

Audit Division Update

Finance and Audit Committee

10/20/22

Data Classification: Unrestricted



Why we are here

- 2022 Audit Plan Progress Report
 - Joint Legislature Audit Review Committee update
- Input for 2023 Performance Audit Topics

2022 Audit Plan (Performance)

| Audit Topic | Status |
|--|------------|
| Structure Oversight for Bridges, Garages, Stations and Tunnels Audit | Completed |
| Data Classification & Retention Audit | Complete |
| Transit Police Contract Audit | Complete |
| Review of Airspace Leasing to Sound Transit (JLARC) – Consultative | Finalizing |
| Vertical Conveyance Systems | Finalizing |
| Revenue Vehicle Preventive Maintenance (PM) Process | Q3 2022 |
| Agency Agreements | Q4 2022 |

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 Audit | Finalizing |
| Link Light Rail / Tacoma Link Annual Internal Safety Audit | In progress |
| Sounder Commuter Rail Annual Internal Safety Audit | Q4 2022 |

2022 Audit Plan (Compliance – Capital)

| Audit Topic | Status |
|--|-------------|
| East Link E330 / E340 Design Conformance Safety & Security Audit | Complete |
| East Link E330 / E340 Construction Conformance Safety & Security Audit | Complete |
| Tacoma Link Vehicle Procurement Safety Audit | Complete |
| Downtown Redmond Link Design Conformance Safety & Security Audit | Complete |
| OMFE Final Safety & Security Audit | Finalizing |
| East Link / FWLE / Lynnwood Link Security Audits | In progress |
| Hilltop Link Construction Conformance Safety & Security Audit | Q4 2022 |

Data Classification & Retention Audit

Audit Objectives

Assess if the agency is classifying, protecting, storing, and retaining data properly.

Audit Results: 1 Finding

Finding(s)

- Data classification standards have been developed, just not adhered to in all areas.

Data Classification & Retention Audit

Management Response – Strategic Business Services

- **Strategic Business Services agrees with the audit finding regarding data classification standards not being adhered to in the agency.**
 - The Strategic Business Services office in partnership with Information Technology (IT), is developing a strategic vision for data classification, that will seek to address the core issues identified in this audit finding.
 - Implementation of the vision will be accomplished in partnership with all Agency functions, and through a structured, managed programmatic approach with senior leadership oversight.
 - The Strategic Business Services and IT intend to reach substantial completion of its strategic vision approximately Q4 2023.

Transit Police Contract Audit

Audit Objectives

Assess contract deliverables for service availability during peak periods.

Audit Results: 1 Finding

Finding(s)

- Contract deliverable(s) related to transit police availability was not met during peak hours.

Transit Police Contract Audit

Management Response – Public Safety

- Public Safety **partially agrees** with our finding regarding contract deliverables are not being met.
 - Public Safety **disagrees** that the deliverables of the 2018 agreement are not being met. That agreement only required King County Sheriff's Office to provide law enforcement services staff for Sound Transit services, no other measurable deliverables were built into the agreement.
 - Public Safety **agrees** that that the terms of 2022 Memorandum of Understanding are not being met based on reviewed metrics and measurements put in place.
 - With a new Chief of Police from King County Sheriff's Office starting this month, Public Safety anticipates to transition plan and issuance of a new agreement shortly thereafter to ensure services levels meet the agency's needs.

Joint Legislative Audit Review Committee (JLARC)

Study Update

- Agency staff have provided requested background information to JLARC.
- JLARC is developing their draft report
- Draft report will be shared with Sound Transit.
- Currently JLARC is targeting presentation to legislature in November.

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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