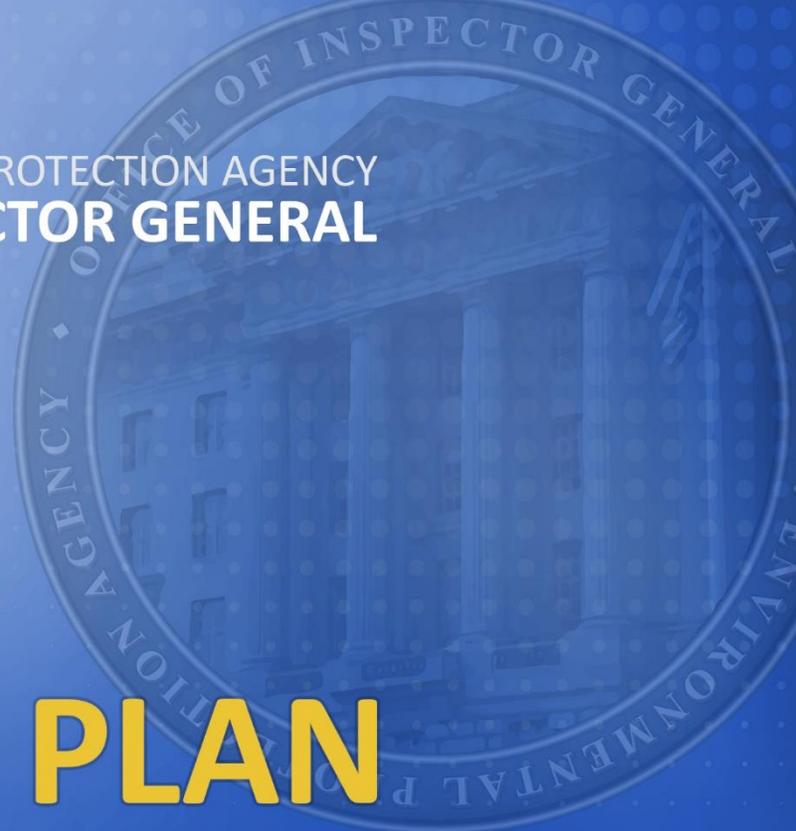




U.S. ENVIRONMENTAL PROTECTION AGENCY  
**OFFICE OF INSPECTOR GENERAL**



# STRATEGIC PLAN

2019

2023



## Abbreviations

CIGIE	Council of the Inspectors General on Integrity and Efficiency
CSB	U.S. Chemical Safety and Hazard Investigation Board
EPA	U.S. Environmental Protection Agency
FEVS	Federal Employee Viewpoint Survey
FY	Fiscal Year
OIG	Office of Inspector General
OMB	Office of Management and Budget
OPM	Office of Personnel Management
U.S.C.	United States Code

**Are you aware of fraud, waste or abuse in an EPA or CSB program?**

**EPA Inspector General Hotline**

1200 Pennsylvania Avenue, NW (2431T)  
Washington, DC 20460  
(888) 546-8740  
(202) 566-2599 (fax)

[OIG\\_Hotline@epa.gov](mailto:OIG_Hotline@epa.gov)

Learn more about our [OIG Hotline](#).

**EPA Office of Inspector General**

1200 Pennsylvania Avenue, NW (2410T)  
Washington, DC 20460  
(202) 566-2391  
[www.epa.gov/oig](http://www.epa.gov/oig)

Subscribe to our [Email Updates](#)  
Follow us on Twitter [@EPAoig](#)  
Send us your [Project Suggestions](#)

## Message from the Acting Inspector General

---

I am pleased to present the U.S. Environmental Protection Agency's (EPA's) Office of Inspector General (OIG) *revised* Strategic Plan for 2019–2023 under my leadership as acting Inspector General.

In this revised strategic plan, our overall direction and focus remain consistent with previous leadership's vision for the organization as we continue to be committed to delivering the best service in support of the EPA and on behalf of the American public. Additionally, this strategic plan maintains alignment with the EPA's and the U.S. Chemical Safety and Hazard Investigation Board's (CSB's) mission and new strategic goals, and (1) the OIG's unique duties, roles, authorities and responsibilities as defined by the Inspector General Act; and (2) the OIG's specific management values and vision for inspiring the greatest level of OIG success in performing our mission. These goals and objectives reflect our responsibility to detect and prevent fraud, waste, abuse, mismanagement and misconduct in the EPA's and the CSB's programs and operations.

Our strategic plan provides a unified direction with clear expectations. I am excited about our outlook as we promote good governance and contribute to improved human health and the environment.



Charles J. Sheehan

A handwritten signature in blue ink that reads "Charles J. Sheehan". The signature is written in a cursive, flowing style.

Charles J. Sheehan  
Acting Inspector General

# ***Table of Contents***

---

<b>Overview of the Office of Inspector General Strategic Plan, 2019–2023</b> .....	1
<b>Office of Inspector General Roles and Responsibilities</b> .....	2
<b>Overview of EPA and CSB</b> .....	3
<b>Planning Our Work to Achieve Our Goals</b> .....	5
<b>OIG Vision, Mission and Core Value</b> .....	10
<b>OIG Goals, Objectives and Strategic Measures</b> .....	11
Goal 1: Contribute to improved EPA and CSB programs and operations protecting human health and the environment, and enhancing safety .....	11
Goal 2: Conduct audits, evaluations and investigations that enable the EPA and the CSB to improve business practices and accountability .....	15
Goal 3: Improve OIG processes, resource allocation and accountability to meet stakeholder needs .....	18

# Overview of the Office of Inspector General Strategic Plan 2019–2023

## VISION

Be a premier oversight organization trusted to speak the truth, promote good governance, and contribute to improved human health and the environment.

## MISSION

Conduct independent audits, evaluations and investigations; make evidence-based recommendations to promote economy, efficiency and effectiveness; and prevent and detect fraud, waste, abuse, mismanagement and misconduct for the U.S. Environmental Protection Agency and the U.S. Chemical Safety and Hazard Investigation Board.

## GOALS

Contribute to improved EPA and CSB programs and operations protecting human health and the environment, and enhancing safety.

Conduct audits, evaluations and investigations that enable the EPA and the CSB to improve business practices and accountability.

Improve OIG processes, resource allocation and accountability to meet stakeholder needs.

## OBJECTIVES

- Influence actions and change that contribute to improved human health, safety and environmental quality.
- Produce results that contribute to the identification, reduction or elimination of environmental risks and challenges.

- Protect the integrity of programs and operations through criminal, civil and administrative investigations.
- Influence actions and identify best practices to improve efficiency and accountability, and achieve monetary benefits.
- Reduce risk of loss by detecting monetary benefits.
- Reduce risk of loss by detecting and preventing fraud, waste, abuse, mismanagement and misconduct.

- Ensure that our products and services are timely, responsive and relevant, and maximize protection of human health and the environment and return on investment.
- Ensure that our processes and actions are efficient and effective through continuous improvement.
- Recruit, develop and retain an innovative, high-performing and diverse workforce that is valued, appreciated and respected.
- Enhance constructive relationships and foster collaborative solutions.

**Core Value:** Be the best in public service

Customer Service

Integrity

Accountability

## Office of Inspector General Roles and Responsibilities

The Office of Inspector General (OIG) is an independent office of the U.S. Environmental Protection Agency (EPA). In fiscal year (FY) 2004, Congress designated the EPA Inspector General to also serve as the Inspector General for the U.S. Chemical Safety and Hazard Investigation Board (CSB).

The OIG was created and is governed by the Inspector General Act of 1978, as amended (5 U.S.C. App.3). The act established offices of inspectors general as independent and objective units to:

1. Conduct and supervise audits and investigations relating to the programs and operations of their agencies.
2. Review existing and proposed legislation and regulations relating to the programs and operations of their agencies.
3. Provide leadership and coordination, and recommend policies for activities designed to promote economy, efficiency and effectiveness, and to prevent and detect fraud and abuse.
4. Provide a means for keeping the head of the agency and Congress fully and currently informed about problems and deficiencies, and the necessity for and progress of corrective actions.

The Inspector General Act requires each OIG to manage a hotline. The purpose of the hotline is to receive complaints of fraud, waste or abuse in EPA and CSB programs and operations, including mismanagement or violations of law, rules or regulations by agency employees or program participants. The hotline also encourages suggestions for assessing the efficiency and effectiveness of agency programs. Complaints and requests may be submitted by anyone, including EPA and CSB employees, participants in EPA and CSB programs, Congress, organizations and the public. The OIG may conduct audits and investigations resulting from hotline submissions.

OIG staff are physically located at EPA headquarters in Washington, D.C.; at all 10 EPA regional offices; in Research Triangle Park, North Carolina; and in Cincinnati, Ohio.

## Overview of EPA and CSB

### U.S. Environmental Protection Agency



As America’s steward for the environment since 1970, the EPA has endeavored to ensure that the public has air that is safe to breathe, water that is clean and safe to drink, food that is free from dangerous pesticide residues, and communities that are protected from toxic chemicals.

The EPA develops and enforces regulations to implement environmental laws; provides grants to states, tribes, nonprofit organizations and educational institutions for environmental programs or research; operates laboratories throughout the United States; supports pollution prevention and energy conservation; and promotes environmental education.

The OIG plans its work with a focus on identifying and influencing resolution of the agency’s major management challenges, which are reported and made available on the [Key Management Challenges for EPA and CSB](#) webpage.

The OIG also plans its work in support of the EPA’s goals and objectives, as outlined in the agency’s [FYs 2018–2022 EPA Strategic Plan](#).

#### EPA Strategic Goals

- **Core Mission:** Deliver real results to provide Americans with clean air, land, and water, and ensure chemical safety.
- **Cooperative Federalism:** Rebalance the power between Washington and the states to create tangible environmental results for the American people.
- **Rule of Law and Process:** Administer the law, as Congress intended, to refocus the Agency on its statutory obligations under the law.

## EPA Priority Goals

1. Improve air quality by implementing pollution control measures to reduce the number of nonattainment areas.
2. Empower communities to leverage EPA water infrastructure investments.
3. Accelerate the pace of cleanups and return sites to beneficial use in their communities.
4. Meet new statutory requirements to improve the safety of chemicals in commerce.
5. Increase environmental law compliance rate.
6. Accelerate permitting-related decisions.

## U.S. Chemical Safety and Hazard Investigation Board

The CSB was created by the Clean Air Act Amendments of 1990. The CSB's mission is to investigate accidental chemical releases at facilities, report to the public on the root causes, and recommend measures to prevent future occurrences. In FY 2004, Congress designated the EPA Inspector General to serve as the Inspector General for the CSB.



The EPA OIG plans its work in support of the three goals outlined in the [FYs 2017–2021 CSB Strategic Plan](#).

### CSB Strategic Goals

1. Prevent recurrence of significant chemical incidents through independent investigations.
2. Advocate safety and achieve change through recommendations, outreach, and education.
3. Create and maintain an engaged, high-performing workforce.

The CSB strategies related to these goals are covered in its strategic plan.

## Planning Our Work to Achieve Our Goals

We plan our work with the goal of identifying and influencing resolution of the EPA's and the CSB's major management challenges, reducing risk, improving practices and program operations, and saving taxpayer dollars, which can lead to positive human health and environmental impacts and help the EPA and the CSB attain their strategic goals. We carry out our mission by conducting many types of audits, evaluations and investigations for both the EPA and the CSB.

### Office of Audit and Evaluation

The OIG's Office of Audit and Evaluation performs the following functions:

- Plans and conducts complex audits, evaluations and follow-ups on the EPA's and the CSB's programs, systems and operations.
- Serves as the OIG's national technical expert for assigned areas of responsibility, advising OIG personnel and others concerning program operations and audit/evaluation approaches.
- Works with senior officials from the EPA and the CSB; the Office of Management and Budget (OMB); other federal, state and local government offices; and professional and environmental organizations to further coordination, customer service and results.
- Prepares reports and delivers presentations on audit and evaluation results, findings and recommendations.
- Conducts research on and stays attuned to methods and best practices within the OIG community for use in our audits and evaluations.

Ten directorates within the Office of Audit and Evaluation are responsible for independent oversight of the EPA's and the CSB's programs and recommend improvements to their programs and operations. The directorates are as follows:

- **Air.** Conducts audits and evaluations to assess the EPA's programs and activities to protect human health and the environment through progress toward air quality and climate change goals.
- **Contract and Assistance Agreements.** Conducts performance audits of the EPA's management of contracts, grants, cooperative agreements and interagency agreements.

- **Efficiency.** Identifies ways for EPA and CSB programs and operations to improve processes and realize cost savings, thus freeing resources for high-priority environmental projects.
- **Environmental Research Programs.** Conducts audits and evaluations of the EPA's research and development programs, with particular focus on areas that support human health and environmental protection.
- **Financial.** Renders opinions on financial statements produced by the EPA and the CSB, and conducts performance audits of the EPA's and the CSB's financial matters for efficiency and effectiveness.
- **Forensic.** Conducts financial audits of EPA assistance agreements and contracts to identify potentially fraudulent actions and determines the acceptability of costs claimed under specific financial instruments.
- **Information Resources Management.** Reviews the economy, efficiency and effectiveness of the EPA's and the CSB's investments in information technology for achieving environmental goals and ensuring the integrity of data used for decision-making.
- **Land Cleanup and Waste Management.** Conducts audits and evaluations to assess the EPA's programs, activities and initiatives to protect human health and the environment through cleanup and waste management, accident prevention and emergency response.
- **Toxics, Chemical Management and Pollution Prevention.** Conducts audits and evaluations to assess the EPA's management of chemical risks and programs to prevent pollution.
- **Water.** Conducts audits and evaluations to assess the EPA's protection and restoration of healthy aquatic communities and waters that sustain human health.

## Office of Investigations

The OIG's Office of Investigations conducts independent investigations to detect and prevent fraud, waste and abuse, while protecting the integrity of the EPA's and the CSB's programs, operations and resources. Investigations focus on alleged fraud, waste and abuse relating to the EPA and the CSB, and misconduct by the EPA's and the CSB's employees.

Investigations are often done in collaboration with OIG auditors, evaluators and/or other law enforcement authorities, and may result in referrals for criminal prosecution and civil actions, indictments, suspensions, debarments and administrative actions. Investigations may also result in improvements in program operations, savings, recoveries and penalties, and may identify high-risk vulnerabilities.

Special Agents within the Office of Investigations are duly appointed federal criminal investigators and are authorized to carry firearms, make arrests, execute search and seizure warrants, and perform other law enforcement duties. Special Agents have been trained as armed law enforcement first responders and are designated first responders in the event of an active shooter or terrorist attack impacting the EPA's and the CSB's facilities.

The Office of Investigations conducts the following major investigative activities:

- **Financial Fraud (contracts and assistance agreements).** Focuses on criminal activities related to agency grants and contracts dealing with state revolving funds and interagency and cooperative agreements that help state, local and tribal governments, universities and nonprofit recipients; as well as fraud related to mischarging, defective pricing, defective products and collusion on contracts.
- **Employee Integrity and Alleged Criminal Conduct or Serious Administrative Misconduct.** Focuses on activities that could undermine the integrity of agency programs involving safety and public health, and erode confidence in the agency pursuing its mission. Cases are initiated in response to allegations or referrals from audits, evaluations or hotline complaints. Additionally, cases are developed based upon ongoing investigations or may be self-initiated in high-risk areas where there is reasonable suspicion of fraud, violation of law or risk to the public.
- **Threats Directed Against EPA and CSB Employees, Facilities and Assets.** Involves threats to the physical safety of the EPA's and the CSB's employees and contractors, or a physical assault upon such employees

and contractors. The Office of Investigations also investigates theft of the EPA's and the CSB's property and data, including the investigation of attacks against the agency computers and network systems. Investigations are coordinated with the Federal Bureau of Investigation; Offices of the United States Attorneys; the U.S. Department of Homeland Security; and other federal, state and local law enforcement agencies as appropriate.

- **Program Integrity.** Focuses on activities that could undermine the integrity of agency programs involving safety and public health, and erode confidence in the agency pursuing its mission. This includes cases that involve laboratory fraud or scientific misconduct, the results of which could adversely affect agency actions or decisions. Cases are initiated in response to allegations or referrals from audits, evaluations or hotline referrals; or may be self-initiated in high-risk areas where there is reasonable suspicion of fraud, violation of law or risk to the public.
- **Other Investigative Activity.** Focuses on providing support to OIG program offices and participating in multiagency coordination on urgent matters facing the EPA, the CSB and the nation. The Office of Investigations interacts with the U.S. Department of Justice and other law enforcement organizations on incidents that have a major impact on a community or agency programs. The Office of Investigations is an active participant in task forces that investigate fraud, waste and abuse in programs supported by the EPA and the CSB.

## Leadership and Support

Several offices provide leadership and support functions that help the OIG achieve its strategic goals. These support offices and their respective duties include the following:

- **Immediate Office.** Provides organization-wide leadership and direction and represents the OIG to the agency and external stakeholders.
- **Office of Management.** Serves as the corporate focal point for the Immediate Office of the Inspector General and is responsible for promoting the most efficient use and accountability of OIG resources, and helps the OIG effectively achieve its mission and goals. The Office of Management has three directorates that form the cornerstone of the OIG's management services:
  - *Business Analysis and Results Directorate.* Supports budget formulation, execution and analysis; OIG strategic and operational

planning, policy and procedure management; performance management; internal review; Government Accountability Office liaison activities; and enterprise risk management.

- *Human Resources Directorate.* Provides operational support for activities such as recruiting and staffing; and addresses employee development, employee relations, and facilities management.
  - *Information Technology Directorate.* Provides software development, infrastructure and technical support services, along with information security and records and property management.
- **Office of Counsel and Congressional and Public Affairs**

**Office of Counsel.** Provides independent legal and policy advice to all components of the OIG on a variety of substantive and procedural matters relating to audits, evaluations, investigations and other activities. This office represents the OIG in administrative litigation before the U.S. Merit Systems Protection Board, the U.S. Equal Employment Opportunity Commission, and the U.S. Department of Labor. The Office of Counsel manages the OIG ethics program, providing ethics training, advice and financial disclosure reviews. The office also coordinates OIG responses to Freedom of Information Act and other document requests. Office of Counsel activities include legal reviews as deemed necessary by the Inspector General in response to requests from members of Congress, the agency or the public.

**Office of Congressional and Public Affairs.** Communicates with Congress, the news media and the public about the OIG's work, which includes responding to inquiries and requests. The office edits, publishes online and disseminates OIG reports and correspondence. This office also manages the OIG's website and social media platforms, creates multimedia products, operates the OIG's main telephone line and email box, handles internal communications, and manages the OIG Hotline.

## OIG Vision, Mission and Core Value

### Vision

Be a premier oversight organization trusted to speak the truth, promote good governance, and contribute to improved human health and the environment.

### Mission

Conduct independent audits, evaluations and investigations; make evidence-based recommendations to promote economy, efficiency and effectiveness; and prevent and detect fraud, waste, abuse, mismanagement and misconduct for the U.S. Environmental Protection Agency and the U.S. Chemical Safety and Hazard Investigation Board.

### Core Value: *Be the best in public service*

**Customer Service**—Everyone deserves to be treated with fairness, respect and dignity.

- We are committed to treating our customers and stakeholders—the EPA, the CSB, Congress, the public and each other—with fairness, respect and dignity.
- We are committed to individual and organizational excellence.
- We are committed to building and sustaining a competent, innovative, diverse and dedicated workforce.

**Integrity**—Our people and products are trustworthy.

- We are committed to producing independent, objective, quality and timely work products that are accurate, factual, thorough and relevant.
- Our people are committed to teamwork, professionalism and the highest ethical standards.
- Our processes are transparent.
- We are an independent voice without preference or prejudice.

**Accountability**—We are individually and collectively responsible for all we do.

- We lead by example and are responsible and accountable to one another.
- Our work returns value to our stakeholders.
- We hold ourselves and others accountable for compliance with laws, regulations, policies and sound business practices.

## OIG Goals, Objectives and Strategic Measures

Each OIG strategic goal has specific objectives and performance measures to assess progress and goal accomplishment. OIG annual plans establish projects and assignments that are linked to OIG strategic goals and objectives. Projects are assessed for results that support OIG strategic goals.

OIG senior managers will use this strategic plan routinely as a management tool to guide the organization's path forward, track progress, and assess and address the risks and challenges that could potentially interfere with the OIG's ability to accomplish its goals.

Over the next 5 years, our three strategic goals will be supported by objectives and measures that focus on promoting good governance and contributing to improved human health and the environment. Our strategic measures are supported by annual measures included in the annual performance plans and budgets that the OIG submits to Congress.

Strategies and strategic measures in this plan highlight key areas in which the OIG will focus over the next 5 years and are not intended to address all ongoing or future programs. Annual performance plans and budgets, and supporting annual and operational measures, address a broader range of the OIG's work. To hold the organization accountable to its goals and objectives, the OIG will hold, at a minimum, mid-year and end-of-year reviews to assess progress toward annual and strategic measures.

### GOAL 1

Contribute to improved EPA and CSB programs and operations protecting human health and the environment, and enhancing safety.

Over the next 5 years, the EPA plans to “improve its processes and reinvigorate the rule of law as it administers environmental regulations as Congress intended and refocus the agency on its core statutory obligations.” The OIG's Goal 1 relates to the EPA's three strategic goals and six priority goals for FYs 2018–2022, and the CSB's three goals for FYs 2017–2021. As stated in the EPA's FYs 2018–2022 Strategic Plan:

The EPA will ensure compliance with the law by providing consistency and certainty for the regulated community and clarify the impact of proposed actions on human health, the environment

and the economy to provide a clear path and timeline for entities to achieve compliance.

OIG responsibilities include performing audits and evaluations that target the EPA's processes and procedures that undergird and provide a structure in which programs promoting human health, the environment and enhancing safety may thrive.

The EPA asserts that over the next 5 years the agency will seek cost-effective ways to enhance its compliance assurance toolbox in collaboration with state, tribal, local, federal and industry partners. For example, the EPA cites the E-Enterprise Web Portal as offering the EPA a gateway for making shared services available to states, tribes and the agency to transact business (e.g., e-permitting and reporting). An important aspect of this tool's capability is compliance monitoring, which will use data to assist in the detection of noncompliance in various sectors. While the EPA's compliance assurance toolbox continues to mature, the OIG will review whether the toolbox is indeed cost-effective and whether the program is yielding the intended results.

Over the next 5 years, the OIG will increase its **agility** to assess emerging environmental threats. The EPA has made air, water, land and chemicals priority programs for the same period. As such, the OIG will address audits and evaluations in the following EPA focus areas, among others:

### **Air**

- Over the next 5 years, the EPA will prioritize key activities to support attainment of the national ambient air quality standards and implementation of stationary source regulations.
- The EPA will work with state and tribal partners to rapidly approve their implementation plans for attaining air quality standards to reduce contaminants that cause or exacerbate health issues.

### **Water**

- The EPA will modernize and update aging drinking water, wastewater and stormwater infrastructure on which the American public depends.
- The agency will continue to leverage the state revolving funds and the Water Infrastructure Finance and Innovation Act to help states, tribes, municipalities and private entities finance high-priority infrastructure investments that protect human health and the environment.

## Land

- The EPA will place particular emphasis on a top-priority list of Superfund sites and will implement Superfund Task Force recommendations to accelerate the pace of cleanups and promote site reuse, while addressing risks to human health and the environment.
- The EPA will accelerate cleanup by re-prioritizing resources to focus on remedial actions, construction completions, ready-for-reuse determinations and National Priorities List site deletions.

## Chemicals

- The EPA will prioritize the safety of chemicals in the marketplace by implementing the new Frank R. Lautenberg Chemical Safety for the 21st Century Act, which modernizes the Toxic Substances Control Act.
- The EPA will focus on meeting statutory requirements and mandatory deadlines of the Toxic Substances Control Act, and the OIG will conduct audits and evaluations that are efficient, effective and transparent to stakeholders.

## Objective 1.1: Influence actions and change that contribute to improved human health, safety and environmental quality.

**Strategic Measure 1.1.1**—By September 30, 2023, the OIG will have conducted audits and evaluations resulting in recommendations in specific areas geared toward improvement in EPA policies, procedures and practices contributing to improved human health, safety, or environmental quality in each of its major offices and sub-offices. Further, the OIG will continue to work with the agency to track implementation of OIG recommendations.

### ***Strategies for Achieving Objective***

The OIG will monitor external reports from various sources, especially Congress and the Government Accountability Office, regarding their assessment of the EPA's success or challenges in its mission. The OIG will use external and internal sources to further refine its assessment of the agency's progress. Specifically, the OIG will conduct audits and evaluations over the next 5 years that will assess a targeted selection of initiatives

supporting the following EPA priorities as reflected in the EPA’s 2018–2022 Strategic Plan:

- Improve air quality by implementing pollution control measures to reduce the number of nonattainment areas.
- Empower communities to leverage EPA water infrastructure investments.
- Accelerate the pace of cleanups and return sites to beneficial use in their communities.
- Meet new statutory requirements to improve the safety of chemicals in commerce.
- Increase the environmental law compliance rate.
- Accelerate permitting-related decisions.

## **Objective 1.2: Produce results that contribute to the identification, reduction or elimination of environmental risks and challenges.**

**Strategic Measure 1.2.1**—By September 30, 2023, the OIG will be able to show quantitative measures supporting the OIG’s contribution to the reduction or elimination of environmental risks and challenges by conducting audits, evaluations or investigations. We will conduct at least one audit, evaluation and/or investigation addressing an emerging environmental risk or challenge.

**Strategic Measure 1.2.2**—By September 30, 2023, the OIG will have contributed to the reduction and elimination of environmental risks and challenges by conducting at least one audit and/or evaluation in each of the EPA’s six priority goal areas rendering impactful recommendations.

**Strategic Measure 1.2.3**—By September 30, 2023, the OIG will have refined its performance metrics to better align with mission objectives, improve our ability to “tell the OIG story” of our influence and impact on our contribution to the elimination of environmental risks and challenges, and confirm that we maintain relevance with current goals and objectives.

### ***Strategies for Achieving Objective***

The OIG will use ***generally accepted government auditing standards*** and other professional standards to evaluate, analyze and provide recommendations to EPA offices working to mitigate environmental risks and challenges. To increase effectiveness in this area, the OIG will conduct an

annual planning process that identifies and targets current and future environmental risks in addition to the OIG's mandatory required work.

A circular icon with a white border containing the text "GOAL 2" in yellow. The word "GOAL" is on the top line and the number "2" is on the bottom line.

Conduct audits, evaluations and investigations that enable the EPA and the CSB to improve business practices and accountability.

Goal 2 represents how the OIG will promote economy and efficiency, and help detect and prevent fraud, waste, abuse, mismanagement and misconduct as specified by the Inspector General Act, in relation to the EPA's and the CSB's use and control of operational resources. The EPA and the CSB deliver their programs through many interrelated organizational systems. It is essential for the EPA and the CSB to have the right people, processes, systems, controls and information in place to efficiently and effectively carry out their missions. By having the right resources in place, both agencies provide a strong deterrent to fraud, waste, abuse, mismanagement and misconduct.

Goal 2 deals with assisting the agency to improve business practices and accountability. OMB Circular A-123 (revised) encourages the use of **enterprise risk management and internal control assessments** to strengthen business practices and therefore overall organizational **accountability**. Over the next 5 years, the OIG will strengthen its **data and business analytics, as well as business intelligence** capabilities, to support success for this goal.

- **Data Analytics.** A process that involves inspecting, cleansing, transforming and modeling data with the goal of discovering useful information, informing conclusions and supporting decision-making. We will use the methodologies and predictive analysis of data analytics to assist in defining ways forward in audits, evaluations and investigations, as well as in core mission-support elements from management to legal resources.
- **Business Analytics.** Technologies and practices for continuous iterative exploration and investigation of past business performance to gain insight and drive business planning. Business analytics involve developing new insights and understanding of business performance based on data and statistical methods.
- **Business Intelligence.** Uses a consistent set of metrics to measure past performance and guide business planning, which is also based on data and statistical methods.

Over the next 5 years, the OIG will increase its ability to use the above methods to assist the agency with improving business practices and accountability. The OIG will use the assistance of automated tools and increased human capital assets with expertise in those areas to achieve this goal's success.

## **Objective 2.1: Protect the integrity of programs and operations through criminal, civil and administrative investigations.**

**Strategic Measure 2.1.1**—By September 30, 2023, the OIG will have conducted investigations geared toward protecting the integrity of programs and operations within the EPA's six priority goals.

**Strategic Measure 2.1.2**—By September 30, 2023, the OIG will have conducted investigations for the prevention of cyber-related attacks. These investigations will result in increased protective measures codified in policy and procedure.

### ***Strategies for Achieving Objective***

Over the next 5 years, we will use **data analytics** and enhanced automated tools to target investigations geared toward weeding out fraud, waste and abuse at all levels of the organization. We will seek to strategically position agents in areas of high visibility and known and/or potential "hot spots." We will encourage the use of the hotline and will seek creative ways to increase its effectiveness and impact.

## **Objective 2.2: Influence actions and identify best practices to improve efficiency and accountability, and achieve monetary benefits.**

**Strategic Measure 2.2.1**—By September 30, 2023, the OIG will perform audits and evaluations in each EPA priority area, resulting in documented, data-supported improvements in efficiency and accountability across the agency.

### ***Strategies for Achieving Objective***

The OIG will endeavor to achieve this objective and its strategic measure through increased collaboration with the Council of the Inspectors General on Integrity and Efficiency (CIGIE). The OIG will seek out and employ **best practices** that show immediate, tangible and reportable results. OIG Assistant Inspectors General will be accountable for achieving measures that show their respective offices to be results-driven entities. Results will be reviewed each mid-year and end-of-year to monitor progress.

## Objective 2.3: Reduce risk of loss by detecting monetary benefits.

**Strategic Measure 2.3.1**—By September 30, 2023, the OIG will have reduced risk of loss by detecting monetary benefits through audits and evaluations targeting initiatives within the EPA’s six priority goals.

### ***Strategies for Achieving Objective***

The Inspector General Act defines a recommendation that funds be put to better use as “a recommendation by the Office that funds could be used more efficiently if management of an establishment took actions to implement and complete the recommendation.” Such recommendations might pertain to deobligation of funds, implementation of improvements that make costs unnecessary, and other savings.

Over the next 5 years, the OIG will ensure that audits and evaluations performed on initiatives within the six priority goals result in recommendations pertaining to deobligation of funds, costs not incurred by implementing recommended improvements, and other identified savings. By implementing these recommendations, the EPA can reduce the risk of loss through identified efficiencies. Recommendations for stronger controls and accountability will be key in minimizing this risk as well as influencing the implementation of formidable defenses against future potential vulnerabilities. Prioritizing audits and evaluations on initiatives with high risk for loss will also assist with achieving monetary benefits.

## Objective 2.4: Reduce risk of loss by detecting and preventing fraud, waste, abuse, mismanagement and misconduct.

**Strategic Measure 2.4.1**—By September 30, 2023, the OIG will have increased its capacity for case management of investigations involving mismanagement and misconduct that result in fraud, waste and/or abuse.

**Strategic Measure 2.4.2**—By September 30, 2023, the OIG will have increased the effectiveness of audits and evaluations using quantifiable *impact* in implemented recommendations as our measure.

**Strategic Measure 2.4.3**—By September 30, 2023, the OIG will increase its return on investment to a minimum ratio of 12 to 1 as an average across the 5 years from 2019 to 2023.

### ***Strategies for Achieving Objective***

The OIG will work with appropriate stakeholders within the EPA and the CSB to audit, evaluate and investigate processes and programs that appear vulnerable to fraud, waste and abuse, and report results and recommendations to decision-makers geared toward closing gaps, reducing vulnerabilities and increasing compliance.

The OIG's Office of Investigations will be positioned with increased assets (both human and automation). Over the next 5 years, there will be an increase in Office of Investigations' human assets, and the tools the office uses for case management will be more efficient. This will allow the Office of Investigations to use more efficient and effective best practices in the identification, management and successful prosecution of mismanagement and misconduct cases.

Additionally, the Office of Audit and Evaluation, along with the Office of Management, will use ***data analytics*** and other evaluation tools to impact the efficiency and effectiveness of policies and procedures within the OIG, the EPA and the CSB. Stronger controls and increased accountability will be key over the next 5 years as we attempt to continue reducing the risk of loss due to mismanagement and misconduct.

### **GOAL 3**

Improve OIG processes, resource allocation and accountability to meet stakeholder needs.

Goal 3 addresses how the OIG plans to improve the way it works, its processes, and its methods of allocating resources and systems of accountability to meet the needs of stakeholders and provide the greatest return on investment. We will develop specific action plans based on an analysis of our strengths, weaknesses, opportunities and threats, as well as use input from our stakeholders.

The OIG will use ***thought leadership, strategic innovation and intelligent systems*** to provide greater ***accountability*** and targeted resource allocation. The OIG will employ ***business process improvement and re-engineering strategies*** such as Lean Management Systems ("Lean") to increase the efficiency and effectiveness within the organization. Lean moves an organization from discovery to solution in an efficient manner. Over the next 5 years, the OIG will implement this industry standard to meet its process and business solution needs.

### **Objective 3.1: Ensure that our products and services are timely, responsive and relevant, and maximize protection of human health and the environment and return on investment.**

**Strategic Measure 3.1.1**—By September 30, 2023, the OIG will implement new timeliness measures and goals on products and services provided to our stakeholders and to the agency.

#### ***Strategies for Achieving Objective***

Timely products and services are basic tenets of our organization. We have cyclical products required by Congress, the OMB and the Office of Personnel Management (OPM). Deadlines set forth by these entities are non-negotiable and must be adhered to by providing products that are timely, accurate and substantive. Services that we provide to our customers must be responsive, relevant and uncompromised, and maximize supporting the protection of the American public.

### **Objective 3.2: Ensure that our processes and actions are efficient and effective through continuous improvement.**

**Strategic Measure 3.2.1**—By September 30, 2023, the OIG will implement at least 10 best practices across the OIG, aimed at increasing our efficiency in our human resources, information technology and budgetary missions.

**Strategic Measure 3.2.2**—By September 30, 2023, the OIG will have implemented an enterprise risk management system whose governance and cycle of accountability will increase our organization's effectiveness.

**Strategic Measure 3.2.3**—By September 30, 2023, the OIG will identify high-risk and high-vulnerability OIG activities, implement appropriate review for activities that are considered high risk, and minimize them to an appropriate degree. The OIG will implement at least one mitigation plan.

#### ***Strategies for Achieving Objective***

Over the next 5 years, the OIG will use ***lean principles*** in performance management, along with increased ***data analysis***, to produce a more impactful, efficient and effective organization. ***We will implement enterprise risk management*** principles to minimize and eliminate high risk in the organization that work against effectiveness. The OIG will establish

governance over its enterprise risks and will employ tactics that will foster an efficient and effective work environment.

### **Objective 3.3: Recruit, develop and retain an innovative, high-performing and diverse workforce that is valued, appreciated and respected.**

**Strategic Measure 3.3.1**—By September 30, 2023, the OIG will match or improve on federal government retention rates and will continue to develop programs to attract and retain high-talent staff.

**Strategic Measure 3.3.2**—By September 30, 2023, the EPA OIG’s Federal Employee Viewpoint Survey (FEVS) scores in at least three of the five OPM embedded indexes (Employee Engagement, Global Satisfaction, Effective Communications, New Inclusion Quotient, and Human Capital Assessment and Accountability Framework) will increase by at least 10 percent from each index’s 2018 average.

**Strategic Measure 3.3.3**—By September 30, 2023, due to various programs that we put into place, the EPA OIG will increase its “Best Places to Work” score for an agency subcomponent (as administered by the Partnership for Public Service) by at least one quartile from FY 2018 levels.

#### ***Strategies for Achieving Objectives***

The OIG has been and will continue to be intentional in its approach to creating a high-performing workforce. The OIG achieves its mission through its workforce. To identify, understand and address the challenges facing the OIG, we will continue to invest in our workforce by recruiting and retaining talented employees and by maintaining workforce excellence and the highest standards of professional conduct. We will manage attrition by implementing strategic workforce planning with succession plans at every level of the organization. We will foster a work environment that enhances productivity, innovation, excellence and employee satisfaction, and we will cultivate a culture of continuous improvement.

The majority of the data used to develop “Best Places to Work” rankings were collected by the OPM through its FEVS. As the OIG increases its scores on the FEVS, we will gradually see our “Best Places to Work” score increase as well. This will reflect a healthy and engaged workforce, boost retention, and attract high performers.

### **Objective 3.4: Enhance constructive relationships and foster collaborative solutions.**

**Strategic Measure 3.4.1**—By September 30, 2023, the OIG will be a recognized and active participant in leader forums with sister agencies and with stakeholders as appropriate (e.g., interactions with OMB, OPM, the EPA’s Criminal Investigative Division, CIGIE).

#### **Strategies for Achieving Objective**

It is imperative that the OIG is involved with developing relationships and building collaborative solutions to garner best practices from various organizations. Our relationships and collaborations will help the OIG maintain its position as a respected organization whose voice provides the needed influence with stakeholders.