

Treasury Inspector General for Tax Administration



Report on the Qualitative Assessment Review of the Investigative Operations of the U.S. Department of Transportation Office of Inspector General

The Honorable J. Russell George, Inspector General

*Conducted in Washington, DC and New York, NY
Special Agent in Charge Bernard J. Williams, Team Leader*

February 2016

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DEPARTMENT OF THE TREASURY
WASHINGTON, D.C. 20005

INSPECTOR GENERAL
FOR TAX
ADMINISTRATION

February 4, 2016

The Honorable Calvin L. Scovel, III
Inspector General
United States Department of Transportation
1200 New Jersey Avenue, SE
Washington, DC 20590

Subject: Report on the Quality Assessment Review of the Investigative Operations
of the Office of Inspector General for the U.S. Department of Transportation

Dear Inspector General Scovel,

We have reviewed the system of internal controls and management procedures of the investigative function of the U.S. Department of Transportation (DOT), Office of Inspector General (OIG) in effect for the period ending March 31, 2015. Our review was conducted in conformity with the Council of the Inspectors General on Integrity and Efficiency (CIGIE), Quality Standards for Investigations; the Quality Assessment Review Guidelines established by the CIGIE; and the Attorney General Guidelines for the Offices of Inspectors General with Statutory Law Enforcement Authority, as applicable.

We reviewed compliance with DOT-OIG's system of internal policies and procedures to the extent we considered appropriate. The review was conducted in Washington, DC, and New York, NY. As part of the review, we sampled 30 case files for investigations closed between April 1, 2014, and March 31, 2015, and 14 complaint files closed during the same time period. We also reviewed DOT-OIG's digital forensic support activities.

In performing our review, we considered the prerequisites of section 6(e) of the Inspector General Act of 1978, as amended, (IG Act); and section 812 of the Homeland Security Act of 2002 (Pub. L. 107-296). Those documents authorize law enforcement powers for eligible personnel of each of the various offices of presidentially appointed Inspectors General. Those powers may be exercised only for activities authorized by the IG Act, other statutes, or as expressly authorized by the Attorney General.

In our opinion, the system of internal controls and management procedures for the investigative function of DOT-OIG in effect for the year ending on March 31, 2015, is in compliance with the quality standards established by the CIGIE and the applicable Attorney General guidelines. These safeguards and procedures provide reasonable assurance of conforming to professional standards in the planning, execution and reporting of its investigations.

If you have any questions, please do not hesitate to contact me at (202) 622-6500, or Bernard Williams, Special Agent-in-Charge, at (202) 927-7197.

Sincerely,

A handwritten signature in black ink, appearing to read "J. R. George". The signature is fluid and cursive, with the first letters of the first and last names being capitalized and prominent.

J. Russell George
Inspector General

Attachment 1 - List of Closed Investigative Files Reviewed

Case Number	Closing Date
I10G0001550100	05/01/2014
I13G0030100	06/24/2014
I06G0000080202	03/05/2015
I12E0010200	05/29/2014
I13M0010200	10/06/2014
I14W0010200	10/20/2014
I14P0010300	09/30/2014
I12G0050300	02/24/2015
I12G0090300	07/21/2014
I10C0000190400	07/17/2014
I12G0140400	01/05/2015
I14E0010400	09/12/2014
I13E0040400	11/13/2014
I13A0090401	10/30/2014
I10G0000430401	12/17/2014
I11G0120500	08/04/2014
I12Z0020500	01/29/2015
I12G0130500	02/03/2015
I12G0140500	02/18/2015
I13G0060500	04/30/2014
I13E0040600	12/02/2014
I13G0060600	11/05/2014
I11G0250600	12/23/2014
I11G0130600	06/30/2014
I14E0020902	02/23/2015
I14E0010902	11/12/2014
I13E0020900	08/26/2014
I12Z0010903	03/06/2015
I14E001SINV	12/30/2014
I14E008SINV	05/01/2014
H14E042CC	09/25/2014
H14A006CC	09/10/2014
H13A003CC	05/20/2014
H14E018CC	06/04/2014
H14G017CC	09/10/2014
H14Z004CC	11/25/2014
H14E007CC	04/30/2014
H14E004CC	05/16/2014
H14G001CC	10/20/2014
H12P003CC	09/25/2014
H14P005CC	09/30/2014
H14G018CC	10/27/2014
H14G022CC	10/21/2014
H14E006CC	05/05/2014

Attachment 2 – Field Office Locations

Locations Included in the Assessment

<u>Office Location</u>	<u>No. of Personnel Interviewed</u>
Washington, DC	5
New York, NY	8



**U.S. Department of
Transportation**

Office of the Secretary
of Transportation

1200 New Jersey Ave., S.E.
Washington, DC 20590

February 2, 2016

Michael Delgado
Assistant Inspector General for Investigations
U.S. Department of the Treasury
Treasury Inspector General for Tax Administration
1401 H Street, NW, Suite 469
Washington, D.C. 20005

Dear Mr. Delgado:

Thank you for the opportunity to comment on the draft report on your Quality Assessment Review of our Investigative Operations and the draft letter of observations.

We are pleased to accept your opinion that our internal safeguards and management procedures are in compliance with the quality standards established by the Council of the Inspectors General on Integrity and Efficiency and applicable Attorney General guidelines. We agree with your observations and appreciate your peer review team's suggestions which serve as helpful tools for our on-going efforts to make improvements.

We thank your staff for the professional manner and thoroughness of their review. Should you have any questions, please call Michelle McVicker, Principal Assistant Inspector General for Investigations, at (202) 366-1967.

Sincerely,

A handwritten signature in blue ink that reads "JOE Comé". The signature is stylized and includes a horizontal line at the end.

Joseph W. Comé
Acting Deputy Inspector General