



Washington Metropolitan Area Transit Authority (WMATA)

Quality Internal Reviews and Internal Safety Reviews Tracker - 2019

All CAPs in this Directive were **closed** as of 09/15/23

Internal Corrective and Preventative Action Plan (iCAPA) Summary	Total	Closed (✓)	Open (●)
	29	29	0

Risk Assessment Category and Description with iCAPA Totals		
	HIGH - Reasonable assumption that this risk will occur & will cause a failure of the business process to meet its objectives or cause objective failure in other activities	Closed: 0 Open: 0
	ELEVATED - Reasonable assumption that this risk will likely occur & will likely cause a failure of the business process to meet a significant part of its objectives	Closed: 8 Open: 0
	MODERATE - Reasonable assumption that this risk may occur & may cause a failure of the business process to meet a significant part of its objectives	Closed: 19 Open: 0
	LOW - Reasonable assumption that this risk will likely not occur & may cause a failure of the business process to meet part of its objectives	Closed: 2 Open: 0
	INSIGNIFICANT - Reasonable assumption that this risk will not occur & unlikely to cause a failure of the business process to meet part of its objectives	Closed: 0 Open: 0

iCAPA Number	Risk Assessment	Closure Submission Date**	iCAPA Status	Actionable Item Status
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**Date WMATA requests closure. Actual closure date is subject to review and acceptance of the closure.

Area of Focus: Service Delivery

Bus Operations Communication Center		100%
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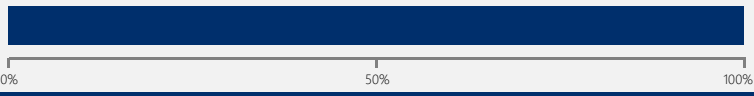
iCAPA Number	Risk Assessment	Closure Submission Date	iCAPA Status	Actionable Item Status
QICO-BOCC-19-01		September 2020	Closed	100%
Develop a Quality Control Plan (QCP) for BOCC to promote consistent departmental performance. <ul style="list-style-type: none"> ✓ Developed a procedure detailing the requirements for supervisory quality control checks for specialists that includes, at a minimum, the steps for managing calls, transfers, and follow-up actions for events. ✓ Communicated the new procedure to supervisors responsible for performing supervisory checks on specialists. ✓ Confirmed there is reasonable evidence to support completion of actionable items and performance measures. 				
QICO-BOCC-19-02		March 2021	Closed	100%
Create a controlled curriculum that encompasses all training aspects of BOCC. <ul style="list-style-type: none"> ✓ Developed a training curriculum for BOCC and BTRN that includes the structure, format, and sequence of course content for new hires and incumbents in the specialist role. ✓ Confirmed there was reasonable evidence to support completion of actionable items and performance measures. 				

Non-Revenue Vehicle Utilization		100%
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iCAPA Number	Risk Assessment	Closure Submission Date	iCAPA Status	Actionable Item Status
QICO-NRV-19-01		December 2019	Closed	100%
Authority-wide training/awareness on the new Non-Revenue Fleet Management and use policy is important to promote compliance. <ul style="list-style-type: none"> ✓ The Offices of Service Vehicles Maintenance (SVMT) and Strategic Initiatives (STIN) briefed senior leaders and Vehicle Monitors on major policy changes and each group's updated roles and responsibilities. ✓ SVMT, with support from STIN, used current monthly meeting opportunities or host sessions for senior leaders and Vehicle Monitors, and assigned Vehicle Monitors to share information with their respective offices' personnel. ✓ SVMT included a compendium of all briefing materials on their MetroWeb page for future reference. 				
QICO-NRV-19-02		June 2023	Closed	100%
Development of a driver login solution to capture the drivers' information and trip details for NRV utilization. <ul style="list-style-type: none"> ✓ Focused on both short- and long-term solutions to improve non-revenue trip logging completeness and accuracy. ✓ Updated the Policy/Instruction and released guidance documents to both: <ol style="list-style-type: none"> 1. Improve the paper trip logging process, and 2. Increase driver and Vehicle Monitor accountability with regards to logging trips. ✓ Implemented vehicle tracking technology that allows easy driver sign-in with an electronic log-in device. ✓ Confirmed there is reasonable evidence to support completion of actionable items and performance measures. 				

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Elevator/Escalator Operation Center		100%
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QICO-EOC-19-01		April 2021	Closed		100%
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ELES EOC will update 212-SOP-36 and/or establish new procedures to formalize and assure compliance with key job functions.

- ✓ Modified existing or established new procedures.
- ✓ Confirmed there was reasonable evidence to support completion of actionable items and performance measures.

QICO-EOC-19-02		March 2022	Closed		100%
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ELES EOC will establish and implement a controlled curriculum that encompasses all training requirements of EOC personnel.

- ✓ Developed and provided a timeline to include the schedule and training metrics for updated/new procedures as mentioned in QICO-EOC-19-01.
- ✓ Developed training modules based on the updated/new procedures in replacement of SOP 212-SOP-36.
- ✓ Provided training to all dispatchers on the updated/new procedures in replacement of SOP 212-SOP-36.
- ✓ Confirmed there was reasonable evidence to support completion of actionable items and performance measures.

QICO-EOC-19-03		August 2021	Closed		100%
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ELES EOC will establish a formal quality control plan for monitoring and improving all EOC activities personnel.

- ✓ Developed and provided a Quality Control Plan.
- ✓ Confirmed there was reasonable evidence to support completion of actionable items and performance measures.

Cinder Bed Contract Management		100%
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QICO-CIND-19-01		July 2020	Closed		100%
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BUSV will develop documented procedures for the Contract Management Team activities in accordance with the Authority's *Quality Management System Plan (QMSP)*.

- ✓ Developed Document Control Procedure to outline how quality records are created, controlled, and archived in accordance with WMATA's *Quality Management System Plan (QMSP)*.
- ✓ Developed Inspection and Testing Procedure to outline quality activities being performed by the contract management personnel overseeing the contractor in accordance with WMATA's QMSP.
- ✓ Developed Corrective Action Procedure in accordance with WMATA's QMSP.
- ✓ Developed Quality Record Procedure to outline how quality records are identified, collected, completed, and stored in accordance with WMATA's QMSP.
- ✓ Confirmed there was reasonable evidence to support completion of actionable items and performance measures.

QICO-CIND-19-02		October 2020	Closed		100%
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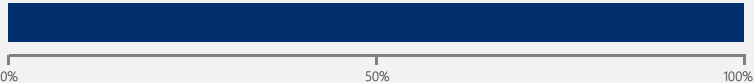
BUSV will develop a *Continuity of Operations Plan (COOP)* for the Cinder Bed Road Contract Management Team.



- ✓ Updated the Department of Bus Services (BUSV) *Continuity of Operations Plan (COOP)* to include a succession plan for the Cinder Bed Road Contract Management personnel.
- ✓ Confirmed there was reasonable evidence to support completion of actionable items and performance measures.

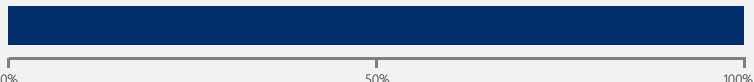
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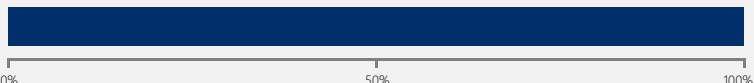
Area of Focus: Engineering & Maintenance





MetroRail Vehicle Engineering Change Management		100%
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QICO-RVCM-19-01		May 2020	Closed		100%
<p>WMATA must establish a quality control group independent from CENV to oversee configuration change document approval and implementation of rail vehicle modifications.</p> <ul style="list-style-type: none"> √ Implemented quality control measures throughout the change management process. √ Submitted organizational structure and evidence of staff augmentation to the Budget and Compliance group. √ Confirmed there was reasonable evidence to support completion of actionable items and performance measures. 					

ATC System Configuration Management Plan		100%
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QICO-ASCM-19-01		August 2021	Closed		100%
<p>TSMT will develop and implement a training plan of ATC-4000 manual, inclusive of front-line supervisors, TSMT/ATC training instructors, and middle and upper management, to streamline safety and design principles.</p> <ul style="list-style-type: none"> √ Provided ATC-4000 training curriculum in compliance with OPMS SOPs. √ Developed training plan of the ATC-4000 manual for front-line supervisors, TSMT training instructors, and middle and upper management. √ Trained ATC maintenance staff to approved curriculum. √ Confirmed there was reasonable evidence to support completion of actionable items and performance measures. 					
QICO-ASCM-19-02		May 2020	Closed		100%
<p>ATC will update ATC-4000 manual to further define technical content permitted in documentation issued by ATCM management to ATCM personnel.</p> <ul style="list-style-type: none"> √ Updated ATC-4000 manual in accordance with <i>System Safety Configuration Management Plan</i>. √ Included a test procedure number on data sheets and demonstrated the use of approved data sheets provided by engineering such as EIBs, EABs, EMLs, and TCPs. √ Confirmed there was reasonable evidence to support completion of actionable items and performance measures. 					

Storeroom Truck Inventory		100%
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QICO-TRUC-19-01		April 2022	Closed		100%
<p>Develop a Standard Operating Procedure (SOP) for all SCMF storeroom transfer activities to include: roles and responsibilities, Maximo material transfer steps, physical transfer steps, truck driver acknowledgement, records, and quality control.</p> <ul style="list-style-type: none"> √ Submitted meeting agenda/minutes for former <i>Storeroom Material Management Assessment Procedure</i>. √ Submitted new <i>Material Management Procedure</i>. √ Submitted evidence of <i>Material Management Procedure</i> implementation. √ Submitted three consecutive monthly storeroom inspection records. √ Confirmed there was reasonable evidence to support completion of actionable items and performance measures. 					
QICO-TRUC-19-02		November 2021	Closed		100%
<p>Develop a Standard Operating Procedure (SOP) that defines the process of inventory discrepancies across all SCMF storerooms.</p> <ul style="list-style-type: none"> √ Submitted meeting agenda/minutes for former <i>Inventory Adjustment Procedure</i>. √ Submitted new <i>Inventory Adjustment Procedure</i>. √ Submitted evidence of <i>Inventory Adjustment Procedure</i> implementation. √ Submitted three consecutive monthly Inventory Adjustments audit reports. √ Confirmed there was reasonable evidence to support completion of actionable items and performance measures. 					

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Area of Focus: Safety

Metro Rail Vehicle Program Services		100%
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QICO-CENV-19-01		October 2020	Closed		100%
<p>WMATA must develop a documented process to record and audit required safety training and certifications of employees and contractors.</p> <ul style="list-style-type: none"> √ Updated a mandatory training matrix. √ Established a defined review process for keeping safety training and certifications maintained for all assigned personnel. √ Confirmed there was reasonable evidence to support completion of actionable items and performance measures. 					
QICO-CENV-19-02		January 2020	Closed		100%
<p>CENV must determine how each work group will provide representation to attend designated local safety committee monthly meetings and establish a consistent presence at the monthly SCRC meetings.</p> <ul style="list-style-type: none"> √ CENV attended Safety Certification Review Committee (SCRC) Meetings as required by Policy/Instruction 10.2/4. √ CENV managers and non-managers attended Local Safety Committee (LSC) meetings as required by Policy/Instruction 10.2/4. √ Full-time CENV personnel attended LSC meetings at maintenance yards. 					
QICO-CENV-19-03		September 2020	Closed		100%
<p>WMATA must develop a documented process to determine which document approval signatures are required and implemented a method to record any revisions to the document approval signature page. CENV must establish a method of verifying rail vehicle safety certifications are completed prior to releasing vehicles into service.</p> <ul style="list-style-type: none"> √ Updated existing documentation or created a new policy (OAP), to address the request to develop a documented process to determine which approval signatures are required for Safety Certifications. √ Clarified existing methods regarding the acceptance of new rail cars. √ Confirmed there was reasonable evidence to support completion of actionable items and performance measures. 					
QICO-CENV-19-04		September 2020	Closed		100%
<p>CENV must develop a documented quality control process to verify rulebook compliance.</p> <ul style="list-style-type: none"> √ Used PeopleSoft ELM to track RWP certification for MSRPH rule knowledge. √ Created and implemented a procedure to capture supervisory monitoring of employees entering the roadway for adherence to Personal Protective Equipment (PPE) requirements and radio protocol. √ Confirmed there was reasonable evidence to support completion of actionable items and performance measures. 					

Metro Materials Management		100%
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QICO-MATM-19-01		September 2023	Closed		100%
<p>SCMF must develop a documented process pertaining to storage, handling, and transportation of hazardous materials.</p> <ul style="list-style-type: none"> √ Developed a process that addresses storage, handling, and transportation of hazardous material. √ Confirmed there is evidence of the above actionable items. 					
QICO-MATM-19-02		July 2021	Closed		100%
<p>SCMF must develop a documented process for reporting incidents and accidents.</p> <ul style="list-style-type: none"> √ Submitted <i>Safety Program Procedure</i>. √ Submitted evidence of <i>Safety Program Procedure</i> implementation. √ Submitted communication strategy as evidence that SCCM staff were informed of the revised <i>Safety Program Procedure</i> and checklists. √ Confirmed there was reasonable evidence to support completion of actionable items and performance measures. 					

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ENGA Internal Safety Review		100%
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QICO-ENGA-19-01		December 2020	Closed		100%
<p>ENGA will attend Safety Certification Review Committee (SCRC) meetings as required by Policy/Instruction 10.2/4. ENGA will have management and non-management attendance at Local Safety Committee (LSC) meetings as required by Policy/Instruction 10.2/4.</p> <ul style="list-style-type: none"> ✓ Participated in routine local safety committee meetings. ✓ Developed a communication technique (e.g. email, department meeting minutes to ENGA departmental staff (i.e. ATCS, COMS, PWRS, CIVL, CFGM, MECH, and Architecture)). ✓ Participated in routine Safety and Security Certification Review committee meetings. ✓ Confirmed there was reasonable evidence to support completion of actionable items and performance measures. 					
QICO-ENGA-19-02		October 2021	Closed		100%
<p>ENGA will conduct Configuration Change Control Board meetings on a quarterly basis as required by Policy/Instruction 1.20/0. ENGA will conduct Design Control Board meetings on a monthly basis as required by Policy/Instruction 4.14/3. ENGA will establish a change control database purposed to track and properly store configuration-controlled items.</p> <ul style="list-style-type: none"> ✓ Conducted Configuration Change Control Board meetings on a quarterly basis and provided meeting records (i.e. sign in sheets and minutes) for three quarterly meetings. ✓ Conducted Design Control Board meetings on a monthly basis and provided meeting records (i.e. sign in sheets and minutes) for six monthly meetings. ✓ Established an effective change control database to track and store configuration-controlled items (e.g. EMI, TCP, As-builts, Drawing Modifications). ✓ Established a database to keep record of all proposed issues and dispositions submitted to the Design Control Board. ✓ Confirmed there was reasonable evidence to support completion of actionable items and performance measures. 					
QICO-ENGA-19-03		October 2021	Closed		100%
<p>ENGA will update the current <i>Continuity of Operations Plan</i> (COOP) in accordance with Office of Emergency Management standards.</p> <ul style="list-style-type: none"> ✓ Updated their current COOP in accordance with the Office of Emergency Management (OEM) standards. ✓ Confirmed there was reasonable evidence to support completion of actionable items and performance measures. 					
QICO-ENGA-19-04		November 2021	Closed		100%
<p>ENGA will develop a quality control checklist to ensure RWP compliance as required by Policy/Instruction 1.15/0. ENGA will also send memo to inform the team of checklist requirements when leading an outage. This memo will also allow ENGA members to take pictures of sign-in sheets when they are out with a RWIC after ENGA members have completed the job safety briefing.</p>					
QICO-ENGA-19-05		February 2022	Closed		100%
<p>Each ENGA department will develop a training matrix for each position.</p> <ul style="list-style-type: none"> ✓ Developed a training matrix with safety-training requirements for each position and employee. ✓ Developed a process to record and periodically audit training records to verify that required training and certifications are being completed by employees and contractors. ✓ Confirmed there was reasonable evidence to support completion of actionable items and performance measures. 					

Safety and Environmental Management		100%
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QICO-SAFE-19-01		November 2022	Closed		100%
<p>SAFE will establish a solution to effectively manage all hazards to resolution as specified in the SSPP.</p> <ul style="list-style-type: none"> ✓ Closed Existing WMSC CAP FTA-TSR-18-003. ✓ Confirmed there is reasonable evidence to support completion of actionable items and performance measures. 					
QICO-SAFE-19-02		January 2021	Closed		100%
<p>SAFE will develop, train on, and implement a standardized inspection procedure for SAFE personnel to effectively perform facility and equipment safety inspections.</p> <ul style="list-style-type: none"> ✓ Developed standardized inspection procedure(s) for SAFE personnel to perform facility and equipment safety inspections. ✓ Disseminated, acknowledged, and implemented the standardized procedure(s) for responsible SAFE personnel. ✓ Confirmed there was reasonable evidence to support completion of actionable items and performance measures. 					
QICO-SAFE-19-03		May 2020	Closed		100%
<p>SAFE will review and revise SAFE governing documents to ensure organizational policies and procedures are current.</p> <ul style="list-style-type: none"> ✓ Reviewed/revised all overdue policies, procedures, and standards owned by SAFE. ✓ Provided evidence of dissemination of the updated documents. SAFE provided a copy of safety bulletin or other means used to distribute the documents. ✓ Confirmed there was reasonable evidence to support completion of actionable items and performance measures. 					