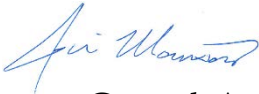




Memorandum

To: Tracie Winbigler
Executive Vice President and Chief Financial Officer

From: Jim Morrison 
Assistant Inspector General, Audits

Date: December 21, 2021

Subject: Engagement Memo—Survey of Engineering Contract Development and Management (Project Code 002-2022)

We are initiating a survey of the company's development and management of construction contracts in the Engineering department. With the recent passage of the Infrastructure Investment and Jobs Act and pending influx of federal funds, the company plans to increase its use of contractors to help address its backlog of State of Good Repair needs and large-scale infrastructure projects. Our objective will be to survey the company's practices for developing and managing construction contracts in the Engineering department.

We plan to interview company officials from the Engineering and Procurement departments, as well as review relevant company databases, and documents related to contract development and management. We will work to minimize disruptions to the company by coordinating meetings with staff in advance. Throughout our survey, we will keep you advised of the status of our work and any material changes in our objective, should they occur. Additionally, we may report on the survey results during our review.

We will perform our work in accordance with generally accepted government auditing standards. Our interactions with the company will be consistent with P/I 2.1.4, which sets forth the relationship between our office and the company. In particular, section 7.0 of the policy discusses coordination between company officials and our Office of Audits.

We request that your office arrange an entrance conference for us with the appropriate company officials at the earliest possible date. We will keep you advised of the status of our work and any material changes in our objective, should they occur.

Dorian Herring will be the audit manager for this engagement and reports to J.J. Marzullo, Senior Director, Audits. If you have any questions, please contact me at (202) 906-4742 or james.morrison@amtrakoig.gov; Eileen Larence, Deputy Assistant Inspector General, Audits, at (202) 906-4152 or eileen.larence@amtrakoig.gov; or J.J. Marzullo, Senior Director at (202) 906-4545, John.Marzullo@amtrakoig.gov.

cc:

Stephen Gardner, President

Eleanor D. Acheson, Executive Vice President, General Counsel & Corporate Secretary

Roger Harris, Executive Vice President, Chief Marketing and Revenue Officer

Laura Mason, Executive Vice President, Major Program Delivery

Scot Naparstek, Executive Vice President, Chief Operating Officer

Dennis Newman, Executive Vice President, Planning & Strategy

Steve Predmore, Executive Vice President and Chief Safety Officer

Qiana Spain, Executive Vice President and Chief Human Resources Officer

Christian Zacariassen, Executive Vice President and Chief Information Officer

Gerhard Williams, Vice President, Chief Engineer

Mark Vierling, Vice President Procurement & Logistics

Mark Richards, Senior Director, Risk Management and Controls