

MISSION AND PURPOSE

The Audit Division is Sound Transit’s independent assurance function that improves how the agency is operated and managed, ensuring public funds are managed transparently, and ultimately keeping employees, contractors and our riding public safe.

WHAT WE DID IN 2021

CONTINUOUS IMPROVEMENT

During the year, the Audit Division completed **16** planned internal audit projects for 2021 for both the Performance Audit and the Compliance Audit Groups, shown on Table 2. However, two (2) audit projects were deferred to future audit plans.

Through our audit work, we identified **19** findings and observations. We track and follow up on all findings and any observations raised until they are verified as corrected and completed.

Findings Raised	
Audit Type	Total
Performance Audit	10
Internal Safety Audit	7
Capital Project Safety & Security Certification	1
Management Systems	1
Total	19

Table 1: Total Findings raised for 2021

UNPLANNED AUDITS



While the Audit Division completed the 2021 Audit Plan, the team also completed 3 critical, unplanned agency audit requests outside of our annual audit plan.

Point Defiance Bypass (PDB) Resumption of Service Safety Audit:



Auditors provided assurance services as Sound Transit set out to reopen the Point Defiance Bypass after the December 2017 derailment in DuPont, Washington.

Our work comprised of reviewing agency systems, project management oversight, safety & security certification, AMTRAK crew qualifications and training, emergency management and



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executive review and approvals; ultimately providing our opinion with confidence, that AMTRAK can safely resume service on the Bypass.

There were no findings from this audit.

Federal Way (FWLE) Construction Safety Audit:

Concerns were raised about safety oversight of construction activities at the Federal Way Link Extension Design-Build project, which were brought to Audit's attention in October 2021, and audit services were procured shortly thereafter to audit this capital project.



The audit focused specifically on verification of project management contractor adherence to Sound Transit's safety guidelines as outlined in safety manuals, safety bulletins, safety meetings, and contractual requirements.

The audit found that safety oversight activities were in general conformance and alignment with industry standards, and that opportunities for enhancements were noted for improvement for enhanced detailed reporting and documenting oversight activities.

There were no findings from this audit.

November 26, 2021 Link Incident Audit:

The events of November 26, 2021 resulted in an unprecedented service disruption on Sound Transit's Link light rail system when a fully-loaded Series 2 Siemens light rail vehicle heading north from the University of Washington Station lost power and stopped in the tunnel.

Auditors again answered the call when the Sound Transit CEO requested audit division staff to broadly investigate what took place that night, and how the agency could improve to keep our riders and employees safe.

While the end results of this audit were finalized in 2022, the audit teams spent countless hours over the final four (4) weeks of December to provide answers as to what happened and ultimately, to help the agency improve safety moving forward.

STAFF UPDATES

The division saw some staffing changes in 2021, as we hired Heather Wright as our Deputy Director. Heather comes from the agency's Procurement Department and will head up the Audit Division's Quality Assurance and Quality Control (QA/QC) over all audit programs and lead our Performance Audit group.



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Furthermore, 3 auditors attained required professional certification in 2021:

- Two (2) auditors achieved the Certified Internal Auditor status by the Institute of Internal Auditors;
- One (1) achieved professional certification as a Certified Safety Executive by the World Safety Organization (WSO)

Lastly, Kayla Schoonhoven, one of the agency's Senior Performance Auditors was recognized by the Washington State Conference of Minority Transportation Officials (WA COMTO) with the Emerging Leader Award for her 4 years of service to WA COMTO. Kayla started her service with COMTO when she was hired as an audit intern in 2018.



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Table 2: Summary Status of Completed 2021 Audits

Audit Group	Audit Project #	Audit Report Name	Audit Status	# Findings
Compliance	2021_00	Point Defiance Bypass (PDB) Resumption of Service Safety Audit	Complete	0
Performance	2021_01	Business Continuity and Disaster Recovery Audit	Complete	3
Compliance	2021_02	Environmental & Sustainability Management Systems Internal Audit	Complete	1
Compliance	2021_03	East Link Segment A (E130) Construction Contingency (AP 3000) Safety & Security Audit	Deferred	-
Performance	2021_04	Wireless Device Policy Follow-up Audit	Complete	1
Performance	2021_05	Use of Construction Contingency	Deferred	-
Compliance	2021_06	Northgate Link (N125, N140, N150, N160, N180, N830) Construction Contingency (AP 3000) Safety & Security Audit	Complete	0
Performance	2021_07	System Access Fund Audit	Complete	3
Compliance	2021_08	Tacoma Link Annual Internal Safety Audit	Complete	3
Compliance	2021_09	Link Light Rail LRV Procurement Safety & Security Audit	Complete	0
Performance	2021_10	Construction Performance Metrics Management Audit	Complete	0
Compliance	2021_11	ST Express Annual Internal Safety Audit	Complete	0
Compliance	2021_12	Tacoma Link LRV Procurement Safety & Security Audit	Complete	0
Performance	2021_13	IT Access Management Audit	Complete	1
Performance	2021_14	Vendor Management Audit	Complete	2
Compliance	2021_15	Northgate Link Operational Conformance (AP 8000) Audit	Complete	1
Compliance	2021_16	Link Light Rail Annual Internal Safety Audit	Complete	2
Compliance	2021_17	Sounder Commuter Rail Annual Internal Safety Audit	Complete	2
Compliance	2021_18	Federal Way Link Extension (FWLE) Construction Safety Audit	Complete	0