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**APPLICABILITY FOR
Design and Engineering Design Standards Documents**

Project teams shall refer to their executed project contracts for applicable document versions/revisions.

Approvals: <hr/> AO Chief Engineer <hr/> Director of Technical Standards & Requirements	ENGINEERING DESIGN PROCEDURES	EP- 17 Rev: 0
	Notice to Operations Original Issue Date: 5/16/25 Current Revision Date: 5/16/25	

1.0 PURPOSE

The purpose of this procedure is to describe the process for identifying operational or maintenance issues and providing instructions for changes or updates to maintenance programs that do not have any pre-existing or defined solutions.

This procedure ensures uniformity of information and requirements for publishing Notice to Operations (NTO), provides configuration management process, and documents Engineering and Operation concurrences.

Upon issuance of the NTO, Operations will be responsible for the publication, implementation and revisions to controlled documents.

2.0 APPLICABILITY

This procedure applies to facilities or assets in operation and to Service Delivery projects. A need for an NTO may come from any number of sources including but not limited to:

- An Engineering Service Request
- A lesson learned
- An industry best practice
- Results of requests from Operations for Engineering assessments
- A workaround of a failure
- An observation or a review of a routine process or procedure
- Vendor safety bulletins

3.0 SCOPE

A NTO provides instructions from AO Engineering for the following purposes:

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- To update an existing operating or maintenance process or procedure
- To issue a new operating or maintenance process or procedure
- To provide temporary workarounds to operational failures
- To provide assessment and accept as-is or repair instructions for failures
- To provide replacement part numbers if stock is depleted or Original Equipment Manufacturer parts are no longer readily available
- Other purposes as deemed necessary

4.0 REFERENCES

- Agency Safety and Security Management Plan (SSMP) – 2022 Rev 8
- Configuration Review Board (CRB) Procedure

5.0 ACROYNMS

- AO: Agency Oversight
- CRB: Configuration Review Board
- NTO: Notice to Operations
- OPS: Operations
- SME: Subject Matter Expert
- SSMP: Safety and Security Management Plan
- TSS: Transportation Safety and Security
- TSR: Technical Standards & Requirements

6.0 DEFINITIONS

- Asset Owner: A person who implements the requirements from Asset Management Engineering and manages the day-to-day requirements for operation of their assets.
- Concurrence: Agreement or endorsement of the NTO
- CRB Implementation Plan: An outline of what agency standards, processes and procedures are affected by the NTO, the details for updating such documents including but not limited

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to, the timing of the updates and the responsible parties. Must be reviewed and accepted by CRB.

- **Originator:** A responsible engineer or architect who identifies or vets an operational or maintenance issue and prepares the NTO
- **Priority Level:** A designation that determines when the NTO must be issued from the time of identification
- **Requestor:** An individual who is made aware of an operational or maintenance issue and notifies the relevant Subject Matter Expert (Originator)
- **Risk Assessment:** Sound Transit assesses and rates the level of risks to the system based on the severity and probability of such risks using the SSMP Risk Assessment Matrix

7.0 RESPONSIBILITIES

7.1 ORIGINATOR

The Originator is responsible for:

- Identifying or vetting the operational or maintenance issue by ensuring it meets the purpose and scope for the NTO
- Completing the NTO Form (see Exhibit EP-17-01)
- Securing review, concurrence and signatures from Safety, Engineering, Operations, and identifying additional SMEs and stakeholder reviewers as needed
- Routing the completed NTO package to OPS Document Control
- Completing the CRB Procedure, which includes:
 - Creating the CRB Implementation Plan with feedback from Asset Owner
 - Presenting the CRB Implementation Plan and securing acceptance from CRB
 - Notifying the Asset Owner of CRB acceptance

7.2 REVIEWERS

The Reviewers are responsible for the review and concurrence of the NTO (see Appendix A – Stakeholder Contacts). The Reviewers include:

- A. Transportation Safety and Security Director - required
- B. AO Engineering Directors
 - 1. Director of Infrastructure Engineering – required if applicable

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2. Director of Systems Engineering – required if applicable
3. Chief Engineer - required
- C. Director of Asset Management Engineering - required
- D. Asset Owner – required
- E. ST Superintendent – required if applicable
- F. Additional stakeholders and SMEs identified by Originator – as needed

7.3 TECHNICAL STANDARDS AND REQUIREMENTS (TSR) TEAM

The Technical Standards and Requirements team is responsible for providing oversight and coordination of the NTO. Their responsibilities include:

- Maintaining the SharePoint site where NTO working documentation is stored, inclusive of the NTO process and templates
- Providing configuration management of the NTO
- Reviewing the NTO package to ensure consistency in the execution of the NTO process

7.4 OPERATIONS

7.4.1 Operations Document Control

- Publishing the NTO and maintaining final NTO documentation in Operations SharePoint site
- Issuing the completed NTO package to Asset Owner, TSR, CRB and all other pertinent parties

7.4.2 Asset Owner

- Working with Originator in developing the CRB Implementation Plan
- Working with Asset Management Engineering, ST Superintendent and King County Metro (if applicable to NTO) to complete all items in the CRB Implementation Plan
- Reporting to CRB when all tasks in the CRB Implementation Plan have been completed
- May delegate the completion of tasks in the CRB Implementation Plan and closeout of the NTO to an Asset Manager, ST Superintendent, or other pertinent parties

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7.5 CONFIGURATION REVIEW BOARD

- The CRB is responsible for providing agency review and acceptance of the CRB Implementation Plan
- The CRB administration will help facilitate the NTO through the CRB Procedure
- The CRB will also review the completion of all tasks in the CRB Implementation Plan for closeout

8.0 PROCEDURES

The following section outlines the procedures for NTOs (see Exhibit EP-17-02).

8.1 IDENTIFICATION

To determine if an NTO is necessary, the identified operational or maintenance issue must meet the applicability and scope under Section 2.0 and 3.0 above.

8.2 PREPARATION

Upon identification, preparation of the NTO includes:

8.2.1 Technical Standards & Requirement Notification

The Originator must notify the TSR team to create a designated folder and NTO number for storing working documents.

8.2.2 Configuration Review Board Intake

The Originator must notify CRB administration and initiate the intake process for an NTO and Implementation Plan to obtain a CRB tracking number.

8.2.3 Risk Assessment

- The Originator must perform an initial risk assessment, using [SSMP Table 4-3: Risk Assessment Matrix and Resolution Requirements](#), to assign a NTO Priority Level based on Table 8.2-1 below.
- The Priority Level will determine the allotted time from NTO identification to issuance.

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Table 8.2-1 NTO Risk Assessment

SSMP Risk Rating ¹	NTO Priority Level	NTO Identification to Issuance
Unacceptable (red)	Emergency	24 hours or less
Undesirable (orange)	Urgent	3 calendar days
Acceptable (yellow/green)	Routine	10 business days

1 – See SSMP Table 4-3

- A risk assessment is also required for the proposed solution (see NTO Form).

8.2.4 NTO Form (Exhibit EP-17-01)

- Part 1 and Part 2 of the NTO Form provides information on the identified issue, including the affected system(s) and risk level, as well as describes the proposed changes and assessments that must be made to resolve the issue.
- Part 3 – Signatures must be obtained from all identified Reviewers and any additional SME and stakeholder prior to issuance.
- Emergency or Urgent Priority NTOs:
 - Must be addressed immediately after concurrence from Safety, Engineering Director(s), Operations, using the NTO form for communicating and documenting immediately needed instructions
 - Any temporary measures taken and the long-term course of action or permanent fix for addressing the issue must also be documented on the NTO form
 - Any life safety issue is considered Emergency and must be addressed immediately

8.2.5 Supporting Documents

The following documents may be included to support the NTO:

- Drawings and Specifications
- Manuals/Procedures
- Engineering Instructions
- Emails

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8.3 REVIEW AND CONCURRENCE

- Originator must hold a stakeholder review meeting to obtain comments, discuss implementation and updates to other OPS control documents, and to obtain concurrence from all Reviewers. Any comments must be addressed and resubmitted for review.
- TSR will review the NTO package for completeness and adherence to the procedures.
- Once concurrence is received from all Reviewers, the Originator will route the NTO Form and supporting documents for signatures to complete the NTO package.
- The NTO must be reviewed, concurred and signed by all identified Reviewers within the timeframe designated by the NTO Priority Level (see Table 8.2-1).
- Asset Owner must ensure ST Superintendent and King County Metro is informed of NTO, if applicable, prior to issuance.

8.4 ISSUANCE

- The Originator will route the signed NTO package to OPS Document Control.
- OPS Document Control will publish the NTO and issue to the Asset Owner, TSR, CRB and all other pertinent parties.

8.5 IMPLEMENTATION

- The Asset Owner will work with the ST Superintendent and/or other pertinent parties to address the identified issue per the NTO.
- NTOs with temporary conditions:
 - Originator and Asset Owner must concur when temporary conditions can be lifted. Concurrence must be documented via email and sent to CRB and all Reviewers who signed the NTO Form.
 - Multiple temporary conditions within the NTO must follow the same process of concurrence and documentation, for each condition.

8.6 CONFIGURATION REVIEW BOARD PROCEDURE

- All NTOs, regardless of priority level, must be submitted to CRB for review.
- The Originator will follow the CRB Procedure and present the CRB Implementation Plan for acceptance at the next scheduled CRB meeting following issuance of the NTO.

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- CRB will provide agency review of the CRB Implementation Plan and provide acceptance or comments for revision and resubmission.
- The Originator will notify the TSR team and Asset Owner when the CRB Implementation Plan has received acceptance.
- The Asset Owner will be responsible for completing all action items in the CRB Implementation Plan

8.7 CLOSEOUT

When all items on the CRB Implementation Plan have been completed, the Asset Owner will provide all necessary documentation to show CRB administration that the CRB Implementation Plan is complete and ready for closeout.

9.0 EXHIBITS

- APPENDIX A: Stakeholder Contacts
- EP-17-01: Notice to Operations Form
- EP-17-02: Notice to Operations Workflow

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APPENDIX A: STAKEHOLDER CONTACTS

Title	Name
Director of Transportation Safety and Security	Branden Porter
Director of Infrastructure Engineering	Brian Holloway
Director of Systems Engineering & Integration	Ben McNutt
Chief Engineer	Kerry Pihlstrom
Director of Asset Management Engineering	Craig DeLalla
Technical Standards and Requirements	Joanna Perez Christina Seo
Operations Document Control	James Chung
Asset Owners	Byrl Eddy – Transit Systems Eamon Gavin – Computers & Networks George McGinn – Rolling Stock Michelle Walker - Facilities Mike Bauck - Infrastructure Robert Blackburn – T Line
ST Superintendent	Brandon Gatliff – Maintenance of Way Eric Gatliff – Link Maintenance Lauren Smith – Link Maintenance Ron Sterling – Link Maintenance Vincent Christiancy – Link Maintenance Will Ryan – Link Maintenance

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EXHIBIT EP-17-01 NOTICE TO OPERATIONS FORM

Agency Oversight Engineering Notice to Operations (NTO) Form

PART 1 - INFORMATION			
1.	NTO Number:	NTO-Click or tap here to enter text.	Obtain from TSR team (i.e., NTO-1001). Update in footer as well.
2.	NTO Name:		Name for NTO
3.	Date Identified:		Date that NTO was identified (MM/DD/YY)
4.	Originator:		Name of person completing NTO form, include title, department/team
5.	Requested By: (If applicable)		Ensure requestor is involved in review to ensure alignment
6.	Location:		Common Name and Facility Number (Example: Northgate Station – N11)
7.	Affected Discipline(s):		Short description of the system (e.g., Traction Power, Track, Network, etc.)
8.	Affected OPS Business Line(s):		List all lines affected BRT, Facilities, Link, Sounder, ST Express Bus, T Line
9.	Description Summary:		Short description of the NTO
10.	Priority Level*:	Select from list	Priority is based on Risk Level established from SSMP Risk Assessment Matrix (Table 4-3)
11.	CRB Number:		Obtained from Configuration Review Board Intake Form
12.	Does this NTO require updates to AO Technical Standards? (e.g., STRM, Standards Specs, Standard Drawings)		Y <input type="checkbox"/> N <input type="checkbox"/>
13.	Does this NTO include a temporary condition? (e.g., Slow or Stop Order)		Y <input type="checkbox"/> N <input type="checkbox"/>
<p>* Priority determines when NTO Issuance must occur:</p> <ul style="list-style-type: none"> Emergency --> within 24hrs or less of NTO identification Urgent --> within 3 business days of NTO identification Routine --> within 10 calendar days of identification <p>Emergency and Urgent priorities must be addressed immediately with temporary measures.</p>			
Continue to PART 2 – DESCRIPTION			

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Notice to Operations – continued

PART 2 – DESCRIPTION**14. Problem Statement/Purpose:**

Detailed description of the problem or purpose for NTO

15. Proposed/Recommended Change:

Detailed instruction or description of changes to an existing procedure or drawing (to be attached).

- *If this NTO includes a temporary condition, describe 1) all temporary solutions to address issue 2) duration and requirements needed to be fulfilled to lift the temporary order(s) and 3) permanent/long-term solutions required to close out the NTO.*

16. Explanation and Justification:

Technical reasoning of how the recommended changes/new procedures address the Problem Statement/Purpose above.

- *Include description of all substantiating analysis.*
- *A statement regarding the impact or no-impact to system must be included here*

17. Risk Assessment of Proposed Change:

Using the SSMP Risk Assessment Matrix (Table 4-3), perform a risk assessment and safety evaluation of the proposed changes. Include a positive statement regarding improving the risk rating

18. Reference Documentation/ Drawings:

Procedure, Standard Operating Procedure, Construction Drawing, etc.

Note: Any markups of existing procedures must be attached with changes clearly marked in red

19. Originator Signature:

Enter Name _____

Enter Title _____

Signature _____

Date _____

Submit PART 1 and PART 2 for review.

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Agency Oversight Engineering
Notice to Operations – continued**PART 3 – REVIEWERS SIGNATURE****20. Transportation Safety and Security (TSS) - Required**

_____ Name	_____ Signature	_____ Date
_____ Title		

21. AO Engineering - Required (note "N/A" where not applicable)

_____ Name	_____ Signature	_____ Date
Director of Infrastructure Engineering		

_____ Name	_____ Signature	_____ Date
Director of Systems Engineering & Integration		

_____ Name	_____ Signature	_____ Date
Chief Engineer		

22. Asset Management Engineering – Required

_____ Name	_____ Signature	_____ Date
Director of Asset Management Engineering		

23. Asset Owner – Required

_____ Name	_____ Signature	_____ Date
_____ Title		

24. ST Superintendent – Required if applicable

_____ Name	_____ Signature	_____ Date
_____ Title		

25. Additional Stakeholder – As needed

_____ Name	_____ Signature	_____ Date
_____ Title		

All required Reviewer signatures must be obtained prior to issuance

