TALSON
SOLUTIONS LLC

Safety Certification Audit Report
July 2, 2025

Projects: **East Link Extension Contract 130**

Audit Type: **Security Audit Profile 2000 and**
Safety & Security Audit Profile 3000

PREPARED BY (TALSON):

Sam Panella – Auditor	Date: *April 30, 2025*
Yvette Suarez – Audit Manager	*April 30, 2025*

APPROVED BY (TALSON):

Kenneth Brzozowski – Project Manager	Date: *May 28, 2025*

APPROVED FOR ISSUE (SOUND TRANSIT):

Patrick Johnson – ST Deputy Executive Director Audit Division	Date: *July 2, 2025*

Contents

Safety & Security Certification Audit Report

I. EXECUTIVE SUMMARY

Commencing in February 2025 and extending through April 2025, Talson Solutions, LLC (Talson) performed a desktop Safety & Security Certification Audit (SSCA) of Sound Transit's East Link Extension Contract 130 (ELE130) project. The audit was performed on behalf of the Sound Transit Audit Division and focused on Security Audit Profile 2000 - *Design Conformance* and Audit Profile 3000 – *Construction Specification Conformance*.

Objectives
The objective of SSCAs is to verify evidence that construction and operational activities are in conformance with Sound Transit hazard mitigation plans and certification policy. Sound Transit uses certifiable item forms in the Safety and Security Information Management System (SSIMS) to evidence hazard mitigating documentation in accordance with required specifications and plans.

Hazard mitigation and certification standards are detailed within the Agency Safety and Security Certification Plan (SSCP), dated August 2018[1] (updated 2023) and the Agency Safety and Security Management Plan (SSMP), dated March 2022. Audit Profile 2000 and Audit Profile 3000 objectives for this audit focused on the following:

Audit Profile 2000 – Design Conformance Verification
- ➤ Verified that safety mitigation criteria have been incorporated into design and referenced by Certifiable Item/Hazard
- ➤ Verified that required conformance documents fields within SSIMS are clearly completed and contain adequate references to upload documentation (example: drawings, specification, etc.)
- ➤ Verified that uploaded documentation adequately mitigates the stated hazard, are in conformance with the state Safety and Security Requirement Field, and are listed in the conformance documentation fields

Audit Profile 3000 – Construction Conformance Verification
- ➤ Verified construction hazards are mitigated in accordance with the hazard analyses and the "Safety and Security Requirements" SSIMS fields
- ➤ Evaluated evidence that construction conformance mitigation has been achieved, inspected, and documented
- ➤ Key documents reviewed included inspection reports, resident reengineer summary memos, photos, product data sheets, and other notable information

Results
Talson found that design and construction conformance activities performed by Sound Transit align with safety and security certification processes and plans. The audit resulted in no findings or recommendations . Talson did note that twelve (12) Certifiable Item (CIs) selected for testing

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[1] The revised SSCP, dated April 2023 does not reference SSIMS but is not applicable to this project's start date

were not closed even though SSIMS had them marked as closed. Further investigation with the Transportation Safety & Security team (TSS) confirmed the identified CIs were not closed by Sound Transit and Talson was advised that the SSIMS system defaults to "closed" if the CI is inactive in a phase for more than two (2) years.

Additional investigation verified that the system had indeed defaulted to "closed" without Transportation Safety Management closing the CIs. Twelve (12) additional CIs were selected for testing to replace the original twelve (12) with no exceptions found. The original CIs will be retested once they are closed.

Preliminary results were shared with appropriate Sound Transit personnel prior to the issuance of this report and further discussed during an April 21, 2025 Audit Closeout Meeting.

II.   SCOPE AND METHODOLOGY

SCCAs provide independent assurance that identified hazards are effectively mitigated and appropriately documented during each phase of a capital project spanning from preliminary engineering to revenue service. The Audit Profiles (APs) of SSCAs are specific to the completed phases of a capital project:

- ➢ **Audit Profile 1000** – *Hazard Analysis*
- ➢ **Audit Profile 2000** – *Design*
- ➢ **Audit Profile 3000** – *Construction*
- ➢ **Audit Profile 4000** – *System Testing*
- ➢ **Audit Profile 5000** – *Vehicle Fabrication*
- ➢ **Audit Profile 6000** – *Training/SOPs*
- ➢ **Audit Profile 7000** – *Fire/Life Safety Readiness / Certification Reporting*

SSCP Section 3.1.2, B., 2. (dated 2018), requires the use of CIs within SSIMS for uploading documented evidence that each identified hazard has been mitigated throughout each completed capital project phase. SCCA testing targets stratified sampling for 15% of all completed CIs covering each identified contract and element. Each sampled CI is verified for relevancy, appropriateness, traceability, and proper referencing. A three (3) tiered rating system is used to categorize the results:

- *Acceptable: No deviation from the implemented SSCP / SSMP standards.*
- *Conditionally Acceptable: Minor deviation of the implemented SSCP /SSMP standard and unlikely to result in a nonconforming product or service.*
- *Unacceptable: A significant breakdown or partial breakdown in processes that may result or has resulted in a nonconforming product or service.*

CIs that are rated "Conditionally Acceptable" may or may not result in the assignment of audit findings, recommendations, and corrective action plans based on the criteria listed in Section V of this report and the professional judgement of the auditor.

Safety & Security Certification Audit Report

The charts below detail the summaries of closed CI forms, including population size and sample selection for each contract reviewed as part of this Safety and Security Audit:

AP 2000 Security Summary

Contract	CI Total	Sampling	Percentage
E01	54	9	16.7%
E07	54	9	16.7%
Guideway (GW)	33	5	15%
TOTAL	141	23	16.3%

AP 3000 Safety Summary

Contract	CI Total	Sampling	Percentage
E01	59	12	20.3%
E07	58	11	18.9%
Guideway (GW)	176	32	18.2%
TOTAL	293	55	18.8%

AP 3000 Security Summary

Contract	CI Total	Sampling	Percentage
E01	54	9	16.7%
E07	53	8	15.1%
Guideway (GW)	33	5	15.2%
TOTAL	140	22	15.7%

Talson's audit procedures included the following:
- Facilitated an Audit Entrance Meeting with applicable personnel on February 3, 2025
- Assessed relevant compliance documentation including prior audit reports, SSCP, SSMP, and Preliminary Hazard Analysis, dated May 19, 2016
- Selected 23 out of 144 non-duplicated closed CIs for Security Testing (16.3%) for Audit Profile 2000 Testing
- Selected 77 out of 433 non-duplicated closed CIs for Safety and Security Testing (17.8%) for Audit Profile 3000 Testing
- Reviewed uploaded documentation and notations within each CI
- Completed Audit Profile 2000 and Audit Profile 3000 Testing Checklists/Workpapers
- Conducted a Closeout Briefing with preliminary results on April 21, 2025
- Produced audit draft and final reports
- Continued discussion with Safety Management regarding audit results

III.   FINDINGS

The audit resulted in no (0) findings.

IV.   RECOMMENDATIONS

The audit resulted in no (0) Recommendations.

V.   DISTRIBUTION

Safety and Security Audit Dates:	February 2025 – April 2025	
Organization:	Sound Transit	*(Auditee)*
Responsible Party:	Andrea Trepadean, *Acting* Chief Safety Officer	*(Auditee)*
Talson Auditor(s):	Ken Brzozowski, Norman Jones, Sam Panella, and Yvette Suarez	*(Auditors)*
Report To:	• Robert Taaffe, Deputy Executive Director, Safety & Quality Coordination	
Distribution List:	• Randy Harlow, Executive Project Director, East Link	
	• Jon Lebo, Deputy Executive Project Director, East Link	
	• Kerry Pihlstrom, Executive Director, Asset Transition Office (ATO)	
	• Branden Porter, Deputy Executive Director & Deputy Chief Safety Officer	
	• Don Burr, Director, Transportation Safety & Security	
	• Josiah Durham, ST Manager, Transportation Safety & Security	
	• Molly Hughes, WSDOT State Safety Oversight Program Administrator	
	• Andrew Royer, WSDOT State Safety Oversight Program Administrator	