



Washington Metropolitan Area Transit Authority (WMATA)

Safety Directive 18-2 - TOC Triennial Safety Findings Tracker

All CAPs in this Directive were **closed** as of 09/16/22

Corrective Action Plan (CAP) Summary			
Total	Submitted (✓)		Open (●)
	Closed	Under Review ¹	
21	21	0	0

¹ Under Review status includes items that were submitted to FTA for review and closure, and items that were returned by FTA to address additional comments.

Risk Assessment Category and Description with CAP Totals			
I	II	III	IV
Unacceptable	Undesirable - ESC* Decision Required	Acceptable with ESC* Review	Acceptable without ESC* Review
Submitted: 2 Open: 0	Submitted: 9 Open: 0	Submitted: 0 Open: 0	Submitted: 10 Open: 0

* ESC - Executive Safety Committee

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

TOC Triennial Safety Findings	0%50%100%	100%
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FTA-TSR-18-001	I	May 2020	Closed	0%50%100%	100%
WMATA must ensure that employees are sent for post-accident drug and alcohol testing in compliance with FTA Drug and Alcohol Testing Program requirements. ✓ WMATA modified its Safety Management System to include tracking post-accident drug and alcohol activities. ✓ WMATA developed an instructional bulletin based on its procedure, and issued a directive requiring tracking of accidents/incidents records. ✓ WMATA provided training on the new requirements for tracking accidents/incidents. ✓ WMATA established scheduled audits of post-accident alcohol and drug testing records to verify compliance. ✓ WMATA confirmed there is reasonable evidence to support completion of actionable items and performance measures.					
FTA-TSR-18-002	II	November 2019	Closed	0%50%100%	100%
WMATA must ensure that personnel covered by its hours of service requirements and their supervisors are trained on, and adhere to, these requirements; all departments consistently implement hours of service requirement; and conduct annual hours of service audits on all safety sensitive departments. ✓ WMATA revised its procedure to include a list of all jobs and their hours of service limits and provided records demonstrating its personnels' awareness of the procedure. ✓ WMATA implemented recurring fatigue training, provided evidence of fatigue training, and provided evidence of fatigue-related meetings. ✓ WMATA management reviewed monthly reports for noncompliance. ✓ WMATA established a process to review its hours of service policies in all affected departments annually. ✓ Finally, WMATA performed a quality verification of actionable items.					
FTA-TSR-18-003	II	July 2022	Closed	0%50%100%	100%
WMATA must evaluate the efficacy of its current Hazard Procedure, and revise, as appropriate, to ensure that hazards are identified and resolved. ✓ WMATA assessed its hazard management procedure, updated its training, and assigned core team members to the Hazard Management Team. ✓ WMATA developed hazard management training for WMATA management. ✓ WMATA confirmed there is reasonable evidence to support completion of actionable items and performance measures.					
FTA-TSR-18-004	IV	July 2019	Closed	0%50%100%	100%
WMATA must ensure that all Metrorail incidents are entered into the Safety Measurement System according to the required timeframes. ✓ WMATA provided a monthly compliance scorecard to the involved departments. ✓ WMATA provided an option to capture data in its existing asset management system, entered all reportable incidents in its Safety Management System in a timely manner, and provided evidence of the data. ✓ Finally, WMATA performed a quality verification of actionable items.					
FTA-TSR-18-005	IV	November 2018	Closed	0%50%100%	100%
WMATA must document the process used by the Department of System Safety and Environmental Management to review Engineering Modification Instructions. ✓ WMATA developed an instruction review process, submitted to FTA a sample of the instructions that have been reviewed, and distributed a safety bulletin to communicate the review process. ✓ Finally, WMATA performed a quality verification of actionable items.					
FTA-TSR-18-006	IV	January 2020	Closed	0%50%100%	100%
WMATA must evaluate its current requirements to approve daily certification testing plans developed by contractors prior to placing track and automatic train control components in revenue operations, and revise, as appropriate, to ensure the performance of this activity. ✓ WMATA revised its safety plan to accurately depict its role in the review and approval of daily certification testing plans. ✓ WMATA reviewed and approved daily certification testing plans prior to the start of work on track or automatic train control components. ✓ WMATA has verified that daily certification testing is occurring for any modification to the signal system, and submitted samples of completed plans. ✓ WMATA confirmed there was reasonable evidence to support completion of actionable items and performance measures.					

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

FTA-TSR-18-007	IV	December 2018	Closed		100%
WMATA must develop the RWP Committee's charter, which must include procedures for managing updates and changes to RWP requirements. ✓ WMATA merged the membership of the Roadway Worker Protection Committee and Safety Rules Committee into one Rules Committee that follows an updated policy. ✓ WMATA developed a procedure identifying the revised roadway worker protection chapter of the safety rules handbook, including an explanation of combining the two committees into one committee. ✓ Finally, WMATA performed a quality verification of actionable items.					
FTA-TSR-18-008	IV	May 2019	Closed		100%
WMATA must ensure instructors participate in mandatory field days and familiarization training and establish a process for auditing roadway worker protection training consistency and quality. ✓ WMATA developed a master schedule showing the scheduled dates and actual completions of quarterly site visits to the field. ✓ WMATA provided one quarter of Job Safety Briefings sign in sheets. ✓ WMATA conducted performance reviews of roadway worker protection compliance and work zone site set up, and checked consistency and quality. ✓ Finally, WMATA performed a quality verification of actionable items.					
FTA-TSR-18-009	IV	August 2019	Closed		100%
WMATA must conduct a program of independent audits and rules compliance activities to ensure RWP program implementation in conformance with WMATA's rules and standard operating procedures. ✓ WMATA conducted performance reviews of roadway worker protection compliance and work zone site set up, and provided job description and org chart. ✓ WMATA completed checklists of roadway worker protection rules compliance. ✓ WMATA conducted a checklist analysis to monitor compliance and identify trends. ✓ Finally, WMATA performed a quality verification of actionable items.					
FTA-TSR-18-010	IV	December 2018	Closed		100%
WMATA must resolve inconsistencies in its RWP program documentation and training program. ✓ WMATA merged the membership of the Roadway Worker Protection Committee and Safety Rules Committee into one Rules Committee that follows an updated policy. ✓ WMATA developed a procedure identifying the revised roadway worker protection chapter of the safety rules handbook, including an explanation of combining the two committees into one committee. ✓ WMATA updated its 2018 safety plan submission to include all references to roadway worker protection that refer the reader to the safety rules handbook. ✓ Finally, WMATA performed a quality verification of actionable items.					
FTA-TSR-18-011	II	November 2018	Closed		100%
WMATA must establish RWP certification level requirements for all applicable Metrorail job descriptions and maintain a master list of these RWP certification requirements. ✓ WMATA created a list of all job codes that require roadway worker protection certification annually. ✓ Finally, WMATA performed a quality verification of actionable items.					
FTA-TSR-18-012	II	December 2018	Closed		100%
WMATA must document its process for identifying and communicating new Permanent Orders, rule changes, and other related actions that affect the roadway worker protection (RWP) program to RWP training instructors, and must ensure that copies of new Permanent Orders and rule changes are available for WMATA employees in RWP training. ✓ WMATA submitted its rules committee membership list, and provided confirmation of the procedures incorporated into the training matrix. ✓ Finally, WMATA performed a quality verification of actionable items.					
FTA-TSR-18-013	II	November 2018	Closed		100%
WMATA must continue its activities to create a location on its Intranet, or other site accessible to all Metrorail employees, where updated versions of the RWP Manual and related RWP Temporary and Permanent Orders, bulletins, lessons learned, emails, Standard Operating Procedures, Operations Administrative Procedures, and any other related documentation are maintained. ✓ WMATA developed a procedure identifying the revised roadway worker protection chapter of the safety rules handbook, including an explanation of combining the two committees into one committee. ✓ WMATA updated its main intranet webpage to include access to the new roadway worker protection chapter and safety rules handbook; and submitted screenshots of the updates. ✓ Finally, WMATA performed a quality verification of actionable items.					
FTA-TSR-18-014	II	May 2019	Closed		100%
WMATA must develop a guide for RWIC on how to conduct job safety briefings, manage good faith safety challenges, and make track authorization requests, and must train all Level 4 RWICs on how to use the guide. WMATA also must access use and implementation of the guide by Level 4 RWICs. ✓ WMATA developed a procedure identifying the revised roadway worker protection chapter of the safety rules handbook, including an explanation of combining the two committees into one committee. ✓ Upon completion of the revised roadway worker protection chapter, WMATA trained all roadway worker protection certified employees on the revisions. ✓ WMATA completed checklists of roadway worker protection rules compliance. ✓ Finally, WMATA performed a quality verification of actionable items.					

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**Date WMATA requests closure. Actual closure date is subject to FTA review and acceptance of the closure.

FTA-TSR-18-015	II	May 2018	Closed		100%
WMATA must issue an agency-wide bulletin, letter, memorandum or other document explaining the availability of radio outage maps and how to access and read them. √ WMATA issued a bulletin to advise employees of Emergency Trip Stations (ETS), communication outages, and how to access the information via WMATA’s intranet. √ Finally, WMATA performed a quality verification of actionable items.					
FTA-TSR-18-016	I	September 2018	Closed		100%
WMATA must issue a bulletin, letter, memorandum or other document explaining the requirements to be followed by road mechanics to ensure that a train is immobilized and secured prior to working around it while on the right of way. √ WMATA issued a bulletin to its road mechanics to ensure that a train is immobilized and secured prior to working around it while on the right of way. √ Finally, WMATA performed a quality verification of actionable items.					
FTA-TSR-18-017	IV	May 2019	Closed		100%
WMATA must develop procedures describing how the Metro Transit Police Department's RWP training and the RWP training provided to contractors by the Department of System Safety and Environmental management are structured and administered. √ WMATA developed a procedure outlining its police department’s training policies and procedures for roadway worker protection certification. √ WMATA provided the curriculum and process for maintaining compliance with roadway worker protection recertification. √ WMATA developed a procedure outlining training policies and curriculum for roadway worker protection certification for contractors. √ Finally, WMATA performed a quality verification of actionable items.					
FTA-TSR-18-018	IV	May 2019	Closed		100%
WMATA must ensure that Metro Transit Police Department training materials reflect their unique duties and exemptions as they relate to Roadway Worker Protection. √ WMATA provided its police department’s roadway worker protection curriculum, and implemented its new roadway worker protection program to replace the previous version in the 2019 training schedule. √ WMATA developed a process for maintaining compliance with annual roadway worker protection recertification requirements. √ Finally, WMATA performed a quality verification of actionable items.					
FTA-TSR-18-019	II	August 2019	Closed		100%
WMATA must audit the Division of Elevator/Escalator Services' compliance with system, jurisdictional, Federal, and Division safety rules and requirements and address the findings of that audit. WMATA must conduct an analysis of the Division of Elevator/Escalator Services' safety rules and requirements to ensure the safety of the public and their technicians. √ WMATA completed its 2017 Internal Review of Metrorail Vertical Transportation. √ WMATA completed three internal corrective action plans to be in compliance with safety rules and requirements related to escalator maintenance and inspections. √ WMATA completed the 2018 Escalator Maintenance and Inspections Follow Up Activities, provided improvement feedback to its maintenance leadership, and submitted periodic progress reports. √ WMATA conducted the 2018 Internal Review of Metrorail Vertical Transportation. √ WMATA completed internal corrective action plans to be in compliance with safety rules and requirements related to escalator maintenance and inspections. √ WMATA conducted an internal gap analysis comparing departmental safety rules and requirements with elevator industry safety rules and requirements, and addressed any findings. √ Finally, WMATA performed a quality verification of actionable items.					
FTA-TSR-18-020	II	June 2019	Closed		100%
WMATA must audit the Division of Elevator/Escalator Services' preventive maintenance procedures and requirements and its technicians' conformance with the same and address the findings of that audit. √ WMATA performed two quarterly quality control assessments of technicians' preventative maintenance work and its conformance to departmental procedures and requirements. √ Based on the results of the two quarterly assessments, WMATA completed remediating actions to correct any noncompliance. √ Finally, WMATA performed a quality verification of actionable items.					
FTA-TSR-18-021	IV	April 2019	Closed		100%
WMATA must ensure that Office of Plant Maintenance supervisors consistently conduct quality control audits as required by Standard Operating Procedure 209-07. √ WMATA revised its procedure to clarify the quality control follow-up requirements, and issued a procedure to clarify supervisors’ quality control requirements and how to document quality control observations in its asset management system. √ WMATA identified the supervisors who are required to conduct two quality control audits, and modified performance plans for the supervisors to include audits and audit documentation in its asset management system. √ WMATA generated monthly reports that track the audits conducted by each supervisor, and provided their management with a copy of the report. √ WMATA generated a quarterly asset management system audit compliance report to verify compliance; and provided the report to appropriate levels of management. √ Finally, WMATA performed a quality verification of actionable items.					