

**NATIONAL RAILROAD PASSENGER CORPORATION**  
**Office of Inspector General**



**Strategic Plan**  
**Fiscal Years 2010 – 2014**



Cover photo courtesy of Amtrak – National Railroad Passenger Corporation  
*The Adirondack* along Lake Champlain's Willsboro Bay

## Message from the Inspector General



March 16, 2010

I am pleased to present the Office of Inspector General's (OIG) Revised Strategic Plan for fiscal years 2010 to 2014 (OIG Strategic Plan). This strategic plan sets forth the OIG's strategic priorities to promote positive change, maximize efficiency and value in our work, and lead by example in creating a model organization.

Amtrak (the company) issued its new five year strategic guidance on October 29, 2009, subsequent to the release of our initial strategic plan for fiscal years 2010 to 2014. In its guidance the Amtrak executive committee presented its *New Mission: Getting there the Safer, Greener, Healthier way*; and, identified six goals to support that mission under the headings of Safer, Greener, Healthier, Improve Financial Performance, Improve Customer Service, and Meet National Needs.

Accordingly, we revised and reorganized our OIG Strategic Plan to align our goals, objectives, strategies, and performance measures to support Amtrak's new mission and goals. The revised OIG Strategic Plan focuses on six major OIG goals. The first five goals generally parallel Amtrak's goals with a couple of exceptions. We combined Amtrak's Healthier and Improve Financial Performance goals into one OIG goal due to the many overlapping processes integrated in these two Amtrak goals; and, we incorporated the security objective within Amtrak's Meets National Needs goal into our Safer goal.

Aligning Amtrak's goals and objectives in this manner allows us to effectively and efficiently evaluate and assist management's efforts to apply the principles of Amtrak's *New Mission* and performance management to Amtrak's programs and operations. Additionally, we added a sixth goal relating to the OIG's internal operations for the same period.

Our goals establish the framework to position the OIG to be relevant and respected for our expertise and products. We continuously strive to evaluate our efforts to assure the accountability of Amtrak and our responsiveness to the needs of Congress and the public; and, we seek to develop and maintain an organization whose ideas and performance results make us a leader in the OIG community. OIG's specific goals are:

- Goal 1:** Promoting a safe and secure environment for Amtrak employees, its passengers, and the public. (Safer)
- Goal 2:** Advocating a more energy-efficient and environmentally responsible rail system. (Greener)
- Goal 3:** Reinforcing a "State of Good Repair" and a modernized, enduring, and reliable operation that improves the bottom line. (Healthier and Financial Performance)
- Goal 4:** Promoting exemplary customer service, increased ridership, convenient connections, and reduced trip times. (Customer Service)
- Goal 5:** Advancing the efficient and economic expansion of national transportation needs and response to national emergencies. (Meet National Needs)
- Goal 6:** Leading by example as a model OIG organization. (OIG Operations)



The OIG staff and I believe that these six goals, with their corresponding objectives, strategies, and performance measures provide a solid foundation for the future; and, they will allow the OIG to establish the baselines, benchmarks, and specific tasks we will use to effectively and efficiency pursue our mission. This is an evolving document, which we will review annually and update as necessary to ensure that the OIG's work remains of high quality, relevant, timely, and responsive to the needs of Amtrak, Congress, and the public.

A handwritten signature in black ink, appearing to read "Ted Alves". The signature is fluid and cursive, with a long, sweeping tail.

Ted Alves  
Inspector General

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## **Vision, Mission, and Authority**

### *Vision*

The Office of Inspector General (OIG) strives to provide Amtrak's employees, its customers, the public, and the Congress with the highest quality service and programs through vigilance, timely action, accuracy, and an overall commitment to excellence across the broad range of OIG responsibilities.

### *Mission*

The OIG will: conduct and supervise independent and objective audits, inspections, evaluations, and investigations relating to company programs and operations; promote economy, effectiveness, and efficiency within the company; prevent and detect fraud, waste, and abuse in agency programs and operations; review security and safety policies and programs; and, review and make recommendations regarding existing and proposed legislation and regulations relating to Amtrak's programs and operations.

### *Authority*

The *Inspector General Act of 1978* (Public Law 95-452, 5 U.S.C., Appendix 3), as amended in 1988 (P.L. 100-504), established the Office of Inspector General for Amtrak to consolidate existing investigative and audit resources into our independent organization headed by an Inspector General (IG) to promote economy, efficiency, and effectiveness; and, prevent and detect fraud, waste, and abuse. Subsequently, the *Inspector General Reform Act of 2008* (Public Law 110-409) amended and strengthened the authority of the Offices of the Inspectors General.

The OIG Strategic Plan reflects the OIG's goals and relates directly to our mission, as spelled out in the Inspector General Act of 1978, as amended, (IG Act) to:

- Conduct and supervise independent and objective audits, inspections, evaluations, and investigations relating to Amtrak programs and operations;
- Promote economy, efficiency, and effectiveness within Amtrak and the OIG;
- Prevent and detect fraud, waste, and abuse in Amtrak programs and operations;
- Make recommendations regarding existing and proposed legislation and regulations relating to Amtrak's programs and operations; and
- Keep the Board of Directors and Congress fully and currently informed of problems in company programs and operations.

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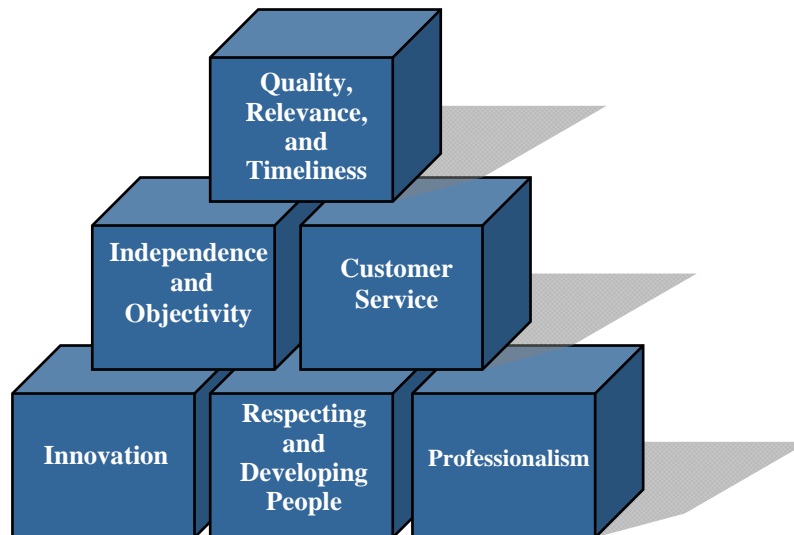
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To ensure objectivity, the IG Act empowers Inspector Generals with:

- Independence to determine what reviews to perform;
- Access to all information necessary for the reviews; and
- Authority to publish findings and recommendations based on the reviews.

### Guiding Principles and Values

OIG principles and values are important because they form the building blocks used to accomplish our mission and conduct our day-to-day operations:



- **Quality, Relevance, and Timeliness** — Provide valuable and timely service. Work products are high quality, relevant, timely, add value, and are responsive to the needs of Amtrak, and its stakeholders.
- **Independence and Objectivity** — Be committed to carry out our mission with objectivity and independence, both in appearance and fact; and maintain an attitude of impartiality, have intellectual honesty, and be free of conflicts of interest, improper influence, or other impediments.
- **Customer Service** — Strive to be aware of the needs of stakeholders and work with Amtrak’s chairman, the board of directors, and the Congress to improve program management.

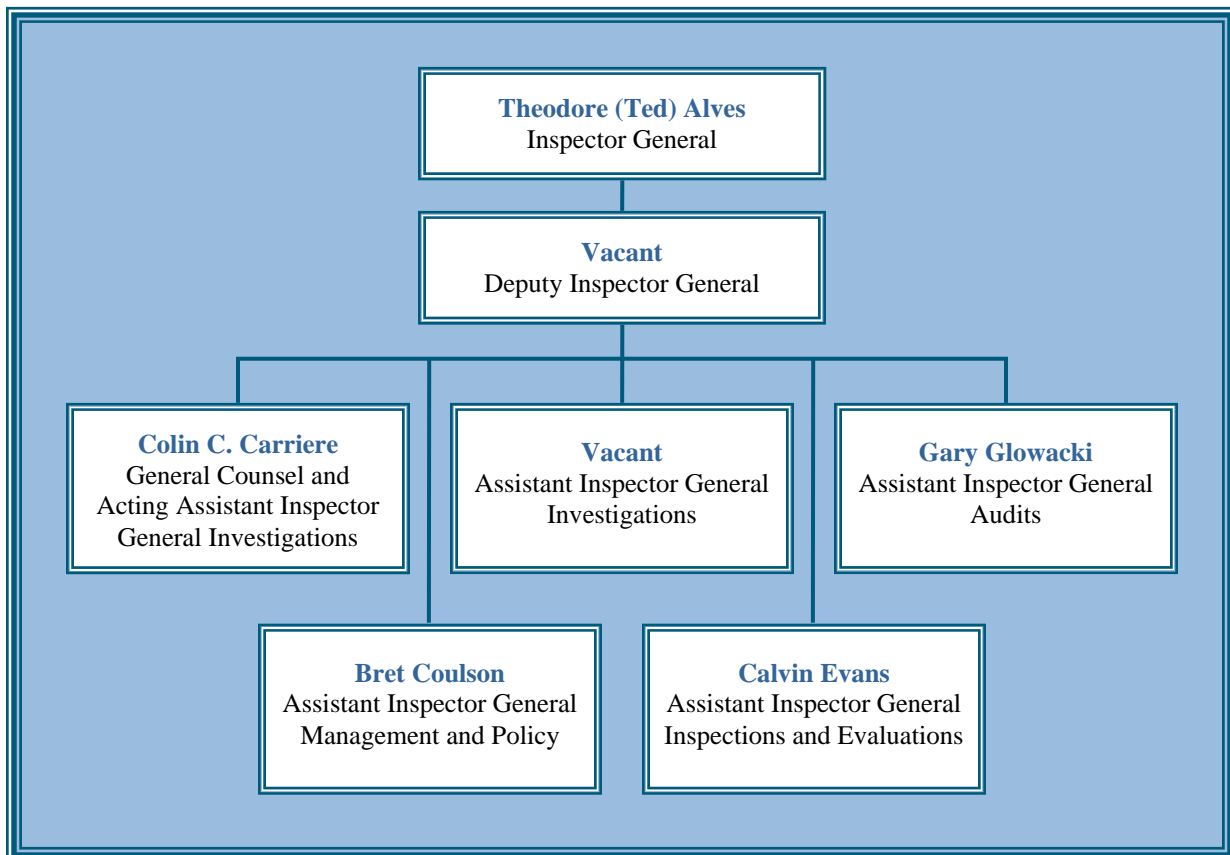
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- **Innovation** — Be innovative, question existing procedures, and suggest improvements. New ideas and creativity are fundamental to continued growth, development, and problem solving.
- **Respecting and Developing People** — Create an environment that supports gathering, sharing, and retaining knowledge, fosters treating everyone fairly and with mutual respect through words and actions, ensures professional growth, and values the diverse backgrounds, skills, and perspectives of employees.
- **Professionalism** — Be committed to ethical and professional standards and foster relationships with stakeholders that rely on communication and cooperation. Relationships with program managers are based on a shared commitment to improving program operations.

### Office of Inspector General Organization

The OIG is based in Washington, D.C. with field and satellite offices located in Baltimore, Philadelphia, Wilmington, New York, Boston, Chicago, and Los Angeles. The OIG is comprised of five areas of responsibility: General Counsel, Investigations, Audits, Management and Policy, and Inspections and Evaluations. The following chart reflects the OIG organizational structure.





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### **Areas of Responsibilities**

The Inspector General (IG) leads Amtrak's Office of Inspector General. The Deputy Inspector General reports directly to the Inspector General and is responsible for day-to-day operations of the OIG. This position is currently vacant. Below is a description of each area of responsibility.

#### ***General Counsel***

The General Counsel (Counsel) is responsible for providing legal assistance and advice to the Inspector General and supports audits, evaluations, special reviews, and investigations by ensuring that applicable laws and regulations are followed; manages the OIG's Freedom of Information Act and Privacy Act responsibilities; furnishes attorney services for the issuance and enforcement of OIG subpoenas; and provides legal advice on OIG operations. Counsel coordinates with outside attorneys including local and federal agencies and law enforcement attorneys, and appears in court on behalf of the OIG and its employees.

#### ***Investigations***

The Investigations group is responsible for investigating various types of fraud and abuse particularly allegations of financial wrongdoings, kickbacks, construction irregularities, bribery, and false claims; recommending to the company better internal controls to prevent fraud and abuse; and, reporting violations of law to the Attorney General and prosecutors. The group is charged with reviewing and safeguarding Amtrak's cash and credit card purchases for transportation and food services on board Amtrak trains.

#### ***Audits***

The Audit group focuses on performance audits of Amtrak's programs and operations to include program results, internal controls, economy, efficiency, effectiveness, and compliance, as well as information technology. It also conducts external reviews in support of Amtrak contracting officials to ensure fair contract prices and adherence to contract terms and conditions.

#### ***Inspections and Evaluations***

The Inspections and Evaluations (I&E) group is a unit whose staff have specialized skills in engineering, safety, labor/employee relations, mechanical maintenance operations, strategic planning, and finance. This group conducts targeted inspections and evaluations of Amtrak programs and operations. The inspection and evaluations process consists of independent studies and analytical reviews that often serve as the cornerstone for strategies to improve cost efficiency and effectiveness, and the overall quality of service delivery throughout Amtrak.

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### *Management and Policy*

The Management and Policy (M&P) group provides mission and administrative support services to the OIG by managing: budget formulation and execution; policy development; information technology support services; training; personnel security; dissemination of OIG information; human resources; and OIG equipment and facilities. M&P ensures performance quality and compliance with current and emerging government regulations, directives, and mandates; and is the primary liaison with the Congress and federal government departments and agencies.

### Profile of Amtrak

The National Railroad Passenger Corporation (Amtrak) is America's national passenger railroad. Congress created Amtrak in 1970 under the provisions of the *Rail Passenger Service Act of 1970* (Public Law 91-518) to take over, and independently operate, the nation's intercity rail passenger services. Amtrak began service on May 1, 1971 and operates as a for-profit corporation providing intercity rail passenger transportation as its principal business.



Photograph by J. Craig Thorpe

Union Station, Washington, DC

Congress reauthorized Amtrak under the provisions of the *Passenger Rail Investment and Improvement Act* (PRIIA) of 2008, and the Obama administration and Congress demonstrated their support through appropriations and the *American Recovery and Reinvestment Act* (ARRA), which together established Amtrak's new strategic direction. In late October 2009, Amtrak issued its new strategic guidance for the next five years, *Amtrak's New Mission: Getting there the Safer, Greener, Healthier way* (*Amtrak's New Mission*), which is a comprehensive description of how Amtrak's board of directors and management intend to execute the new and challenging policies and programs the Congress and the administration have laid out for Amtrak.

*Amtrak's New Mission* established broad goals, created key performance indicators to measure progress, and outlined the opportunities and challenges facing Amtrak as it pursue a growth-oriented mission to maximize unprecedented federal and state support for more and better passenger rail service. *Amtrak's New Mission* builds on six fundamental goals to be safer, greener, and healthier, and to improve financial performance, customer service, and meet national needs.

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*Amtrak Strategic Goals<sup>3</sup>*

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**Safer:** Operate the safest possible passenger railroad.

**Greener:** Increase efficiency, reduce emissions, and make better use of resources.

**Healthier:** Improve the condition, durability, and wholesomeness of every aspect of the company.

**Improve financial performance:** Improve our bottom line.

**Improve customer service:** Improve the quality and attractiveness of our service for passengers.

**Meet national needs:** Help with disaster relief and mobilization efforts, and help advance national policies and plans.

## **Stakeholders**

A wide-range of public and private sector entities and individuals use the OIG's products. OIG stakeholders include the Congress; the Chief Executive Officer and other Amtrak officials, managers, and staff; the board of directors (BoD); federal granting agencies; federal, state, and local authorities; and members of the general public – especially the U.S. taxpayer. The OIG seeks input from its stakeholders in planning its work, accommodates special requests received outside of the planning process, and welcomes feedback on its products, processes, and services.

## **General Means and Strategies**

The fundamental means for the OIG to achieve our strategic and performance goals will continue to be the audits, evaluations, and investigations that comprise the bulk of our efforts. In addition to fulfilling mandatory requirements and responding to requests, OIG strives to help decision-makers within Amtrak, the BoD, and the Congress manage scarce financial resources. In planning audits, evaluations, and investigations, OIG will target high-risk programs and operations to provide decision-makers with information that will assist them in making spending and operating decisions.

The OIG will continue to review and, as appropriate, revise our processes and methodologies to get the most value from our resources, better serve our customers and other interested parties, and ensure the achievement of our strategic and performance goals.

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## **Strategic Planning Process**

The Inspector General appointed and directed a Strategic Planning Task Force (the Task Force), comprised of representatives from each group, to lead the strategic planning process for the Amtrak OIG. While preparing this document, the Task Force reviewed a variety of documents including previous OIG strategic plans, OIG strategic plans of other agencies, and strategic planning guidance from a variety of federal government and other sources. Most significantly, the Task Force carefully analyzed *Amtrak's New Mission*.

In addition, the Task Force participated in strategic brainstorming and planning sessions. This document is the result of their efforts. The OIG senior management team, as part of its commitment to continuous process improvement, will continue to review, assess, and update this plan as necessary.



Photograph by John Briggs

*California Zephyr, Winter Park, Co*

## **Strategic Goals, Objectives, Strategies, and Performance Measures**

In consideration of the strategic challenges and its mission and vision, the OIG has developed six strategic goals and corresponding objectives and strategies to focus its workload over the next five years. Annually, using this strategic plan, the OIG will develop a performance plan to help it meet its strategic goals.

### **Strategic Goal 1:**

**Promoting a safe and secure environment for Amtrak employees, its passengers, and the public. (Safer)**

**Objective 1:** Make recommendations that help improve:

- Effectiveness, efficiency, and economy of Amtrak's safety and security programs, and
- Performance of federal grants for security investments and programs.

**Strategy 1:** Perform audits, evaluations, and investigations that address Amtrak's efforts to keep employees, passengers, and the public safe and secure, by reviewing whether:

- *Safe-2-Safer* and other safety and security initiatives are operating effectively, efficiently, and in compliance with existing policies, laws, and regulations;
- *American Recovery and Reinvestment Act of 2009* (ARRA) security investments comply with established standards and guidelines for security initiatives and will improve the economy, efficiency, and effectiveness of security operations; and
- *Transit Security Grant Programs* (TSGP) meet the security objectives required by Department of Homeland Security (DHS) grant agreements and grant funds are used appropriately.

**Outcomes 1:** Amtrak implements recommendations that lead to:

- Reduced accidents and injuries;
- Reduced security vulnerabilities and incidents;
- Enhanced compliance with applicable laws and regulations;
- Improved compliance with grants and contracts;
- More efficient and effective use of resources;
- Improved Amtrak management controls;
- Improved program performance; and
- Reduced alcohol/drug related incidents.

*“We’re creating a safer environment...”<sup>1</sup>*

*“...passengers will see a more interactive police and security presence.”<sup>2</sup>*

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**Strategic Goal 2:**

**Advocating a more energy-efficient and environmentally responsible rail system. (Greener)**

**Objective 2:** Make recommendations that help Amtrak:

- Increase energy efficiency;
- Reduce its carbon footprint; and
- Reduce its environmental impact.

**Strategy 2:** Perform audits, evaluations, and investigations that address Amtrak’s efforts to improve energy efficiency, reduce emissions and its environmental impacts to ensure programs are operating economically, efficiently, and effectively; applying industry best standards; and complying with existing policies, laws, and regulations, by focusing on:

- Energy conservation;
- Greenhouse gas emissions;
- Recycling;
- Electrification of additional routes;
- Energy efficient locomotives; and
- Cost savings relating to energy and conservation initiatives.

**Outcomes 2:** Amtrak implements recommendations that lead to:

- Reduced environmental impact;
- Reduction in energy bills;
- Reduced greenhouse gas emissions;
- Improvement in BTUs/ PM;
- Reduction in CO2 emissions;
- Reduced fuel consumption;
- Use of alternative energy sources;
- Enhanced compliance with applicable laws and regulations;
- Improved management controls;
- Improved program performance; and
- Accurate reporting of cost savings.

*“We’re pursuing multiple avenues to be better stewards of our environment.”<sup>1</sup>*

*“Lower fuel consumption translates into fewer greenhouse gas emissions.”<sup>3</sup>*

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**Strategic Goal 3:**

**Reinforcing a "State of Good Repair" and a modernized, enduring, and reliable operation that improves the bottom line. (Healthier and Financial Performance)**

**Objective 3:** Make recommendations to improve systemic weaknesses identified in critical programs and operations.

**Strategy 3:** Perform audits, evaluations, and investigations that focus on significant and critical areas of operation to ensure the effective, efficient, and economic use of Amtrak resources; limit financial and operating risks; and, prevent and detect fraud and abuse, such as:

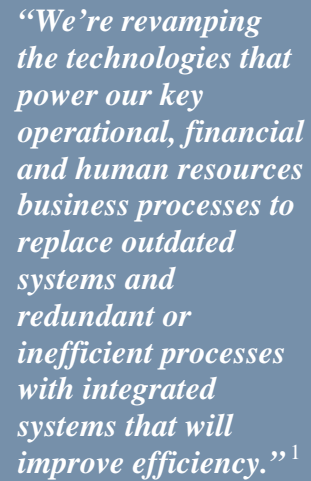
- State Supported Services;
- On-time performance;
- Maintenance of infrastructure, including:
  - Replacement of aging infrastructure, and
  - Spending plan for the Northeast Corridor (NEC) infrastructure;
- Maintenance of equipment, including:
  - Life Cycle Preventative Maintenance (LCPM), and
  - Reliability-Centered Maintenance (RCM);
- Acquisitions of Equipment;
- Accounting and Finance Operations, including:
  - Operating Cash Requirements,
  - Marketing and pricing,
  - Salaries, Wages, and Employee Benefits,
  - Human capital planning,
  - Budget Development, and
  - Ancillary business revenue, such as commuter, reimbursable, and commercial development operating agreements;

*“The health of the company relates to its vital signs — ridership and revenue, the condition of its infrastructure and fleet, financial stability, cost savings and new revenue opportunities, improved business processes and systems and sustained workforce and customer satisfaction.”<sup>2</sup>*

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- Critical Business Processes, including:
  - Consolidated National Operations Center (CNOC) operations,
  - Contract Initiation, Monitoring, and Execution,
  - Inventory/Asset Management,
  - Procurement of Goods and Services,
  - Management’s Risk Assessment Process,
  - Information Security, and
  - Amtrak’s Strategic Planning Process;
- Information Technology Modernization, including:
  - Strategic Asset Management (SAM) system,
  - Next Generation Reservation System (Res-NG) and eTicketing,
  - Amtrak Information Modernization Program (AIM), and
  - Information Technology Infrastructure Initiative (ITII).



*“We’re revamping the technologies that power our key operational, financial and human resources business processes to replace outdated systems and redundant or inefficient processes with integrated systems that will improve efficiency.”<sup>1</sup>*

**Outcomes 3:** Amtrak implements recommendations that lead to:

- Improved reliability of rolling stock;
- Improved program performance;
- Improved operational efficiencies and effectiveness;
- More efficient use of resources;
- Improved employee and manager skills;
- Enhanced compliance with applicable laws and regulations;
- Cost savings from improved business processes;
- Enhanced fraud prevention and detection;
- More accurate risk assessments;
- Improved management controls; and
- More effective information security controls.



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**Strategic Goal 4:**

**Promoting exemplary customer service, increased ridership, convenient connections, and reduced trip times. (Customer Service)**

**Objective 4:** Make recommendations to improve the convenience and attractiveness of services provided to customers.

**Strategy 4:** Perform audits, evaluations, and investigations that support Amtrak’s efforts to provide convenient, comfortable, and attractive services to customers that are operating as intended and employing an economic, efficient, and effective process, by focusing on:

- Compliance with federal mandated ADA accessibility requirements;
- Reservation booking and ticketing delivery (Quik-Trak);
- Amtrak.com enhancements;
- Route Performance Improvement Program (RPI);
- Station and facility improvements; and
- Recurrent problems with customer service.

**Outcomes 4:** Amtrak implements recommendations that lead to:

- Improved accessibility for disabled passengers;
- Increased ridership;
- Increased revenue;
- Better connections;
- Improved compliance with applicable laws and regulations;
- Improved management controls;
- Improved operational efficiencies and effectiveness;
- Cost savings from improved business processes; and
- Improved customer satisfaction scores.

*“We’re also aiming to improve customer service with a next-generation reservations system and e-Ticketing...”<sup>1</sup>*

*“... making progress toward improving station accessibility for those who are mobility impaired.”<sup>1</sup>*

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**Strategic Goal 5:**

**Advancing the efficient and economic expansion of national transportation needs and response to national emergencies.  
(Meet National Needs)**

**Objective 5:** Make recommendations to improve:

- National disaster relief and mobilization readiness; and
- Intercity and high-speed rail networks.

**Strategies 5:** Perform audits, evaluations, and investigations that address:

- Amtrak's commitment to help with disaster relief and mobilization efforts;
- Grant programs with Department of Transportation meet or exceed all grant requirements and grant funds are put to proper use;
- Hi-speed rail development programs and initiatives;
- Expansion of state-supported corridors and services under PRIIA; and
- ARRA initiatives for intercity high-speed rail.

**Outcomes 5:** Amtrak implements recommendations that lead to:

- Improved ability to respond to national emergencies;
- Improved train routes;
- More effective partnerships with states to expand intercity and high-speed rail;
- Increased ridership, thus reducing:
  - Intercity congestion,
  - Emissions, and
  - Demand for foreign oil.
- Enhanced compliance with applicable laws, regulations, grants, and contracts;
- More efficient use of resources;
- Improved management controls;
- Increased operational efficiencies; and,
- Improved program performance.

*“...contributing to national emergency response, congestion mitigation, emissions reduction, and reduction in the demand for foreign oil.”<sup>1</sup>*

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**Performance Measures**

The OIG aligns its performance measures with the results of the services it delivers. When OIG audits, evaluations, investigations, and other reviews reveal problems or opportunities to improve Amtrak’s programs and operations, the OIG presents findings and specific recommendations for corrective action. Amtrak has the discretion to accept or reject these recommendations; therefore, the OIG measures performance based on the value added by the findings and specific recommendations, and the expected outcomes if Amtrak implements those recommendations.

The OIG measures performance in three strategic areas: Value-added Impact of OIG recommendations; Quality of Work products; and Timeliness of Work products. These performance indicators provide a basis for assessing the economy, efficiency, and effectiveness of OIG products and services. The OIG will track these performance indicators and communicate the results in the OIG semiannual reports to Congress. The table below details the specific performance measures OIG has set for the next five years.

<b>Performance Indicators</b>		<b>Output</b>
<ul style="list-style-type: none"> <li>• Value-Added Impact <i>(relates to the relevance and impact of our products for preventing fraud, waste, and abuse, correction of identified problems, and driving improvements in programs and operations)</i></li> </ul>	<ul style="list-style-type: none"> <li>• Recommendations are sound and achievable, and if implemented, mitigate risk areas and effect positive change in programs and operations.</li> <li>• Projects address high risk areas or significant management problems.</li> </ul>	Reports and other work products which include: <ul style="list-style-type: none"> <li>♦ Actionable Recommendations;</li> <li>♦ Best Practices;</li> <li>♦ Identified Risks; and,</li> <li>♦ Questioned costs, savings, fines, recoveries, and funds put to better use.</li> </ul>
<ul style="list-style-type: none"> <li>• Quality of Work <i>(relates to the quality and usefulness of OIG work products and adherence to professional and industry standards)</i></li> </ul>	<ul style="list-style-type: none"> <li>• Reports are of high quality and comply with professional standards, e.g., CIGIE and GAGAS.</li> </ul>	
<ul style="list-style-type: none"> <li>• Timeliness of Work <i>(relates to the ability to provide products and information so that they will be useful to stakeholders in the most efficient and effective manner)</i></li> </ul>	<ul style="list-style-type: none"> <li>• Reports are completed in time to respond to the legitimate needs of decision makers.</li> </ul>	

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**Strategic Goal 6:**

**Leading by example as a model OIG organization. (OIG Operations)**

**OIG Goal 6.1:**

**Deliver timely quality products and services that add value to the Board, management, and the Congress.**

**Strategies 6.1:**

- Conduct risk assessments of Amtrak programs to develop appropriate strategies for investigative or audit coverage.
- Prepare a risk-based project plan to determine the priorities of OIG activities.
- Assure that all OIG products address the objective(s), meet the highest quality standards, and are timely.
- Establish and implement a process to track and follow-up on OIG findings, recommendations, and advice to Amtrak, and Amtrak's response or implementation.
- Update policies and procedures manuals to include all applicable professional standards and enhanced internal quality assurance programs.
- Respond to inquiries and complaints in a timely and effective manner.
- Operate a hotline to receive complaints of fraud, waste, abuse, and mismanagement as well as whistleblower complaints.
- Conduct training in fraud awareness and the role of the OIG.
- Investigate and resolve allegations of criminal and administrative misconduct or fraud efficiently and thoroughly.



*Photograph courtesy of Amtrak*

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**Performance Measures 6.1:**

Performance Indicators	Outputs Measures	Outcomes Measures
<ul style="list-style-type: none"> <li>• <u>Quality of Work:</u> <ul style="list-style-type: none"> <li>◆ All projects are conducted in compliance with OIG policies, procedures, and professional standards.</li> <li>◆ Annual Project Plans prioritize work by level of assessed risk areas and are aligned with Amtrak strategic goals, or are legally mandated.</li> <li>◆ Reports are of high quality and are in compliance with professional standards, e.g., CIGIE and GAGAS.</li> <li>◆ Follow-up audits are performed on high-risk areas.</li> </ul> </li> <li>• <u>Effectiveness of Work:</u> <ul style="list-style-type: none"> <li>◆ Recommendations are sound and achievable, and if implemented, mitigate risk areas.</li> </ul> </li> <li>• <u>Timeliness of Work:</u> <ul style="list-style-type: none"> <li>◆ Projects are completed within budgeted timeframes.</li> <li>◆ Reports, referrals, inquiries, and complaints of potential wrongdoing are reviewed and converted to full investigations, referred to other entities, or determined to be unsubstantiated in a reasonable timeframe to adequately address risks.</li> </ul> </li> <li>• <u>Staff Utilization:</u> <ul style="list-style-type: none"> <li>◆ Maximize and leverage use of staff's specialized knowledge and skills.</li> </ul> </li> <li>• <u>Compliance with Law and Regulations:</u> <ul style="list-style-type: none"> <li>◆ New, proposed, and existing legislation and regulation are reviewed, documented, and appropriately communicated.</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Reports and other work products add value to stakeholders.</li> <li>• Recommendations address high-risk areas and management's significant challenges.</li> <li>• OIG passes all external peer reviews.</li> <li>• Questioned costs, savings, fines, and recoveries are identified.</li> <li>• Best practices are implemented.</li> <li>• Summaries of proposed and existing legislation, regulations, and directives are included in the Semiannual Report to the Congress.</li> <li>• Successful criminal and civil referrals, prosecutions, litigation, administrative actions, restitution, or restoration.</li> </ul>	<ul style="list-style-type: none"> <li>• OIG's reputation is enhanced in the eyes of stakeholders due to the high quality and credibility of OIG products and advice.</li> <li>• Operational risks are reduced.</li> <li>• OIG products meet or exceed professional quality standards.</li> <li>• Improved efficiency when performing projects.</li> <li>• The operational risks associated with improper conclusions are mitigated.</li> <li>• Policies, processes, and practice for conducting projects and services are improved and reflect best practices for comparable OIG offices.</li> <li>• Amtrak employees and the public are more willing to report suspected wrongdoing because they trust the competence, fairness, and confidentiality of the OIG.</li> <li>• The Board, OIG staff, and management have the most current information to make informed decisions.</li> <li>• Increased awareness of procedures for reporting fraud, waste, and abuse by OIG employees, contractors, grantees, and others.</li> </ul>

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**OIG Goal 6.2:**

**Strengthen OIG human resource management.**

**Strategies 6.2:**

- Assure that the OIG staff possesses the skills and experience to accomplish the OIG mission through sustained training and career development opportunities.
- Develop and implement a comprehensive recruiting program that attracts a diverse population with the knowledge, skills, abilities, and expertise necessary to make meaningful contributions to the OIG.
- Create and maintain an environment within the OIG that attracts, develops, and retains a talented and diverse workforce and where employees feel valued, appreciated, and respected.
- Develop and update goal-based and results oriented performance plans that are aligned with the OIG strategic vision that creates and sustain a results-oriented, high-performance culture within the OIG.

Photograph by Matt C. Batrynrdriguez



*Coast Starlight, at Cuesta Grade, California*

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**Performance Measures 6.2:**

Performance Indicators	Outputs Measures	Outcomes Measures
<ul style="list-style-type: none"> <li>• <u>Staff development:</u> <ul style="list-style-type: none"> <li>◆ All OIG employees meet required continuing education requirements for the applicable time period.</li> <li>◆ OIG employees hold appropriate professional credentials.</li> <li>◆ OIG employees meet or exceed management expectations.</li> <li>◆ Leaders develop staff skills on the job, treat staff fairly, make timely decisions, and demonstrate OIG core values.</li> <li>◆ Employees meet the basic requirements for the positions.</li> </ul> </li> <li>• <u>Organization Climate:</u> <ul style="list-style-type: none"> <li>◆ High morales reflected in retention rate.</li> </ul> </li> <li>• <u>Staff Utilization:</u> <ul style="list-style-type: none"> <li>◆ OIG employees' specialized knowledge and skills are maximized and appropriately leveraged on OIG projects.</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• OIG employees attend training to develop expertise in special areas or to maintain professional competencies.</li> <li>• Maintenance of CPE hours.</li> <li>• New employees are highly capable.</li> <li>• All employees have performance standards.</li> <li>• Performance reviews are honest and effective.</li> <li>• Awards and recognition program motivates employees.</li> </ul>	<ul style="list-style-type: none"> <li>• A strong and cohesive workforce.</li> <li>• Enhanced (cutting edge) knowledge and consistent application of professional standards.</li> <li>• Favorable (pass) peer review reports.</li> <li>• OIG employees are among the best professionals in the industry.</li> <li>• OIG employees are consistently high performers.</li> </ul>



Photograph John Rees

*Coast Starlight, Jasper Rd, Natron, Oregon*

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**OIG Goal 6.3:**

**Enhance internal and external communication, coordination, and information sharing.**

**Strategies 6.3:**

- Continue to improve relationships and communications between the OIG and Amtrak management.
- Establish collaborative relationships and regular communications with Congress, the Board of Directors, and regulatory oversight bodies.
- Enhance coordination and communication among the General Counsel, Audit, I&E, M&P, and Investigations groups within the OIG.
- Improve OIG communications and work products, including working papers, reports, memoranda, and correspondence.
- Promote the Hotline as a tool for reporting fraud, waste, and abuse through OIG publications and brochures, the Internet, and company-wide exposure.

**Performance Measures 6.3:**

Performance Indicators	Outputs Measures	Outcomes Measures
<ul style="list-style-type: none"> <li>• <u>Timeliness of Work:</u> <ul style="list-style-type: none"> <li>♦ Hold regular meetings with Amtrak senior management to discuss areas of concern at least quarterly.</li> <li>♦ Meet or communicate with the Board in executive session at least quarterly.</li> <li>♦ Respond to all Congressional, federal agency, and public requests within agreed upon timeframes.</li> </ul> </li> <li>• <u>Effectiveness of Work:</u> <ul style="list-style-type: none"> <li>♦ Collaboration among OIG offices/divisions is measured when a wide range of disciplines are required for achieving positive results.</li> <li>♦ Communicate regularly with Congressional appropriations and authorizing committees.</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• The OIG holds more meetings with upper level company management.</li> <li>• The OIG holds more meetings with the Board and regulatory agencies.</li> <li>• Office memos, reports, etc. are prepared in a standard format.</li> </ul>	<ul style="list-style-type: none"> <li>• The Corporation's perception of the OIG is enhanced and the OIG is viewed as a strong advocate of management efforts to improve company operations.</li> <li>• The working relationship between Amtrak departments and the OIG are enhanced and are more cooperative.</li> <li>• Internal and external communication, coordination, and information sharing are improved.</li> <li>• Processes are established to document announcements and policies for the OIG office and division.</li> <li>• Stakeholders can easily read and understand OIG reports and correspondence.</li> <li>• OIG employees are well informed of new office policies, procedures, and professional standards.</li> </ul>



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**OIG Goal 6.4:**

**Continue to Improve OIG Business Processes.**

**Strategies 6.4:**

- Identify efficiencies and opportunities to streamline OIG internal processes to conform with the OIG community and Federal government best practices.
- Increase/expand participation in OIG community activities, e.g., CIGIE, etc.
- Develop milestones and metrics for measuring timeliness and effectiveness of internal and external operations.
- Develop and implement a robust strategic planning process.
- Identify the needs of stakeholders and provide fact-based, independent, objective, and high quality products and services to meet them.

**Performance Measures 6.4:**

Performance Indicators	Outputs Measures	Outcomes Measures
<ul style="list-style-type: none"> <li>• <u>Compliance with Professional Standards:</u> <ul style="list-style-type: none"> <li>◆ OIG office operations manuals are updated to reflect current professional and CIGIE standards</li> <li>◆ OIG staff participates in professional and OIG organizations.</li> </ul> </li> <li>• <u>Effectiveness of Work:</u> <ul style="list-style-type: none"> <li>◆ OIG performance milestones and metrics are objective and achievable, and are re-evaluated annually for reasonableness and validity.</li> </ul> </li> <li>• <u>Timeliness of Work:</u> <ul style="list-style-type: none"> <li>◆ OIG's strategic plan includes significant goals, objectives, strategies, and measures and is updated at least annually.</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• OIG implements updated administrative policies, process, practice, and control improvements.</li> <li>• OIG Staff are involved with the IG professional community.</li> <li>• New performance milestones and metrics are established.</li> <li>• OIG Strategic Plan is reviewed annually and updated when necessary to reflect changing conditions.</li> <li>• Annual Performance Plan is prepared annually and aligns with the OIG Strategic Plan.</li> </ul>	<ul style="list-style-type: none"> <li>• The OIG is more effective and efficient in carrying out its mission and activities.</li> <li>• Amtrak OIG has an excellent reputation within the IG community and among our stakeholders.</li> <li>• The OIG is able to objectively assess and support performance and achievement of OIG goals and objectives.</li> <li>• Stakeholders are informed of the OIG's strategy, direction, and decisions on allocating its resources to pursue the OIG vision.</li> </ul>

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**OIG Goal 6.5: Leverage OIG's cutting-edge technology infrastructure.**

**Strategies 6.5:** Provide the support structure and technological tools and equipment that will enable OIG staff to effectively and efficiently produce quality and timely products.

**Performance Measures 6.5:**

Performance Indicators	Outputs Measures	Outcomes Measures
<ul style="list-style-type: none"> <li>• <u>Timeliness of Work:</u> <ul style="list-style-type: none"> <li>♦ IT support staff respond to OIG staff questions and assist with technical issues in a timely manner.</li> </ul> </li> <li>• <u>Effectiveness of Processes:</u> <ul style="list-style-type: none"> <li>♦ OIG staff has access and knowledge to use current and effective tools to perform OIG projects more efficiently.</li> <li>♦ OIG information systems facilitate an automated process for effectively and efficiently performing OIG projects in a "paperless" environment.</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• OIG staff use the most current technologies to conduct projects.</li> <li>• Internal product/process innovations are implemented.</li> </ul>	<ul style="list-style-type: none"> <li>• Reduced project process time due to increased efficiencies.</li> <li>• Reduced staff down-time due to non-functioning equipment.</li> <li>• The OIG operates under a secure technical architecture to perform independent and objective audits, evaluations, and investigations.</li> </ul>



*Photograph courtesy of Amtrak*

## **External Factors That Could Affect Goal Achievement**

As an independent, objective department within Amtrak, the OIG performs a critical function of identifying problem areas, systemic weaknesses, and opportunities to improve performance. The objectives and performance measures developed for this five-year strategic plan will help ensure that the OIG provides quality and timely products. A significant aspect of the strategic planning process is to understand the factors that may impact the OIG's success as an organization, and, more specifically, its success in achieving its strategic goals. These various factors are discussed below.

### *New Statutory Requirements*

The OIG's ability to achieve its goals and objectives would be greatly impaired should the Administration or the Congress impose new or additional requirements on the OIG community without the accompaniment of required resources. The necessary reallocation of staff could potentially have a significant impact on our ability to meet our performance goals.

### *Limitations of our Authority*

It is not within OIG authority to implement recommendations or collect monetary sanctions imposed by the courts or pursued by Amtrak as a result of audits, investigations, or other work. Likewise, the outcome of administrative proceedings and referrals to the U.S. Department of Justice for civil and criminal proceedings is outside OIG authority. The OIG's credibility increases the acceptance of their results by others. OIG credibility is based on the independence, objectivity, expert knowledge, and professional quality of our work.

### *Human Capital Management*

The OIG has highly trained professional staff consisting of auditors, information technology auditors, evaluators, criminal investigators, attorneys, and support staff; however, many of the OIG professionals will be eligible for retirement within the next five years. Consequently, the OIG will be required to attract new high-quality professionals, and train and retain existing professionals. The skills the OIG requires are in demand in both the public and private sectors at competitive wages; therefore, vacancies are often difficult and time consuming to fill, which could affect its ability to meet all of its goals. The OIG's success depends on the ability to fund a skilled work force and to provide that work force with the resources and training to perform their work effectively.



*Photograph courtesy of Amtrak*

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Appendix A**

**Linking OIG Goals to Amtrak Goals**

OIG Strategic Goals	Amtrak Strategic Goals					
	Safer	Greener	Healthier	Improve Financial Performance	Improve Customer Service	Meet National Needs
<b>OIG Strategic Goal 1:</b> Promoting a safe and secure environment for Amtrak employees, its passengers, and the public. (Safer & Security)	X					X
<b>OIG Strategic Goal 2:</b> Advocating a more energy-efficient and environmentally responsible rail system. (Greener)		X				
<b>OIG Strategic Goal 3:</b> Reinforcing "a State of Good Repair" and a modernized, enduring, and reliable operation that improves the bottom line. (Healthier and Financial Performance)			X	X		
<b>OIG Strategic Goal 4:</b> Promoting exemplary customer service, increased ridership, convenient connections, and reduced trip times. (Customer Service)					X	
<b>OIG Strategic Goal 5:</b> Advancing the efficient and economic expansion of national transportation needs. (Meet National Needs)						X
<b>OIG Strategic Goal 6:</b> Leading by example as a model OIG organization. (OIG Operations)						
<b>Objective 6.1:</b> Deliver timely quality products and services that add value to the Board, management, and the Congress.	X	X	X	X	X	X
<b>Objective 6.2:</b> Strengthen OIG human resource management.			X	X		
<b>Objective 6.3:</b> Enhance internal and external communication, coordination, and information sharing.			X		X	
<b>Objective 6.4:</b> Continue to Improve OIG Business Processes.			X	X		
<b>Objective 6.5:</b> Leverage OIG's cutting-edge technology infrastructure.			X			

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Appendix B**

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**List of Acronyms and Glossary of Terms**

"A State of Good Repair"	Amtrak' objective for its infrastructure, stating that Amtrak will invest in infrastructure (its own or host railroads') to sustain existing levels of service, to build capacity needed for growth of existing services, and to support new services.
AIM	Amtrak Information Modernization Program
ARRA	American Recovery and Reinvestment Act of 2009
CIGIE	Council of Inspectors General on Integrity and Efficiency
CNOC	Consolidated National Operations Center
GAGAS	Generally Accepted Government Auditing Standards
"Greener"	Amtrak's goal to be a more carbon-efficient rail system and decrease its environmental impact.
ITII	Information Technology Infrastructure Initiative
OIG	Office of Inspector General
Outcomes	The actual results achieved, as well as the impact or benefit, of a program or operation.
Output	A type of performance measure that focuses on the activity in a particular program or operation.
Performance Indicators	Qualitative or quantitative measures of an Output which provide a guide on performance where direct causal links are not obvious and changes in performance are difficult to measure directly.
Safe-2-Safer	An Amtrak safety program aimed to strengthen Amtrak's culture of safety.
SAM	Strategic Asset Management system
Stakeholders	Persons or institutions with an interest in the performance and operation of Amtrak, which include the Amtrak Board of Directors, Amtrak employees, the Congress, funding agencies, regulatory bodies, and the general public.

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**Footnotes**

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**Footnotes**

<sup>1</sup> Special Employee Advisory, October 29, 2009, *A Message from Joe Boardman on Amtrak Strategy and Financial Plan*

<sup>2</sup> Amtrak Strategic Guidance and Five Year Financial Plan FY 2010

<sup>3</sup> *Amtrak's New Mission: Getting there the Safer, Greener, Healthier way (the New Mission)* October 2009.

# Stop Fraud, Waste, and Abuse

**Who pays? You pay. Act like it's your money... it is!**

## **Tell Us About It**

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Maybe you are aware of fraud, waste, or some other type of abuse at Amtrak.

Amtrak's Office of Inspector General has a toll free hotline number for you to call. You can also write to us.

We will keep your identity confidential. If you prefer, you can remain anonymous. You are protected by law from reprisal by your employer.

## **Call the hotline:**

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Nationwide (800) 468-5469

[www.amtrakoig.gov/hotline](http://www.amtrakoig.gov/hotline)

## **Write to us:**

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Inspector General  
P.O. Box 76654  
Washington, DC 20013-6654

National Railroad Passenger Corporation  
Office of Inspector General



**National Railroad Passenger Corporation**  
**Office of the Inspector General**  
**10 G Street, NE, Suite 3W-300, NE, Washington, DC 20002-4285**

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