



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,

A handwritten signature in black ink, appearing to read "Mitch Behm", with a large, sweeping flourish at the beginning.

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

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## 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                  |

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| 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                | NDAA 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                          |

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| 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                |

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|-------------|---------------|--------------------------|------------------|-----------------------|---|
| 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  |

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|-------------|---------------|--------------------------|------------------|---------------|--|
| 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             |

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| 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  |

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| 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                           |

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| 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           | NDAA 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                |

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|-------------|---------------|--------------------------|------------------|-----------------------|---|
| 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.   |

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| 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.  |

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| 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<br>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. |

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| 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