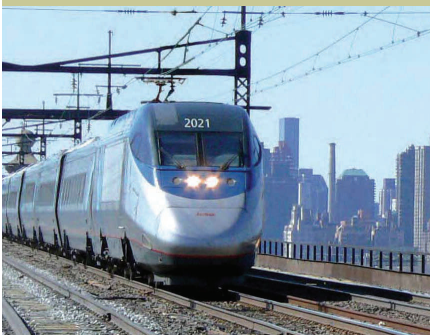




FISCAL YEARS 2012 THROUGH 2016

# STRATEGIC PLAN



1200 New Jersey Ave. S.E.  
7th Floor  
Washington, DC 20590  
Phone: 202.366.1959  
[www.oig.dot.gov](http://www.oig.dot.gov)



## From the Inspector General

Since Congress established the Office of Inspector General (OIG) in 1978, we have been dedicated to providing independent and objective reviews of the efficiency and effectiveness of the Department of Transportation's (DOT) programs and operations and to detecting and preventing fraud, waste, and abuse. Our 5-year strategic plan describes the goals, strategies, and performance measures for achieving this mission.

Throughout our history, OIG audits and investigations have identified vulnerabilities to DOT programs and operations, and capitalized on new and improved approaches for addressing them. Our recent audits and investigations have identified deficiencies and made recommendations for corrective actions to improve airline, rail, transit, infrastructure, and vehicle safety; contract and financial oversight; and information security.

Identifying, preventing, and responding to new and evolving vulnerabilities and challenges requires a highly skilled and diverse workforce, and OIG will continue to focus on enhancing and expanding the skills and expertise of our staff so we can effectively address the challenges that lie ahead.

To ensure our 5-year plan remains relevant and actionable, OIG will continue to consult with the Department, the Congress, and other stakeholders; assess the impact of our work; and maximize our resources. I look forward to continuing to work with you in meeting our goals and fulfilling our mission.

I want to thank our dedicated OIG staff for embracing this strategic planning process and for their tireless efforts on behalf of American taxpayers.



OFFICE OF INSPECTOR GENERAL  
**STRATEGIC PLAN**  
FISCAL YEARS 2012 THROUGH 2016

### **Statutory Responsibilities**

The Inspector General Act of 1978, as amended, requires OIG 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 the Secretary and Congress fully and currently informed.

### **Our Mission**

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

### **Our Vision**

The Office of Inspector General will build on our long-standing record as a highly respected contributor to the Department's mission. Our unique role as the Department's sole in-house source for objective examination of its programs and their integrity, along with our core values and audit and investigative expertise, will ensure we remain highly responsive to the needs of the Congress, the Secretary, and the American people. We will be proactive in selecting our work and versatile in integrating our capabilities. In a complex and evolving transportation environment, we will excel in identifying opportunities for improvements in operations and programs and in relentlessly protecting programs from fraud, waste, abuse, and violations of law.

### **Our Core Values**

**Integrity**— We set high standards for ourselves. We take a professional, fair, nonpartisan, and nonideological approach to all of 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 traveling public and ensure the work is completed in a timely manner.



OFFICE OF INSPECTOR GENERAL  
**STRATEGIC PLAN**  
FISCAL YEARS 2012 THROUGH 2016

## **Goals, Strategies, and Performance Measures**

### **GOAL 1**

Improve the effectiveness of DOT programs to better ensure public safety, protect Federal taxpayer investments, and promote livability.

### **GOAL 2**

Increase the effectiveness of DOT's mechanisms for providing oversight of Federal transportation infrastructure and other transportation-related investments, and assess the adequacy of funding sources.

### **GOAL 3**

Strengthen DOT's business operations through improved financial management, information technology, and contracting and procurement practices.

### **GOAL 4**

Protect the integrity of DOT's programs and operations from fraud, waste, abuse, and violations of transportation-related offenses.

### **GOAL 5**

Promote organization and workforce excellence.



OFFICE OF INSPECTOR GENERAL  
**STRATEGIC PLAN**  
FISCAL YEARS 2012 THROUGH 2016

### **Strategies for Goals 1 Through 4**

To achieve goals 1 through 4, OIG will:

- Conduct audits, investigations, and other reviews of DOT programs and operations to proactively identify deficiencies; assess internal controls; examine allegations of fraud, waste, and abuse; provide technical assistance to key stakeholders; evaluate program results and highlight best practices; and make recommendations for improving effectiveness.
- Provide timely and relevant reports, testimonies, briefings, and other products on our work to assist Congress and the Department in their oversight roles.
- Target OIG audit and investigative resources on issues that (1) have the greatest impact and usefulness to stakeholders—with a focus on promoting economy, effectiveness and efficiency of programs and operations, recovering misused taxpayer dollars, and deterring fraud, waste, and abuse—and (2) are of significant importance to Congress, the Department, and the American public.
- Use criminal and civil law enforcement authorities to complement the Department's regulatory authorities for public safety.
- Conduct outreach to the Department, Congress, and other external entities to increase awareness of OIG's role and the impact of its audit and investigative work at the Federal, State, and local levels.

### **Performance Measures for Goals 1 Through 4**

OIG will measure its performance under each of these goals by tracking:

- Percentage of financial and nonfinancial recommendations the Department agrees to take action on.
- Percentage of stakeholder-requested and mandated audit products that are issued by the agreed upon deadline.
- Briefings, presentations, and speeches delivered to congressional staff and other key external stakeholder groups on audit and investigative work.
- Percentage of investigations opened in high priority areas.
- Percentage of investigations that resulted in a referral for action to criminal or civil prosecutors or DOT Operating Administrations.
- Percentage of investigations that resulted in a positive outcome.



OFFICE OF INSPECTOR GENERAL  
**STRATEGIC PLAN**  
FISCAL YEARS 2012 THROUGH 2016

### **Strategies for Goal 5**

To achieve goal 5, OIG will:

- Hire, develop, and retain a diverse workforce with the skills needed to meet current and emerging requirements and achieve our mission.
- Enhance the effectiveness and efficiency of operations by providing employees with the resources and a quality environment necessary to accomplish OIG goals.
- Maintain an environment of open communication, respect for ideas, and understanding of the value of each individual's contribution.
- Support OIG integrity by maintaining an effective quality assurance program.
- Promote individual accountability by establishing clear expectations, providing ongoing feedback, and conducting objective performance assessments that are grounded in performance standards.

### **Performance Measures for Goal 5**

OIG will measure its performance under this goal by tracking:

- Percent of staff completing training requirements.
- Percent of staff receiving mid-year and annual assessment feedback within established timeframes.
- Retention rates.
- Maintain or increase satisfaction scores through internal or government-wide surveys.
- Established timeliness, productivity, and other effectiveness metrics for operational units, legal assistance, communication outreach, and the quality assurance program.



OFFICE OF INSPECTOR GENERAL  
**STRATEGIC PLAN**  
FISCAL YEARS 2012 THROUGH 2016

## **OIG Areas of Responsibility**

**The Office of the Principal Assistant Inspector General for Auditing and Evaluation** supervises and conducts all audit activities related to DOT programs and operations through its five suboffices, which are divided according to specific DOT program areas: Aviation and Special Programs; Highway and Transit; Rail, Maritime, and Economic Analysis; Financial and Information Technology; and Acquisition and Procurement. Audit staff are located in key locations across the country.

**The Office of the Principal Assistant Inspector General for Investigations** supervises and conducts OIG investigative activities related to DOT programs and operations through its headquarters and seven major regional offices. The headquarters office conducts nationwide special investigations and analysis as well as manages the OIG Hotline Complaint Center and activities generated by complaints.

**The Office of the Assistant Inspector General for Administration** provides a full range of administrative services including human resources, training, information technology, financial management, and acquisitions and procurements.

**The Office of the Assistant Inspector General for Legal, Legislative, and External Affairs** provides a full-range of professional legal services and advice, facilitates communications with Congress, and manages public and external affairs.



## Inspector General

### Deputy Inspector General

Chief of Staff

Quality Assurance Reviews and Internal Affairs

Communications Officer

#### Principal Assistant Inspector General for Auditing & Evaluation

Audit Planning, Policy, and Technical Support

#### Assistant IG for Aviation and Special Program Audits

Deputy Assistant IG for Aviation and Special Program Audits

Atlanta, GA  
San Francisco, CA  
Seattle, WA

#### Assistant IG for Financial and Information Technology Audits

Baltimore, MD  
Oklahoma City, OK

#### Assistant IG for Highway and Transit Audits

Deputy Assistant IG for Highway and Transit Audits

Cambridge, MA  
New York, NY  
Fort Worth, TX

#### Assistant IG for Rail, Maritime, and Economic Analysis

#### Assistant IG for Acquisition and Procurement Audits

#### Principal Assistant Inspector General for Investigations

Deputy Assistant IG for Investigations

Headquarters Operations  
Washington, DC

Special Investigations  
Washington, DC

Regional Investigations  
Cambridge MA  
Meriden, CT

Regional Investigations  
New York, NY  
Atlantic City, NJ  
King of Prussia, PA

Regional Investigations  
Washington, DC  
Portsmouth, VA

Regional Investigations  
Sunrise, FL  
Atlanta, GA  
Jacksonville, FL  
New Orleans, LA

Regional Investigations  
Chicago, IL

Regional Investigations  
Fort Worth, TX  
Lakewood, CO

Regional Investigations  
San Francisco, CA  
Cerritos, CA  
Seattle, WA

#### Assistant Inspector General for Administration

Office of Procurement and Administrative Services

Human Resources  
Development Center

Office of Human Resources

Office of Budget and Financial  
Management

Office of Information  
Technology Services

#### Assistant Inspector General for Legal, Legislative & External Affairs

Office of the Chief Counsel

Office of Congressional and  
External Affairs

#### OIG Fraud Hotline

1200 New Jersey Ave SE  
West Bldg, 7th Floor  
Washington, DC 20590  
Phone: 800.424.9071

Email: [hotline@oig.dot.gov](mailto:hotline@oig.dot.gov)

Web: [OIG Hotline Form](#)

#### DOT Contractor FAR Disclosure

1200 New Jersey Ave SE  
West Bldg, 7th Floor  
Washington, DC 20590  
Phone: 800.424.9071

Email: [hotline@oig.dot.gov](mailto:hotline@oig.dot.gov)

Web: [OIG Hotline Form](#)

#### Freedom of Information Act Officer

1200 New Jersey Ave SE  
West Bldg, 7th Floor  
Washington, DC 20590  
Phone: 202.366.8751

Fax: 202.366.1975

Web: [OIG FOIA web site](#)