

**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): FINDING
5. Finding/Observation Ref. F-SCR-25-05	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)

F.5- Some staff's day-to-day duties are different than their prescribed roles and responsibilities defined in the Sounder System Safety Plan (SSP).

The SSP outlines essential roles and responsibilities critical to developing, implementing, and overseeing safety on Sounder.

This audit found that some staff are performing duties that do not match their SSP assigned roles and responsibilities. Additionally, certain responsibilities do not align with job descriptions, and some required roles are missing from this SSP Section.

This mismatch between daily duties and written responsibilities creates confusion in task assignments and therefore could potentially lead to safety issues, especially in maintenance and contract oversight. The SSP's established framework is designed to ensure clear accountability and effective safety management. If not adjusted, this mismatch could weaken operational integrity and increase safety risks.

8a. Recommendation (For Observations Only): N/A

8b. Reference:

49 CFR Part 270.103(e)

SSP 0.2.1 Roles and Responsibilities

9. Risk Rating	10. Owner/Assigned Responsible Individual:	11. Assigned Responsible Division:	12. Response Due Date:
4C	Matt Mitchell, Manager TSS	Transportation Safety & Security	8/15/2025

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

13. Finding/Observation Response:

Safety acknowledges the inconsistencies between the SSP and the roles / responsibilities of staff.

13a. Root Cause (Findings Only):

There were several reasons for the issues with staffing. First, several employees departed the agency. Second, agency realignment redefined new roles within the Sounder OPS team which could not be updated in existing processes. Third, due to the slow hiring process, several team members had to take on extra roles in addition to their usual job tasks.

14. Finding/Observation Implementation Plan:

The SSP will be revised in November 2025. During this update, our team will review the roles and responsibilities with those serving in the roles listed in the SSP. This will ensure accuracy and alignment between Safety and Operations, as well as various other groups, such as People & Culture and Procurement. While many of the open positions on both the Sounder Operations and safety team are now filled, our team will review the SSP to determine if there are other critical areas where positions are needed. Finally, we will continue to regularly meet with members of the Sounder Operations team to resolve issues and ensure consistency in our responsibilities.

15. Audit Response Form Completed By: (Name and Title) Matt Mitchell TSS Manager	16. Today's Date: 6/18/2025	17. Est. Implementation Date: 11/1/2025	18. SAIR / CAP #
Blocks 19 thru 25 to be completed by Auditors			
19. Finding/Observation Implementation Plan Review <input type="checkbox"/> Accept <input type="checkbox"/> Reject		20. Auditor Name / Signature: Date:	
21. Finding/Observation Implementation Verification <input type="checkbox"/> Accept (CLOSE) <input type="checkbox"/> 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:			