Audit Division Update

Finance and Audit Committee

3/14/24

Data Classification: Unrestricted

Why we are here

- Final update on FTA Triennial review results

- Review of 4Q 2023 Audits
  - Compliance Audits
  - Safety & Security Certification Audits
  - Performance Audits

- 2023 Audit Division Annual Report

SOUND TRANSIT

Final update on FTA triennial review

- 8 deficiencies noted in FTA's final report.

- All 8 deficiencies officially closed out.

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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 Internal Audit	Complete	No findings
Link Light Rail Annual Internal Safety Audit	Complete	3 findings
Tacoma Link Annual Internal Safety Audit	Complete	3 findings
Internal Safety Audit Program Internal Audit	Complete	6 findings

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2023 Audit Plan (Safety & Security Certification)

Audit Topic	Status	Results
Hilltop Link Construction / Pre-Integrated Testing Safety & Security Audit	Complete	No findings
Hilltop Link Operational Readiness Safety & Security Audit	Complete	1 finding
Downtown Redmond Link Design Conformance Safety & Security Audit	Complete	No findings
East Link (E320) Construction Conformance Safety & Security Audit	Complete	No findings
East Link 'Starter Line" Construction Conformance Safety & Security Certification Audit	Complete	No findings

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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	Complete	2 findings
Evaluating Operational Technology & Transit System outages	Complete	1 finding
Capital Project Closeout Process	Postponed	

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2023 Audit Division Annual Report

Thank you.

SoundTransit

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