

OIG Recovery Act Plan Overview

OIG Name:	Amtrak
OIG Broad Recovery Act Goals:	Our overall goals are to: 1) ensure that programs proposed by Amtrak meet legislative candidacy requirements; 2) Program are well managed, 3) Risks are identified and adequate controls, checks and balances are in place; 4) Only allowable program expenses are applied to ARRA funded programs; and 5) Scopes of work are clear and results are measurable.
OIG Broad Training and Outreach Recovery Act Goals:	Amtrak's OIG outreach goals are to 1) educate Amtrak's managers, staff, and vendors on the scrutiny that ARRA-funded projects are likely to receive from various sources. 2) Improve awareness of the requirements and goals of the ARRA legislation; and 3) Minimize the potential for fraud, waste, and abuse associated with ARRA-funded programs. For program areas that we consider to have elevated levels of risk, our office will provide both briefings and literature relating to fraud awareness and prevention, sound program control practices, and financial management requirements.
OIG Recovery Act Risk Assessment Process:	Our office has developed a risk identification / risk management template that we will use to assess the inherent risks associated with each of Amtrak's ARRA-funded programs. It assesses 10 program aspects and ranks the level of risk for each. As Amtrak finalizes its list of ARRA-funded initiatives, our office will work with Amtrak management to perform a risk assessment on each program, and propose mitigation tactics for those areas of elevated risk.
OIG Recovery Act Funds:	\$5,000,000
Expiration Date of OIG Recovery Act Funds:	30-Sep-13
OIG Recovery Act Funds Allocated to Contracts:	Yes
Purpose of Recovery Act Contracts:	Contractors will be used for 1) to assist with program controls; and 2) to provide subject matter expertise
Types of Recovery Act Contracts Awarded to Date:	None
Link to OIG Recovery Act Work Plan:	www.Amtrakoig.com

OIG FY 2010 Recovery Act Work Plan

Agency	Program Area	Recovery Act Funds Associated w/Program Area	Type of Review	Entity Performing Review	Project Title	Background	Objective	Review Included on Prior Recovery Act Plan (Y/N)	Expected Quarter Work Begins	Expected Quarter(s) Reports Issued	Expected Number of Reports
Amtrak	All	\$ 1,300,000,000	Eligibility	OIG Staff	Review the eligibility of each Amtrak program to receive ARRA funding	Amtrak has put forth a portfolio of programs to be executed using ARRA funding.	Confirm the eligibility of all programs to receive ARRA funding, ensuring that 1) the legislative terms are respected; 2) the programs are not supplanting existing programs; and 3) the programs are valid from a GAAP standpoint.	Yes	Q2 FY 09	Q3 FY 10	1
Amtrak	All	\$ 1,300,000,000	Other	OIG Staff	Assess the inherent risks associated with each major ARRA-funded program	A number of ARRA-funded program areas within Amtrak have been the subject of past audits where material weaknesses were discovered. Our office is also concerned about Amtrak's ability to properly execute this volume of programs over the constrained time frame.	Identify areas of elevated risk within each ARRA-funded program, and work with Amtrak to formulate practical risk litigation tactics.	Yes	Q3 FY 09	Q3 FY 10	1
Amtrak	Mechanical	\$ 141,000,000	Administrative / Financial	OIG Staff	Review program and financial controls	Amtrak 's mechanical maintenance facilities have been the subject of several OIG audits where material weakness have been discovered. These facilities will be planned and executing rail car overhauls under the ARRA program.	To mitigate the risk of waste and abuse associated with Amtrak's rail car refurbishment program.	Yes	Q3 FY 09	Q2 FY 10	2 to 3
Amtrak	Engineering	\$ 855,000,000	Administrative / Financial	OIG Staff	Review program and financial controls	Amtrak has put forward an ambitious program to overhaul key portions of its infrastructure. Its Engineering department is contracting construction management firms to oversee a large portion of its program.	To mitigate the risk of waste and abuse associated with Amtrak rail and station infrastructure upgrades.	Yes	Q4 FY 09	TBD	8+
Amtrak	Police and Security	\$ 196,000,000	Administrative / Financial	OIG Staff	Review program and financial controls	Police & Security is a relatively new department within Amtrak, its mandate being to secure the railroad against external threats. Being a new department, its management and control standards and practices have not yet been fully implemented.	To mitigate the risk of waste, abuse, and fraud associated with Amtrak's security programs.	Yes	Q3 FY 09	TBD	3+
Amtrak	All	\$ 1,300,000,000	Performance	OIG Staff	Outreach Program		To educate Amtrak's managers, staff, and vendors on the prevention of fraud, waste, and abuse.	Yes	Q3 FY 09	04 FY 10	1
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