



Memorandum

To: Tracie Winbigler
Executive Vice President and Chief Financial Officer

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

Date: February 11, 2022

Subject: Engagement Memo—Technology Asset Inventory
(Project Code 007-2022)

We are initiating an audit of the company's practices to develop and maintain an inventory of its technology assets to facilitate its ability to protect them from cybersecurity threats. Our objective will be to assess the effectiveness of the company's practices for identifying and tracking these assets. We plan to focus on systems that support train operations (known as "operational technology") but may modify our scope or objective during the review. We plan to interview company officials, analyze relevant documents and data, and assess related policies and procedures. 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.

Ashish Tendulkar 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 (703) 975-5237 or james.morrison@amtrakoig.gov; or Anne Keenaghan at (215) 349-2743 or anne.keenaghan@amtrakoig.gov.

cc: Stephen Gardner, President and Chief Executive Officer
Eleanor D. Acheson, Executive Vice President, General Counsel & Corporate Secretary
Roger Harris, Executive Vice President, Chief Marketing and Revenue Officer
Laura Mason, Executive Vice President, Capital Delivery
Scot Naparstek, Executive Vice President, Service Delivery & Operations
Dennis Newman, Executive Vice President, Strategy, Planning & Accessibility
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