



U.S. Election Assistance Commission

Office of Inspector General

Strategic Plan (Updated)

2022-2026

Message from the Inspector General

I am pleased to present an update to the 2020 Strategic Plan of the U.S. Election Assistance Commission (EAC) Office of Inspector General (OIG) for FY 2022-2026. The OIG mission is to safeguard the Federal investment in our electoral system by conducting objective and meaningful oversight. We do this primarily through audits, evaluations, and investigations. Much of our work is mandated in the Inspector General Act (IG Act) of 1978, as amended; however, this plan reflects our desire to expand our oversight efforts and ensure we are focusing on areas of highest risk and priority.



Brianna Schletz
Inspector General

The plan identifies our vision for operating as a high-performing organization and helping EAC be as efficient and effective as it can be. The core values that guide our work—integrity, objectivity, and innovation—are encompassed throughout the plan. It also lays out three clear goals that will help improve OIG’s ability to deliver on its mandate and mission.

- 1) Assess and improve OIG processes.
- 2) Increase performance and value-add oversight.
- 3) Foster stakeholder collaboration and encourage transparency.

This updated strategic plan considers 2021 changes to the OMB Circular No. A-11 and the focus on evaluation and evidence building activities, aligned with the Evidence Act. We have work to do in building an Enterprise Risk Management framework, implementing an annual monitoring program for audits, and doing a cost-benefit analysis to ensure we are using our resources most effectively. I look forward to the work ahead to assess and improve OIG and to ensure our work is as meaningful as possible. As such, each goal has baseline performance metrics that we will report on annually.

To ensure this 5-year plan remains relevant and actionable, we will modify it as needed and consult with Congress, EAC Commissioners, EAC management, and other stakeholders as we identify new challenges and opportunities. I am dedicated to evidence-based decision-making and continuous improvement, including periodic assessment of our capabilities.

Brianna Schletz

OIG's 2022-2026 Strategic Plan at a Glance

MISSION VISION VALUES

Mission: To safeguard the Federal investment in our electoral system by conducting objective and meaningful oversight

Vision: Operate as a high-performing organization and help EAC be as efficient and effective as it can be

Values: Integrity, objectivity, and innovation

STRATEGIC GOALS AND OBJECTIVES

PROCESS

Assess and improve OIG processes

- Establish a cycle to maintain policies and procedures to effectively execute OIG duties across functions.
- Address audit peer review recommendations and maintain robust quality control measures to ensure work is conducted in accordance with standards.
- Strengthen investigative processes and capacity to combat fraud, waste, and abuse.



PERFORMANCE

Increase performance and value-add oversight



- Institute an annual planning process that addresses risk and promotes creative solutions.
- Expand oversight efforts while meeting mandatory audit requirements.
- Proactively support EAC in efforts to educate states on the use of EAC funds and OIG.

COLLABORATION & TRANSPARENCY

Foster stakeholder collaboration and encourage transparency

- Communicate regularly with stakeholders through multiple mediums.
- Sustain and expand partnerships with other oversight entities.
- Provide timely information for decision makers.



Who We Are and What We Do

The EAC OIG is a designated federal entity under the IG Act, as amended. The EAC was established by the Help America Vote Act of 2002 (HAVA). As an independent, bipartisan commission, the EAC is charged with developing guidance to meet HAVA requirements, adopting voluntary voting system guidelines, and serving as a national clearinghouse of information on election administration. EAC is also responsible for establishing and operating a program to accredit laboratories and test and certify voting systems.

The IG Act outlines that the EAC OIG is responsible for conducting and supervising audits, investigations, and other reviews relating to the programs and operations of EAC. In addition to recommending improvements to programs and operations to promote economy, efficiency, and effectiveness the OIG is responsible for preventing and detecting fraud, waste, abuse, and mismanagement of government resources. OIG must keep the agency head, management, and Congress fully informed regarding problems and deficiencies, as well as the progress of corrective actions.

Strategic Planning Process

Historically, EAC OIG focused efforts on meeting mandated audit requirements through use of independent public accounting (IPA) firms. This planning process accounted for mandated requirements but expands focus to provide stakeholders with more current information on EAC operations and state's use of HAVA funds with an emphasis on innovative solutions that don't overburden the agency or states. We also considered the updated mission and goals from EAC's 2022-2027 Strategic Plan, see Figure below.



Source: EAC Strategic plan:

https://www.eac.gov/sites/default/files/eac_assets/EAC_FY_2022_2027_Strategic_Plan.pdf

Engagement with Stakeholders. The strategic planning process was informed by Congressional stakeholders, oversight counterparts, and EAC professionals. Stakeholders requested more timely information and oversight of operations beyond mandated audit work including areas that are not traditionally reviewed by OIG. There was also interest in more coverage on effectiveness of how states are using HAVA funds, including why some are choosing not to. We worked to understand related ongoing oversight efforts by the Government Accountability Office, the Pandemic Response Accountability Committee, and other OIGs. As a result of our engagement, we have prioritized filling oversight gaps and ensuring continued coordination with stakeholders to gauge impact and nimbly adjust priorities as needed. Every other year we will conduct audit work to follow up on prior audit recommendations.

Assumptions and External Factors. The OIG consists of the Inspector General and Audit Director. Our small OIG is supplemented by IPA firms and interagency agreements. The current strategic plan assumes the OIG staffing and budget will stay the same or slightly increase. Much of this strategic plan deals with assessing current OIG operations to improve efficiencies and determine where our resources can be better used or prioritized. Many external factors could impact our plan and require the need to update it including new legislation, significant changes to EAC's budget or mandate, updated roles and responsibilities, changes to key personnel, new mandated requirements, or Congressional requests.

Measuring Performance

Annually the OIG will report progress and results on each performance metric.

Goals, Objectives, and Performance Metrics

EAC OIG strategic goals reflect long-term outcomes we hope to achieve that will improve our ability to deliver on our mandate and mission. Under each goal we identify strategic objectives that reflect more specific results to further our mission and achieve impact.

Goal 1. Assess and improve OIG processes.

Objective 1.1: Establish a cycle to maintain updated OIG policies and procedures to effectively execute OIG duties across functions.

Objective 1.2: Address audit peer review recommendations and maintain robust quality control measures to ensure work is conducted in accordance with standards.

Objective 1.3: Strengthen investigative processes and capacity to combat fraud, waste, and abuse.

Performance metrics for assessing progress toward intended outcomes:

Objective 1.1: number of policies updated or established

Objective 1.2: close all peer review recommendations, establish annual monitoring process for audit work and implement improvements, pass peer reviews

Objective 1.3: establish and maintain an interagency agreement for investigative services, present investigative statistics in semiannual report

Goal 2. Increase performance and value-add oversight.

Objective 2.1: Institute an annual planning process that addresses risk and promotes creative solutions.

Objective 2.2: Expand oversight efforts while meeting mandatory audit requirements.

Objective 2.3: Proactively support EAC in efforts to educate states on the use of EAC funds and OIG.

Performance metrics for assessing progress toward intended outcomes:

Objective 2.1: update the annual planning process; number of creative solutions and impact on resources or results; establish Enterprise Risk Management for OIG that is incorporated into annual planning

Objective 2.2: meet all annual mandatory audit requirements; number of discretionary oversight work beyond mandated work in process; evaluate the costs and benefits for current audit workload; pilot and assess internal audit oversight of grants; percent of audit recommendations EAC agreed to, biennial follow up work on previous audit recommendations

Objective 2.3: establish program for supporting EAC in outreach efforts; number of outreach efforts and impact/results if quantifiable

Goal 3. Foster stakeholder collaboration and encourage transparency.

Objective 3.1: Communicate regularly with stakeholders through multiple mediums.

Objective 3.2: Sustain and expand partnerships with other oversight entities.

Objective 3.3: Provide timely information for decision makers.

Performance metrics for assessing progress toward intended outcomes:

Objective 3.1: number of stakeholder communications and results/impact of engagements

Objective 3.2: establish a communication and outreach strategy; number of partnerships with other oversight entities; impact/results of partnerships

Objective 3.3: percent of reports posted on EAC OIG website and Oversight.gov within required 3 days of issuance