

Subject: DEPARTMENT OF TRANSPORTATION ORGANIZATION MANUAL, OFFICE OF INSPECTOR GENERAL

1. PURPOSE. This order contains the Office of Inspector General (OIG) organization manual, which provides OIG's organizational structure and clear definitions of missions, functions, and assignments of responsibility. This order was updated to reflect additional statutory authorities and organizational realignments.
2. CANCELLATIONS. DOT 1101.15, Department of Transportation Organization Manual, Office of Inspector General, dated 6-16-94.
3. BACKGROUND. OIG was created by the Inspector General Act of 1978, Pub. L. 95-452, Oct. 12, 1978, 92 Stat. 1101 (5 U.S.C. App., as amended). OIG was formally established within the Department of Transportation (DOT) by a Determination Order signed by the Secretary on February 25, 1979.
4. REFERENCES.
  - a. Inspector General Act of 1978, 5 U.S.C. App., as amended
  - b. 49 U.S.C. § 354, Investigative Authority of Inspector General
  - c. 5 U.S.C. § 3109, Employment of Experts and Consultants
  - d. 5 U.S.C. § 5376, Pay for Certain Senior-level Positions
  - e. 5 U.S.C. § 552, Freedom of Information Act
  - f. 5 U.S.C. § 552a, Privacy Act of 1974, as amended
  - g. Consolidated Appropriations Act of 2022, Pub. L. 117-103, Div. L, § 415(a)<sup>1</sup>
  - h. 49 C.F.R. § 1.74, Delegations to the Inspector General

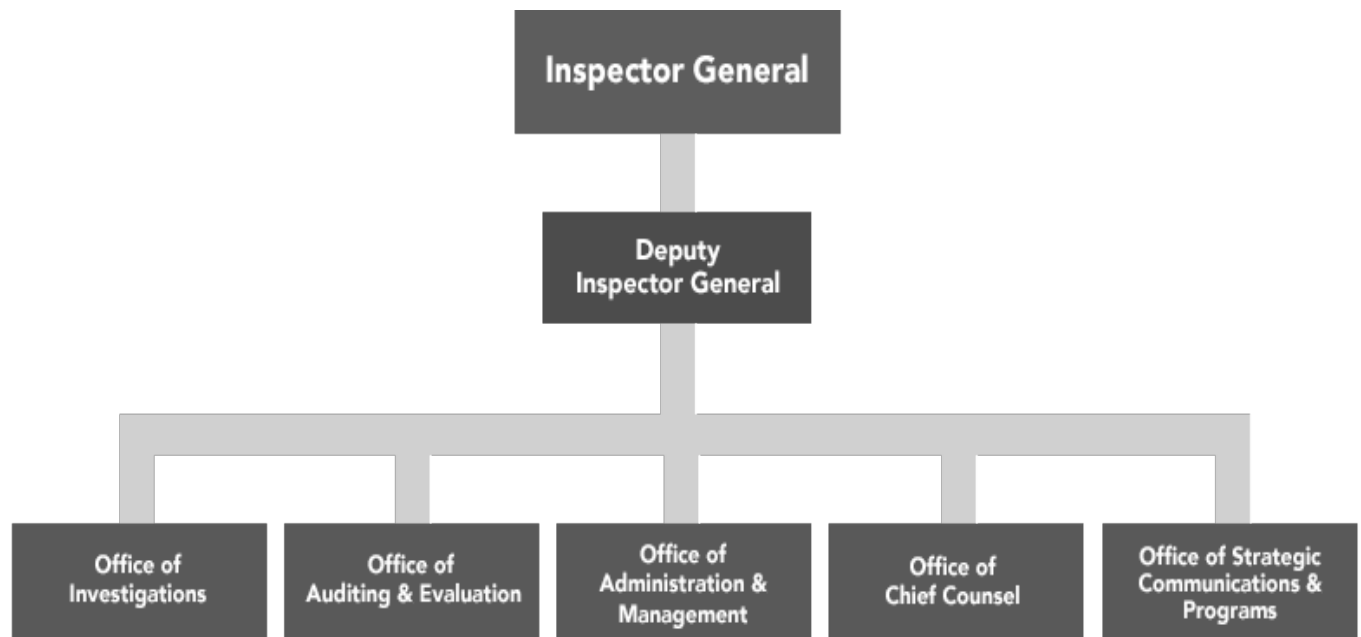
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<sup>1</sup> Section 415(a) provides that "[n]one of the funds made available in this Act may be used to deny an Inspector General funded under this Act timely access to any records, documents, or other materials available to the department or agency over which that Inspector General has responsibilities under the Inspector General Act of 1978 (5 U.S.C. App.), or to prevent or impede that Inspector General's access to such records, documents, or other materials, under any provision of law, except a provision of law that expressly refers to the Inspector General and expressly limits the Inspector General's right of access."

## 5. EXPLANATION OF CHANGES.

- a. Amend the description of Inspector General authority consistent with the following statutory enactments:
    1. Motor Carrier Safety Improvement Act of 1999, § 228, Pub. L. 106-159, Dec. 9, 1999, 113 Stat. 1758, codified at 49 U.S.C. § 354 by National Transportation Safety Board Reauthorization Act of 2003, Pub. L. 108-168, § 8(a), (b)(1), Dec. 6, 2003, 117 Stat. 2034.
    2. The Inspector General Reform Act of 2008, Pub. L. 110-409, Oct. 14, 2008, 122 Stat. 4302.
    3. The Inspector General Empowerment Act of 2016, Pub. L. 114-317, Dec. 16, 2016, 130 Stat. 1595-1606.
  - b. Create the Office of Chief Counsel.
  - c. Create the Office of Strategic Communications and Programs.
  - d. Remove the Assistant Inspector General for Inspections and Evaluations position, and reassign functions and duties to the Office of Auditing and Evaluation, Office of Investigations, Office of Administration and Management, and Office of Strategic Communications and Programs.
  - e. Rename the Directorate of Administration to the Office of Administration and Management, and modify functions of the Office of Administration and Management.
  - f. Rename the Assistant Inspector General for Auditing to Principal Assistant Inspector for Auditing and Evaluation, and modify functions of the Office of Auditing and Evaluation.
  - g. Rename the Assistant Inspector General for Investigations to Principal Assistant Inspector General for Investigations, and modify functions of the Office of Investigations.
6. MISSION. OIG promotes the efficiency and effectiveness of DOT programs and operations, and strives to detect and prevent waste, fraud, mismanagement, and abuse. OIG conducts objective audits and investigations on behalf of the American public to improve the performance and integrity of DOT's programs and help ensure a safe, efficient, and effective national transportation system. The Inspector General is under the general supervision of the Secretary and Deputy Secretary, and reports to Congress in accordance with the Inspector General Act of 1978 (IG Act), as amended, 5 U.S.C. App.
7. AUTHORITY. OIG's structure, mission, functions, and assignments of responsibility are authorized pursuant to the Inspector General Act of 1978, 5 U.S.C. App., as amended; 49 U.S.C. § 354; annual appropriations acts; and other statutory authority generally applicable to Inspectors General.

## 8. ORGANIZATION.



### a. Inspector General

- 1) Functions. As provided in the IG Act, laws generally applicable to Inspectors General, and laws specifically applicable to the Inspector General of the Department of Transportation (IG), the primary responsibilities of the IG include:
  - a) Providing policy direction for and conducting, supervising, and coordinating audits, investigations, and other reviews relating to the programs and operation of the Department.
  - b) Appointing an Assistant Inspector General for Auditing (herein referred to as the Principal Inspector General for Auditing and Evaluation) and an Assistant Inspector General for Investigations (herein referred to as the Principal Assistant Inspector General for Investigations), and designating a Whistleblower Protection Coordinator.
  - c) Reviewing existing and proposed legislation and regulations relating to DOT's programs and operations and making recommendations in semiannual reports to Congress concerning the impact of such legislation and regulations on the economy and efficiency in the administration of programs and operations administered or financed by DOT and the prevention and detection of fraud and abuse in such programs and operations.
  - d) Recommending policies for and conducting, supervising, or coordinating other activities carried out or financed by DOT for the purpose of promoting economy

and efficiency in the administration of, and preventing and detecting fraud and abuse in, its programs and operations.

- e) Recommending policies for and conducting, supervising, or coordinating relationships between the Department and other Federal agencies, State and local government agencies, and nongovernmental entities with respect to all matters relating to the promotion of economy and efficiency in the administration of, and the prevention and detection of fraud and abuse in, programs and operations administered or financed by the Department, or the identification and prosecution of participants in such fraud and abuse.
- f) Keeping the Secretary and Congress fully and currently informed, by means of the reports required by Section 5 of the IG Act and otherwise, concerning fraud and other serious problems, abuses, and deficiencies relating to the administration of programs and operations administered or financed by the Department; recommending corrective action concerning such problems, abuses, and deficiencies; and reporting on the progress made in implementing such corrective action.
- g) Complying with standards established by the Comptroller General of the United States for audits of Federal establishments, organizations, programs, activities, and functions; establishing guidelines for determining when it shall be appropriate to use non-Federal auditors; and taking appropriate steps to ensure that any work performed by non-Federal auditors complies with the standards established by the Comptroller General.
- h) Giving particular regard to the activities of the Comptroller General of the United States with a view toward avoiding duplication and ensuring effective coordination and cooperation.
- i) Reporting expeditiously to the Attorney General whenever the IG has reasonable grounds to believe there has been a violation of Federal criminal law.
- j) Reporting immediately to the Secretary whenever the IG becomes aware of particularly serious or flagrant problems, abuses, or deficiencies relating to the Department's administration of programs and operations. It is the Secretary's obligation under the IG Act to transmit any such report to the appropriate committees or subcommittees of Congress within 7 calendar days, together with a report by the Secretary containing any comments deemed appropriate.
- k) Cooperating with appropriate departmental elements and participating fully in the development of an equal employment opportunity affirmative action plan and efforts regarding staffing, motivation, and training to develop all OIG employees.

2) Authority. In carrying out the responsibilities described above, the IG Act authorizes the IG:

- a) To make such investigations and reports relating to the administration of the programs and operations of the Department as are, in the judgment of the IG, necessary or desirable, and to conduct investigations of any person or entity subject to the laws of the Department or its operating administrations, regardless of whether they are recipients of funds from the Department or its operating administrations.
- b) To receive and investigate complaints or information concerning the possible existence of an activity constituting a violation of law, rules, or regulations; mismanagement; waste of funds; abuse of authority; or a substantial and specific danger to the public health and safety.
- c) To have timely access to all records, reports, audits, reviews, documents, papers, recommendations, or other materials available to the Department that relate to programs and operations with respect to the IG's responsibilities under the IG Act. This right to access is notwithstanding any other provision of law, except pursuant to any provision of law enacted by Congress that expressly refers to the IG and limits the IG's right of access (subject to additional restrictions on grand jury materials protected from disclosure pursuant to rule 6(e) of the Federal Rules of Criminal Procedure).<sup>2</sup>
- d) To request such information or assistance as may be necessary for carrying out the duties and responsibilities provided by the IG Act from any Federal, State, or local government agency or unit thereof.
- e) To report to the Secretary without delay, and subsequently in the semiannual report, when, in the IG's judgment, access to information or assistance requested of the Department is unreasonably refused or not provided.
- f) To require by subpoena the production of all information, documents, reports, answers, records, accounts, papers, and other data and documentary evidence necessary in the performance of the functions assigned by the IG Act, which subpoena, in the case of contumacy or refusal to obey, shall be enforceable by order of any appropriate United States District Court, provided that the IG shall use procedures other than subpoenas to obtain documents and information from Federal agencies.

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<sup>2</sup> In addition to the IG Act, under annual appropriations acts, "None of the funds made available [to the Department] may be used to deny an Inspector General funded under this Act timely access to any records, documents, or other materials available to the department or agency over which that Inspector General has responsibilities under the Inspector General Act of 1978 (5 U.S.C. App.), or to prevent or impede that Inspector General's access to such records, documents, or other materials, under any provision of law, except a provision of law that expressly refers to the Inspector General and expressly limits the Inspector General's right of access." Consolidated Appropriations Act of 2022, Pub. L. 117-103, Div. L, § 415(a).

- g) To have direct and prompt access to the Secretary when necessary for any purpose pertaining to the performance of functions and responsibilities under the IG Act.
- h) To obtain services as authorized by 5 U.S.C. § 3109, at daily rates not to exceed the equivalent rate prescribed for certain senior-level positions by 5 U.S.C. § 5376.
- i) To select, appoint, and employ such officers and employees as may be necessary or required for carrying out the functions, powers, and duties of the office.
- j) To the extent and in such amounts as may be provided in advance by appropriations acts, to enter into contracts and other arrangements for audits, studies, analyses, and other services with public agencies and with private persons, and to make such payments as may be necessary to carry out the provisions of the IG Act.

These authorities are delegable unless expressly non-delegable by law.

b. Deputy Inspector General

- 1) Functions. The Deputy Inspector General (Deputy IG) provides executive advice and support to the IG. As part of this duty, the Deputy IG has primary responsibility for:
  - a) Assisting the IG in the discharge of his/her responsibilities with authority to act for him/her in all matters not reserved to the IG.
  - b) Advising the IG on policy direction and decisions affecting OIG and its workforce.
  - c) Serving as a representative of the IG at meetings and events. Explaining OIG's goals and objectives to these organizations and bringing issues and recommendations to the attention of the IG for possible inclusion in OIG's plans and operations.
  - d) Overseeing independent quality assurance reviews of OIG operations to identify areas for improvement and ensure that OIG staff perform their duties in accordance with Agency policies and applicable auditing, investigative, and other standards.
  - e) Supervising the Chief Counsel, the Assistant Inspector General for Strategic Communications and Programs, the Assistant Inspector General for Administration and Management, the Principal Assistant Inspector General for Auditing and Evaluation, and the Principal Assistant Inspector General for Investigations.

c. Office of Chief Counsel

- 1) Functions. The Chief Counsel provides independent legal counsel and support to the IG. As part of this duty, the Chief Counsel has primary responsibility for:
  - a) Providing general legal support on a wide range of complex and time-sensitive projects and analyses as assigned, including reviews of departmental programs and operations.
  - b) Managing OIG's employee ethics and financial disclosure programs.
  - c) Making requested records available for inspection and copying, unless exempt under the Freedom of Information Act (FOIA) and/or the Privacy Act, and adjudicating all FOIA appeals, including determination of whether to grant waivers of fees or expedited processing and adjudication of appeals from denials of waiver of fees and expedited processing.
  - d) Administering 49 C.F.R. part 9 (Testimony of Employees of the Department and Production of Records in Legal Proceedings) in connection with OIG records and testimony of current and former OIG employees.
  - e) Compromising, suspending collection action on, or terminating claims of the United States not exceeding \$100,000 (excluding interest) that are referred to or arise out of OIG activities, as permitted by 49 C.F.R. § 1.74(l).
  - f) Compromising, suspending collection on, or terminating tort claims against the United States not exceeding \$100,000 (excluding interest) involving OIG, as permitted by 49 C.F.R. § 1.74(m).
  - g) After concurrence of the Department's General Counsel, requesting the Attorney General of the U. S. Department of Justice (DOJ) to approve the award, compromise, or settlement of any tort claim involving OIG for an amount exceeding \$100,000 (excluding interest), as permitted by 49 C.F.R. § 1.74(m).

d. Office of Investigations

- 1) Functions. The Principal Assistant Inspector General for Investigations (PAIGI) supervises and directs investigative and fraud prevention and detection activities relating to programs and operations of the Department. As part of this duty, the PAIGI has primary responsibility for:
  - a) Developing and implementing investigative priorities, policies, and plans consistent with the overall guidance of the IG.

- b) Managing and administering a system in which complaints concerning fraud, waste, or abuse can be received, processed, reviewed, referred, assigned, investigated, or acted upon, as appropriate.
- c) Coordinating with DOJ and other Federal, State, and local government entities, in conjunction with the Chief Counsel, on investigative matters.
- d) Participating in joint efforts with the Office of Auditing and Evaluation.
- e) Monitoring administrative action taken by departmental management in response to investigative reports.
- f) Managing all aspects of the law enforcement training program and ensuring implementation of and compliance with applicable investigation standards, procedures, and guidelines.

e. Office of Auditing and Evaluation

- 1) Functions. The Principal Assistant Inspector General for Auditing and Evaluation (PAIGAE) plans, supervises, and conducts the performance of audits and reviews relating to programs and operations within the Department. In performance of this duty, the PAIGAE has primary responsibility for:
  - a) Proposing, directing the performance of, and issuing quality reports in a timely manner of all audits relating to the programs, operation, and administrative functions of the Department consistent with the overall guidance of the IG and in accordance with Government auditing standards prescribed by the Government Accountability Office.
  - b) Preparing periodic audit plans in accordance with priorities and resources based on an awareness of overall Department programs and resources, prior audits and reviews, and internal or external requests or referrals.
  - c) Managing all aspects of the auditor training program and ensuring implementation of and compliance with applicable auditing standards, procedures, and guidelines.
  - d) Initiating action to resolve audit findings and recommendations, and following up on corrective actions taken by the Department.
  - e) Establishing guidelines for determining when it shall be appropriate to use non-Federal auditors, and coordinating the procurement and oversight of the services of non-Federal auditors.



f. Office of Administration and Management

- 1) Functions. The Assistant Inspector General for Administration and Management (AIGM) oversees all aspects of OIG's procurement, asset management, real estate portfolio, human resources, information technology (IT), and training and development. In performance of this duty, the AIGM has primary responsibility for:
  - a) Implementing and overseeing acquisition and procurement policies consistent with the overall guidance of the IG and in accordance with Government-wide policy, including entering into contracts and other arrangements for audits, studies, analyses, and other services with public agencies and with private persons, and to make such payments as may be necessary.
  - b) Overseeing administrative services and programs consistent with 49 C.F.R. § 1.74 and Government-wide policies, including OIG's transit benefit, purchase card, travel card, and fleet vehicle programs, and processing and distributing credentials to OIG personnel (except Office of Investigations staff).
  - c) Overseeing all aspects of facilities and asset management, consistent with OIG independence and 49 C.F.R. § 1.74, including employing qualified staff to serve as subject matter experts in the area of space management, design, construction, systems integration, and logistics, and maintaining control over OIG's high value assets, real estate portfolio, property inventory, and consolidated office supplies.
  - d) Overseeing all aspects of OIG's IT program including IT governance, policies, investment management, enterprise architecture, and IT risk management; IT supply chain risk management; cybersecurity and privacy risk management; information collection and the Paperwork Reduction Act; infrastructure, including use, operations, and availability of IT resources and end-user services; system administration; enterprise application systems; remote access services; systems and application development; data management; and IT systems' compliance with applicable policies and procedures. This shall be done in coordination with the Departmental Office of the Chief Information Officer when consistent with OIG independence.
  - e) Developing and implementing records management and Privacy Act programs and policies consistent with OIG independence, 49 C.F.R. § 1.74(p), and Government-wide and Departmental policies.
  - f) Developing, maintaining, updating, and implementing a Human Capital Plan that encompasses recruiting, training, developing, mentoring, and motivating a diverse workforce, including factoring diversity and appointing and employing officers and employees pursuant to Title 5 of the United States Code and Office of Personnel Management (OPM) guidance.

- g) Developing and implementing policies, programs, and services to provide a broad range of human resource services, such as career management, employee relations, benefits and compensation, performance management, awards programs, telework and leave administration, workers compensation, succession planning, and dispute resolution, consistent with Government regulations, OPM guidance, and Agency policies.
- h) Obtaining services of temporary or intermittent experts and consultants in accordance with 5 U.S.C. § 3109, and § 6(a)(8) of the IG Act.

g. Office of Strategic Communications and Programs

- 1) Functions. The Assistant Inspector General for Strategic Communications and Programs (AIGSCP) plans, supervises, and implements OIG's strategic communications and mission support. In performance of these duties, the AIGSCP has primary responsibility for:
  - a) Consolidating strategic planning efforts leading to the organization's Five-Year Strategic Plan.
  - b) Overseeing all aspects of budget preparation, justification, execution, reconciliation, and reporting, as well as financial reporting and reconciliation, accounting, and internal controls.
  - c) Reviewing and coordinating OIG's responses to circulations of proposed legislation and DOT directives.
  - d) Overseeing all aspects of congressional and intergovernmental affairs and media relations for OIG, including matters pertaining to congressional briefing inquiries, requests for legislative drafting assistance, testimony preparation, and managing OIG's public website and social media.
  - e) Serving as liaison to the Council of the Inspectors General for Integrity and Efficiency (CIGIE) and the Department's Office of Governmental Affairs and Office of Public Affairs.
  - f) Facilitating learning and development opportunities to cultivate an OIG workplace culture that promotes civility, diversity, and inclusion and coordinating OIG's actions to address requirements in these areas; dedicating staff to help develop and implement OIG's equal employment opportunity (EEO), complete self-assessments, and submit EEO-related reports and data calls to the Departmental Office of Civil Rights.
  - g) Directing the communications support—to include writing, editing, and visual design services—for OIG products, including but not limited to, audit reports, investigative summaries, congressional testimony, semiannual reports,

organizational assessments, communications to the Secretary, and communications with other stakeholders.

A handwritten signature in black ink, appearing to read "Eric J. Soskin". The signature is fluid and cursive, with the first name "Eric" and last name "Soskin" clearly distinguishable.

**Eric J. Soskin**  
**Inspector General**