



Memorandum

To: Joseph Boardman, President and CEO

From:

Ted Alves



Date: November 1, 2012

Subject: Audit Engagement Memo: Top Management and Performance Challenges

The Amtrak OIG is starting a review to assess Amtrak's top management and performance challenges. Traditionally, similar reviews by audit organizations have focused on high-risk activities and performance issues that affect operations and/or strategic goals. Results from those reviews have proven that it is important to periodically identify and report the top management and performance challenges to management and other decision-makers that could potentially affect efforts to improve operations and achieve their strategic goals. Specifically, our objectives will be to (1) identify Amtrak's top management and performance challenges, and (2) assess the ongoing and planned management initiatives to address those challenges.

This review will be conducted under project code 020-2012. We will perform our audit work in accordance with Generally Accepted Government Auditing Standards (GAGAS).

During the review, we plan to review policies and guidance, review documents, and interview key Amtrak officials from the various departments that have a role in the numerous management initiatives to address the challenges in areas such as governance, human capital management, information technology, acquisition and procurement, and asset management. This will include the departments of Operations, Finance, Information Technology, Human Capital, and Corporate Research and Strategy. Requests for documents will be made as the audit progresses.

We request that your office arrange an entrance conference for us with the appropriate Amtrak officials at the earliest possible date. We will keep you advised of the status of our work.

Al Murray will be the Auditor-in-Charge (AIC) for this audit. If you have any questions, please contact me; David R. Warren, Assistant Inspector General, Audits, at 8-777-4742 or by email at David.Warren@Amtrakoig.gov; or Mark A. Little, Senior Director, at 8-777-4893 or by email at Mark.Little@Amtrakoig.gov.

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