

U.S. Department of Transportation | Office of Inspector General

Organizational Assessment

FY 2023 | October 1, 2022 – September 30, 2023

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A Message From the Inspector General

The Office of the Inspector General (OIG), Department of Transportation (DOT) is proud to conduct significant transportation safety, oversight, and management work for Congress, the Department, and the American public. We carry out this work through our statutory responsibilities under the Inspector General Act while supporting DOT's mission and strategic goals. Through our mission and core values, we contribute to DOT's efforts to achieve a safer, more efficient transportation system. We also work closely with Congress, senior DOT officials, and law enforcement to enhance the effectiveness and integrity of DOT programs and investigate allegations of fraud, waste, and abuse.



This year, OIG expertly met our mission requirements while making continual improvements to our hybrid working environment as well as our policies and procedures in a number of areas. Thanks to the constant dedication of our staff, in fiscal year (FY) 2023, we returned \$4 for every dollar appropriated to us—a meaningful return on investment. We issued 47 audit reports with a total of 201 recommendations, including financial recommendations totaling over \$400 million. Our investigative work resulted in 60 convictions; 62 indictments; and \$34.7 million in fines, forfeitures, restitutions, and recoveries.

In addition, we continued to provide timely and transparent communication on the results of our audits and investigations, meeting all requirements for weekly, monthly, and semiannual reports to congressional and DOT stakeholders. We consistently evaluate and, as appropriate, update our planning and assessment mechanisms to ensure we are achieving mission outcomes and remain prepared to address new Federal initiatives and emerging issues.

The following assessment of our organization provides further details about these mechanisms, their associated outcomes, and the many important accomplishments of our committed staff in FY 2023.

A handwritten signature in black ink that reads "Eric J. Soskin".

Eric J. Soskin

About This Assessment

The OIG Organizational Assessment is one of three key components in our strategic planning and improvement process. We conduct this assessment at the end of the Federal fiscal year to ensure our work and results remain closely aligned with our Strategic Plan and the Department's mission as outlined by our statutory responsibilities.

OIG'S STRATEGIC PLAN 2022–2026

Our 5-year strategic plan describes the goals, strategies, and performance measures for achieving our mission and maintaining the core values of OIG's work—safety, accountability, and integrity. The plan's five strategic goals provide a roadmap for our audits, investigations, stakeholder communication, and organization improvement efforts.

OIG'S FY 2023 STRATEGIC IMPLEMENTATION PLAN

This plan, compiled in the first quarter of the fiscal year, quantifies our performance measures into specific, measurable benchmarks to evaluate our progress each year. The quantities in this plan are the result of a thorough analysis of our results data over the last several years. These benchmarks are also the basis of the results-driven performance measures in our senior executives' individual performance plans to ensure a cohesive vision of our success and path to strategic goals.

OIG'S FY 2023 ORGANIZATIONAL ASSESSMENT

This fiscal year-end assessment reports our progress against the measures and benchmarks laid forth in our other strategic planning documents. We share these results with our staff as well as our external stakeholders in order to promote accountability and transparency. We will use this year's results to identify areas for improvement in the coming fiscal year.

STATUTORY RESPONSIBILITIES

The Inspector General Act of 1978, as amended, requires Offices of Inspector General to:

- conduct independent and objective audits and investigations;
- promote economy, efficiency, and effectiveness;
- prevent and detect waste, fraud, and abuse;
- review pending legislation and regulations; and
- keep Congress and the Secretary fully and currently informed.

Mission

OIG enhances DOT's programs and operations by conducting objective investigations and audits on behalf of the American public.

Vision

OIG is a high-performing organization that strives to achieve a safer and more efficient national transportation system; greater integrity, transparency, and performance within DOT programs; and a supportive, diverse, equitable, and inclusive workplace for OIG employees.

Core Values



INDEPENDENCE

Establishes trust in OIG. Our organization and its employees uphold their independence to ensure the work is objective and impartial.



ACCOUNTABILITY

Is at the heart of OIG's work. We seek to ensure that all DOT agencies are accountable for their results and for the resources the public invests in them. OIG also holds itself accountable to the highest standards of integrity, transparency, and excellence.



INNOVATION

Ensures OIG's continued relevance. We help the Department identify opportunities for improving existing programs and respond to emerging issues. We also seek opportunities to enhance OIG's performance, agility, and resilience.



COMMUNITY

Is critical to OIG's success. We maintain a culture of civility, diversity, inclusion, and fairness. OIG strives to provide its employees with physical and psychological safety, opportunities for growth, and recognition for their outstanding contributions and achievements.



Strategic Goal 1

PROMOTE TRANSPORTATION SAFETY.

STRATEGIES

- Investigate transportation safety-related crimes.
- Conduct audits and other reviews to improve DOT safety programs.
- Adjust investigative and audit priorities based on evolving transportation technologies, trends, and emerging issues.

PERFORMANCE MEASURES

Percentage of safety-related cases that result in a favorable outcome for the public.

- At least 30 percent of all investigations opened address transportation safety-related issues.
- At least 30 percent of transportation safety-related cases are accepted for civil or criminal action.

Percentage of safety-related recommendations closed and implemented by the Department.

- At least 25 percent of safety-related recommendations are closed and implemented by the Department.

Development of annual risk-based investigative and audit plans that include a focus on safety.

- Develop a risk-based annual investigative plan in which 30 percent of proposed investigations include a focus on safety-related crimes.
- Develop a risk-based annual audit plan in which at least 20 percent of total proposed audits (excluding single audit-related projects) focus on safety.

RESULTS

- 41 percent of all investigations opened addressed transportation safety.
- 86 percent of all transportation safety cases were accepted for civil or criminal action.

- 28 percent of safety-related recommendations that were open as of October 1, 2022, were closed and implemented in FY 2023.

- 40 percent of proposed investigations in our risk-based annual investigative plan included a focus on safety-related crimes.
- 25 percent of total proposed audits in our risk-based annual audit plan focused on safety.

Strategic Goal 2

IMPROVE DOT'S INFRASTRUCTURE AND TRANSPORTATION INVESTMENTS.

STRATEGIES

- Investigate allegations of fraud, waste, and abuse in DOT programs and funding.
- Conduct audits and other reviews to improve DOT's investment programs and oversight of DOT funding recipients.
- Adjust investigative and audit priorities based on new developments in transportation funding, policy, and technology.

PERFORMANCE MEASURES

Percentage of grant-fraud cases that result in a favorable outcome for the public.

- At least 30 percent of all investigations opened address transportation grant and procurement issues.
- At least 30 percent of transportation grant- and procurement-related cases are accepted for civil or criminal action.

Percentage of transportation investment-related recommendations closed and implemented by the Department.

- At least 15 percent of transportation investment-related recommendations are closed and implemented by the Department.

Development of annual risk-based investigative and audit plans that include a focus on transportation investments.

- Develop a risk-based annual investigative plan in which 30 percent of proposed investigations focus on grant- and procurement-related crimes.
- Develop a risk-based annual audit plan in which at least 20 percent of total proposed audits (excluding single audit-related projects) focus on transportation investments.

RESULTS

- 34 percent of all cases (including complaints and investigations) opened addressed transportation grant and procurement issues.
- 86 percent of transportation grant- and procurement-related cases were accepted for civil or criminal action.

- 45 percent of transportation investment-related recommendations that were open as of October 1, 2022, were closed and implemented in FY 2023.

- 40 percent of total proposed investigations in our risk-based annual investigative plan addressed grant or procurement-related fraud.
- 24 percent of total proposed audits in our risk-based annual audit plan focused on transportation investments.

Strategic Goal 3

ENHANCE DOT'S BUSINESS OPERATIONS.

STRATEGIES

- Conduct audits and other reviews to improve DOT's financial policies, procedures, and management practices and to assess the Department's compliance with requirements.
- Conduct audits and other reviews to improve DOT's information technology policies, procedures, and management practices and to assess the Department's response to cybersecurity threats.
- Conduct audits and other reviews to improve DOT's acquisition and procurement functions.
- Investigate allegations of fraud, waste, and abuse by DOT employees.
- Adjust investigative and audit priorities based on new developments in the Department.

PERFORMANCE MEASURES

Percentage of financial, procurement, information technology, and employee integrity cases that result in a favorable outcome for the public.

- At least 20 percent of employee integrity investigations closed result in administrative action.

Percentage of financial, procurement, and information technology recommendations closed and implemented by the Department.

- At least 30 percent of financial, procurement, and information technology-related recommendations are closed and implemented by the Department.

Development of annual risk-based investigative and audit plans that include a focus on DOT business operations.

- Develop a risk-based annual investigative plan in which 10 percent of proposed investigations focus on employee integrity issues.
- Develop a risk-based annual audit plan in which at least 45 percent of total proposed audits (excluding single audit-related projects) focus on DOT's business operations.

RESULTS

- 33 percent of employee integrity investigations closed resulted in administrative action.

- 33 percent of financial, procurement, and information technology-related recommendations that were open as of October 1, 2022, were closed and implemented in FY 2023.

- 10 percent of total proposed investigations in our risk-based annual investigative plan focused on employee integrity issues.
- 51 percent of total proposed audits in our risk-based annual audit plan focused on DOT's business operations.

Strategic Goal 4

MAINTAIN OIG'S POSITION AS A LEADER.

STRATEGIES

- Provide employees with the resources and services they need to accomplish OIG's mission.
- Evolve policies to define the future of OIG's workplace and continuously improve efficiency and effectiveness.
- Ensure the integrity of OIG's assets.
- Communicate the results of OIG's work to the Department, Congress, and the public effectively and timely.

PERFORMANCE MEASURES

Percentage of fulfilled requests for support, as measured by OIG's customer service resolution and tracking systems.

- At least 80 percent of resolved Office of Administration and Management customer service requests meet length of service timelines.
- At least 80 percent of the time, an attorney is assigned to an audit within 5 days of request for legal review of the audit proposal.
- At least 80 percent of the time, provide legal reviews of subpoenas to determine compliance with applicable statutes and case law within 5 business days of receipt.

Timeliness of critical communications to the Department and Congress.

- Issue Semiannual and Top Management Challenges Reports to Congress within mandated timeframes.
- Submit internal financial statements and annual budget requirements in accordance with applicable guidance and within agreed-upon deadlines.
- Post at least 80 percent of final audit reports to OIG's website within 3 days of issuance.
- Deliver at least 80 percent of OIG's Weekly Reports to the Secretary within established timeframes.

RESULTS

- In FY 2023, 90 percent of Office of Administration and Management service requests met length of service timelines.
- An attorney was assigned to an audit within 5 days of a request for legal review of the audit proposal 100 percent of the time.
- Legal reviews of subpoenas to determine compliance with applicable statutes and case law were provided
- OIG issued all required Semiannual Reports to Congress within statutorily mandated timeframes.
- OIG submitted internal financial statements and its annual budget requirements in accordance with applicable guidance and within all agreed-upon deadlines.
- OIG posted 100 percent of its audit reports to its website within 3 days of issuing and delivering them to DOT and Congress.
- OIG provided 100 percent of updates on upcoming audits, recently completed audits, and investigative results to the Secretary of Transportation on a weekly basis.

Strategic Goal 5

ADVANCE OIG'S WORKFORCE EXCELLENCE.

STRATEGIES

- Recruit, support, and retain a workforce of talented and engaged employees.
- Empower OIG employees to achieve outstanding results through professional development, training, and thoughtful, effective feedback.
- Maintain and implement a strategic workforce plan to assure that OIG meets continuing workforce needs.
- Instill a workplace culture characterized by civility, diversity, inclusion, and fairness.
- Promote employee wellbeing through transparency, innovation, workplace flexibility, and resilience.
- Recognize the outstanding contributions and achievements of OIG divisions, teams, and employees.

PERFORMANCE MEASURES

Achievement of the OIG's strategic workforce plan milestones.

- At least 80 percent of OIG's goals in its Human Capital Operations Plan (HCOP) will be complete by the end of FY 23.
- At least 90 percent of new hires attend New Employee Orientation within their first year of OIG employment.
- At least 90 percent of all employees complete training on the Inspector General's Civility, Diversity, and Inclusion Topic of Focus.
- Develop an Implementation Plan to reinforce OIG's commitment to civility, diversity, equity, inclusion, and accessibility and to guide future progress.
- Design a recruiting initiative that leverages multiple forms of outreach and communication, including focus on under-represented groups in the OIG workforce.

RESULTS

- 100 percent of OIG's goals in the HCOP were completed by the end of FY 2023.
- 97 percent of new hires attended New Employee Orientation in FY 2023 within their first year of OIG employment.
- 98 percent of all employees completed training on the Civility, Diversity, and Inclusion Topic of Focus in FY 2023.
- OIG's *Diversity, Equity, Inclusion, and Accessibility Implementation Plan* was developed and executed in the second quarter of FY 2023. It detailed completion of and updated the status of quarterly and annual goals, responsible parties, and dedicated resources for each strategic area.
- OIG created recruitment brochures, a video, and a *Careers at OIG* email account for potential applicants and expanded its recruitment efforts and its Pathways Intern Program contact list to include local colleges and universities with under-represented groups.



PERFORMANCE MEASURES

Federal Employee Viewpoint Survey (FEVS) and
OIG internal survey results.

- Exceed 90 percent of the 3-year rolling average on the FEVS Employee Engagement Index.
- Exceed 90 percent of the 3-year rolling average on the FEVS Global Satisfaction Index.
- Achieve at least a 70 percent OIG internal survey participation rate.
- Deliver an internal survey, conduct analysis, and develop action plans based on results on job satisfaction, employee development, and organizational culture.

RESULTS

- OIG scored 81 percent on the FY 2023 FEVS Employee Engagement Index. This is 99 percent of the 3-year rolling average.
- OIG scored 79 percent on the FY 2023 FEVS Global Satisfaction Index. This is 100 percent of the 3-year rolling average.
- OIG achieved a 70-percent internal survey participation rate in FY 2022, the most recent survey conducted.
- In response to the results from its FY 2022 internal survey, OIG established and implemented an action plan with two primary focus areas: (1) updating and communicating our policies and procedures and (2) building on our civility, diversity, and inclusion efforts. We continue to address other areas highlighted in the survey, such as our performance management system and employee wellbeing.







Office of Auditing and Evaluation

MISSION FOCUS

OIG develops and maintains a 24-month audit plan, updated annually, to maximize resources and provide the greatest potential benefits to DOT and the public. As part of this plan, we ensure that audits address key DOT goals, risks, and challenges; meet mandates and congressional and Secretary requests; and cover other key issues noted by our audit staff. Our most recent audit plan update, completed in December 2022, identified 164 audits in critical areas across DOT's Operating Administrations.

As required by law, OIG also issues an annual report on DOT's top management challenges—a forward-looking assessment of DOT's most significant challenges to meeting its mission for the coming fiscal year. In identifying these challenges, we consider their safety impact, documented vulnerabilities, large dollar implications, and the ability of the Department to effect change.

AUDIT ACCOMPLISHMENTS

	audit reports issued	47
	recommendations	201
	financial impact of DOT-OIG audits	\$400.1m
	funds that could be put to better use	\$69.2m
	questioned costs	\$26.9m
	unsupported costs	\$304.7m
	testimony before Congress	2

CONTINUING TO SUPPORT DOT'S EFFORTS TO MEET IIJA RESPONSIBILITIES

Responding to the 2022 Infrastructure Investment and Jobs Act (IIJA) remains one of DOT's highest priorities. IIJA authorized more than \$660 billion for transportation funding through fiscal year 2026 and directed the Department to establish new programs. Given the inherent challenges for DOT in carrying out its IIJA responsibilities and overseeing this influx of funds, OIG issued a product summarizing crosscutting oversight risks and suggestions for mitigating risks. We also completed an audit of DOT's fraud risk assessment processes for IIJA-funded programs and announced several other IIJA-related audits. We will announce future work related to IIJA as needed and will coordinate with DOT staff in advance to ensure we focus on the areas of increased risk.

Office of Investigations

MISSION FOCUS

OIG's Office of Investigations focuses on criminal cases that have the greatest direct impact on DOT programs and operations, particularly where regulatory enforcement action is ineffective. To determine if an investigation is warranted, we weigh the seriousness of the conduct, impact on public safety, availability of investigative resources, prosecutorial appeal, and any likely deterrent effects. Based on available resources, we generally focus our investigative efforts on three overarching areas: transportation safety, grant and procurement fraud, and employee integrity.

INVESTIGATIVE ACCOMPLISHMENTS

	hotline complaints	4,655
	convictions/indictments	60/62
	finances, forfeitures, restitutions, and recoveries	\$34.7m

COMBATING HAZMAT VIOLATIONS

In FY 2023, OIG protected the American public by investigating individuals who illegally shipped undeclared hazardous materials. During one investigation, two individuals were sentenced to 35 years of incarceration, 6 years of supervised release, and \$68,948 in forfeitures for their participation in a scheme to steal, fraudulently resell, and transport diseased body parts and bodies.

PROTECTING THE PUBLIC FROM ROGUE MOVING COMPANIES

In FY 2023, OIG rigorously investigated deceptive moving practices, including household goods being held hostage, inflated moving costs, and stolen or abandoned victims' property. Following one OIG investigation, an individual was sentenced to 8 years of incarceration, 3 years of supervised release, and over \$3.2 million in forfeiture and restitution for inflating moving costs and abandoning victims' property throughout the country.

Office of Administration and Management

MISSION FOCUS

The Office of Administration and Management provides a full range of administrative services, including human resources, training, information technology, facilities management, and acquisitions and procurements. Our mission is to provide the right people, technology, property, services, and processes to support the needs of OIG.

IMPROVING OIG'S BUSINESS EFFICIENCIES AND MISSION ACCOMPLISHMENT

The Office of Administration and Management enhanced OIG's operations through fully implementing the:

- Voice Over Internet Protocol (VOIP) telecommunication system to transition from traditional conventional telecommunications, which has yielded significantly increased capabilities while saving costs;
- Automated Telework Agreement System, which has saved OIG supervisors and employees valuable time while also improving the program's internal controls and regulatory compliance; and
- New Consolidated Purchasing Program, which centralized purchasing across OIG into the procurement office to improve the program's efficiency, responsiveness, and internal budgetary controls.

In addition, OIG awarded \$12.3 million in interagency agreements and procurements, including the high-priority Training Tracker and OIG Training Center Upgrade procurements to improve programmatic requirements and mission support.

ADVANCING OIG'S REAL ESTATE STRATEGIC PLAN

The Office of Administration and Management delivered two critical projects within our real estate portfolio: the construction of the Chicago office, and the decommissioning of the San Francisco office and its subsequent temporary relocation to Oakland, CA. Additionally, the Office of Administration and Management completed the planning of a multi-faceted project at OIG Headquarters that will reduce our overall real estate footprint by 40 percent. The plan will fundamentally change our work environment by shifting to an on-demand, reservation-based office attendance structure while saving costs.



Office of Chief Counsel

MISSION FOCUS

The Office of Chief Counsel provides key mission support services. The office handles all OIG Freedom of Information Act (FOIA) requests from the public; manages OIG's Ethics Program; and provides legal advice and assistance to senior OIG officials, auditors, investigators, and administrative staff.

ACHIEVING OIG'S MISSION THROUGH TRAINING AND OUTREACH

This year, the Office of Chief Counsel provided legal training to all OIG investigators at in-services and to auditors at the All Audit Training Forum. The Office of Chief Counsel also presented at two aviation legal conferences to discuss OIG's work.

Office of Strategic Communications and Programs

MISSION FOCUS

The Office of Strategic Communications and Programs serves as an organizational center of excellence—enhancing the quality and effectiveness of OIG’s operations, products, and communications by providing innovative solutions and collaborative support. The Office of Strategic Communications and Programs facilitates a variety of OIG activities by providing expert advice and advanced technical capabilities to enhance the Agency’s products, operations, and impact.

EXCELLENCE IN FINANCIAL MANAGEMENT AND INTERNAL CONTROLS

The Office of the Chief Financial Officer (CFO) planned, justified, and managed a \$108.1 million budget supporting 397 full-time equivalents. In addition, the CFO administered and oversaw mandated financial management and internal controls testing. OIG reported no material weaknesses or financial system non-compliance and established reasonable assurance that internal controls over reporting are operating effectively. Tests included the independent testing of one entity-level focus area—Control Environment—and one business process focus area—Digital Accountability and Transparency Act Reporting. In general, these tests are designed to provide reasonable assurance that OIG complies with applicable laws and requirements regarding obligations and costs; funds, property, and other assets; accounting practices; audit findings; and financial systems.

ENHANCED CDI INITIATIVES

In FY 2023, OIG made significant progress to meet Agency-wide and Administration priorities for Civility, Diversity, and Inclusion (CDI). In response to Executive Order (EO) 14035, OIG issued its first-ever *Diversity, Equity, Inclusion, and Accessibility Implementation Plan*. The plan highlights accomplishments of identified quarterly and annual goals, responsible parties, and dedicated resources for each strategic area and for future fiscal years. It demonstrates how our CDI program meets the EO 14035 objectives of making Federal agencies models “for diversity, equity, inclusion, and accessibility, where all employees are treated with dignity and respect.” In addition, to ensure awareness and practice of CDI principles among the entire staff, each year our CDI Director provides targeted training on a Topic of Focus. In FY 2023, we provided 12 sessions on *Civility: The Basis of Professionalism and Productivity* to all OIG employees, nationwide.

In addition, the Office of CDI oversaw the development and creation of the inaugural Council of the Inspectors General on Integrity and Efficiency (CIGIE) Career Fair and Information Session. OIG also created and delivered an “In Conversation Series” for recruitment purposes to bring awareness about the OIG community to students and career-seeking individuals, and to support retention and succession planning. These efforts are a key element of OIG’s CDI program.

Office of Quality Assurance

MISSION FOCUS

OIG maintains a Quality Assurance and Improvement Program to ensure that all work performed—audits; investigations; legal, legislative, and external affairs; and administrative—adheres to established OIG policies and procedures and meets established standards of performance. The quality of all our work significantly affects our credibility and effectiveness in performing oversight.

The Office of Quality Assurance maintains a 3-year schedule of offices and functions to be reviewed and updates the schedule annually. Quality Assurance Review (QAR) reports include an opinion on internal controls and make recommendations where improvements are needed.

This office also serves as the point-of-contact for external reviews of our audit and investigative work, including our adherence to Generally Accepted Government Auditing Standards (GAGAS), CIGIE guidelines, and the Attorney General Guidelines for Federal OIGs with statutory law enforcement authority. These external reviews occur every 3 years and are conducted by our peers in the Federal oversight and accountability community.

QUALITY ASSURANCE ACCOMPLISHMENTS



internal reviews/external reviews

6/0

INVESTIGATIONS

QAR reports focus on the Office of Investigations' compliance with professional standards, including investigative and evidence procedures. When appropriate, we bring opportunities for improvement to the attention of the relevant Special Agent-in-Charge. In FY 2023, we reported on activities within two regions and two individual offices.

AUDITS AND EVALUATIONS

QAR reports focus on the Office of Auditing and Evaluations' compliance with professional standards, including those for audit documentation and supervisory review procedures. When appropriate, we bring opportunities for improvement to the attention of the relevant Assistant Inspector General. In FY 2023, we reported on two auditing activities.





U.S. Department of Transportation
Office of Inspector General

Fraud, Waste, & Abuse



Hotline

<https://www.oig.dot.gov/hotline>

hotline@oig.dot.gov

(800) 424-9071

Audit Recommendation
DASHBOARD

Click the above image to browse
the OIG website.



U.S. Department of Transportation | Office of Inspector General
Strategic Plan 2022-2026

Click the above image to review
OIG's current Strategic Plan.