




Memorandum

To: Tracie Winbigler
Executive Vice President and Chief Financial Officer

From: Jim Morrison 
Assistant Inspector General, Audits

Date: December 4, 2019

Subject: Engagement Memo—Audit of the Company’s Monitoring of Prescription Opioid Misuse in its Workforce (Project Code 003-2020)

We are initiating an audit of potential opioid misuse in the company’s workforce. Our objective is to assess company efforts to monitor the use of prescription opioids by employees in safety-sensitive positions and mitigate the potential safety risks they pose. We may modify our scope or our objective during the audit.

In the course of our audit, we plan to analyze company documents and prescription drug, health care, and other data through fiscal year 2019 related to the safety-sensitive workforce. We also plan to interview company officials and staff of third-party health care administrators to discuss their processes for identifying potential prescription opioid misuse and the tools they offer to mitigate potential risks. We will work to minimize disruptions to the company by coordinating meetings with staff in advance.

We will perform our work in accordance with generally accepted government auditing standards. Our interactions with the company will be consistent with P/I 2.1.3, 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.

David Grossman will be the audit manager for this engagement and reports to Leila Kahn, 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 Leila Kahn at (202) 906-4325 or leila.kahn@amtrakoig.gov.

cc: Stephen J. Gardner, Senior Executive Vice President, Chief Operating and Commercial Officer
Eleanor D. Acheson, Executive Vice President, General Counsel & Corporate Secretary
Roger Harris, Executive Vice President, Chief Marketing and Revenue Officer
Scot Naparstek, Executive Vice President, Chief Operations Officer
Dennis Newman, Executive Vice President, Planning & Strategy
Steve Predmore, Executive Vice President and Chief Safety Officer
DJ Stadtler, Executive Vice President and Chief Administrative Officer
Christian Zacariassen, Executive Vice President and Chief Information Officer
Mark Richards, Senior Director, Risk Management and Controls
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