

**Blocks 1 thru 12 to be completed by Auditors**

1. Audit Type: Annual Audit	2. Mode/System: SCR	3. Audit Title / Number/Reference: Sounder Commuter Rail Internal Safety Audit 2025-03	4. Classification (Finding/Obsv): FINDING
5. Finding/Obsv. Ref. F-SCR-25-01	6. Auditor, Email & Phone: Mike Flood – Audit Division; (425) 677-8157 Michael.Flood@Soundtransit.org		7. Issued Date: 8/15/2025
8. Description: (of Finding or Observation) F.1- Elevation of safety concerns is not consistently applied in accordance with the process described in the SSP. Per the SSP, concerns about safety hazards are first brought to the Sounder Joint Rail Safety Committee (JRSC) and added to the Sounder Action Item Registry (SAIR) log. If a hazard is rated as undesirable or there is no agreement on how to fix it, the issue must go to the Safety & Security Hazards Oversight Panel (SHOP) for risk acceptance or a decision to mitigate the hazard. Undesirable hazards may lead to a temporary pause in service, while unacceptable hazards must stop service or equipment use until the concern is resolved. The CEO should be informed when this happens. At the time of the audit, auditors found no evidence showing this process is consistently followed and that there is no documented process for determining how long undesirable/unacceptable hazards can have pending mitigations before requiring review by the SHOP or CEO. 8a. Recommendation (For Observations Only): N/A 8b. References: 49 CFR Part 270.103(e) 49 CFR Part 270.103(p)(k) SSP 0.2.4 Sound Transit Safety Committee structure and Line of Authority SSP 3.2.4 Hazard Resolution			
9. Risk Rating 2C	10. Owner/Assigned Responsible Individual: Branden Porter, Deputy Executive Director-Safety	11. Assigned Responsible Division: Safety	12. Response Due Date: 8/15/2025

**Blocks 13 thru 18 will be completed by the individual responding to the Finding/Observation**

13. Finding/Observation Response:

Safety acknowledges there was a gap in how Sounder action items were assessed and escalated for resolution.

1. Safety has updated its Joint Rail Safety Committee process to strengthen hazard mitigation. Any orange-level hazards or concerns that remain unresolved for more than three months will now be escalated to the Executive Safety Hazards Oversight Panel for review and action.
2. Further, all corrective action logs will be combined into a single tracker before the end of 2025; with process oversight controlled and monitored by Safety.
3. Lastly, the Joint Rail Safety Committee will meet monthly instead of bi-monthly, allowing for better awareness and review of hazard mitigations.

13a. Root Cause (Findings Only):

Prior to May 30, 2025, there was no documented procedure for escalating hazards from technical committees to executives. Further, no time parameters were set for the items on the SAIR log, some of which could stagnate on the log for years.

14. Finding/Observation Implementation Plan

1. Implemented and completed in May 2025.
2. Safety has updated to a single CAP database, with user testing begins Aug, and full roll out by Dec 2025.
3. Began May 2025.

15. Audit Response Form Completed By: (Name and Title)
Branden Porter
Deputy Executive Director, Safety

16. Today's Date:
8/15/2025

17. Est. Implementation Date:
12/31/2025

18. SAIR / CAP #

Blocks 19 thru 25 to be completed by Auditors

19. Finding/Observation Implementation Plan Review

☐ Accept ☐ Reject

20. Auditor Name / Signature: Date:

21. Finding/Observation Implementation Verification

☐ Accept (CLOSE) ☐ Reject (Remain OPEN)

22. Auditor / Signature: Date:

23. Description of Verification of Finding/Observation implementation:

24. Reasons for Implementation Plan or Implementation Verification Rejection by Auditors:

25. Auditor Director Name / Signature:

Date: