

Audit Division Update

Finance and Audit Committee

12/15/22

Data Classification: Unrestricted



Why we are here

- 2022 Audit Plan Progress Report
- Tentative 3 Year Agency Audit Plan
- 2023 Performance Audit topic

2022 Audit Plan (Compliance)

Audit Topic	Status
ST Express Bus Annual Internal Safety Audit	Completed
Environmental Management Systems (ESMS) Internal Audit	Completed
Safety and Asset Management Systems (Integrated) Internal Audits	Completed
Sounder Commuter Rail Annual Internal Safety Audit	Finalizing
Link Light Rail / Tacoma Link Annual Internal Safety Audit	Finalizing

2022 Audit Plan (Performance)

Audit Topic	Status
Structure Oversight for Bridges, Garages, Stations and Tunnels Audit	Completed
Data Classification & Retention Audit	Completed
Transit Police Contract Audit	Completed
Review of Airspace Leasing to Sound Transit (JLARC) – Consultative	Completed
Vertical Conveyance Systems	Finalizing
Agency Agreements	Finalizing
Revenue Vehicle Preventive Maintenance (PM) Process	Finalizing

2022 Audit Plan (Capital Project - Compliance)

Audit Topic	Status
East Link E330 / E340 Design Conformance Safety & Security Audit	Completed
East Link E330 / E340 Construction Conformance Safety & Security Audit	Completed
Tacoma Link Vehicle Procurement Safety Audit	Completed
Downtown Redmond Link Design Conformance Safety & Security Audit	Completed
OMFE Final Safety & Security Audit	Finalizing
Hilltop Link / FWLE / Lynnwood Link Security Audits	Finalizing
Souder Vehicle Procurement Safety Audit	Finalizing

Tentative
3 Year Agency Audit Plan

2023 Audit Plan - Compliance

Audit Topic	Scheduled
Internal Safety Audit – ST Express Bus	Q1
Environmental & Sustainability Management System Internal Audit	Q2
Internal Safety Audit – Tacoma Link	
Internal Safety Audit – Sounder Commuter Rail	Q3
SMS / Asset Management Systems Internal Audit	Q3
Internal Safety Audit – Link Light Rail	Q4

2024 Audit Plan - Compliance

Audit Topic	Scheduled
Internal Safety Audit – ST Express Bus	Q1
Environmental & Sustainability Management System Internal Audit	Q2
Internal Security Audit - (Consultant Led)	
Internal Safety Audit – Tacoma Link	Q3
Internal Safety Audit – Link Light Rail	
Internal Safety Audit – Sounder Commuter Rail	Q4
SMS / Asset Management Systems Internal Audit	

2025 Audit Plan - Compliance

Audit Topic	Scheduled
Internal Safety Audit – ST Express Bus	Q1
Internal Safety Audit – Link Light Rail	
Environmental & Sustainability Management System Internal Audit	Q2
Internal Safety Audit – Tacoma Link	
SMS / Asset Management Systems Internal Audit	Q3
Internal Safety Audit – Sounder Commuter Rail	
Internal Security Audit - (Consultant Led)	Q4

2023 Audit Plan - Performance

Audit Topic	Scheduled
Track Maintenance Scheduling – Link light rail	Q1
ADA Accessibility Compliance at transit stations	
Supervisory Control & Data Acquisitions (SCADA) systems	Q2
State of Good Repair – Northgate Link Extension stations	
Capital Projects Closeout Process	Q3
Transit Systems Cybersecurity Preparedness	Q4

2024 Audit Plan - Performance

Audit Topic	Scheduled
Fire & Life Safety Program Compliance	TBD
ORCA NextGen Maintenance	
Fare Ambassador Training	
Light Rail Vehicle Procurement Quality & Inspection Program	
Positive Train Control Reliability	
Conflict of Interest Oversight - Contractors	

2025 Audit Plan - Performance

Audit Topic	Scheduled
Employee Safety Reporting System	TBD
Quality Management Program Review	
Talent Management	
Enterprise Risk Management Program (Follow-up)	
Cost / Price Analysis	
Contractor Deliverable Oversight (Modal Operations Services)	

2023 Audit Plan – Capital Project - Compliance

Audit Topic	Scheduled
Tacoma Link Vehicle Procurement Safety Audit	Q1
Sounder Commuter Rail Vehicle Procurement Safety Audit	Q1
Hilltop Link Extension Safety & Security Certification Audits	Q2 – Q4
East Link (E130) Construction Conformance & Integrated Testing Safety & Security Audits	Q2 & Q3
East Link (E330/E335/E340) Starter Line 2 Integrated Testing Safety & Security Audits	Q2 & Q3
FWLE Design, Construction Conformance & Integrated Testing Safety & Security Audits	Q2 – Q4
Downtown Redmond Link Design, Construction Conformance and Integrated Testing Safety & Security Audits	Q2 - Q4
Lynnwood Link Construction Conformance Integrated Testing	Q4

2024 Audit Plan – Capital Project - Compliance

Audit Topic	Scheduled
Downtown Redmond Link Operational Readiness Safety Audit	TBD
Lynnwood Link Operational Readiness Safety Audit	
Operations & Maintenance Facility (South) Safety Audits	
Operations & Maintenance Facility (North) Safety Audits	
East Link (E130) Operational Readiness Safety Audits	
East Link (E360) Operational Readiness Safety Audits	
FWLE Operational Readiness Safety Audits	

Input for 2023 Performance Audit Topic

- ***Temporary Service Changes Collaboration***
 - Evaluate the communication and collaboration of service plan anomalies (Re-routes, road closures)
- ***System Expansion time charging accountability***
 - Evaluate controls to ensure agency employees are charging their time correctly for system expansions

Thank you.



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