



## Memorandum

**To:** Tracie Winbigler  
Executive Vice President and Chief Financial Officer

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

**Date:** March 30, 2020

**Subject:** Engagement Memo—Positive Train Control (Project Code 010-2020)

We are initiating an audit of the company's implementation of Positive Train Control (PTC). The company has identified PTC as its key safety system for preventing train collisions and is under a regulatory deadline for full PTC system implementation. Our objective will be to assess the company's efforts to implement and operate PTC. During the audit, we plan to interview company personnel and analyze company documents, data, and controls related to the implementation and operation of PTC, including interoperability with host and tenant railroads. We also plan to interview external organizations, including other railroads and the Federal Railroad Administration. We may revise our scope or modify our objective during the audit.

As we start this audit, please know that we are acutely aware and sensitive to the impact COVID-19 has had on us all, particularly the company's business operations and its employees. We will work to minimize disruptions to the company by coordinating meetings with staff in advance. We also leave it to your discretion as to whether you would like an entrance conference given the current operating environment. As an alternative, we could hold an entrance conference via teleconference with the appropriate program-level individuals. This will minimize disruptions to the executive leadership team and expedite our information gathering and request for company interviews and documents. Throughout the course of our audit, we will keep you advised of the status of our work and any material changes in our objective, should they occur.

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.

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](mailto:james.morrison@amtrakoig.gov); Eileen Larence, Deputy Assistant Inspector General, Audits, at [eileen.larence@amtrakoig.gov](mailto:eileen.larence@amtrakoig.gov); or Anne Keenaghan at [anne.keenaghan@amtrakoig.gov](mailto:anne.keenaghan@amtrakoig.gov).

cc: Stephen Gardner, Senior Executive Vice President, Chief Operating and Commercial Officer  
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, Planning & Strategy  
Steve Predmore, Executive Vice President and Chief Safety Officer  
DJ Stadtler, Executive Vice President and Chief Administrative Officer  
Christian Zacariassen, Executive Vice President and Chief Information Officer  
Mark Richards, Senior Director, Risk Management and Controls  
Mark Benedict, Director, Risk Management and Controls  
Justin Meko, Vice President, Safety Compliance and Training  
Chris Jagodzinski, Assistant Vice President, Operations  
Nicholas Croce, Deputy Chief Engineer, Communications and Signals