

**U.S. Department of Labor  
Office of Inspector General**



**November 2020**

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## TAB 1: Agency Organizational Overview

### Mission

The Office of Inspector General (OIG) at the U.S. Department of Labor (DOL) conducts audits to review the effectiveness, efficiency, economy, and integrity of all DOL programs and operations, including those performed by its contractors and grantees. The OIG also conducts criminal, civil, and administrative investigations into alleged violations of federal laws relating to DOL programs, operations, and personnel. In addition, the OIG conducts criminal investigations to combat the influence of labor racketeering and organized crime in the nation's labor unions in three areas: employee benefit plans, labor-management relations, and internal union affairs. The OIG also works with other law enforcement partners on human trafficking matters. For further information please visit [OIG.DOL.gov](https://www.oig.dol.gov).<sup>1</sup>

### Select Authorizing Legislation

- Inspector General Act of 1978 (P.L. 95-452), as amended
- Chief Financial Officers Act of 1990 (P.L. 101-576)
- Federal Financial Management Improvement Act of 1996 (P.L. 104-208)
- Federal Managers' Financial Integrity Act of 1982 (P.L. 97-255)
- Debt Collection Improvement Act of 1996 (P.L. 104-134)
- Government Management Reform Act of 1994 (P.L. 103-356)
- Government Performance and Results Act of 1993 (P.L. 103-62)
- Federal Information Security Management Act of 2002 (FISMA – Title III of the E-Government Act of 2002) (P.L. 107-347, Title III)
- Payment Integrity Information Act of 2019 (P.L. 116-117)
- Single Audit Act of 1984 (P.L. 98-502), as amended
- Good Accounting Obligation in Government Act or GAO-IG Act of 2019 (P.L. 115-414)
- Whistleblower Protection Coordination Act of 2018 (P.L. 115-192)

### Organizational Structure

In carrying out its statutory responsibility to conduct and supervise audits and investigations relating to the programs and operations of the U.S. Department of Labor (DOL), the OIG provides program direction over the Office of Audit, the Office of Investigations - Labor Racketeering and Fraud, and the Executive Direction and Management function. The OIG workforce is comprised of approximately 330 employees with expertise in accounting, auditing, criminal justice, economics, finance, information technology, law, public and business administration, and social and physical sciences, among other fields. The OIG is headquartered in Washington, D.C., and has 34 field offices located throughout the country.

The Inspector General position is currently vacant, with Deputy Inspector General Larry D. Turner serving as Acting Inspector General. The position of DOL's Inspector General is nominated by the President and confirmed by the Senate, without regard to political affiliation and solely on the basis of integrity and demonstrated ability. The IG is subject to the Hatch Act.

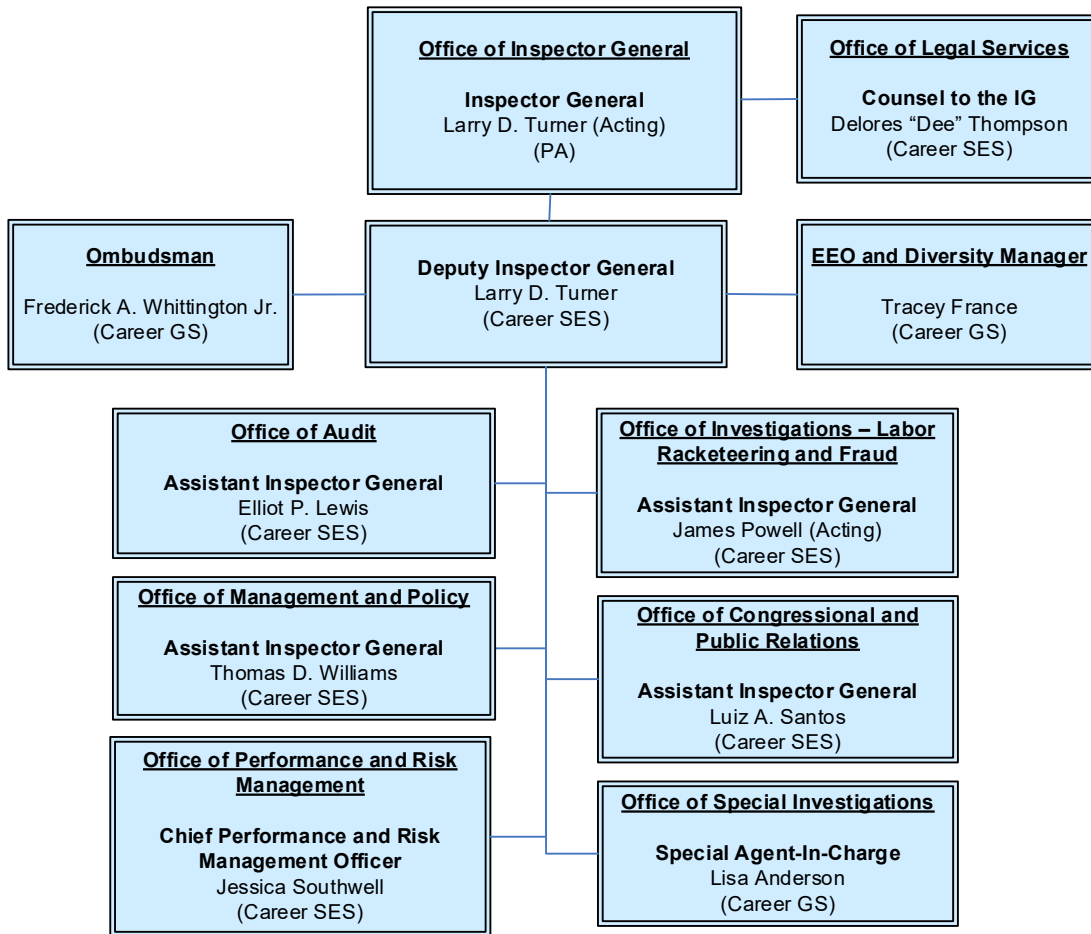
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<sup>1</sup> <https://www.oig.dol.gov/about.htm>.

**TAB 1: Agency Organizational Overview**

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*Organizational Chart*



Workforce At-A-Glance

**DEPARTMENT OF LABOR EMPLOYMENT \*  
AS OF 11/1/2020 - OIG**

AGENCY			
Subagency	National Office	Regional Office	Total
OIG	121	187	308
Total	121	187	308
RACE & GENDER			
Ethnicity	F	M	Total
Asian	11	18	29
Black	57	23	80
Hawaiian/PI	0	2	2
Hispanic	8	18	26
Two or more Races	2	3	5
White	47	119	166
Total	125	183	308

BARGAINING UNIT	
Non-BU	308
SUPERVISORY**	
Non Supervisor	232
Supervisor	76
WORK SCHEDULE	
F-Full Time	307
P-Part Time	1
REGIONS	
1 Boston	7
2 New York	38
3 Philadelphia	23
4 Atlanta	35
5 Chicago	28
6 Dallas	25
7 Kansas City	9
8 Denver	3
9 San Francisco	19
Natl Ofc	121
Total	308

GRADE DISTRIBUTION	
00	9
07	6
10	1
11	6
12	30
13	151
14	75
15	30
Total	308
DISABLED STATUS	
No Disability	263
Non-targeted	36
Targeted	9
APPOINTMENT TENURE	
Indefinite	1
Permanent	307
RETIREMENT ELIGIBILITY	
Early Out	43
Eligible	63
Not Eligible	202

METRO D.C. AREA EMPLOYEES BY BUILDING		
FRANCES PERKINS BLDG	110	
PATRIOTS PLAZA	11	
Total	121	
Includes regional employees working in the D.C. area		
GRADE 13 & ABOVE		
Ethnicity	F	M
Asian	8	13
Black	47	17
Hawaiian/PI	0	2
Hispanic	7	14
Two or more Races	1	3
White	45	108

\* Permanent and Temporary Employees  
\*\* Supervisor count includes manager levels 2 and 4

**Key Leaders**

- **Vacant**, Inspector General
- **Larry D. Turner**, Acting Inspector General/Deputy Inspector General

**OIG Senior Executive Team**

- **Delores “Dee” Thompson**, Counsel to the Inspector General
- **Elliot P. Lewis**, Assistant Inspector General for Audit
- **Ray B. Armada**, Deputy Assistant Inspector General for Audit
- **Laura B. Nicolosi**, Deputy Assistant Inspector General for Audit
- **Vacant**, Assistant Inspector General for Office of Investigations
- **Vacant**, Deputy Assistant Inspector General for Office of Investigations
- **Thomas D. Williams**, Assistant Inspector General for Management and Policy

**TAB 1: Agency Organizational Overview**

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- **Charles Sabatos**, Deputy Assistant Inspector General for Management and Policy
- **Luiz A. Santos**, Assistant Inspector General for Congressional and Public Relations
- **Jessica Southwell**, Chief Performance and Risk Management Officer

## TAB 2: STATE OF PLAY

### OIG Audits and Other Engagements

The OIG conducts audits, reviews, evaluations, inspections, and other engagements to review the effectiveness, efficiency, economy, and integrity of all DOL programs and operations, including those performed by its contractors and grantees. This work is conducted in order to determine whether the programs and operations are in compliance with the applicable laws and regulations, and DOL resources are efficiently and economically used to achieve intended program results. For more information, visit [oig.dol.gov](https://www.oig.dol.gov).<sup>2</sup>

### Recent OIG Audits

Please visit <https://www.oig.dol.gov/auditreports.htm>.

### Recently Announced OIG Projects

Please visit <https://www.oig.dol.gov/auditprojects.htm>.

### Status of OIG Recommendations

Please visit <https://www.oig.dol.gov/recommendationdashboard.htm>.

### OIG Investigations

The OIG conducts criminal, civil, and administrative investigations into alleged violations of federal laws relating to DOL programs, operations, and personnel. In addition, the OIG conducts criminal investigations to combat the influence of labor racketeering and organized crime in the nation's labor unions in three areas: employee benefit plans, labor-management relations, and internal union affairs. The OIG also works with other law enforcement partners on human trafficking matters. For more information, visit [oig.dol.gov](https://www.oig.dol.gov).<sup>3</sup>

### Recent OIG Investigations

Please visit <https://www.oig.dol.gov/newsroomcurrent.htm>.

### OIG Pandemic Response Portal

Please visit [https://www.oig.dol.gov/OIG\\_Pandemic\\_Response\\_Portal.htm](https://www.oig.dol.gov/OIG_Pandemic_Response_Portal.htm).

### Significant OIG Publications

[Top Pandemic Challenges Facing the U.S. Department of Labor](#)<sup>4</sup>: In this report, the OIG summarizes the top pandemic-related challenges facing DOL.

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<sup>2</sup> <https://www.oig.dol.gov/auditprocess.htm>.

<sup>3</sup> <https://www.oig.dol.gov/oifraud.htm>.

<sup>4</sup> <https://www.oig.dol.gov/public/Top%20Pandemic%20Challenges%20June%202020.pdf>.

**Pandemic Response Oversight Plan**<sup>5</sup>: The OIG’s oversight of DOL’s response to the coronavirus pandemic will focus on the Department’s response to the pandemic, particularly under the CARES Act. The OIG’s oversight work will be conducted in four phases covering the allocation periods for CARES Act funds and post-allocation.

**Top Management and Performance Challenges for DOL**<sup>6</sup>: As required by the Reports Consolidation Act of 2000, the OIG identifies the most serious management and performance challenges facing the Department. These challenges are included in DOL’s “Agency Financial Report.” In this report, the OIG summarizes the challenges, significant DOL progress to date, and what remains to be done to address these challenges.

**Significant Concerns**<sup>7</sup>: As of March 31, 2020, the OIG has identified the following areas of significant concern that cause the Department to be at particular risk of fraud, mismanagement, waste, deficiencies, or abuse. The identified areas of concern reflect continuing matters as well as emerging issues.

- Expediting Pandemic Response Efforts while Protecting Workers’ Benefits
- Providing OIG Access to Wage Records
- Protecting the Safety and Health of Workers
- Protecting the Safety and Health of Miners
- Ensuring the Safety of Students and Staff at Job Corps Centers
- Improving Job Corps’ Procurement Process
- Ensuring the Solvency of the Black Lung Disability Trust Fund
- Protecting the Security of Employee Benefit Plan Assets
- Maintaining the Integrity of Foreign Labor Certification Programs
- Ensuring the Integrity of the DOL Rulemaking Process
- Ensuring the Equitable Release of Economic Data
- Securing and Protecting Information Management Systems
- Improving the Performance Accountability of Workforce Development Programs
- Managing Medical Benefits in OWCP, Including Opioids

**Annual Audit Workplan**<sup>8</sup>: The OIG prepares an annual audit workplan to inform DOL, Congress, and the public of audits and reviews that will be completed or initiated. Our audits are presented by DOL agency and then further broken down into mandatory and discretionary audits.

**Semiannual Report to Congress**<sup>9</sup>: The Inspector General Act of 1978 requires that the Inspector General report semiannually to the head of the Department and the Congress on the activities of the office during the six-month periods ending March 31 and September 30. The

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<sup>5</sup> <https://www.oig.dol.gov/public/oaprojects/DOL-OIG%20Pandemic%20Response%20Oversight%20Plan.pdf>.

<sup>6</sup> <https://www.oig.dol.gov/topchallenges.htm>.

<sup>7</sup> [https://www.oig.dol.gov/significant\\_concerns.htm](https://www.oig.dol.gov/significant_concerns.htm).

<sup>8</sup> <https://www.oig.dol.gov/public/reports/oa/2020/FY%202020%20OIG%20Audit%20Workplan.pdf>.

<sup>9</sup> <https://www.oig.dol.gov/semiannual.htm>.



semiannual reports are intended to keep the Secretary and the Congress fully and currently informed of significant findings and recommendations by the OIG.

**Legislative Recommendations**<sup>10</sup> (Page 70): The Inspector General Act requires the OIG to review existing or proposed legislation and regulations and to make recommendations in the Semiannual Report concerning their impact on both the economy and the efficiency of the Department's programs and on the prevention of fraud, waste, and abuse. As of March 31, 2020, the OIG continues to believe that the following legislative actions are necessary to increase efficiency and protect the Department's programs:

- Allow DOL and the OIG Access to Wage Records
- Enact the UI Integrity Legislative Proposals
- Provide Authority to Ensure the Integrity of the H-1B Program
- Amend Pension Protection Laws
- Improve the Integrity of the Federal Employees' Compensation Act Program
- Clarify the Mine Safety and Health Administration's Authority to Issue Mine Closure Orders

## OIG Hotline

The OIG operates a hotline to receive and process allegations of fraud, waste, and abuse concerning DOL grants, contracts, programs, and operations. For more information, visit [oig.dol.gov](https://oig.dol.gov).<sup>11</sup>

## OIG Whistleblower Protection Coordinator

The IG Act requires each IG to designate a [Whistleblower Protection Coordinator](#),<sup>12</sup> whose primary responsibility is to educate agency employees about the following issues:

- Prohibitions against retaliation for protected disclosures
- The means by which an employee may seek review of any allegation of retaliation and the roles of the OIG, the Office of Special Counsel (OSC), and the Merit Systems Protection Board, and
- General information about the timeliness of such cases, the availability of any alternative dispute mechanisms, and avenues of potential relief.

The Whistleblower Protection Coordinator also assists the IG in promoting the timely and appropriate handling and consideration of protected disclosure and allegations of reprisal, to the extent practicable, by the IG.

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<sup>10</sup> <https://www.oig.dol.gov/public/semiannuals/83.pdf>.

<sup>11</sup> <https://www.oig.dol.gov/hotlinemain.htm>.

<sup>12</sup> <https://www.oig.dol.gov/whistleblower-coordinator.htm>.

**TAB 3: CALENDAR**

Event	Date
OIG transmits the Semiannual Report to Congress to the Secretary	October 31, 2020 April 30, 2021
Secretary transmits the OIG's Semiannual Report to Congress	November 30, 2020 May 31, 2021

## TAB 4: BUDGET

### BUDGET AUTHORITY AND FTE SUMMARY

(Dollars in millions)

	FY 2017 Enacted	FY 2018 Enacted	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request
<b>Budget Authority</b>	\$88.0	\$89.5	\$89.5	\$91.1	\$93.8
<b>FTE</b>	342	347	345	334	336

#### At-A-Glance

- OIG is funded by General Funds, the Unemployment Trust Fund (UTF), and the Black Lung Disability Trust Fund (BLDTF). In FY 2020, OIG was appropriated \$85.2 million in general funds, \$5.7 million from the UTF, and \$0.3 million from the BLDTF. As a mandatory appropriation, BLDTF is subject to sequestration.

#### Budget and FTE Trends

- Enacted base funding levels from all sources for OIG remained relatively flat from FY 2009 through FY 2012. From FY 2013 through FY 2015, the agency’s budget authority was lower than in FY 2009. However, it has steadily increased from FY 2016 onward.
- OIG’s FY 2021 President’s Request is \$93.8 million, which includes \$0.8 million increase for fighting fraud involving opioids and other pharmaceuticals in the Federal Employees’ Compensation Act (FECA) Program and \$1.2 million for leveraging data and predictive analytics to strengthen programmatic oversight.
- In FY 2013, sequestration reduced OIG budget authority by \$4.4 million. OIG addressed the reduction by curtailing hiring and reducing contracts, equipment, travel, and performance bonuses. The agency did not furlough its employees.
- In FY 2010, OIG FTE usage was 420 FTE. After FY 2010, FTE usage began a steady decline, reaching a record low since then of 332 in FY 2019. Accordingly, OIG’s FTE ceiling is 332 in FY 2020 and the agency utilized 309 FTE.
- Established in FY 2018, OIG’s no-year account took in a transfer of \$0.5 million from the Employment and Training Administration (ETA) for oversight of disaster relief activities funded through DOL to ensure that such funding is expended as Congress intended. In FY 2019, there was an additional \$0.5 million transferred from ETA to OIG for essentially the same purpose. In FY 2020, OIG received a supplemental through the Coronavirus Aid, Relief, Security, and Economic Security Act (CARES Act) of \$25 million in No-Year funding for oversight of unemployment provisions. OIG was then apportioned an additional \$1 million, as a transfer from the Departmental Management appropriation under the CARES Act “for oversight of activities related to Public Law 116–127 and for oversight activities supported with funds appropriated to the Department of Labor to prevent, prepare for, and respond to coronavirus...”

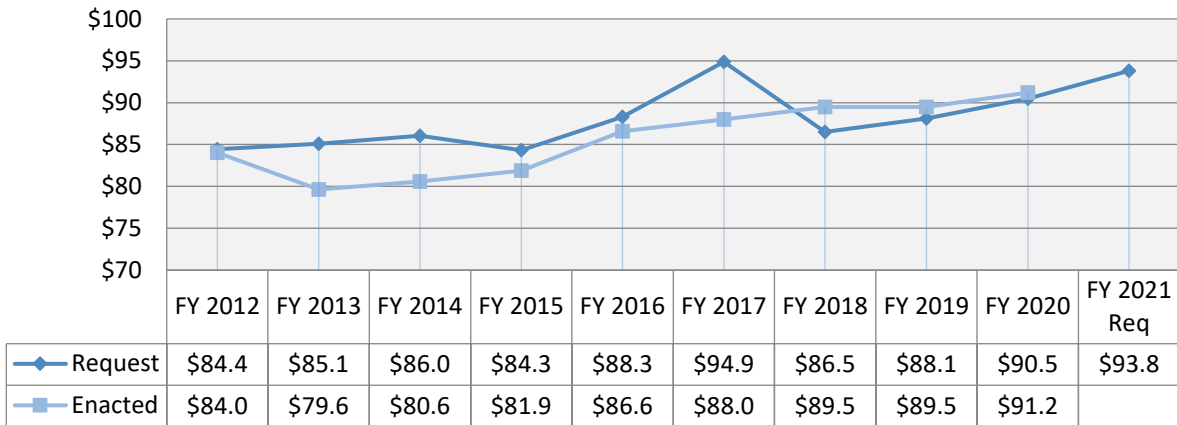
#### Staff Contacts

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marin.ronald@oig.dol.gov / (202) 693-5137

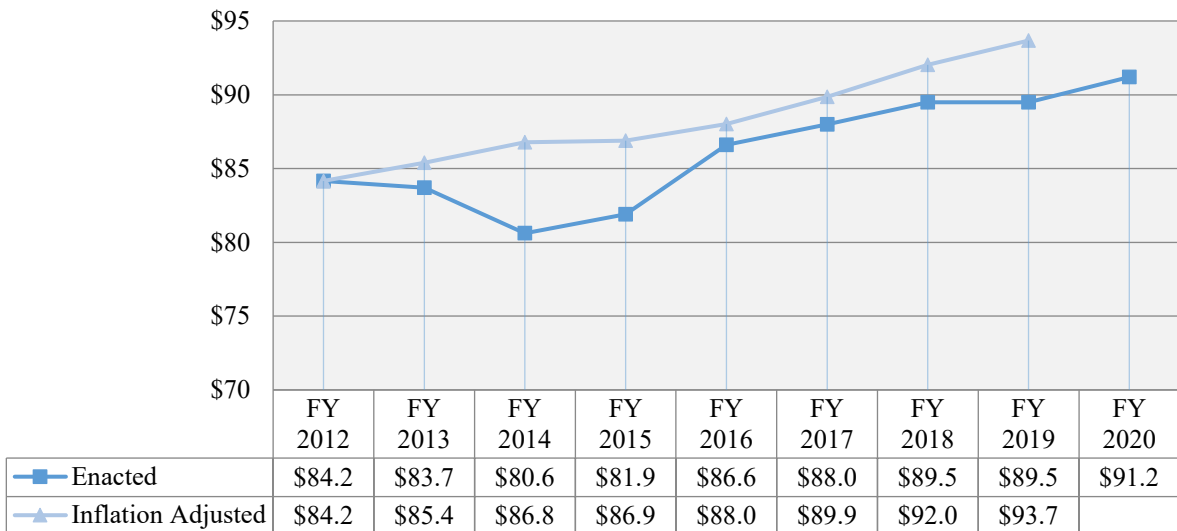
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Request vs. Enacted, FY 2012-FY 2021  
(Dollars in millions)



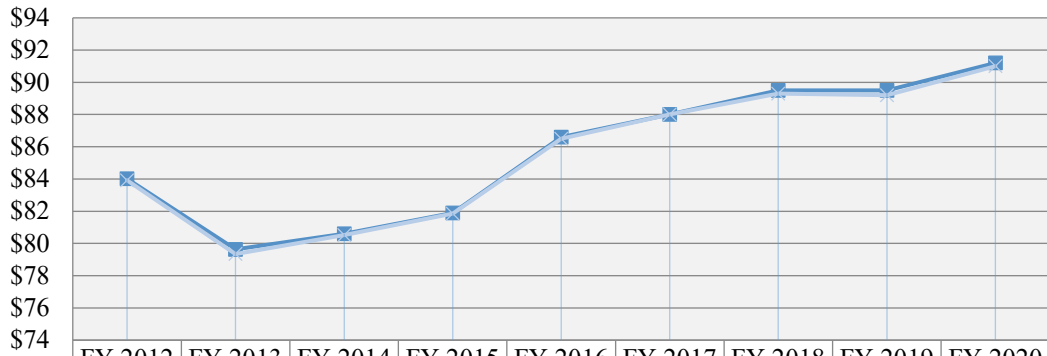
# Office of Inspector General

FY 2012 Inflation Adjusted BA vs. FY 2012-FY 2020 Enacted BA  
(Dollars in millions)



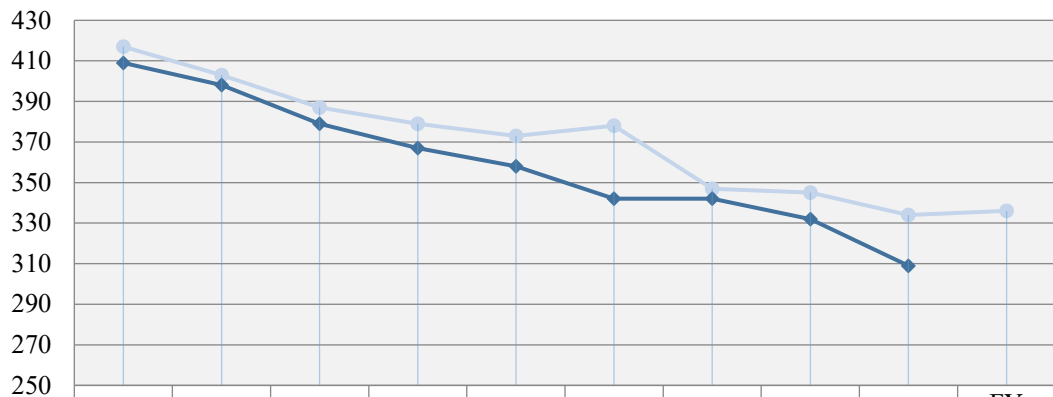
### Office of Inspector General Budget Authority vs. Obligations, FY 2012-FY 2020

(Dollars in millions)



Enacted	\$84.0	\$79.6	\$80.6	\$81.9	\$86.6	\$88.0	\$89.5	\$89.5	\$91.2
Obligations	\$83.9	\$79.3	\$80.5	\$81.9	\$86.5	\$88.0	\$89.3	\$89.2	\$91.0

### Office of Inspector General Authorized FTE vs. Actuals, FY 2012-2021



Authorized	417	403	387	379	373	378	347	345	334	336
Actuals	409	398	379	367	358	342	342	332	309	

## TAB 5: AGENCY PERFORMANCE

The OIG contributes significantly towards the achievement of the Department's mission and goals through improved integrity of DOL programs and operations, reduced vulnerabilities, and efficiencies and cost savings realized. The OIG strives to be a performance and risk-based, and a people-focused organization committed to managing resources towards specific, measurable performance goals and to deliver value to our stakeholders by identifying and managing risks across the OIG.

**[OIG Strategic Plan FY 2018- 2022](#)**<sup>13</sup>: This Strategic Plan outlines our vision for the future and provides a clear, unified, and enduring direction for all of our activities and serves as the foundation on which we will build and measure success of our activities. We use this plan to align resources to accomplish our goals in the best way possible.

**[FY 2019 Performance Report & FY 2021 Performance Plan](#)**<sup>14</sup>: This report presents the OIG's organizational performance results and plans based on the OIG's Strategic Plan. This report also highlights the OIG's strategic goals with their related strategic objectives, organizational performance results against key performance indicators, and OIG accomplishments.

**[OIG Enterprise Risk Management Framework](#)**<sup>15</sup>: This Framework provides a best-practice approach to identify and manage potential events that may impact the OIG, as well as a basic governance and management structure to oversee and implement risk management activities.

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<sup>13</sup> <https://www.oig.dol.gov/public/reports/OIG%20Strategic%20Plan%202018-2022.pdf>.

<sup>14</sup> <https://www.oig.dol.gov/public/reports/FY%202019%20Annual%20Performance%20Report.pdf>.

<sup>15</sup> <https://www.oig.dol.gov/public/OIG%20DOL%20ERM%20Framework.pdf>.