



U.S. DEPARTMENT OF TRANSPORTATION

Office of Inspector General



WHO WE ARE

Since Congress established the Office of Inspector General in 1978, we have been dedicated to providing independent and objective reviews of the economy, efficiency, and effectiveness of programs and operations in the U.S. Department of Transportation. We are committed to detecting and preventing fraud, waste, and abuse within DOT. Headquartered in Washington, D.C., OIG also maintains audit and investigative field offices throughout the country.

Our audits and investigations provide recommendations that lead to recoveries of significant amounts of improper payments, cost-savings opportunities, and program improvements that directly enhance the safety, efficiency, and effectiveness of the Nation's transportation infrastructure. We report our findings to Congress and to the Secretary of Transportation.

Identifying and responding to new and evolving challenges requires a highly skilled and diverse workforce, led by our executive management team:

- Inspector General
- Deputy Inspector General
- Principal Assistant Inspector General for Auditing and Evaluation
- Principal Assistant Inspector General for Investigations
- Assistant Inspector General for Legal, Legislative, and External Affairs
- Assistant Inspector General for Administration

Our team also includes senior executives, and professional and support personnel—experts positioned to effectively address emerging transportation issues.

OUR MISSION

The Office of Inspector General is committed to fulfilling its statutory responsibilities and supporting Congress, the Secretary, Department leadership, and the public in achieving a safe, efficient, and effective transportation system.

OUR CORE VALUES

Integrity – We set high standards for ourselves. We take a professional, fair, nonpartisan, and non-ideological approach to all our work.

Objectivity – We conduct our work independently by maintaining an attitude of impartiality, having intellectual honesty, and being free of conflicts of interest.

Accuracy – We ensure that our work is fact-based and supported by sufficient, appropriate evidence.

Relevance – We select work on issues that are significant to Departmental leadership, Congress, and the public and ensure the work is completed in a timely manner.

CONTACT US



Visit our Web site at
www.oig.dot.gov



OIG HOTLINE

Report Fraud, Waste & Abuse

To report alleged violations of laws, rules, or regulations; employee misconduct; waste of funds; theft; fraud; abuse of authority; or danger to public health and safety that involves U.S. Department of Transportation programs, funds, employees and contractors, contact us through our Hotline.

Online

www.oig.dot.gov/hotline

Phone

1-800-424-9071

Fax

202-366-7749

Email

hotline@oig.dot.gov

*Promoting Safety and Integrity in
America's Transportation System*

INVESTIGATIONS

The Office of Investigations is comprised of investigators and special agents responsible for conducting criminal, civil, and administrative investigations of fraud and other allegations affecting DOT's Operating Administrations, programs, contractors, and grantees. We focus our efforts on top priority areas involving crimes relating to transportation safety, grant and procurement fraud, employee integrity, and consumer and workforce protection.

The Office of Investigations also manages a Hotline Complaint Center and investigates whistleblower complaints, including those referred to us by the U.S. Office of Special Counsel. OIG receives a number of complaints and investigative referrals on a daily basis. We consider the following general factors to determine which cases to focus on: the connection to and impact on DOT programs and operations, the seriousness and egregiousness of the conduct, the availability of investigative resources, the prosecutorial appeal of the case, and any likely deterrent effects.

INVESTIGATIVE PROCESS

Receiving allegations.

An investigation usually begins when we receive a complaint or referral that impacts DOT, its employees, contractors, grantees, or program areas. We open investigations for some allegations based on OIG priorities, available resources, and established prosecutorial guidelines. Other allegations are used as the basis for audits, referred to DOT management or to other law enforcement agencies.

Assessing the allegations.

Early in the investigative process, we present allegations that appear to be criminal in nature to the U.S. Department of Justice for prosecutorial consideration. If DOJ accepts a matter for prosecution, we will coordinate with them during the investigation.

Investigating the case.

Conducting an investigation may include analyzing documents, issuing search warrants and subpoenas, and interviewing witnesses. We may employ investigative techniques such as consensual monitoring and undercover operations, and coordinating with other law enforcement agencies.

Concluding an investigation.

When an investigation results in any judicial actions, we advise the DOT agency of the outcome of those actions. For investigations that DOT agencies handle administratively, we will track any corrective or disciplinary actions taken. We may also summarize the outcomes of an investigation on our web site.

AUDITS AND EVALUATION

The Office of Auditing and Evaluation conducts independent and objective audits and other reviews of the economy, efficiency, and effectiveness of DOT programs and activities. The office is divided according to specific program areas: Aviation; Information Technology and Financial Management; Surface Transportation; and Acquisition and Procurement.

Our audits are required by law or conducted at the request of members of Congress, congressional committees, or DOT officials. Our office also initiates audits based on ongoing work, assessments of top management challenges facing the Department, emerging transportation safety issues, and referrals from our Office of Investigations.

The office staff includes auditors, analysts, information technology experts, economists, statisticians, engineers, administrative officers, and writers. Other audit staff specialize in budgeting and acquisition and contract management.

AUDIT PROCESS

Surveying a topic.

We begin an audit by researching a topic and looking at prior reports and other work on the subject. We develop an audit plan, which identifies the proposed objectives, criteria, and information needed to examine the DOT program. We also evaluate the methods used to gather and analyze the information being reviewed. The results are presented at an internal meeting to decide whether to move forward with the audit.

Gathering and analyzing information.

We may examine documents, interview officials, inspect facilities, or analyze the available data. Based on careful analysis of this evidence, we assess the efficiency and effectiveness of the DOT program and identify any problems that need addressing.

Developing findings in a draft report.

We write a draft report of our findings, ensuring that it is objective, fact-based, and fair. We document all work and supporting evidence, thoroughly checking the accuracy of all facts and analyses. If appropriate, we also develop recommendations for action. We provide a copy of the draft to the audited DOT agency for review and comment.

Issuing the final report.

We issue the final report, incorporating DOT's written comments. The report is disseminated to DOT officials and members of Congress and is generally posted on our web site. We may continue to monitor DOT's actions taken to address any recommendations made in our final report.