



**Blocks 1 thru 12 to be completed by Auditors**

1. Audit Type: Annual Audit	2. Mode/System: SCR	3. Audit Title / Number/Reference: Sounder Commuter Rail Internal Safety Audit 2025-03	4. Classification (Finding/Obsv): <b>FINDING</b>
5. Finding/Obsv. Ref. F-SCR-25-02	6. Auditor, Email & Phone: Mike Flood – Audit Division; (425) 677-8157 Michael.Flood@Soundtransit.org		7. Issued Date: 8/15/2025
8. Description: (of Finding or Observation) <b>F.2- There is inadequate process to assess or document whether contractor maintenance activities consistently meet agency and FRA requirements.</b>  ST is not verifying that AMTRAK maintenance work meets agency standards or ensure they follow required procedures to avoid gaps in preventative and corrective maintenance.			
8a. Recommendation (For Observations Only)  N/A			
8b. References: 49 CFR Part 270.103(h) SSP 4.5.2 Maintenance Procedures			
9. Risk Rating  2C	10. Owner/Assigned Responsible Individual: George McGinn, Executive Operations Director, Rolling Stock	11. Assigned Responsible Division: Asset Management	12. Response Due Date: 6/20/2025

**Blocks 13 thru 18 will be completed by the individual responding to the Finding/Observation**

13. Finding/Observation Response:  The ST Rolling Stock Vertical Group acknowledges there is a gap in the contractor maintenance oversight program.  A comprehensive maintenance oversight action plan will be developed to ensure all contracted work complies with the agency's safety and maintenance standards and follows established procedures.			
13a. Root Cause (Findings Only):  Oversight of Sounder maintenance was impacted by the departure of the Maintenance Manager, resulting in increased responsibilities for the Mechanical Specialist. These additional duties fell outside the original scope of the position and created challenges for the program.			
14. Finding/Observation Implementation Plan:  a. Review/update existing plans, procedures, and checklists. <b>Est. Completion Date:</b> Sep 30, 2026. b. Create a comprehensive Agreement Matrix identifying all contract deliverables to be utilized in regular maintenance oversight audits, reviews and surveillances. <b>Est. Completion Date:</b> June 30, 2026			
15. Audit Response Form Completed By: (Name and Title) Dante Tandoc, Manager, Commuter Rail Mechanical	16. Today's Date: 8/15/2025	17. Est. Implementation Date: 6/30/2026	18. SAIR / CAP #



**Blocks 19 thru 25 to be completed by Auditors**

19. Finding/Observation Implementation Plan Review

Accept             Reject

20. Auditor Name / Signature:            Date:

21. Finding/Observation Implementation Verification

Accept (CLOSE)             Reject (Remain OPEN)

22. Auditor / Signature:            Date:

23. Description of Verification of Finding/Observation implementation:

24. Reasons for Implementation Plan or Implementation Verification Rejection by Auditors:

25. Auditor Director Name / Signature:

Date: