

### MISSION AND PURPOSE

The Audit Division’s mission and purpose is to provide independent, objective assurance and consulting services designed to add value across the agency; strengthen and improve how the agency is operated and managed; ensure public funds are managed transparently; and provide reasonable assurance that the agency is keeping its employees, contractors, and our riding public safe.

### ORGANIZATIONAL CHANGES

As part of an agency re-organization, a single Audit Division was created from the combination of the Internal Audit Division and Safety Assurance Division. This effort streamlines all agency audit functions under one division.

The new division includes two groups with newly defined names for ease of understanding their roles & functions:

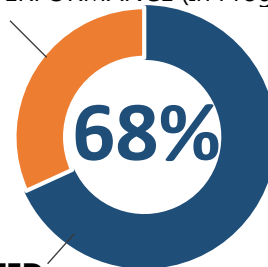
- **Performance Audit Group**
  - (Internal Audit)
- **Compliance Audit Group**
  - (Modal Safety Audits, Management System Audits, and Capital Projects Safety & Security Audits)

### AUDITS COMPLETED

We published reports for 15 (**68%**) of 22 audits planned for 2020 for both the Performance Audit Group and the Compliance Audit Group. Two of the three incomplete (not started) audits will be carried over into our 2021 audit plan due to pandemic related delays and staffing shortages.

#### INCOMPLETE

- 3 PERFORMANCE (Not started)
- 4 PERFORMANCE (In Progress)



#### COMPLETED

- 6 PERFORMANCE
- 9 COMPLIANCE

### AUDIT RESULTS

This year we published **15** different audit reports over the course of the 2020, with the addition of work from the Compliance Audit Group (Internal Safety Audits & Safety Certification Audits). With the addition of this group, the productivity will surge over the next few years and will be captured in future annual reports.

Table 1 below provides a summary breakdown of completed audits with open corrective actions.

All audit results are briefed to respective committee oversight panels, and agency executives. Final audit reports can be made available upon request.

**Table 1: Summary Status of Completed 2020 Audits**

Audit Group	Report Date	Audit Report Name	# Corrective Actions / Findings
Compliance	12/28/20	Construction Conformance Audit ( <b>AP 3000</b> ): Operations & Maintenance Facility East	2
Compliance	12/18/20	Sounder Commuter Rail Safety Audit	2
Compliance	12/18/20	Tacoma Link Annual Safety Audit	2
Compliance	12/17/20	4 <sup>th</sup> Readiness Audit – Siemens LRV Capital Project	9
Compliance	11/02/20	Design Conformance Audit ( <b>AP 2000</b> ) Lynnwood Link Extension	2
Performance	10/01/20	Consultant On & Off Boarding Practices	3
Performance	08/07/20	Construction Contract Procurement Process	0
Compliance	07/23/20	3rd Readiness Audit – Siemens LRV Capital Project	2
Performance	07/13/20	Information Security Governance	2
Performance	06/24/20	Work Order Process Audit	4
Performance	05/07/20	Safety Assurance Audit	2
Compliance	04/20/20	Link Light Rail Annual Safety Audit	6
Performance	03/19/20	Budget Process Review Audit	1
Compliance	03/12/20	Design Conformance Audit ( <b>AP 2000</b> ) Operations & Maintenance Facility East	3
Compliance	03/12/20	Hazard Analysis Certifiable Items (CIL) Audit ( <b>AP 1000</b> ) Operations & Maintenance Facility East	6