

Audit Division Update

Finance and Audit Committee

10/19/23

Data Classification: Unrestricted



Today's Agenda

- Update on FTA Triennial review results
- 3Q 2023 audits
 - Compliance audits
 - Safety & Security Certification audits
 - Performance audits

Note: There are no actions requested today

FTA 2023 Triennial Review status update

- 8 deficiencies noted in FTA's final report
- 5 deficiencies officially closed out
- The 3 remaining open deficiencies are on-track for submission to FTA; corrective actions are moving along and anticipate close out requests will be submitted within the deadlines.

3Q 2023 Audits

2023 Audit Plan (Compliance)

Audit Topic	Status	Findings
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	Completed	No Findings
Safety Management Systems (SMS) Internal Audit	In progress	
Link Light Rail Annual Internal Safety Audit	In progress	
Tacoma Link Annual Internal Safety Audit	In progress	
Asset Management Systems (AMS) Internal Audit	Postponed	

2023 Audit Plan (Safety & Security Certification)

Audit Topic	Status	Findings
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 E335 Construction Conformance Safety & Security Certification Audit	In Progress	
East Link E360 Construction Conformance Safety & Security Certification Audit	In Progress	

2023 Audit Plan (Safety & Security Certification)

Audit Topic	Status	Findings
Downtown Redmond Link Construction / Pre-Integrated Testing Safety & Security Certification Audit	Q4 2023	
East Link E330 / E340 Construction Conformance Safety & Security Audit	Q4 2023	
East Link “Starter Line” Pre-Operational Testing Safety & Security Certification Audits	Q4 2023	
Lynnwood Link Construction / Pre-Integrated Testing Safety & Security Audit	Q4 2023	
Lynnwood Link (L800) Design Conformance Safety & Security Certification Audit	Q4 2023	

2023 Audit Plan (Performance)

Audit Topic	Status	Findings
Track Maintenance – Link Light Rail	Complete	2 Findings
ADA Accessibility Compliance	Postponed	
SCADA Systems	In Progress	
Transit Systems Cybersecurity Preparedness	In Progress	
State of Good Repair – Northgate Link Extension	In Progress	
Capital Project Closeout Process	Q4 2023	

Thank you.



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