

# ***Audit Division Update***

*Finance and Audit Committee*

*3/16/23*

**Data Classification: Unrestricted**



# Why we are here

- Review of 4Q 2022 Audits
  - Compliance Audits
  - Safety & Security Certification Audits
  - Performance Audits
- 2022 Audit Division Annual Report

# 2022 Audit Plan (Compliance)

Audit Topic	Status	Findings
ST Express Bus Annual Internal Safety Audit	Completed	0 Findings
Environmental Management Systems (ESMS) Internal Audit	Completed	0 Findings
Safety and Asset Management Systems (Integrated) Internal Audit	Completed	0 Findings
Link Light Rail / Tacoma Link Annual Internal Safety Audit	Completed	TL – 0 Findings Link – 1 Finding
Souder Commuter Rail Annual Internal Safety Audit	Completed	1 Finding

# 2022 Audit Plan (Safety & Security Certification)

Audit Topic	Status	Findings
East Link E330 / E340 Design Conformance Safety & Security Audit	Completed	1 Finding
East Link E330 / E340 Construction Conformance Safety & Security Audit	Completed	0 Findings
Tacoma Link Vehicle Procurement Safety Audit	Completed	2 Findings
Downtown Redmond Link Design Conformance Safety & Security Audit	Completed	1 Finding
OMFE Final Safety & Security Audit	Completed	0 Findings
Sounder Commuter Rail Vehicle Procurement Safety Audit	Completed	0 Findings
East Link / FWLE / Lynnwood Link Security Audits	Report in Draft	

# 2022 Audit Plan (Performance)

Audit Topic	Status	Findings
Structures Oversight Audit	Completed	2 Findings
Data Classification & Retention Audit	Completed	1 Finding
Transit Police Contract Audit	Completed	1 Finding
Review of Airspace Leasing to Sound Transit (JLARC)	Completed	0 Findings
Vertical Conveyance Systems	Completed	6 Findings
Revenue Vehicle Preventive Maintenance (PM) Process	Report in draft	
Agency Agreements	Report in draft	

# ***Vertical Conveyance Systems Audit***

## **Audit Objective:**

- Assess conveyance system project procurement planning, and performance management & evaluation.

## **Scope of review:**

- Reviewed 14 of 38 project procurements related to vertical conveyance initiated between 2019 up to May 2022.
- Analyzed over 2,200 work orders from the period between 2019 and May 2022 for elevators and escalators inspections, maintenance, and equipment adjustment along Link, ST Express & Sounder stations.

# *Vertical Conveyance Systems Audit*

## **What we found**

- Continuous improvement efforts are ongoing to remediate and improve reliability of current assets as we develop asset replacement plans.
- Efforts were prioritized to provide better reporting capabilities.
- Overall vertical conveyance program is comprehensive.

# *Vertical Conveyance Systems Audit*

## **Opportunities for Improvement:**

- Expand Vendor Performance Evaluation policy & procedures to include the following requirements for all types of procurements.
  - Ensure all employees involved in contract awards complete all performance management activities, including Conflicts of Interest forms.
  - Ensure that all vendors records of past performance is evaluated.

# *Vertical Conveyance Systems Audit*

## **Opportunities for Improvement:**

- Increase timeliness and thoroughness of documentation across multiple systems to improve recordkeeping.
  - Delayed entry of conditions inspections and assessment work orders into EAMS system.
  - Inconsistent data analysis and inconsistent reporting of preventive maintenance work orders.

***2022 Audit Division  
Annual Report***

# ***2022 Audit Division Annual Report***

## ***Highlights***

- Diversity, Equity and Inclusion (DEI) has been piloted into audit work (Performance Audits); with work continuing into Compliance audits in 2023.
- Over the course of 2022, 17 of 20 final audit reports were produced and published from the 3 audit groups.
- Follow-up and review 40 previous and current audit findings and observations.
  - Resulting in the closure of 12 previous and current audit projects.

*Thank you.*



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