



AMTRAK | Office of
Inspector General
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STRATEGIC PLAN

FISCAL YEARS 2013-2017

OIG-SP
2013-2017



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National Railroad Passenger Corporation
Office of Inspector General



I am pleased to present the Amtrak Office of Inspector General's *Strategic Plan* for Fiscal Years 2013–2017.

This Plan represents a revision to our *Strategic Plan* for FY 2010-2014, issued in early 2010. Our intent in revising the *Plan* was to articulate our vision in the context of our overarching goal to operate as a model Office of Inspector General and to establish goals, strategies, and performance indicators to achieve the vision and assess our progress. The *Plan* supports Amtrak's *Strategic Plan* (FY 2011-2015), particularly its goal of attaining a standard of organizational excellence.

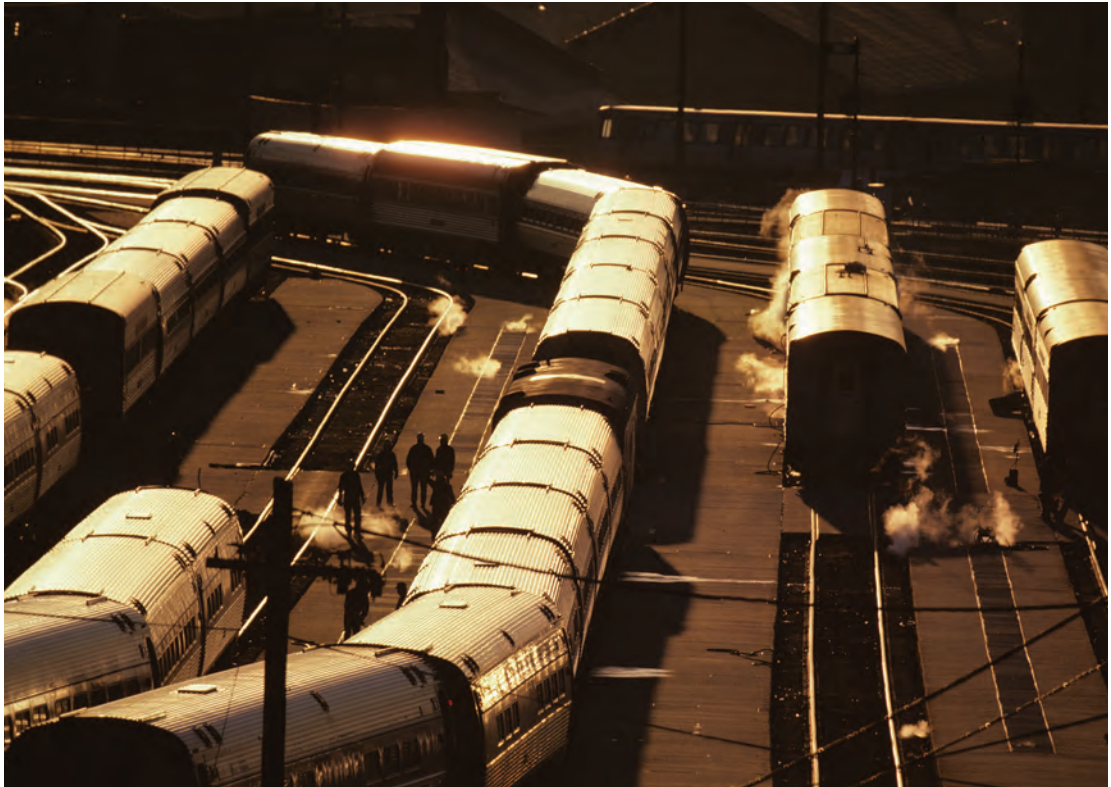
The five strategic goals that we have established to help us achieve our vision of operating as a model Office of Inspector General are:

- **Add value by producing objective, accurate, relevant, timely, substantive, sophisticated products that have impact.**
- **Consistently follow efficient, disciplined processes for audits, inspections and evaluations, and investigations that meet the standards of the accountability community and are periodically refined and improved.**
- **Employ a highly qualified, motivated, and diverse workforce.**
- **Communicate openly and work professionally with, but independently from, Amtrak management.**
- **Create and maintain effective mission-support systems.**

All of us in the Office of Inspector General believe that these goals—with their strategies and performance indicators—provide a strategic framework that will allow us to continually improve our operations, effectively and efficiently, while pursuing our vision. As such, this is not a static document but, rather, one that will be revised as necessary to ensure that our work remains of the highest quality and continues to be responsive to the needs of Amtrak, the Congress, and the public.

A handwritten signature in blue ink, appearing to read "Ted Alves".

Ted Alves
Inspector General

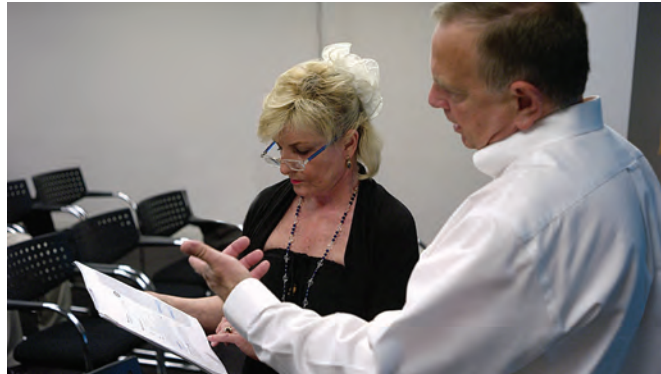




Amtrak Profile

The National Railroad Passenger Corporation (Amtrak) was created by Congress under the provisions of the Rail Passenger Service Act of 1970, to take over and independently operate the nation's intercity passenger rail services. Amtrak began service on May 1, 1971, and operates as a for-profit corporation. It relies, however, on significant funding from the federal government to support operations and investments. Congress reauthorized Amtrak under the Passenger Rail Investment and Improvement Act (PRIIA) of 2008.

Amtrak's reach encompasses over 21,000 route miles, of which it owns just over 600. Its fleet numbers over 2,200 cars and locomotives, and it has over 20,000 employees.



Office of Inspector General Profile

Authority and Mission

Authority

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

Mission

To provide independent, objective oversight of Amtrak's programs and operations through audits, inspections and evaluations, and investigations focused on recommending improvements to Amtrak's economy, efficiency, and effectiveness; preventing and detecting fraud, waste, and abuse; and providing Congress and Amtrak's Board of Directors with timely information about problems and deficiencies relating to Amtrak's programs and operations.

Guiding Principles and Values

The Amtrak Office of Inspector General's principles and values are important because they form the building blocks used to accomplish our mission and conduct our day-to-day operations:

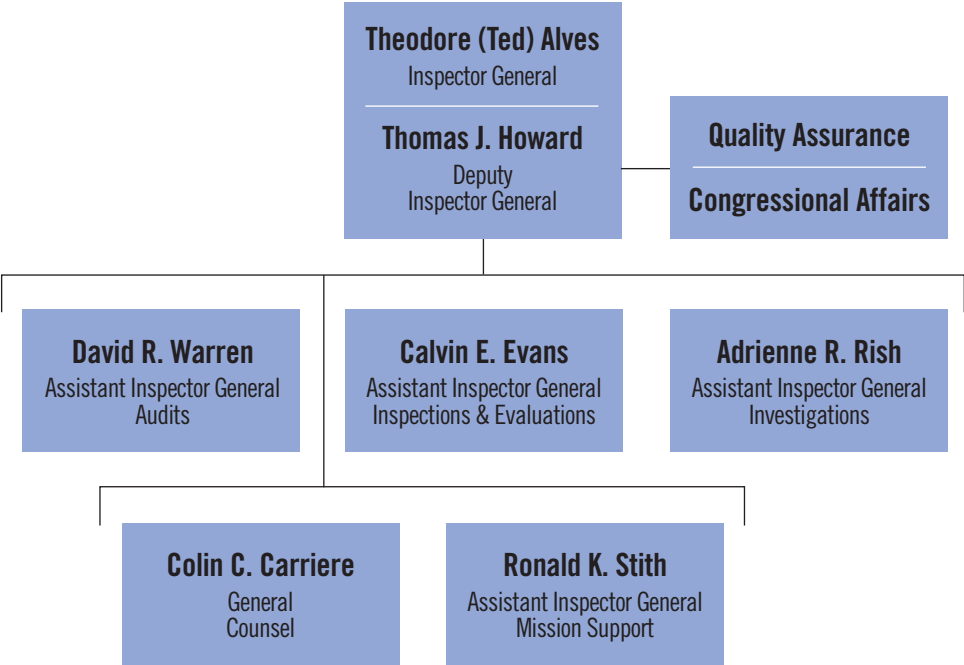


- **High Quality, Relevance, Timeliness**—Provide valuable and timely service. Work products are high quality, relevant, timely, add value, and are responsive to the needs of Amtrak and its stakeholders.
- **Innovation**—Be innovative, question existing procedures, and suggest improvements. New ideas 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 our 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 and effectiveness.
- **Independence and Objectivity**—Be committed to carrying out our mission with objectivity and independence, both in appearance and fact.
- **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.



Office of Inspector General Organization



The Office of Inspector General headquarters is based in Washington, D.C., with field offices located in Boston, Chicago, Los Angeles, and Philadelphia.

The Inspector General provides policy direction and leadership for the office and serves as an independent voice to the Board of Directors and the Congress by identifying opportunities and promoting solutions for improving the company’s performance and economy and efficiency of operations, while preventing and detecting fraud, waste, and abuse. The Deputy Inspector General assists the Inspector General in developing and implementing the Office of Inspector General’s diverse audit, inspection, evaluation, investigative, legal, and support operations.

Audits

The Office of Audits conducts performance and financial-related audits across the spectrum of Amtrak's support and operational activities. It produces reports on those activities that are aimed at improving Amtrak's economy, efficiency, and effectiveness, while seeking to detect and prevent fraud, waste, and abuse. The audit activities are focused on issues related to governance, to include financial management, acquisition and procurement, information technology, human capital, and American Recovery and Reinvestment Act-related activities. The group conducts its work in accordance with generally accepted government auditing standards.

Inspections and Evaluations

The Office of Inspections and Evaluations conducts evaluations of Amtrak programs and operations to identify opportunities to improve efficiency and effectiveness.

Investigations

The Office of Investigations addresses allegations of fraud, waste, abuse, and misconduct that could affect Amtrak's programs, operations, assets, and other resources. Investigative findings are referred to the Department of Justice for criminal prosecution or civil litigation, or to Amtrak management for administrative action. The office develops recommendations to reduce Amtrak's vulnerability to criminal activity.

General Counsel

The Office of General Counsel is responsible for providing legal assistance and advice to Office of Inspector General senior management and supports audits, evaluations, special reviews, and investigations. Counsel coordinates with outside attorneys, including local and federal agencies and law enforcement attorneys, and appears in court on behalf of the Office of Inspector General and its employees.

Mission Support

The Office of Mission Support provides financial management, procurement, human capital management, administrative, information technology, and communications expertise to support Office of Inspector General operations.



Strategic Planning Process

The time was right for a new OIG Strategic Plan. Our previous plan, published in the spring of 2010, required updating; this also offered an opportunity to align our plan with Amtrak’s new Strategic Plan, published in the fall of 2011.

To create the plan, we started with a new Vision statement, then established strategic goals and strategies needed to achieve that vision. We also developed metrics to measure progress against those goals.



Vision

The Amtrak Office of Inspector General will operate as a model Office of Inspector General, generating objective and sophisticated products that add value. Utilizing modern infrastructure and effective support systems, and following efficient, disciplined processes that meet the standards of the accountability community, our diverse and talented team will work professionally with, but independently from, Amtrak management.

Amtrak Office of Inspector General's Five Strategic Goals

- 1 Add value** by producing objective, accurate, relevant, timely, substantive, sophisticated products that have impact
- 2 Consistently follow efficient, disciplined processes** for audits, inspections, evaluations, and investigations that meet the standards of the accountability community and are periodically refined and improved
- 3 Employ a highly qualified, motivated, and diverse workforce**
- 4 Communicate openly and work professionally** with, but independently from, Amtrak management
- 5 Create and maintain effective mission-support systems**

1 ADD VALUE

Strategic Goal

Add value by producing objective, accurate, relevant, timely, substantive, sophisticated products that have impact

Performance Indicators

- Dollar value of Office of Inspector General recommendations^a
- Management concurrence with Office of Inspector General recommendations
- Management implementation of Office of Inspector General recommendations, as measured by percentage of all open recommendations implemented during the fiscal year
- Percentage of positive responses of key stakeholders to questions on whether the Office of Inspector General adds value by producing objective, accurate, relevant, timely, substantive, sophisticated products that have impact, as measured by two surveys:
 - Annual written survey of high-level Office of Inspector General stakeholders (with face-to-face interaction with the respondents, if necessary)
 - Compilation of responses from surveys of Amtrak management conducted at the conclusion of each Office of Inspector General audit, evaluation, or investigation

Strategies

Follow and continuously improve:

- A]** Work planning processes that identify relevant, timely, substantive topics that will have significant impact
- B]** Quality assurance processes that ensure that Office of Inspector General products are objective, accurate, and sophisticated
- C]** Processes that communicate and follow up on recommendations to increase likelihood of impact

^a Interim measures to be used in the near term to ensure functioning as a mainstream Office of Inspector General; to be replaced, over time as resources permit, with more progressive measures designed to ensure functioning as a model Office of Inspector General.



CONSISTENTLY FOLLOW EFFICIENT, DISCIPLINED PROCESSES

Strategic Goal

Consistently follow efficient, disciplined processes for audits, inspections and evaluations, and investigations that meet the standards of the accountability community and are periodically refined and improved

Performance Indicators

- Ratings from CIGIE^a external peer review of audits, inspections, evaluations, and investigations
- *Efficiency (for Audits and Inspections and Evaluations):* Achievement of annual goal for reports issued; goal developed taking into consideration scope of work planned for year, steps and quality requirements built into process, resources available, training and experience level of staff, and other anticipated competing requirements^b
- *Efficiency (for Investigations):* Percentage of new active cases completed in fewer than 180 days (with exceptions for complex criminal and civil investigations or cases pending only final action)^b
- *Periodic/continuous improvement:* Percentage of documented processes that are reviewed annually and updated as needed

Strategies

- A]** Develop, implement, and periodically update Audits' and Inspections and Evaluations' policy manual, as well as Investigations' policies
- B]** Implement, continuously improve, and communicate quality assurance processes to ensure that Office of Inspector General products adhere to accountability standards

^a The Council of the Inspectors General on Integrity and Efficiency.

^b Interim measures to be used in the near term to ensure functioning as a mainstream Office of Inspector General; to be replaced, over time as resources permit, with more progressive measures designed to ensure functioning as a model Office of Inspector General.

3 EMPLOY A HIGHLY QUALIFIED, MOTIVATED, AND DIVERSE WORKFORCE

Strategic Goal

Employ a highly qualified, motivated, and diverse workforce

Performance Indicators

- *Highly Qualified:* Percentage of Office of Inspector General employees who are considered highly qualified for their positions through the appropriate education and/or certification, and have demonstrated the experience, training, and developmental requirements for their positions/grade levels^a
- *Motivated:* Percentage of positive responses from Office of Inspector General employees to an annual survey on employee attitudes and satisfaction
- *Diverse:* Percentage of Office of Inspector General workforce diversity compared with diversity of national workforce^a

Strategies

- A]** Create a work environment that attracts, develops, and retains highly qualified and diverse staff and promotes innovation
- B]** Invest in employees by promoting individual development and providing resources and support that enable success
- C]** Develop/improve and sustain a robust employee recognition program that highlights significant accomplishments
- D]** Assess and enhance employee satisfaction with job, supervisor, and Office of Inspector General leadership

^a Data needed for this measure are being developed

4 COMMUNICATE OPENLY AND WORK PROFESSIONALLY

Strategic Goal

Communicate openly and work professionally with, but independently from, Amtrak management

Performance Indicators

- Percentage of positive responses from Amtrak managers to questions on whether the Office of Inspector General communicates openly and works professionally with, but independently from, Amtrak management, as measured by two surveys:
 - Annual written survey of senior Amtrak managers (with face-to-face interaction with the respondents, if necessary), and
 - Compilation of responses from surveys of Amtrak management conducted at the conclusion of each Office of Inspector General audit, evaluation, or investigation
- Percentage of positive responses from Office of Inspector General employees to questions on whether the Office of Inspector General communicates openly and works professionally with, but independently from, Amtrak management, as measured by an annual written survey of Office of Inspector General employees

Strategies

- A]** Enhance relationships with Congress, Amtrak management and Board, and other external stakeholders in order to conduct proactive and timely communications while maintaining independence and supporting the Office of Inspector General's mission
- B]** Ensure continuous communication with stakeholders about critical audit and investigative issues, priorities, work products, and results
- C]** Benchmark and adopt best practices on building collaborative, working relationships used by other Offices of Inspector General and agencies

5 CREATE AND MAINTAIN EFFECTIVE MISSION-SUPPORT SYSTEMS

Strategic Goal

Create and maintain effective mission-support systems

Performance Indicator

- Percentage of positive responses from Office of Inspector General employees to questions on whether the Office of Inspector General mission-support systems support effective work, as measured by an annual written survey of Office of Inspector General employees

Strategies

- A]** Provide timely, effective information technology support
- B]** Develop, document, and communicate business and procurement processes to ensure that mission-critical operations are efficient and effective
- C]** Provide timely and high-quality legal advice to support mission needs
- D]** Enhance collaboration and communication among all Amtrak Office of Inspector General functions

Performance Indicators

Performance Indicator ^a	Baseline	Targets	
		2013	Long Term
Dollar value of Office of Inspector General (OIG) recommendations ^b	\$60,245,136	\$60,000,000	\$160,000,000
Management concurrence with OIG recommendations	85%	87%	90%
Management implementation of OIG recommendations per fiscal year	15%	25%	50%
Stakeholders who agree that the OIG added value	82%	85%	95%
Peer review ratings	Passed with deficiencies	Pass	Pass
Number of audit and evaluation reports issued ^b	15	16	TBD
Percentage of investigations completed in 180 days ^b	68%	70%	TBD
Percentage of documented processes reviewed annually, updated as needed	100% reviewed, 51% revised	100%	100%
Percentage of OIG staff highly qualified ^c	TBD	TBD	TBD
OIG staff indicating positive motivation	81%	85%	90%
Comparison of OIG workforce diversity with that of national workforce ^c	TBD	TBD	TBD
Amtrak managers who believe OIG communicates openly/works professionally	89%	91%	95%
OIG staff who believe OIG communicates openly/works professionally	94%	95%	98%
OIG staff who believe mission-support systems support effective work	68%	75%	90%

^a For a fuller explanation of indicator, see pages 12-16.

^b Interim measures to be used in the near term to ensure functioning as a mainstream Office of Inspector General; to be replaced, over time as resources permit, with more progressive measures designed to ensure functioning as a model Office of Inspector General.

^c Data needed for this measure being developed

Source: Office of Inspector General data and surveys

TBD: To be determined



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