




Memorandum

To: William N. Feidt
Executive Vice President/Chief Financial Officer

From: Stephen Lord 
Assistant Inspector General, Audits

Date: November 28, 2017

Subject: Engagement Memo—Audit of Train Control Systems Security (Project code 005-2018)

We are initiating a security audit of Amtrak's train control systems, including the Centralized Electrification and Traffic Control (CETC) system, which rely heavily on the use of automated industrial controls to manage train movements in the busy Northeast Corridor. Our objective is to assess the status and effectiveness of company efforts to address any identified security vulnerabilities in the train control systems.

During the audit, we plan to interview company officials and contractors. We also plan to analyze a 2017 industrial control systems security study conducted by an IT security contractor, and the corrective action plan developed by the company to address the vulnerabilities identified in the study. We will also assess company efforts to address any other security vulnerabilities identified during the course of our review. Our work will include visiting industrial control systems field locations and train operations centers. Our request for documents and data will be made as our work progresses. We also will work to minimize the impact of the audit by coordinating interviews and observations with staff in advance.

Our work will be performed in accordance with generally accepted government auditing standards. Our interactions with the company will be consistent with P/I2.1.3, 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. To view this policy, see

<http://wiki.corp.nrpc/display/APIM20/2.0+Inspector+General>

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.

Gary Mountjoy will be the audit manager for this engagement and reports to Vipul Doshi, Senior Director – Audits. If you have any questions, please contact me at (202) 906-4600 (stephen.lord@amtrakoig.gov) or Vipul Doshi at (202) 906-4619 (Vipul.Doshi@amtrakoig.gov).

cc: Scot Naparstek, Executive Vice President/Chief Operating Officer
Gerhard Williams, Vice President/Chief Engineer
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