



Memorandum

To: Swati Sharma
Acting Chief Financial Officer

From: 
Stephen Lord
Assistant Inspector General, Audits

Date: April 18, 2019

Subject: Engagement Memo— Audit of the company's police and security operations (Project code 010-2019)

We are initiating an audit of the company's police and security operations. Our objective is to evaluate the company's mission and processes for providing police and security services to passengers, employees, and company assets compared to other successful organizations. We may expand our scope or modify our objective during the audit.

During the audit, we plan to analyze documents and data related to the police department's strategic planning and budgeting processes, roles, responsibilities, staffing, and performance measures, and interview senior department officials. Our request for documents will be made as our work progresses. We will work to minimize the impact of the audit by coordinating interviews and observations with company offices and staff in advance.

Our work will be performed in accordance with generally accepted government auditing standards. Our interactions with the company will be consistent with P/I2.1.3, 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. To view this policy, see <http://wiki.corp.nrpc/display/APIM20/2.0+Inspector+General>

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.

Jana Brodsky 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) 906-4600 (stephen.lord@amtrakoig.gov), Eileen Larence, Deputy Assistant Inspector General – Audits at (202) 906-4152 (Eileen.Larence@amtrakoig.gov), or J.J. Marzullo at (202) 906-4545 (John.Marzullo@amtrakoig.gov).

cc: Stephen Gardner, Sr. Executive Vice President/Commercial, Marketing, & Strategy
Eleanor Acheson, Executive Vice President/General Counsel & Corporate Secretary
Ken Hylander, Executive Vice President/Chief Safety Officer
Scot Naparstek, Executive Vice President/Chief Operating Officer
DJ Stadtler, Executive Vice President/Chief Administration Officer
Christian Zacariassen, Executive Vice President/Chief Information Officer
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Mark Richards, Sr. Director, Risk Management and Controls
Mark Benedict, Director, Risk Management and Controls