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"Rummaging in the government's attic"

Description of document: AMTRAK records provided to Senator Charles E. Grassley and Senator Tom Coburn concerning the independence of Inspectors General necessary to promote efficiency and prevent fraud, waste and abuse in agency programs, in response to the Senators' inquiry, 2011-2012

Requested: 16-April-2012

Released date: 26-June-2012

Posted date: 23-July-2012

Source of document: Amtrak FOIA Office
60 Massachusetts Avenue, NE
Washington, D.C. 20002
Fax: 202-906-3285
Email: foiarequests@amtrak.com

Note: This is one of several files on the same subject for various agencies available on governmentattic.org. See: <http://www.governmentattic.org/6docs/GrassleyCoburn.htm>

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Office of Inspector General



June 26, 2012

Re: Freedom of Information Act Request

Enclosed is the relevant portion of the only document that OIG has issued that is responsive to your Freedom of Information Act (FOIA) request dated April 16, 2012 for copies of "each biannual response to Senators Grassley and Coburn regarding their April 8, 2010 request to the Amtrak Office of the Inspector General to provide a summary of your non-public management advisories and closed investigations." The portions of the document which have been redacted relate to other topics not related to your request.

If you wish to appeal, you may file an appeal with Ted Alves, Inspector General, at the address below, within thirty days of the date of this letter.

If you have any questions concerning this response to your request, please contact me.

Sincerely,

A handwritten signature in cursive script that reads "Kathleen Ranowsky".

Kathleen L. Ranowsky, Esq.
Deputy Counsel to the Inspector General
OIG FOIA Liaison

cc: Sharron Hawkins, FOIA Officer



July 16, 2010

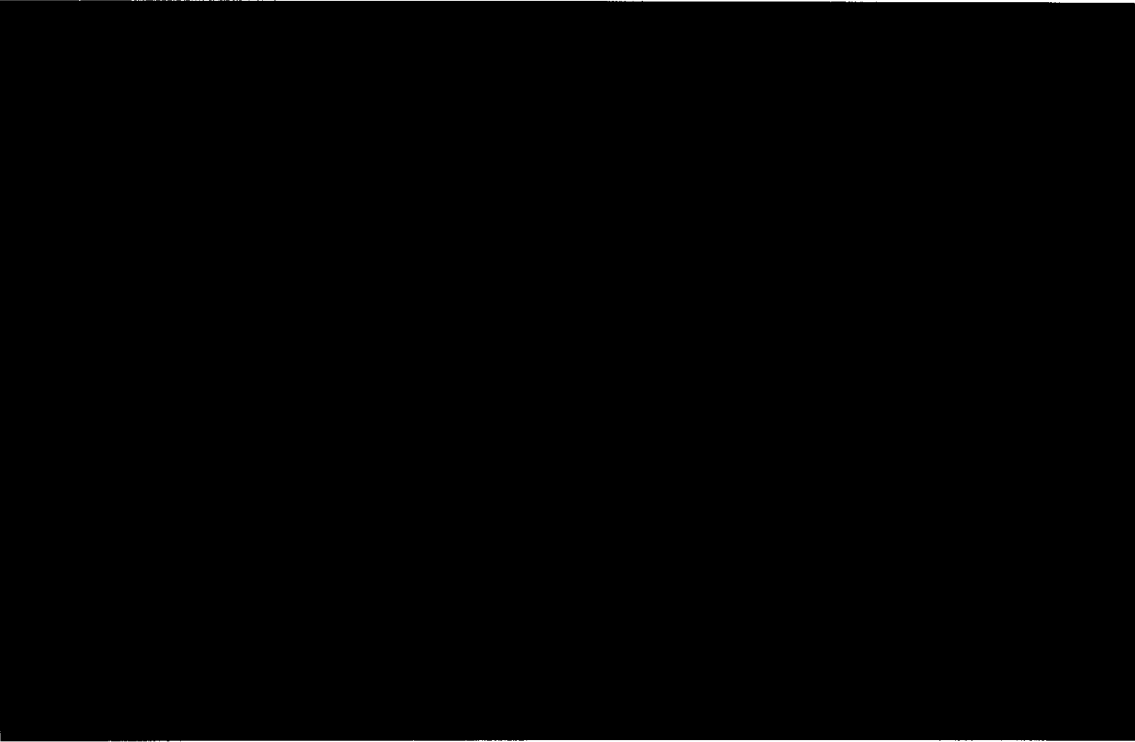
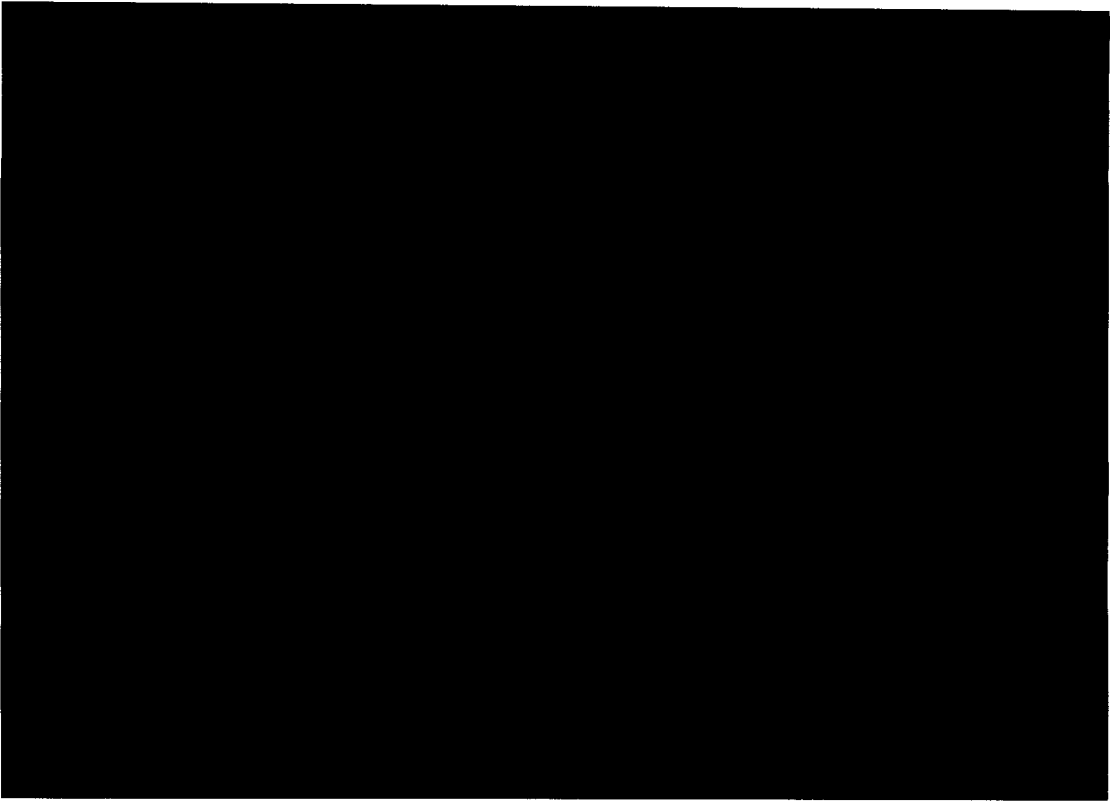
Senator Charles E. Grassley
Ranking Member
Committee on Finance
135 Hart Senate Office Building
Washington, DC 20510

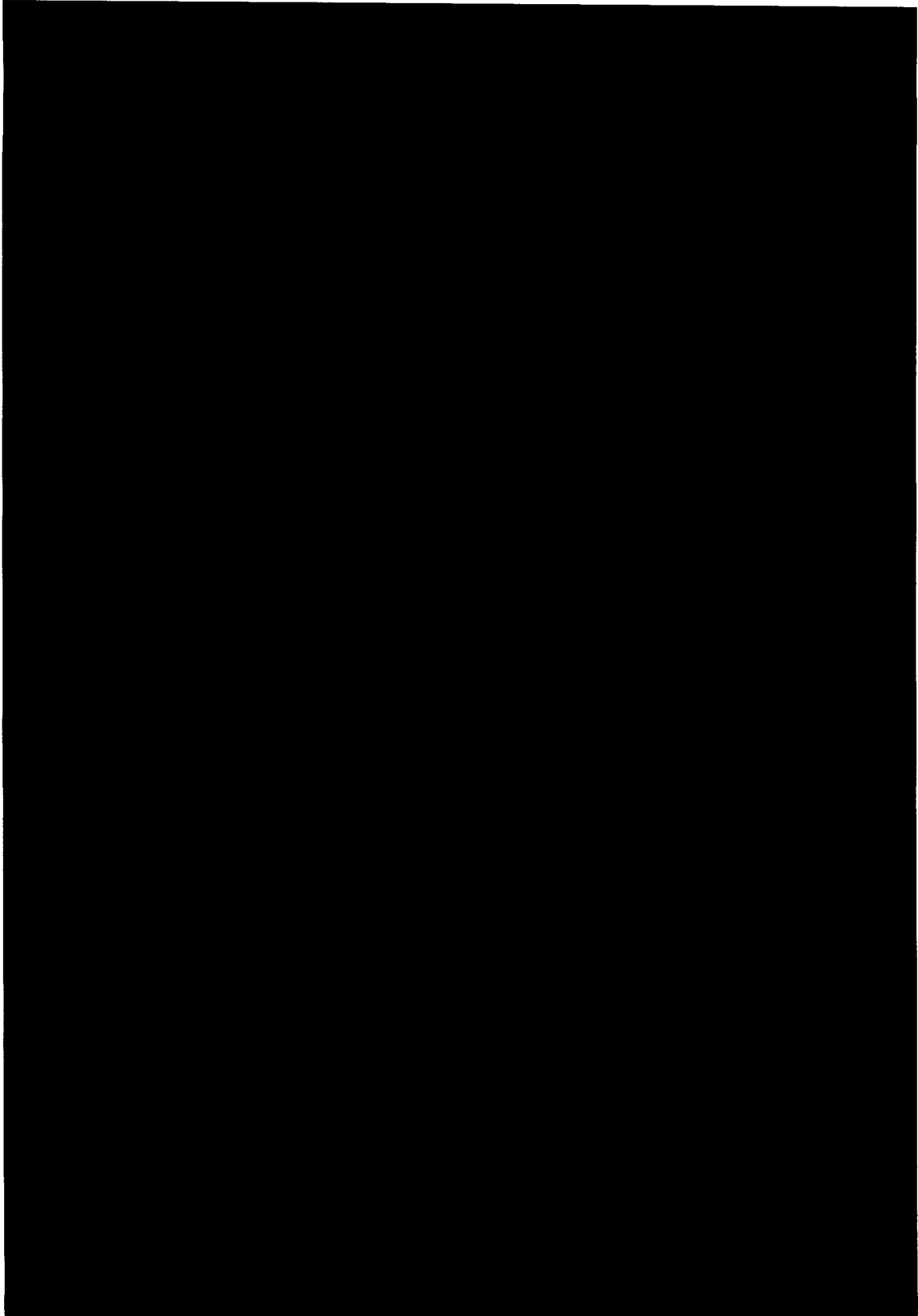
Dear Senator Grassley:

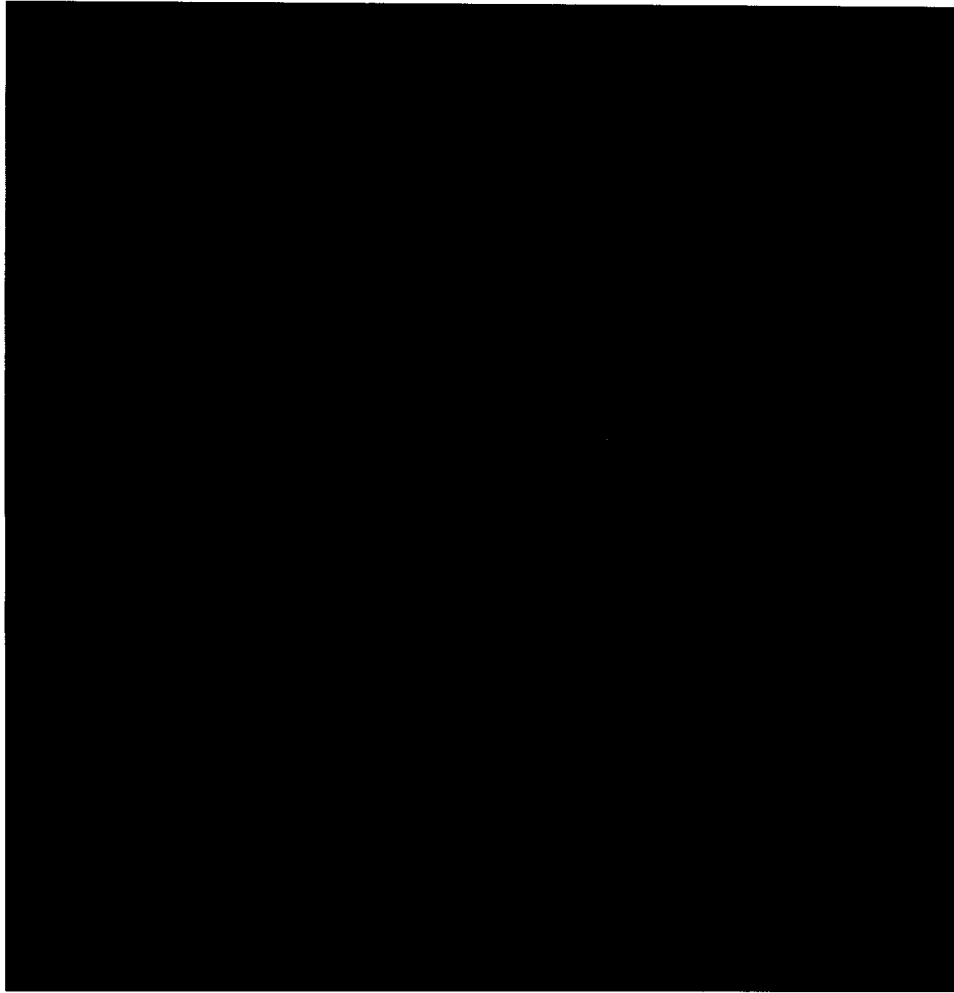
I am pleased to respond to your letter of April 8, 2010 requesting information about instances of interference with OIG operations, a list of reports that were not publicly disclosed, and the status of outstanding recommendations. The same letter was sent to Senator Tom Coburn.

Since my appointment as the Amtrak Inspector General in November 2009, I have been focused on working with Amtrak management to ensure that the Office of Inspector General (OIG) is positioned to operate independently, without interference from management, and equally as important, to operate effectively, with policies, procedures, and practices that support a high performing OIG operation. The following information responds to your request:









(2) IDENTIFY CLOSED INVESTIGATIONS, EVALUATIONS, AND AUDITS THAT WERE NOT DISCLOSED TO THE PUBLIC FOR THE PERIOD OF JANUARY 1, 2009 THROUGH APRIL 30, 2010

At this time, we believe that all Amtrak OIG audit or evaluation reports issued during that period have been disclosed to the public on the OIG website. However, as discussed below in section (3) of this letter we are currently working with Amtrak management to identify the universe of the OIG's prior audit and evaluation reports.

At the time of your request, none of the Amtrak OIG's investigative closing reports had been disclosed to the public. However, we are committed to transparency, and have recently posted those investigative closing reports where we substantiated an allegation on our website at <http://www.amtrakoig.gov>. Enclosed is a listing of unsubstantiated OIG investigations closed from January 1, 2009 through April 30, 2010 that have not been posted.

(3) PROVIDE A COPY OF YOUR REPLY TO THE RANKING MEMBER OF THE HOUSE COMMITTEE ON OVERSIGHT AND GOVERNMENT REFORM

We were not able to respond to the Ranking Member's request given the lack of reliable historical information on the scope and status of Amtrak OIG's outstanding recommendations. We discussed this with the Ranking Member's staff and described the efforts that we have underway to address the issue.

Specifically, we are working with Amtrak management to identify the universe of the OIG's prior audit and evaluation reports and recommendations. This will enable us to identify the universe of OIG recommendations and determine what recommendations should be closed because they have been implemented by management or are no longer relevant, as well as those recommendations where the status should be discussed with management because they appear to be relevant. Once these efforts are complete, we expect to have a baseline of outstanding OIG audit and evaluation recommendations. We are also working to implement a system for tracking the status of all our recommendations to management.

Should you have any questions regarding the information we are providing, please call me at 202-906-4600.

Sincerely,



Ted Alves
Inspector General

Enclosures



Listing of Closed Investigations

Case Number	Allegation Type	Title/Description	Open Date	Close Date	Status	Finding
09-065	CONFLICT OF INTEREST	K-9 CAPTAIN ALLEGEDLY WORKING AT ██████████ AND AMTRAK	05/26/09	03/29/10	CLOSED	NOT SUBSTANTIATED
08-083	FALSE STATEMENTS	WORK SPECIFICATIONS	07/14/08	03/03/10	CLOSED	NOT SUBSTANTIATED
08-046	MISMANAGEMENT	FORWARDING OF LETTER TO ██████████	04/18/08	02/23/10	CLOSED	NOT SUBSTANTIATED
07-024	THEFT	MISSING AMTRAK GENERATOR	02/12/07	02/12/10	CLOSED	NOT SUBSTANTIATED
09-017	OTHER	TERMINATION WAS A RESULT OF RETALIATION	02/10/09	02/02/10	CLOSED	NOT SUBSTANTIATED
08-050	WASTE	PROACTIVE - AMTRAK COMMISSARY	04/28/08	02/01/10	CLOSED	NOT SUBSTANTIATED
08-142	FRAUD	PASSENGER TRAVELING WITH BAD CREDIT CARD	11/21/08	01/27/10	CLOSED	NOT SUBSTANTIATED
08-042	FRAUD	ROUGH COUPLING TRAIN #98	04/15/08	01/26/10	CLOSED	NOT SUBSTANTIATED
09-086	MISMANAGEMENT	EMPLOYEE FAVORITISM, PERMITTING EXPENSES FOR TICKETS	07/27/09	12/16/09	CLOSED	NOT SUBSTANTIATED
08-008	OTHER	BID FIXING	01/16/08	12/16/09	CLOSED	NOT SUBSTANTIATED
08-031	FRAUD	POTENTIAL HEALTHCARE FRAUD	03/24/08	12/16/09	CLOSED	NOT SUBSTANTIATED
08-146	FALSE TIME & ATTENDANCE	MORE VACATION DAYS TAKEN THAN ENTITLED	12/08/08	12/16/09	CLOSED	NOT SUBSTANTIATED
09-043	ABUSE OF POSITION	SERVICE CONTRACT CHANGE	03/31/09	12/01/09	CLOSED	NOT SUBSTANTIATED
09-087	OTHER	VENDOR CHEATED OUT OF AN AMTRAK ACCOUNT	07/28/09	12/01/09	CLOSED	NOT SUBSTANTIATED
09-018	WASTE	PURCHASE ORDER WITH ██████████ FOR \$4,000,000	02/10/09	11/23/09	CLOSED	NOT SUBSTANTIATED
09-054	FALSE RECORDS	APD FILED FALSE POLICE RECORDS	05/12/09	11/19/09	CLOSED	NOT SUBSTANTIATED
08-133	FALSE TIME & ATTENDANCE	WORKING AT AMTRAK AND CSX AT THE SAME TIME	10/20/08	11/19/09	CLOSED	NOT SUBSTANTIATED
08-134	OTHER	NUMEROUS VIOLATIONS OF SAFETY AND PERSONNEL POLICIES	10/21/08	10/29/09	CLOSED	NOT SUBSTANTIATED
09-032	OTHER	BID MANIPULATION	03/02/09	10/21/09	CLOSED	NOT SUBSTANTIATED
08-084	FRAUD	CHARGING FOR WORK NOT COMPLETED	07/14/08	10/21/09	CLOSED	NOT SUBSTANTIATED
08-097	FRAUD	PAYROLL FRAUD- LEAVES EARLY AND RETURNS END OF SHIFT	08/14/08	10/20/09	CLOSED	NOT SUBSTANTIATED
08-103	PAYROLL FRAUD	ONLY WORKED A PORTION OF THE OVERTIME THEY SUBMITTED	09/08/08	10/20/09	CLOSED	NOT SUBSTANTIATED
09-100	DRUGS/FALSE ACCUSATIONS	BUYING PERCOCET PILLS FROM A NON-AMTRAK EMPLOYEE	08/18/09	10/14/09	CLOSED	NOT SUBSTANTIATED
07-129	MISMANAGEMENT	MISMANAGED A REPORT OF EMPLOYEE UNDER THE INFLUENCE	12/03/07	10/14/09	CLOSED	NOT SUBSTANTIATED
09-057	FALSE CLAIMS	\$1.5 MILLION FRAUD SCHEME REGARDING DONATIONS	05/19/09	10/09/09	CLOSED	NOT SUBSTANTIATED
08-111	THEFT	STOLEN BOBCAT	09/17/08	09/27/09	CLOSED	NOT SUBSTANTIATED
07-101	FRAUD	KICKBACKS RE VENDOR CONTRACTS	09/28/07	09/26/09	CLOSED	NOT SUBSTANTIATED
06-067	THEFT	FAILED TO REMIT CASH FARES	05/26/06	09/19/09	CLOSED	NOT SUBSTANTIATED
08-064	THEFT	STEALING COMPANY SUPPLIES	05/28/08	09/18/09	CLOSED	NOT SUBSTANTIATED
09-104	OTHER	AMTRAK WEBSITE CONTAINING PERSONAL INFORMATION	08/19/09	09/04/09	CLOSED	NOT SUBSTANTIATED
07-076	ADMINISTRATIVE INQUIRY	SUMMER RETREAT AT OLD SAYBROOK	07/06/07	09/03/09	CLOSED	NOT SUBSTANTIATED
09-001	THEFT/EMBEZZLEMENT	THEFT	01/06/09	08/12/09	CLOSED	NOT SUBSTANTIATED
08-104	ABUSE OF POSITION	ADVISED CONTRACTOR NOT TO BID ON A PROJECT	09/08/08	08/05/09	CLOSED	NOT SUBSTANTIATED
09-025	WASTE	ROADWAY EQUIPMENT SHOP ASSIGNING EMPLOYEES TO MACHINES	02/23/09	06/12/09	CLOSED	NOT SUBSTANTIATED
08-152	ABUSE OF POSITION	DISCLOSING APD REPORTS TO ██████████ TO USE IN LAWSUITS	12/23/08	06/12/09	CLOSED	NOT SUBSTANTIATED
08-120	ABUSE OF POSITION	AMTRAK VEHICLE IN QUESTION	10/01/08	06/03/09	CLOSED	NOT SUBSTANTIATED
08-048	FALSE TIME & ATTENDANCE	DURING AUTO TRAIN TENURE, PUNCHING TIME CLOCK AND LEAVING	04/21/08	05/27/09	CLOSED	NOT SUBSTANTIATED
08-026	FRAUD	POTENTIAL HEALTHCARE FRAUD	03/24/08	04/24/09	CLOSED	NOT SUBSTANTIATED
08-149	FRAUD	ENGAGING IN OUTSIDE EMPLOYMENT WHILE ON LEAVE OF ABSENCE	12/11/08	04/24/09	CLOSED	NOT SUBSTANTIATED
09-005	ABUSE OF POSITION	RUNNING BACKGROUND CHECKS ON PEOPLE MAKING CLAIMS	01/12/09	04/10/09	CLOSED	NOT SUBSTANTIATED
07-064	OTHER	VALIDITY OF MARKETING SURVEY BEING CONDUCTED BY AMTRAK	05/22/07	04/06/09	CLOSED	NOT SUBSTANTIATED
07-077	CONFLICT OF INTEREST	FICTITIOUS OR DUMMY VENDORS	07/09/07	04/06/09	CLOSED	NOT SUBSTANTIATED
08-065	FRAUD	FUEL PURCHASES	05/28/08	03/18/09	CLOSED	NOT SUBSTANTIATED
09-020	FRAUD	AMTRAK GUEST REWARDS CREDIT	02/11/09	03/17/09	CLOSED	NOT SUBSTANTIATED
07-091	FRAUD	USE OF AMTRAK P CARDS WITH NO RECONCILED TRANSACTION	08/23/07	03/09/09	CLOSED	NOT SUBSTANTIATED
07-018	FALSE STATEMENTS	SUSPICIOUS CHARGES	02/06/07	03/04/09	CLOSED	NOT SUBSTANTIATED
09-004	ABUSE OF POSITION	INTERFERENCE WITH VENDOR SELECTION	01/12/09	02/26/09	CLOSED	NOT SUBSTANTIATED
07-074	FRAUD	CONTRACTOR WORKING ON THINGS NOT AMTRAK RELATED	07/06/07	02/26/09	CLOSED	NOT SUBSTANTIATED

07-105	FALSE CLAIMS	WORKING ELSEWHERE WHILE ON SICK LEAVE	10/08/07	02/20/09	CLOSED	NOT SUBSTANTIATED
08-056	FRAUD	USE OF CUSTOMER'S CREDIT CARD	05/01/08	02/13/09	CLOSED	NOT SUBSTANTIATED
08-137	FRAUD	CREDIT CARD USED WITHOUT AUTHORIZATION	10/29/08	02/12/09	CLOSED	NOT SUBSTANTIATED
08-126	OTHER	EAVESDROPPING - CAMERA IN WOMEN'S LOCKER ROOM	10/09/08	02/09/09	CLOSED	NOT SUBSTANTIATED
07-009	WASTE	VARIOUS VIOLATIONS/SUPERVISORS STEALING	01/29/07	02/06/09	CLOSED	NOT SUBSTANTIATED
08-080	OTHER	INAPPROPRIATE USE OF AMTRAK EMAIL	07/02/08	01/23/09	CLOSED	NOT SUBSTANTIATED
08-107	MISMANAGEMENT	TOOK INFORMATION FROM COMPUTER	09/08/08	01/15/09	CLOSED	NOT SUBSTANTIATED
05-025	OTHER	CONTRACTOR OPENED A COMPANY AND SUBMITTED BILLS TO AMTRAK	03/03/05	01/08/09	CLOSED	NOT SUBSTANTIATED