

# *Audit Division Update*

*Finance and Audit Committee*

*12/15/23*

**Data Classification: Unrestricted**



# ***Why we are here***

- Update on FTA Triennial review results
- 4Q 2023 audits
  - Compliance audits
  - Safety & Security Certification audits
  - Performance audits
- 2024 Audit Plan (Internal)
- 2024 Performance Audit topic

***Note: There is one action requested today***

# *FTA 2023 Triennial Review status update*

- 8 deficiencies noted in FTA's final report
- 6 deficiencies officially closed out
- The 2 remaining open deficiencies are on-track for submission to FTA; corrective actions are anticipated close out by the end of this month.

# ***4Q 2023 Audits***

# 2023 Audit Plan (Compliance)

Audit Topic	Status	Results
FRA Railroad Accidents / Incidents Safety Audit	Complete	No Findings
ST Express Annual Internal Safety Audit	Complete	No Findings
Environmental Management Systems (ESMS) Internal Audit	Complete	No Findings
Sounder Commuter Rail Annual Internal Safety Audit	Complete	No Findings
Asset Management Systems (AMS) Internal Audit	Postponed	
Safety Management Systems (SMS) Internal Audit	In progress	
<i>Internal Safety Audit Program Internal Audit</i>	In progress	
Link Light Rail Annual Internal Safety Audit	In progress	
Tacoma Link Annual Internal Safety Audit	In progress	

# 2023 Audit Plan (Safety & Security Certification)

Audit Topic	Status	Results
Hilltop Link Construction / Pre-Integrated Testing Safety & Security Audit	Completed	No Findings
Hilltop Link Operational Readiness Safety & Security Audit	Completed	1 Finding
Downtown Redmond Link Design Conformance Safety & Security Audit	Completed	No Findings
East Link E320 Construction Conformance Safety & Security Audit	Completed	No Findings
East Link 'Starter Line" Construction Conformance Safety & Security Certification Audit	In progress	

# 2023 Audit Plan (Performance)

Audit Topic	Status	Results
Track Maintenance – Link Light Rail	Complete	2 Findings
ADA Accessibility Compliance	Postponed	
Evaluating State of Good Repair – Northgate Link	In progress	
SCADA integration within Transit Systems	In progress	
Capital Project Closeout Process	In progress	

# *2024 Agency Audit Plan*



# 2024 Audit Plan - Compliance

Audit Topic	Estimated timeline
Internal Safety Audit – ST Express Bus	Q1
Environmental & Sustainability Management System (ESMS) Internal Audit	Q2
<b>Internal Security Audit - (Consultant Led)</b>	
Internal Safety Audit – Tacoma Link	Q3
Internal Safety Audit – Link Light Rail	
Internal Safety Audit – Sounder Commuter Rail	Q4

# 2024 Audit Plan – Safety & Security Certification

Audit Topic	Estimated timeline
FWLE Design Conformance Safety & Security Certification Audit	Q1
Lynnwood Link (L800) Design Conformance Safety & Security Certification Audit	Q1
East Link “Starter Line” Pre-Integrated Testing Safety & Security Certification Audit	January 2024
East Link “Starter Line” Operational Readiness Safety & Security Certification Audit	Feb / March 2024
Lynnwood Link (L100/L200/L800) Construction & Pre-Integrated Testing Safety & Security Certification Audit	Q2
Downtown Redmond Link Construction Conformance Safety & Security Certification Audit	Q2/Q3

# 2024 Audit Plan – Safety & Security Certification

Audit Topic	Estimated Timeline
OMF (South) Design Conformance Safety & Security Certification Audit	Q2/Q3
Lynnwood Link (L100/L200/L800) Operational Readiness Safety & Security Certification Audit	Q3
Downtown Redmond Link Operational Readiness Safety & Security Certification Audits	Q3
East Link (E130) Construction Conformance Safety & Security Certification Audit	Q4

# ***2024 Performance audit recommended topic***

- System Expansion Time charging accountability

*Thank you*



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