

# **Washington Metropolitan Area Transit Authority (WMATA)**

Quality Internal Reviews and Internal Safety Reviews Tracker - 2017 As of 08/15/25

internal Corrective and Preventative	Total	Closed (√)	Open (●)
Action Plan (iCAPA) Summary	69	68	1

Risk Assessment Category and Description with iCAPA Totals	
<b>HIGH</b> - 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: 13   Open: 0
<b>ELEVATED</b> - 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: 28   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: 24   Open: 1
<b>LOW</b> - Reasonable assumption that this risk will likely not occur & may cause a failure of the business process to meet part of its objectives	Closed: 3   Open: 0
<b>INSIGNIFICANT</b> - 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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<sup>\*\*</sup>Date WMATA requests closure. Actual closure date is subject to review and acceptance of the closure.

## **Area of Focus: Engineering & Maintenance**

Metrorail Structural Inspections				0%	I 50%	100%	100%
QICO-SIM-17-01		April 2019	Closed				100%

## WMATA must develop a comprehensive strategy to address the major structural deficiencies.

- Developed a new integrated lifecycle asset management and capital program.
- Provided quarterly progress report for station platform reconstruction; including scope, schedule, and budget.
- Drafted contract documentation for gaining resource(s) to support development of a materials management process.
- Disposed of all expired materials from TRST-Structures storage areas.
- Developed a business plan and implemented processes based on industry standards and agency objectives for materials.
- QICO evaluated items submitted to confirm that the required actions have been resolved.

QICO-SIM-17-02 September 2023 Closed 100%

## Establish formal processes to ensure that critical inspections are completed according to schedule.

- Finalized SOP and developed training for all inspection staff.
- Trained employees on new procedures.
- Established feasibility in using Maximo for inspection process for maintenance measures.
- Drafted contract documentation to support Maximo transitioning effort.
- Produced a project plan for implementation including scope of work, project schedule.

QICO-SIM-17-03 100% November 2020 Closed

#### Institute corrective measures and management controls to eliminate deficiencies in inspection reporting.

- √ Established feasibility in using Maximo for inspection process to maintenance measures.
- √ Established needs to support Maximo transition effort.
- Produced a project implementation plan that includes scope and schedule.

QICO-SIM-17-04 December 2020 Closed 100%

## Establish and implement written requirements to govern the capture, completion, quality control, and engineering review of inspection reports.

- √ Approved inspection manuals: Bridges, Parking Garages, Stations.
- Finalized SOP and developed training for all inspection staff.

QICO-SIM-17-05 April 2021 Closed 100%

#### Establish formal practices for the capture of inspection defects in the enterprise asset management system.

- $\lor$  Worked with MOC to implement creation of Maximo work orders for non-structural defects.
- Submitted new reporting approach to highlight work orders that are overdue.

iCAPA Number
Risk
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Date\*\*

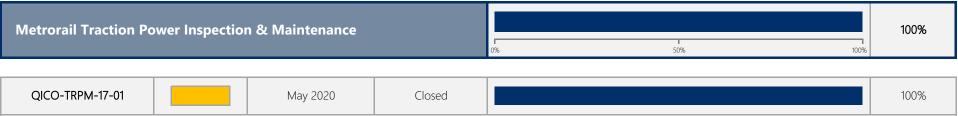
Closure
ICAPA Status
Actionable Item Status

	letrorail Tunnel Ven Iaintenance	tilation Systen	n: Mechanical Subsy	rstem	1 5 50%	100%	100%		
	QICO-TVS-17-01		March 2019	Closed			100%		
Estak	•	•	• •	areas, incorporating pr	esses for interdepartmental coordination rec	juired to complete maintenanc	e activities.		
$\checkmark$	Updated Policies and Ins								
√			uctions 4.10/4 & 4.14/3 via						
√	Developed a housekeepi	ing bulletin for COC	D's signature and distributi	on.					
	QICO-TVS-17-02		August 2018	Closed			100%		
					la large				
		• .		pervisory positions, inc	ding differences in roles and responsibilities	and quality control measures.			
√,	Revised SOP governing (								
٧	Developed a 1-day qualit	ty control course th	at supervisors attended.						
	QICO-TVS-17-03		June 2019	Closed			100%		
Com	plete, update, and mainta	nin governing main	tenance documents to en	sure appropriate engir	ering controls of maintenance activities.				
$\sqrt{}$	Revised and completed of	governing maintena	ance documents.						
$\sqrt{}$	Retrained general equipr	ment mechanics in	Lock-Out-Tag-Out (LOTO)	) and provide a checklis	or LOTO activities.				
	QICO-TVS-17-04		November 2017	Closed			100%		
Perfo	orm an investigation into t	the generation of r	naintenance documentation	on to include the item	dentified by QICO. This investigation must b	e completed by an appropriate	authority not		
	tly responsible for comple	•		on, to melade the hem	dentined by Gree. This investigation mass b	s completed by an appropriate	additionly floc		
$\sqrt{}$	Investigated how mainte	-	-						
√ Implemented a management plan to address findings of the investigation.									
	-		-						
	QICO-TVS-17-05		March 2020	Closed			100%		
	QICO 143-11-03		IVIGICIT ZUZU	Ciosca			100 /0		

- $\ensuremath{\,^{\vee}}$  Revised governing maintenance SOP to include data quality and personnel training.
- $\ensuremath{\checkmark}$   $\ensuremath{\:\:}$  Procured mobile devices and provided training to PLNT personnel on their use.

<sup>\*\*</sup>Date WMATA requests closure. Actual closure date is subject to review and acceptance of the closure.

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Clearly define specific training requirements and periodicities for each technician grade and develop methods of capturing on-the-job training in accordance with the *Maintenance Control Policy* (MCP).

- √ Worked with TRPM management to finalize a training matrix that identifies training requirements for each TRPM mechanic level.
- √ Finalized new TRPM training curriculum that includes OJT training.
- Report New TRPM employees completed initial training on Deliverable # 1.

QICO-TRPM-17-02	May 2023	Closed	100%

Review and perform necessary revision to maintenance documentation, including the Maintenance Control Policy (MCP), and establish supervisory control to ensure compliance with updated requirements.

- √ Created Policy/Instruction standardizing log book entries in TRPM equipment rooms, documented Policy/Instruction review, and acquired acknowledgement by TRPM personnel.
- √ Documented training for TRPM personnel for the implementation of the logbook Policy/Instruction. Compliance review of the logbook Policy/Instruction is outlined in the logbook Policy/Instruction.
- $\checkmark$  Issued Task Order to consulting firm to develop required documents. Scheduled deliverables per the SOW issued.
- √ Provided copies of *Inspection Procedures* (1000 series), *Preventive and Corrective Maintenance Procedures* (1100 series), *Traction Power System Integration Test and Inspection Procedures* (1200 series), and *Traction Power Standard Operation Procedures* (2000 series).
- √ Authorized Inspection Procedures (1000 series), Preventive and Corrective Maintenance Procedures (1100 series), Traction Power System Integration Test and Inspection Procedures (1200 series), and Traction Power Standard Operation Procedures (2000 series).
- √ ENGA developed PMI procedures for all new equipment and devices introduced on the Silver Line.
- √ Developed Policy/Instruction in accordance with OAP 100-20 for standardizing supervisor quality control checks and documentation of reviews and acknowledgements.
- √ Reviewed inspection and preventative maintenance data sheets to determine the most efficient means of linking them to work orders issued through the Maximo system for Rail Maintenance groups.
- V Reviewed current forms and inspection sheets and incorporated additional requirement for Maximo work order numbers to be added.
- √ Submitted quarterly report showing progress made closing out backlogged open work orders.
- √ Developed Policy/Instruction to document and standardize the various Maximo review processes currently in effect and implemented positive controls for date integrity.
- √ Provided Shared Drive access to all supervisors and area managers. All PM records are uploaded to the shared drive for management review.
- √ Developed Policy/Instruction outlining the responsibilities of supervisors and management for the electronic submission and review of records.
- √ Analyzed options to efficiently capture and store documentation of completed inspections/maintenance for TRST, TRPM, and ATCM.
- √ Created two (2) separate data sheets for AC/DC room inspections (e.g. Tie Breaker Substation, Traction Power Substation).
- √ Handed out sign-in sheets to maintenance personnel to acknowledge the implementation of new data sheets for AC/DC room inspections (e.g. Tie Breaker Substation, Traction Power Substation).
- √ Confirmed there is reasonable evidence to support completion of actionable items and performance measures.

QICO-TRPM-17-03 January 2019 Closed 100%

Ensure new Lock-Out-Tag-Out (LOTO) procedure is formally approved for proper use in TRPM maintenance activities. The new LOTO procedure must conform to OSHA requirements under section 1910.147.

- √ Developed procedure detailing LOTO Procedure which complies with OSHA requirements under section 1910.147.
- $\checkmark$  TRPM re-trained all employees on LOTO procedures.

iCAPA Number

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Date\*\*

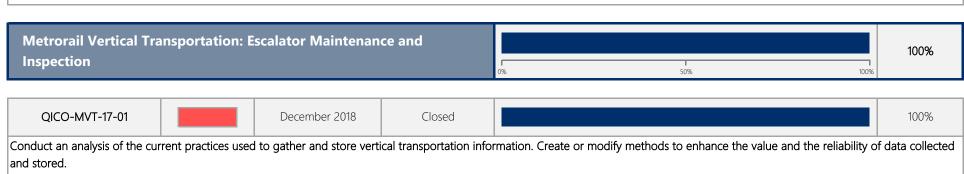
Closure
Submission
Date\*\*

Actionable Item Status
Actionable Item Status

Mot	Metrorail Track Inspections							100%
Met	troran Track mspe	ctions			0%	1 50%	1 100%	10076
(	QICO-TIP-17-01		April 2020	Closed				100%
Implem	ent updated training p	rograms and impro	ovements to inspection so	hedules and territories	to enhance the	e effectiveness of inspection ac	tivities, emphasizing quality ov	er quantity.
√ R	Researched alternative to	echnologies (RFID t	ags) for TGV syncing.					
√ R	Revised SOP 208-12 to a	llow inspectors to c	continue walks after speed	restrictions.				
√ C	Continued developing tr	ack walker training	program (FTA-16-4-T1).					
√ R	Removed gauge rods wi	thin TRST's 14-day	window.					
(	QICO-TIP-17-02		March 2020	Closed				100%
Docum	ent and implement a st	trategy to improve	and maintain the quality	of the defect database	so that it can b	e relied upon by maintenance	decision-makers.	
√ Ir	mproved the quality of i	recorded defects in	Maximo.					
√ E	stablished rules/proced	ures for storage of	TGV and Optram data.					
√ Ir	ncreased training of Op	tram for personnel.						
(	QICO-TIP-17-03		November 2020	Closed				100%
Establis	h a process to determi	ne the precedence	and priority of track acce	ss for essential inspect	ion activities, re	inforcing safety standards for f	ield activities.	
√ R	Revised SOP #30.							
√ C	√ Conducted monthly track inspection/PMI meetings between MOWE and maintenance.							
(	QICO-TIP-17-04		October 2019	Closed				100%

Establish and update processes to better utilize the potential of the TGV, outlining requirements for engineering review of data it produces.

- $\ensuremath{\mathsf{V}}$   $\ensuremath{\mathsf{Established}}$  standards for collecting data within 60 days.
- √ Updated MOWE organizational chart.
- √ Explored automated methods (algorithms) for TGV defect data quality checks.



- V Developed a process to perform analysis of maintenance and service data for vertical transportation.
- $\ensuremath{\checkmark}$   $\ensuremath{\mbox{\sc Verification}}$  Werification was conducted to ensure compliance of actionable items.

QICO-MVT-17-02 February 2019 Closed 100%

Establish methods for maintenance personnel to perform their work more properly, efficiently, and effectively.

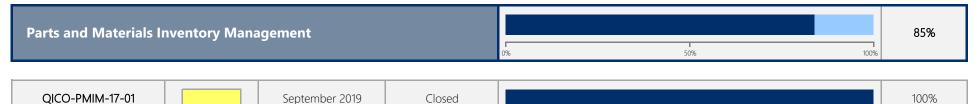
- $\label{eq:communication} $\forall$ \ \, $\text{Collaborated with Communications (COMM) to determine communication-based operational needs.} \\$
- $\checkmark$  Enforced current Preventative Maintenance and developed new performance standards to improve work planning and execution.
- $\checkmark$  Presented and discussed with ELES personnel new expectations described in #2.
- $\checkmark$  Enforced existing written instructions for ELES supervision in accordance with existing calibration policies.
- $\checkmark$   $\;$  Presented and discussed with ELES personnel new Calibration Process/Checklist.
- √ Verification was conducted to ensure compliance of actionable items.

QICO-MVT-17-03 February 2019 Closed 100%

Establish a maintenance control program that follows ASME code A17.1 Section 8.6; including methods for capture and storage of relevant maintenance data.

- Developed a draft comprehensive Maintenance Control Policy (MCP) to establish consistent methods for planning, execution, documentation, and data capture activities.
- √ Pilot Program of MCP.
- √ Finalized MCP.
- $\lor$  Developed a written process for completion, review, data entry, and filing of ELES maintenance documentation.
- V Identified all ELES locations requiring fire extinguisher placement and developed procedures to ensure all extinguishers are periodically inspected.
- $\lor$  Verification was conducted to ensure compliance of actionable items.

<sup>\*\*</sup>Date WMATA requests closure. Actual closure date is subject to review and acceptance of the closure.



Determine a method to implement a Material Requirement Planning (MRP) system while incorporating the fundamental industry standards which will enhance the efficiency and effectiveness of the supply chain process.

√ Conducted analysis of supply chain activities in accordance with industry standards to identify areas for improvement.

needs to be developed to ensure incoming products have adequate shelf life prior to entering into stock across the Authority.

- Developed a framework of policies to ensure consistent application of supply chain and storeroom practices.
- √ Developed and implemented standard requirements for supply chain activities.
- √ Established baseline methods for resource planning, clearly defining the roles of stakeholder departments.
- √ Verification was conducted to ensure compliance of actionable items.

QICO-PMIM-17-02 April 2027 Open 17%

Evaluate current material receiving practices and develop methods to ensure items with shelf-life limitations are identified and tracked through the supply chain system. A shelf life policy

- √ Submitted a staff notice emphasizing existing shelf-life controls.
- Submit first years' worth of updates on SCES implementation.
- Submit second years' worth of updates on SCES implementation.
- Submit a preliminary report to verify functionality of the SCES process.
- Perform an inventory audit of shelf-life enabled products and submit a report showing compliance.
- Confirm there is evidence of the above actionable items.

QICO-PMIM-17-03 June 2022 Closed 100%

Identify parts and materials that require an incoming/receiving inspection for quality control purposes and define specific methods to verify key product characteristics of these items.

- √ Actionable Item 1 Parts Data Request List (Change in Scope)
- √ Actionable Item 1 Incoming Material Inspection Process (Change in Scope)
- √ Actionable Item 2 Supplied Parts Information Update Form (Change in Scope)
- √ Confirmed there is reasonable evidence to support completion of actionable items and performance measures.

QICO-PMIM-17-04 November 2020 Closed 100%

Establish governing documentation to define roles and responsibilities for the office of MIPN to ensure clear departmental duties across the supply chain.

- √ Received approval of MIPNs organizational structure and functions from Rail, AGM, and COO.
- √ Established governing documentation defining roles and responsibilities and aligned job positions to new organizational structure.
- √ Established business and governing operating policies, SOPs, and Service Level Agreements.
- √ Ensured the communication plan includes effective information sharing of newly established policies and informed the wider community and end users.
- Confirmed there was reasonable evidence to support completion of actionable items and performance measures.

QICO-PMIM-17-05 March 2019 Closed 100%

Establish and clarify requirements vendors must follow to ensure WMATA has clear supplier promised date and ship date used to update WMATA's data enterprise services.

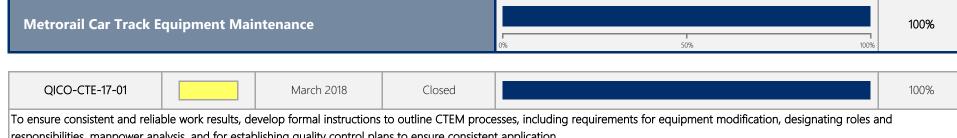
- √ Hired Procurement Manager.
- Performed an overview of current procedures to identify how initial promise dates are determined.
- √ Developed/revised procedures to provide clear communication between suppliers and WMATA.
- Trained staff on new/revised procedures and communicated expectations to suppliers.
- $\checkmark$  Implemented the procedures and measured compliance as identified in Actionable Item 3
- √ Verification was conducted to ensure compliance of actionable items.

QICO-PMIM-17-06 July 2019 Closed 100%

Procurement must identify and evaluate PR's that have been aging greater than 30 days in order to maximize efficiency and eliminate the continuing growth of the PR backlog.

- √ Identified steps, systems, positions, and timeframe each Purchasing Requisition touches before being delivered to Purchasing Agent for Sourcing Action.
- √ Identified all steps a Purchasing Agent must take to move a Purchase Action from Requisition to Award Stage.
- √ Analyzed the processes in Actionable Items 1 and 2 to identify areas for improvement and developed an implementation plan.
- √ Trained/re-trained Purchasing Agents on changed/improved processes as identified in Actionable Item 3.
- √ Developed and implemented a plan based on Actionable Items 1 through 3 to make changes to reduce or eliminate the need to manually modify Purchasing Requisitions.
- √ Verification was conducted to ensure compliance of actionable items.

Closure Risk Submission iCAPA Number **iCAPA Status Actionable Item Status Assessment** Date\*\* \*Date WMATA requests closure. Actual closure date is subject to review and acceptance of the closure **Metrorail Automatic Train Control Inspection & Maintenance** 100% QICO-ATC-17-01 March 2021 Closed 100% Establish clear training requirements for each mechanic grade, including periodicity, and develop methods of capturing on-the-job training in accordance with ATCM's Maintenance Control Policy (MCP). Develop training plan to comply with updated requirements. √ Worked with ATCM management to finalize training matrix that identifies training requirements for each ATC mechanic levels. OPMS and ATCM reviewed and documented the on-the-job training requirements. Issued an ATCM Policy/Instruction detailing the on-the-job-training requirements and training matrix. QICO-ATC-17-02 100% January 2021 Closed Review and perform necessary revision to maintenance documentation, including the Maintenance Control Policy (MCP), and establish supervisory updated requirements. Produced screenshots of SharePoint and training instructions. Produced memorandum notice that the new ATCM SharePoint is an additional tool for shift turnover communication between shifts. Revised current written instructions on how to create a detailed account of work performed on corrective maintenance work orders in Maximo. Produced procedures for quality control/compliance spot checks (level 1), and for spot checks of Supervisor's work (level 2), including reviewing data sheets and work orders. Provided copies of completed quality control spot check Preventative Maintenances (PMs). Reviewed inspection and preventative maintenance data sheets to determine the most efficient means of linking them to work orders issued through the Maximo system for Rail Maintenance groups. Established a policy to implement the results of data sheet analysis. Drafted copy of system configuration management plan instructions and procedures (ATC 4000) manual - Language was included to require datasheet revision levels to be entered on all ATC procedures. Approved copy of System Configuration Management Plan Instructions and Procedures (ATC 4000) Manual - Language was included to require datasheet revision levels to be entered on all ATC procedures. Submitted quarterly updates on the progress made closing out backlogged open work orders. Analyzed options to efficiently capture and store documentation of completed inspections/maintenance for TRST, TRPM, and ATCM. QICO-ATC-17-03 August 2018 Closed 100% Develop a process to determine which groups receive precedence or priority for track access maximize time available to complete critical maintenance/inspection activities. Monthly meetings included a review of ongoing track inspection and PMI activities to determine the needs of maintenance and inspection groups and establish prioritization for ROW access. **Metrorail Car Track Equipment Maintenance** 100% 50% QICO-CTE-17-01 March 2018 Closed 100% To ensure consistent and reliable work results, develop formal instructions to outline CTEM processes, including requirements for equipment modification, designating roles and responsibilities, manpower analysis, and for establishing quality control plans to ensure consistent application. Conducted a staffing analysis to determine CTEM needs for engineering support. Developed a quality control (QC) procedure for CTEM processes. Developed CTEM Standard Operating Procedure (SOP) for Maximo and Engineering Review. Presented and discussed new SOPs with CTEM personnel, and obtained employee signature acknowledgement.



QICO-CTE-17-02 August 2018 Closed 100%

Improve the communication of defects and efficiency of troubleshooting/repair, coordinate with customer maintenance groups (ATCM, TRST, and PLNT) to develop written procedures for reporting equipment failure, making necessary revisions to repair logs to include description fields.

- √ Updated SOP 1.01 for reporting equipment failures to CTEM.
- Generated a bulletin for all maintenance groups within Rail Services to communicate updated requirements for SOP 1.01.
- Updated small equipment repair log book.
- Presented and discussed new SOP with CTEM personnel, and obtained employee signature acknowledgement.

QICO-CTE-17-03 April 2018 100% Closed Provide a safe environment for work in CTEM shop areas, develop formal methods to ensure that all tools, equipment and documentation are accessible, up-to-date and in compliance with

- Revised Monthly 12 Point Inspection Requirements for CTEM spaces.
- Completed monthly 12 Point Inspection Reports

applicable inspection and calibration requirements.

Performed an evaluation of eyewash station locations and implemented solutions.

QICO-CTE-17-04 December 2017 Closed 100%

Develop tracking mechanisms to ensure materials and components with shelf life limitations or other expirations are used or replaced appropriately.

- √ Provided on-the-job training (OJT) on SOP 1.08.
- √ Completed shelf life inspection checklists, developed as part of SOP 1.08.

Post Safetrack Assessment – Next Level Maintenance Requirements				0%	I 50%	100%	100%
QICO-STP-17-01		December 2018	Closed				100%

To promote the effective execution of future maintenance initiatives, establish or revise policy to indicate the minimum requirements for program documentation (plan, scope, schedule, etc.) and control mechanisms (change management), including development and approval timelines.

- √ Defined the plan and scope of documentation required to initiate a new maintenance program.
- √ Developed SOP to establish accurate and timely asset condition information and development for MOWE assets.
- √ Developed SOP to establish maintenance thresholds and communications between MOWE, TRST, and TRPM.
- √ Created SOP for Change Management process for internal stakeholders for which changes affect.
- √ Created SOPs for program changes and changes in scope requiring additional support for other offices, including a template for when additional track time is needed beyond initial estimates
- √ Established procedure for closed loop solution at weekly MOWE work planning group meetings.
- $\lor$  Verification was conducted to ensure compliance of actionable items.

QICO-STP-17-02 February 2020 Closed 100%

To improve the integrity of maintenance records, establish uniform requirements for the use of Maximo in the documentation of work activities, including applicable nomenclature and data fields for traceability.

- √ Issued task order utilizing existing IT contract and hired additional Business Analysts to support RCMP.
- √ Developed a consistent process and consistent fields for Maximo incidents for TRST, TRPM, and ACTM to assist in maintenance planning efforts.
- √ Verification was conducted to ensure compliance of actionable items.

 QICO-STP-17-03
 May 2023
 Closed
 100%

To improve the quality and execution of future maintenance initiatives, establish form quality control measures for use in corrective maintenance and rehabilitation activities that ensure

identification and remediation of deficiencies prior to returning assets to passenger service.

- √ Updated Maintenance Control Policy (MCP) for ATCM, TRST, and TRPM to reference different methods used in preventative and corrective maintenance activities.
- √ Confirmed there is reasonable evidence to support completion of actionable items and performance measures.

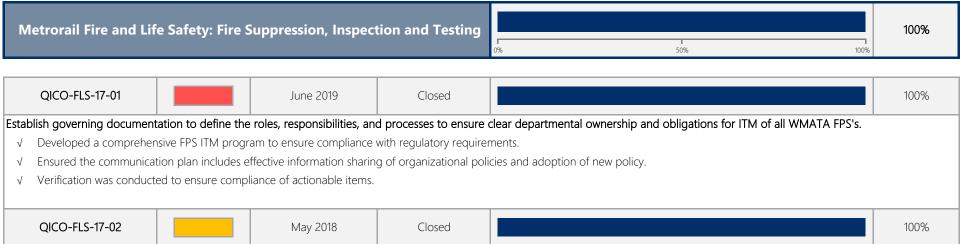


## Assess current safety practices, ensure all items that require a regular inspection are monitored for compliance.

- √ Reviewed existing processes and developed new procedures for equipment use.
- √ Developed and conducted training for employees on procedures and required PPE for use of overhead and jib cranes.
- √ Developed a criteria and checklist for inspection of first aid kits. Ensured first aid kits meet OSHA requirements.
- √ Developed inventory list for assigned kits.

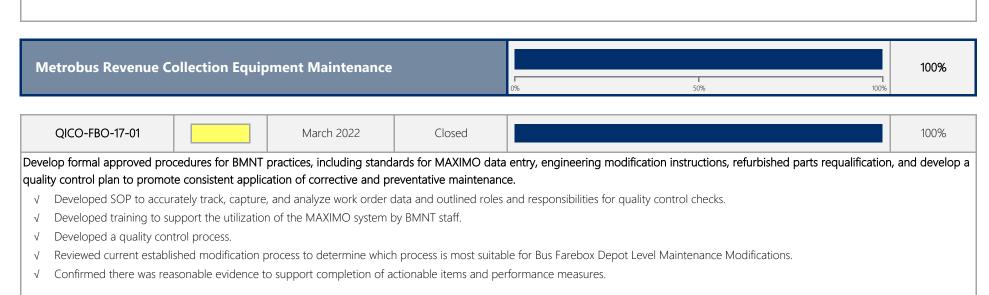
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Conduct an evaluation of current maintenance practices, including maintenance records and material storage, and establish methods to ensure requirements are clearly defined and adhered to.

- $\checkmark$  Modified existing fire extinguisher checklist to ensure proper inspection.
- √ Revised existing checklists to create system-specific checklist appropriate to codes and standards.
- $\lor$  Verification was conducted to ensure compliance of actionable items.



Develop a comprehensive training program specific to the revenue collection equipment technicians, covering both class room and on-the-job training (OJT).

Closed

- √ Developed training specific to revenue collecting equipment technicians covering both classroom and OJT.
- $\checkmark$  Scheduled and enrolled technicians for classroom training and OJT.
- V Confirmed there was reasonable evidence to support completion of actionable items and performance measures.

June 2020

 QICO-FBO-17-03
 March 2019
 Closed
 100%

Develop and consistently measure performance indicators that reflect the actual performance of BMNT shop activities and drives improvement.

 $\ensuremath{\mathsf{V}}$   $\ensuremath{\mathsf{Developed}}$  KPI reports to improve efficiency.

QICO-FBO-17-02

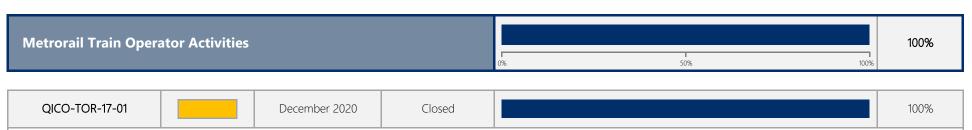
- Provided weekly and monthly reports with stakeholders to improve efficiency and drive performance.
- $\checkmark$  Maintained reports to consistently measure for constant improvements.
- $\checkmark$  Verification was conducted to ensure compliance of actionable items.

100%

iCAPA Number
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Closure
Submission
iCAPA Status
Actionable Item Status

## **Area of Focus: Service Delivery**



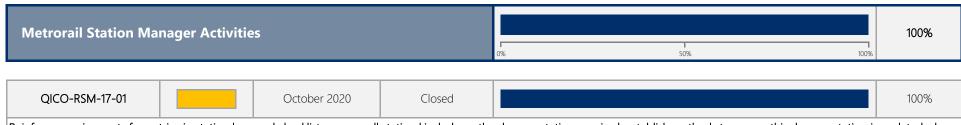
Conduct a comprehensive review and update of the current supervisory spot-check program for Rail Transportation (RTRA) to ensure it encompasses the totality of Train Operator duties and responsibilities, takes into account appropriate sampling and frequency of spot-checks, effectively captures non-compliance with requirements, and tracks remedial actions through validation and closure.

- √ Provided RTRA Supervisor Spot Check Program SOP (RSDAR SOP).
- √ Created a procedure for corrective measures of deficiencies found by supervisors.
- √ Confirmed there was reasonable evidence to support completion of actionable items and performance measures.

QICO-TOR-17-02 January 2025 Closed 100%

Conduct a comprehensive review and update of troubleshooting guides, procedural checklists and job aids to ensure they provide adequate guidance for current equipment and operational conditions, including appropriate oversight activities being performed.

- √ Developed updated troubleshooting guides, procedural checklists, and job aids for new 7k series trains equipment.
- √ Reviewed MSRPH to ensure it accurately reflects current equipment.
- $\checkmark$  Confirmed there is evidence of the above actionable items.



Reinforce requirements for entries in station logs and checklists, ensure all station kiosks have the documentation required, establish methods to ensure this documentation is updated when revisions are issued, and conduct quality control spot-checks to ensure compliance.

√ Conducted station log book stakeholder meetings.

QICO-RSM-17-03

- $\lor$  Issued a RTRA Operations Personnel Notice (ROPN) to reinforce SSOP #38.
- $\lor$   $\;$  Produced Station CCTV Upgrade construction schedule for station kiosks.
- $\lor \quad \text{Updated the Rail Supervisor's Monthly Station Inspection to incorporate the MSRPH and MSSOPH availability in kiosks.}$
- √ Developed a Standard Operating Procedure (SOP) for Rail Station Supply Runners to ensure the most up-to-date document versions are available at each location.

QICO-RSM-17-02 March 2019 Closed 100%

Ensure all appropriate supplies are available to station managers in the case of an emergency, conduct quality supervisory checks to verify compliance with requirements for Emergency Cabinet inventory and securement as specified in SSOP #55.

- √ Revised *Station Condition Checklist* to ensure emergency cabinets are checked on a designated frequency.
- √ Updated the Rail Supervisor's Monthly Station Inspection to incorporate the Station Emergency Cabinet inspection.

November 2017

√ Conducted audits of station emergency cabinets to verify compliance with inspection requirements.

Improve the application of inspection and testing by station managers, evaluate the inclusion of SOP references within the Station Condition Checklist to ensure all inspection and testing requirements are clearly outlined.

Closed

- √ Issued a RTRA Operations Personnel Notice (ROPN) to reinforce SSOP #41.
- $\lor$  Updated the Rail Supervisor Daily Activity Report (RSDAR) application.

100%

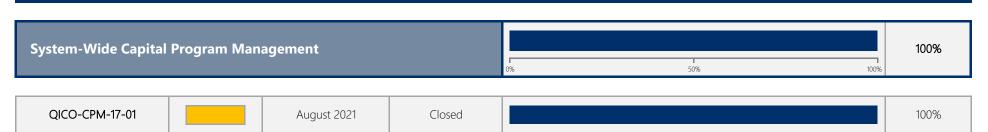
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iCAPA Number	Risk Assessment	Closure Submission Date**	iCAPA Status	Actionable Item Status
**Date WMATA requests closure. Actu	al closure date is subject	to review and acceptance of the	closure.	
Metrorail Supervisor	Daily Activitie	s		100% 50% 100%
QICO-RTRA-17-01		November 2017	Closed	100%
Evaluate RSDAR application to		·	•	
		g the audit to identify discr ation and performed appr	·	
QICO-RTRA-17-02		May 2019	Closed	100%
	QC Officer job desc	ription to focus on operati	_	e run independent of the department performing the work.  Ompliance auditing, and certification of front-line employees.
QICO-RTRA-17-03		November 2020	Closed	100%
√ Defined the rail supervis	or refresher training	<del>-</del>	and develop requiren	nents for retraining that accounts for operational needs and manpower availability.
Rail Operations Cont	rollers Activitie	es		100% 50% 50%
				50% 100%
QICO-ROC-17-01	versely fallow up or	July 2020	Closed	Control Checklists to ensure ROCC controller performance is maintained and remedial
	oller performance, is	ssued remedial actions, an	d tracked progress thr	
QICO-ROC-17-02	101 74	March 2024	Closed	100%
s effective and sustainable.  √ Reviewed requirements	set under Permaner	•	-	vledgement of blanket announcements for speed restrictions, and implement a solution that
QICO-ROC-17-03		September 2020	Closed	100%
accounting of personnel durir √ Evaluated current ROCC	ng incidents. Epractices during inc	1A.5.1.3.5, during roadway cidents with regards to log or and log key personnel o	gging personnel.	d include any interdepartmental coordination that may be required to ensure accurate
Rail Station ADA Cor	npliance Assess	sment - 2017		100% 0% 50% 100%
QICO-ADA-17-01		September 2018	Closed	100%
mprove maintenance practice  √ Developed ADA equipm  √ Created and analyze eq	es. nent and associated uipment report for I	performance standards in	accordance with Police	communications equipment, as required by the Policy/Instruction, to ensure compliance and y Instruction 16.1/1, section 5.09.  com System, and Public Address System.
QICO-ADA-17-02		May 2019	Closed	100%
<ul><li>an emergency.</li><li>√ Reinstructed Station Ma</li><li>√ Placed kiosk notices with</li></ul>	nagers and Rail Ope n AORs for Station N	erations Supervisors on Pe		indication inside the kiosks, to ensure timely response and customer guidance in the case of 7 - Procedures for Areas of Refuge (AOR).

iCAPA Number
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## **Area of Focus: Capital Programs**



Establish a framework of roles, responsibilities and processes for capital programming, including the departments of Capital Planning & Program Management, Chief Operating Officer, Chief Financial Officer, and Internal Business Operations, to ensure that the scopes of projects are performance driven and align with WMATA's strategic objectives.

- √ Included in the policy, an approach to gather requirements for asset conditions, and created frequency to update conditions.
- √ Identified the condition of key assets to be reviewed and determined associated performance targets.
- √ Created a prioritized capital program plan to establish performance targets beginning in FY2020.
- √ Identified the process to ensure monitoring and reporting of key assets and performance indicators are being impacted by ongoing capital investments.
- √ Ensured the communication plan includes effective information sharing of newly established polices to include outreach to all corporate partners and communicated to wider WMATA community and users.
- √ Confirmed there was reasonable evidence to support completion of actionable items and performance measures.

QICO-CPM-17-02 November 2021 Closed 100%

Standardize the definition of project budget and schedule requirements and define methods to measure project performance in accordance with these requirements.

- Identified a standard to identify project budgets and reviewed with corporate partners.
- √ Identified a standard to establish a project schedule with standardized milestones and reviewed with corporate partners.
- √ Identified the processes to evaluate the performance of projects to track budget and schedule. Reviewed standard with corporate partners.
- √ Established a communication plan to ensure effective information sharing of newly established policies to include outreach to corporate partners, the WMATA community, and end users.
- √ Confirmed there was reasonable evidence to support completion of actionable items and performance measures.

 QICO-CPM-17-03
 November 2021
 Closed
 100%

Establish standardized project reporting requirements and format, reflecting the different elements of project management, and define methods to measure project performance in accordance with these requirements.

- √ Identified the required elements to be included in an agency-wide capital project report and a standard for reporting frequency.
- √ Identified requirements for project reporting, roles of the departments of Chief Operating Officer (COO), Chief Financial Officer (CFO), and Internal Business Operations (IBOP), including quality control and assurance.
- $\ensuremath{\checkmark}$  Developed an electronic reporting tool to collect and store report data.
- $\checkmark$  Developed training curriculum on project reporting requirements and the reporting tool.
- √ Ensured the communication plan includes effective information sharing of newly established polices to include outreach to all corporate partners and communicated to wider WMATA community and users.
- √ Confirmed there was reasonable evidence to support completion of actionable items and performance measures.

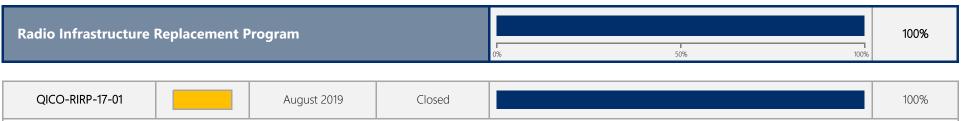
 QICO-CPM-17-04
 April 2022
 Closed
 100%

Establish clear requirements for project proposal, consideration, authorization and appropriation across the authority and define methods to ensure projects meet a minimum criteria prior to authorization.

- √ Developed a Capital Program Delivery Playbook to establish procedures and processes for planning, initiation, implementation, delivery, and monitoring of capital projects.
- √ Developed a policy to indicate the roles of the departments of COO, CFO, IBOP, and CPPM in the capital program.
- Ensured the communication plan includes effective information sharing of newly established polices to include outreach to all corporate partners and communicated to wider WMATA community and users.
- $\checkmark$  Confirmed there is reasonable evidence to support completion of actionable items and performance measures.

<sup>\*\*</sup>Date WMATA requests closure. Actual closure date is subject to review and acceptance of the closure.

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Establish consistency between the Project Specific Quality Management Plan (PSQMP) and WMATA's new Quality Management System Plan (QMSP) and ensure clearly defined personnel responsibilities and document control measures are included.

- √ Created a document identifying and defining project management personnel's responsibilities.
- √ Established a communication plan to ensure effective delivery of information to project staff and affected stakeholders.
- √ Created a succession plan for key management positions.
- √ Reviewed and updated current PSQMP in accordance with WMATA's new document controls and defined personnel roles.
- √ Verification was conducted to ensure compliance of actionable items.

QICO-RIRP-17-02 April 2019 Closed 100%

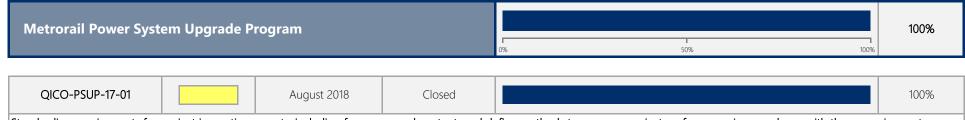
Establish requirements to secure approval of Issued For Construction (IFC) plan and have plans certified prior to installation of equipment on the railroad.

- Reviewed WMATA's manual of design criteria to confirm procedures are being followed for the development of construction drawings.
- $\lor$  Created project specific controls for development and issuance of approved design packages.
- √ Updated PSQMP with newly established controls.
- √ Conducted monthly meetings between ENGA and IRPG to review all construction activities in accordance with design package content for project duration.
- √ Verification was conducted to ensure compliance of actionable items.

QICO-RIRP-17-03 June 2019 Closed 100%

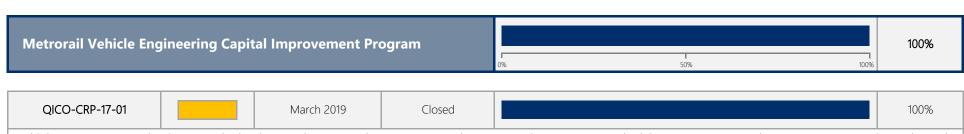
Define uniform inspection and acceptance requirements for radio and cellular system assets and develop methods to measure asset condition in accordance with these requirements.

- √ Defined a standardized inspection checklist and incorporated it into the *Project Specific Quality Management Plan* (PSQMP).
- √ Defined roles and responsibilities of key stakeholders and developed procedures for completion of *Substantial Completion Inspections* (SCIs).
- √ Performed a detailed review of acceptance criteria to ensure all additional are incorporated into PSQMP on a quarterly basis.
- √ Modified the WMATA Inspector Daily Report (IDR) to give more detailed assessment of work performed in the field.
- V Notified construction inspectors with written directive of IDR form modification. Identified new procedure for review and provided requirement for report template usage.
- √ Provided inspectors with training on requirements of new forms and expectations of process.
- √ Verification was conducted to ensure compliance of actionable items.



Standardize requirements for project inspection reports, including frequency and content, and define methods to measure project performance in accordance with these requirements.

- √ Established a report form for WMATA Inspector Daily Records (IDRs) to identify the new procedure for review and time for report template use.
- $\checkmark$  Established responsibilities for reviewing WMATA IDRs to ensure reports are complete and stored accurately.
- √ Provided Inspectors with training on the requirements of the new form and expectations of the new process.
- ✓ Verification was conducted to ensure compliance of actionable items.



Establish a requirement to develop a standardized comprehensive Quality Management Plan (QMP) and Project Master Schedule prior to project implementation to ensure the quality and timeliness of work being performed.

- √ Developed a project class matrix table to provide a method of selection for projects based on complexity, risk, and cost.
- √ Developed a CIP Project Specific *Statement of Work* (SOW) template for use by Project Managers and Engineers.
- $\ensuremath{\checkmark}$   $\ensuremath{\mbox{\sc Verification}}$  Werification was conducted to ensure compliance of actionable items.

iCAPA Number
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Assessment
Date\*\*

Closure
Submission
ICAPA Status
Actionable Item Status

7000-Series Railcar A	Acquisition Proj	ject		0%	1 50%	100%	100%			
QICO-7K-17-01		November 2020	Closed				100%			
Establish policies and procedu	ires regarding Trair	n-To-Wayside-Data-Trans	fer (TWDT).							
√ Established a 7000-serie	s railcar TWDT, and	included automatic wirele	ss downloading of mile	age and faults at W	MATA rail yards.					
√ Established detailed 700	0-series railcar polic	cies and procedures for TV	VDT.							
√ Confirmed there was reasonable evidence to support completion of actionable items and performance measures.										
QICO-7K-17-02		October 2020	Closed				100%			

Establish a comprehensive strategy for training of maintenance technicians and engineers - one that includes training on the use of on-board vehicle diagnostics and on-the-job training (OJT) from Kawasaki.

- √ Executed contract modification for new training for WMATA vehicle engineers and maintenance personnel.
- $\lor$  Investigated the need for specialized technicians for 7000-series on-board train networks.
- √ Confirmed there was reasonable evidence to support completion of actionable items and performance measures.

QICO-7K-17-03 October 2020 Closed 100%

Establish a process to ensure spare parts are available in sufficient quantities for the 7000-series railcar fleet, for everything that is in warranty or not covered by warranty. In addition, in future railcar acquisitions, consider including capital spares for each of the options.

- √ Finalized the *Illustrated Parts Catalogue* (IPC)/Spare Parts List.
- √ Tracked and presented lessons learned regarding deficiencies in spare parts contract and management to the 8000-series project before it went to bid in 2018.
- $\lor$  Confirmed there was reasonable evidence to support completion of actionable items and performance measures.

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