



U.S. DEPARTMENT OF TRANSPORTATION
OFFICE OF INSPECTOR GENERAL

June 2, 2020

The Honorable Carolyn B. Maloney
Chairwoman
Committee on Oversight and Reform
U.S. House of Representatives
Washington, DC 20515

The Honorable Peter A. DeFazio
Chairman
Committee on Transportation
and Infrastructure
U.S. House of Representatives
Washington, DC 20515

The Honorable Gerald E. Connolly
Chairman
Subcommittee on Government Operations
Committee on Oversight and Reform
U.S. House of Representatives
Washington, DC 20515

Dear Chairwoman Maloney and Chairmen DeFazio and Connolly:

This is in response to your letter of May 19, 2020, requesting information about our office's ongoing work at the time of the President's designation of Howard "Skip" Elliott to serve as Acting Inspector General of the Department of Transportation (DOT).

In a separate letter to your offices, Mr. Elliott responded to your questions and concerns regarding his dual designation as Acting Inspector General and Administrator of the Pipeline and Hazardous Materials Safety Administration (PHMSA). In his letter, Mr. Elliott stated that he is recusing himself from all Office of Inspector General (OIG) matters relating to PHMSA in order to preserve the independence and objectivity required for OIG's accountability work. I am prepared to assume oversight of all of our office's PHMSA-related efforts, given his recusal.

In addition, in light of his recusal and to emphasize his commitment to our office's independence, Acting Inspector General Elliot directed me to provide the detailed information you requested. As such, in the enclosure to this letter, you will find (1) a list of audits and investigations that were ongoing as of Mr. Elliott's appointment as Acting Inspector General on May 15, 2020, and (2) a list of projects relating to the Office of the Secretary of Transportation that were opened between January 20, 2017, and the present.

You also requested a list of audits and investigations for which the status, scope, or investigative plan was modified after Mr. Elliott's appointment as Acting Inspector General. I can attest to the fact that since becoming Acting Inspector General, Mr. Elliott has not directed or requested the modification of any audit or investigation. Likewise, I have not requested or directed any modifications in my capacity as Deputy Inspector General since Mr. Elliott's May 15, 2020, appointment.

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I am honored to continue serving as Deputy Inspector General alongside Acting Inspector General Elliott. We have coordinated extensively during his first weeks at OIG as he settles into his new role, and I firmly believe his record of integrity, law enforcement experience, and keen commitment to transportation safety issues will serve our office well. I look forward to working with him in support of our mission to increase the effectiveness and efficiency of DOT's programs and detect and prevent fraud, waste, and abuse.

Please find the information described above in the enclosure to this letter. As always, OIG will keep DOT and Congress fully and currently informed on the status and findings of our work per the Inspector General Act of 1978.

If you have any questions or wish to speak further regarding this matter, please contact me at [REDACTED] or Nathan Richmond, Director, Office of Government and Public Affairs, at [REDACTED]

Sincerely,



Mitch Behm
Deputy Inspector General

cc: The Honorable Jim Jordan, Ranking Member
Committee on Oversight and Reform

The Honorable Sam Graves, Ranking Member
Committee on Transportation and Infrastructure

The Honorable Jody B. Hice, Ranking Member
Subcommittee on Government Operations
Committee on Oversight and Reform

Index of Information Provided in Response to Chairwoman Maloney and Chairmen DeFazio and Connolly's Request Dated May 19, 2020

Request 1. A list of all DOT Inspector General audits, inspections, investigations, evaluations, reviews, or other engagements that were ongoing as of your appointment as Acting Inspector General, including a brief description of the subject matter, whether or not the review will result in a public report, the date the DOT Inspector General initiated the engagement, the current status of the work, and the expected timeframe for completion

Table 1. Ongoing OIG Investigations as of May 15, 2020 2

Table 2. Ongoing Audits, Evaluations, and Reviews as of May 15, 2020 19

Request 2. A list of all audits, inspections, investigations, evaluations, reviews, or other engagements relating to the Office of the Secretary of Transportation that were opened between January 20, 2017, and the present, including a brief description of the subject matter, the date the DOT Inspector General initiated the engagement, and the date that the engagement was closed (if applicable)

Table 3. Investigations Relating to the Office of the Secretary of Transportation Opened on or After January 20, 2017 33

Table 4. Audits Relating to the Office of the Secretary of Transportation Opened on or After January 20, 2017 35

Table 1. Ongoing OIG Investigations as of May 15, 2020

Case Number	Approval Date	Operating Administration	Prosecution Type	Type of Case	Subcategory
I20G008R300	4/20/2020	FAA	Civil	Grant	False Claims
I20P003R300	4/3/2020	FAA	Criminal	Procurement	Anti-Trust, Bid Rigging/Collusion
I20P002R301	3/31/2020	FHWA	Criminal-Civil	Procurement	Anti-Trust, Bid Rigging/Collusion
I20A011R301	3/10/2020	FAA	Criminal	Aviation	Certificate Fraud, Non-Commercial Airman
I20H001R504	3/5/2020	PHMSA	Criminal	Hazmat	Carriage by Air
I20A010R300	3/3/2020	FAA	Criminal	Aviation	Unmanned Aircraft Systems (UAS)
I20G006R100	3/3/2020	FHWA	Criminal	Grant	Product Substitution/Substandard Work or Materials
I20A009R300	3/2/2020	FAA	Criminal	Aviation	Unauthorized Operation of an Aircraft
I20H001R300	2/27/2020	PHMSA	Criminal-Civil	Hazmat	Pipelines
I20M004R301	2/20/2020	FMCSA	Criminal	Motor Carrier	CDL Public Corruption of DMV Employee
I20P003R103	1/28/2020	FHWA	Criminal	Procurement	Overbilling
I20A003R100	1/24/2020	FAA	Criminal	Aviation	Unmanned Aircraft Systems (UAS)
I20A002R100	1/14/2020	FAA	Criminal	Aviation	Interference or tampering with an aircraft
I20M003R301	1/10/2020	FMCSA	Criminal	Motor Carrier	Certificate Fraud, Medical by Doctor
I20E002R200	12/16/2019	Office of the Secretary of Transportation	Criminal	Employee	Employee Integrity
I20G004R102	12/11/2019	FTA	Criminal	Grant	Anti-Trust, Bid Rigging/Collusion

Table 1. Ongoing OIG Investigations as of May 15, 2020

Case Number	Approval Date	Operating Administration	Prosecution Type	Type of Case	Subcategory
I20A003R300	11/19/2019	FAA	Criminal	Aviation	Certificate Fraud, Mechanic
I20G002R103	11/18/2019	NHTSA	Criminal	Grant	Embezzlement
I20W001R103	11/15/2019	FMCSA	Civil	Workforce Protection	Household Goods/Moving Companies
I20G002R300	11/12/2019	FAA	Criminal	Grant	Public Corruption/Extortion
I20M001R400	11/8/2019	FMCSA	Criminal	Motor Carrier	Fraudulent Registration Filings (Reincarnated Carriers)
I20M002R200	11/7/2019	FMCSA	Criminal	Motor Carrier	Log Books
I20M002R300	11/6/2019	FMCSA	Criminal	Workforce Protection	Household Goods/Moving Companies
I20E002R100	10/31/2019	MARAD	Administrative	Employee	Conflict of Interest (Public Corruption, Current Employee)
I20A001R306	10/27/2019	FAA	Criminal	Aviation	Falsification of FAA Orders or other documents
I20G001R300	10/24/2019	FHWA	Criminal	Grant	Public Corruption/Extortion
I20P001R103	10/23/2019	FAA	Civil	Procurement	False Claims
I20H001R102	10/14/2019	PHMSA	Criminal	Hazmat	Illegal Shipment of Airbags
I20A001R502	10/7/2019	FAA	Civil	Aviation	Falsification of FAA Orders or other documents
I20M001R102	10/1/2019	FMCSA	Criminal	Motor Carrier	Certificate Fraud, Medical by Driver
I20A001R400	10/1/2019	FAA	Criminal	Aviation	Interference or tampering with an aircraft
I19M006R400	9/26/2019	FMCSA	Criminal	Motor Carrier	Fraudulent Registration Filings (Reincarnated Carriers)
I19A007R200	9/17/2019	FAA	Criminal	Aviation	Unmanned Aircraft Systems (UAS)
I19G014R200	9/13/2019	FAA	Civil	Grant	NDAA Whistleblower
I19T002R100	9/11/2019	FRA	Criminal	Transportation Safety	Falsification of FRA Required Records.

Table 1. Ongoing OIG Investigations as of May 15, 2020

Case Number	Approval Date	Operating Administration	Prosecution Type	Type of Case	Subcategory
I19G013R200	9/11/2019	FHWA	Criminal	Grant	DBE Pass Through Fraud
I19H004R306	9/10/2019	PHMSA	Criminal	Hazmat	Pipelines
I19W002R400	9/10/2019	FMCSA	Criminal	Workforce Protection	Non-Competitive Pricing Practices
I19M009R100	8/30/2019	FMCSA	Criminal	Motor Carrier	Fraudulent Registration Filings (Reincarnated Carriers)
I19H001R102	8/29/2019	PHMSA	Criminal	Hazmat	Pipelines
I19P006R502	8/27/2019	FTA	Criminal	Procurement	Product Substitution/Substandard Work or Materials
I19A016R300	8/27/2019	FAA	Criminal	Aviation	Unmanned Aircraft Systems (UAS)
I19G006R306	8/20/2019	NHTSA	Criminal	Grant	Law Enforcement Overtime Grants
I19A019R502	8/20/2019	FAA	Criminal	Aviation	Certificate Fraud, Medical by Airman
I19A009R102	8/20/2019	FAA	Criminal	Aviation	Unmanned Aircraft Systems (UAS)
I19H004R500	8/10/2019	FMCSA	Criminal	Hazmat	Carriage by Motor Vehicle/Public Highway
I19G014R503	8/2/2019	FTA	Criminal-Civil	Grant	DBE Fraud
I19Z001R503	8/2/2019	Office of the Secretary of Transportation	Criminal-Civil	Grant	DBE Fraud
I19G013R500	7/30/2019	FHWA	Criminal	Grant	Embezzlement
I19G012R200	7/29/2019	FTA	Civil	Grant	NDA Whistleblower
I19E006R306	7/26/2019	FRA	Criminal	Employee	Prohibited Personnel Violation
I19H003R301	7/26/2019	FAA	Criminal	Hazmat	Carriage by Air
I19M007R103	7/25/2019	FMCSA	Criminal	Motor Carrier	Log Books
I19A016R502	7/18/2019	FAA	Criminal	Aviation	Certificate Fraud, Air Carrier

Table 1. Ongoing OIG Investigations as of May 15, 2020

Case Number	Approval Date	Operating Administration	Prosecution Type	Type of Case	Subcategory
I19H002R502	7/8/2019	FMCSA	Criminal	Hazmat	Carriage by Motor Vehicle/Public Highway
I19P006R200	7/5/2019	FAA	Criminal	Procurement	FAR/FAA Acquisition Management System Violation
I19G011R200	7/1/2019	FHWA	Administrative	Grant	NDAA Whistleblower
I19A012R300	6/26/2019	FAA	Criminal	Other	Impersonation of Government Official
I19G012R500	6/26/2019	FHWA	Criminal	Grant	Billing Practices
I19A014R503	6/25/2019	FAA	Criminal	Aviation	Certificate Fraud, Aircraft
I19A013R502	6/24/2019	FAA	Criminal	Aviation	Certificate Fraud - Flight Instructor/School
I19G007R103	6/21/2019	FHWA	Civil	Grant	DBE Eligibility Fraud (Financial/Ownership/Control)
I19T003R200	6/21/2019	NHTSA	Criminal	Transportation Safety	NHTSA - TREAD Act Violations
I19G006R100	6/20/2019	FHWA	Civil	Grant	DBE Fraud
I19T001R100	6/6/2019	FMCSA	Criminal-Civil	Transportation Safety	Substandard Non-Aviation Parts Substitution
I19P005R502	6/6/2019	FHWA	Civil	Procurement	False Claims
I19G010R500	6/5/2019	FTA	Criminal-Civil	Grant	Product Substitution/Substandard Work or Materials
I19T004R400	6/4/2019	NHTSA	Criminal	Transportation Safety	NHTSA - TREAD Act Violations
I19A011R500	5/31/2019	FAA	Criminal	Aviation	Unmanned Aircraft Systems (UAS)
I19Z0010600	5/30/2019	NHTSA	Criminal	Other	Forgery/Alteration of Documents
I19M002R200	5/22/2019	FMCSA	Criminal	Motor Carrier	Certificate Fraud, Medical by Doctor
I19E004R301	5/22/2019	FAA	Criminal	Employee	Abuse of Authority
I19A006R200	5/21/2019	FAA	Criminal	Aviation	Certificate Fraud, Medical by Doctor

Table 1. Ongoing OIG Investigations as of May 15, 2020

Case Number	Approval Date	Operating Administration	Prosecution Type	Type of Case	Subcategory
I19G009R200	5/20/2019	Other Agencies	Criminal	Grant	False Claims
I19G003R300	5/17/2019	FHWA	Criminal-Civil	Grant	Anti-Trust, Bid Rigging/Collusion
I19G002R300	5/10/2019	FHWA	Civil	Grant	False Statements
I19T002R300	5/8/2019	NHTSA	Criminal-Civil	Transportation Safety	Falsification of Federal Motor Vehicle Safety Standards (FMVSS)
I19A010R301	5/7/2019	FAA	Criminal	Aviation	Suspect Unapproved Parts-Sale
I19G008R200	5/3/2019	Other Agencies	Civil	Grant	ARRA Whistleblower
I19H003R400	5/1/2019	PHMSA	Criminal-Civil	Hazmat	Pipelines
I19A005R200	4/30/2019	FAA	Criminal	Aviation	Falsification of FAA Orders or other documents
I19E003R301	4/29/2019	FMCSA	Criminal	Employee	Bribery/Gratuities (Employee Conduct)
I19E002R100	4/23/2019	MARAD	Administrative	Employee	Employee Integrity
I19H0020500	4/18/2019	FMCSA	Criminal	Hazmat	Carriage by Motor Vehicle/Public Highway
I19M0060200	4/17/2019	FMCSA	Criminal	Motor Carrier	CDL
I19A0050203	4/17/2019	FAA	Criminal-Civil	Aviation	Certificate Fraud, Non-Commercial Airman
I19H0010902	4/12/2019	FMCSA	Criminal	Hazmat	PHMSA Tank Cars
I19M0040902	4/12/2019	FMCSA	Criminal	Motor Carrier	Attempted Bribery
I19M0040600	4/11/2019	FMCSA	Criminal	Motor Carrier	CDL Public Corruption of DMV Employee
I19P0040300	4/11/2019	Departmentwide	Civil	Procurement	False Claims
I19G0080500	4/10/2019	FHWA	Civil	Grant	DBE Fraud
I19G0080903	4/3/2019	FRA	Criminal-Civil	Grant	False Claims

Table 1. Ongoing OIG Investigations as of May 15, 2020

Case Number	Approval Date	Operating Administration	Prosecution Type	Type of Case	Subcategory
I19G0070902	3/20/2019	FTA	Criminal	Grant	Kickbacks
I19M0050200	3/15/2019	FMCSA	Criminal	Motor Carrier	Household Goods/Moving Companies
I19A0060602	3/14/2019	FAA	Criminal	Aviation	Certificate Fraud, Mechanic
I19A0090902	3/11/2019	FAA	Criminal	Aviation	Certificate Fraud, Commercial Airman
I19G0050202	3/11/2019	FHWA	Civil	Grant	False Claims
I19A0080902	3/8/2019	FAA	Criminal	Aviation	Certificate Fraud, Commercial Airman
I19E0010203	3/7/2019	FMCSA	Criminal	Employee	Conflict of Interest (Public Corruption, Current Employee)
I19A0060902	3/6/2019	FAA	Criminal	Aviation	Certificate Fraud, Commercial Airman
I19M0030902	3/6/2019	FMCSA	Criminal	Motor Carrier	Household Goods/Moving Companies
I19A0070400	3/6/2019	FAA	Criminal	Aviation	Unmanned Aircraft Systems (UAS)
I19A0030500	3/5/2019	FAA	Criminal	Aviation	Unauthorized Operation of an Aircraft
I19A0040300	2/28/2019	FAA	Criminal	Aviation	Certificate Fraud, Air Carrier
I19A0040200	2/27/2019	FAA	Criminal	Aviation	Certificate Fraud - Flight Instructor/School
I19M0030202	2/5/2019	FMCSA	Criminal	Motor Carrier	CDL Fraud of School or 3rd Party Tester
I19H0010300	2/5/2019	FMCSA	Criminal-Civil	Hazmat	Carriage by Motor Vehicle/Public Highway
I19A0030200	2/1/2019	FAA	Criminal	Aviation	Certificate Fraud, Non-Commercial Airman
I19G0040200	1/28/2019	FHWA	Criminal	Grant	False Statements
I19P0030300	1/23/2019	FHWA	Criminal	Procurement	False Claims
I19M0020203	1/22/2019	FMCSA	Criminal	Motor Carrier	Falsification/Alteration of Inspection Records

Table 1. Ongoing OIG Investigations as of May 15, 2020

Case Number	Approval Date	Operating Administration	Prosecution Type	Type of Case	Subcategory
I19M0010902	1/22/2019	FMCSA	Criminal	Motor Carrier	Fraudulent Registration Filings (Reincarnated Carriers)
I19P0020902	1/22/2019	FAA	Civil	Procurement	False Claims
I19G0070500	1/17/2019	FHWA	Criminal	Grant	Public Corruption/Extortion
I19G0030202	1/17/2019	FRA	Civil	Grant	Buy America Act
I19G0060500	1/15/2019	FHWA	Criminal	Grant	False Statements
I19E0020900	1/10/2019	FAA	Criminal	Employee	Employee Integrity
I19Z0020200	1/10/2019	FAA	Criminal	Other	Theft of DOT Funds or Property
I19G0040900	1/7/2019	FHWA	Criminal	Grant	Anti-Trust, Bid Rigging/Collusion
I19M0010203	12/28/2018	FMCSA	Criminal	Motor Carrier	Log Books
I19E0020300	12/26/2018	FTA	Administrative	Employee	Whistleblower Retaliation
I19P0010602	12/15/2018	FAA	Criminal-Civil	Procurement	Misappropriation of Funds
I19T0020300	12/11/2018	FMCSA	Criminal	Transportation Safety	Falsification of Federal Motor Vehicle Safety Standards (FMVSS)
I19H0020401	12/4/2018	PHMSA	Criminal-Civil	Hazmat	Carriage by Motor Vehicle/Public Highway
I19G0030900	12/3/2018	FTA	Criminal-Civil	Grant	Product Substitution/Substandard Work or Materials
I19M0020600	12/3/2018	FMCSA	Criminal	Motor Carrier	Motor Coach Operations
I19G0020900	11/30/2018	FHWA	Civil	Grant	DBE Eligibility Fraud (Financial/Ownership/Control)
I19A0060401	11/20/2018	FAA	Criminal	Aviation	Suspect Unapproved Parts-Maintenance
I19A0020500	11/19/2018	FAA	Criminal-Civil	Aviation	Accident Related
I19G0050500	11/14/2018	FTA	Criminal	Grant	False Statements

Table 1. Ongoing OIG Investigations as of May 15, 2020

Case Number	Approval Date	Operating Administration	Prosecution Type	Type of Case	Subcategory
I19E0010900	11/13/2018	FAA	Criminal	Employee	Drug and Alcohol Program Violation
I19G0010401	11/9/2018	FHWA	Criminal	Grant	Product Substitution/Substandard Work or Materials
I19A0030903	11/8/2018	FAA	Criminal	Aviation	Certificate Fraud, Medical by Airman
I19M0010600	11/5/2018	FMCSA	Criminal	Motor Carrier	Certificate Fraud, Medical by Doctor
I19G0040500	10/31/2018	FRA	Criminal	Grant	Amtrak Ticketing Fraud
I19T0010300	10/30/2018	FMCSA	Criminal	Transportation Safety	Drug and Alcohol Program Violation
I19A0040600	10/30/2018	FAA	Criminal	Aviation	Unmanned Aircraft Systems (UAS)
I19A0020600	10/30/2018	FAA	Criminal	Aviation	Certificate Fraud, Commercial Airman
I19G0020300	10/30/2018	FHWA	Criminal	Grant	False Statements
I19E0010300	10/26/2018	FHWA	Criminal	Employee	Employee Integrity
I19G0010300	10/25/2018	FHWA	Civil	Grant	False Claims
I19A0020400	10/24/2018	FAA	Criminal	Aviation	Certificate Fraud, Aircraft
I19T0030500	10/19/2018	FMCSA	Criminal	Transportation Safety	Falsification of Federal Motor Vehicle Safety Standards (FMVSS)
I19G0030500	10/15/2018	FHWA	Criminal	Grant	Anti-Trust, Bid Rigging/Collusion
I19T0010500	10/15/2018	FMCSA	Criminal	Transportation Safety	Falsification of Federal Motor Vehicle Safety Standards (FMVSS)
I19A0010902	10/12/2018	FAA	Criminal	Aviation	Certificate Fraud, Medical by Airman
I19G0020500	10/9/2018	FHWA	Criminal-Civil	Grant	Product Substitution/Substandard Work or Materials
I19G0010500	10/3/2018	Research and Innovative Technologies Administration	Criminal-Civil	Grant	Small Business Innovative Research (SBIR) Grant Fraud
I19A0010300	10/3/2018	FAA	Criminal	Aviation	Unauthorized Operation of an Aircraft

Table 1. Ongoing OIG Investigations as of May 15, 2020

Case Number	Approval Date	Operating Administration	Prosecution Type	Type of Case	Subcategory
I19G0010902	10/2/2018	NHTSA	Criminal	Grant	Embezzlement
I18H0040400	9/24/2018	PHMSA	Criminal	Hazmat	Carriage by Motor Vehicle/Public Highway
I18W0020202	9/19/2018	FMCSA	Criminal	Workforce Protection	Household Goods/Moving Companies
I18H0050203	9/14/2018	PHMSA	Criminal	Hazmat	Pipelines
I18G0090900	9/11/2018	FRA	Criminal	Grant	Public Corruption/Extortion
I18P0050300	9/10/2018	FAA	Administrative	Procurement	NDAAs Whistleblower
I18M0030400	9/4/2018	FMCSA	Criminal	Motor Carrier	CDL Fraud of School or 3rd Party Tester
I18E0060902	8/24/2018	FAA	Criminal	Employee	Theft
I18G0160500	8/22/2018	FHWA	Criminal	Grant	DBE Eligibility Fraud (Financial/Ownership/Control)
I18A0150600	8/20/2018	FAA	Criminal-Civil	Aviation	Certificate Fraud - Flight Instructor/School
I18W0010300	8/13/2018	FMCSA	Criminal	Motor Carrier	Attempted Bribery
I18M0060203	7/31/2018	FMCSA	Criminal	Motor Carrier	Attempted Bribery
I18H0030202	7/24/2018	PHMSA	Criminal	Hazmat	Pipelines
I18G0080900	7/18/2018	FHWA	Criminal	Grant	Product Substitution/Substandard Work or Materials
I18G0070902	7/17/2018	FAA	Criminal	Grant	Anti-Trust, Bid Rigging/Collusion
I18T0010401	7/16/2018	FRA	Criminal	Transportation Safety	Falsification of FRA Required Records.
I18G0130200	7/6/2018	Saint Lawrence Seaway Development Corporation	Criminal-Civil	Grant	False Claims
I18A0200900	7/3/2018	FAA	Criminal	Aviation	Certificate Fraud, Medical by Airman
I18A0190900	7/3/2018	FAA	Criminal	Aviation	Certificate Fraud, Medical by Airman

Table 1. Ongoing OIG Investigations as of May 15, 2020

Case Number	Approval Date	Operating Administration	Prosecution Type	Type of Case	Subcategory
I18A0070400	7/3/2018	FAA	Criminal	Aviation	Suspect Unapproved Parts-Sale
I18H0030902	7/2/2018	PHMSA	Criminal	Hazmat	Carriage by Motor Vehicle/Public Highway
I18A0170900	6/27/2018	FAA	Criminal	Aviation	Certificate Fraud, Commercial Airman
I18A0150900	6/22/2018	FAA	Criminal	Aviation	Certificate Fraud, Commercial Airman
I18M0050200	6/7/2018	FMCSA	Criminal	Motor Carrier	Fraudulent Use of USDOT Number
I18A0050500	6/6/2018	FAA	Criminal	Aviation	Suspect Unapproved Parts-Manufacturing
I18G0040300	6/5/2018	FHWA	Administrative	Grant	ARRA Whistleblower
I18M0040200	5/29/2018	FMCSA	Criminal	Motor Carrier	Fraudulent Registration Filings (Reincarnated Carriers)
I18G0090202	5/23/2018	FRA	Criminal-Civil	Grant	Kickbacks
I18T0030500	5/21/2018	NHTSA	Criminal	Transportation Safety	NHTSA - TREAD Act Violations
I18T0020500	4/17/2018	FRA	Criminal	Transportation Safety	Falsification of FRA Required Records
I18M0010400	3/27/2018	FMCSA	Criminal	Motor Carrier	Fraudulent Registration Filings (Reincarnated Carriers)
I18G0030401	3/16/2018	FHWA	Criminal-Civil	Grant	Product Substitution/Substandard Work or Materials
I18G0030400	3/15/2018	FHWA	Criminal-Civil	Grant	False Statements
I18H0030600	3/9/2018	FRA	Criminal	Hazmat	Carriage by Rail
I18A0040300	3/5/2018	FAA	Criminal	Aviation	Certificate Fraud, Air Carrier
I18E0110300	2/14/2018	FHWA	Administrative	Employee	Prohibited Personnel Violation
I18G0010100	2/7/2018	NHTSA	Criminal	Grant	Embezzlement
I18A0070600	2/6/2018	FAA	Criminal	Aviation	Unauthorized Operation of an Aircraft

Table 1. Ongoing OIG Investigations as of May 15, 2020

Case Number	Approval Date	Operating Administration	Prosecution Type	Type of Case	Subcategory
I18M0060500	1/24/2018	FMCSA	Criminal	Workforce Protection	Broker, Freight Forwarder, Carrier Registration
I18G0020902	1/23/2018	FHWA	Criminal	Grant	Embezzlement
I18G0020300	1/19/2018	FHWA	Criminal	Grant	Anti-Trust, Bid Rigging/Collusion
I18G0050200	1/18/2018	NHTSA	Civil	Transportation Safety	Falsification of Federal Motor Vehicle Safety Standards (FMVSS)
I18G0070500	1/18/2018	FHWA	Civil	Grant	False Claims
I18G0040200	1/18/2018	FHWA	Criminal	Grant	Surety Bonds
I18M0010300	1/10/2018	FMCSA	Criminal	Motor Carrier	Fraudulent Registration Filings (Reincarnated Carriers)
I18A0040200	1/2/2018	FAA	Criminal	Aviation	Certificate Fraud - Flight Instructor/School
I18A0020900	12/7/2017	FAA	Criminal	Aviation	Unmanned Aircraft Systems (UAS)
I18G0010400	11/14/2017	NHTSA	Criminal	Grant	Public Corruption/Extortion
I18G0050500	11/7/2017	FHWA	Civil	Grant	False Claims
I18G0010200	11/2/2017	FRA	Criminal	Grant	Amtrak Ticketing Fraud
I18Z0020300	10/31/2017	Office of the Secretary of Transportation	Criminal-Civil	Grant	False Claims
I18Z0010300	10/31/2017	FHWA	Administrative	Employee	Prohibited Personnel Violation
I18A0010401	10/22/2017	FAA	Criminal	Aviation	Suspect Unapproved Parts-Sale
I18G0030500	10/11/2017	FHWA	Criminal	Grant	DBE Eligibility Fraud (Financial/Ownership/Control)
I18G0020500	10/4/2017	FHWA	Civil	Grant	False Claims
I18A0010600	10/2/2017	FAA	Criminal	Aviation	Certificate Fraud, Repair Station
I17G0110400	9/28/2017	FHWA	Criminal	Grant	Anti-Trust, Bid Rigging/Collusion

Table 1. Ongoing OIG Investigations as of May 15, 2020

Case Number	Approval Date	Operating Administration	Prosecution Type	Type of Case	Subcategory
I17M0060400	9/25/2017	FMCSA	Criminal	Motor Carrier	Fraudulent Registration Filings (Reincarnated Carriers)
I17G0090900	9/25/2017	FTA	Criminal	Grant	Public Corruption/Extortion
I17G0070100	9/21/2017	Departmentwide	Criminal-Civil	Grant	False Claims
I17A0150401	9/1/2017	FAA	Criminal	Aviation	Suspect Unapproved Parts-Sale
I17G0100202	8/28/2017	FRA	Criminal-Civil	Grant	Kickbacks
I17G0060902	8/22/2017	FHWA	Criminal	Grant	DBE Pass Through Fraud
I17G0030600	8/14/2017	FHWA	Criminal-Civil	Grant	Public Corruption/Extortion
I17M0040202	7/21/2017	FMCSA	Criminal	Motor Carrier	Certificate Fraud, Medical by Driver
I17M0110500	7/17/2017	FMCSA	Criminal	Motor Carrier	Log Books
I17H0050500	7/11/2017	PHMSA	Criminal-Civil	Hazmat	Carriage by Motor Vehicle/Public Highway
I17A0120401	6/15/2017	FAA	Criminal	Aviation	Suspet Unapproved Parts-Maintenance
I17T0020200	6/15/2017	NHTSA	Criminal	Transportation Safety	NHTSA - TREAD Act Violations
I17T0010200	6/9/2017	FRA	Criminal	Transportation Safety	Drug and Alcohol Program Violation
I17G0030100	5/26/2017	FTA	Administrative	Grant	DOT Funded Research and Development Grant Fraud.
I17G0010600	5/17/2017	NHTSA	Criminal-Civil	Grant	Law Enforcement Overtime Grants
I17A0100401	4/27/2017	FAA	Criminal-Civil	Aviation	Certificate Fraud, Air Carrier
I17G0070300	4/17/2017	Office of the Secretary of Transportation	Criminal-Civil	Grant	False Claims
I17Z0020100	4/7/2017	FHWA	Criminal	Other	DBE Fraud
I17E0120300	3/21/2017	FMCSA	Criminal	Employee	Bribery/Gratuities (Employee Conduct)

Table 1. Ongoing OIG Investigations as of May 15, 2020

Case Number	Approval Date	Operating Administration	Prosecution Type	Type of Case	Subcategory
I17M0040900	3/13/2017	FMCSA	Criminal	Motor Carrier	Certificate Fraud, Medical by Doctor
I17E0100300	2/27/2017	FAA	Criminal	Employee	Employee Integrity
I17M0030401	2/7/2017	FMCSA	Criminal	Motor Carrier	Certificate Fraud, Medical by Doctor
I17M0040100	1/24/2017	FMCSA	Criminal	Motor Carrier	Certificate Fraud, Medical by Driver
I17G0050500	1/23/2017	FRA	Criminal-Civil	Grant	DBE Pass Through Fraud
I17G0040202	1/23/2017	FHWA	Criminal-Civil	Grant	False Claims
I17A0080903	1/12/2017	National Transportation Safety Board (NTSB)	Criminal	Aviation	Accident Related
I17A0070401	1/10/2017	FAA	Criminal	Aviation	Certificate Fraud, Medical by Doctor
I17A0030300	12/22/2016	FAA	Criminal	Aviation	Falsification of FAA Orders or other documents
I17P0030300	12/14/2016	MARAD	Administrative	Procurement	NDAA Whistleblower
I17G0020300	12/2/2016	FTA	Administrative	Grant	NDAA Whistleblower
I17G0030200	12/1/2016	FTA	Civil	Grant	DBE Fraud
I17E0020400	11/14/2016	FAA	Criminal	Employee	Conflict of Interest (Public Corruption, Current Employee)
I17G0040400	11/10/2016	NHTSA	Criminal	Grant	Public Corruption/Extortion
I17H0020902	11/1/2016	FAA	Criminal	Hazmat	Carriage by Air
I17A0010100	10/17/2016	FAA	Criminal	Aviation	Accident Related
I17M0010300	10/5/2016	FMCSA	Criminal	Workforce Protection	Economic Fraud (Committed by Forwarder/Broker)
I17E0010902	10/4/2016	Office of the Secretary of Transportation	Criminal	Employee	Conflict of Interest (Public Corruption, Current Employee)
I17H0010202	10/3/2016	FMCSA	Criminal	Motor Carrier	Falsification/Alteration of Inspection Records

Table 1. Ongoing OIG Investigations as of May 15, 2020

Case Number	Approval Date	Operating Administration	Prosecution Type	Type of Case	Subcategory
I16H0070400	9/30/2016	PHMSA	Criminal	Hazmat	Pipelines
I16G0150900	9/26/2016	FTA	Criminal-Civil	Grant	False Statements
I16A0120900	9/23/2016	FAA	Criminal	Aviation	Falsification of FAA Orders or other documents
I16M0060500	9/22/2016	FMCSA	Criminal	Motor Carrier	Fraudulent Registration Filings (Reincarnated Carriers)
I16G0100200	9/13/2016	FTA	Criminal	Grant	Embezzlement
I16M0040500	9/2/2016	FMCSA	Criminal	Motor Carrier	Falsification/Alteration of Inspection Records
I16A0040202	8/5/2016	FAA	Criminal	Aviation	Suspect Unapproved Parts-Sale
I16G0130400	7/28/2016	FHWA	Criminal-Civil	Grant	Overbilling
I16G0120400	7/18/2016	FHWA	Civil	Grant	DBE Fraud
I16G0130500	6/9/2016	FHWA	Criminal	Grant	False Claims
I16G0120500	6/6/2016	FHWA	Criminal-Civil	Grant	Product Substitution/Substandard Work or Materials
I16G0090100	6/2/2016	FHWA	Criminal-Civil	Grant	Product Substitution/Substandard Work or Materials
I16H0010500	5/26/2016	FMCSA	Criminal	Hazmat	Carriage by Motor Vehicle/Public Highway
I16G0080100	4/27/2016	FHWA	Criminal	Grant	DBE Pass Through Fraud
I16A0170401	4/5/2016	FAA	Criminal-Civil	Aviation	Suspect Unapproved Parts-Maintenance
I16P0040300	3/23/2016	Metropolitan Washington Airports Authority	Criminal-Civil	Grant	Product Substitution/Substandard Work or Materials
I16P0010903	3/21/2016	Other Agencies	Criminal-Civil	Procurement	False Statements
I16A0150401	3/18/2016	FAA	Criminal	Aviation	Susupect Unapproved Parts-Sale

Table 1. Ongoing OIG Investigations as of May 15, 2020

Case Number	Approval Date	Operating Administration	Prosecution Type	Type of Case	Subcategory
I16W0010902	3/4/2016	FMCSA	Criminal	Workforce Protection	Broker, Freight Forwarder, Carrier Registration
I16G0070300	2/29/2016	FHWA	Criminal	Grant	Anti-Trust, Bid Rigging/Collusion
I16G0050100	2/10/2016	FHWA	Criminal	Grant	DBE Pass Through Fraud
I16G0040100	2/4/2016	FHWA	Criminal-Civil	Grant	DBE Pass Through Fraud
I16G0070500	2/3/2016	FHWA	Criminal-Civil	Grant	Product Substitution/Substandard Work or Materials
I16H0030401	2/3/2016	PHMSA	Criminal	Hazmat	Carriage by Vessel
I16M0030902	2/2/2016	FMCSA	Criminal	Motor Carrier	CDL Public Corruption of DMV Employee
I16G0040200	1/28/2016	FHWA	Criminal	Grant	DBE Eligibility Fraud (Financial/Ownership/Control)
I16G0040900	1/25/2016	FAA	Criminal	Grant	Embezzlement
I16G0050300	1/20/2016	Office of the Secretary of Transportation	Civil	Aviation	Falsification of FAA Orders or other documents
I16G0030500	11/30/2015	FHWA	Criminal	Grant	DBE Fraud
I16G0030100	11/25/2015	FHWA	Criminal-Civil	Motor Carrier	Equipment Inspection, Repair, Maintenance
I16M0010500	11/18/2015	FMCSA	Criminal	Motor Carrier	Fraudulent Registration Filings (Reincarnated Carriers)
I16G0020100	11/17/2015	FHWA	Criminal	Grant	Embezzlement
I16A0010900	10/21/2015	FAA	Criminal	Aviation	Falsification of FAA Orders or other documents
I16G0010300	10/7/2015	FHWA	Criminal	Grant	Public Corruption/Extortion
I16E0010902	10/2/2015	FMCSA	Criminal	Employee	Conflict of Interest (Public Corruption, Current Employee)

Table 1. Ongoing OIG Investigations as of May 15, 2020

Case Number	Approval Date	Operating Administration	Prosecution Type	Type of Case	Subcategory
I15G0130500	9/23/2015	FAA	Criminal	Grant	False Statements
I15G0090900	8/31/2015	FHWA	Criminal	Grant	Overbilling
I15G0130600	8/31/2015	FAA	Criminal-Civil	Grant	Overbilling
I15G0070100	8/24/2015	FHWA	Civil	Grant	Product Substitution/Substandard Work or Materials
I15W0010401	8/21/2015	FMCSA	Criminal-Civil	Workforce Protection	Household Goods/Moving Companies
I15G0130200	8/14/2015	FHWA	Criminal	Grant	DBE Pass Through Fraud
I15H0080400	7/14/2015	PHMSA	Criminal	Hazmat	Carriage by Vessel
I15E014SINV	6/5/2015	FAA	Administrative	Employee	Whistleblower Retaliation
I15E0040300	4/1/2015	Office of the Secretary of Transportation	Administrative	Employee	Theft
I15A0040401	3/5/2015	FAA	Criminal	Aviation	Suspect Unapproved Parts-Sale
I15P0010200	10/9/2014	MARAD	Criminal	Grant	Overbilling
I14H0110902	8/11/2014	FMCSA	Criminal	Hazmat	PHMSA Tank Cars
I14G0080100	7/31/2014	FHWA	Criminal	Grant	DBE Pass Through Fraud
I14E0040500	7/28/2014	FAA	Criminal	Employee	Theft
I14G0070202	7/2/2014	FHWA	Criminal	Grant	Public Corruption/Extortion
I14A0040100	6/4/2014	FAA	Criminal	Aviation	Suspect Unapproved Parts-Manufacturing
I14G0060200	5/19/2014	FHWA	Criminal	Grant	DBE Pass Through Fraud
I14H0080902	5/8/2014	PHMSA	Criminal	Hazmat	Carriage by Air
I14G0030202	3/10/2014	FHWA	Criminal-Civil	Grant	DBE Fraud
I14M0050902	2/7/2014	FMCSA	Criminal	Motor Carrier	Fraudulent Registration Filings (Reincarnated Carriers)

Table 1. Ongoing OIG Investigations as of May 15, 2020

Case Number	Approval Date	Operating Administration	Prosecution Type	Type of Case	Subcategory
I14G0040900	12/18/2013	FTA	Criminal	Grant	Embezzlement
I14G0020200	12/10/2013	FTA	Criminal	Grant	DBE Pass Through Fraud
I14G0010200	11/25/2013	FHWA	Civil	Grant	DBE Pass Through Fraud
I14M0010202	10/28/2013	FMCSA	Criminal	Motor Carrier	Fraudulent Registration Filings (Reincarnated Carriers)
I13G0060200	7/25/2013	FHWA	Criminal-Civil	Grant	DBE Pass Through Fraud
I13E0020401	6/7/2013	FAA	Criminal	Employee	Conflict of Interest (Public Corruption, Current Employee)
I13M0040900	4/12/2013	FMCSA	Criminal	Motor Carrier	Fraudulent Registration Filings (Reincarnated Carriers)
I13H0050902	3/21/2013	FMCSA	Criminal	Hazmat	Carriage by Motor Vehicle/Public Highway
I13E0010500	3/1/2013	FAA	Criminal	Employee	Worker's Comp Fraud
I12W0010100	9/24/2012	FMCSA	Criminal	Workforce Protection	Household Goods/Moving Companies
I12G0090202	6/19/2012	FHWA	Criminal	Grant	DBE Fraud
I12G0080900	5/2/2012	FHWA	Criminal	Grant	Product Substitution/Substandard Work or Materials
I12Z0010100	4/3/2012	Office of the Secretary of Transportation	Criminal	Workforce Protection	Public Charter Fraud
I12P0010300	2/13/2012	FHWA	Criminal-Civil	Grant	False Statements
I12G0020200	10/20/2011	FHWA	Criminal	Grant	DBE Fraud
I11G0180500	3/9/2011	FAA	Civil	Grant	DBE Fraud
I10Z0000450900	9/15/2010	PHMSA	Criminal	Hazmat	Pipelines
I08C0003200200	6/4/2008	FHWA	Criminal	Grant	DBE Fraud

Table 1. Ongoing OIG Investigations as of May 15, 2020

Table 2. Ongoing Audits, Evaluations, and Reviews as of May 15, 2020

Project Code	Project Name	Operating Administration	Origin	Start Date	Estimated End Date	Objective
19A3002A001	FAA's Actions to Update ERAM and Address Challenges to Support NextGen - Part 2	FAA	Congressionally Mandated	2/12/2016	Summer 2020	Our objectives are to review FAA's ongoing efforts to update ERAM and challenges to support current and planned NextGen capabilities.
18P3001P002	Airline Services to Small- and Mid-Sized Communities - Part 2	OST	Self Initiated	1/31/2018	Summer 2020	Our objective is to provide a descriptive analysis of factors associated with changes in airline service to small and medium-sized communities.
17A3003A001	FAA Oversight of Air Carrier Maintenance Programs - Part 2, American Airlines	FAA	Congressionally Requested	5/9/2018	Winter 2020/2021	Our objectives are to assess FAA's processes for investigating allegations of improper maintenance practices at American Airlines. We will: 1) examine FAA's independent reviews, complaints to FAA hotline, and other sources to see whether inspectors conducting routine surveillance of American Airlines found similar discrepancies, and 2) determine whether FAA ensures that American Airlines implements effective corrective actions to address the root causes of maintenance problems.

Table 2. Ongoing OIG Audits, Evaluations, and Reviews as of May 15, 2020

Project Code	Project Name	Operating Administration	Origin	Start Date	Estimated End Date	Objective
18A3006A000	FAA's Oversight of Aircraft Evacuation Procedures	FAA	Congressionally Requested	6/18/2018	Summer 2020	To assess FAA's (1) requirements for testing aircraft compliance with emergency evacuation standards and (2) process for determining how changes in passenger behavior and increased seating capacity affect aircraft evacuation standards.
18Z3002Z000	FAA Acquisition Compliance With Domestic Content Laws	FAA	Congressionally Requested	8/20/2018	Fall 2020	To assess FAA's policies and procedures for awarding and administering contracts in accordance with domestic content laws.
18A3009A000	FAA's Implementation of Small Aircraft Pilot Medical Reform	FAA	Congressionally Requested	11/7/2018	Summer 2020	Our objectives are to assess (1) FAA's procedures for implementing new medical requirements for certain small aircraft pilots, including identifying challenges to its implementation; and (2) FAA's plans for measuring the impact of the new BasicMed process on aviation safety.
19S3002S000	Title XI - MARAD Loan Guarantee Program	MARAD	Congressionally Mandated	12/13/2018	Summer 2020	The objectives of the audit are to assess (1) the completeness of the program's policy for application reviews and (2) the program's adherence to the policy in its application reviews.

Table 2. Ongoing OIG Audits, Evaluations, and Reviews as of May 15, 2020

Project Code	Project Name	Operating Administration	Origin	Start Date	Estimated End Date	Objective
19S3007S000	FMCSA's Oversight of Commercial Driver Medical Certificates	FMCSA	Self Initiated	2/20/2019	Fall 2020	The objective of our audit is to evaluate FMCSA's procedures for overseeing its medical certificate program. Specifically, we analyzed FMCSA's procedures for (1) monitoring medical examiner qualifications and performance and driver medical examination data and (2) validating and maintaining data quality in the National Registry.
19F5008F000	QCR of City of Charlotte	FAA, FHWA, FTA	Congressionally Mandated	2/21/2019	Summer 2020	To perform QCR on the FYE 2018 Single Audit of the City of Charlotte.
19F3001F000	Security Controls of FAA's Standard Terminal Automation Replacement System (STARS)	FAA	Self Initiated	2/27/2019	Summer 2020	Our objectives are to (1) assess FAA's identification and mitigation of security risks in STARS and (2) determine whether FAA's contingency planning limits the effects caused by the loss of STARS operations at large TRACON facilities during emergencies.
19F5011F000	QCR of the City of Fayetteville, NC	FAA, FTA	Congressionally Mandated	2/27/2019	Summer 2020	To perform a QCR on the FYE 2018 Single Audit of the City of Fayetteville, NC.
18S3008S000	PHMSA Safety Culture	PHMSA	Self Initiated	3/13/2019	Fall 2020	Our objective is to assess the development and maturity of PHMSA's safety culture, and its alignment with the agency's mission and responsibilities.

Table 2. Ongoing OIG Audits, Evaluations, and Reviews as of May 15, 2020

Project Code	Project Name	Operating Administration	Origin	Start Date	Estimated End Date	Objective
19A3006A000	FAA's Oversight of Boeing 737 MAX Certification - Part 1	FAA	Departmental and Congressional Request	3/27/2019	Summer 2020	Our audit objective will be to determine and evaluate FAA's overall process for certifying the Boeing 737 MAX series of aircraft.
19A3006A001	FAA's Oversight of Boeing 737 MAX Certification - Part 2	FAA	Departmental and Congressional Request	3/27/2019	Fall 2020	Our audit objective will be to determine and evaluate FAA's overall process for certifying the Boeing 737 MAX series of aircraft.
19F5015F000	QCR of Green Mountain Transit Authority	FTA	Congressionally Mandated	4/24/2019	Summer 2020	To perform QCR on the FYE 2018 Single Audit of the Green Mountain Transit Authority.
19A3005A000	FAA's Roles and Responsibilities on the Aviation Cybersecurity Initiative	FAA	Congressionally Requested	5/1/2019	Summer 2020	To assess (1) FAA actions within the ACI framework to maintain its current authority over civil aviation and air traffic management, and (2) ACI procedures for communicating with aviation stakeholders.
19A3004A000	DOT's Oversight of Unsubsidized Carriers for the Essential Air Service Program	OST	Congressionally Mandated	6/11/2019	Fall 2020	(1) Determine whether the carriers providing the unsubsidized service provided basic essential air service. (2) Whether the Department conducted sufficient oversight of unsubsidized carriers.

Table 2. Ongoing OIG Audits, Evaluations, and Reviews as of May 15, 2020

Project Code	Project Name	Operating Administration	Origin	Start Date	Estimated End Date	Objective
19A3008A000	FAA's Oversight of the Airport Improvement Program State Block Grant Program	FAA	Self Initiated	7/2/2019	Winter 2020/2021	Assess FAA's oversight of the Airport Improvement Program, State Block Grant Program.
19A3003A000	Review of FAA's Oversight of Open-Door Helicopter Operations	FAA	Congressionally Requested	7/16/2019	Fall 2020	Our audit objectives are to assess FAA's processes for (1) review and approval of supplemental restraints for open-door helicopter operations and (2) oversight of company use of supplemental restraints.
19A3007A000	FAA's NextGen Delivery Study	FAA	Congressionally Mandated	10/3/2019	Fall 2020	Our audit objectives are to (1) compare current expected benefits of NextGen to the original projections, (2) identify the changes in NextGen programs and capabilities that have caused the benefits to be revised, and (3) identify lessons learned from developing and implementing significant air traffic modernization programs.
18Z3004Z000	FAA's Acquisition Workforce Training, Certification and Warrant Compliance	FAA	Self Initiated	10/4/2019	Winter 2020/2021	To assess FAA's oversight and compliance with Federal and Agency requirements for acquisition workforce training, certification, and warrants.
20S3001S000	FRA's Oversight of Conductor Certification Programs	FRA	Self Initiated	10/9/2019	Winter 2020/2021	Our objective is to assess FRA's oversight of railroad conductor certification programs.

Table 2. Ongoing OIG Audits, Evaluations, and Reviews as of May 15, 2020

Project Code	Project Name	Operating Administration	Origin	Start Date	Estimated End Date	Objective
19P3002P000	Assessing Competition in Highway Procurements	FHWA	Self Initiated	10/10/2019	Spring 2021	Our objective is to inform the FHWA's (FHWA) guidance for preventing and deterring anticompetitive practices. Specifically, we will (1) assess competition in procurement for Federal-aid highway projects using statistical methods, (2) provide estimates of the effects on contract costs when certain anticompetitive practices occur, and (3) identify opportunities to improve FHWA's guidance.
19A3009A000	FAA's Implementation of the Aviation Safety Information Analysis and Sharing (ASIAS) System	FAA	Congressionally Mandated	10/17/2019	Winter 2020/2021	The objectives of the audit are assess FAA's (1) progress with implementing ASIAS and plans to improve the system, including its predictive capabilities, and (2) efforts to more widely disseminate results of ASIAS data analyses.
19S3009S000	FMCSA Oversight of Commercial Drivers Disqualifications	FMCSA	Self Initiated	10/22/2019	Winter 2020/2021	The objective of our audit is to assess FMCSA's oversight of State driver's licensing agencies' actions to disqualify commercial driver's licenses when warranted.
19F3015F000	FMCSA's Information Technology Infrastructure	FMCSA	Self Initiated	10/29/2019	Summer 2021	Our objective will be to determine whether security weaknesses exist in FMCSA's IT infrastructure that could lead to the compromise of FMCSA's systems and data.

Table 2. Ongoing OIG Audits, Evaluations, and Reviews as of May 15, 2020

Project Code	Project Name	Operating Administration	Origin	Start Date	Estimated End Date	Objective
20F5005F000	QCR of Metropolitan Washington Council of Governments, Inc.	FHWA, FTA	Congressionally Mandated	10/30/2019	Summer 2020	To perform QCR of Metropolitan Washington Council of Governments, Inc. FYE 2018 Single Audit.
19Z3003Z000	MARAD's U.S. Merchant Marine Academy Acquisitions	MARAD	Self Initiated	11/18/2019	Spring 2021	To assess contract award and administration policies, procedures, and practices for MARAD's U.S. Merchant Marine Academy's acquisitions.
19Z3002Z000	DOT Oversight of Federal Funds Received by the City of Seattle's Department of Transportation	OST	Self Initiated	11/25/2019	Winter 2020/2021	To assess the Department's oversight of Federal funds received by SDOT.
20F3014F000	DOT's Travel Card Program	Departmentwide	Self Initiated	12/18/2019	Fall 2020	The objective is to determine whether the DOT's internal controls for its travel card program are effectively designed and operating efficiently to prevent and detect travel card misuse and abuse.
20F3011F000	FY2020 DOT FISMA Review	Departmentwide	Congressionally Mandated	1/15/2020	Fall 2021	The audit objective will be to determine the effectiveness of DOT's information security program in five function areas—Identify, Protect, Detect, Respond, and Recover.

Table 2. Ongoing OIG Audits, Evaluations, and Reviews as of May 15, 2020

Project Code	Project Name	Operating Administration	Origin	Start Date	Estimated End Date	Objective
20F3013F000	Surface Transportation Board's FY2020 FISMA Audit	STB	Congressionally Mandated	1/15/2020	Fall 2021	The audit objective will be to determine the effectiveness of STB's information security program and practices in five function areas—Identify, Protect, Detect, Respond, and Recover.
20H3001S000	FTA Hurricane Sandy Funding Progress	FTA	Congressionally Mandated	1/15/2020	Fall 2020	Our objectives are to assess FTA's (1) progress in obligating Hurricane Sandy funds and (2) actions to ensure timely expenditure of those funds
20F3012F000	FAA Oversight of the National Airspace System Inventory	FAA	Self Initiated	1/28/2020	Winter 2020/2021	Our objective is to determine if FAA has effective oversight controls for managing the NAS inventory, including controls to appropriately account for excess, obsolete, or unserviceable items.
20S3003S000	MARAD's Actions to Address Congressionally Specified National Academy of Public Administration Recommendations	MARAD	Self Initiated	2/5/2020	Fall 2020	Our objective is to assess MARAD's actions to address the 16 recommendations from NAPA's 2017 report specified by Congress.

Table 2. Ongoing OIG Audits, Evaluations, and Reviews as of May 15, 2020

Project Code	Project Name	Operating Administration	Origin	Start Date	Estimated End Date	Objective
20A3002A000	Pilot Training Requirements	FAA	Congressionally Requested	2/10/2020	Spring 2021	To (1) evaluate FAA's process for establishing pilot training requirements for U.S. and foreign air carriers operating U.S.-certificated large passenger aircraft, and (2) review international civil aviation authorities' requirements for air carrier pilot training regarding the use of flight deck automation.
20F3010F000	DOT Emergency Relief Funding	Departmentwide	Self Initiated	2/10/2020	Winter 2020/2021	Our audit objective will be to assess DOT's controls over the use of its emergency relief program funds, to include DOT's controls over the distribution of appropriated funds under Public Laws 115-123, and 116-20.
20Z3001Z000	MARAD's Management of the National Security Multi-Mission Vessel Program	MARAD	Self Initiated	2/12/2020	Winter 2020/2021	To assess MARAD's management of the National Security Multi-Mission Vessel program, including Agency oversight of the vessel construction management contract and the use of commercial design standards and commercial construction practices consistent with the best interests of the Federal Government.

Table 2. Ongoing OIG Audits, Evaluations, and Reviews as of May 15, 2020

Project Code	Project Name	Operating Administration	Origin	Start Date	Estimated End Date	Objective
20F3005F000	DOT's Consolidated Financial Statements for FYs FY 2020 and 2019	Departmentwide	Congressionally Mandated	2/13/2020	Fall 2020	The objective of our quality control review (QCR) is to ensure the Independent Public Accounting firm (IPA), under contract to the OIG, audits DOT's FY 2020 and FY 2019 financial statements in accordance with U.S. generally accepted Government auditing standards (GAGAS) issued by the Comptroller General of the United States, and OMB guidance.
20F3006F000	FAA's Consolidated Financial Statements for Fiscal Years 2020 and 2019	FAA	Congressionally Mandated	2/13/2020	Fall 2020	To ensure the Independent Public Accounting firm (IPA), under contract to the OIG, audits the FAA's FY 2020 Financial Statements in accordance with U.S. generally accepted Government auditing standards issued by the Comptroller General of the United States and Office of Management and Budget guidance.

Table 2. Ongoing OIG Audits, Evaluations, and Reviews as of May 15, 2020

Project Code	Project Name	Operating Administration	Origin	Start Date	Estimated End Date	Objective
20F3007F000	SSAE-18 Review of Enterprise Services Center	Departmentwide	Congressionally Mandated	2/13/2020	Fall 2020	We contracted with KPMG, LLP, an independent public accounting firm, to conduct this review subject to our oversight. The objectives of the review are to determine whether (1) management's descriptions of ESC's systems are fairly presented, (2) ESC's controls are suitably designed, and (3) ESC's controls are operating effectively throughout the period of October 1, 2019 through June 30, 2020.
20F3015F000	The Saint Lawrence Seaway Development Corporation's Financial Statements for FYs 2020 and 2019	SLSDC	Congressionally Mandated	2/26/2020	Fall 2020	Perform an independent audit of the financial statements.
20F3017F000	QCR of STB's Financial Statements Audit	STB	Congressionally Mandated	2/27/2020	Fall 2020	To ensure the IPA, under contract to the OIG, audits STB's FY2020 financial statements in accordance with GAGAS issued by the GAO and OMB guidance.
20F5007F000	QCR on Fort Worth Transportation Authority	FTA, FHWA	Congressionally Mandated	2/28/2020	Unknown (due to COVID-19)	To perform QCR on the Fort Worth Transportation Authority - FYE 2018 Single Audit.

Table 2. Ongoing OIG Audits, Evaluations, and Reviews as of May 15, 2020

Project Code	Project Name	Operating Administration	Origin	Start Date	Estimated End Date	Objective
20A3003A000	FAA's Inspector Staffing Model Update	FAA	Congressionally Mandated	3/3/2020	Spring 2021	(1) Assess the changes FAA made to update the inspector staffing model, (2) review the assumptions and methodologies the model uses to predict the number of aviation safety inspectors FAA needs to meet its current and future oversight responsibilities, and (3) determine how FAA's model accounts for the use of designees.
19F3016F000	FAA's System Security Re-Categorizations	FAA	Self Initiated	3/4/2020	Fall 2021	The audit objectives are to assess (1) FAA's information system categorization process and (2) the security controls that FAA has selected for its systems recently re-categorized as high impact.
20S3004S000	FRA's Oversight of Federal Funding to Amtrak	FRA	Self Initiated	3/17/2020	Summer 2021	Our objective is to assess the effectiveness of FRA's oversight of Federal funding to Amtrak.
20S3002S000	FHWA's Oversight of Project Change Orders	FHWA	Self Initiated	3/18/2020	Summer 2021	Our objective will be to assess FHWA's oversight of project change orders.
20S3005S000	FHWA's Post-Award Oversight of BUILD and TIGER Grants	FHWA	Self Initiated	3/18/2020	Summer 2021	Our objectives for this self-initiated audit are to assess FHWA's post-award BUILD and TIGER grant oversight.

Table 2. Ongoing OIG Audits, Evaluations, and Reviews as of May 15, 2020

Project Code	Project Name	Operating Administration	Origin	Start Date	Estimated End Date	Objective
20F3018F000	DOT Compliance with Geospatial Data Act	Departmentwide	Congressionally Mandated	3/23/2020	Fall 2021	Our objective is to assess DOT's progress in fulfilling the requirements of the Geospatial Data Act of 2018.
20F3019F000	QCR of NTSB's Financial Statements Audit	NTSB	Congressionally Mandated	3/31/2020	Fall 2020	The objective of our quality control review (QCR) is to ensure the Independent Public Accounting firm (IPA), under contract to the OIG, audits NTSB's FY 2020 and FY 2019 financial statements in accordance with U.S. generally accepted Government auditing standards (GAGAS) issued by the Comptroller General of the United States, and OMB guidance.
20S3006S000	NHTSA's Highway Safety Grant Program Oversight Controls	NHTSA	Self Initiated	3/31/2020	Spring 2021	Determine the extent to which NHTSA's oversight controls (1) mitigate risks, including those we identified in our previous audits and investigations, and (2) cover grantees' compliance with requirements for Federal awards.
20F5008F000	Summary Report on Significant Single Audit Findings Impacting DOT Programs for the 3-Month Period Ending June 30, 2020	Departmentwide	Self Initiated	4/14/2020	Fall 2020	To document significant single audit findings for the 3-month period ending June 30, 2020.

Table 2. Ongoing OIG Audits, Evaluations, and Reviews as of May 15, 2020

Project Code	Project Name	Operating Administration	Origin	Start Date	Estimated End Date	Objective
20A9001A000	Hazardous Material Training for Internationally-based Cargo Handlers	FAA	Self Initiated	4/20/2020	Summer 2020	Evaluate FAA's process to ensure part 121 air carriers properly train international employees handling hazardous materials.
20C1001P000	CARES Act Correspondence	Departmentwide	Congressionally Mandated	4/20/2020	Summer 2020	To provide advice to the Secretary based on prior OIG work to better ensure that CARES Act funds are distributed and expended economically, efficiently, and effectively with the risk of waste, fraud, or abuse minimized.
20A3004A000	FAA's Contract Tower Program Staffing Standards	FAA	Congressionally Mandated	5/19/2020	Summer 2021	Our objective is to assess FAA's approach for establishing and modifying air traffic controller staffing levels at contract towers.

Table 2. Ongoing OIG Audits, Evaluations, and Reviews as of May 15, 2020

Table 3. Investigations Relating to the Office of the Secretary of Transportation Opened on or After January 20, 2017

Case Number	Approval Date	Operating Administration	Prosecution Type	Type of Case	Subcategory
I17G0050300	3/21/2017	Office of the Secretary of Transportation	Civil	Procurement	DBE Eligibility Fraud (Financial/Ownership/Control)
I17G0060300	3/30/2017	Departmentwide	Criminal	Grant	DBE Eligibility Fraud (Financial/Ownership/Control)
I17G0070300	4/17/2017	Office of the Secretary of Transportation	Criminal-Civil	Grant	False Claims
I17Z0020500	4/28/2017	Departmentwide	Criminal-Civil	Other	Theft of DOT Funds or Property
I17E0050500	6/27/2017	Office of the Secretary of Transportation	Criminal	Employee	Extortion
I17P0040600	8/15/2017	Departmentwide	Civil	Procurement	False Claims
I17G0070100	9/21/2017	Departmentwide	Criminal-Civil	Grant	False Claims
I18Z0020300	10/31/2017	Office of the Secretary of Transportation	Criminal-Civil	Grant	False Claims
I18E0050300	11/21/2017	Office of the Secretary of Transportation	Criminal	Employee	Theft
I18E0160300	4/26/2018	Office of the Secretary of Transportation	Criminal	Employee	Theft
I19P0040300	4/11/2019	Departmentwide	Civil	Procurement	False Claims
I19Z001R503	8/2/2019	Office of the Secretary of Transportation	Criminal-Civil	Grant	DBE Fraud

Table 3. Investigations Relating to the Office of the Secretary of Transportation Approved on or After January 20, 2017

Case Number	Approval Date	Operating Administration	Prosecution Type	Type of Case	Subcategory
I20E002R200	12/16/2019	Office of the Secretary of Transportation	Criminal	Employee	Employee Integrity

Table 3. Investigations Relating to the Office of the Secretary of Transportation Approved on or After January 20, 2017

Table 4. Audits Relating to the Office of the Secretary of Transportation Opened on or After January 20, 2017

Project Code	Project Name	Operating Administration	Date Initiated	Issue Date/Status	Objective
17F3006F000	FI2018017 FISMA 2017: DOT's Information Security Posture is Still Not Effective	Departmentwide	2/8/2017	1/24/2018	To determine the effectiveness of DOT's information security program in five function areas—Identify, Protect, Detect, Respond, and Recover.
17F3010F000	QC2018008 Quality Control Review of Audited Consolidated Financial Statements for Fiscal Years 2017 and 2016 - Department of Transportation	Departmentwide	2/14/2017	11/15/2017	To ensure the Independent Public Accounting Firm (IPA), under contract to the OIG, audits the Department of Transportation's FY 2017 Financial Statements in accordance with U.S. generally accepted Government auditing standards issued by the Comptroller General of the United States and Office of Management and Budget guidance.

Table 4. Audits Relating to the Office of the Secretary of Transportation Opened on or After January 20, 2017

Project Code	Project Name	Operating Administration	Date Initiated	Issue Date/Status	Objective
17F3010F001	QC2018009 Quality Control Review of Audited Closing Package Financial Statements for FY 2017	Departmentwide	2/14/2017	11/16/2017	To ensure the Independent Public Accounting Firm (IPA), under contract to the OIG, audits the Department of Transportation's FY 2017 Financial Statements in accordance with U.S. generally accepted Government auditing standards issued by the Comptroller General of the United States and Office of Management and Budget guidance.
17F3010F002	QC2018023 Quality Control Review of the Management Letter for the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2017 and 2016	Departmentwide	2/14/2017	2/12/2018	To ensure the Independent Public Accounting Firm (IPA), under contract to the OIG, audits the Department of Transportation's FY 2017 Financial Statements in accordance with U.S. generally accepted Government auditing standards issued by the Comptroller General of the United States and Office of Management and Budget guidance.

Table 4. Audits Relating to the Office of the Secretary of Transportation Opened on or After January 20, 2017

Project Code	Project Name	Operating Administration	Date Initiated	Issue Date/Status	Objective
17F3005F000	FI2018018 DATA Act: Report on DOT's Submission	Departmentwide	2/15/2017	1/29/2018	Our objectives were to assess (1) the completeness, accuracy, timeliness, and quality of DOT's second-quarter fiscal year 2017 financial and award data submitted for publication on USASpending.gov and (2) DOT's implementation and use of the governmentwide financial data standards established by the Office of Management and Budget and the Department of Treasury.
17F5002F009	SA2017042 Report on the Single Audit of the Metropolitan Transportation Commission, San Francisco, CA	OST	4/5/2017	4/24/2017	To document single audit findings and issuance of action memo.
17S3005S000	ST2018076 DOT Operating Administrations Can Better Enable Referral of Potentially Criminal Activity to OIG	Departmentwide	4/21/2017	8/22/2018	Our objective was to assess whether DOT and its Operating Administrations have policies and procedures to ensure that potential criminal violations are promptly referred to our office.

Table 4. Audits Relating to the Office of the Secretary of Transportation Opened on or After January 20, 2017

Project Code	Project Name	Operating Administration	Date Initiated	Issue Date/Status	Objective
17S3007S000	ST2018039 Gaps in USMMA's Sexual Assault Prevention and Response Program Limit Its Effectiveness	OST, MARAD	5/31/2017	3/28/2018	As mandated, our objectives were to assess (1) the SAPR program's policies and procedures; (2) the Department's and Academy's progress and challenges in prioritizing and addressing recommendations from past studies and current action plans, including the 2017 "Culture Change Action Plan;" and (3) the Department's and Academy's responses to reports of sexual assault or harassment involving members of the Academy.
17F5002F028	SA2017068 Report on Single Audit of the State of Vermont, Montpelier, VT	OST, FAA	6/20/2017	8/9/2017	To document single audit findings and issuance of action memo.
17Z3003Z000	ZA2019051 Stronger Guidance and Internal Controls Would Enhance DOT's Management of Highway and Vehicle Safety R&D Agreements	Departmentwide	9/5/2017	5/1/2019	Our audit objective was to assess the Department's policies and procedures for selecting and overseeing its highway and vehicle safety R&D agreements, including grants, cooperative agreements, and CRADAs.
17P3002P000	PT2018005 DOT's Top Management Challenges for FY 2018	Departmentwide	9/7/2017	11/15/2017	As required by law, we identified the top management challenges facing the Department.
17F3017F000	FI2018055 DOT's Fiscal Year 2017 IPERA Compliance Review	Departmentwide	9/26/2017	5/14/2018	To determine whether DOT complies with IPERA's requirements as implemented by OMB.

Table 4. Audits Relating to the Office of the Secretary of Transportation Opened on or After January 20, 2017

Project Code	Project Name	Operating Administration	Date Initiated	Issue Date/Status	Objective
17Z3004Z000	ZA2019087 DOT Needs To Strengthen Its Oversight of IAAs with Volpe	Departmentwide	11/16/2017	9/30/2019	Assess DOT's and its OAs' policies and procedures for (1) entering into IAAs with Volpe and (2) overseeing the deliverables and expenditure of funds for those IAAs.
18F1001F000	CC2018001 Annual OMB Letter on DOT Charge Card Open Recommendations	Departmentwide	1/17/2018	1/29/2018	To report on the status of charge cards open recommendations.
18F5001F006	SA2018036 Report on Single Audit of the Metropolitan Transportation Commission, San Francisco, CA	OST	1/24/2018	3/13/2018	To document single audit findings and issuance of action memo.
18P3001P000	EC2020036 Changes in Airline Service Differ Significantly for Smaller Communities, but Limited Data on Ancillary Fees Hinders Further Analysis	OST	1/31/2018	5/27/2020	Our objective was to detail recent aviation industry trends, particularly as they relate to service to small and medium-sized communities.
18P3001P002	Airline Services to Small- and Mid-Sized Communities - Part 2	OST	1/31/2018	In progress	Our objective is to provide a descriptive analysis of factors associated with changes in airline service to small and medium-sized communities.

Table 4. Audits Relating to the Office of the Secretary of Transportation Opened on or After January 20, 2017

Project Code	Project Name	Operating Administration	Date Initiated	Issue Date/Status	Objective
18F3009F000	FI2019023 FISMA 2018: DOT's Information Security Program and Practices	Departmentwide	2/14/2018	3/20/2019	To determine the effectiveness of DOT's information security program in five function areas—Identify, Protect, Detect, Respond, and Recover.
18F3006F000	QC2019010 Quality Control Review of the Independent Auditor's Report on the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2018 and 2017	Departmentwide	2/28/2018	11/15/2018	The objective of our quality control review (QCR) is to ensure the Independent Public Accounting firm (IPA), under contract to the OIG, audits DOT's FY 2018 and FY 2017 financial statements in accordance with U.S. generally accepted Government auditing standards (GAGAS) issued by the Comptroller General of the United States, and OMB guidance.
18F3006F001	QC2019012 Quality Control Review of Independent Auditor's Report on the Department of Transportation's Audited Closing Package Financial Statements for Fiscal Year 2018	Departmentwide	2/28/2018	11/16/2018	The objective of our quality control review (QCR) is to ensure the Independent Public Accounting firm (IPA), under contract to the OIG, audits DOT's FY 2018 and FY 2017 financial statements in accordance with U.S. generally accepted Government auditing standards (GAGAS) issued by the Comptroller General of the United States, and OMB guidance.

Table 4. Audits Relating to the Office of the Secretary of Transportation Opened on or After January 20, 2017

Project Code	Project Name	Operating Administration	Date Initiated	Issue Date/Status	Objective
18F3006F002	QC2019024 Quality Control Review of the Management Letter for the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2018 and 2017	Departmentwide	2/28/2018	3/20/2019	The objective of our quality control review (QCR) is to ensure the Independent Public Accounting firm (IPA), under contract to the OIG, audits DOT's FY 2018 and FY 2017 financial statements in accordance with U.S. generally accepted Government auditing standards (GAGAS) issued by the Comptroller General of the United States, and OMB guidance.
18F3008F000	QC2018095 Quality Control Review of the Independent Service Auditor's Report on DOT's Enterprise Services Center	OST	2/28/2018	9/12/2018	The Office of Inspector General (OIG) has contracted with KPMG, LLC, an independent public accounting firm, to conduct the review of ESC subject to OIG's oversight. The objectives of the review are to determine whether: (1) management's description of ESC's systems are fairly presented; (2) controls are suitably designed; and (3) controls are operating effectively throughout the period of October 1, 2017 through June 30, 2018.
18F3003F000	FI2019057 The MARAD's Information Technology Infrastructure Is at Risk for Compromise	MARAD, OST	3/7/2018	7/24/2019	Our objectives were to determine whether: (1) MARAD's IT infrastructure contains security weaknesses that could compromise the Agency's systems and data.

Table 4. Audits Relating to the Office of the Secretary of Transportation Opened on or After January 20, 2017

Project Code	Project Name	Operating Administration	Date Initiated	Issue Date/Status	Objective
18Z3001Z000	ZA2020006 Gaps in Internal Controls Impede the Department's Management of Working Capital Fund Laptops	Departmentwide	3/8/2018	11/4/2019	Our objectives were to: (1) determine whether DOT is following the Office of Management and Budget's (OMB) requirements for purchases of laptop computers; (2) assess whether DOT's policies and procedures for receipt, inspection, and acceptance of laptops are sufficient; and (3) assess whether internal controls are in place to account for the laptops in DOT's inventory management system after acceptance.
18S3003S000	ST2019002 Initial Audit of Florida International University Pedestrian Bridge Project - Assessment of DOT's TIGER Grant Review and Selection Processes	OST, FHWA	3/22/2018	10/29/2018	Our audit objective will be to assess to assess whether the Florida International University Pedestrian Bridge Project met Federal and DOT requirements for the TIGER application, approval, and grant agreement processes.
18F3011F000	FI2020022 DOT Needs To Enhance Oversight of Its Purchase Card Program To Mitigate Internal Control Weaknesses	Departmentwide	3/29/2018	3/11/2020	Our objectives were to (1) test existing controls to determine if they provide reasonable assurance that improper purchases are prevented or detected in the normal course of business and (2) evaluate DOT's policies and procedures for oversight of its purchase card program.

Table 4. Audits Relating to the Office of the Secretary of Transportation Opened on or After January 20, 2017

Project Code	Project Name	Operating Administration	Date Initiated	Issue Date/Status	Objective
18F5001F030	SA2018082 Report on a Single Audit of the Massachusetts Bay Transportation Authority, Boston, MA	OST, FTA	4/3/2018	9/10/2018	To document single audit findings and issuance of action memo.
18S3001S000	ST2019003 DOT Has Completed FAST Act Requirements on Aligning Federal Environmental Reviews	OST	4/20/2018	11/6/2018	Our objectives were to (1) determine DOT's progress in aligning Federal environmental reviews, and (2) assess the impact of DOT's actions on accelerating the environmental review and permitting process.
18Z3003Z000	ZA2019049 Several Factors Limit DOT's Ability To Efficiently Utilize Its Office Space	Departmentwide	5/2/2018	4/9/2019	Our objective was to assess DOT's utilization of its office spaces, focusing on the degree to which its office spaces comply with the Agency's utilization standards.
18F5001F033	SA2018084 Report on a Single Audit of the City of Atlanta, Atlanta, GA	OST	5/3/2018	9/10/2018	To document single audit findings and issuance of action memo.
18F5001F035	SA2018068 Report on a Single Audit of the North Coast Railroad Authority, Ukiah, CA	OST	5/3/2018	8/15/2018	To document single audit findings and issuance of action memo.
18F5001F040	SA2018087 Report on a Single Audit of Rutgers University, Piscataway, NJ	OST, FTA	8/8/2018	9/11/2018	To document single audit findings and issuance of action memo.

Table 4. Audits Relating to the Office of the Secretary of Transportation Opened on or After January 20, 2017

Project Code	Project Name	Operating Administration	Date Initiated	Issue Date/Status	Objective
18P3001P000	PT2019006 DOT's Fiscal Year 2019 Top Management Challenges	Departmentwide	9/6/2018	11/15/2018	As required by law, we identified the top management challenges facing the Department.
18S3004S000	ST2019072 DOT's Updated Anti-Harassment Policy Meets EEOC Requirements, but Program Compliance Hinges on Procedure Implementation and Data Usage	Departmentwide	9/19/2018	9/11/2019	To assess the extent to which the Department and its Operating Administrations (1) have anti-harassment policies and procedures that comply with EEOC guidance and (2) collect and use data on harassment complaints.
18F3016F000	FI2019054 DOT's Fiscal Year 2018 IPERA Compliance Review	Departmentwide	10/16/2018	6/3/2019	To determine whether DOT complied with IPERA's requirements as implemented by OMB.
19F1001F000	CC2019001 Annual Letter to Director of OMB on the Status of Charged Card Open Recommendations	Departmentwide	1/21/2019	1/31/2019	To report the status of charged card open recommendations as required by M-13-21 to the Director of OMB.
19F3009F000	QC2020011 Quality Control Review of the Independent Auditor's Report on the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2019 and 2018	Departmentwide	2/6/2019	11/18/2019	The objective of our quality control review (QCR) is to ensure the Independent Public Accounting firm (IPA), under contract to the OIG, audits DOT's FY 2019 and FY 2018 financial statements in accordance with U.S. generally accepted Government auditing standards (GAGAS) issued by the Comptroller General of the United States, and OMB guidance.

Table 4. Audits Relating to the Office of the Secretary of Transportation Opened on or After January 20, 2017

Project Code	Project Name	Operating Administration	Date Initiated	Issue Date/Status	Objective
19F3009F001	QC2020025 Quality Control Review of the Management Letter for the Department of Transportation's Audited Consolidated Financial Statements for Fiscal Years 2019 and 2018	Departmentwide	2/6/2019	4/8/2020	The objective of our quality control review (QCR) is to ensure the Independent Public Accounting firm (IPA), under contract to the OIG, audits DOT's FY 2019 and FY 2018 financial statements in accordance with U.S. generally accepted Government auditing standards (GAGAS) issued by the Comptroller General of the United States, and OMB guidance.
19F3011F000	QC2019086 Quality Control Review of the Independent Service Auditor's Report on DOT's Enterprise Services Center	OST	2/6/2019	9/30/2019	The objectives of the review are to determine whether (1) management's descriptions of ESC's systems are fairly presented, (2) ESC's controls are suitably designed, and (3) ESC's controls are operating effectively throughout the period of October 1, 2018 through June 30, 2019.
19F5001F013	SA2019037 Report on a Single Audit of Macon-Bibb County, Macon, GA	OST	2/7/2019	3/26/2019	To document single audit findings and issuance of action memo.

Table 4. Audits Relating to the Office of the Secretary of Transportation Opened on or After January 20, 2017

Project Code	Project Name	Operating Administration	Date Initiated	Issue Date/Status	Objective
18Z3005Z000	QC2020004 Quality Control Review of the Independent Auditor's Review of DOT's DATA Act Implementation	Departmentwide	3/13/2019	10/29/2019	Our objectives were to assess (1) the completeness, accuracy, timeliness, and quality of DOT's first-quarter fiscal year 2019 financial and award data submitted for publication on USASpending.gov and (2) DOT's implementation and use of the governmentwide financial data standards established by the Office of Management and Budget and the Department of Treasury.
19F3005F000	QC2020002 Quality Control Review of the Independent Auditor's Report on the Assessment of DOT's Information Security Program and Practices	Departmentwide	3/27/2019	10/23/2019	The audit objective was to determine the effectiveness of Department of Transportation's (DOT) information security program and practices in five function areas—Identify, Protect, Detect, Respond, and Recover.
19A3004A000	DOT's Oversight of Unsubsidized Carriers for the Essential Air Service Program	OST	6/11/2019	In progress	Our objectives are to evaluate DOT's (1) authorization of unsubsidized air carriers for small communities and (2) oversight of the services provided by those air carriers.
19S1001S000	CC2020001 Risk Assessment of DOT's Grant Closeout Process Mandated by the GONE Act	Departmentwide	6/12/2019	12/11/2019	Our objective was to conduct a risk assessment to determine whether an audit or review of the Department of Transportation's grant closeout process is warranted.

Table 4. Audits Relating to the Office of the Secretary of Transportation Opened on or After January 20, 2017

Project Code	Project Name	Operating Administration	Date Initiated	Issue Date/Status	Objective
19F5001F039	SA2019077 Report on a Single Audit of the City of Birmingham, Birmingham, AL	OST	7/9/2019	9/17/2019	To document single audit findings and issuance of action memo.
19P3001P000	PT2020003 DOT's Fiscal Year 2020 Top Management Challenges	Departmentwide	8/27/2019	10/23/2019	As required by law, we identified the top management challenges facing the Department.
19F5017F000	SA2020001 Summary Report on Significant Single Audit Findings Impacting DOT Programs for the 3-Month Period Ending August 31, 2019	OST Departmentwide	9/11/2019	10/16/2019	To document significant single audit findings for the 3-month period ending August 31, 2019.
20F3004F000	FS2020029 DOT's Fiscal Year 2019 IPERA Compliance Review	Departmentwide	10/18/2019	4/27/2020	To determine whether DOT complied with IPERA's requirements as prescribed by OMB.
20F5001F001	SA2020016 Summary Report on Significant Single Audit Findings Impacting DOT Programs for the 4-Month Period Ending December 31, 2019	Departmentwide	10/22/2019	1/29/2020	To document significant single audit findings for the 4-month period ending December 31, 2019.
19Z3002Z000	DOT Oversight of Federal Funds Received by the City of Seattle's Department of Transportation	Departmentwide	11/25/2019	In progress	Our objective is to assess the Department's oversight of Federal funds received by SDOT.

Table 4. Audits Relating to the Office of the Secretary of Transportation Opened on or After January 20, 2017

Project Code	Project Name	Operating Administration	Date Initiated	Issue Date/Status	Objective
20F3014F000	DOT's Travel Card Program	Departmentwide	12/18/2019	In progress	To determine whether the DOT's internal controls for its travel card program are effectively designed and operating efficiently to prevent and detect travel card misuse and abuse.
20F1001F000	CC2020002 Annual Letter to Director of OMB on the Status of Charged Card Open Recommendations	Departmentwide	1/9/2020	1/31/2020	To report the status of charged card open recommendations as required by M-13-21 to the Director of OMB.
20F3011F000	FY2020 DOT FISMA Review	Departmentwide	1/15/2020	In progress	To determine the effectiveness of DOT's information security program in five function areas—Identify, Protect, Detect, Respond, and Recover.
20F5001F002	SA2020032 Summary Report on Significant Single Audit Findings Impacting DOT Programs for the 3-Month Period Ending March 31, 2020	Departmentwide	1/16/2020	5/4/2020	To document significant single audit findings for the 3-month period ending March 31, 2020.
20F3010F000	DOT Emergency Relief Funding	Departmentwide	2/10/2020	In progress	Our audit objective will be to assess DOT's controls over the use of its emergency relief program funds, to include DOT's controls over the distribution of appropriated funds under Public Laws 115-123, and 116-20.

Table 4. Audits Relating to the Office of the Secretary of Transportation Opened on or After January 20, 2017

Project Code	Project Name	Operating Administration	Date Initiated	Issue Date/Status	Objective
20F3005F000	DOT's Consolidated Financial Statements for FYs FY 2020 and 2019	Departmentwide	2/13/2020	In progress	The objective of our quality control review (QCR) is to ensure the Independent Public Accounting firm, under contract to the OIG, audits DOT's FY 2020 and FY 2019 financial statements in accordance with U.S. generally accepted Government auditing standards issued by the Comptroller General of the United States, and OMB guidance.
20F3007F000	SSAE-18 Review of Enterprise Services Center	OST	2/13/2020	In progress	We contracted with KPMG, LLP, an independent public accounting firm, to conduct this review subject to our oversight. The objectives of the review is to determine whether (1) management's descriptions of ESC's systems are fairly presented, (2) ESC's controls are suitably designed, and (3) ESC's controls are operating effectively throughout the period of October 1, 2019 through June 30, 2020.
20F3018F000	DOT Compliance with Geospatial Data Act of 2018	Departmentwide	3/23/2020	In progress	Our objective will be to assess DOT's progress in fulfilling the requirements of the Geospatial Data Act of 2018.
20F5008F000	Summary Report on Significant Single Audit Findings Impacting DOT Programs for the 3 Month Period Ending June 30, 2020	Departmentwide	4/14/2020	In progress	To document significant single audit findings for the 3-month period ending June 30, 2020.

Table 4. Audits Relating to the Office of the Secretary of Transportation Opened on or After January 20, 2017

Project Code	Project Name	Operating Administration	Date Initiated	Issue Date/Status	Objective
20C1001P000	CARES Act Correspondence	Departmentwide	4/20/2020	In progress	To provide advice to the Secretary based on prior OIG work to better ensure that CARES Act funds are distributed and expended economically, efficiently, and effectively with the risk of waste, fraud, or abuse minimized.

Table 4. Audits Relating to the Office of the Secretary of Transportation Opened on or After January 20, 2017