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Introduction



U.S. Department of Transportation Office of Inspector General

Presented below is the Fiscal Year 2022–2026 Strategic Plan for the U.S. Department of Transportation (DOT) Office of the Inspector General (OIG). This Strategic Plan describes how, over the next 5 years, OIG will continue to enhance the safety and performance of the national transportation system and DOT’s programs.

Established by Congress in 1979, OIG is dedicated to providing independent and objective reviews of DOT’s programs and operations. 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 fraud, waste, and abuse;
- refer criminal violations to the U.S. Attorney General for prosecution;
- review pending legislation and regulations; and
- keep the Secretary and Congress fully and currently informed.

Accomplished through the expertise of approximately 400 committed public servants, our work results in recommendations for improvement to DOT's business practices, the prosecution of criminals, and the return of tax dollars to the U.S. Treasury. During the 2017–2021 period covered by our last Strategic Plan, OIG investigations resulted in 318 convictions in cases ranging from safety violations to bribery. Over the same timeframe, our audits identified significant improvements in transportation safety and the Department's oversight of transportation investments, business operations, and cybersecurity needs. On average, OIG returned over \$28 to the Treasury for every \$1 Congress appropriated to support our activities and oversaw approximately \$85 billion in annual DOT expenditures.

As we undertook the work to develop this Strategic Plan, the Coronavirus 2019 (COVID-19) global pandemic underscored the importance of maintaining OIG's ability to respond flexibly to emerging priorities. This plan establishes the strategies we will pursue to sustain the high quality of OIG's work and the high performance of OIG's people while responding to challenges with resilience. It also describes the performance measures and mechanisms we will use to hold ourselves accountable for delivering results on behalf of the American public.

Overall, this update to OIG's Strategic Plan reaffirms OIG's commitment to continuous improvement. The plan will be a touchstone for OIG's decision-making processes and focus ongoing discussions regarding performance enhancement. Important among these conversations will be choices about how we allocate our resources to achieve our mission, advance our core technical capabilities, and foster workforce excellence.

Mission, Vision, & Core Values

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 and greater integrity, transparency, and performance within DOT programs.

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. OIG strives to provide its employees with physical and psychological safety, opportunities for growth, and recognition for their outstanding contributions and achievements.



Strategic Goals at a Glance

1. Promote transportation safety.
2. Improve DOT's infrastructure and transportation investments.
3. Enhance DOT's business operations.
4. Maintain OIG's position as a leader.
5. Advance OIG's workforce excellence.



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.
- Percentage of safety-related recommendations closed and implemented by the Department.
- Development of annual risk-based investigative and audit plans that include a focus 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.
- Percentage of transportation-investment-related recommendations closed and implemented by the Department.
- Development of annual risk-based investigative and audit plans that include a focus 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.
- Percentage of financial, procurement, and information technology recommendations closed and implemented by the Department.
- Development of annual risk-based investigative and audit plans that include a focus on DOT 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.
- Timeliness of critical communications to the Department and Congress.

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.
- Promote employee well-being 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.
- Federal Employee Viewpoint Survey and OIG internal survey results.

Risks to OIG's Strategic Plan

Like all organizations, OIG faces risks to the successful execution of its strategic goals and objectives. OIG must remain agile and resilient in the face of uncertainty, such as dynamic transportation sector conditions, new technological developments, changing public policy priorities, and unforeseen nationwide or global events. For example, the COVID-19 pandemic presented widespread, complex challenges that impacted nearly every aspect of OIG's work. To improve our ability to address uncertainty, we implemented an Enterprise Risk Management Program. We also categorized the risks to OIG's Strategic Plan in four groups:

1. Strategic Risks

Strategic Risks affect OIG's ability to meet its strategic goals and objectives.

Human Resources

OIG must establish timely, objective, and consistent employment practices.

Financial Resources

OIG must conduct long-term planning for initiatives despite the difficulty in predicting funding amounts and timing.

2. Operational Risks

Operational Risks affect OIG's efficient and effective use of resources.

Information Technology

OIG must keep up with rapidly evolving information technology to ensure it has the capabilities to meet its mission. To effectively respond to cyberattacks, OIG must also maintain strong information security controls.

Fraud

OIG must detect and address internal and external fraud to protect public resources.

Collaboration

OIG must receive timely, complete, and accurate information from the Department to ensure the integrity and effectiveness of OIG's audits and investigations. OIG must also share information internally to more efficiently allocate resources and enhance the benefits of its oversight.

Risks to OIG's Strategic Plan Continued

3. Stakeholder Communication Risks

Stakeholder Communication Risks affect OIG's reporting activities.

Credibility

OIG must coordinate its interactions with the Department, Congress, and the public to maintain the organization's reputation.

Interagency Referrals

OIG relies on other agencies to make criminal referrals and investigate hotline referrals to detect fraud, waste, and abuse.

4. Compliance Risks

Compliance Risks affect OIG's compliance with applicable laws and regulations.

Records Management

OIG must implement policies and procedures consistently to reduce the risk of information loss, unintentional release of sensitive data, and inability to meet Freedom of Information Act requests.

Internal Controls

OIG must adhere to professional standards, policies, and procedures to conduct high-quality investigations and audit reports.

How OIG Will Monitor Progress

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

- Prepare and publish an annual organizational assessment that compares current performance to goals and past performance.
- Conduct quarterly reviews of performance measures, and adjust priorities and strategies, as appropriate.
- Review the results of 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 each OIG unit develops and implements an action plan to mitigate any identified deficiencies.
- Maintain regular and open communication with the Department, Congress, and the public to receive feedback on the quality and impact of our work.
- Continue to develop OIG's Enterprise Risk Management Program, which includes monitoring risks and assessing the effectiveness of the organization's response to those risks.
- Monitor employee engagement and satisfaction through the annual Federal Employee Viewpoint Survey, OIG's internal survey, and other methods, as appropriate.



U.S. Department of Transportation
Office of Inspector General

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