



U.S. DEPARTMENT OF TRANSPORTATION  
**OFFICE OF INSPECTOR GENERAL**

# Strategic Plan

2017–2021

## Introduction

Since its inception in 1979, the Office of the Inspector General (OIG) has been dedicated to providing independent and objective reviews of the Department of Transportation's (DOT) programs and operations and to detecting and preventing fraud, waste, and abuse. Specifically, the Inspector General Act of 1978, as amended, directs OIG to:

- conduct independent audits and investigations;
- promote economy, efficiency, and effectiveness;
- prevent and detect waste, fraud, and abuse;
- refer criminal violations to the Attorney General for prosecution;
- review pending legislation and regulations; and
- keep the Secretary and Congress fully and currently informed.

This *Strategic Plan 2017–2021* describes how, over the next 5 years, OIG aims to fulfill its statutory responsibilities, enhance quality of life in America, improve the value that citizens receive for their investment in DOT programs, and work with members of Congress, the Secretary, and senior Department officials to improve the safety and efficiency of the nation's transportation system.



**Calvin L. Scovel III**  
Inspector General

# Strategic Plan At-A-Glance

## Mission

OIG conducts audits and investigations on behalf of the American public to improve the performance and integrity of DOT's programs to ensure a safe, efficient, and effective national transportation system.

## Vision

The United States will achieve a safer, more efficient, and more effective national transportation system because OIG enhances the performance and integrity of the DOT's programs. OIG also will serve as a model Federal agency by maintaining a workplace culture that values its people as it continuously improves its performance.

## Core Values

**Safety** is DOT's highest priority and central to OIG's identity. OIG is committed to conducting effective audits and investigations of DOT's programs and operations to reduce fatalities and injuries across all modes of transportation.

**Accountability** is at the heart of OIG's work. Through independent and fair audits and investigations, OIG seeks to ensure that all DOT agencies are accountable for their results and for the resources the public invests in them.

**Integrity** is OIG's foundation. OIG maintains the highest standards of integrity in its work for the American people, Congress, the Secretary, and senior Department officials, and strives to set the example for objectivity, independence, accuracy, and transparency.

## Strategic Goals

1. Increase the effectiveness of DOT safety programs and deter activity that threatens the safety of the national transportation system.
2. Improve DOT's mechanisms for overseeing transportation investments and deter fraud, waste, and abuse.
3. Strengthen DOT's business operations through improved financial management and the development of a secure and modern information technology infrastructure.
4. Communicate the results of OIG's work to the public, Congress, and the Department.
5. Promote organizational and workforce excellence.

# STRATEGIC GOAL 1

Increase the effectiveness of DOT safety programs and deter activity that threatens the safety of the national transportation system.

## Strategies

1. Make recommendations through audits, evaluations, and other reviews to improve the efficiency and effectiveness of DOT safety programs.
2. Investigate transportation-safety-related crimes where death or serious bodily injury has occurred or is likely to occur.

## Performance Measures

- Development of annual risk-based audit and investigative plans.
- Percentage of ongoing audits initiated that focus on safety-related programs.
- Percentage of safety-related recommendations agreed to by the Department.
- Percentage of safety-related criminal investigations opened.
- Percentage of safety-related cases accepted for civil or criminal action.

# STRATEGIC GOAL 2 Improve DOT's mechanisms for overseeing transportation investments and deter fraud, waste, and abuse.

## Strategies

1. Make recommendations through audits, evaluations, and other reviews to improve the efficiency and effectiveness of DOT's acquisitions and programs for overseeing grantees and contractors.
2. Investigate fraud, waste, and abuse of Federal Programs and funding by DOT employees, grantees, and contractors.

## Performance Measures

- Development of annual risk-based audit and investigative plans.
- Percentage of ongoing audits initiated that focus on the Department's oversight of transportation investments.
- Percentage of transportation-investment-related recommendations agreed to by the Department.
- Percentage of procurement- and grant-fraud criminal investigations opened.
- Percentage of procurement- and grant-fraud cases accepted for civil or criminal action.

## STRATEGIC GOAL 3

Strengthen DOT's business operations through improved financial management and the development of a secure and modern information technology infrastructure.

### Strategy

1. Make recommendations through audits, evaluations, and other reviews to improve the efficiency and effectiveness of DOT financial and information technology policies, procedures, and management practices, and assess the Department's compliance with Federal statutes and vulnerability to information security threats.

### Performance Measures

- Development of an annual risk-based audit plan.
- Percentage of ongoing audits initiated that deal with financial management and information technology.
- Percentage of financial- and information-technology-related recommendations agreed to by the Department.

# STRATEGIC GOAL 4 Communicate the results of OIG's work to the public, Congress, and the Department.

## Strategies

1. Regularly and timely post the results of our audit and investigative work on our public Web site.
2. Regularly and timely communicate the results of our audit and investigative work to Congress and the Department.

## Performance Measures

- Publish audit reports within 3 days of public release and investigative reports on a weekly basis on our Web site.
- Issue Semiannual Reports and Budget Requests to Congress within the required timeframe.
- Provide weekly updates to the Department on upcoming audits and recently completed audit and investigative results.

# STRATEGIC GOAL 5 Promote organizational and workforce excellence.

## Strategies

1. Develop, maintain, update, and implement a Human Capital Plan that encompasses recruiting, developing, mentoring, and motivating a diverse workforce.
2. Provide employees with the tools, training, and time they need to do their jobs.
3. Maintain an environment of open communication, respect for innovative ideas, and understanding of the value of each individual's contribution, where people are able to express disagreements or make complaints without fear of retaliation or reprisal.

## Performance Measures

- Federal Employee Viewpoint Survey Employee Engagement Index.
- Federal Employee Viewpoint Survey New IQ Index.
- Federal Employee Viewpoint Survey Global Satisfaction Index.
- Federal Employee Viewpoint Survey Human Capital Index.

## Risks to OIG's Strategic Plan

A variety of risks potentially stand in the way of OIG's ability to attain its strategic goals. These risks can be categorized broadly into external challenges, such as those largely beyond OIG's control, and internal challenges, such as those over which OIG can exert some influence. Both sets of risks may force OIG to prioritize certain strategic goals and strategies or divert resources to select mission-critical activities.

### External Risk Factors

- **Potential financial challenges** include a reduction in appropriated funds due to unanticipated changes in Federal priorities and unforeseeable events, such as budget cuts and sequestration.
- **Unforeseen accidents and events**, such as the sudden failure of critical infrastructure, may require OIG to shift its priorities and resources.
- **Changing priorities among stakeholders**, including Congress, the Secretary, and senior Department officials, may require OIG to adjust its own priorities and resources accordingly.
- **Increased sophistication of criminals** may impair OIG's ability to identify, investigate, and refer bad actors for prosecution.

### Internal Risk Factors

- **Changes in information technology** affect how OIG collects, analyzes, stores, secures, and communicates data and could require improvements to the information technology systems that support OIG's mission.
- **Human capital** remains a critical factor for OIG as its employees near eligibility for retirement. OIG may find it difficult to fill open positions with high-quality candidates—particularly those with such in-demand, specialized skills as forensic data analysis—in a timely manner and also provide for an orderly succession.
- **Efficient collaboration** is challenging for an organization with two distinct operating divisions—audits and investigations—that also must interact with the diverse Operating Agencies of DOT.
- **Employee integrity** is reliant upon the staff's honesty and diligence and the accurate completion of self-disclosure systems, such as certificates of independence and financial disclosure reports.

## Monitoring Progress

To monitor its progress toward achieving its strategic goals and ensure that OIG maintains its standards for excellence, OIG will:

- Prepare and publish on our Web site an annual organizational assessment to compare current performance to goals and past performance.
- Review the results of the triennial peer reviews of the audit and investigative functions, and develop and implement action plans to mitigate any identified deficiencies.
- Maintain a rigorous internal quality assurance and improvement program, and ensure that each OIG unit develops and implements an action plan to mitigate any identified deficiencies.
- Complete a comprehensive workforce assessment, and develop and implement an action plan to address any identified opportunities for improvement.
- Monitor employee engagement and satisfaction through the results of the annual Federal Employees' Viewpoint Survey and, as appropriate, other surveys of OIG staff.

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