



Memorandum

To: Tracie Winbigler
Executive Vice President and Chief Financial Officer

From: Jim Morrison *JM*
Assistant Inspector General, Audits

Date: September 9, 2020

Subject: Engagement Memo—Assessing Amtrak’s Compliance with the Americans with Disabilities Act (ADA) (Project Code 017-2020)

We are initiating an audit with the objective to assess the company’s progress toward achieving compliance with the Americans with Disabilities Act (ADA). This is an update to reports we issued in 2011 and 2014. We may expand our scope or modify our objective during the audit. Throughout our audit, we plan to interview company officials responsible for managing the ADA Stations Program, analyze relevant documents and data, and assess policies.

As we start this audit, please know that we are acutely aware of and sensitive to the impact that the coronavirus has had on us all, particularly the company’s business operations and its employees. We will work to minimize disruptions to the company by conducting our outreach with the company as efficiently as possible and coordinating meetings with staff in advance. Given the current operating environment, we also leave it to your discretion to determine who you would like to participate in an entrance conference so as to minimize disruptions to the executive leadership team and expedite our information gathering and request for company interviews and documents. Throughout our audit, we will keep you advised of the status of our work and any material changes in our objective, should they occur.

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.

Dorian Herring will be the audit manager for this engagement and reports to Anne Keenaghan, Senior Director, Audits. If you have any questions, please contact me at James.Morrison@amtrakoig.gov; Eileen Larence, Deputy Assistant Inspector General, Audits, Eileen.Larence@amtrakoig.gov; or Anne Keenaghan, Anne.Keenaghan@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 and Strategy
Steve Predmore, Executive Vice President and Chief Safety Officer
Qiana Spain, Executive Vice President and Chief Human Resource Officer
Christian Zacariassen, Executive Vice President and Chief Information Officer
DJ Stadtler, EVP, Special Assistant
Mark Richards, Senior Director, Risk Management and Controls
Hiwot Abebe, Senior Risk Management & Controls Manager, Risk Management and Controls
David Handera, Vice President, Stations Properties and Accessibility, Planning and Strategy