

**REPORT ON THE QUALITY ASSESSMENT REVIEW
OF THE INVESTIGATIVE OPERATION OF THE
OFFICE OF INSPECTOR GENERAL
U.S. DEPARTMENT OF TRANSPORTATION**

***Conducted at 1200 New Jersey Avenue, SE, Seventh Floor
Washington, DC 20590***

by

***US Department of the Treasury, Office of Inspector General
1425 New York Avenue, NW, Washington, DC 20220***

August 2012

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DEPARTMENT OF THE TREASURY
WASHINGTON, D.C. 20220

OFFICE OF
INSPECTOR GENERAL

August 30, 2012

Calvin L. Scovel III
Inspector General
U.S. Department of Transportation
1200 New Jersey Ave. S.E.
7th Floor
Washington, DC 20590

Subject: Report on the Quality Assessment Review of the Investigative Operations of the Office of Inspector General for the U.S. Department of Transportation

Dear Mr. Scovel,

We have reviewed the system of internal safeguards and management procedures for the investigative function of the Office of Inspector General (OIG) for the Department of Transportation in effect for the period ending August 2012. Our review was conducted in conformity with the Quality Standards for Investigations, the Quality Assessment Review guidelines established by the Council of the Inspectors General on Integrity and Efficiency (CIGIE), and the *Attorney General's Guidelines for Office of Inspectors General with Statutory Law Enforcement Authority*, as applicable.

We reviewed compliance with the Transportation OIG's system of internal policies and procedures to the extent we considered appropriate. The review was conducted at your offices in Washington, D.C. and New York City. Additionally, we sampled 40 case files for investigations closed during Fiscal Year 2011.

In performing our review, we have given consideration to the prerequisites of Section 6(e) of the Inspector General Act of 1978 (as amended) and Section 812 of the Homeland Security Act of 2002 (Pub.L. 107-296). Those documents authorize law enforcement powers for eligible personnel of each of the various offices of presidentially appointed Inspectors General. Those powers may be exercised only for activities authorized by the Inspector General Act of 1978, other statutes, or as expressly authorized by the Attorney General.

In our opinion, the system of internal safeguards and management procedures for the Department of Transportation OIG's investigative function for the fiscal year ending 2012 is in compliance with the quality standards established by the CIGIE and the Attorney General guidelines. These safeguards and procedures provide reasonable assurance of conforming with professional standards in the conduct of its investigations.

Sincerely,

Eric M. Thorson
Inspector General

Attachment 1: Field Offices Visited

Satellite Location

No. of Personnel Interviewed

Washington, DC
New York, NY

4
4

Attachment 2: Review of Closed Investigative Files

<u>Case File Number</u>	<u>Case Closing Date</u>
I09E000369CCU	April 26, 2011
I04C0000130100	March 28, 2011
I09C0000260202	March 24, 2011
I08G0002710202	March 31, 2011
I08E0003350200	December 14, 2010
I08A0003390200	March 15, 2011
I06Z0000030200	January 26, 2011
I04C0000120200	March 17, 2011
I03M0000010200	February 9, 2011
I09C0000150300	October 26, 2010
I10E000090CC	March 31, 2011
I05E0000010300	August 15, 2011
I07H0000020300	September 1, 2011
I09E0003570400	April 29, 2011
I06C0000030401	March 31, 2011
I08H0002740401	March 16, 2011
I08C0000050401	March 29, 2011
I10A0000020500	March 31, 2011
I03C0000040500	July 22, 2011
I10A0000010500	March 15, 2011
I05H0000010600	January 31, 2011
I10G0000820600	November 22, 2010
I11E0040600	May 13, 2011
I11E0060600	July 29, 2011
I04A0000060902	October 8, 2010
I06C0000270900	March 31, 2011
I07M0000170900	November 18, 2010
I08Z0002940903	March 31, 2011
I09A0000960902	June 30, 2011
I09H0000100902	October 18, 2010
I10E000023CC	November 18, 2010
I06E000048SINV	November 30, 2010
I08E000039SINV	December 1, 2010
I10E000073SINV	December 22, 2010
I10E000091SINV	May 10, 2011
I11E018CC (duplicate)	September 23, 2011
I11Z002SINV	September 8, 2011
I11E018CC (duplicate)	September 23, 2011
I10C000038SINV	April 12, 2011
I08E000436SINV	May 20, 2011
I11E051CC	June 23, 2011

Attachment 3: Best Practices

During the review, we identified in the U.S. Department of Transportation OIG's investigative operations a number of "Best Practices" that we believe warrant explicit acknowledgement. Specifically, we noted the following:

- **Contractor Performance Oversight (Intake)** – The official who oversees the intake system personally contacts the contractor three times every month, anonymously or under an assumed name, with test information or complaints. The official subsequently tracks the contact through the contractor's process to ensure that the contact is handled professionally and processed timely. The official promptly reports any informational discrepancies or other failures to the contractor, promoting contractor accountability and ensuring consistency and program integrity.
- **Professional Development Detail Program** – The Investigations Division (ID) periodically reassigns selected members of its staff, on a temporary/acting basis, to positions involving different responsibilities, for example to an Acting Assistant Special Agent in Charge position or to an Acting Desk Officer position. The program gives its participants a more broad perspective on the operations of the organization as a whole, offers practical, meaningful opportunities for individual professional development, and enhances the ID's resilience by creating a cadre of employees who can competently act in other roles as needed.
- **Special Agent Field Training Program** – This training program, which encompasses all new, trained Special Agent employees whether they are entry-level or have experience from other agencies, "is designed to provide new agents with the knowledge, skills, and abilities necessary to become successful Special Agents with the United States Department of Transportation, Office of Inspector General[.]" Senior Special Agents act as individual mentors to the new employees, who work through a comprehensive, and evaluated, training program which includes not only classroom instruction but practical experience with the specific investigative skills that they can be expected to need in this office.