



FY 2017 **OIG ANNUAL WORK PLAN**

OCTOBER 1, 2016 – SEPTEMBER 30, 2017

GPO

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



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Message from the **INSPECTOR GENERAL**

U.S. GOVERNMENT PUBLISHING OFFICE

The OIG Work Plan (Work Plan) outlines our responsibilities and values, organization, work planning process, and prior accomplishments. The Work Plan provides brief descriptions of new and ongoing activities that OIG plans to pursue during the next 12 months. However, adjustments to the plan may be necessary to ensure that we direct our resources to areas of highest risk and vulnerability.

Our plan reflects direct outreach and solicitation of topics and assignment suggestions from GPO's leadership, external stakeholders, and our staff.

The OIG team of dedicated and professional staff is committed to contributing to GPO. 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

GPO is the Federal Government's primary resource for producing, procuring, cataloging, indexing, authenticating, disseminating, and preserving the official information products of the U.S. Government in both digital and tangible formats. GPO is responsible for producing and distributing information products and services for all three branches of the Federal Government, including U.S. passports for the Department of State as well as official publications of Congress, the White House, and other Federal agencies. In addition to publication sales, GPO provides for permanent public access to Federal Government information at no charge through the Federal Digital System and through partnerships with libraries nationwide participating in the Federal Depository Library Program.

Our Work Plan identifies assignment topics continuing from Fiscal Year (FY) 2016 and assignment topics scheduled to start during FY 2017, 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 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 the administration of 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. The Office of Inspector General (OIG),

located in Washington, D.C., has 22 employees and is organized into 2 line elements—the Office of Audits and Inspections and the Office of Investigations. Through audits, evaluations, inspections, investigations, and other reviews, OIG conducts independent and objective reviews of Agency programs and helps keep the Director and Congress informed of problems or deficiencies relating to administering and operating GPO.

SUMMARY OF OIG'S STRATEGIC PLAN

The OIG Strategic Plan sets forth OIG's formal strategy for identifying priority issues and managing its workload and resources. Successful execution of this Work Plan will aid OIG in providing the highest quality work products to our stakeholders as well as 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 the goals, we continuously monitor and assess risks in GPO programs and operations and target resources for those critical risks.

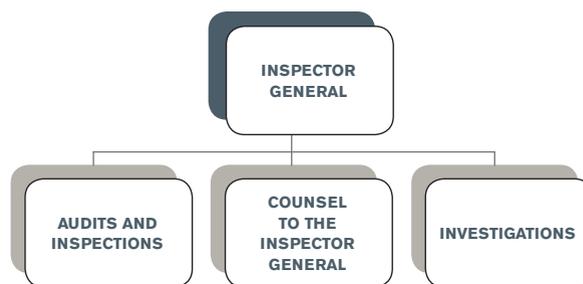
HOW AND WHERE WE OPERATE

OIG is based in Washington, D.C., with three offices—the Office of Audits and Inspections, the Office of Investigations, and Counsel to the Inspector General.

The Inspector General provides policy direction and leadership as well as serves as an independent voice to the Director 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 Office of Audits and Inspections conducts 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.

The Office of 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.



Counsel to the Inspector General provides legal assistance and supports audits, evaluations, special reviews, and investigations.

Other administrative matters include financial management, procurement, human capital management, administrative, and information technology services that support OIG operations. OIG also reports semiannually to the Director and Congress on OIG activities during periods ending March 31 and September 30.

In addition, OIG provides the Director 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. Other assignments are required or are self-initiated based on our goals, which are focused on providing the greatest value and risk reduction to GPO.

WHAT DO WE ACCOMPLISH?

OIG reported approximately \$50 million in funds put to better use, questioned costs, and other monetary impact

during the period from October 2014 through March 2016.

AUDITS AND INSPECTIONS 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.

Sustainability Plans for Critical Components in the Secure Credential Supply Chain

OIG will conduct an audit to evaluate the extent to which GPO has identified and implemented actions for mitigating the risk of disruption to key components in the secure credential supply chain, including the next generation passport.

Evaluation of Cybersecurity Controls

OIG will conduct penetration testing that will simulate real-world attacks for identifying vulnerabilities in security features of applications, systems, networks, as well as identifying operational weaknesses in the process or with technical countermeasures.

System Development

OIG will review the steps GPO followed during development and deployment of various systems as they pertain to Enterprise Architecture. The audit will focus on interoperability, application portability, and scalability across networks of heterogeneous hardware, software, and telecommunications platforms, and compliance with GPO's Technical Reference Model.

Assessment of GPO's Public Key Infrastructure Certification Authority

GPO operates as a Certification Authority (CA) known as the GPO Public Key Infrastructure (PKI) CA [GPO-CA] in Washington, D.C. GPO's PKI is cross-certified with the Federal Bridge Certificate Authority (FBCA). FBCA certification requires that GPO PKI undergo annual independent compliance assessments. This assessment will determine if GPO's Principal CA Certificate Practices Statement conforms in all material respects to GPO-CA and Federal PKI common policies, and if GPO fairly states management's assertion in all material respects.

Cyber-Intelligence and Analysis

Threats to the security of information have grown in frequency and sophistication. OIG will review cyber threat information and efforts by GPO to identify and mitigate any threats, and then communicate the threat information with its supply chain.

ePassport Transport Keys

For blank ePassport books that GPO produces, the Department of State (State) requires that GPO secure each embedded computer chip with a transport key during storage and shipment. OIG will assess the security protocol for developing and handling transport keys as the electronic data/files move from the manufacturers through GPO and ultimately to State.

GOAL 2

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

Unscheduled and Unpaid Absenteeism in the Office of Security and Intelligent Documents

OIG plans to conduct an audit that will identify any patterns of unscheduled and unpaid absenteeism within GPO's Security and Intelligent Documents business unit. OIG will review activities and processes associated with unpaid absenteeism throughout leave years 2014 through 2016.

Timeliness of Billing Charges for Congressional Products

The U.S. House of Representatives Committee on House Administration requested that OIG conduct an audit to examine the steps GPO has taken for ensuring the timeliness of billing charges associated with the publishing of congressional products.

GPO's Safety Program

The audit will provide GPO managers with an evaluation of remediation efforts pertaining to known issues and the impact on Federal Employees' Compensation Act (FECA) operations.

Audit of GPO's Consolidated Financial Statements

The audit will result in an opinion on GPO's financial statements and reports 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.

Review of General, Application, and Security Controls for GPO Financial Systems

In support of the audit of GPO's Consolidated Financial Statements, we will determine if the information selected GPO financial systems produced is reliable by assessing the general, application, and security controls of the information technology (IT) systems. We will accomplish that primarily 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. Based on the review, we will conclude about whether controls for the systems were properly designed and operating effectively.

Effect of Idle Time on Congressional Product Billing Rates

Idle plant is a concept used in the manufacturing industry that refers to the difference between actual manufacturing capacity—the plant's current production—and total capacity, or that which the plant is capable of producing. In other words, idle plant includes times when the plant's machinery and labor are not being used. Those times must be properly managed, accounted for, and costs allocated to outputs. The audit will evaluate the extent to which idle time might impact the billing rates for congressional products. We will determine that steps GPO took in identifying and quantifying any idle machinery and labor times and how that idle time is accounted for and used in the determination the billing rates.

Accountability Over Travel Document Booklets

U.S. Citizenship and Immigration Services (USCIS) travel document booklets are mission critical consumables required to meet the USCIS statutory requirement for providing timely evidence of immigration status to fee-paying individuals. The secure identity documents are used and accepted worldwide, increasing the importance of proper printing, number sequencing, and internal controls. The booklet numbers are uniquely issued to individuals receiving them, and operational and security breaches may occur if duplicate booklets are issued. This assessment will review processes and controls over booklet numbering and accountability.

GOAL 3

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

Review of Select Vendor Contracts Terminated for Convenience and Defaults

This assessment will determine whether the amounts claimed in a vendor settlement proposal, claim, and/or modification were allowable, reasonable, and allocable under the contract. The cost principles GPO sets forth will be used as criteria in evaluating the claim. Contract terminations generally give rise to incurring costs or the need for special treatment of costs that would not have arisen if the contract was not terminated.

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.

Contract Award Process—Next Generation Passport

This audit will review the evaluation factors and selection process used to award the most recent contract for passport covers. The evaluation factors consist of the technical proposal evaluation, experience, past performance, testing, security evaluation, pre-award survey, and a financial review.

Review of Select Information Technology Service Contracts to Identify Opportunities to Reduce Duplication, Overlap, and Fragmentation

The audit will identify opportunities for GPO to consider taking action that could reduce the cost of Government operations by reducing duplication, overlap, and/or frag-

Controls Over Vendor Payments

Federal agencies have implemented various controls for safeguarding assets and using advanced technologies that reduce costs in financial management systems. The steps of the acquisition and payment process involve 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). The assessment will evaluate internal controls over the vendor payment process and identify improper payments made to vendors. OIG will also review the framework and the steps GPO takes to ensure customer agencies are timely billed and monies collected for commercial procurements.

Review of Contracts Continuing Personally Identifiable Information

OIG will conduct an audit to review contracts that have Personally Identifiable Information (PII) security requirements or perform work that involves access to PII.

Fragmentation refers to those circumstances in which more than one Business Unit or contractor is involved in the same broad area of interest. Duplication occurs when two or more Business Units, contractors, or programs are engaged in the same activities or provide the same services to the same beneficiaries.

Review of Accountability for Secure Credential Card Stock

OIG will conduct an audit to review the steps GPO took to ensure accountability for Medicare Cards, Diplomatic Family Cards, and Domestic Worker Cards. The audit is being initiated as a result of concerns regarding missing or damaged card stock.

Review of Select Information Technology Service Contracts to Identify Opportunities to Reduce Duplication, Overlap, and Fragmentation

The audit will identify opportunities for GPO to consider taking action that could reduce the cost of Government operations by reducing duplication, overlap, and/or fragmentation. Fragmentation refers to those circumstances in which more than one Business Unit or contractor is involved in the same broad area of interest. Duplication occurs when two or more Business Units, contractors, or programs are engaged in the same activities or provide the same services to the same beneficiaries.

GOAL 5

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

Web Content Harvesting

OIG will review the steps GPO has taken for discovering, identifying, assessing, and retrieving electronic publications residing on select Federal agency web sites not previously included in GPO's electronic collection but fall within the scope of the Federal Depository Library Program and National Bibliography.

Commercial Printing and Dissemination of Government Information

OIG will conduct a performance audit in response to a complaint alleging printing of multiple products that may not have adhered to public printing and document retention requirements as title 44 of the United States Code requires.

Transitioning to Hosted Services

OIG will conduct various audits to determine the steps GPO has taken when transitioning various applications and data to a hosted service.

INVESTIGATIVE WORK PLAN

The OIG's Office of Investigations conducts and coordinates investigations into alleged fraud, waste, abuse, and mismanagement affecting GPO programs, operations, and personnel. Investigations routinely lead to criminal, civil, and/or administrative proceedings that result in the imposition of a number of remedies, such as court-imposed prison terms, fines, restitution, contractor suspension and/or debarment, and employee suspension and/or removal from Federal service.

Although many investigations are in response to OIG receiving a complaint, some are the result of broad initiatives arising from previous OIG activities or as part of broad interagency initiative.

Overall investigative efforts are aligned with OIG's strategic goals that aim to improve the economy, efficiency, and integrity of GPO. Historically, investigative efforts have been predominantly represented by allegations associated with procurement fraud, FECA fraud, and employee integrity matters—allegations often encompassing one or more of OIG's strategic goals. Investigative efforts for this period will include several new initiatives designed to better combat fraud, waste, abuse, and mismanagement related to:

- Procurement and contract activities associated with GPO's Customer Services and Acquisition Services

- Unlawful cybersecurity threats and attacks on GPO
- GPO's FECA program to include individuals and, when appropriate, healthcare providers
- GPO's leave programs
- Whistleblower protection

OIG typically employs an array of investigative techniques and tools to conduct on-going investigations, as well as identifying and pursuing new investigative initiatives such as those identified above. This routinely includes using various analytical methods to identify and assess numerous GPO data sources.

OIG documents the results of all of its investigative activities in the form of a memorandum, a Report of Investigation, and/or a Management Implication Report. The various reporting formats are also used to distribute investigative findings to those responsible for determining the final disposition of the investigation such as a U.S. Attorney's Office.

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 for developing 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.

Annually, OIG issues a comprehensive 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 at the purview of individual managers.

This plan outlines the FY 2017 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.

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