



Memorandum

To: Tracie Winbigler
Executive Vice President and Chief Financial Officer

From: Jim Morrison, JM
Assistant Inspector General, Audits

Date: January 23, 2023

Subject: Engagement Memo—Protecting Information Systems and Data from Insider Threats (Project Code 005-2023)

We are initiating an audit of Amtrak's (the company) information security practices for protecting its systems and data internally from unauthorized disclosure, modification, or compromise. Any employee or contractor who maliciously or unintentionally uses their authorized access to systems and data to do harm is an insider threat to the company. Accordingly, our objective will be to assess the effectiveness of company controls to protect its information systems and data from insider threats. We may expand our scope or modify our objective during the audit.

During the audit, we plan to interview company officials; assess related policies, documents, and procedures; and review relevant company data. We may also assess controls for selected company systems.

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 2.1.4, 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 me at our main office (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

Dennis Newman, Executive Vice President, Strategy, Planning & Asset Development

Steve Predmore, Executive Vice President and Chief Safety Officer

Qiana Spain, Executive Vice President and Chief Human Resource Officer

Gerhard Williams, Executive Vice President, Service Delivery & Operations

Christian Zacariassen, Executive Vice President, Digital Technology &
Innovation

Mark Richards, Senior Director, Risk Management and Controls