



Memorandum

To: Tracie Winbigler
Executive Vice President and Chief Financial Officer

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

Date: May 11, 2022

Subject: Engagement Memo—High-Security Keys (Project Code 012-2022)

We are initiating a review of Amtrak's (the company) controls over its high-security keys, such as those that access rail switches and the right-of-way. We are undertaking this review based on a referral from our Office of Investigations. Our objective will be to assess the extent to which the company has controls to manage, distribute, track, and retrieve such keys. We may expand our scope or modify our objective during the review. During the review, we plan to interview company officials involved in the management and use of high-security keys, assess policies and procedures regarding these keys, and conduct relevant site visits. 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, if desired, 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, President and Chief Executive Officer
Eleanor D. Acheson, Executive Vice President and General Counsel & Corporate Secretary
Roger Harris, Executive Vice President, Marketing & Revenue, Chief Commercial Officer
Laura Mason, Executive Vice President, Capital Delivery
Scot Naparstek, Executive Vice President, Service Delivery & Operations
Dennis Newman, Executive Vice President, Strategy, Planning & Accessibility
Steve Predmore, Executive Vice President and Chief Safety Officer
Qiana Spain, Executive Vice President and Chief Human Resource Officer
Christian Zacariassen, Executive Vice President, Digital Technology & Innovation
Mark Richards, Senior Director, Risk Management and Controls