




Memorandum

To: Gerald Sokol, Jr.
Executive Vice President/Chief Financial Officer

From: Stephen Lord 
Assistant Inspector General, Audits

Date: January 26, 2017

Subject: Engagement Memo— Audit of Amtrak’s Strategy and Planning for Physical Security (Project Code 005-2017)

We are initiating an audit of the company’s efforts to ensure the physical security of its passengers, employees, and critical infrastructure. Our objectives are to (1) assess the company’s strategy and planning for physical security and (2) identify challenges, if any, to achieving the company’s security goals. We may revise our scope or modify our objectives during the course of the audit.

During the audit, we plan to interview company officials, other rail carriers and security experts, and federal security officials, if applicable. We also plan to analyze company documents and data related to planning, implementing, and assessing physical security efforts. We will request these documents and data as our work progresses. We will work to minimize the impact of the audit by coordinating interviews and observations with 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/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. 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 objectives, should they occur.

Jodi Prosser will be the Audit Manager responsible for this engagement and will report to Anne Keenaghan, Senior Director – Audits. If you have any questions, please contact me at (202) 906-4600 (stephen.lord@amtrakoig.gov), Jason Venner at (202) 906-4405 (jason.venner@amtrakoig.gov), or Anne Keenaghan at (215) 349-2743 (anne.keenaghan@amtrakoig.gov).

Thank you for your cooperation.

cc: Scot Naparstek, Executive Vice President, Chief Operating Officer
Eleanor Acheson, Executive Vice President, General Counsel and Corporate
Secretary
Susan Reinertson, Assistant Vice President, Corporate Security
Neil Trugman, Assistant Vice President, Chief of Police
Matthew Gagnon, Senior Director, Amtrak Controls
Melantha Paige, Senior Amtrak Controls Consultant