

FY 2012-2016

OIG STRATEGIC PLAN



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

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Message from the INSPECTOR GENERAL
U.S. GOVERNMENT PRINTING OFFICE

I am pleased to present the Office of Inspector General's Strategic Plan for fiscal years 2012 to 2016.

Our goal is to continue to help GPO address the many challenges that will arise over the next 5 years. We know that GPO faces a number of challenges, ranging from a surge in retirements to the continued transformation of GPO into the electronic age. In addition, OIG will continue working to deploy our own resources as effectively as possible.

This strategic plan sets forth OIG's strategic priorities to promote positive change, maximize efficiency and value in our work, and lead by example in creating a model organization. It further provides the means and strategies by which we will achieve these priorities, and the standards by which we will measure our success.

This is an evolving document, which will be updated as necessary to ensure that OIG's work remains relevant, timely, and responsive to GPO developments and priorities.

Michael A. Raponi, Inspector General
DECEMBER 2011

OIG MISSION AND ORGANIZATION

The Government Printing Office (GPO) Inspector General Act of 1988, Title II of Public Law 100-504 (October 18, 1988) establishes the responsibilities and duties of the Inspector General. The Office of Inspector General (OIG) offers an independent and objective means of keeping the Public Printer and the Congress fully informed about problems and deficiencies relating to the administration and operations of the GPO.

OIG Mission Statement

The OIG helps the 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.

OIG Organization

The primary organizational functions of the OIG include the Office of Audits and Inspections, the Office of Investigations, and Counsel to the Inspector General.

The Office of Audits and Inspections helps improve the management of GPO programs and activities by providing timely, balanced, credible, and independent financial and performance audits and other reviews that address the economy, efficiency, and effectiveness of GPO operations. Audit reports identify opportunities for enhancing management of program operations and providing GPO with constructive recommendations to improve its services. OIG audits are performed in accordance with generally accepted government auditing standards that the Comptroller General of the United States issues.

The Office of Investigations is responsible for conducting and coordinating investigative activity related to fraud, waste, and abuse in GPO programs and operations. While concentrating efforts and resources on major fraud investigations, the activities investigated can include possible wrongdoing by GPO contractors, employees, program participants, and others who commit crimes against GPO. Through prosecution, administrative action, and monetary recoveries, these investigations promote integrity, efficiency, and accountability.

OIG Special Agents receive law enforcement authority from the U.S. Marshals Service through special deputation.

Counselor to the Inspector General provides legal advice and counsel on issues arising during audits, inspections, and investigations, including opinions regarding legal accuracy and sufficiency of OIG reports.

Other Administrative Matters. The OIG reports semiannually to the Public Printer and the Congress on the activities of the OIG during the 6-month periods ending March 31 and September 30. The Semiannual Reports to Congress are intended to keep the Public Printer and the Congress fully and currently informed of significant findings and recommendations by the OIG.

In addition, the OIG provides the Public Printer and Congress an assessment of the most serious management challenges facing GPO.

PRODUCTS

To accomplish our mission, the OIG will use audits, investigations, reviews and evaluations as management tools to increase program integrity and recommend improved systems, processes

and operations to prevent fraud, waste, abuse, and mismanagement. The OIG produces reports based on several types of analyses:

Performance Audits address the efficiency, effectiveness, and economy of the GPO's programs, activities, and functions; provide information to responsible parties to improve public accountability; facilitate oversight and decision-making; and initiate corrective action as needed. Reviews, which include traditional forms of analyses such as audits and investigations, but is used most often to collectively describe other analyses the OIG performs such as inspections, which are broadly defined evaluations or studies, and non-audit services.

Attestations involve examining, reviewing, or applying agreed-upon procedures on a subject matter, or an assertion about a subject matter. Attestations can have a broad range of financial or nonfinancial focuses, such as compliance with specific laws and regulations or assertions made in a cost/benefit analysis.

Financial Audits determine whether financial statements present fairly the financial position, results of operations, and cash flows in conformity with specified accounting principles, and whether an entity has adequate internal control systems and complies with applicable laws and regulations.

Non-audit Services are equivalent to consulting services in the private sector and usually involve providing advice or assistance to GPO managers without necessarily drawing conclusions, or making recommendations.

Investigations are conducted based on alleged or suspected wrongdoing by agency employees, contractors, recipients of financial assistance, and others. Violations of GPO regula-

tions or fraud committed against the GPO can result in administrative sanctions and/or criminal prosecution or civil action.

OIG CORE VALUES

- We focus on significant issues and identify systemic problems. Our products and services are timely, reliable, and add value.
- Independence. We are committed to being objective and impartial. OIG is committed as an independent agent for positive change to provide relevant and timely service.
- We place value on people. We give respect to and earn respect from everyone we encounter in our work.
- We believe OIG's impact is enhanced by working cooperatively, in a spirit of teamwork, internally and with other organizations.
- OIG is committed to producing reports and other products that are factual, accurate, informative, and reliable.
- OIG is dedicated to diversity in every aspect of its business.
- Professionalism. We comply fully with professional standards and foster relationships with our stakeholders that are based on effective two-way communication and cooperation. We carry out our responsibilities in an ethical manner with the highest level of integrity.

GOALS, STRATEGIES, AND PERFORMANCE MEASURES

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 the major GPO programs and operations while continuing to ensure that programs serve and provide access to their intended parties.

Goal 5: Increase the efficiency and effectiveness with which GPO managers exercise stewardship over official publications from all 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's ability to fulfill its mission and communicate its accomplishments

Strategies

For each of the above goals, OIG will:

- Continuously monitor and assess risks in GPO programs and operations to identify those critical to the achievement of our goals.
- Target resources to address those critical risks.

OIG Key Performance Measures

- OIG will measure its performance in part by tracking each strategic goal.
- Number of arrests, indictments, convictions, criminal complaints, pretrial diversions, and administrative sanctions.
- Number of reports (audit, inspection, evaluation, and contract review reports) issued that identify opportunities for improvement and provide recommendations for corrective action.
- Monetary benefits from audits, investigations, contract reviews, inspections, and other evaluations.
- Return on investment (monetary benefits ÷ cost of operations).
- Percentage of prosecutions successfully completed.
- Percentage of recommendations implemented within 1 year to improve efficiencies in operations through legislative, regulatory, policy, practices, and procedural changes in GPO.
- Satisfaction survey scores.

IMPLEMENTING OIG'S STRATEGIC PLAN

We believe in transparency and accountability. The OIG Strategic Plan was built from the ground up by soliciting key issue, project, performance goals and outcome measure ideas from OIG employees. We also consulted with experts in other OIGs, and considered the feedback of GPO and other customers and stakeholders.

This OIG Strategic Plan draws from our performance measures, which focus primarily on intended outcomes rather than on outputs. Now we can demonstrate the critical linkages in the

chain leading from work to results—from effort to effect—and measure our influence on both interim and long-term mission-related outcomes.

This plan will act as a template to direct all OIG audits and proactive investigations. Our *Semiannual Reports to Congress*, for example, serves as periodic performance reports to both the Public Printer and Congress and outlining our current work on the significant issues that require review. Each September edition of the *Semiannual Reports to Congress* also functions as an annual report, summarizing the fiscal year's performance data.

Each year, OIG publishes its *Major Management Challenges*, identifying the most serious management issues that challenge the GPO's ability to achieve its mission to produce, protect, preserve, and distribute the official publications and information products of the Federal Government. All these reports are organized by the OIG strategic goals.

We use our performance and financial data to make decisions such as allocating human resources, shifting resources, funding awards and training, undertaking travel, modernizing information technology contracting for services, deciding whether to address a hotline case in-house or refer it to GPO, and what proactive initiatives to undertake. In every decision to commit OIG resources, we strive to improve GPO programs and operations, provide objective and independent information for better decision-making, eliminate criminal activity, highlight accountability, and keep both the Public Printer and Congress fully informed of our findings and recommendations.

Strategic planning is an ongoing process requiring constant measurement and readjust-

ment. OIG is dedicated to remaining proactive in helping GPO ensure it is fully prepared to meet the demands of a changing environment. We will continue to demonstrate great flexibility in reacting to changing circumstances, consulting with stakeholders and customers within and outside the GPO as necessary, to ensure that we are having maximum impact on helping GPO achieve its mission of Keeping America Informed.

External Factors that Impact Goal Achievement

A changing business environment, adequate funding levels and availability of high-quality professionals have a significant impact on both the environment that OIG operates in and our ability to carry out this strategic plan.

Also, it is not within the OIG's authority to implement its recommendations, we cannot control the results of judicial or administrative proceedings that impact the outcome of our investigative work, and it is not within our jurisdiction to collect monetary sanctions imposed by the courts or the GPO as a result of our work.

To mitigate these factors, we work with GPO and the congress to call attention to and follow-up on, uncorrected deficiencies, work cooperatively with U.S. attorneys, and strive for work products that give stakeholders the best, timely information to make decisions.

CROSSWALK TO GPO STRATEGIC GOALS

GPO's FY2012-2016 Strategic Goals	OIG Goal 1	OIG Goal 2	OIG Goal 3	OIG Goal 4	OIG Goal 5	OIG Goal 6
Satisfying Our Stakeholders <ul style="list-style-type: none"> ■ It's All About the Customer ■ Open and Transparent ■ Enhance Strategic Partnerships 	X				X	
Strengthening Our Organizational Foundation <ul style="list-style-type: none"> ■ Right Tools ■ Maintain Fiscal Responsibility ■ Environmental Stewardship ■ COOP Operations 		X	X	X		
Offering Products and Services <ul style="list-style-type: none"> ■ Statutory Foundation, Title 44, USC ■ Secure Federal Credentials 	X				X	
Engaging Our Workforce <ul style="list-style-type: none"> ■ Employer of Choice 						X

REPORT WASTE, FRAUD OR 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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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 the production and distribution of information products for all 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 and other Federal agencies, and the courts.



