



Federal Deposit Insurance Corporation  
Office of Inspector General  
3501 Fairfax Drive  
Arlington, Virginia 22226

September 11, 2019

Mr. Kevin Winters  
Inspector General  
National Railroad Passenger Corporation (Amtrak™)  
10 G Street, N.E.  
Washington, D.C. 20002

Subject: *Report on the Qualitative Assessment Review of the Investigative Operations of the Office of Inspector General for Amtrak*

Dear Mr. Winters:

We have reviewed the system of internal safeguards and management procedures for the investigative operations of the Office of Inspector General (OIG) for Amtrak for the period ending May 7, 2019. Our review was conducted in conformity with the *Quality Standards for Investigations* and the *Qualitative Assessment Review Guidelines for Investigative Operations of Federal Offices of Inspector General* established by the Council of the Inspectors General on Integrity and Efficiency (CIGIE), as applicable.

We reviewed Amtrak OIG's compliance with its system of internal policies and procedures to the extent we considered appropriate. The review was conducted at Amtrak's Headquarters office in Washington, D.C. and field locations in Chicago, Illinois and Philadelphia, Pennsylvania. Additionally, we sampled 20 case files for investigations closed during the period May 6, 2018 through May 7, 2019.

In performing our review, we also gave consideration to the Attorney General's Guidelines for OIGs with Statutory Law Enforcement Authority and Section 6(e) of the Inspector General Act of 1978, as amended (IG Act). The aforementioned documents authorize law enforcement powers for eligible personnel of each of the various OIGs. Law enforcement powers may be exercised only for activities authorized by the IG Act, other statutes, or as expressly authorized by the Attorney General.

In our opinion, the system of internal safeguards and management procedures for the investigative operations of Amtrak OIG, for the period ending May 7, 2019, is in compliance with the quality standards established by CIGIE and other applicable guidelines and statutes cited above. These safeguards and procedures provide reasonable assurance of conforming to professional standards in the planning, execution, and reporting of Amtrak OIG investigations and in the use of law enforcement powers.

We appreciate the cooperation and professionalism of your staff during this review. If you have any questions, please contact me at (703) 562-2035. Otherwise, you may contact Assistant Inspector General for Investigations, Matthew Alessandrino, at (703) 562-6373 or [MAlessandrino@fdicoig.gov](mailto:MAlessandrino@fdicoig.gov).

Sincerely,

A handwritten signature in blue ink that reads "Jay N. Lerner".

Jay N. Lerner  
Inspector General

cc: Office of the Attorney General, United States Department of Justice  
Michael J. Missal, Chair, Investigations Committee, CIGIE

Enclosures: (1) Objective, Scope, and Methodology  
(2) Closed Case Files Reviewed

## ENCLOSURE 1: OBJECTIVE, SCOPE, AND METHODOLOGY

The Federal Deposit Insurance Corporation (FDIC) OIG conducted this quality assessment review to determine whether Amtrak OIG had internal control systems in place that provided reasonable assurance that it followed professional standards when conducting investigations. The CIGIE *Quality Standards for Investigations* and the Attorney General's Guidelines for Offices of Inspector General with Statutory Law Enforcement Authority were used as the professional standards during the review. We conducted onsite reviews from June 5-6, 2019.

The FDIC OIG performed its review in accordance with the CIGIE *Qualitative Assessment Review Guidelines for Investigative Operations of Federal Offices of Inspector General*. We analyzed Amtrak OIG policies and procedures, reviewed closed investigative case files and administrative records, reviewed and analyzed Amtrak OIG's Investigations Management System, and tested internal controls.

## ENCLOSURE 2: CLOSED CASE FILES REVIEWED

The FDIC OIG randomly selected for review 20 of the 76 files for investigations closed during the period May 6, 2018 - May 7, 2019. These 20 files were:

Number	Case File Number	Case Closing Date
1	CC-18-0266-P	12-17-2018
2	CC-18-0318-O	09-27-2018
3	CA-17-0219-HL-O	07-18-2018
4	CA-17-0367-HL-O	08-01-2018
5	CA-15-0421-HL-O	07-16-2018
6	CA-15-0035-O	02-04-2019
7	CA-18-0326-HL-S	04-08-2019
8	DC-16-0066-HL-O	10-19-2018
9	DC-18-0094-HL-P	08-27-2018
10	DC-18-0171-P	06-05-2018
11	DC-18-0340-O	02-28-2019
12	DC-17-0108-O	05-22-2018
13	DC-18-0055-HL-O	03-27-2019
14	HQ-17-0040-O	06-18-2018
15	IL-18-0167-HL-P	07-31-2018
16	IL-17-0072-HL-O	11-07-2018
17	IL-15-0202-O	12-17-2018
18	IL-15-0094-HL-O	07-12-2018
19	IL-16-0230-O	06-29-2018
20	PA-17-0233-O	03-05-2019



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Subject: *Letter of Observations following the Report on the Qualitative Assessment Review of the Investigative Operations of the Office of Inspector General for Amtrak*

Dear Mr. Winters:

This is a supplement to our *Report on the Qualitative Assessment Review of the Investigative Operations of the Office of Inspector General for Amtrak*, dated September 11, 2019. In addition to reporting a rating of compliant, the FDIC OIG peer review team identified the following best practices or similar notable positive attributes of your investigative operations.

#### **Electronic System**

The Amtrak Investigations Management System (AIMS) is a well-organized and user friendly case management system. It contains easy-to-reference tabs and has hyperlinked and embedded documents throughout the system, which makes for easy navigation through case files. Also, AIMS has a module where training is recorded and tracked. Certifications for training are also uploaded in AIMS.

#### **Confidential Funds Monitoring**

Amtrak OIG has developed an internal spreadsheet to monitor and reconcile confidential funds. This spreadsheet allows Headquarters to quickly discern which offices and personnel are using confidential funds and for what purpose.

#### **Forensic Laboratory**

The forensic laboratory at Headquarters stands as a clear best practice. A review of the laboratory environment, training standards, and equipment revealed a model of forensic capability. The training available to your forensic special agents is superior.

We appreciate the cooperation and professionalism of your staff during this review. If you have any questions, please contact me at (703) 562-2035. Otherwise, you may contact Assistant Inspector General for Investigations, Matthew Alessandrino, at (703) 562-6373 or [MAlessandrino@fdicoig.gov](mailto:MAlessandrino@fdicoig.gov).

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