



UNITED STATES DEPARTMENT OF EDUCATION  
OFFICE OF INSPECTOR GENERAL

## Office of Inspector General Functional Statement

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### 1. Mission and Responsibilities

The [Inspector General Act of 1978](#), as restated at 5 U.S.C. §§ 401–424, establishes the Offices of Inspectors General as independent and objective units within government agencies with the mission of promoting economy, efficiency, and effectiveness of their agencies' programs and operations and to prevent and detect fraud and abuse. To achieve their mission, the Inspectors General are required to conduct independent audits, investigations, and other reviews and to recommend actions to address systemic weaknesses and to improve agency programs and operations. Inspectors General also recommend changes needed in relevant Federal laws and regulations. By statute, the Offices of Inspectors General are required to keep both the head of the agency and the Congress fully and currently informed about deficiencies in programs and operations and progress in correcting those deficiencies.

The Inspector General for the U.S. Department of Education (Department) is appointed by the President and confirmed by the United States Senate, selected without regard to political affiliation and based solely on integrity and demonstrated ability in accounting, auditing, financial analysis, law, management analysis, public administration, or investigations. Only the President can remove or transfer the Inspector General, and the President must inform Congress of the reasons in writing at least 30 days before removing or transferring an Inspector General. This safeguard is in place to prevent an Inspector General from being removed for political reasons or simply because they are doing an effective job of identifying fraud, waste, and abuse.

To meet its mission and fulfill its responsibilities, the Office of Inspector General (OIG) performs a number of activities, including the following.

- Conducts independent audits, investigations, inspections and other reviews of Departmental programs, operations, program participants, and funding.
- Identifies and prevents fraud, waste, abuse, and criminal activity involving Department funds, programs, and operations.

- Provides leadership promoting economy, efficiency, and effectiveness in the administration of Department programs and operations. Reviews legislation and regulations relating to Departmental programs and makes recommendations regarding these items' impact on the economy and efficiency of Departmental programs. Recommends policies for other activities that promote economy and efficiency in the Department's programs and operations.
- Informs the Secretary and the Congress about weaknesses or issues in Department programs and operations needing corrective action and proposes corrective actions to address those problems and weaknesses.

## 2. Organization and Functions

The OIG is under the direction of the Inspector General, who is supported by the Deputy Inspector General. To manage and carry out its functions, the OIG utilizes a component structure based on specific areas of focus: (A) the Immediate Office of the Inspector General; (B) Audit Services; (C) Investigation Services; (D) Technology Services; (E) Legal Services; (F) Management Services; and (G) Enterprise and External Affairs.

OIG organizational chart can be found via this link: <https://oig.ed.gov/about/oig-components>.

### A. Immediate Office of the Inspector General

The Immediate Office of the Inspector General is responsible for coordinating and assuring accomplishment of the overall mission of the OIG.

#### Key Functions

The Immediate Office of the Inspector General is responsible for the coordination and oversight of the OIG's mission, providing overall leadership, setting the direction of the OIG, and providing internal management support and communications services.

#### Management

The Immediate Office is composed of the Inspector General, the Deputy Inspector General, and their executive staff. Additionally, the Enterprise and External Affairs component serves as an extension of the Immediate Office.

### B. Audit Services

Audit Services is responsible for all audit, inspection, and other activities to promote economy, efficiency, and effectiveness in the Department's programs and operations. Audit Services also recommends changes to existing and proposed legislation and regulations to clarify requirements, improve program performance and operations, and to prevent and detect fraud and abuse in its programs and operations.

#### Key Functions

1. Conducts audits and other reviews of internal Department operations and programs, including statutory work, as well as of external entities that receive Departmental funding. Audit Services issues reports of its findings and recommendations for corrective action to address any deficiencies or other issues identified.

2. Provides oversight, guidance, and support relating to the performance of non-Federal audits. This includes performing quality assurance reviews, providing technical assistance, and issuing audit guides to help independent public accountants or audit organizations performing audits of participants in the Department's programs.
3. Conducts resolution activities to ensure that issues identified in audits and other reviews are effectively addressed
4. Develops policy and performs quality assurance activities to ensure audits and other reviews are performed efficiently, effectively, and in accordance with applicable professional standards.
5. Works with other OIG components, including Investigation Services to ensure that matters it identifies as needing investigative attention are promptly coordinated.

## Management

Audit Services operates under the management of the Assistant Inspector General for Audit Services and the Deputy Assistant Inspector General for Audit Services, who also oversee the component's budget development and execution. To help facilitate its work and meet its functional requirements, Audit Services employs the following teams.

- **Audit Operations Team.** This team performs a wide range of services that include overseeing Audit Services' operational functions, such as budget and project tracking; developing and updating policies and procedures; conducting continuous monitoring activities related to audit activities; managing audit information systems; monitoring results under Audit Services' performance metrics; and conducting special studies and analysis.
- **Financial Statements Audit Team.** The Financial Statement Internal Audit Team provides oversight of the annual statutory audits of internal Departmental financial programs and activities. The team is responsible for liaising with the Department and participates in an advisory capacity on Departmental teams as appropriate.
- **Non-Federal Audit Team.** Provides oversight, guidance, and support relating to the performance of non-Federal audits. This includes performing quality assurance reviews, providing technical assistance, and issuing audit guides to help independent public accountants or audit organizations performing audits of participants in the Department's programs.
- **Information Technology Oversight Team.** This team conducts audit-related work focused on information technology (IT), including the statutory annual Federal Information Security Modernization Act, or FISMA, reviews. The team also produces IT security reports to help the Department identify and mitigate risks in its IT systems.
- **Internal Operations Oversight Team.** This team conducts audit-related work focused on Department operation and management, including audit-related work requested by Congress. This includes statutory assignments involving the Department's compliance with such laws as the Payment Integrity Information Act, Grants Oversight and New Efficiency Act, Geospatial Data Act, and the Government Charge Card Abuse Prevention Act.

- **Elementary and Secondary Oversight Team.** This team conducts audit-related work focused on Federal elementary and secondary education programs, as well as special education, vocational and rehabilitative services programs. The team provides the means for the OIG to build and maintain program or technical expertise in these areas.
- **Higher Education Oversight Team.** This team conducts audit-related work focused on Federal higher education programs, including the Federal student aid programs. The team provides the means for the OIG to build and maintain program or technical expertise in these areas.
- OIG audit team locations can be found via this link: <https://oig.ed.gov/contact/regional-offices>.

## C. Investigation Services

Investigation Services is responsible for all investigative activities relating to the Department's programs, operations, funding, prevention and detection of fraud, waste, abuse, and other criminal activity involving these programs, operations, and funds. Investigation Services also conducts, supervises, and coordinates investigations of suspected criminal activity or serious misconduct by Departmental employees. Investigation Services maintains the OIG Hotline (available 24-7 via the internet and staffed by professional live-voice operators during the week) and accompanying system for the receipt, screening, and disposition of allegations and complaints involving violations of law, rules and regulations, mismanagement, or suspected fraud and waste in the utilization of Departmental funds.

### Key Functions

1. Investigates fraud, abuse, and other criminal, civil, and administrative violations of law involving Department program participants, grantees, subgrantees, and Department employees, contractors, and subcontractors.
2. Investigates cybercrime affecting and involving the use of IT systems.
3. Operates the OIG Hotline, which provides an opportunity for the public to report suspected fraud, waste, abuse, and other criminal activity involving Department programs, funding, or operations.
4. Operates a state-of-the-art laboratory for conducting and coordinating digital forensic analysis, data analysis, and processing digital evidence.
5. Coordinates with the U.S. Department of Justice as well as State and local prosecutive entities.
6. Conducts outreach with strategic partners and fraud awareness briefings. Collaborates with other OIG components to develop appropriate enforcement actions and to identify programs vulnerable to fraud.
7. Recommends corrective actions to address Department programs vulnerable to fraud.

8. Develops policies, criteria, and procedures for investigations in conformance with Federal laws, the Federal Rules of Civil Procedure, the Federal Rules of Evidence, court decisions, legal opinions, and advice from the Department of Justice, and the Constitution.
9. Conducts special projects and analyses.

### **Federal Law Enforcement Authority**

OIG criminal investigators operate with full statutory law enforcement authority. This allows them to not only carry firearms, but to execute arrest and search warrants, and take sworn statements. OIG criminal investigators employ the full spectrum of traditional law enforcement techniques, such as conducting surveillance and undercover operations. OIG criminal investigators work side-by-side with their colleagues in other law enforcement agencies, as well as with Federal, State, and local prosecutors.

### **Management**

Investigation Services operates under the management of the Assistant Inspector General for Investigation Services and the Deputy Assistant Inspector General for Investigation Services, who also oversee the component's budget development and execution. To help facilitate its work and meet its functional requirements, Investigation Services maintains Regional Offices and an Operations Unit.

- **Investigative Regional Offices.** Investigation Services maintains three Regional Offices, each with field offices. From these offices, OIG criminal investigators carry out investigative activities within specific geographical areas.
  - Eastern Regional Office—Washington, DC
  - Central—Chicago, Illinois
  - Western—Long Beach, California
- **Investigative Operations Unit.** This unit performs a wide range of services, including developing, updating, and maintaining policies and procedures; conducting special studies and analyses; conducting qualitative investigative file reviews; strategic liaison with Departmental leadership; and other special assignments. The Unit also leads two programmatic divisions:
  - **OIG Hotline/Investigative Support Services.** All OIGs are required to provide a Hotline for anyone to report allegations or suspicions of fraud, waste, abuse, mismanagement, or violations of laws or regulations involving their agency's operations. The OIG Hotline is available 24-7.
  - **Technology Crimes Division (TCD).** TCD is responsible for investigating IT-based crimes and criminal activity against and within the Department, or IT-based criminal activity that threatens the Department's administration of Federal education assistance funds. TCD also performs forensic analysis of digital evidence in support of all OIG components. The TCD team is a mix of technically trained Computer Crime Special Agents and Digital Forensics Computer Specialists.

OIG investigative Regional and field office and Investigations Operations Unit locations can be found via this link: <https://oig.ed.gov/contact/regional-offices>.

## **D. Enterprise and External Affairs**

Enterprise and External Affairs, as an extension of the Immediate Office, facilitates activities impacting the entire OIG enterprise.

### **Key Functions**

1. Leads the OIG's strategic planning and organizational performance management activities.
2. Ensures the integration of employee engagement and innovation principles into OIG business processes.
3. Administers the OIG's Ombudsman program and provides OIG staff with an independent, impartial resource for informal and confidential conflict resolution.
4. Oversees the OIG's enterprise risk management activities, including independent, internal oversight of the OIG and its employees, ensuring compliance, accountability, and ongoing improvement throughout the organization.
5. Conducts internal quality assurance reviews and investigations.
6. Coordinates communications between the OIG and the Congress, the media, and the public.
7. Creates and facilitates the development of products, services, and programs, including managing the OIG's website and social media platforms.

### **Management**

Enterprise and External Affairs operates under the management of the Assistant Inspector General for Enterprise and External Affairs, who also oversees the component's budget development and execution. To help facilitate its work and meet its functional requirements, Enterprise and External Affairs employs the following service groups.

- **Strategy and Performance Services.** This group leads the OIG's strategic planning and continuous organizational performance management process; administers the OIG's information management program, ensuring the OIG's compliance with Federal records requirements; and supports committees and subcommittees of the Council of the Inspectors General on Integrity and Efficiency activities.
- **Quality and Integrity Services.** This group is responsible for conducting internal investigations of OIG personnel and internal quality control reviews and vulnerability assessments of audit, investigative, inspection, and administrative activities. The group also facilitates OIG's enterprise risk management program and may perform special investigations, reviews, audits, and inspections of a sensitive or complex nature and special projects not within the purview of other OIG entities.
- **Congressional and Communications Services.** This group coordinates the OIG's external and internal communications. This includes communications between the OIG and Congress, the media, and the general public, content on the OIG's public-facing website and social media

platforms. The group also produces statutory reports such as the Semiannual Report to Congress, and other printed, audio, and video materials; and provides editing and graphic design services to OIG components.

- **Workforce Engagement Services.** This group facilitates the OIG's efforts to ensure integration of employee engagement and innovation principles into our business processes, and retaining, developing, advancing, and recruiting a talented OIG team. The group also administers the OIG's Ombudsman program, provides OIG staff an independent, impartial resource for informal and confidential conflict resolution.

## **E. Legal Services**

Legal Services is responsible for the OIG's legal and litigation services, ethics program, and Freedom of Information Act (FOIA) and Privacy Act functions.

### **Key Functions**

1. Manages the OIG's legal, FOIA, and ethics functions.
2. Provides legal advice and assistance to the Inspector General and OIG staff on a full range of subjects, including Federal education law; administrative, criminal, and civil procedure; and the Civil False Claims Act. Represents the OIG in administrative litigation before the Merit Systems Protection Board and the Equal Employment Opportunity Commission.
3. Reviews OIG audit and other reports, administrative subpoenas, memoranda, policy, contracts, agreements, and personnel actions issued or entered into by the OIG for legal sufficiency and compliance with Federal statutes and regulatory requirements.
4. Serves as a liaison to the U.S. Department of Justice and U.S. Attorney's Office in criminal and civil matters.
5. Facilitates OIG responses to Freedom of Information Act and Privacy Act requests.
6. Administers the OIG ethics program, including 450 financial disclosures and reviews, and ethics training.

### **Management**

Legal Services operates under the management of the Assistant Inspector General for Legal Services and Counsel to the Inspector General, who also oversees the component's budget development and execution.

## **F. Management Services**

Management Services provides administrative and management support to the Inspector General and all OIG components.

### **Key Functions**

1. Formulates, executes, and oversees the OIG budget.
2. Develops and maintains administrative and management policy and procedures.
3. Performs human resource support activities.

4. Coordinates facility and property management.
5. Maintains the OIG's business continuity plans and emergency contact system and ensures coordination between Department and OIG policies.

### Management

Management Services operates under the management of the Assistant Inspector General for Management Services and the Deputy Assistant Inspector General for Management Services, who also oversee the component's budget development and execution. To help facilitate its work and meet its functional requirements, Management Services employs the following service offices.

- **Office of Budget Services.** This team coordinates the OIG's budget services, including formulating, executing, and monitoring the OIG budget, performing analyses to assist in allocating and managing funding and staff resources, and overseeing monthly and annual reconciliation of OIG budget allocations.
- **Office of Human Resources.** This team manages the OIG's human capital services, including all hiring and recruitment activities, executive resources, and its drug testing program. The team also develops and sponsors OIG-wide leadership development programs.
- **Office of Administrative Operations.** This team oversees all administrative functions, including asset inventory, facilities management, badges and credentials, the contracting and procurement program, the Government Purchase Card program, and mission support operations. The team includes two units: the Office of Procurement Services and the Office of Support Services.

## G. Technology Services

Technology Services leverages technology to enhance and advance the OIG's mission. Among its efforts, Technology Services provides advanced data analytics in support of OIG audits and investigations, and maintains the OIG's systems, its IT infrastructure and security posture.

### Key Functions

1. Provides expert data analysis in support of ongoing investigations and audits, develops risk models, and coordinates data mining efforts.
2. Provides IT oversight and operational support to OIG staff, including designing, installing, testing, implementing, and maintaining critical OIG databases and systems, and coordinates the purchase of OIG IT hardware, software, and related items.

### Management

Technology Services operates under the management of the Assistant Inspector General for Technology Services and the Deputy Assistant Inspector General for Technology Services, who also oversee the component's budget development and execution. To help facilitate its work and meet its functional requirements, Technology Services employs the following teams.

- **Data and Analytic Services Team.** This team supports OIG audit-related and investigative efforts through advanced data analytics and analyses.



- **Technology Support Operations Team.** This team maintains all OIG systems and IT infrastructure and manages OIG Cybersecurity posture. All teams leverage technology to generate products and services that advance and enhance the OIG mission.

### 3. Order of Succession

#### Temporary Absence

In instances where the Inspector General position is filled, but the Inspector General is absent, unavailable, or otherwise temporarily unable to perform the functions and duties of the position, or there is a disruption in the normal channels of direction and communication, and there is no person officially serving in an acting capacity, and unless the Inspector General designates another individual to perform the functions and duties of the Inspector General, the following officials, in the order shown below, are delegated the authority to perform the functions and duties of the office of the Inspector General.

1. Deputy Inspector General
2. Assistant Inspector General for Audit (AIGA)
3. Assistant Inspector General for Investigations (AIGI)
4. Assistant Inspector General for Enterprise and External Affairs (AIG EEA)
5. Assistant Inspector General for Legal Services/Counsel to the Inspector General
6. Assistant Inspector General for Management Services (AIG MS)
7. Assistant Inspector General for Technology Services (AIG TS)
8. Deputy AIGA
9. Deputy AIGI
10. Deputy AIG MS
11. Deputy AIG TS
12. Special Agent in Charge, Eastern Region
13. Director, Elementary and Secondary Education Oversight Team

#### Vacancy in Office of the Inspector General

In the event that the Inspector General dies, resigns, or is otherwise unable to perform the functions and duties of the office and the office is thereby deemed to be vacant, as defined by the [Inspector General Act](#), as restated (5 U.S.C. section 403(h)) and the [Federal Vacancies Reform Act of 1998](#) (Vacancies Act) (5 U.S.C. section 3345 et seq.), and the President has not designated in writing another individual to act as the Inspector General, the Deputy Inspector General, as the designated first assistant, shall perform the functions and duties of the office in an acting capacity.

#### Vacancy in Offices of the Inspector General and Deputy Inspector General

If both the offices of the Inspector General and the Deputy Inspector General are vacant, the individuals listed below the Deputy Inspector General, in the order shown above, are authorized to perform the functions and duties of the office of the Inspector General in an acting capacity. The designated official temporarily performing the functions and duties of the office of the Inspector General shall exercise the full authority and power prescribed to the Inspector General by law, as well as those authorities that have been delegated to the Deputy Inspector General by the Inspector General. The designated official shall also perform the duties and exercise the authorities that have been delegated to the Inspector General by the Secretary unless the Secretary has ordered otherwise. While the designated official is temporarily performing the functions and duties of the Inspector General, they shall continue to perform

the duties and exercise the authorities and powers of their official position. If required, these original duties, authorities, and powers may be further delegated.

### **Vacancy in Office of the Inspector General and No Acting Official**

If the time period during which the Deputy Inspector General may, under the Vacancies Act, serve in an acting capacity expires, the Deputy Inspector General or anyone acting for the Deputy Inspector General, is authorized to perform the functions and duties of the office of the Inspector General that are delegable. If the time period during which the Deputy Inspector General may serve in an acting capacity has expired and the Deputy Inspector General position becomes vacant, then the individuals listed below the Deputy Inspector General, in the order shown above shall perform the functions and duties of the office of the Deputy Inspector General.

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