



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
WASHINGTON, D.C. 20460

OFFICE OF
INSPECTOR GENERAL

January 17, 2020

MEMORANDUM

SUBJECT: Notification of Evaluation:
Region 5 Processes for Investigating Potential Loss of Records
Project No. OA&E-FY20-0032

FROM: Rudolph M. Brevard, Director *Rudolph M. Brevard*
Information Resources Management Directorate
Office of Audit and Evaluation

TO: Kurt Thiede, Regional Administrator
Region 5

The Office of Inspector General (OIG) for the U.S. Environmental Protection Agency (EPA) plans to begin an evaluation. This evaluation is a result of a 2019 OIG Hotline complaint about a data migration incident that may have resulted in the loss of records within EPA Region 5.

The OIG's objectives are to determine whether (1) Region 5 lost federal records when transferring computer files during its annual data backup process and (2) Region 5 followed its processes to investigate the potential loss of records. The OIG plans to conduct work at Region 5 headquarters in Chicago. The evaluation will be conducted using the *Quality Standards for Inspection and Evaluation*, issued by the Council of the Inspectors General on Integrity and Efficiency. The anticipated benefit of this evaluation is improved operational efficiency.

We will contact you to arrange a mutually agreeable time to discuss our objectives. We would also be particularly interested in any areas of concern that you may have. We will answer any of your questions about the evaluation process, reporting procedures, methods used to gather and analyze data, and what we should expect of each other during the evaluation. Throughout the evaluation, we will provide updates on a regular basis.

To expedite our evaluation, please provide the following information at the entrance conference:

- Policies, procedures and guidance related to EPA records management, including any guidance on OneDrive data migration. Also, a list of records management policies, procedures and guidance under development.
- Policies, procedures and guidance related to maintenance, storage and retention of records under litigation holds and e-discovery.
- Points of contact for Region 5's Records Liaison Officer and OneDrive data migration effort.

We respectfully note that the OIG is authorized by the Inspector General Act of 1978, as amended, to have timely access to personnel and all materials necessary to complete its objectives. We will request

that you resolve the situation if an agency employee or contractor refuses to provide requested materials to the OIG or otherwise fails to cooperate with the OIG. We may report unresolved access matters to the Administrator and include the incident in the *Semiannual Report to Congress*.

I will supervise the evaluation and the Project Manager will be Jeremy Sigel. Any information related to the project should be addressed to me at (202) 566-0893 or brevard.rudy@epa.gov, or Jeremy Sigel at (202) 566-0852 or sigel.jeremy@epa.gov.

cc: Henry Darwin, Assistant Deputy Administrator
Doug Benevento, Associate Deputy Administrator
Ryan Jackson, Chief of Staff
Michael Molina, Deputy Chief of Staff
Kevin DeBell, Acting Deputy Chief of Staff
Corry Schiermeyer, Associate Administrator for Public Affairs
Cheryl Newton, Deputy Regional Administrator, Region 5
Eric Levy, Audit Follow-Up Coordinator, Region 5
Donna J. Vizian, Principal Deputy Assistant Administrator, Office of Mission Support
David Zeckman, Associate Deputy Assistant Administrator for Mission Support
Vaughn Noga, Deputy Assistant Administrator for Environmental Information and
Chief Information Officer, Office of Mission Support
Jeff Wells, Acting Director, Enterprise Records Management Division, Office of Mission Support
Annette Morant, Agency Follow-Up Coordinator
Charles J. Sheehan, Acting Inspector General
Edward Shields, Acting Deputy Inspector General
Eric Hanger, Deputy Counsel to the Inspector General
Kevin Christensen, Assistant Inspector General for Audit and Evaluation
Helina Wong, Assistant Inspector General for Investigations
Stephanie Wright, Acting Assistant Inspector General for Management
Richard Eyermann, Deputy Assistant Inspector General for Audit and Evaluation
Rashmi Bartlett, Deputy Assistant Inspector General for Audit and Evaluation
Christine El-Zoghbi, Deputy Assistant Inspector General for Audit and Evaluation
Jeffrey Lagda, Acting Deputy Assistant Inspector General for Congressional and Public Affairs
Tia Elbaum, Congressional and Media Liaison, Office of Inspector General