



Memorandum

To: Tracie Winbigler
Executive Vice President, Business Transformation
and Chief Financial Officer

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

Date: January 3, 2024

Subject: Engagement Memo— Audit of Disaster Recovery Processes for the
Company's Operational Technology Systems (Project Code 006-2024)

We are initiating an audit of Amtrak's (the company) disaster recovery processes for its operational technology (OT) systems. Our objective will be to assess the company's disaster recovery processes, including efforts to reduce the risk of disruption to its OT systems. We may expand our scope or modify our objective during the audit. We plan to interview company officials responsible for maintaining disaster recovery processes for its OT systems; review related policies, documents, and procedures; and analyze relevant company data. We will coordinate 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 2.1.4, 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.

If you have any questions, please call (202) 906-4600.

cc: Stephen J. Gardner, Chief Executive Officer
Roger Harris, President, Operating and Commercial
Eleanor D. Acheson, Executive Vice President, General Counsel & Corporate Secretary
Laura Mason, Executive Vice President, Capital Delivery
Eliot Hamlich, Executive Vice President, Marketing and Chief Commercial Officer
Dennis Newman, Executive Vice President, Strategy, Planning & Asset Development
Steve Predmore, Executive Vice President and Chief Safety Officer
Robert Grasty, Executive Vice President and Chief Human Resource Officer
Gerhard Williams, Executive Vice President, Service Delivery & Operations
Christian Zacariassen, Executive Vice President, Digital Technology & Innovation
Anna Rusakova, Senior Director, Risk Management and Control