

Audit Division 2022 Audit Plan Summary

Q1 - 2022

Audit Topic	
Performance	<p>Land and Airspace Leases of State-Owned Land – Consultation</p> <p>Objective: Provide consultative advice internally in preparation for Joint Legislative Audit Review Committee (JLARC) study of the methods used to determine rates for leasing state owned airspace to a regional transit authority.</p> <p>Proposed Final Report: January 2023 FAC Presentation: March 2023</p>
Performance	<p>Structures Oversight (Bridges, Garages, Tunnels, Stations)</p> <p>Objective: Evaluate inspection and maintenance practices for fixed structures that support transit operations; including reviewing condition assessments and repair practices against industry best practices.</p> <p>Proposed Final Report: April 2022 FAC Presentation: July 2022</p>
Performance	<p>Data Classification Oversight & Retention</p> <p>Objective: Evaluate agency criteria to ensure data and information is classified, stored, and retained according to industry standards.</p> <p>Proposed Final Report: April 2022 FAC Presentation: July 2022</p>
Compliance	<p>ST Express Bus Annual Internal Safety Audit</p> <p>Objective: Evaluate the safety oversight of Sound Transit’s ST Express Bus Service. Includes reviewing how ST Express operations and maintenance is fulfilled by Pierce Transit, Community Transit, and King County Metro.</p> <p>Proposed Final Report: April 2022 Committee Presentation: March 2023</p>
Capital Project	<p>East Link E330 / E340 Safety & Security Certification Audit on Design Conformance (Audit Profile 2000)</p> <p>Objective: Assess that safety design criteria has been incorporated into the design to support the mitigation of a Certifiable Item / Hazard, verify hazard inclusions in designs and submittals, and assess that hazards are identified with preliminary and operating hazard analyses including mitigation actions and efforts.</p> <p>Proposed Final Report: May 2022 Committee Presentation: March 2023</p>

Audit Division 2022 Audit Plan Summary

Q2 - 2022

Audit Topic	
Performance	<p>Vertical Conveyance Systems (Elevators & Escalators)</p> <p>Objective: The audit will review how the agency ensures procurement of vertical conveyances is completed fairly, equitably; that maintenance standards are adhered to by service providers, and that reporting processes advise stakeholders and passengers of availability.</p> <p>Proposed Final Report: August 2022 FAC Presentation: October 2022</p>
Compliance	<p>Environmental Management Systems Internal Audit</p> <p>Objective: To independently review, evaluate, and ensure the agency's Environmental & Sustainability Management System (ESMS) conformance and environmental compliance within the agency. Surveillance internal audits are required under ISO 14001 to show compliance to the standard once annually, with every third year as a certification audit by an outside certifying organization</p> <p>Proposed Final Report: August 2022 Committee Presentation: March 2023</p>
Performance	<p>Contract Deliverables for Transit Police</p> <p>Objective: The audit's objective is to review required service deliverables, completion of required contractual submittals, and is Sound Transit getting the level of service from our Authorities having Jurisdiction (AHJ).</p> <p>Proposed Final Report: August 2022 FAC Presentation: October 2022</p>
Performance	<p>Review of Secondary Control & Data Acquisition (SCADA) Systems</p> <p>Objective: As requested by the Finance & Audit Committee, this audit will evaluate and provide a technical and security architecture assessment of the existing SCADA system; as well as review and document deficiencies or needs based on applicable industry best practices.</p> <p>Proposed Final Report: September 2022 FAC Presentation: October 2022</p>

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Capital Project	<p>East Link E330 / E340 Safety & Security Certification Audit on Construction Conformance (Audit Profile 3000)</p> <p>Objective: Assess that construction criteria has been incorporated into the design to support the mitigation of a Certifiable Item / Hazard, verify hazard inclusions from design into construction, and assess those hazards identified from design have been incorporated in operating hazard analyses including mitigation actions and efforts.</p> <p>Proposed Final Report: August 2022 Committee Presentation: March 2023</p>
Capital Project	<p>Tacoma Link Vehicle Procurement Safety & Security Certification Audit (Audit Profile 4000 – 7000)</p> <p>Objective: Audit will focus on the processes of verifying various establishment of System Integration Testing Procedures, Factory Acceptance Testing, manufacturer quality assurance activities, on-site certification for assembly and testing, documentation within select Vehicle History Books, Final Car Shipment & Receiving Plans.</p> <p>Proposed Final Report: October 2022 Committee Presentation: March 2023</p>
Capital Project	<p>Operations & Maintenance Facility East (OMFE) Final Safety & Security Certification Audit (Audit Profile 8000)</p> <p>Objective: Assess Pre-Revenue Operations Readiness, to include specific focus on compliance to FTA’s Oversight Procedure 54 (OP54) and requirements for Safety & Security and Pre-Revenue Operations as well as review the process for addressing remaining issues through near and long-term corrective actions.</p> <p>Proposed Final Report: October 2022 Committee Presentation: March 2023</p>

Audit Division

2022 Audit Plan Summary

Q3 - 2022

Audit Topic	
Compliance	<p>Link / Tacoma Link Annual Internal Safety Audit</p> <p>Objective: As required by FTA regulation 49 CFR 673, WAC 468-550-060, and WSDOT State Safety Oversight Program Standard, Sound Transit must evaluate the safety oversight of Link and Tacoma Link Light Rail Service. Includes reviewing how operations and maintenance is fulfilled by King County Metro for Link; and how it’s conducted by Sound Transit for Tacoma Link.</p> <p>Proposed Final Report: October 2022 Committee Presentation: March 2023</p>
Compliance	<p>Safety & Asset Management Systems Internal Audit</p> <p>Objective: To independently review, evaluate, and ensure the agency’s Safety (SMS) and Asset Management Systems (AMS) conformance and compliance within the agency. Surveillance internal audits are required under ISO 45001 & 55001 to show compliance to the standard once annually, with every third year as a certification audit by an outside certifying organization</p> <p>Proposed Final Report: November 2022 Committee Presentation: March 2023</p>
Performance	<p>Project Integration & Delivery</p> <p>Objective: This audit is to review and evaluate controls for projects transitions (timing, workarounds, acceptance levels of authority) tasks and activities are performed to efficiently transition the project from the implementation phase to the to bring into revenue service.</p> <p>Proposed Final Report: October 2022 Committee Presentation: December 2022</p>
Performance	<p>Revenue Vehicle Revenue Vehicle Preventive Maintenance Process</p> <p>Objective: This audit will evaluate & review maintenance oversight for all revenue vehicles, critical components, and service documentation (work orders). Prior to audit, assessment will be conducted to confirm audit scope based on vehicle type.</p> <p>Proposed Final Report: November 2022 Committee Presentation: December 2022</p>

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Capital Project	<p>Downtown Redmond Link Safety & Security Certification Audit on Design Conformance (Audit Profile 2000)</p> <p>Objective: Assess that safety design criteria has been incorporated into the design to support the mitigation of a Certifiable Item / Hazard, verify hazard inclusions in designs and submittals, and assess that hazard are identified with preliminary and operating hazard analyses including mitigation actions and efforts.</p> <p>Proposed Final Report: January 2023 Committee Presentation: March 2023</p>
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Q4 - 2022

Audit Topic	
Compliance	<p>Sounder Commuter Rail Annual Safety Audit</p> <p>Objective: As required by FRA regulation 49 CFR 270, Sound Transit must evaluate the safety oversight of Sound Transit's Sounder Commuter Rail Service. Includes reviewing how operations and maintenance is fulfilled by ST Sounder Operations, BNSF, AMTRAK, Stacey & Whitbeck (SWI).</p> <p>Proposed Final Report: December 2022 Committee Presentation: March 2023</p>
Performance	<p>Agency Agreements</p> <p>Objective: Review and evaluate the agency's compliance with regulatory and intergovernmental regulations; and evaluate on how the agency is measuring performance for contracts and agreements.</p> <p>Proposed Final Report: December 2022 Committee Presentation: March 2023</p>
Capital Project	<p>Hilltop Link Safety & Security Certification Audit on Construction Conformance (Audit Profile 3000)</p> <p>Objective: Assess that construction criteria has been incorporated into the design to support the mitigation of a Certifiable Item / Hazard, verify hazard inclusions from design into construction, and assess those hazards identified from design have been incorporated in operating hazard analyses including mitigation actions and efforts.</p> <p>Proposed Final Report: January 2023 Committee Presentation: March 2023</p>