States for audits of federal establishments, organizations, programs, activities, and functions.

Inspections include evaluations, inquiries, and similar types of reviews that do not constitute an audit or a criminal investigation.

Questioned costs ^a	\$1,166,790 ^b
Value of audit recommendations that funds be put to better use ^c	\$284,440,445
Total potential monetary benefits	\$285,607,235
Value of audit recommendations agreed to by management ^d	\$2,491,000

^a **Questioned cost:** This is a cost questioned by OIG because of (1) an alleged violation of a provision of a law, regulation, contract, grant, cooperative agreement, or other agreement or document governing the expenditure of funds; (2) a finding that, at the time of the audit, such cost is not supported by adequate documentation; or (3) a finding that an expenditure of funds for the intended purpose is unnecessary or unreasonable.

^b In *Audit of NOAA Financial Assistance Awards to the Gulf States Marine Fisheries Commission* (OIG-19-021, issued August 12, 2019), we reported total questioned costs of \$1,166,790; the federal share of questioned costs is \$1,113,506.

^c **Value of audit recommendations that funds be put to better use:** This results from an OIG recommendation that funds could be used more efficiently if Department management took action to implement and complete the recommendation. Such actions may include (1) reductions in outlays; (2) deobligation of funds from programs or operations; (3) withdrawal of interest subsidy costs on loans or loan guarantees, insurance, or bonds; (4) costs not incurred by implementing recommended improvements related to the Department, a contractor, or a grantee; (5) avoidance of unnecessary expenditures identified in pre-award reviews of contracts or grant agreements; or (6) any other savings specifically identified.

^d **Value of audit recommendations agreed to by management:** This is the sum of (1) disallowed costs and (2) funds to be put to better use that are agreed to by management during resolution. Disallowed costs are the amount of costs that were questioned by the auditors or the agency action official and subsequently determined—during audit resolution or negotiations by a contracting officer—not to be charged to the government.

TABLE 4. AUDITS WITH QUESTIONED COSTS

See table 3 for a definition of “questioned cost.” An **unsupported cost** is a cost that is not supported by adequate documentation at the time of the audit. Questioned costs include unsupported costs.

Report Category	Number	Questioned Costs (\$)	Unsupported Costs (\$)
A. Reports for which no management decision had been made by the beginning of the reporting period	1	2,491,000	27,309
B. Reports issued during the reporting period	1	1,166,790	355,721
Total reports (A+B) requiring a management decision during the period	2	3,657,790	383,030
C. Reports for which a management decision was made during the reporting period ^a	1	2,491,000	27,309
i. Value of disallowed costs		2,491,000	27,309
ii. Value of costs not disallowed		0	0
D. Reports for which no management decision had been made by the end of the reporting period	1	1,166,790	355,721

^a In category C, lines i and ii do not always equal the total in line C because resolution may result in values greater than the original recommendations.

TABLE 5. AUDITS WITH RECOMMENDATIONS THAT FUNDS BE PUT TO BETTER USE

See table 3 for a definition of “recommendations that funds be put to better use.”

Report Category	Number	Value (\$)
A. Reports for which no management decision had been made by the beginning of the reporting period	0	0
B. Reports issued during the reporting period	1	284,440,445
Total reports (A+B) requiring a management decision during the period	1	284,440,445
C. Reports for which a management decision was made during the reporting period ^a	0	0
i. Value of recommendations agreed to by management		
ii. Value of recommendations not agreed to by management		
D. Reports for which no management decision had been made by the end of the reporting period	1	284,440,445

^a In category C, lines i and ii do not always equal the total in line C because resolution may result in values greater than the original recommendations.

TABLES 6, 6-A, 6-B, AND 6-C. REPORT TYPES FOR THIS PERIOD

Performance audits provide findings or conclusions based on an evaluation of sufficient, appropriate evidence against criteria. Performance audits provide objective analysis to assist management and those charged with governance and oversight in using the information to improve program performance and operations, reduce costs, facilitate decision making by parties with responsibility to oversee or initiate corrective action, and contribute to public accountability.

Inspections include evaluations, inquiries, and similar types of reviews that do not constitute an audit or investigation. An inspection is defined as a process that evaluates, reviews, studies, or analyzes the programs and activities of a department or agency to provide information to managers for decision making; makes recommendations for improvements to programs, policies, or procedures; and identifies where administrative action may be necessary.

Other public reports from this period are comprised of correspondence—including one memorandum reporting data from an ongoing audit, two management alerts, and a request for information pursuant to the IG Act. Management alerts are memorandums that OIG issues as an interim mechanism for alerting the Secretary, Department heads, Congress, and other officials of significant preliminary findings or matters requiring urgent attention.

TABLE 6. SUMMARY OF REPORT TYPES FOR THIS PERIOD

Type	Number of Reports	Table Number
Performance audits	8	Table 6-a
Inspections and evaluations	1	Table 6-b
Other public reports	4	Table 6-c
Total	13	

TABLE 6-A. PERFORMANCE AUDITS

Report Title	Report Number	Date Issued	Funds to Be Put to Better Use (\$) ^a	Amount Questioned (\$)	Amount Unsupported (\$)
U.S. Census Bureau					
<i>The Census Bureau Must Correct Fundamental Cloud Security Deficiencies in Order to Better Safeguard the 2020 Decennial Census</i>	OIG-19-015-A	06.19.2019	0	0	0
First Responder Network Authority					
<i>FirstNet Has Opportunities to Address Control Weaknesses</i>	OIG-19-019-A	07.22.2019	0	0	0
National Oceanic and Atmospheric Administration					
<i>Audit of NOAA Financial Assistance Awards to the Gulf States Marine Fisheries Commission</i>	OIG-19-021-A	08.12.2019	0	1,166,790	355,721
<i>Geostationary Operational Environmental Satellite—R Series: Program Success Requires Added Attention to Oversight, Risk Management, Requirements, and the Life-Cycle Cost Estimate</i>	OIG-19-022-A	08.12.2019	284,440,445	0	0
Office of the Secretary					
<i>The Department Needs to Improve Its Capability to Effectively Share Cyber Threat Information</i>	OIG-19-026-A	09.30.2019	0	0	0
U.S. Patent and Trademark Office					
<i>Inadequate Management of Active Directory Puts USPTO's Mission at Significant Cyber Risk</i>	OIG-19-014-A	06.13.2019	0	0	0
<i>USPTO Could Improve Oversight Practices to Close Out Contract Files by Complying with Acquisition Regulations and Policies</i>	OIG-19-018-A	07.10.2019	0	0	0
<i>USPTO Did Not Provide Adequate Oversight of Monetary Awards to Ensure Patent Examiners Receive Accurate Payments</i>	OIG-19-023-A	08.22.2019	0	0	0

TABLE 6-B. INSPECTIONS AND EVALUATIONS

Report Title	Report Number	Date Issued	Funds to Be Put to Better Use (\$)	Amount Questioned (\$)	Amount Unsupported (\$)
Office of the Secretary					
<i>FY 2018 Compliance with Improper Payment Requirements</i>	OIG-19-013-I	06.03.2019	0	0	0

TABLE 6-C. OTHER PUBLIC REPORTS

Report Title	Report Number	Date Issued
<i>One Year Later—A Look at the Timeliness and Completion Status of Section 232 Product Exclusion Requests</i>	OIG-19-017-M	07.01.2019
<i>Management Alert: FirstNet Management Altered Contract Requirements Without Authorization</i>	OIG-19-020-M	08.01.2019
<i>Management Alert: Inaccurate and Incomplete Fleet Inventory Data</i>	OIG-19-024-M	09.05.2019
<i>Request for Information Pursuant to the Inspector General Act of 1978, as Amended</i>	OIG-19-025-M	09.07.2019

TABLES 7, 7-A, 7-B, AND 7-C. UNIMPLEMENTED AND UNRESOLVED RECOMMENDATIONS

All tables concerning unimplemented or unresolved recommendations do not include recommendations from (a) classified or sensitive nonpublic reports, (b) recurring, annual audits (such as financial statement audits), or (c) those addressed to specific non-federal entities in connection with audits of financial assistance awards.

Recommendations from all performance audit, evaluation, and inspection reports issued prior to FY 2015 have been implemented.

Resolved but unimplemented recommendations are those for which (a) the operating unit(s) agreed to OIG recommendations and (b) OIG approved the action plan. Columns 2 through 5 of table 7 provide details on resolved but unimplemented recommendations.

Unresolved recommendations include those with no approved action plan as of September 30, 2019, or those for which the action plans are not due until after September 30, 2019. Columns 6 through 7 of table 7 provide details on “unresolved” recommendations.

Table 7-a provides details on FY 2015–2019 performance audit, evaluation, or inspection reports that have resolved but unimplemented recommendations. When issued, these 84 reports had 410 total recommendations. As of September 30, 2019,

- 23 of the 84 reports (27 percent) had resolved but unimplemented recommendations;
- 90 of 410 total recommendations (22 percent) were resolved but unimplemented; and
- 8 of these resolved but unimplemented recommendations had potential monetary benefits of \$8,599,970,629.

Table 7-b provides details on five FY 2019 performance audit reports with 34 unresolved recommendations. Two of these unresolved recommendations have potential monetary benefits of \$1,166,790 in questioned costs and \$284,440,445 in funds to be put to better use.

Table 7-c provides details on performance audit, evaluation, or inspection reports for which management took longer than 60 days to respond.

TABLE 7. SUMMARY OF UNIMPLEMENTED AND UNRESOLVED RECOMMENDATIONS BY OPERATING UNIT

Operating Unit	FY 2015–2016 Unimplemented Recs (Resolved)	Potential Monetary Benefits of FY 2015–2016 Unimplemented Recs	FY 2017–2019 Unimplemented Recs (Resolved)	Potential Monetary Benefits of FY 2017–2019 Unimplemented Recs	Unresolved FY 2019 Recs	Potential Monetary Benefits of Unresolved FY 2019 Recs
Bureau of Economic Analysis	0	0	0	0	0	0
Bureau of Industry and Security	0	0	0	0	0	0
U.S. Census Bureau	1	0	14	0	8	0
U.S. Economic Development Administration	1	0	2	\$3,124,732	0	0
First Responder Network Authority	0	0	2	0	0	0
International Trade Administration	0	0	1	0	0	0
Minority Business Development Agency	0	0	0	0	0	0
National Institute of Standards and Technology	0	0	0	0	0	0
National Oceanic and Atmospheric Administration	3	0	31	\$8,594,726,613	17	\$285,607,235
National Technical Information Service	0	0	0	0	0	0
National Telecommunications and Information Administration	0	0	0	0	0	0
Office of the Secretary	5	0	8	\$2,119,284	4	0
U.S. Patent and Trademark Office	0	0	22	0	5	0
TOTAL	10	\$0	80	\$8,599,970,629	34	\$285,607,235

TABLE 7-A. UNIMPLEMENTED RECOMMENDATIONS FROM AUDIT, EVALUATION, AND INSPECTION REPORTS

Table 7-a does not include recommendations from (a) classified or sensitive nonpublic reports, (b) recurring, annual audits (such as financial statement audits), or (c) those addressed to specific non-federal entities in connection with audits of financial assistance awards.

Recommendations from all performance audit, evaluation, and inspection reports issued prior to FY 2015 have been implemented.

- **FY 2015:** OIG issued 17 reports with a total of 83 recommendations. As of September 30, 2019, 1 recommendation (1 percent of FY 2015 recommendations) was resolved but unimplemented. There are no unimplemented recommendations with potential monetary benefits.
- **FY 2016:** OIG issued 26 reports with a total of 109 recommendations. As of September 30, 2019, 9 recommendations (8 percent of FY 2016 recommendations) were resolved but unimplemented. There are no unimplemented recommendations with potential monetary benefits.
- **FY 2017:** OIG issued 20 reports with a total of 88 recommendations. As of September 30, 2019, 10 recommendations (11 percent of FY 2017 recommendations) were resolved but unimplemented. Three unimplemented recommendations have potential monetary benefits of \$13,070,602 in funds to be put to better use.
- **FY 2018:** OIG issued 14 reports with a total of 85 recommendations. As of September 30, 2019, 28 recommendations (33 percent of FY 2018 recommendations) were resolved but unimplemented. One unimplemented recommendation has potential monetary benefits of \$372,027 in questioned costs. Two unimplemented recommendations have potential monetary benefits of \$8,584,037,000 in funds to be put to better use.
- **FY 2019:** OIG issued 12 reports with a total of 79 recommendations. As of September 30, 2019, OIG had approved action plans for 7 of these reports with 45 recommendations. With regard to these recommendations, 42 recommendations (93 percent) were resolved but unimplemented. One unimplemented recommendation has potential monetary benefits of \$2,491,000 in questioned costs.

The remaining 5 unresolved reports and their 34 recommendations are listed under table 7-b. One unresolved recommendation has potential monetary benefits of \$1,166,790 in questioned costs. One unresolved recommendation has potential monetary benefits of \$284,440,445 in funds to be put to better use.

Date Report Issued	OIG Report No. and Title	Total Recommendations Made	Unimplemented Recommendations	Potential Monetary Benefits of Unimplemented Recommendations
06.05.2015	OIG-15-031, <i>EDA Faces Challenges in Effectively Monitoring Its Revolving Loan Funds</i>	8	1	0

Objective(s)

Our audit objectives were to determine whether EDA effectively responds to performance problems and changes to distressed or underserved communities within the Revolving Loan Fund (RLF) program.

Finding(s)

We found that (1) EDA did not aggressively respond to noncompliant RLFs, exposing agency funds to misuse and economic loss and (2) inflexibility in current RLF regulations and limited resources reduce EDA's ability to effectively oversee problematic or underutilized RLFs.

Unimplemented Recommendation(s)

Recommendation 6: We recommend that the Assistant Secretary of Commerce for Economic Development direct the appropriate EDA regional officials to identify projects with RLF plans more than 5 years old and document determinations on whether those plans require modifications—including determinations on whether a need for the RLF still exists in a particular location or whether funds should be transferred.

Date Report Issued	OIG Report No. and Title	Total Recommendations Made	Unimplemented Recommendations	Potential Monetary Benefits of Unimplemented Recommendations
04.18.2016	OIG-16-025 , <i>The Census Working Capital Fund Lacks Transparency</i>	6	1	0

Objective(s)

The objective of this audit was to evaluate the budgetary controls over the Bureau's working capital fund (WCF).

Finding(s)

We found that the Bureau (1) could not provide support for its overhead rates, (2) lacks monitoring procedures to ensure WCF transparency and compliance with statutes, (3) may have used FY 2010 funds to improperly augment a survey sponsor's FY 2009 appropriation, (4) has not prepared the required financial reports for the WCF, and (5) lacks controls necessary to ensure that excess funds are returned to reimbursable survey sponsors promptly.

Unimplemented Recommendation(s)

Recommendation 2: We recommend that the Director of the Census Bureau obtain an opinion from the Department of Commerce Office of the General Counsel (OGC) to determine whether funds from the Improving Operational Efficiency program, carried over in FY 2010 and FY 2011, are considered earned income and were carried over in compliance with appropriations laws (and, in addition, notify the Department's Chief Financial Officer and Assistant Secretary for Administration of the results—and, if noncompliance is noted, develop controls to track the original period of availability of Improving Operational Efficiency program funds).

04.26.2016	OIG-16-026 , <i>The Joint Polar Satellite System: Further Planning and Executive Decisions Are Needed to Establish a Long-term, Robust Program</i>	9	2	0
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Objective(s)

Our objectives for this evaluation were to (1) determine the progress of Polar Follow-On (PFO) planning, (2) monitor ongoing JPSS acquisition and development (i.e., JPSS-1 and JPSS-2 missions), and (3) assess the potential for data gaps.

Finding(s)

We found that (1) PFO plans needed further development to support the establishment of program cost, schedule, and performance baselines, (2) satellite and ground system development challenges posed risk to JPSS-1 launch schedule, and (3) the potential for data gaps requires leadership's sustained attention.

Unimplemented Recommendation(s)

Recommendation 8: In order to guide and sustain the implementation of NOAA polar satellite observing systems, we recommend that the NOAA Deputy Under Secretary for Operations incorporate NOAA's robust architecture criteria into formal NOAA policy.

Recommendation 9: In order to guide and sustain the implementation of NOAA polar satellite observing systems, we recommend that the NOAA Deputy Under Secretary for Operations include new satellite technology insertion as part of NOAA's strategic and tactical plans.

08.04.2016	OIG-16-040 , <i>Review of IT Security Policies, Procedures, Practices, and Capabilities in Accordance with the Cybersecurity Act of 2015</i>	5	5	0
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Objective(s)

The objective of this audit was to examine the IT security policies, procedures, practices, and capabilities—as defined in the Cybersecurity Act of 2015—for national security and personally identifiable information systems.

Finding(s)

The findings of this report are For Official Use Only, and not included in this publicly released *Semiannual Report to Congress*.

Unimplemented Recommendation(s)

The recommendations of this report are For Official Use Only, and are not included in this publicly released *Semiannual Report to Congress*.

Date Report Issued	OIG Report No. and Title	Total Recommendations Made	Unimplemented Recommendations	Potential Monetary Benefits of Unimplemented Recommendations
08.26.2016	OIG-16-043, Successful Cyber Attack Highlights Longstanding Deficiencies in NOAA's IT Security Program	8	1	0
Objective(s)				
We conducted this audit to (1) determine the significant factors that contributed to the successful cyber attack on NOAA information systems and (2) evaluate NOAA's handling of the detection, analysis, eradication, and reporting of the attack, as well as recovery from it.				
Finding(s)				
We found that (1) deficiencies in risk management left an application exposed to attack, (2) web application vulnerability assessments were not conducted routinely and missed hundreds of high-risk vulnerabilities, (3) deferred implementation of multifactor authentication allowed unauthorized access to additional systems, and (4) inadequate firewall management practices prolonged the disruption of disseminating weather satellite data.				
Unimplemented Recommendation(s)				
Recommendation 8: We recommend that NOAA's Chief Information Officer ensure that adequate measures are taken to implement mechanisms for multifactor authentication in a timely manner for all applicable users and applications.				
02.03.2017	OIG-17-014, NOAA Reviews of Unliquidated Obligations Could Be Improved with Greater Review Frequency and Additional Documentation	3	3	\$7,826,586 Funds to Be Put to Better Use
Objective(s)				
Our objective was to evaluate the effectiveness of NOAA's unliquidated obligation (ULO) review policies and procedures implemented since the June 2013 audit report, which reviewed the Department-wide controls over the management of ULO balances.				
Finding(s)				
We found that (1) NOAA's procedures for ULO monitoring were ineffective and (2) NOAA's ULO deobligation process can be improved.				
Unimplemented Recommendation(s) (potential monetary benefits for unimplemented recommendation 2)				
Recommendation 1: We recommend that the NOAA Administrator instruct the NOAA Chief Financial Officer and the Director of Acquisition and Grants Office (AGO) to develop bureau-specific policies and procedures for monitoring obligations that require open ULOs to have proper justification documentation and timely reviews.				
Recommendation 2: We recommend that the NOAA Administrator instruct the NOAA Chief Financial Officer and the Director of AGO to follow up on the obligations specifically identified in this report and take appropriate action. Potential monetary benefits: \$7,826,586 funds to be put to better use.				
Recommendation 3: We recommend that the NOAA Administrator instruct the NOAA Chief Financial Officer and the Director of AGO to require compliance with Departmental documentation standards on future deobligations by ensuring all deobligation actions have appropriate notifications, confirmations, and certifications on record and are processed in a timely manner.				
03.24.2017	OIG-17-021, Inadequate Security Practices, Including Impaired Security of Cloud Services, Undermine USPTO's IT Security Posture	12	3	0
Objective(s)				
Our objective was to determine whether key security measures are in place to adequately protect USPTO systems that utilize databases to store business information.				
Finding(s)				
We found that USPTO (1) failed to implement the required security controls for cloud-based subsystems, (2) used non-Federal Risk and Authorization Management Program compliant cloud services without proper security assurance, and (3) deficiently implemented fundamental security controls, which increased the cybersecurity risk of USPTO systems.				
Unimplemented Recommendation(s)				
Recommendation 3: We recommend that the USPTO Chief Information Officer establish processes to develop and maintain an accurate inventory of all cloud-based servers, and conduct routine vulnerability scanning, as required by Department and USPTO policies.				
Recommendation 6: We recommend that the USPTO Chief Information Officer evaluate current strategy of replacing unsupported server operating systems, and develop and implement a plan to prioritize available resources for the component upgrade or replacement.				
Recommendation 7: We recommend that the USPTO Chief Information Officer ensure that unsupported databases are upgraded or replaced in a timely manner.				

Date Report Issued	OIG Report No. and Title	Total Recommendations Made	Unimplemented Recommendations	Potential Monetary Benefits of Unimplemented Recommendations
04.27.2017	OIG-17-023, <i>EDA Can Strengthen Its Policies and Procedures for Monitoring ULOs</i>	2	2	\$3,124,732 Funds to Be Put to Better Use

Objective(s)

Our objective was to evaluate the effectiveness of EDA obligation and deobligation practices as well as review policies and procedures that were implemented since the June 2013 audit report number OIG-13-026-A, *Monitoring of Obligation Balances Needs Strengthening*.

Finding(s)

We found that EDA has generally achieved the intent of our recommendations by reducing its ULO balance by approximately \$500 million since our last review. However, EDA has not established any bureau-specific deobligation policies and procedures as required by Departmental policy.

Unimplemented Recommendation(s) (potential monetary benefits for unimplemented recommendation 1)

Recommendation 1: We recommend the Assistant Secretary for Economic Development instruct the Director of EDA's Budget and Finance Division to follow up on the nine obligations identified in this report to ensure that, if no longer needed, appropriate action is taken. Potential monetary benefits: \$3,124,732 funds to be put to better use.

Recommendation 2: We recommend the Assistant Secretary for Economic Development instruct the Director of EDA's Budget and Finance Division to develop and implement bureau-specific policies and procedures for conducting timely obligation reviews of all open balances.

06.12.2017	OIG-17-026, <i>Selected Commerce Bureaus Could Improve Review Procedures and Documentation Related to Unliquidated Obligations</i>	2	2	\$2,119,284 Funds to Be Put to Better Use
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Objective(s)

Our objective was to evaluate the effectiveness of each operating unit's obligation and deobligation review policies and procedures implemented since the 2013 audit report.

Finding(s)

We found that policies and procedures for reviewing and monitoring ULOs can be improved.

Unimplemented Recommendation(s) (potential monetary benefits for unimplemented recommendation 2)

Recommendation 1: We recommend that the selected bureaus' Chief Financial Officers instruct their respective ULO oversight managers to develop or enhance detailed bureau-specific policies for monitoring obligations and encourage deobligation as outlined in the *Department of Commerce Policy for Undelivered Obligations*, including policies that require (a) maintaining adequate justifications for valid obligation balances; and (b) timely deobligation actions for balances no longer needed.

Recommendation 2: We recommend that the selected bureaus' Chief Financial Officers instruct their respective ULO oversight managers to follow up on the obligations specifically identified in this report and take appropriate action.

Potential monetary benefits: \$2,119,284 funds to be put to better use.

01.08.2018	OIG-18-011, <i>NOAA Office of Marine and Aviation Operations Does Not Fully Utilize the Shipboard Automated Maintenance Management System to Coordinate Ship Maintenance and Repairs</i>	2	2	\$5,000,000 Funds to Be Put to Better Use
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Objective(s)

Our objective was to determine whether NOAA OMAO coordinates ship maintenance and repairs of its fleet using the Shipboard Automated Maintenance Management System (SAMMS).

Finding(s)

We found that OMAO does not consistently use SAMMS to coordinate ship maintenance and repairs of its fleet.

Unimplemented Recommendation(s) (potential monetary benefits for unimplemented recommendation 1)

Recommendation 1: We recommend that the Director, OMAO, and the NOAA Corps initiate action to terminate the interagency agreement with the Military Sealift Command and discontinue using SAMMS.

Potential monetary benefits: \$5,000,000 funds to be put to better use.

Recommendation 2: We recommend that the Director, OMAO, and the NOAA Corps conduct a comprehensive study to identify a maintenance management system that meets the capabilities necessary to fulfill NOAA ship fleet maintenance requirements.

Date Report Issued	OIG Report No. and Title	Total Recommendations Made	Unimplemented Recommendations	Potential Monetary Benefits of Unimplemented Recommendations
02.27.2018	OIG-18-015 , <i>2020 Census: The Bureau's Background Check Office Is Not Fully Prepared for the 2020 Census</i>	6	1	0
<p>Objective(s) Our objectives were to (1) assess the Bureau's internal policies and procedures for conducting background checks on temporary employees, as well as any other Census Bureau employees; and (2) determine whether the Bureau has a plan in place to conduct background checks for temporary employees who will be hired during the 2020 Census tests and decennial field operations that will occur as part of the actual decennial enumeration.</p> <p>Finding(s) We found that the Bureau has developed policies and procedures for conducting background checks on temporary employees, but quality assurance weaknesses jeopardize the effectiveness of those procedures.</p> <p>Unimplemented Recommendation(s) Recommendation 6: We recommend that the Director of the U.S. Census Bureau verify the obligation of appropriated funds for background checks and determine whether they have been apportioned and allotted correctly.</p>				
03.27.2018	OIG-18-017 , <i>ITA Needs a Stronger Commitment to Safeguard Its Cloud-Based Systems</i>	9	1	0
<p>Objective(s) We conducted this audit to determine whether key security measures are in place to adequately protect ITA systems that utilize cloud computing services.</p> <p>Finding(s) We found that ITA was unaware of significant weaknesses in the process of authorizing systems into operations, as well as maintaining and safeguarding its cloud-based systems.</p> <p>Unimplemented Recommendation(s) Recommendation 7: We recommend that the Under Secretary for International Trade direct the ITA Chief Information Officer to enhance ITA patching process by: (a) reconciling differences between management direction and ITA policy; (b) adhering to the Department patching timeframes; and (c) testing patches prior to deployment as required by Department policy.</p>				
04.30.2018	OIG-18-018 , <i>2020 Census: The Number and Location of Area Census Offices May Not Reflect NRFU Workload Demands and Will Not Result in Projected Cost Savings</i>	3	3	0
<p>Objective(s) Our objectives of this audit were to evaluate (1) the criteria and process for determining the number and locations of field offices; (2) the Bureau's plans for reducing costs associated with the fewer number of field offices as part of reengineered field operations; and (3) the planned process for collaboration between the Bureau and GSA for implementing the area Census office (ACO) leasing program.</p> <p>Finding(s) We found that, while the Bureau developed a model for determining the number of ACOs, only six of the seven required criteria were defined, allowing us to test the Bureau's compliance with them. We also found that, although the estimated workload totals and staffing ratios informing the model changed, the number of ACOs required for field operations remained the same. In addition, several risks currently jeopardize ACO space acquisition, requiring enhanced risk planning to address cost and schedule implications, and the Bureau's initial "cost avoidance" estimates associated with the ACO space acquisition program are unsupported and unlikely to be realized.</p> <p>Unimplemented Recommendation(s) Recommendation 1: We recommend that the Director of the U.S. Census Bureau assess the impact the increased NRFU workload totals and enumerator ratios will have on the NRFU operation and document, monitor, and periodically validate the assumptions for ACO planning throughout the remaining 2020 Census planning activities. Recommendation 2: We recommend that the Director of the U.S. Census Bureau (a) reassess ACO space acquisition risk register items' cost and schedule impacts and risk ratings, and create contingency plans to effectively address risks and (b) formalize the roles and responsibilities of GSA and Bureau personnel tasked with ACO space acquisition activities. Recommendation 3: We recommend that the Director of the U.S. Census Bureau (a) ensure cost reduction estimates are reasonable and supportable and (b) identify and include potential cost overruns related to space acquisition activities as part of any contingency funding for the 2020 Census.</p>				

Date Report Issued	OIG Report No. and Title	Total Recommendations Made	Unimplemented Recommendations	Potential Monetary Benefits of Unimplemented Recommendations
05.08.2018	OIG-18-020, <i>Department of Commerce Working Capital Fund Billing Practices and Transparency Need Improvement</i>	6	6	0

Objective(s)

Our objective was to evaluate controls over the WCF in FY 2016.

Finding(s)

With respect to our audit procedures, we found that relationships of reimbursements and billings to services provided were generally reasonable and that projects utilized performance metrics. However, we noted inconsistent application of controls over the billing allocation method and algorithm development processes due to a lack of adherence to established WCF billing requirements. We also found that both support for project funding levels and controls over retaining or returning advances need improvement. Specifically, we found a lack of adequate supporting documentation for several aspects of the final operating budget for the projects reviewed. In addition, we identified a need for increased transparency relating to the calculation and communication of excess advances collected above obligations incurred and to the description of the billing allocation method for WCF projects.

Unimplemented Recommendation(s)

Recommendation 1: We recommend that the Chief Financial Officer and Assistant Secretary for Administration update the carryover policy and procedures to ensure that both sufficiently describe the carryover process, including key terms and requirements for determining whether excess funds are earned.

Recommendation 2: We recommend that the Chief Financial Officer and Assistant Secretary for Administration institute policy and procedures for documenting the Office of the Secretary, Office of Financial Management Directorate's periodic review and evaluation of each project's carryover, which reviews and evaluations will consider input of service providers and customers.

Recommendation 3: We recommend that the Chief Financial Officer and Assistant Secretary for Administration develop and implement a communication mechanism that allows key WCF stakeholders to be apprised of the detailed annual carryover results in a timely manner.

Recommendation 4: We recommend that the Chief Financial Officer and Assistant Secretary for Administration enhance the *Working Capital Fund Advances and Reimbursements Final Handbook* update process to ensure that it includes a detailed description of the billing allocation method for each project and the levels of services provided for each project.

Recommendation 5: We recommend that the Chief Financial Officer and Assistant Secretary for Administration enhance the algorithm preparation and review process for the WCF to ensure that (a) billing allocation supporting data are accurate, complete, current, and sufficient, and (b) algorithm calculations are free from error.

Recommendation 6: We recommend that the Chief Financial Officer and Assistant Secretary for Administration enhance the process for maintaining documentation that supports the formulation of each project's final operating budgets in the WCF.

07.09.2018	OIG-18-021, <i>Polar Follow-On: NOAA Must Maintain Cost Efficiencies and Refine Launch Strategy for JPSS-3 and JPSS-4 Missions</i>	7	5	\$8,579,037,000 Funds to Be Put to Better Use
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Objective(s)

Our primary objective was to assess the PFO program baselines established in December 2016.

Finding(s)

We found that (1) PFO missions' system design depends on maturing the JPSS-2 technical baseline and completing plans for a flexible launch strategy; (2) NOAA has not provided detailed polar satellite system development costs to Congress; and (3) NOAA has identified potential future satellite systems and continues to plan its next-generation space architecture, but goals and timelines for technology insertion are uncertain.

Unimplemented Recommendation(s) (potential monetary benefits for unimplemented recommendation 5)

Recommendation 2: In order to retain flexibility in the launch strategies for JPSS-3 and JPSS-4, we recommend that the Assistant Administrator for Satellite and Information Services ensures that the JPSS program completes storage plans and cost analyses for instruments and integrated satellites.

Recommendation 3: We recommend that the Assistant Administrator for Satellite and Information Services ensures that National Environmental Satellite, Data, and Information Service (NESDIS) completes policy and plans that will guide polar satellite launch decisions.

Recommendation 5: To ensure cost and programmatic efficiencies are identified for the Polar Weather Satellite (PWS) program, and therefore put future funds to better use, we recommend that the Assistant Administrator for Satellite and Information Services ensures that NESDIS revises and independently assesses the PWS life-cycle cost estimate.

Potential monetary benefits: \$8,579,037,000 funds to be put to better use.

Recommendation 6: We recommend that the Under Secretary of Commerce for Oceans and Atmosphere ensures that NOAA provides Congress with satellite system estimated costs in accordance with requirements for its major satellite programs specified in annual appropriations laws.

Recommendation 7: We recommend that the NOAA Deputy Under Secretary for Operations ensures NESDIS defines goals and timelines for the completion of satellite technology insertion efforts—including the Earth Observing Nanosatellite-Microwave—in order to reduce risk associated with future polar satellite system architectures.

Date Report Issued	OIG Report No. and Title	Total Recommendations Made	Unimplemented Recommendations	Potential Monetary Benefits of Unimplemented Recommendations
08.02.2018	OIG-18-024 , <i>The Joint Polar Satellite System: Program Must Use Realistic Schedules to Avoid Recurrence of Ground Project Delays and Additional Cost Increases</i>	10	3	0
Objective(s)				
Our objective was to assess the cost, schedule, and technical performance of selected components of the JPSS program.				
Finding(s)				
We found that (1) the ground system upgrade presented technical challenges and took longer to complete than planned and (2) the JPSS program can improve its management of the ground system cost-plus-award-fee contract.				
Unimplemented Recommendation(s) (potential monetary benefits for unimplemented recommendations 9 and 10)				
Recommendation 2: We recommend that the Assistant Administrator for Satellite and Information Services ensure that appropriate analyses are conducted to support decisions for omitting or tailoring project life-cycle reviews (e.g., requirements and design reviews).				
Recommendation 7: In order to improve the management of the JPSS Common Ground System cost-plus-award-fee contract and put remaining award fees to better use, we recommend the NOAA Deputy Under Secretary for Operations and the Assistant Administrator for Satellite and Information Services ensure that the ground system contract's performance evaluation plan is revised to incorporate best practices for the use of performance factors and to clarify the award fee determination process.				
Recommendation 8: In order to improve the management of the JPSS Common Ground System cost-plus-award-fee contract and put remaining award fees to better use, we recommend the NOAA Deputy Under Secretary for Operations and the Assistant Administrator for Satellite and Information Services ensure that emphasis items (focus areas) provided to the contractor prior to each award period are clear, prioritized, and aligned with performance criteria.				
09.24.2018	OIG-18-026 , <i>Audit of NOAA Pacific Coastal Salmon Recovery Fund Grants to the Northwest Indian Fisheries Commission</i>	7	7	\$372,027 Questioned Costs

Objective(s)

Our objectives were to determine whether the Northwest Indian Fisheries Commission (the Commission) (1) claimed allowable, allocable, and reasonable costs, (2) complied with grant terms and conditions, administrative requirements, cost principles, and audit requirements, and (3) met performance requirements of the grants.

Finding(s)

We found that the Commission claimed costs on both Pacific Coastal Salmon Recovery Fund (PCSRF) grants that were not allowable, allocable, and reasonable. While the Commission complied with most grant terms and conditions, administrative requirements, cost principles and audit requirements that we reviewed, it did not provide the Department of Commerce with a written statement certifying it protected federal interest in real property when grant funds were used to acquire or improve real property.

Unimplemented Recommendation(s) (potential monetary benefits for unimplemented recommendation 1)

Recommendation 1: We recommend the Director of NOAA Grants Management Division (GMD) make a determination on the reported \$372,027 in questioned project costs.

Potential monetary benefits: \$372,027 questioned costs.

Recommendation 2: We recommend the Director of NOAA GMD require the Commission to implement procedures to monitor administrative expenses on PCSRF grants and ensure claimed administrative expenses do not exceed 3 percent of program funds.

Recommendation 3: We recommend the Director of NOAA GMD require the Commission to implement procedures to ensure it retains adequate documentation for all cost transfers to PCSRF awards and maintains records showing cost transfers are allocable to the grant.

Recommendation 4: We recommend the Director of NOAA GMD require the Commission to implement procedures to ensure the indirect cost pool includes only allowable, allocable, and reasonable expenses.

Recommendation 5: We recommend the Director of NOAA GMD require the Commission to ensure its subrecipients (a) comply with cost principles, indirect cost rate agreements, uniform administrative requirements, and federal records retention requirements, (b) submit indirect cost rate proposals on time, and (c) use the current approved indirect cost rate to claim indirect costs on federal grants.

Recommendation 6: We recommend the Director of NOAA GMD reiterate to the Commission its responsibility to ensure subrecipients provide documentation showing compliance with real property requirements of the grant.

Recommendation 7: We recommend the Director of NOAA GMD instruct the Commission to submit to NOAA documentation showing subrecipients perfected statements of the federal interest in real property acquired and improved with 2010 and 2011 PCSRF grants.

Date Report Issued	OIG Report No. and Title	Total Recommendations Made	Unimplemented Recommendations	Potential Monetary Benefits of Unimplemented Recommendations
10.30.2018	OIG-19-002, <i>The Census Bureau Must Improve Its Implementation of the Risk Management Framework</i>	7	7	0

Objective(s)

Our objective was to determine whether the risk management framework methodology adopted by the Census Bureau presents an accurate picture of cybersecurity risks, including risks associated with common controls, to Bureau management.

Finding(s)

We found that the Bureau did not follow its risk management framework process. Specifically, we found that (1) the Bureau had not continuously monitored critical security controls and failed to document the resulting risks, (2) authorizing officials lacked information about significant cybersecurity risks, and (3) the Bureau did not effectively manage common controls.

Unimplemented Recommendation(s)

Recommendation 1: We recommend that the Bureau's Chief Information Officer update the Bureau's Risk Management Framework Methodology to include additional procedures that leverage automated reporting, to ensure that deviations from continuous monitoring plans are reported more timely to senior management designated as the authorizing official and to IT security management.

Recommendation 2: We recommend that the Bureau's Chief Information Officer ensure that management is informed when risks are omitted from Risk Management Program System (RMPS) reports.

Recommendation 3: We recommend that the Bureau's Chief Information Officer develop both manual and automated procedures to help ensure that complete descriptions of system security controls are entered into RMPS, reviewed, and approved as part of the system authorization process.

Recommendation 4: We recommend that the Bureau's Chief Information Officer ensure that assessment procedures include provisions (both manual and automated) for quality control associated with the validation of security control assessments.

Recommendation 5: We recommend that the Bureau's Chief Information Officer develop a strategy for periodically verifying the accuracy of common control inheritance within RMPS.

Recommendation 6: We recommend that the Bureau's Chief Information Officer ensure greater rigor in assessment of common control requirements, to include assessing the relationship between the security service provided by the common control requirement and the information system receiving the service.

Recommendation 7: We recommend that the Bureau's Chief Information Officer clearly document the rationale for common control decisions within RMPS.

Date Report Issued	OIG Report No. and Title	Total Recommendations Made	Unimplemented Recommendations	Potential Monetary Benefits of Unimplemented Recommendations
12.20.2018	OIG-19-006 , <i>Audit of NOAA Pacific Coastal Salmon Recovery Fund Grants to the Washington State Recreation and Conservation Office</i>	11	11	\$2,491,000 Questioned Costs

Objective(s)

Our objectives of our audit were to determine whether the Washington State Recreation and Conservation Office (RCO) (1) claimed allowable, allocable, and reasonable costs, (2) complied with grant terms and conditions, administrative requirements, cost principles, and audit requirements, and (3) met performance requirements of the grants.

Finding(s)

We found that (1) RCO claimed costs that are not allowable, not allocable, or unsupported and (2) RCO did not ensure subrecipients protected federal interest when using Salmon Recovery Funds to acquire and improve real property.

Unimplemented Recommendation(s) (potential monetary benefits for unimplemented recommendation 1)

Recommendation 1: We recommend that the Director of NOAA GMD make a determination on the amount recommended by our office for recovery, \$1,936,999, which is the difference between total federal funds disbursed and the federal share of costs accepted per audit. Potential monetary benefits: \$2,491,000 questioned costs.

Recommendation 2: We recommend that the Director of NOAA GMD instruct RCO to discontinue transferring expenses between PCSRF awards for the purpose of depleting older award funds.

Recommendation 3: We recommend that the Director of NOAA GMD instruct RCO to follow proper budget procedures to ensure it only claims cost categories approved by the grants officer.

Recommendation 4: We recommend that the Director of NOAA GMD instruct RCO and its subrecipients to request prior approval from the NOAA's grants officer to subgrant or sub-contract with a federal agency.

Recommendation 5: We recommend that the Director of NOAA GMD ensure that RCO includes and adheres to federal document retention requirements in its subrecipient agreements.

Recommendation 6: We recommend that the Director of NOAA GMD require RCO to implement internal controls to ensure costs charged to a particular award are incurred during the period of performance.

Recommendation 7: We recommend that the Director of NOAA GMD instruct RCO to follow its controls when reviewing invoices and approving costs.

Recommendation 8: We recommend that the Director of NOAA GMD ensure that RCO implements sufficient controls to identify eligible match expenses for its PCSRF grants.

Recommendation 9: We recommend that the Director of NOAA GMD ensure that RCO calculates indirect costs in a manner that complies with applicable indirect cost policies and regulations.

Recommendation 10: We recommend that the Director of NOAA GMD reiterate to RCO its responsibility to ensure subrecipients provide documentation showing compliance with real property requirements of the grant.

Recommendation 11: We recommend that the Director of NOAA GMD instruct RCO to submit to NOAA documentation showing subrecipients' perfected statements of the federal interest in real property acquired and improved with 2010 and 2011 PCSRF grants.

02.06.2019	OIG-19-008 , <i>2020 Census: Issues Observed During the 2018 End-to-End Census Test's Address Canvassing Operation Indicate Risk to Address List Quality</i>	6	3	0
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Objective(s)

Our audit objectives were to (1) assess the performance of in-field address canvassing operations and (2) determine whether in-office address canvassing correctly identified blocks for the in-field address canvassing operation.

Finding(s)

We found (1) in-office address canvassing did not correctly identify blocks for in-field address canvassing at the Providence test site; (2) resolution of alerts indicating potential instances of low quality and fraud/abuse was sometimes untimely or non-existent; (3) the Bureau's ability to inform the 2020 Census address canvassing operation using the 2018 E2E Test faces some limitations; and (4) the Bureau is unsure of whether 26 Listers who updated addresses were qualified. In addition—and as part of our fieldwork—we conducted on-site observations of Listers during the test and observed instances of some Listers' noncompliance with procedures.

Unimplemented Recommendation(s)

Recommendation 1: We recommend the Director of the U.S. Census Bureau evaluate how the number of incorrectly categorized passive blocks will affect Census quality and how those errors may affect demographic groups.

Recommendation 3: We recommend the Director of the U.S. Census Bureau include a nationally representative statistical sample of passive blocks in the 2020 Census in-field operation and report the estimated number of missed households.

Recommendation 5: We recommend the Director of the U.S. Census Bureau assess the risks to the 2020 Census that have arisen as a result of the limitations identified during the 2018 E2E Test's address canvassing operation.

Date Report Issued	OIG Report No. and Title	Total Recommendations Made	Unimplemented Recommendations	Potential Monetary Benefits of Unimplemented Recommendations
03.13.2019	OIG-19-012, <i>USPTO Needs to Improve Management over the Implementation of the Trademark Next Generation System</i>	6	6	0

Objective(s)

Our audit objective was to determine whether USPTO provided effective oversight of Trademark Next Generation (TMNG) implementation.

Finding(s)

Overall, we found USPTO did not provide effective oversight of TMNG implementation. Specifically, we found (1) USPTO investment board members did not exercise adequate oversight to correct or terminate underperforming TMNG investments; (2) weaknesses exist in the Capital Planning and Investment Control (CPIC) process; and (3) USPTO provided ineffective project management and oversight for the TMNG examination tool.

Unimplemented Recommendation(s)

Recommendation 1: We recommend that the Under Secretary of Commerce for Intellectual Property and Director of USPTO ensure the CPIC Review Board (CRB) adheres to the requirements in the CPIC policies and procedures. Specifically, if an investment is identified by the CRB as not meeting expectations as it pertains to schedule, budget, or other factors, ensure that the CRB alerts the IT Investment Review Board with recommendations for appropriate action.

Recommendation 2: We recommend that the Under Secretary of Commerce for Intellectual Property and Director of USPTO update IT CPIC policies and procedures to establish (a) an attendance requirement for CPIC meetings; (b) that all relevant information is presented to the boards to ensure greater transparency of significant issues; (c) the steps and actions the boards can take when an IT investment is not meeting expectations; and (d) the threshold criteria that the investment boards should use when determining whether to take remedial action.

Recommendation 3: We recommend that the Under Secretary of Commerce for Intellectual Property and Director of USPTO strengthen USPTO's IT investment management by ensuring all pending TMNG investments and future IT investments have a complete cost estimate prior to the boards' recommendation and the Chief Information Officer's approval.

Recommendation 4: We recommend that the Under Secretary of Commerce for Intellectual Property and Director of USPTO improve USPTO's CPIC process by ensuring CPIC oversight functions are able to verify and ascertain whether completed IT investments were obtained in the most cost-effective way possible.

Recommendation 5: We recommend that the Under Secretary of Commerce for Intellectual Property and Director of USPTO continue to address outstanding TMNG development issues using the Path Forward Team.

Recommendation 6: We recommend that the Under Secretary of Commerce for Intellectual Property and Director of USPTO develop improvement plans to mitigate risk of significant, recurring problems with TMNG activities that are covered in the TechStat sessions.

Date Report Issued	OIG Report No. and Title	Total Recommendations Made	Unimplemented Recommendations	Potential Monetary Benefits of Unimplemented Recommendations
06.13.2019	OIG-19-014, <i>Inadequate Management of Active Directory Puts USPTO's Mission at Significant Cyber Risk</i>	8	8	0
Objective(s)				
Our objective was to determine whether USPTO has adequately managed its Active Directory to protect mission critical systems and data.				
Finding(s)				
We found that USPTO (1) inadequately managed its Active Directory, and (2) poorly protected its critical IT assets hosting Active Directory.				
Unimplemented Recommendation(s)				
Recommendation 1: We recommend that the Under Secretary of Commerce for Intellectual Property and Director of USPTO direct the Chief Information Officer to immediately (1) reevaluate the current Active Directory configuration based on users' roles and responsibilities, (2) reorganize Active Directory user groups based on job functions, and (3) remove any unneeded privileges.				
Recommendation 2: We recommend that the Under Secretary of Commerce for Intellectual Property and Director of USPTO direct the Chief Information Officer to eliminate weak credential encryption to the maximum extent possible. For those applications that currently do not support strong encryption, implement additional compensating controls to protect credentials.				
Recommendation 3: We recommend that the Under Secretary of Commerce for Intellectual Property and Director of USPTO direct the Chief Information Officer to ensure that all passwords meet the standards set by Department and USPTO policies or implement additional compensating controls to protect them. Furthermore, consider incorporating a password policy that emphasizes password length, a primary factor in characterizing password strength recommended by NIST guidelines.				
Recommendation 4: We recommend that the Under Secretary of Commerce for Intellectual Property and Director of USPTO direct the Chief Information Officer to ensure PIV card technology compatibility with on-going and future system development for USPTO next-generation applications, and switch PIV enforcement to a per-user basis, when technically feasible.				
Recommendation 5: We recommend that the Under Secretary of Commerce for Intellectual Property and Director of USPTO direct the Chief Information Officer to finalize the vulnerability-scanning standard operating procedure (SOP) and ensure it includes requirements to verify scanning tools are updated prior to scans and credentialed scanning is performed on physical and virtual machines.				
Recommendation 6: We recommend that the Under Secretary of Commerce for Intellectual Property and Director of USPTO direct the Chief Information Officer to apply the principle of least functionality by developing an authorized open port baseline for system operation, enforce it, and establish an approval procedure for open port requests that deviate from the baseline.				
Recommendation 7: We recommend that the Under Secretary of Commerce for Intellectual Property and Director of USPTO direct the Chief Information Officer to work with USPTO contracting officers to ensure effective government oversight of contractors performing vulnerability assessment scans.				
Recommendation 8: We recommend that the Under Secretary of Commerce for Intellectual Property and Director of USPTO direct the Chief Information Officer to streamline the patch management change-review policies and procedures to allow for timely vulnerability remediation.				
07.10.2019	OIG-19-018, <i>USPTO Could Improve Oversight Practices to Close Out Contract Files by Complying with Acquisition Regulations and Policies</i>	5	5	0
Objective(s)				
Our audit objective was to determine whether USPTO contracting personnel administered contract closeout procedures in accordance with federal and Departmental policy and regulations.				
Finding(s)				
We found that (1) contracting officers did not close out orders timely; (2) contracting officials did not complete some key closeout steps; (3) contracting officer representatives were not adequately trained, certified and appointed; and (4) order files were missing or lacked key documentation.				
Unimplemented Recommendation(s)				
Recommendation 1: We recommend that USPTO's Director of the Office of Procurement improve controls and oversight processes to ensure compliance with federal and Departmental closeout requirements.				
Recommendation 2: We recommend that USPTO's Director of the Office of Procurement ensure that contracting officers appoint, in writing, properly trained and certified CORs and remove those who fail to meet those requirements.				
Recommendation 3: We recommend that USPTO's Director of the Office of Procurement ensure that all CORs meet their continuous learning requirements and be certified at the appropriate level.				
Recommendation 4: We recommend that USPTO's Director of the Office of Procurement ensure that documents required to be in contract files to constitute a complete history of the transaction are contained in the contract file as identified in FAR Subpart 4.8.				
Recommendation 5: We recommend that USPTO's Director of the Office of Procurement improve controls to ensure contract files are properly safeguarded and maintained as required by the FAR.				

Date Report Issued	OIG Report No. and Title	Total Recommendations Made	Unimplemented Recommendations	Potential Monetary Benefits of Unimplemented Recommendations
07.22.2019	OIG-19-019, <i>FirstNet Has Opportunities to Address Control Weaknesses</i>	2	2	0

Objective(s)

Our audit objective was to determine whether FirstNet properly administered the contract's TO3, *Deployment, Operation, and Maintenance of the Nationwide Core*.

Finding(s)

We identified opportunities to address control weaknesses in, and improve management of, TO3 and future task orders. Specifically, we found that FirstNet did not comply with contractual terms, because it issued payment before properly documenting and modifying the NPSBN contract to move 1 of 18 IOC2 milestones to a later period. Further, it had not yet modified the contract to request that the contractor meet the final remaining milestone that FirstNet had already paid for.

Unimplemented Recommendation(s)

Recommendation 1: We recommend that the Chief Procurement Officer modify the contract to move the IOC2 milestone, which was not completed, to a future IOC period.

Recommendation 2: We recommend that the Chief Procurement Officer ensure that, in the future, prior to approving an IOC requirement for payment, FirstNet accepts all milestones, notes any exception and required follow-up in the acceptance memorandum prior to payment, and timely modifies the contract.

TABLE 7-B. UNRESOLVED FY 2019 RECOMMENDATIONS FROM AUDIT, EVALUATION, AND INSPECTION REPORTS

Table 7-b includes audit, evaluation, and inspection reports with unresolved recommendations (i.e., OIG has not yet approved auditees' action plans). Either OIG is reviewing an action plan submitted, or the action plan is not due until after September 30, 2019.

The five reports listed have a total of 34 unresolved recommendations. Two of the unresolved recommendations have potential monetary benefits of \$1,166,790 in questioned costs and \$284,440,445 in funds to be put to better use.

Summaries of these reports appear in pages 4, 7, 19–20, and 28–29.

Date Report Issued	OIG Report No. and Title	Total Recommendations Made	Reason	Potential Monetary Benefits of Unresolved Recommendations
06.19.2019	OIG-19-015, <i>The Census Bureau Must Correct Fundamental Cloud Security Deficiencies in Order to Better Safeguard the 2020 Decennial Census</i>	8	Revised Action Plan Due 10.18.2019	0
Unresolved Recommendation(s)				
Recommendation 1: We recommend that the Chief Information Officer of the U.S. Census Bureau manage the GovCloud root user account according to federal and Departmental requirements. This must include a standardized, documented process to disable the use of all GovCloud root user accounts during the environment creation process for any new GovCloud environments.				
Recommendation 2: We recommend that the Chief Information Officer of the U.S. Census Bureau assess all Amazon Web Services user accounts in accordance with NIST account management requirements and conduct periodic reviews as part of OIS assessments.				
Recommendation 3: We recommend that the Chief Information Officer of the U.S. Census Bureau reassess, implement, and continuously monitor security baselines within all cloud environments.				
Recommendation 4: We recommend that the Chief Information Officer of the U.S. Census Bureau perform technical assessments to validate implementation of security baselines as part of the Bureau's cloud systems' initial and ongoing assessments.				
Recommendation 5: We recommend that the Chief Information Officer of the U.S. Census Bureau track all Title 13 data that are stored and processed in Bureau cloud environments. This must include coordination between cloud administrators, operational staff, and OIS personnel.				
Recommendation 6: We recommend that the Chief Information Officer of the U.S. Census Bureau expedite the implementation of the backup solution in progress and ensure it is operating in accordance with NIST guidance.				
Recommendation 7: We recommend that the Chief Information Officer of the U.S. Census Bureau formally document and ensure the implementation of controls compensating for lack of disaster recovery planning or engage in disaster recovery planning if the Bureau is unable to meet its obligation to compensate for the lack of disaster recovery planning.				
Recommendation 8: We recommend that the Chief Information Officer of the U.S. Census Bureau develop and approve an exit strategy for all Bureau cloud systems, including details for completely and securely removing data from the cloud service provider.				
08.12.2019	OIG-19-021, <i>Audit of NOAA Financial Assistance Awards to the Gulf States Marine Fisheries Commission</i>	6	Action Plan Due 10.12.2019	\$1,166,790 Questioned Costs

Unresolved Recommendation(s) (potential monetary benefits for unresolved recommendation 1)

Recommendation 1: We recommend that the Director of NOAA Grants Management Division recover the amount disallowed from the \$1,166,790 questioned costs in accordance with the audit resolution process outlined in DAO 213-5. Potential monetary benefits: \$1,166,790 questioned costs.

Recommendation 2: We recommend that the Director of NOAA Grants Management Division require the Commission to implement procedures to monitor subrecipients' compliance with terms and conditions of awards, including ensuring adequate documentation exists to support costs claimed and verifying that amounts claimed are based on actual expenses incurred.

Recommendation 3: We recommend that the Director of NOAA Grants Management Division require the Commission to implement internal controls to ensure it allocates costs among federal programs in compliance with federal cost principles and uniform administrative requirements and uses other revenue sources to cover costs that are unallowable for federal awards.

Recommendation 4: We recommend that the Director of NOAA Grants Management Division require that the Commission implement procedures to ensure it performs cost or price analysis on procurement contracts and obtains grants officer approval for sole-source contracts.

Recommendation 5: We recommend that the Director of NOAA Grants Management Division determine whether unreported program income is due to the federal government and require that the Commission implement procedures to properly report, monitor, and spend program income in accordance with grant award terms and conditions.

Recommendation 6: We recommend that the Director of NOAA Grants Management Division require the Commission to implement procedures to ensure match contributions comply with uniform administrative requirements, federal cost principles, and federal records retention requirements.

Date Report Issued	OIG Report No. and Title	Total Recommendations Made	Reason	Potential Monetary Benefits of Unresolved Recommendations
08.12.2019	OIG-19-022, <i>Geostationary Operational Environmental Satellite—R Series: Program Success Requires Added Attention to Oversight, Risk Management, Requirements, and the Life-Cycle Cost Estimate</i>	11	Action Plan Due 10.12.2019	\$284,440,445 Funds to Be Put to Better Use

Unresolved Recommendation(s) (potential monetary benefits for unresolved recommendation 10)

Recommendation 1: We recommend that the Assistant Administrator for Satellite and Information Services ensure the GOES-R program addresses anomalies on instruments fulfilling essential mission requirements using a distinct process that is proportional to the criticality of a key performance parameter.

Recommendation 2: We recommend that the Assistant Administrator for Satellite and Information Services ensure an independent review of changes to the ABI contract's performance evaluation plan occurs to determine their rationale, appropriateness, and need for further actions.

Recommendation 3: We recommend that the Assistant Administrator for Satellite and Information Services ensure the GOES-R program updates reliability analyses for ABI, the satellite, and constellation, specifically given the unique conditions of the hardware on GOES-16 and GOES-17 and any design changes for GOES-T and GOES-U.

Recommendation 4: We recommend that the Assistant Administrator for Satellite and Information Services ensure the GOES-R program documents its magnetometer design, integration, and on-orbit experience so that it is available to future GOES programs and contractors.

Recommendation 5: We recommend that the Deputy Under Secretary for Operations ensure that NOAA conducts analysis to determine distinct geomagnetic field measurement accuracy threshold and objective requirement specifications and ensure appropriately supported requirements are reflected in GOES-R program documents.

Recommendation 6: We recommend that the Deputy Under Secretary for Operations ensure the NOAA Space Weather Prediction Center updates its geomagnetic field observation accuracy requirement validation documentation.

Recommendation 7: We recommend that the Deputy Under Secretary for Operations ensure NOAA assesses whether GOES are the optimal satellites to achieve geomagnetic field observation requirements, using an analysis of alternatives or similar cost-benefit approach.

Recommendation 8: We recommend that the Assistant Administrator for Satellite and Information Services ensure that the GOES-R program formally manages risk to geostationary orbital positions for both current and future satellite programs.

Recommendation 9: We recommend that the Assistant Administrator for Satellite and Information Services ensure the GOES-R program updates its LCCCE incorporating results from Department's independent assessment.

Recommendation 10: We recommend that the Assistant Administrator for Satellite and Information Services ensure the GOES-R program completes a prioritized list of off-ramps with triggering dates for server replacement activities.
Potential monetary benefits: \$284,440,445 funds to be put to better use.

Recommendation 11: We recommend that the Assistant Administrator for Satellite and Information Services ensure the GOES-R program develops a plan to limit the risk of vendor lock-in for ground system sustainment.

08.22.2019	OIG-19-023, <i>USPTO Did Not Provide Adequate Oversight of Monetary Awards to Ensure Patent Examiners Receive Accurate Payments</i>	5	Action Plan Due 10.22.2019	0
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Unresolved Recommendation(s)

Recommendation 1: We recommend that the Under Secretary of Commerce for Intellectual Property and Director of USPTO direct the Commissioner for Patents to implement guidance to clearly define the policies, process, validation, and oversight responsibilities covering all key components of the award calculation process.

Recommendation 2: We recommend that the Under Secretary of Commerce for Intellectual Property and Director of USPTO direct the Commissioner for Patents to clarify, document, and publish to SPEs a list of the examining-related activities eligible for inclusion in gainsharing and special achievement awards.

Recommendation 3: We recommend that the Under Secretary of Commerce for Intellectual Property and Director of USPTO direct the Commissioner for Patents to establish requirements to document SPE reviews of examining-related activities for inclusion in award calculations and maintain all supporting documentation for subsequent manual adjustments to award calculations.

Recommendation 4: We recommend that the Under Secretary of Commerce for Intellectual Property and Director of USPTO direct the Commissioner for Patents to develop written policies and procedures to identify responsibilities and requirements to review, approve, and validate the accuracy of manual adjustments to monetary award calculations.

Recommendation 5: We recommend that the Under Secretary of Commerce for Intellectual Property and Director of USPTO direct the Commissioner for Patents to ensure award nomination forms are complete and accurate, and maintain all documentation that supports awards included in year-end rating forms.

Date Report Issued	OIG Report No. and Title	Total Recommendations Made	Reason	Potential Monetary Benefits of Unresolved Recommendations
09.30.2019	OIG-19-026, <i>The Department Needs to Improve Its Capability to Effectively Share Cyber Threat Information</i>	4	Action Plan Due 11.29.2019	0

Unresolved Recommendation(s)

Recommendation 1: We recommend that the Chief Information Officer finalize CTIP licensing and interconnection agreements and utilize the CTIP Application Programming Interface to automate Department bureaus' ingestion of cyber threat information.

Recommendation 2: We recommend that the Chief Information Officer ensure that all Department bureaus have access to CTIP.

Recommendation 3: We recommend that the Chief Information Officer ensure information sharing policies and procedures are compliant with the applicable documents that were created by the U.S. Department of Homeland Security, U.S. Department of Justice, U.S. Department of Defense, and Office of the Director of National Intelligence.

Recommendation 4: We recommend that the Chief Information Officer complete a comprehensive CTIP user guide and make it available to all Department bureaus.

TABLE 7-C. REPORTS FOR WHICH MANAGEMENT TOOK LONGER THAN 60 DAYS TO RESPOND

There were seven instances during this semiannual period of an operating unit within the Department taking longer than 60 days to provide an action plan that addressed the recommendations of a final report.

Date Report Issued	OIG Report No. and Title	Date Action Plan Due	Date Action Plan Received	Aggregate Potential Cost Savings Associated with Recommendations
12.20.2018	OIG-19-006 , <i>Audit of NOAA Pacific Coastal Salmon Recovery Fund Grants to the Washington State Recreation and Conservation Office</i>	03.07.2019	05.09.2019	\$2,491,000 Questioned Costs
Objective(s)				
The objectives of our audit were to determine whether the Washington State RCO (1) claimed allowable, allocable, and reasonable costs, (2) complied with grant terms and conditions, administrative requirements, cost principles, and audit requirements, and (3) met performance requirements of the grants.				
Finding(s)				
We found that (1) RCO claimed costs that are not allowable, not allocable, or unsupported and (2) RCO did not ensure subrecipients protected federal interest when using Salmon Recovery Funds to acquire and improve real property.				
02.06.2019	OIG-19-008 , <i>2020 Census: Issues Observed During the 2018 End-to-End Census Test's Address Canvassing Operation Indicate Risk to Address List Quality</i>	04.08.2019	07.15.2019	0
Objective(s)				
Our audit objectives were to (1) assess the performance of in-field address canvassing operations and (2) determine whether in-office address canvassing correctly identified blocks for the in-field address canvassing operation.				
Finding(s)				
We found (1) in-office address canvassing did not correctly identify blocks for in-field address canvassing at the Providence test site; (2) resolution of alerts indicating potential instances of low quality and fraud/abuse was sometimes untimely or non-existent; (3) the Bureau's ability to inform the 2020 Census address canvassing operation using the 2018 E2E Test faces some limitations; and (4) the Bureau is unsure of whether 26 Listers who updated addresses were qualified. In addition—and as part of our fieldwork—we conducted on-site observations of Listers during the test and observed instances of some Listers' noncompliance with procedures.				
03.13.2019	OIG-19-012 , <i>USPTO Needs to Improve Management over the Implementation of the Next Generation System</i>	05.13.2019	05.23.2019	0
Objective(s)				
Our audit objective was to determine whether USPTO provided effective oversight of TMNG implementation.				
Finding(s)				
Overall, we found USPTO did not provide effective oversight of TMNG implementation. Specifically, we found (1) USPTO investment board members did not exercise adequate oversight to correct or terminate underperforming TMNG investments; (2) weaknesses exist in the CPIC process; and (3) USPTO provided ineffective project management and oversight for the TMNG examination tool.				
06.13.2019	OIG-19-014 , <i>Inadequate Management of Active Directory Puts USPTO's Mission at Significant Cyber Risk</i>	08.13.2019	09.25.2019	0
Objective(s)				
Our objective was to determine whether USPTO has adequately managed its Active Directory to protect mission critical systems and data.				
Finding(s)				
We found that USPTO (1) inadequately managed its Active Directory, and (2) poorly protected its critical IT assets hosting Active Directory.				

Date Report Issued	OIG Report No. and Title	Date Action Plan Due	Date Action Plan Received	Aggregate Potential Cost Savings Associated with Recommendations
06.19.2019	OIG-19-015, <i>The Census Bureau Must Correct Fundamental Cloud Security Deficiencies in Order to Better Safeguard the 2020 Decennial Census</i>	08.19.2019	Not Received as of 09.30.2019	0

Objective(s)

Our objective was to determine the effectiveness of security processes and controls for select cloud-based IT systems supporting the 2020 Census.

Finding(s)

We found (1) unsecured GovCloud root user keys caused severe risks to 2020 Census cloud environments; (2) unimplemented security baselines that document system settings and configurations left critical systems vulnerable; and (3) basic security practices were not fully implemented to protect Title 13 data hosted in the cloud.

07.10.2019	OIG-19-018, <i>USPTO Could Improve Oversight Practices to Close Out Contract Files by Complying with Acquisition Regulations and Policies</i>	09.09.2019	09.27.2019	0
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Objective(s)

Our audit objective was to determine whether USPTO contracting personnel administered contract closeout procedures in accordance with federal and Departmental policy and regulations.

Finding(s)

We found that (1) contracting officers did not close out orders timely; (2) contracting officials did not complete some key closeout steps; (3) contracting officer representatives were not adequately trained, certified and appointed; and (4) order files were missing or lacked key documentation.

07.22.2019	OIG-19-019, <i>FirstNet Has Opportunities to Address Control Weaknesses</i>	09.18.2019	09.25.2019	0
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Objective(s)

Our audit objective was to determine whether FirstNet properly administered the contract's TO3, *Deployment, Operation, and Maintenance of the Nationwide Core*.

Finding(s)

We identified opportunities to address control weaknesses in, and improve management of, TO3 and future task orders. Specifically, we found that FirstNet did not comply with contractual terms, because it issued payment before properly documenting and modifying the NPSBN contract to move 1 of 18 IOC2 milestones to a later period. Further, it had not yet modified the contract to request that the contractor meet the final remaining milestone that FirstNet had already paid for.

TABLE 8. REPORTS ON INVESTIGATIONS CONCERNING SENIOR GOVERNMENT EMPLOYEES

OIG Case No.	Narrative Description of Investigations Involving Senior Government Employees Where Allegations of Misconduct Were Substantiated ^a
19-0327	On April 15, 2019, our office closed an investigation relating to an ITA political appointee involved with inappropriate work practices. Among other practices, the ITA political appointee sent numerous emails to include “For Official Use Only” emails from the government email account to a personal email account. There were several other performance issues documented, including tardiness, unreliability, not following standard procedures, and ethics violations. The political appointee was removed from the position.
17-0069	On May 2, 2019, our office closed an investigation into allegations that a NOAA employee misused NOAA Cooperative Institutes' funds by directly transferring millions of dollars to friends. It was also alleged that the employee provided SSS information; awarded contracts to personal associates; misused his or her official government position; received unreported compensation from outside employment; directed the hiring of personal acquaintances; and violated the ITAR. Our office substantiated that the employee misused his or her official government position—and partially substantiated multiple ITAR violations, which the NOAA Information System Security Office documented. Our office did not substantiate the allegations that the employee provided SSS material to associates and received unreported compensation from outside employment. In December 2017, the U.S. Attorney’s Office for the District of Maryland declined prosecution based upon the lack of evidence and the employee’s resignation from NOAA in 2017.
18-0629	On July 15, 2019, our office closed an investigation into the allegation that a USPTO employee claimed to have worked during times that the employee did not. We substantiated the allegation and determined that there were approximately 733 hours of paid time claimed by the employee for which there was no supporting evidence of work activities. The U.S. Department of Justice declined the case for criminal prosecution and we referred it to USPTO for administrative action. Subsequently, USPTO terminated the employee and issued a demand notice to the employee for \$43,366.27.
19-0815	On May 14, 2019, our office closed a case involving allegations of child abuse committed by an ITA employee while at an overseas post. The U.S. Department of State's Diplomatic Security Service (DSS) reported the allegations, conducted an investigation, and presented its investigative findings to the U.S. Attorney’s Office for the Eastern District for Virginia, which declined to seek criminal charges against the subject. DSS first contacted our office near the end of its investigation, when it intended to interview the subject. DSS subsequently provided its report of investigation to our office, and we forwarded the report to ITA – who had been in contact with DSS about the matter prior to our office receiving the report – for its review and any action they deemed appropriate. ITA proposed the removal of the subject. However, after receiving and reviewing the subject’s response, ITA withdrew the proposed removal and took no further disciplinary action. With criminal prosecution declined and investigative findings referred to ITA for administrative review and remedies, our office closed the case.

^a In keeping with section 5(e)(1)(C) of the IG Act, this chart reports only closed cases.

TABLE 9. DESCRIPTIONS OF INSTANCES OF WHISTLEBLOWER RETALIATION

There were no instances of confirmed whistleblower retaliation during this semiannual period.

**TABLE 10. DESCRIPTION OF CLOSED AND NON-PUBLIC INSPECTIONS,
EVALUATIONS, AUDITS, AND CERTAIN INVESTIGATIONS**

OIG is required to describe both (a) any inspection, evaluation, and audit conducted that is closed and not disclosed to the public and (b) any investigation conducted involving a senior government employee that is closed and not disclosed to the public (see tables 10-a and 10-b, respectively).

TABLE 10-A. DESCRIPTION OF CLOSED AND NON-PUBLIC INSPECTIONS, EVALUATIONS, AND AUDITS

During this semiannual period, we issued one piece of correspondence that closed an audit and one audit that was not disclosed to the public.

Date Product Issued	Title	Narrative Description
06.27.2019	<i>Fiscal Year 2019 Cybersecurity Information Sharing Act Audit</i>	<p>As required by the Cybersecurity Information Sharing Act of 2015 (CISA), we initiated an audit to assess the Department's cybersecurity information sharing program. Based on the information obtained during our audit, we provided responses to questions—jointly developed by inspectors general (IGs) of certain federal entities, in consultation with the Intelligence Community IG and Council of Inspectors General on Financial Oversight—on actions taken by the Department to carry out the guidance contained in CISA. Our responses have assisted in creating an interagency report on the actions of the executive branch of the federal government to carry out this law.</p> <p>Our objective of this audit was to determine the capabilities and practices of the Department's implementation for 2017 and 2018 of CISA. We observed and identified several barriers related to information sharing. Some of those barriers are specific to the Department and can be resolved internally. Other barriers, namely the absence of an accessible cross-domain sharing capability and low-quality Automated Indicator Sharing Cyber Threat Indicators and Defensive Measures, cannot be alleviated by the Department.</p>
09.06.2019	<i>Audit of the U.S. Census Bureau's CEDCaP Program</i>	<p>On November 13, 2017, we initiated an audit of the Census Bureau's Census Enterprise Data Collection and Processing (CEDCaP) program. Our revised objectives from February 16, 2018, were to determine whether (1) the Bureau was prepared to test its 2020 Census Security Architecture during the 2018 E2E Test and (2) there were cost issues that affected the readiness of the security architecture, or any other relevant systems. To accomplish our objectives, we interviewed officials and contractors at Bureau headquarters in Suitland and Greenbelt, Maryland, as well as toured the Security Operations Center in Greenbelt to gain an understanding of the requirements for the 2020 Census Security Architecture. Additionally, we reviewed the Bureau's compliance with applicable contract provisions.</p> <p>Based upon our review, we discussed our concerns with Bureau management, who responded to our concerns. We concluded that further work on this audit is not needed at this time. On September 6, 2019, we issued a memorandum to inform the Bureau that we had decided to terminate this audit.</p>

TABLE 10-B. DESCRIPTION OF CERTAIN CLOSED AND NON-PUBLIC INVESTIGATIONS

OIG Case No.	Narrative Description for Closed Cases of Investigations Involving Senior Government Employees Not Disclosed to Public
18-0636	On April 16, 2019, our office closed an investigation into alleged conflict of interest violations of a former Office of the Secretary employee who contacted the Department to schedule meetings for third-party businesses. The allegations were unsubstantiated and our office closed the investigation without further action.
19-0138	On May 28, 2019, our office closed an investigation into an alleged false official statement in connection with an official Office of Government Ethics (OGE) audit. The allegations were unsubstantiated; however, the investigation uncovered a systemic problem with tracking, organizing, and enforcing OGE Form 450 filings. Our office forwarded the investigative results to our internal Office of Audit and Evaluation for consideration.
19-0267	On August 16, 2018, our office entered into a memorandum of understanding with the Federal Retirement Thrift Investment Board (FRTIB), pursuant to which we agreed to investigate an anonymous complaint that the FRTIB had received. The complaint alleged that at least one senior official at FRTIB had been improperly charging the government for luxury accommodations while on official travel, including spa treatments and golf sessions. The complaint also made several allegations regarding FRTIB's Internal Audit group, including (a) altering audit samples and (b) contractors working with the Internal Audit group were told to ignore audit standards. After investigating, our office determined that the allegations in the complaint were unsubstantiated; we did find, however, that there may be a lack of internal control over contractor time and attendance. Our office sent a report of investigation to FRTIB on April 4, 2019, detailing our findings.

REPORTING REQUIREMENTS

The IG Act specifies reporting requirements for semiannual reports. The requirements are listed below and indexed to the applicable pages of this report.

SECTION	TOPIC	PAGE(S)
4(a)(2)	Review of Legislation and Regulations	67
5(a)(1)	Significant Problems, Abuses, and Deficiencies	2–22
5(a)(2)	Significant Recommendations for Corrective Action	2–22
5(a)(3)	Prior Significant Recommendations Unimplemented	67
5(a)(4)	Matters Referred to Prosecutorial Authorities	35
5(a)(5) and 6(c)(2)	Information or Assistance Refused	67
5(a)(6)	Listing of Audit Reports	39–41
5(a)(7)	Summary of Significant Reports	2–22
5(a)(8)	Audit Reports with Questioned Costs	38
5(a)(9)	Audit Reports with Funds to Be Put to Better Use	38
5(a)(10)	Prior Reports with Unimplemented and/or Unresolved Recommendations	42–58, 67
5(a)(11)	Significant Revised Management Decisions	67
5(a)(12)	Significant Management Decisions with Which OIG Disagreed	68
5(a)(14) and 5(a)(15)	Results of Peer Review	68
5(a)(16)	Peer Reviews Conducted by OIG	N/A
5(a)(17)	Investigative Reports Issued and Referrals for Criminal Prosecution	35
5(a)(18)	Description of Metrics Used for Determining the Data in 5(a)(17)	68
5(a)(19)	Reports on Investigations Concerning Senior Government Employees	61
5(a)(20)	Description of Whistleblower Retaliation Instances	62
5(a)(21)	Description of Establishment Interference Attempts	N/A
5(a)(22)	Description of Closed and Non-Public Inspections, Evaluations, Audits, and Certain Investigations	63–65

The following section includes information required under the IG Act that is not otherwise addressed in this report, along with supplemental information on select reporting topics:

SECTION 4(A)(2): REVIEW OF LEGISLATION AND REGULATIONS

This section requires the inspector general of each agency to review existing and proposed legislation and regulations relating to that agency's programs and operations. Based on this review, the inspector general is required to make recommendations concerning the impact of such legislation or regulations on (1) the economy and efficiency of the management of programs and operations administered or financed by the agency or (2) the prevention and detection of fraud and abuse in those programs and operations. Some of OIG's audits examine compliance with existing laws, regulations, and other legal requirements. OIG's reports of such audits describe findings and include recommendations on any action necessary to address such findings. OIG is also a participant in the Council of Inspectors General on Integrity and Efficiency (CIGIE) and its regular review of legislative and regulatory items that affect the inspector general community at large and individual departments. Further, during this reporting period, OIG reviewed legislation and regulation—including, but not limited to—S. 1314, the Stop Silencing Victims Act; Public Law No. 115-254, the Geospatial Data Act of 2018, subtitle F of the FAA Reauthorization Act of 2018; Section 1064 of Title X, Subtitle G, of H.R. 2500, the National Defense Authorization Act for Fiscal Year 2020, and potential related changes; and FAR Case 2019-003, Consolidation and Substantial Bundling.

SECTION 5(A)(3): PRIOR SIGNIFICANT RECOMMENDATIONS UNIMPLEMENTED

This section requires identification of each significant recommendation described in previous semiannual reports for which corrective action has not been completed. Section 5(b) requires that the Secretary transmit to Congress statistical tables showing the number and value of audit reports for which no final action has been taken, plus an explanation of why recommended action has not occurred, except when the management decision was made within the preceding year. Information on the status of any audit recommendations can be obtained through OIG upon request.

SECTIONS 5(A)(5) AND 6(C)(2): INFORMATION OR ASSISTANCE REFUSED

These sections require a summary of each report to the Secretary when access, information, or assistance has been unreasonably refused or not provided. There were no reports to the Secretary during this semiannual period.

SECTION 5(A)(10): PRIOR REPORTS WITH UNIMPLEMENTED AND/OR UNRESOLVED RECOMMENDATIONS

This section requires (1) a summary of each audit report issued before the beginning of the reporting period for which no management decision has been made by the end of the reporting period (including the date and title of each such report); (2) an explanation of why a decision has not been made; and (3) a statement concerning the desired timetable for delivering a decision on each such report. There are no audit reports that are more than 6 months old for which no management decision has been made.

This section also requires a summary of each audit report issued before the beginning of the reporting period (1) for which there was no comment returned within 60 days of providing the report to the establishment and (2) for which there are any outstanding unimplemented OIG recommendations, including the aggregate potential cost savings of such recommendations. Please see table 7-C, "Reports for Which Management Took Longer Than 60 Days to Respond," for summaries of three instances during this semiannual period of an operating unit within the Department taking longer than 60 days to provide an action plan that addressed the recommendations of a final report (as required by DAO 213-5).

SECTION 5(A)(11): SIGNIFICANT REVISED MANAGEMENT DECISIONS

This section requires an explanation of the reasons for any significant revision to a management decision made during the reporting period. DAO 213-5, *Audit and Evaluation Resolution and Follow-up*, provides procedures for revising a management decision. During this semiannual period, there were no significant revised management decisions.

SECTION 5(A)(12): SIGNIFICANT MANAGEMENT DECISIONS WITH WHICH OIG DISAGREED

This section requires information concerning any significant management decision with which the inspector general disagrees. DAO 213-5 provides procedures for elevating unresolved audit recommendations to higher levels of Department and OIG management, including their consideration by an agency resolution council. During this period, no audit issues were referred.

SECTION 5(A)(14) AND 5(A)(15): RESULTS OF PEER REVIEW

On March 15, 2018, our Office of Audit and Evaluation (OAE) received official notification of its peer review of its audit operations by the OIG for the National Aeronautics and Space Administration (NASA). NASA OIG's System Review Report of our audit operations is available on our website. We received a *pass* rating, the highest available rating. We received three recommendations: (1) to update OIG's OAE Audit Directives of 2014 (Audit Directives 2014) to include Generally Accepted Government Auditing Standards (GAGAS) requirements for an annual analysis and summarization of results of OIG's monitoring process, and ensure that this update includes policies and procedure to address this requirement timely; (2) to provide additional guidance to ensure that audit teams consistently hold and document the results of meetings to discuss fraud risks and the procedures performed during fraud risk assessments; and (3) for supervisors to provide additional guidance to all OIG OAE staff to ensure that all audit file work papers are completed and reviewed prior to report issuance. We have implemented procedures for the first two recommendations and are in the process of updating all OAE policies—including implementing all of NASA OIG's recommendations for process and policy improvements. We anticipate issuing the revised policy by December 31, 2020.

On May 30, 2019, our OAE received official notification of its peer review of its inspection and evaluation operations by the OIGs of GSA and the Federal Deposit Insurance Corporation (FDIC), conducted in accordance with CIGIE Inspection and Evaluation Committee guidance. GSA-FDIC OIG assessed the extent to which our office met seven required *CIGIE Quality Standards for Inspection and Evaluation* standards. GSA-FDIC OIG determined that our policies and procedures generally met the seven standards. We received one recommendation for when we review and revise our Audit Directives 2014: to revise the revision should include policies and procedures for safeguarding confidential information and ensuring that inspection and evaluation work is CIGIE Blue Book compliant prior to the reporting stage. We are in the process of updating all OAE policies, including implementing GSA-FDIC OIG's recommendation for process and policy improvements. We anticipate issuing the revised policy by December 31, 2020.

SECTION 5(A)(18): DESCRIPTION OF METRICS USED FOR DETERMINING THE DATA IN 5(A)(17)

The metrics used for the statistical data referenced in table I, *Office of Investigations Statistical Highlights for This Period*, include the following: ensure data input is completed accurately; obtain data extraction via reports generated in our case management system; and complete quality assurance with supporting documentation in the case files and discussions with individual investigative personnel.

ACRONYMS AND ABBREVIATIONS

ABI	Advanced Baseline Imager	EDA	U.S. Economic Development Administration
ACO	area Census office		
AGO	Acquisition and Grants Office	EWS	Enterprise Web Solutions
BIS	Bureau of Industry and Security	FAR	Federal Acquisition Regulation
BTOP	Broadband Technology Opportunities Program	FBI	Federal Bureau of Investigations
Bureau	U.S. Census Bureau	FDIC	Federal Deposit Insurance Corporation
CEDCaP	Census Enterprise Data Collection and Processing	FirstNet	First Responder Network Authority
CIGIE	Council of Inspectors General on Integrity and Efficiency	FISMA	Federal Information Security Modernization Act
CISA	Cybersecurity Information Sharing Act of 2015	FRTIB	Federal Retirement Thrift Investment Board
CO	contracting officer	FY	fiscal year
Commission	Northwest Indian Fisheries Commission	GAO	U.S. Government Accountability Office
COR	contracting officer's representative	GMD	Grants Management Division
CPIC	Capital Planning and Investment Control	GOES	Geostationary Operational Environmental Satellites
CQA	Census Questionnaire Assistance	GSA	U.S. General Services Administration
CRB	CPIC Review Board	GSMFC	Gulf States Marine Fisheries Commission
CTIP	Commerce Threat Intelligence Portal	ID	identification
DAO	Department Administrative Order	IG Act	Inspector General Act of 1978, as amended
Department	U.S. Department of Commerce	IOC2	initial operational capability 2
DSS	Diplomatic Security Service	IP	intellectual property
E2E Test	End-to-End Census Test		

IPIA	Improper Payments Information Act of 2002	PFO	Polar Follow-On
IPS	Intelligent Patent Services, LLC	PIV	Personal Identity Verification
IT	information technology	PWS	Polar Weather Satellite
ITA	International Trade Administration	QCR	quality control review
ITAR	International Traffic in Arms Regulation	RCO	Recreation and Conservation Office
JPSS	Joint Polar Satellite System	RLF	Revolving Loan Fund
NASA	National Aeronautics and Space Administration	RMPS	Risk Management Program System
NESDIS	National Environmental Satellite, Data, and Information Service	SAMMS	Shipboard Automated Maintenance Management System
NIST	National Institute of Standards and Technology	SDA	S. Davis & Associates
NOAA	National Oceanic and Atmospheric Administration	SOP	standard operating procedure
NPSBN	Nationwide Public Safety Broadband Network	SPE	Supervisory Patent Examiner
NRFU	nonresponse followup	SSS	sensitive source selection
NTIA	National Telecommunications and Information Administration	TMNG	Trademark Next Generation
NWS	National Weather Service	TO3	Task Order Number 3
OGC	Office of the General Counsel	U.S.C.	United States Code
OGE	Office of Government Ethics	ULO	unliquidated obligation
OIG	Office of Inspector General	Uniform Guidance	<i>Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards</i>
OIS	Office of Information Security	USPTO	U.S. Patent and Trademark Office
OMAO	Office of Marine and Aviation Operations	WCF	working capital fund
OMB	Office of Management and Budget		
PCSRF	Pacific Coastal Salmon Recovery Fund		

REPORT

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