



EPA-350-R-001
February 2004

OFFICE OF INSPECTOR GENERAL

Catalyst for Improving the Environment

Strategic Plan Fiscal 2004 - 2008



OIG STRATEGIC PLAN, FISCAL 2004 - 2008

Vision

We are **catalysts** for improving the **quality** of the **Environment** and **Government** through problem prevention and identification, and cooperative solutions

Mission

Add Value by promoting economy, efficiency, and effectiveness within EPA and the delivery of environmental programs. **Inspire Public Confidence** by preventing and detecting fraud, waste, and abuse in agency operations and protecting the integrity of EPA programs.

Goals

1. Contribute to Improved Human Health and Environment

2. Contribute to Improved Agency Business Practices and Accountability

3. Continuously Improve OIG Products and Services

Objectives

- ✓ Influence programmatic and systemic changes and actions that contribute to improved human health and environmental quality.
- ✓ Add to and apply knowledge that contributes to reducing or eliminating environmental and infrastructure security risks and challenges.
- ✓ Identify recommendations, best practices, risks, and opportunities to leverage results in EPA programs and among its partners.

- Q Influence actions that improve, operational efficiency, accountability, resolve public concerns and management challenges, and achieve monetary savings.
- Q Improve operational integrity and reduce risk of loss by detecting and preventing vulnerabilities to fraud, abuse, or breach of security.
- Q Identify recommendations, best practices, risks, weaknesses, opportunities for savings, and operational improvements.

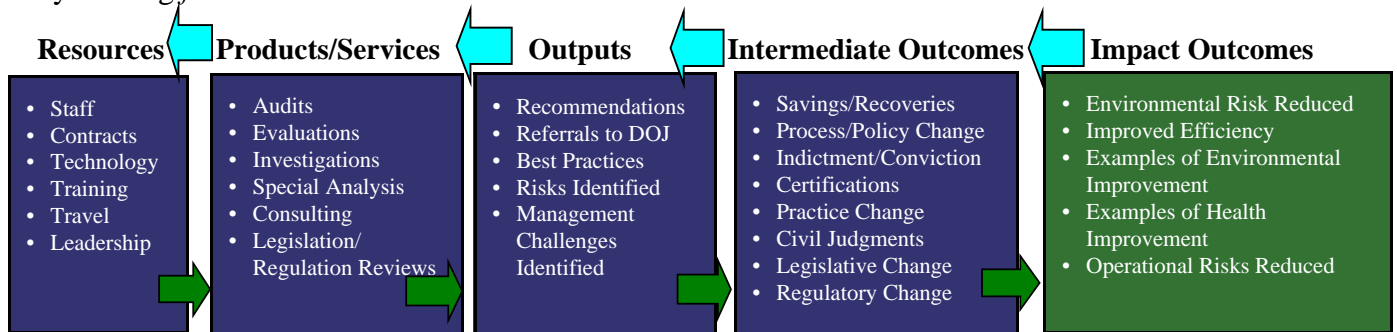
- @Improve the timeliness, responsiveness, and value of our products and services, to our clients and stakeholders.
- @Apply technology, innovation, leadership, skill proficiency for motivated staff and highly regarded products.
- @Align organization plans, performance, measurement, processes, and followup for a cost accountable results culture.
- @Maximize use and diversity of resources.
- @Develop constructive relationships to effectively leverage resources and foster collaborative solutions.

OIG Product and Service Lines for Strategic Areas of Performance

<i>Performance Audits and Evaluations</i> Air Water Land Cross-Media	<i>Financial/Systems Audits</i> Business Systems Financial Statements Contracts Assistance Agreements	<i>Investigations</i> Financial Fraud Program Integrity Employee Integrity Laboratory Fraud Computer Crimes	<i>Advisory/Analysis</i> Legislation/Regulation Review Control Assessments Public Inquiry/Outreach President's Council on Integrity and Efficiency Projects
---	--	---	--

FOREWORD

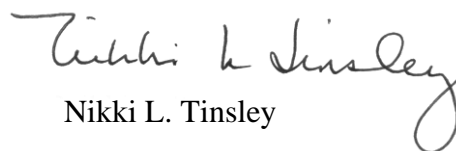
I am pleased to present the Office of Inspector General's (OIG) Strategic Plan for fiscal 2004-2008. This plan provides our vision, mission, goals, objectives, measures, and the results we intend to achieve in the next five years. This Plan uses a Logic Model to identify and define our outcome goals in relation to both the OIG's and EPA's statutory mission and links the requisite outputs, products/services, and resources needed to produce those outcomes. We implement the linked plan by moving *from resources to outcomes*.



The Plan is predicated on several themes that guide our organizational philosophy, strategies, and actions:

- ' **Change is a Way of Life:** The success of this plan and our organization is dependent upon its flexibility and ability to adapt to new information, priorities, challenges, and opportunities.
- ' **Emphasis on Environmental Conditions, Risks, Opportunities, Impacts:** As part of EPA, the OIG's primary goal is to add value by helping the Agency achieve its environmental mission as economically, efficiently, and effectively as possible.
- ' **Linkage of Performance Planning and Measures with Risks, Costs, and Benefits:** We are working to improve the alignment of our planning, budgeting, performance measurement, and followup processes within the OIG for greater accountability and results.
- ' **Cross-Media and Governmental Collaboration:** Most environmental issues and problems are complex, involving more than one media and governmental agency. The OIG promotes multimedia and cross agency collaboration to leverage resources and shared effort for greater results.
- ' **Applying a Systems Approach to Ask the Right Questions:** We plan our work to answer a logical sequence of specific but related questions, leading to recommendations that address systemic environmental and business issues, problems, or opportunities for improvement.

I look forward to working with the Administrator and the Congress on behalf of the American Public to improve human health, the quality of the environment, and the performance of Government.


Nikki L. Tinsley

EPA Office of Inspector General Executive Leadership Team

Nikki L. Tinsley, Inspector General
Michael J. Speedling, Deputy Inspector General
Melissa M. Heist, Assistant Inspector General for Audit
Kwai-Cheung Chan, Assistant Inspector General for Program Evaluation
Bennie S. Salem, Assistant Inspector General for Human Capital
Elissa R. Karpf, Assistant Inspector General for Planning, Analysis and Results
An-Ming (Tommy) Hwang, Assistant Inspector General for Mission Systems
Eileen M. McMahon, Assistant Inspector General for Congressional and Public Liaison
Lorraine M. Gentile, Acting Assistant Inspector General for Investigations
Mark Bialek, Counsel to the Inspector General
Rick A. Linthurst, Science Advisor

This Strategic Plan was developed by the OIG Office of Planning, Analysis and Results

Elissa R. Karpf, Assistant Inspector General
Michael J. Binder, Deputy Assistant Inspector General
Virginia A. Roll, Senior Auditor
Deborah L. Stanley, Senior Auditor

Office of Inspector General Strategic Plan FY 2004 - 2008

Table of Contents

Introduction	1
Values, Organization and Statutory Authority	2
OIG Goal 1: Contribute to Improved Human Health and Environment Strategy, Objectives, and Measures	3
Air:	4
Water:	5
Land:	6
Cross-Media:	7
OIG Goal 2: Contribute to Improved Agency Business Practices and Accountability: Strategy, Objectives, and Measures	9
Good Government	11
OIG Goal 3: Continuously Improve OIG Products and Services: Strategy, Objectives, and Measures	12
OIG Corporate Strategies:	13

See the Appendix to the OIG Strategic Plan, available in hard copy or at www.epa.gov/oig for additional information on:

- < External Factors and Trends That Could Shape Our Future
- < Data Validation and Information Quality
- < EPA PART Assessment Schedule
- < Major Laws Affecting EPA and OIG Work
- < EPA Goals and Strategies
- < Description of OIG Product Lines
- < Criteria Used to Evaluate and Determine Risk, Priorities and Assignments
- < Alignment of Planning and Measurement Throughout OIG
- < OIG Management Challenges
- < Summary Input from External Customer and Staff Surveys/Interviews
- < Partnering Opportunities/Environmental Programs Across Federal Agencies

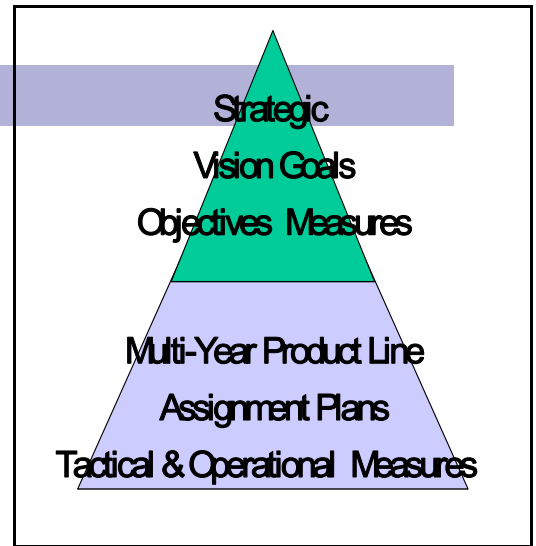
Cover picture: Glacier Bay, Alaska, by Craig Binder

Introduction

This OIG Strategic Plan illustrates our vision for the next five years. It builds upon our organizational experiences by consolidating four previous goals into two Business Line Goals and one Corporate Goal. The OIG Business Line Goals Strategy applies a Systems Assessment Approach across "OIG Product Lines" for Air, Water, Land, Cross-Media, Financial Statement, Business Systems, and Investigations to assess the implementation of EPA's Strategic Plan and resolve its management challenges. Implementation of our strategy considers questions of current and emerging concerns, shaped by existing conditions and future trends or external challenges, whose answers support the efficient and effective realization of EPA's mission.

The OIG Corporate Goal Strategy is designed to improve OIG operational processes and application of resources for greater efficiency and accountability. OIG Goals are further defined by Objectives with specific measures and targets. These targets represent a "stretch" from current performance levels, and are dependent upon adequate resources.

The OIG Strategic Plan is implemented through OIG Multi-Year Plans, which identify specific assignments and resource allocations to accomplish the OIG's highest priorities. Together these plans have the flexibility to adapt and anticipate changing conditions, information, technology and innovative approaches. The plans promote dynamic thinking about how the OIG can best contribute to the attainment of EPA's mission and goals.



SOURCES OF INPUT FOR OIG STRATEGIC PLAN



The OIG keeps its plans relevant and valid by performing trend and pattern analysis of historic issues and input from customers, stakeholders, and partners about the most significant environmental and management issues, problems and opportunities. We obtain customer input through surveys to help us evaluate our perceived value, performance, and areas for improvement. We also survey OIG staff, managers, and EPA leadership, and perform literature reviews, to synthesize the strategies and priorities of this Plan. We share our analysis and conclusions with EPA leadership to validate our ideas. We will continue researching and sharing this information with our partners to promote cost effective alternative solutions and new opportunities for improvement.

VALUES: Bound Our Decisions, Actions and Behaviors

Commitment to Excellence

The OIG exists to serve our customers: the EPA, the Congress, and the American people. We adapt to meet customer needs and aggressively work to protect and improve the environment. We are committed to individual and organizational high performance.

Commitment to Professionalism

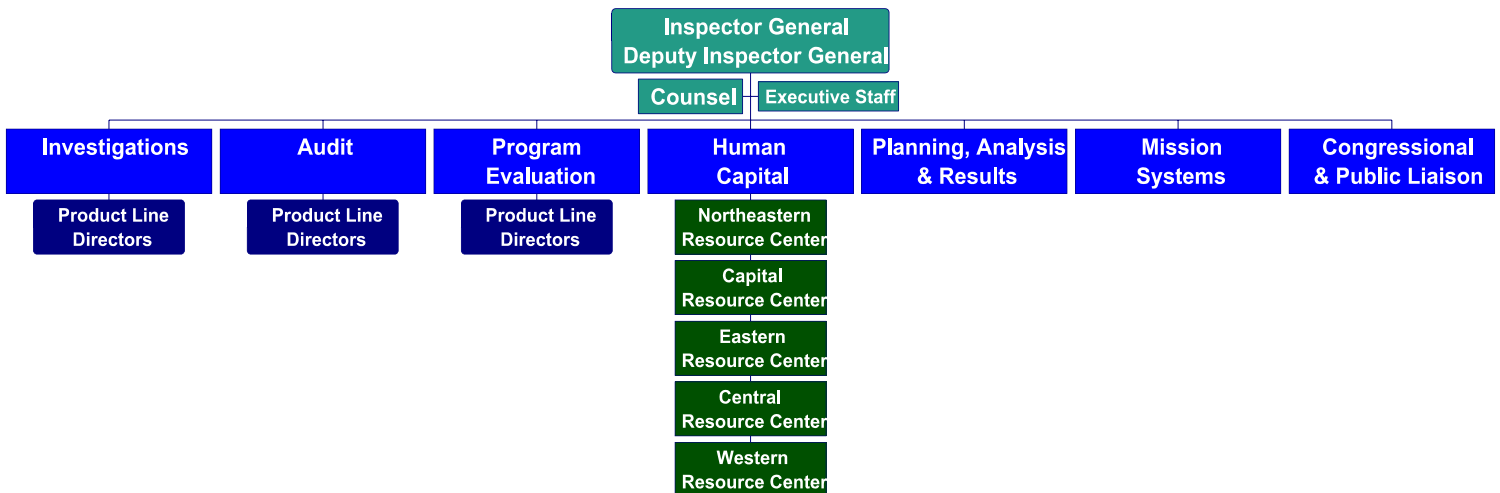
We are objective and independent in our pursuit for excellence. We expect individual performance above the standard for our community. Teamwork is essential to our success. We carry out our work with the highest integrity and ethical conduct.

Commitment to People

We are committed to building and sustaining a competent, progressive, diverse, and dedicated workforce. Leadership will ensure that staff receive clear guidance and the tools to perform assigned tasks. Exceptional performers will be recognized and rewarded.

OIG Organization

The OIG has a talented workforce that performs audits, evaluations, and investigations designed to inform decision makers and the public about the performance and results of EPA programs.



OIG: Background, Role, and Authority

Congress passed the Inspector General Act of 1978 (Public Law 95-452) establishing Offices of Inspector General within Federal Agencies, including the Environmental Protection Agency, to consolidate existing investigative and audit resources into independent organizations headed by Inspectors General to promote economy, efficiency, and effectiveness; and prevent and detect fraud, waste, and abuse. For a detailed description of the Inspector General Act and to learn more about the Inspector General community please see www.IGNet.gov/

GOAL 1. Contribute to Improved Human Health and Environment

Strategy

OIG evaluations, audits, and investigations will answer significant questions and recommend actions that improve the effectiveness of EPA's environmental programs.

- Product Lines That Support Goal 1**
- < Air
 - < Water
 - < Land
 - < Cross-Media

Objectives and Results We Intend to Achieve

- Influence programmatic and systemic changes and actions that contribute to improved human health and environmental quality.

- Outcome Measures**
- Legislative or Regulatory Changes/Decisions
 - EPA Environmental Policy, Practice, Process Changes
 - Examples of Environmental Improvements
 - Best Environmental Practices Implemented

- Add to and apply knowledge (or verification) that contributes to reducing or eliminating environmental and infrastructure security risks and challenges.

- Outcome Measures**
- Environmental Risks Reduced or Eliminated
 - Certifications, Validations, or Verification

- Identify recommendations, best practices, risks, and opportunities to leverage results in EPA programs and among its partners.

- Output Measures**
- Environmental Recommendations
 - Environmental Best Practices Identified
 - Environmental Risks Identified

Human Capital Skills Needed to Support Goal 1

Program Analysis	Economics	Environmental Science
Physical Science	Audit	Biological Science
Social Science	Investigation	Operations Research
Statistics	Engineering	Computer Science

The following represents several key Air, Water, Land, and Cross-Media topics suggested for OIG attention by our stakeholders, clients, and staff, and through external research. *Specific priority and emerging programmatic topics and questions are addressed in the OIG Multi-Year Plan.*

AIR: OIG Strategic Concerns and Questions for Consideration

Although significant progress has been made, for millions of people around the world, breathing continues to be a risky business. An estimated three million people die annually from the effects of pollutants such as sulfur dioxide, nitrogen dioxide, ozone and particulates, among others. Such air pollutants result from a myriad of largely human activities, including the burning of fossil fuels, chemical and other manufacturing and transportation. Chronic exposure especially in metropolitan areas can cause bronchitis and emphysema and it is implicated in some cancers. Children and senior citizens, especially in cities, are the hardest hit, often inhaling two to eight times the concentration of pollutants deemed acceptable by the World Health Organization.

Health Effects of the Selected Regulated Air Pollutants	
Ozone	Respiratory tract problems, such as difficult breathing and reduced lung function. Asthma, eye irritation, nasal congestion. Reduces resistance to infection, and possibly causes premature aging of lung tissue.
Particulate Matter	Eye and throat irritation, bronchitis, lung damage, impaired visibility, cancer.
Carbon Monoxide	Ability of blood to carry oxygen impaired. Cardiovascular, nervous and pulmonary systems affected.
Sulfur Dioxide	Respiratory tract problems, permanent harm to lung tissue.
Lead	Retardation and brain damage, especially in children.
Nitrogen Dioxide	Respiratory illness, lung damage.
Asbestos	A variety of lung diseases, particularly lung cancer.
Beryllium	Primarily lung disease, although also affects liver, spleen, kidneys, and lymph glands.
Mercury	Areas of the brain, kidneys and bowels affected.
Vinyl Chloride	Lung and liver cancer.
Arsenic	Cancer.
Radionuclides	Cancer.
Coke Oven Emissions	Respiratory cancer.

Particulate Matter

- How can EPA maximize the effectiveness of its fine particulate matter (PM 2.5) ambient monitoring and emissions control strategies?

Ozone

- How can EPA better execute its ozone reduction strategies?

Air Toxics

- How can EPA improve the effectiveness of its efforts to assess, monitor, control, and reduce the risks from toxic air pollutants to human health and the environment?

Air Quality Data

- How can EPA's air data be more cost-effectively obtained while improving its reliability in relation to program needs?

Indoor Air

- How effective are EPA's voluntary programs in addressing the negative impact on human health from indoor air?

Global Climate Change

- How will EPA measure and evaluate the effectiveness and timeliness of its programs to address global warming?

Multi Pollutants

- Is the interaction of pollutants a threat to human health, and does EPA have the scientific basis to determine the risks associated with the interaction of pollutants to support changes in legislation or regulations?

Updating and Validating Analysis of Air Regulations

- How effective is EPA's process for evaluating and periodically re-evaluating the appropriateness and value of regulations based on social, scientific, and economic analysis?

Market Mechanisms

- Can market mechanisms such as emission trading be used to successfully promote better compliance, more efficient anti-pollution technology and consumer behavior, and better air quality?

Fuels and Vehicles

- Are EPA's regulations for fuels and vehicles successfully addressing air pollution, including emissions from diesel, off-road, and marine vehicles?

Laboratory Assessments/Data Quality

- How well are EPA and State/local/Tribal agencies ensuring that laboratories used by regulators are meeting EPA's quality assurance/control standards and data quality objectives?
- Are the Data Quality requirements appropriate?

WATER: OIG Strategic Concerns and Questions for Consideration

Societal demands for greater amounts of unpolluted water are increasing around the world. Water is a renewable resource, which moves perpetually through the hydrologic cycle. Stationary water sources, such as lakes and groundwater supplies in aquifers, are far slower in cleansing themselves than streams because their flow rates are slower. Some water pollution can be treated by end-of-pipe processes; but preventive strategies are necessary to control other types of water pollution. End-of-pipe controls work with point source pollution, where pollutants are emitted from a specific area such as a sewer pipe or factory. The job of cleaning and protecting the nation's drinking water, coastal zone waters, and surface waters is made complex by a variety of sources of pollution.

Threats to Watersheds, Wetlands Ecosystems & Oceans		
Pollutant	Source	Effects
Nutrients	Fertilizers, sewage	Algae blooms
Chlorinated hydrocarbons, pesticides, DDT, PCBs	Agricultural runoff, industrial waste	Contaminated and diseased fish and shellfish
Petroleum hydrocarbons	Oil spills, industrial waste, urban runoff	Ecosystem destruction
Heavy metal (arsenic, cadmium, lead, zinc)	Industrial waste, mining	Diseased and contaminated fish
Particulate matter	Soil erosion, dying algae	Smothers shellfish, respiratory disease, cancer
Plastics	Ship dumpings; household waste, litter	strangles wildlife

Safe Drinking Water

- How can EPA effectively implement the Safe Drinking Water Act Amendments of 1996?

Watershed Protection and Non-Point Sources

- How can EPA effectively control, protect, and monitor watersheds, non-point sources of pollution, and water quality?

Reduced Pollutant Loadings

- How can EPA effectively use and improve policy tools to reduce water pollution loadings?

Feasibility and Effectiveness of Controls on Air Deposition to Protect Water Quality

- How feasible are EPA's strategies for reducing air pollutant discharges, such as mercury, and to what degree will its planned reductions lead to meeting water quality goals?

Ensuring That All Communities Have Access to Clean Water

- How effective are EPA's plans, approaches and investments in helping communities (including Tribal communities, Alaskan Native villages and small communities) meet clean water and safe drinking water goals and address the need for critical and expensive repairs and improvements to the nation's water infrastructure?

Sustainable Infrastructure

- How can EPA use market mechanisms and economic incentives to help communities finance and support new and existing wastewater and drinking water infrastructure?

Water Quality Data and Monitoring

- How can EPA improve the quality of its water data and effectively monitor the quality of water to support valid economic incentives for compliance, infrastructure financing, and conservation?

Laboratory Assessments

- How well are EPA and State/local/Tribal agencies ensuring that laboratories used by regulators meet EPA's quality assurance/control standards and data quality objectives?

LAND: OIG Strategic Concerns and Questions for Consideration

The Earth's land has been degraded by both the development of mineral resources and by improper disposal of society's material waste products. As a result, EPA addresses vast and complex environmental issues in its waste management and cleanup programs. There are over 1,200 national priority hazardous waste (Superfund) sites in the United States and an estimated 60 million Americans living within 4 miles of a Superfund site. Some of the most common contaminants at hazardous waste sites are also the most difficult to clean up, and cleanup may take up to 30 years or more. In addition to Superfund sites, EPA has identified another 1,714 sites with significant hazardous waste contamination in need of cleanup under the Resource Conservation and Recovery Act (RCRA). There are also an estimated 450,000-650,000 "brownfield sites" across the nation where property use is complicated by the presence or potential presence of a hazardous substance. Not only can there be environmental and health hazards associated with these sites, but abandonment or underutilization of contaminated sites also creates major obstacles to social vitality and economic growth in communities.

Superfund

- Is EPA making progress toward effective risk reduction and waste cleanup?
- How can EPA achieve efficiencies and time reductions in Superfund cleanups?
- How can EPA effectively engage communities and affected stakeholders in land reuse decisions?
- What are EPA's mechanisms for identifying and evaluating multi-source, or international business environmental liabilities?

Brownfields

- Is EPA making progress toward effective risk reduction, cleanup, and restoring previously polluted sites to appropriate uses?
- How effective has the Brownfields program been in reducing human health or environmental risk, and generating opportunities for sustained economic growth?

Waste Minimization, Recycling, and Pollution Prevention

- How can EPA improve industrial recycling and sustained waste minimization?
- How can EPA best influence the nation's awareness of recycling opportunities and needs and encourage sustained waste reduction and recycling?
- How can EPA influence infrastructure development, product improvements, and new technologies to prevent pollution and encourage recycling?

Pesticide and Chemical Risks

- How can EPA establish more effective partnerships with industries, States, and local communities to foster risk reduction for chemicals and pesticides?
- How can EPA best ensure local communities have the ability to implement, and are implementing risk reduction behaviors associated with chemicals and pesticides?

CROSS-MEDIA: OIG Strategic Concerns and Questions for Consideration

EPA is responsible for addressing environmental threats to our communities and ecosystems that transcend air, water, and land. Their impacts on ecosystems, communities, homes, and susceptible populations can require integrated strategies comprised of innovative tools, programs, technologies, and partnerships. Healthy communities are the goal, and cross-media policies and practices should seek this outcome by preventing pollution. However, sometimes events require the cleanup and restoration of communities and ecosystems. The significance and complexity of these cross-media challenges was tragically demonstrated by the events of September 11 and subsequent anthrax attacks in 2001.

Homeland Security

- How can EPA better execute its Strategic Plan to prevent, prepare for, and respond to a possible terrorist attack to minimize adverse impacts on human health and the environment?

Environmental Stewardship

- How well do the States and tribes employ effective management practices, use EPA funds, and implement EPA guidance to deliver environmental stewardship and human health protection?
- How can EPA identify innovative policies, and encourage and track environmental stewardship by the public, community, business, and industry?

Environmental Justice

- How well are environmental justice concerns incorporated into EPA decisionmaking?
- Do EPA policies and practices contribute positively or negatively to human health and the environment in communities of concern?

Compliance Assurance & Enforcement

- Is the employment of traditional and nontraditional enforcement approaches optimized to ensure compliance with environmental rules and regulations that are designed to protect human health and the environment?

Community and Ecosystem Centered Goals

- How can EPA assess combined impacts of media programs on communities, subpopulations, and ecosystems?
- What tools, information, and assistance can EPA provide to improve the capacity of communities to respond to environmental threats?
- How can EPA and its partners approach environmental science, policy, and regulation in a way that corresponds to the natural environmental systemic processes and problems?
- How can EPA coordinate the environmental efforts and investments of Federal, State, and local entities, as well as commercial stakeholders, to define and achieve a minimum level of environmental risk and optimal public benefits (e.g., natural resource protection and human health)?

Integrated Compliance and Enforcement with Market Mechanisms

- How can EPA evaluate the respective effectiveness of traditional regulatory systems versus those that use the marketplace through economic incentives and consumer behavior to drive compliance and conservation across the environmental spectrum?

Chemical, Organism, Pesticide Risks

- How well is EPA screening chemicals, pesticides, and microorganisms to assess and manage the risks to human health and ecosystem through the air, food supply, water supply, and waste treatment processes?

Science and Research

- How can EPA apply the best available science and the most relevant research to support its programs, develop valid environmental indicators, identify emerging or imminent threats, and reduce the unknowns?

GOAL 2. *Contribute to Improved Agency Business Practices and Accountability*

Strategy

OIG evaluations, audits, and investigations use a Systems Approach to answer significant questions and recommend actions that influence the economy, efficiency, and integrity of EPA's programs and operations.

Product Lines That Support Goal 2

- < Financial Statement Audits
- < Business Systems Audits
- < Investigations/Audits
 - Contracts
 - Assistance Agreements
 - Computer Systems and Security
 - Laboratory Fraud

Objectives and Results We Intend to Achieve

- Influence actions that improve operational efficiency, accountability, resolve public concerns and management challenges, and achieve monetary savings (or returns as a percentage of the OIG budget.)

Outcome Measures

- Policy, Process, Practice, Control Changes
- Corrective Actions on Management Challenges
- Best Business Practices Implemented
- Certification/Validation/Allegations Disproved
- Questioned Costs, Savings, Fines, Recoveries

- Improve operational integrity and reduce risk of loss by detecting or preventing vulnerabilities for fraud, abuse, or breach of security.

Outcome Measures

- Criminal Convictions
- Indictments/Arrests
- Civil Judgments/Settlements
- Administrative Actions/Security Risks Reduced

- Identify recommendations, best practices, risks, weaknesses, opportunities for savings, and operational improvements.

Output Measures

- Recommendations
- Best Practices and Opportunities Identified
- Risks, Weaknesses, and Challenges Identified

Human Capital Skills Needed to Support Goal 2

Financial Audit	Contract/Grant	Computer Analysis	Environmental Science
Performance Audit	Forensic Investigation	Computer Audit	Operations Research
Management Analysis	Criminal Investigation		

Overview of Good Government Risks and Conditions

Applying a Systems Approach to Evaluating EPA Programs and Operations

EPA delivers its environmental programs through a number of interrelated organizational systems. Having the right people, processes, systems, and information in place is essential to the Agency efficiently and effectively carrying out its mission. Having effective management systems deters fraud, waste, and abuse. Sound financial management provides accountability and public confidence. With EPA annually providing over \$4 billion in assistance agreements, and about \$2 billion for contracts, it is important that EPA ensure that funds are used consistently with the laws and regulations and are safeguarded against waste, fraud, and misuse. Information used to support programs is also vulnerable.

EPA's Top Management Challenges as Reported by OIG: Historical Perspective

Below is a list of the Top Management Challenges that the OIG has reported to EPA since FY 2001. Although EPA has made significant progress to resolve its Management Challenges, several of these issues have been ongoing as reported by the OIG since 1997. We will continue to concentrate our efforts on helping the Agency resolve the most chronic management issues and identify new threats and challenges. The full text of the OIG Report on EPA Top Management Challenges is available at www.epa.gov/oig

EPA's Top 10 Major Management Challenges	FY 2001	FY 2002	FY 2003
Linking Mission and Management: Developing more outcome-based strategic and annual targets in collaboration with partners.	●	●	●
Information Resources Management and Data Quality: Improving the quality of data used to make decisions and monitor progress.	●	●	●
Human Capital Management: Developing and implementing a strategy that will result in a competent, well-trained, and motivated workforce.	●	●	●
EPA's Use of Assistance Agreements to Accomplish Its Mission: Improving the management of the billions of dollars of grants awarded by EPA.	●	●	●
Protecting Critical Infrastructure from Non-Traditional Attacks: Protecting physical and cyber-based infrastructures, primarily in water and chemical industry/hazardous materials.	●	●	●
Challenges in Addressing Air Toxics Program Phase 1 & Phase 2 Goals: Reducing air toxic emissions by developing a technology-based approach and assessing levels of risk.		●	●
EPA's Working Relationships with States: Improving the working relationships with States by establishing a structure to address accountability and other issues.	●	●	●
Information Security: Protecting information systems by preventing intrusion and abuse of systems, and protecting integrity of data.	●	●	●
Backlog of National Pollutant Discharge Elimination System Permits: Addressing the nationwide backlog of the renewal of permits to manage discharges into water systems.	●	●	●
Management of Biosolids: Ensuring that the regulations applicable to sewage sludge are adequately enforced and provide sufficient protection to the public.		●	●

Good Government: OIG Strategic Concerns and Questions

The following represent several key Financial Management, Business Systems, and Operational Integrity Areas suggested for OIG attention by our stakeholders, clients, and staff, and through external research. *Specific priority and emerging Good Government topics and questions will be addressed in the OIG Multi-Year Plan.*

Financial Management

- Does EPA have the people, processes, and systems needed to efficiently provide timely, accurate, complete, and useful financial information for decisionmaking and accountability?

Information Resources Management

- Does EPA have systems, processes, and controls in place to ensure that timely, reliable, and complete information is available to manage EPA's programs and report on environmental results?

Program Management

- Does EPA have the systems and processes in place to plan, budget for, and manage its programs, and the human capital needed to carry out its mission?

Assistance Agreements

- Is EPA using assistance agreements to efficiently and effectively accomplish its mission?

Contracts

- Is EPA using contracts to efficiently and effectively accomplish its mission?

Program Integrity Investigations

- Will respond to allegations or indicators of fraud or acts which undermine the integrity of, or confidence in programs, and create imminent environmental risk. Examples include: false certifications for asbestos removal, fraudulent use of the Agency seals, and fictitious or forged products and labels.

Laboratory Fraud

- Will respond to allegations or indicators of falsification of laboratory results which undermine the bases for Agency decisionmaking, regulatory compliance, or enforcement actions.

Contract and Assistance Agreement Fraud

- Will identify fraudulent practices in awarding, performance, charging, and payment on EPA contracts, and grants or other assistance agreements.

Homeland Security

- Will test environmental infrastructure and information networks against threats of intrusion and destruction. Also, in response to an attack, will provide protection of EPA information and resources, and coordinate with State, local, and other Federal law enforcement authorities.

Outreach for Deterrence

- Will increase awareness of indicators of fraud, and create a network of potential resources.

Program Assessment Review Tool (PART)

- How can the OIG best assist EPA and Office of Management and Budget (OMB) in EPA PART reviews? A discussion of OIG involvement in PART assessments, and a schedule of EPA PART assessments are presented in *the Strategic Plan Appendix* at www.epa.gov/oig

GOAL 3: Continuously Improve OIG Products and Services

Strategy

The OIG will lead by example in using cost accounting, process analysis, and followup to integrate efficiency and results into its performance culture. The OIG will apply diverse human skills, technology, contracting opportunities, and partnering across product lines and internal operations to leverage resources for greater results.

OIG Corporate Strategies:

1. Address Mission through Product Lines
2. Integration of Human Capital Strategy
3. Integration of Technology Strategy
4. Aligning Planning, Performance Measurement, and Cost Accountability
5. Customer Focus and Risk Assessment
6. Marketing OIG Products/Services
7. Followup for a Results Driven Culture
8. Process Assessment/ Reengineering
9. Partnering for Collaborative Solutions

Objectives and Results We Intend to Achieve

Improve the timeliness, responsiveness, and value of our products and services, to our clients and stakeholders.

Outcome Measures

- External customer value rating
- Internal customer service rating
- Assignments in response to requests
- Achievement of assignment milestones
- Reduction in process cycle time

Apply technology, innovation, leadership, and skill proficiency for motivated staff and highly regarded products.

Outcome Measures

- Amount of products available electronically
- Attainment of training standards
- Reduction in "skill gap"
- Internal product/process innovations implemented
- Congressional or public testimony

Align OIG plans, performance, measurement, processes, and followup for a cost accountable results culture.

Output Measures

- Activities covered with cost accounting measures
- Available staff time used on direct assignments
- Direct time on followup of prior OIG recommendations
- OIG recommendations acted on within four years

Maximize use of (available) resources, staff diversity, and savings opportunities.

Output Measures

- Authorized FTE used
- Current year budget used
- Parity of workforce with civilian labor force
- Implement actions for costs savings

Develop constructive relationships to leverage resources and foster collaborative solutions.

Output Measures

- Products done in collaboration with external partner(s)
- Lead Partnering and President's Counsel on Integrity and Efficiency (PCIE) projects

OIG Corporate Strategies

1. OIG Implementation Strategy - Product Lines

The OIG Strategic Plan is implemented by staff performing audits, evaluations, and investigations located in offices across the United States through a **Multi-year Plan** at www.epa.gov/oig. The Multi-year plan demonstrates how the goals, objectives, strategies, and topic areas established in the Strategic Plan are cohesively arrayed to answer a logical sequence of program and management questions critical to the success of EPA's mission and goals through OIG Product Lines. A description of OIG Product Lines is provided in the *OIG Strategic Plan Appendix* at www.epa.gov/oig.

2. Integration of Human Capital Planning into OIG Strategy

Human Capital Objectives:

- ' Sustain a diverse, talented workforce that supports OIG goals and reflects the U.S. population.
- ' Maintain workforce recruitment/development/retention programs that ensure competent staff to accomplish work and provide future leaders.
- ' Implement a training management information system that helps staff manage career development and assists the organization in analyzing training costs/patterns to provide cost-effective training through such mediums as e-learning options.
- ' Deploy performance management and reward systems that link performance to results through multiple sources of feedback for meaningful assessment, accountability, and recognition.

3. Integration of Information Technology into OIG Strategy

Effective information management is vital to the success of the OIG's mission and contributes to the achievement of its goals. Timely, reliable, and accessible information is the foundation of OIG product line credibility, internal performance management, and service to the public. To make the OIG as effective and efficient as possible in meeting its goals of serving their internal, external, and public customers while securing OIG information, we will develop and support a fully integrated management information system.

Technology Objectives:

- ' Provide timely and accurate data that enables management to provide status reports and make strategic business decisions.
- ' Provide a secure technical architecture for OIG to perform independent and objective audits, evaluations and investigations.
- ' Provide timely and quality user support.
- ' Deliver business systems on time and with high quality.
- ' Enhance innovation, teamwork, and competencies.
- ' Promote economy, effectiveness, and efficiency within OIG.

4. Aligning OIG Planning, Performance Measurement and Cost Accountability

The OIG will complete the integration of planning, cost, and performance measurement by linking staff evaluations and awards to supportable measures or evidence of efficiency and contribution to OIG/Agency goals or annual targets. We will continue developing a linked hierarchy of plans and performance measures from operational, to tactical and strategic, accounting for use of resources and activities, measuring the efficiency (timeliness and cost) of outputs, and effectiveness of outcomes. See a diagram in the *OIG Strategic Plan Appendix* at www.epa.gov/oig. We will emphasize followup on OIG recommendations to promote a results-oriented culture and demonstrate return on investment.

5. Customer Focus: The Foundation of Performance Planning & Internal Improvement

The OIG is committed to constant improvement, and relies on customer, client, stakeholder, and staff feedback to identify possible problems and opportunities for being more effective and responsive in adding value. We will expand the use of customer surveys, SWOT Analysis (strengths, weaknesses, opportunities and threats) and interviews to gain more information on the perceived customer value of our products and professionalism of our staff.

6. Multi-Channel Marketing and Outreach of OIG Work for Greater Results

We will market our products, services, recommendations, and information to all stakeholders in the chain of action officials and beneficiaries. We will promote open communications with OIG clients and stakeholders to leverage greater resources, share data, and resolve problems of common interest. We will:

- use e-mail containing links to full documents and a complete well-indexed searchable web site;
- reestablish contacts and relations in Regional offices; and
- follow up with all stakeholders and partners to report on and assist with progress toward action.

7. Followup Process for a Results Driven Culture

The OIG will implement a formalized followup process to enhance our "results oriented" culture. We will examine the current followup process and work with the Agency to better account for and implement the chain of actions leading to environmental improvements and impacts influenced by our work. Therefore, as part of our Multi-Year Plan, we will regularly followup and report on previous work to determine the extent of Agency action taken and all subsequent results and impacts. This process acknowledges that the most significant results may require a time lag until they can be recognized and reported, and that the OIG has a responsibility to track the progress of its recommendations.

8. Process Assessment/Reengineering for Accountability and Efficiency

The OIG will perform internal process assessment reviews to identify ways of improving the application of resources for greater cost efficiency in cycle time, performance, and quality. These process assessments will examine opportunities based on areas of reported management weaknesses and customer and staff feedback.

9. Partnerships: Collaboration in EPA and with Other Government Agencies

The environmental mission cuts across the goals and media offices of EPA as well as across Federal, State, and local government agencies. EPA only contributes a small percentage of the total investment in environmental protection compared to other Federal and State agencies, and must work collaboratively within the Agency and with its partners to leverage the needed resources and authority for more efficient, consistent and comprehensive results. There are at least 29 Federal agencies with an environmental mission, as well as each State. Therefore, the OIG will seek and promote partnering opportunities.

One way we will promote our strategy for partnering is through the President's Council on Integrity and Efficiency (PCIE) Environmental Consortium, composed of members of the IG community whose respective agencies have an environmental mission, to identify opportunities for collaborative planning and assignment development based on common issues or problems. The EPA OIG, in conjunction with the PCIE, developed the Compendium of Environmental Programs, an interactive data base cataloguing Federal environmental programs by agency: yosemite.epa.gov/oig/compendium.nsf/homepage?openform

We request your input and questions concerning this Strategic Plan or any other information about the EPA Office of Inspector General. Please let us know what we are doing well, and how we can better serve our customers. This Plan and other information about the OIG and its products are available on our web site: www.epa.gov/oig

For questions, comments or to obtain copies of this report, please contact either of the following:

Office of Congressional and Public Liaison (202) 566-2391

Michael Binder, Deputy Assistant Inspector General for Planning Analysis and Results (202) 566-2617
Binder.Michael@epa.gov

U.S. Environmental Protection Agency
Office of Inspector General
1200 Pennsylvania Ave. NW
Washington, D.C. 20460

This report was prepared by the EPA Office of Inspector General Office of Planning, Analysis and Results