




Memorandum

To: Tracie Winbigler
Executive Vice President and Chief Financial Officer

From: Jim Morrison 
Assistant Inspector General, Audits

Date: January 20, 2021

Subject: Engagement Memo—Monitoring Positive Train Control
(Project Code 004-2021)

This is to inform you that we are initiating work to monitor Amtrak's (the company's) activities associated with Positive Train Control (PTC), its key safety system for preventing train accidents. Company efforts to effectively measure and operate its PTC systems are of high priority to the company, its customers, the Congress, and other stakeholders. Our overall objective is to monitor the company's efforts to operate PTC, measure its performance, and assess safety risks, in keeping with the recommendations we made in our recent audit report. Our work will include, but not be limited to, interviewing company officials, reviewing available documentation, and assessing company efforts to address our recommendations.

As we start this monitoring effort, we are acutely aware of and sensitive to the impact that the COVID-19 pandemic has had on the company's business operations and its employees. We will work to minimize disruptions to the company by coordinating meetings with staff in advance. 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.

Jodi Prosser 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, at eileen.larence@amtrakoig.gov; or Anne Keenaghan at anne.keenaghan@amtrakoig.gov.

cc: Stephen Gardner, President

Eleanor 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, Strategy & Planning

Steve Predmore, Executive Vice President and Chief Safety Officer

Qiana Spain, Executive Vice President, Chief Human Resources Officer

Christian Zacariassen, Executive Vice President, Chief Information Officer

Mark Richards, Senior Director, Risk Management and Controls