



## Safety Certification Audit Report July 2, 2025

**Projects:** Downtown Redmond Link Extension

**Audit Type:** Safety & Security Audit Profile 3000

**PREPARED BY (TALSON):**

Norman Jones – Auditor

Date: April 28, 2025

Yvette Suarez – Audit Manager

April 28, 2025

**APPROVED BY (TALSON):**

Kenneth Brzozowski – Project Manager

Date: May 28, 2025

**APPROVED FOR ISSUE (SOUND TRANSIT):**

Patrick Johnson – ST Deputy Executive Director -  
Audit Division

Date: July 2, 2025

## **Safety & Security Certification Audit Report**

---

### **Contents**

I. EXECUTIVE SUMMARY .....	3
II. SCOPE AND METHODOLOGY .....	4
III. FINDINGS .....	6
IV. RECOMMENDATIONS .....	8
V. MANAGEMENT RESPONSE FORMS.....	8
VI. DISTRIBUTION .....	9

## Safety & Security Certification Audit Report

---

### I. EXECUTIVE SUMMARY

Commencing in February 2025, and extending through May 2025, Talson Solutions, LLC (Tolson) and subcontractor Transportation Resources Associates (TRA) performed a Safety and Security Certification Audit (SSCA) of Sound Transit's Downtown Redmond Link Extension project (DRLE). The audit was performed on behalf of the Sound Transit's Audit Division and focused on specific activities related to Audit Profiles 3000.

The Audit Team found that the overall safety certification process is in conformance with the project specific Safety and Security Management Plan (SSMP) and the Agency Safety and Security Certification Plan (SSCP). As part of testing Sound Transit's Safety and Security Information Management System (SSIMS) database, Talson noted that Certifiable Items (CIs) were generally referenced adequately to the Preliminary Hazard Analysis (PHA) and traceable to SSIMS. However, the audit did note one (1) finding regarding discrepancies in the uploaded SSIMS documentation, and no recommendations were identified. Subsequent to the Audit Closeout Briefing, discussions were facilitated with Sound Transit's Senior System Safety and Security Specialist to note potential corrective actions that can be taken by Sound Transit and external contractor staff to remedy the finding.

#### **Objectives**

The objective of SSCAs is to verify evidence that construction and operational activities are in conformance with Sound Transit hazard mitigation plans and certification policy. Sound Transit uses certifiable item forms in the Safety and Security Information Management System (SSIMS) to evidence hazard mitigating documentation in accordance with required specifications and plans. Hazard mitigation and certification standards are detailed within the Agency Safety and Security Certification Plan (SSCP), dated August 2018<sup>1</sup> (updated 2023) and the Agency Safety and Security Management Plan (SSMP), dated March 2022. Audit Profile 3000 objectives for this audit focused on the following:

#### **Audit Profile 3000 – Construction Conformance Verification**

- Verified construction hazards are mitigated in accordance with the hazard analyses and the "Safety and Security Requirements" SSIMS fields
- Evaluated evidence that construction conformance mitigation has been achieved, inspected, and documented
- Key documents reviewed included inspection reports, resident engineer summary memos, photos, product data sheets, and other notable information

#### **Results**

Tolson found that design activities performed by Sound Transit align with safety and security certification processes and plans with noted exceptions. The audit resulted in **one (1) finding** regarding discrepancies in the uploaded documentation and a mis-referenced element within

---

<sup>1</sup> The revised SSCP, dated April 2023 does not reference SSIMS but is not applicable to this project's start date

## Safety & Security Certification Audit Report

---

the SSIMS Dashboard. There were **no recommendations** identified for evidence of non-conformance or adverse testing results that would negatively impact the opening date of revenue service.

The overall audit hazard risk rating for this audit was a 5E, which translates to insignificant and improbable impact due to the nature of the risk being related to administrative follow-up.

The finding and other audit results were shared with appropriate Sound Transit personnel prior to the issuance of this report. Continued discussion and correspondence will occur through the auditor's evaluation and acceptance of Management Response Forms (MRFs), detailed in Section V of this report.

## II. SCOPE AND METHODOLOGY

SCCAs provide independent assurance that identified hazards are effectively mitigated and appropriately documented during each phase of a capital project spanning from preliminary engineering to revenue service. The Audit Profiles (APs) of SSCAs are specific to the completed phases of a capital project:

- |   |   |
|---|---|
| ➤ <b>Audit Profile 1000</b> – Hazard Analysis | ➤ <b>Audit Profile 5000</b> – Vehicle Fabrication |
| ➤ <b>Audit Profile 2000</b> – Design          | ➤ <b>Audit Profile 6000</b> – Training/SOPs       |
| ➤ <b>Audit Profile 3000</b> – Construction    | ➤ <b>Audit Profile 7000</b> – Fire/Life Safety    |
| ➤ <b>Audit Profile 4000</b> – System Testing  | Readiness / Certification Reporting               |

SSCP Section 3.1.2, B., 2. (dated 2018), requires the use of Certifiable Item Forms (CIs) within SSIMS for uploading documented evidence that each identified hazard has been mitigated throughout each completed capital project phase. SCCA testing targets stratified sampling for 15% of all completed CIs covering each identified contract and element. Each sampled CI is verified for relevancy, appropriateness, traceability, and proper referencing. A three-tiered rating system is used to categorize the results:

- **Acceptable:** *No deviation from the implemented SSCP / SSMP standards*
- **Conditionally Acceptable:** *Minor deviation of the implemented SSCP /SSMP standard and unlikely to result in a nonconforming product or service*
- **Unacceptable:** *A significant breakdown or partial breakdown in processes that may result or has resulted in a nonconforming product or service.*

CIs that are rated “Conditionally Acceptable” may or may not result in the assignment of audit findings, recommendations, and corrective action plans based on the criteria listed in Section V of this report and the professional judgment of the auditor.

## Safety & Security Certification Audit Report

The charts below detail the summaries of closed CI forms, including population size and sample selection for each contract reviewed as part of this Safety and Security Audit:

### AP 3000 Safety Summary

Contract	CI Total	Sampling	Percentage
R200-CIV	8	1	12.5%
R200-Comms	19	3	15.8%
R200-Electric	7	1	14.3%
R200-Land	5	1	20.0%
R200-OCS	21	3	14.3%
R200-PG	21	3	14.3%
R200-SCCC	16	3	18.8%
R200-SIG	34	5	14.7%
R200-Station	43	6	13.9%
R200-Structural	9	1	11.1%
R200-Traffic	1	1	100%
R200-TPSS	31	4	12.9%
R200-Guideway	32	5	15.6%
R200-Utility	3	1	33.3%
R200-LRV	11	2	18.2%
<b>TOTAL</b>	<b>261</b>	<b>40</b>	<b>15.3%</b>

### AP 3000 Security Summary

Contract	CI Total	Sampling	Percentage
R200-Station	38	6	15.7%
R200-Signaling	2	0	0.0%
R200-Comms	18	5	27.8%
R200-FLS	6	2	33.3%
R200- FCE	2	2	100%
R200-PG	5	1	20.0%
<b>TOTAL</b>	<b>71</b>	<b>16</b>	<b>22.5%</b>

### **Talson's audit procedures included the following:**

- Facilitated an Audit Entrance Meeting with applicable personnel on February 3, 2025
- Assessed relevant compliance documentation including prior audit reports, SSCP, SSMP, and Preliminary Hazard Analysis, dated May 19, 2016
- Selected 56 out of 332 non-duplicate closed CIs for Safety and Security Testing (16.9%) for Audit Profile 3000 Testing
- Reviewed uploaded documentation and notations within each CI
- Completed Audit Profile 3000 Testing Checklists/Workpapers
- Conducted a Closeout Briefing with preliminary results on March 28, 2025

## Safety & Security Certification Audit Report

---

- Produced audit draft and final reports
- Continued discussion with Safety Management regarding audit results

### III. FINDINGS

The audit resulted in **one (1) finding**:

**Finding No. 1 –Uploaded documentation into SSIMS was incorrect or missing references.**

Talson observed that two (2) out of 56, or 3.5%, of Safety CI forms sampled within SSIMS had inadequate or missing supporting documentation.

The notations and photographic evidence in the uploaded documents under the SSIMS field for “Construction Conformance” lacked enough detail for the auditor to confirm that the safety hazard was fully mitigated. Enhancing the level of detail in photographic evidence would provide further clarity in verifying compliance with the measurement requirements outlined in the construction specifications. As a result, two (2) of the four (4) CI forms were ranked as Conditional Acceptable, as follows:

**Conditional Acceptable:**

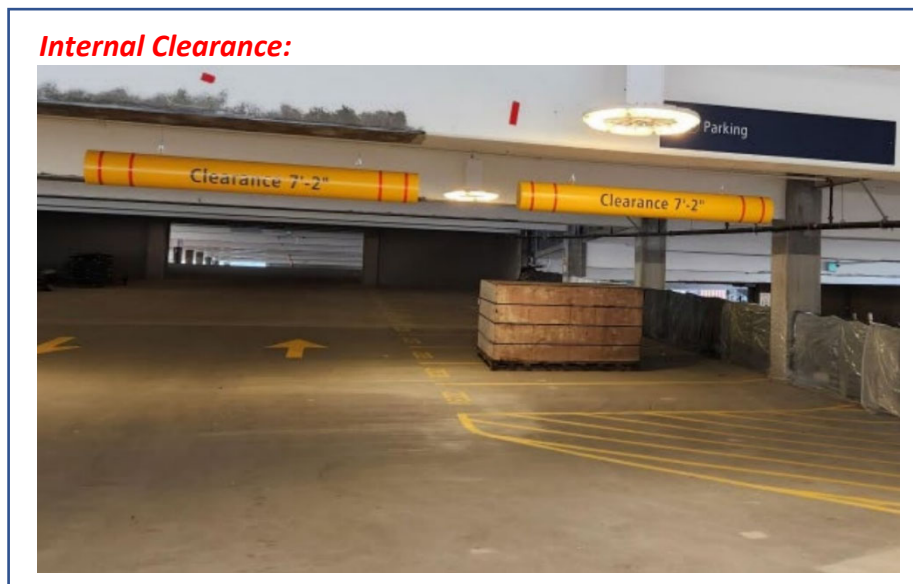
- Contract R200-SIG – CI No. 2772: Insufficient evidence was found to confirm the correct installation of the fence and its alignment with the drawings, preventing verification that the fence poles, tension wire, and nuts were installed on the non-public side of the guideway.
- Contract R200-SIG – CI No. 2798: The certifiable item name has been incorrectly listed as “Environmental Consideration” and without any correlation to an environmental hazard. The label should be appropriately corrected to prevent misinterpretation of the mitigated hazard.

## Safety & Security Certification Audit Report

**Example screenshots below – CI No. 2798 – Element Name: Communications:**

Item Number <input type="text" value="0000"/>	Cutover Phase <input type="text"/>	Item ID <input type="text" value="2798"/>	Potential Cause <div style="border: 1px solid #ccc; padding: 5px;">1) Faulty or failed hardware</div>
Certifiable Item Name <div style="border: 1px solid #ccc; padding: 5px;">Environmental Considerations</div>			
Hazard Description <div style="border: 1px solid #ccc; padding: 5px;">Train exceeds speed limits defined for specified area</div>			<b>Construction mitigation was mislabeled and shall be corrected based on the correlation to the mitigation hazard identified.</b>
Potential Effect <div style="border: 1px solid #ccc; padding: 5px;">           a) Train derailment            b) Potential collision resulting in serious injuries or death            c) Potential equipment damage         </div>			

**Example screenshots below – CI No. 2798 – Element Name: Parking Garage:**



## Safety & Security Certification Audit Report

---

**Exterior/Entrance Clearance:**



### IV. RECOMMENDATIONS

The audit resulted in **no (0) recommendations**.

### V. Management Response Forms (MRFs)

Recommendations can be addressed separately, but a management corrective action should be submitted within 30 days of the final distribution of this report and corresponding MRFs. Verification of conforming corrective action and root cause explanation will be reviewed by Talson upon submission of the Management Response Form by Sound Transit. Below are the definitions of a finding and a recommendation, along with the acceptable response requirements:

- A. **Findings** indicate areas where Sound Transit or another entity is non-compliant with its own established policy, plan, procedure and/or regulation and which must be corrected, and documented in writing on a corrective action plan. Action plans should also include a specific, measurable amount of time it will take to correct the issue and reduce risk.
- B. **Recommendations** do not mean the issue is deficient; however, the auditor has determined that the issue poses the potential risks of becoming a finding in the future if recommended changes are not put in place to prevent occurrence.



## Safety & Security Certification Audit Report

---

### VI. DISTRIBUTION

Safety and Security  
Audit Dates: February 2025 – April 2025

Organization: Sound Transit (Auditee)

Responsible Party: Andrea Trepadean, *Acting* Chief Safety Officer (Auditee)

Talson Auditor(s): Ken Brzozowski, Norman Jones, and Yvette Suarez (Auditors)

Report To:  
Distribution List:

- Robert Taaffe, Deputy Executive Director, Safety & Quality Coordination
- Tony Raben, Executive Project Director, East Link
- Eza Agoes, Deputy Executive Project Director, DRLE
- Branden Porter, Deputy Executive Director & Deputy Chief Safety Officer
- Don Burr, Director, Transportation Safety & Security
- Kerry Pihlstrom, Executive Director, Asset Transition Office (ATO)
- Josiah Durham, ST Manager, Transportation Safety & Security
- Molly Hughes, WSDOT State Safety Oversight Program Administrator
- Andrew Royer, WSDOT State Safety Oversight Program Administrator

Attachments: 

- SCCA MRF – Finding No. 1