



OFFICE OF
INSPECTOR GENERAL
U.S. DEPARTMENT OF THE INTERIOR

OCT - 7 2016

The Honorable Loretta E. Lynch
Attorney General
U.S. Department of Justice
950 Pennsylvania Avenue, NW.
Washington, DC 20530

Dear Ms. Lynch:

The U.S. Department of the Interior Office of Inspector General recently completed a review of the management procedures and internal safeguards established by the National Railroad Passenger Corporation (Amtrak) Office of Inspector General for the law enforcement functions of that agency. Such periodic review is required by the Council of the Inspectors General on Integrity and Efficiency (CIGIE) to ensure that the Inspectors General adhere to standards for investigations.

Enclosed you will find our letter to Mr. Thomas Howard, Inspector General for Amtrak, which communicates our findings.

Should you have any questions regarding the results of our review, please feel free to contact me. Staff requests for information can be addressed directly to Assistant Inspector General for Investigations Matthew T. Elliot at 202-208-5745.

Sincerely,

A handwritten signature in black ink, appearing to read "Mary L. Kendall". The signature is fluid and cursive, with the first name "Mary" being the most prominent.

Mary L. Kendall
Deputy Inspector General

cc: Mark D. Jones
Executive Director, CIGIE

Mr. Thomas Howard
Inspector General, Amtrak

Enclosure



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INSPECTOR GENERAL
U.S. DEPARTMENT OF THE INTERIOR

OCT - 7 2016

Mr. Thomas Howard
Inspector General
National Railroad Passenger Corporation (Amtrak)
10 G Street, NE, Suite 3W-300
Washington, DC 20002-4285

Subject: Report on the Quality Assessment Review of the Investigative Operations of the Amtrak Office of Inspector General

Dear Mr. Howard:

We reviewed the system of internal safeguards and management procedures for the investigative operations of the Amtrak Office of Inspector General (OIG) in effect for the period that ended April 15, 2016. We conducted our review using the Quality Standards for Investigations and the Quality Assessment Review Guidelines established by the Council of the Inspectors General on Integrity and Efficiency (CIGIE), and the Attorney General's Guidelines for Offices of Inspector General with Statutory Law Enforcement Authority, as applicable.

We reviewed Amtrak OIG's compliance with its system of internal policies and procedures to the extent we considered appropriate. We conducted our review at Amtrak OIG headquarters in Washington, DC, and field offices in Philadelphia, PA, and Los Angeles, CA. We also reviewed 20 closed investigative files completed within the past 12 months.

In performing our review, we considered the prerequisites of Section 6(e)(2) of the Inspector General Act of 1978, as amended; Section 812 of the Homeland Security Act of 2002 (Pub. L. 107-296); CIGIE Quality Standards for Investigations; and Amtrak OIG internal policy.

In our opinion, the system of internal safeguards and management procedures for Amtrak OIG's investigative function, in effect for the period April 2013 through April 2016, complied with these quality standards. The safeguards and procedures followed by your office provide reasonable assurance that Amtrak OIG conforms to professional standards when conducting its investigations.

Sincerely,

A handwritten signature in black ink, appearing to read "Mary L. Kendall". The signature is fluid and cursive.

Mary L. Kendall
Deputy Inspector General

cc: Mark D. Jones
Executive Director, CIGIE

Attachments (4)

Objective, Scope, and, Methodology

We conducted this quality assessment review to determine whether the National Railroad Passenger Corporation (Amtrak) Office of Inspector General (OIG) had internal control systems in place that provided reasonable assurance that it followed professional standards when conducting investigations. We used the Council of the Inspectors General on Integrity and Efficiency's (CIGIE) Quality Standards for Investigations and the Attorney General's Guidelines for Offices of Inspector General with Statutory Law Enforcement Authority as the professional standards during our review.

We performed our review in accordance with CIGIE Qualitative Assessment Review Guidelines for Federal Offices of Inspector General. We analyzed existing policies and procedures, conducted interviews with management officials and staff, reviewed closed investigative case files and other administrative records, and tested compliance with the Amtrak OIG's internal control systems. We conducted our onsite reviews from May 17-24, 2016.

List of Offices Visited During this Review

Locations Visited	Number of Personnel Interviewed
Headquarters, Washington, DC	8
Field Office, Philadelphia, PA	1
Field Office, Los Angeles, CA	5

Closed Case Files Reviewed

We randomly selected for review 20 of 36 investigative files closed during the 12-month period from April 2015 – March 2016.

Case File Number	Case Closing Date
PA-15-0076-O	September 24, 2015
DC-15-0217-HL-O	January 1, 2016
IL-12-0197-HL-I	February 25, 2016
DC-14-0241-O	June 17, 2015
MA-15-0288-O	October 13, 2015
PA-12-0331-O	January 15, 2016
DC-14-0257-O	November 9, 2015
PA-15-0083-O	June 29, 2015
IL-14-0452-O	July 10, 2015
DC-13-0163-HL-O	March 11, 2016
IL-14-0395-O	May 6, 2015
PA-15-0011-O	June 22, 2015
PA-14-0291-O	April 14, 2015
IL-13-0090-O	September 30, 2015
DC-13-0345-O	March 1, 2016
DC-15-0282-O	November 6, 2015
MA-14-0484-HL-O	December 3, 2015
PA-14-0457-O	June 24, 2015
DC-13-0190-HL-O	April 28, 2015
DC-14-0398-O	April 14, 2015

Best Practices and Laudatory Comments

During our review, we identified a number of best practices in the investigative operations that we believe warrant acknowledgement:

- Amtrak leadership has recognized that investigative capacity must keep pace with the proliferation of cloud-based computing, the explosion of device miniaturization, and the sheer volume of data available on electronic devices that represents potential evidence.
- Special agents have the capability to mine large quantities of paper and electronically stored data with state of the art investigative tools, such as Nuix and ACL Analytics Software. Using this technology, special agents can process content from disparate storage media and forensically index that data in a way that allows investigators to find, analyze, and organize material evidence effectively.
- The Computer Forensic Team has developed an exceptional program and all of the forensic files we reviewed were uniform and consistent between the forensic examiners.
- Investigative personnel are pleased with the professionalization of the agency and the forward-thinking approach of leadership. Amtrak OIG personnel specifically noted that they are now provided continuing education opportunities for professional development.