

U.S. GOVERNMENT PRINTING OFFICE

# Office of Inspector General Annual Work Plan

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October 1, 2012–September 30, 2013

**Fiscal Year 2013**

## Highlights of the Office of Inspector General (OIG) Work Plan

**GOAL 1:** Assist the Government Printing Office (GPO) meet its strategic management goals related to transforming itself into a digital information platform and provider of secure documents to satisfy changing customer requirements in the present and in the future.

- Safeguards Over Blank Passports
- Actions That Strengthen and Sustain GPO's Transformation to a Digital Platform
- Information Security: Continuous Monitoring of Select Key Systems
- Assessment of GPO's Public Key Infrastructure (PKI) Certification Authority (CA)

**GOAL 2:** Promote economy, efficiency, and effectiveness in GPO operations by helping GPO managers ensure financial responsibility.

- Audit of GPO's Consolidated Financial Statements
- Volatility of GPO's Federal Employees' Compensation Act (FECA) Estimated Liabilities
- GPO's Safety Program as it Impacts FECA Operations
- General, Application, and Security Controls Review of Financial Systems
- Audit of Billing Rates for Congressional Products
- Opportunities for Potential Cost Savings: Audit of Professional Service Contracts
- Controls Over the Vendor Payment Process
- Various Investigative Initiatives to Identify Instances of Fraud within the FECA Program

**GOAL 3:** Strengthen GPO's print procurement programs that support other Government entities, by providing quality and timely assessments.

- Use of Suspensions and Debarments in Contracted Printing Services
- Review of GPO Chargeback Process
- Various Investigative Initiatives to Identify Instances of Fraud within the Print Procurement Programs

**GOAL 4:** Reduce improper payments and related vulnerabilities by helping GPO managers reduce payment errors, waste, fraud, and abuse in the major GPO programs and operations while continuing to ensure that programs serve and provide access to intended parties.

- Controls over GPO's Purchase Card Program
- Controls over Improper Payments
- Audit of FECA Claims Management
- GPO's Competition Processes for Contract Award
- Various Investigative Initiatives to Identify Instances of Fraud within Acquisitions to Include Service Contracts

**GOAL 5:** Increase the efficiency and effectiveness with which GPO managers exercise stewardship over official publications from all three branches of the Federal Government.

- Assessment of the Federal Depository Library Program's (FDLP) Biennial Survey
- Opportunities to Reduce Potential Costs Associated with Duplication in Government Printing
- Information Security: Continuous Monitoring of Federal Digital System (FDsys)

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## **Message from the Inspector General**

The Office of Inspector General (OIG) Work Plan for Fiscal Year (FY) 2013 (Work Plan) provides brief descriptions of new and ongoing reviews and activities that OIG plans to pursue with respect to GPO programs and operations during the next 12 months and beyond. Our Work Plan also outlines our responsibilities and values, organization, work planning process, accomplishments, and additional information about this edition.

Our Work Plan reflects the priority work that OIG believes is necessary for providing effective oversight of the broad spectrum of GPO programs and operations. OIG anticipates that during FY 2013 fewer resources will be available to carry out our mission. Accordingly, adjustments to this plan may be necessary as the year unfolds to ensure that we direct our resources to areas of highest risk and vulnerability.

Primary sources of input for the assignments listed in this Work Plan included risk assessments across GPO programs and operations based on previous OIG work, Government Accountability Office (GAO) high-risk assessments, congressional interest, Office of Management and Budget (OMB) priorities, GPO vulnerability/internal control assessments, and identification of key challenges and strategic planning priorities. Our current planning also reflects direct outreach and solicitation of topics and assignment suggestions from GPO's leadership, external stakeholders, and our staff.

I want to thank our staff members for their direct participation in this process. I also want to thank the GPO leadership as well as external stakeholders for input into this Work Plan. I look forward to continuing an open dialogue for receiving ideas, suggestions, and feedback.

We welcome input into our planning process and feedback on the quality and value of OIG products and services from all customers, clients, stakeholders, and the public.

Michael A. Raponi  
Inspector General

## **Introduction**

Our Work Plan identifies assignment topics continuing from FY 2012 and assignment topics scheduled to start during FY 2013, allowing for unforeseen work that may be requested by hotline complaints, GPO leadership, and Congress.

Our Work Plan is implemented through audits, evaluations, investigations, and follow-up reviews in compliance with the Inspector General (IG) Act, applicable professional standards of the U.S. Comptroller General, and the Quality Standards for Federal Offices of Inspectors General of the Council of the Inspectors General on Integrity and Efficiency.

## **What is our responsibility?**

OIG helps GPO effectively carry out its responsibilities by promoting economy, efficiency, and effectiveness in administering GPO programs and operations, designed to prevent and detect fraud, waste, and abuse in those programs and operations.

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

## **Summary of OIG's Strategic Plan**

In October 2012, GPO released its Strategic Plan for FY 2013 through FY 2017, showing how it will meet the information needs of Congress, Federal agencies, and the public with an emphasis on being official, digital, and secure. GPO reports that the public trusts information it publishes because GPO is the official word of the Government. GPO reports that it uses the latest technologies to make information available in digital format and that Federal agencies seek GPO's expertise and services for their secure credential needs.

The OIG Strategic Plan sets forth the OIG's formal strategy for identifying priority issues and managing its workload and resources for FY 2012 through FY 2016. Successful execution of this Work Plan will enable OIG to provide the highest quality work products to our stakeholders and to assist GPO in meeting its strategic mission, goals, and objectives. OIG has aligned its planning with that of the GPO planning.

Our mission is to help GPO effectively carry out its responsibilities by promoting economy, efficiency, and effectiveness in the administration of, and to prevent and detect fraud and abuse in, GPO programs and operations.

Our goals are:

- Goal 1: Assist GPO in meeting its strategic management goals related to transforming itself into a digital information platform and provider of secure documents to satisfy changing customer requirements in the present and in the future.
- Goal 2: Promote economy, efficiency, and effectiveness in GPO operations by helping GPO managers ensure financial responsibility.
- Goal 3: Strengthen GPO's print procurement programs that support other Government entities by providing quality and timely assessments.
- Goal 4: Reduce improper payments and related vulnerabilities by helping GPO managers reduce payment errors, waste, fraud, and abuse in major GPO programs and operations while continuing to ensure that programs serve and provide access to the intended parties.
- Goal 5: Increase the efficiency and effectiveness with which GPO managers exercise stewardship over official publications from the three branches of the Federal Government.
- Goal 6: Strive for a highly qualified diverse workforce with the tools and training necessary to continuously enhance OIG ability to fulfill its mission and communicate its accomplishments.

To accomplish these goals, we will continuously monitor and assess risks in GPO programs and operations that will identify those critical to the achievement of our goals and target resources for those critical risks.

### **How and Where We Operate**

The OIG is based in Washington, D.C., with three offices—the OAI, the OI, and Counsel to the IG.



The IG provides policy direction and leadership for GPO's OIG and serves as an independent voice to the Public Printer and Congress by identifying opportunities and promoting solutions for improving GPO performance and economy and efficiency of operations, while preventing and detecting fraud, waste, and abuse.

The Assistant IG for Audits and Inspections conducts performance and financially related audits across the spectrum of GPO's program and operational activities. It produces reports on activities aimed at improving GPO's economy, efficiency, and effectiveness, while seeking to detect and prevent fraud, waste, and abuse. Audit activities are focused on issues related to our strategic plan and related activities. Audits are conducted in accordance with generally accepted government auditing standards.

OAI identifies opportunities for improving cost efficiency and effectiveness as well as the overall quality of service delivery throughout GPO. Inspections include reviews of Agency activities, typically focused more broadly than an audit and designed to give managers timely and useful information about operations, including current and anticipated problems. Inspections are also sometimes referred to as evaluations.

The Assistant IG for Investigations investigates allegations of fraud, waste, abuse, and misconduct that could affect GPO programs, operations, assets, and other resources. Investigative findings are referred to the Department of Justice for criminal prosecution or civil litigation or to GPO management for administrative action. OI develops recommendations designed to reduce GPO vulnerability to criminal activity.

The Counsel to the IG provides legal assistance and advice to the senior management of OIG and supports audits, evaluations, special reviews, and investigations. The Counsel to the IG coordinates with attorneys outside the Agency, including local and Federal agencies and law enforcement attorneys.

Other administrative matters include financial management, procurement, human capital management, administrative, and Information Technology (IT) services that support OIG operations. OIG also reports semiannually to the Public Printer and Congress on OIG activities during periods ending March 31 and September 30.

Semiannual Reports to Congress are intended to keep the Public Printer and Congress informed and up to date on significant findings and recommendations of OIG.

In addition, OIG provides the Public Printer and Congress with assessments of the most serious management challenges the Agency faces.

### **How do we plan our work?**

Work planning is an ongoing process, and adjustments are made for meeting priorities as well as anticipating and responding to issues with available resources. Throughout the year, we assess risks in the programs for which we have oversight authority to identify areas most in need of attention and, accordingly, set priorities for allocated resources. Our planning reflects outreach and solicitation of topics and assignment suggestions from the GPO leadership, external stakeholders, our staff, and oversight requirements. As a result, a number of assignments listed in this Work Plan are responsive to the immediate concerns or requests of GPO managers. Other assignments are required or are self-initiated based on our goals themes, which are focused on providing the greatest value and risk reduction to GPO.

### **What do we accomplish?**

In FY 2012, we issued 23 audit and other reports that, among other things, identified \$7.1 million in questioned costs, funds that could have been put to better use and funds that could be at risk, and made 92 recommendations for program improvement. Our investigative work led to 1 conviction, 1 deferred prosecution, 32 debarments, and \$458,531 in monetary funds at risk as the result of fraud.

## **Audit and Inspection Work Plan**

**Goal 1: Assist GPO in meeting its strategic management goals related to transforming itself into a digital information platform and provider of secure documents to satisfy changing customer requirements in the present and in the future.**

### Carryover Projects

#### *Safeguards Over Blank Passports*

This assessment will focus on the internal control policies, procedures, and activities designed primarily to prevent or detect lost and unaccounted for blank passports. We will test elements that significantly affect the control environment surrounding the program such as security risks and training. We will test control activities directly related to purchasing key materials and components and the supporting documentation, establishing accountability over destroyed and damaged blank passports, finished product reconciliations to beginning production quantities, and supervisory review.

### New Projects Planned

#### *Actions to Strengthen and Sustain GPO Transformation to a Digital Platform*

This assessment is a follow-on audit of the implementation of GPO's transformation. In September 2012, we reported on the maturity of GPO's Enterprise Architecture on an enterprise-wide basis and separately for FDsys. Based on both our audit and GPO's self-assessment in 2010, GPO had not fully expanded and evolved the Enterprise Architecture and its use for transformation and optimization. We found similar results with the architecture maturity level of FDsys.

The follow-on assessment will determine whether GPO's capital planning and control of IT investments is integrated with its Enterprise Architecture and strategic goals.

#### *Information Security: Continuous Monitoring of Select Key Systems*

As GPO continues its transition into the digital information platform, managers will face challenges related to protecting critical systems, information, and data. To the extent GPO is a "contractor" for agencies of the executive branch, those agencies rely on GPO's information security management.

This evaluation will determine if GPO has effectively used automation as it relates to continuous monitoring. We will review four GPO-identified mission critical systems. One system is included under Goal 5 and the remaining three are listed below.

- GPO's Passport Printing and Production System (PPPS). PPPS includes various computer applications and operating systems that support production of U.S. official electronic passports (e-Passports).
- Secure Card Personalization System. The Secure Card Personalization System is a system that supports GPO's custom Federal identity card programs.
- GPO WebTA. WebTA is a commercial-off-the-shelf Time and Attendance software application.

#### *Assessment of GPO's PKI CA*

WebTrust assessment is a critical part of the GPO PKI's certification as a Shared Service Provider. The WebTrust assessment results in a WebTrust Seal that GPO can display on its Web site as a method of conferring confidence to a potential entity seeking PKI services.

This assessment will provide an assurance service to GPO by performing a WebTrust CA examination with respect to WebTrust criteria, in accordance with generally accepted government auditing standards. We will determine whether the PKI CA system is being operated in accordance with its published Certificate Policy and Certificate Practice Statement. We will also assess GPO compliance with reporting requirements of the Federal Infrastructure Policy Authority and the Shared Service Provider Working Group.

## **Goal 2: Promote economy, efficiency, and effectiveness in GPO operations by helping GPO managers ensure financial responsibility.**

### Carryover Projects

#### *Audit of GPO's FY 2012 Consolidated Financial Statements*

OIG entered into a contract with an Independent Public Accounting (IPA) firm to conduct the FY 2011 financial statement audit. The audit will express an opinion on GPO's financial statements and report on GPO's internal controls over financial reporting and compliance with applicable laws and regulations that could have a direct and material effect on the financial statements.

#### *Volatility of GPO's FECA Estimated Liabilities*

The Department of Labor (DOL) administers the FECA Program and makes decisions regarding the eligibility of injured workers to receive workers' compensation benefits. DOL provides direct compensation to medical providers, claimants, and beneficiaries. GPO reimburses DOL for workers' compensation claims in addition to paying an administrative fee.

Workers' compensation estimates for the future are generated from application of actuarial procedures DOL develops to estimate the liability for FECA benefits. The liability for future benefits includes expected liability for death, disability, medical costs for approved compensation cases, and a component related to injuries incurred but not reported. Liability is determined using historic benefit payment patterns related to a particular period to estimate the ultimate payments related to that period. Because the FECA liability estimate is developed by DOL and is out of the control of GPO, a risk exists that a significant increase in the estimate could have an unfavorable impact on GPO's financial management.

This assessment will determine whether opportunities exist that will reduce the risk and potential impact of the volatility of the GPO estimate of the workers' compensation liability.

#### *GPO's Safety Program as it Impacts FECA Operations*

This assessment will provide GPO managers with an evaluation of GPO's safety program, including industrial safety and hygiene, to determine if it minimizes and prevents injuries, mishaps, and close calls as well as ensures the welfare of GPO employees and other resources. This assessment will help GPO managers improve safety practices that could result in a reduction in accidents, workers' compensation claims, and missed time resulting from job-related injuries and illnesses.

## New Projects

### *Audit of GPO's FY 2013 Consolidated Financial Statements*

OIG entered into a contract with an IPA firm to conduct the FY 2013 financial statement audit. The audit will express an opinion on GPO's financial statements and report on its internal controls over financial reporting and compliance with applicable laws and regulations that could have a direct and material effect on the financial statements.

We will review the independent auditor's work to determine whether the financial statement audit was conducted in accordance with our contract terms. The purpose of a financial statement audit is to determine whether the financial statements present fairly, in all material respects, the financial position of the audited entity for the specified time period.

### *General, Application, and Security Controls Review of Financial Systems*

In support of our audit of GPO's FY 2013 Consolidated Financial Statements, we will determine if the information produced by selected GPO financial systems is reliable by assessing the general, application, and security controls of the IT systems. We will accomplish this principally through a risk-based audit of the general, application, and security controls of select financial systems in compliance with GAO's Federal Information System Controls Audit Manual (FISCAM). Based on this review, we will conclude on whether controls for the systems are properly designed and operating effectively. An IPA firm will perform this review as part of the GPO Consolidated Financial Statement Audit. OIG will monitor the work performance of the IPA.

### *Audit of Billing Rates for Congressional Products*

In September 2012, we issued a report that identifies opportunities to enhance controls over the accuracy of billing charges for congressional products.

GPO produces the daily and permanent editions—in both online and print formats—of the *Congressional Record*, bills, resolutions, amendments, hearings, committee reports, committee prints, documents, stationery, and a wide variety of other products. The work performed for Congress is funded through the annual appropriation for the Congressional Printing and Binding (CP&B) appropriation. The CP&B is appropriated annually for authorized printing and binding required for the use of Congress and for printing, binding, and distributing Government publications authorized by law to be distributed without charge to the recipient. GPO uses more than 100 product codes.

As a follow-on audit, we will determine the extent to which GPO exercises control over the billing rates used to charge for congressional products and related charges to the CP&B appropriation.

### *Audit of Select Contractor-Incurred Costs*

We plan to use contractors to audit select awardees's expenditures. Our primary objective is to examine the contractor's cost representations, in whatever form they may be presented (such as interim and final public vouchers, progress payments, incurred cost proposals, termination claims, and final overhead claims). We will and opine on whether those costs are reasonable, applicable to the contract, determined under generally accepted accounting principles and cost accounting standards applicable in the circumstances, and not prohibited by the contract, by statute or regulation, or by previous agreement with, or decision of, the contracting officer.

### *Opportunities for Potential Cost Savings: Audit of Professional Service Contracts*

The purpose of this audit is to identify services or areas where unnecessary duplication, overlap, or fragmentation exists, actions needed to address such conditions, and potential financial and other benefits for doing so, and then highlight opportunities for potential cost savings or enhanced revenues.

### *Controls Over the Vendor Payment Process*

Federal agencies have implemented various controls for safeguarding assets and using advanced technologies that will reduce costs in financial management systems. The steps of the acquisition and payment process involves general purchases and include: (1) purchase authorization (the ordering function), (2) receipt and acceptance of the items ordered, (3) receipt of the invoice, (4) payment approval and authorization, and (5) actual payment (disbursement of funds).

This assessment will also evaluate the internal controls over the vendor payment process.

### **Goal 3: Strengthen GPO's print procurement programs that support other Government entities by providing quality and timely assessments.**

#### Carryover Projects

##### *Use of Suspensions and Debarments in Contracted Printing Services*

To protect the Government's interests, Federal agencies are required to award contracts only to responsible sources—those sources determined to be reliable, dependable, and capable of performing the required work. One way to protect the Government's interests is through suspensions and debarments, which are actions taken designed to exclude firms or individuals from receiving contracts or assistance based on various types of misconduct. A suspension is a temporary exclusion pending completion of an investigation or legal proceeding, while a debarment is for a fixed amount of time that depends on the seriousness of the cause, but generally should not exceed 3 years. The exclusions are reported in the Excluded Parties List System the General Services Administration (GSA) maintains along with violations of certain statutes and regulations.

Contractors may be debarred or suspended for a variety of activities, including conviction of or civil judgment for actions such as fraud, embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property. Debarments and suspensions are also levied as a result of a commission of any other offense demonstrating a lack of business integrity or business honesty and can be the result of actions by another agency.

This assessment will help GPO managers strengthen program integrity by determining whether GPO debar or suspends contractors determined unreliable, undependable, or incapable of performing the required work in accordance with the GPO guidance.

#### New Projects

##### *Review of GPO Chargeback Process*

GPO reports a longstanding problem of chargebacks. With a chargeback, GPO first receives a request from a customer agency for printing and/or binding. GPO awards contracts to vendors/contractors to provide the printing. The customer agency approves print orders for specific jobs, including a fixed price or a cost estimate plus the additional GPO charges (for example, a GPO surcharge). The print job is then delivered to the customer agency, and, after paying the contractor, GPO prepares Intra-Governmental Payment and Collection (IPAC) transaction documents to charge the agency. IPAC was designed to transfer funds between Federal agencies. At the end of each month, GPO personnel access IPAC and retrieve the total costs due from the agency. Review of IPAC transactions is important because they immediately affect GPO's revolving fund and the customer agency's respective accounts in the U.S. Treasury.

GPO has established a multi-disciplinary task force to work on and reduce the existing volume of chargebacks, re-engineer internal GPO processes, and implement computer system changes so many of the GPO-caused chargebacks will be eliminated as well as meet with the agencies that are the major source of customer-caused chargebacks.

OIG will evaluate the overall effort for reducing of chargebacks for both GPO- and customer-caused chargebacks.

**Goal 4: Reduce improper payments and related vulnerabilities by helping GPO managers reduce payment errors, waste, fraud, and abuse in the major GPO programs and operations while continuing to ensure that programs serve and provide access to their intended parties.**

### Carryover Projects

#### *Controls over GPO's Purchase Card Program*

Since 1989, GSA has administered the Federal Government's SmartPay® Government Purchase Card Program. The Government Purchase Card Program was established as a way for agencies to streamline Federal acquisition processes by providing a low-cost, efficient vehicle for obtaining goods and services directly from vendors. Agencies may also use purchase cards to make payments under established contracts.

This assessment will determine if controls over GPO practices will prevent or detect questionable, improper, and potentially fraudulent purchase card transactions.

#### *Controls Over Improper Payments*

The Improper Payments Elimination and Recovery Act, Public Law 111-204, was enacted on July 22, 2010, and OMB issued implementing guidance—OMB Memorandum M-11-16—on April 14, 2011. The guidance requires that executive branch agencies annually review improper payments and evaluate efforts for preventing and reducing improper payments. Because GPO is a legislative branch and not subject to Public Law 111-204, GPO's internal control program requires that its managers continuously monitor and improve the effectiveness of management controls over their programs, functions, and activities.

We will review certain aspects of GPO compliance with reducing improper payments. Federal agencies are required to reduce improper payments by intensifying efforts that eliminate payment errors, waste, fraud, and abuse in major programs administered while continuing to ensure that Federal programs serve and provide access to the intended beneficiaries. We will assess data GPO accumulated and provide any recommendations for modifying its methodology, improper payment-reduction plans, or program access and participation plans.

### New Projects

#### *Audit of FECA Claims Management*

In FY 2012, we completed an audit that assessed: (1) GPO monitoring of key aspects of its FECA operations as it relates to returning claimants to work, (2) training of GPO personnel, such as efforts to ensure business unit supervisors understand their responsibilities under FECA, and (3) GPO reliance on IT to administer the program.

This is a follow-on audit of GPO's FECA Program. We will assess select aspects of GPO's claims management.

*GPO's Competition Processes for Contract Award*

This audit will determine whether GPO is making maximum use of competition to procure goods and services at the best value and cost.

**Goal 5: Increase the efficiency and effectiveness with which GPO managers exercise stewardship over official publications from the three branches of the Federal Government.**

Carryover Projects

*Assessment of the Federal Depository Library Program's Biennial Survey*

Congress established FDLP to ensure that the American public has access to Government information. Since 1813, depository libraries have safeguarded the public's right to know by collecting, organizing, maintaining, preserving, and assisting users with information from the Federal Government. FDLP provides Government information at no cost to designated depository libraries throughout the country and territories. Anyone can visit Federal depository libraries and its collections, which contain information on careers, business opportunities, consumer information, health and nutrition, legal and regulatory information, demographics, and numerous other subjects.

GPO is responsible for administering the Biennial Survey of Depository Libraries, required by subsection 1909, title 44 of the United States Code. The Biennial Survey provides GPO with important information concerning the conditions of both individual depository libraries and the FDLP as a whole. Data are used to administer the program and assist in the assessments of the conditions and services of depository libraries.

This assessment will review the degree to which depository libraries provide complete and accurate responses to the survey and how effective GPO uses the data to administer the program.

*Opportunities to Reduce Potential Costs Associated with Duplication in Government Printing*

Title 44 of the United States Code requires that any Federal printing and binding, with limited exceptions, be performed by or through GPO. Specifically, printing, binding, and blank-book work for Congress, the Executive Office, the Judiciary, other than the Supreme Court of the United States, and every Executive Office, independent office and establishment of the Government, must be accomplished at GPO, with few exceptions.

Data published by OMB as part of the FY 2012 budget show about \$1.4 billion in direct obligations for printing and reproduction for the Federal Government during FY 2010. Excluding GPO's component of \$104 million for congressional work and printing for our Superintendent of Documents, this leaves nearly \$1.3 billion in direct printing obligations for the rest of the Government. GPO's procurement revenue last year was about \$500 million, or about 40 percent of these direct obligations, leaving about \$800 million that did not come through GPO.

While we have not determined the extent of printing other than GPO, we were notified of instances of printing performed at the Department of Health and Human Services and at the Department of Veterans Administration.

This assessment will identify (1) specific instances where printing duplication, overlap, or fragmentation exists, the actions needed to address such conditions, and the potential financial impact of doing so, (2) Federal agencies that bypassed GPO in lieu of publishing documents directly and hence are not part of the FDLP, and (3) print procurement actions that may put an agency at risk for violation of the Anti-Deficiency Act.

### New Projects

#### *Information Security: Continuous Monitoring of FDsys*

This evaluation will determine if GPO has effectively used automation as it relates to continuous monitoring. Automation, including use of automated support tools (for example, vulnerability scanning tools and network scanning devices), can make the process of continuous monitoring more cost-effective, consistent, and efficient. Security controls defined in the National Institute of Standards and Technology (NIST) Special Publication 800-53, Recommended Security Controls for Federal Information Systems and Organizations.

The audit will evaluate four GPO-identified mission critical systems. FDsys is one of those systems. FDsys provides free online access to official publications from the three branches of the Federal Government. FDsys is a content management system, a preservation repository, and an advanced search engine.

## Investigative Work Plan

OIG conducts criminal, civil, and administrative investigations relating to violations of Federal laws, rules, or regulations as they pertain to GPO programs, contracts, and operations as well as allegations of criminal activity and serious misconduct on the part of GPO employees. Fraud investigations typically result from allegations or suspicions of wrongdoing involving GPO programs, operations, or personnel. Investigations may also be the result of broad initiatives arising from previous OIG activities or as part of broad interagency initiative—normally in consultation with appropriate U.S. Attorneys.

As part of our initiative to combat FECA fraud, investigators are identifying instances of fraud within the FECA Program at GPO. OIG investigates those who intentionally fail to disclose reportable employment or income, falsify or report fraudulent medical information, or claim to be injured or disabled when in fact they are not. As necessary, the investigations also target healthcare providers (for example, doctors, clinics, pharmacists, or physical therapists) who fraudulently bill for services as well as fraud associated with medical promotions or treatments and unauthorized payments or kickbacks made to employers, providers or claimants.

Investigators use selected data analytics to assist in identifying print procurement fraud. Procurement services are provided through the Central Office located in Washington, D.C., as well as through a network of regional or satellite offices located nationwide. To meet the printing demand, GPO spends in excess of \$500 million annually.

OI is also assessing high-risk activities that identify contract fraud. Contract fraud, to include service contracts, is a form of theft that results in the loss of many Government funds, and OIG plans to identify schemes in which contracts are being used for unjust enrichment, personal use, or other than their intended purpose.

From time to time, OIG may issue Management Implication Reports, which are issued to GPO executive directors when an investigation identifies a systemic weakness in a program or operation that may impact GPO business units.

An essential tool used in investigations is the OIG Hotline, which provides a confidential means of reporting suspected violations involving GPO assets, employees, or contractors. OIG maintains the Hotline for receiving complaints about violations of law, regulation, or fraud, waste, and abuse.

**Data Analytics.** OI is playing a key role in using data analytics to develop investigations. The team will develop short- and long-term plans to expand the use of data analytics capabilities within OI.

## **Highly Qualified Diverse OIG Workforce**

OIG strives for a highly qualified diverse workforce with tools and training that will continuously enhance OIG ability to fulfill its mission and communicate its accomplishments.

OIG seeks to create a work environment where all employees are valued, treated fairly, and given opportunities to develop to their full potential. Having a diverse, highly professional, motivated, and multidisciplinary staff helps OIG fulfill its mission to support GPO and Congress and helps improve the performance and accountability of the Government for the benefit of the American people.

In October 2012, OIG issued its annual training plan. The plan establishes a framework for assuring that OIG has aligned its employee training resources with its core programmatic and organizational priorities. Training supports the OIG mission by providing the organization with strategies necessary to accomplish the orientation, training, and development of a competent, motivated, diverse workforce, while making the best use of available resources. The purpose of training is to increase effectiveness of individuals and teams, throughout their employment, so they can contribute to accomplishing OIG goals. Training provides opportunities for employees to gain or enhance knowledge and skill sets to do their jobs.

Employee training is provided through on-the-job training, instructor-led training, and online training. Our training focuses on core competency related to knowledge and skills, with the balance focused on computer skills and other employee skill development. On-the-job-training is the purview of individual managers.

This plan outlines the FY 2013 curriculum for OIG professionals to use as a guide for gaining the knowledge, skills, and abilities necessary to maintain currency in professional practices and to effectively perform their work. OIG identified a set of core competencies in our training plan needed to accomplish the OIG mission.

## **Report Fraud, Waste, and Abuse**

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

U.S. Government Printing Office

Office of Inspector General

P.O. Box 1790

Washington, DC 20013-1790

Email: [gpoighotline@gpo.gov](mailto:gpoighotline@gpo.gov)

Fax: 1-202-512-1030

Hotline 1-800-743-7574

GPO is the Federal Government's primary centralized resource for producing, procuring, cataloging, indexing, authenticating, disseminating, and preserving the official information products of the U.S. Government in digital and tangible forms. The Agency is responsible for producing and distributing information products for the three branches of the Federal Government, including U.S. passports for the Department of State as well as the official publications of Congress, the White House, other Federal agencies, and the courts.