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

**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%

QICO-BOCC-19-01		September 2020	Closed		100%

Develop a Quality Control Plan (QCP) for BOCC to promote consistent departmental performance.
- √ 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.
- √ 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%

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.
- √ 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.
- √ 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:
  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%

| QICO-EOC-19-01 | | April 2021 | Closed | | 100% |

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% |

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% |

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%

| QICO-CIND-19-01 | | July 2020 | Closed | | 100% |

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% |

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%

iCAPA Number	Risk Assessment	Closure Submission Date	iCAPA Status	Actionable Item Status
QICO-RVCM-19-01	🟧	May 2020	Closed	100%

WMATA must establish a quality control group independent from CENV to oversee configuration change document approval and implementation of rail vehicle modifications.
- √ 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.

| QICO-RVCM-19-02 | 🟧 | October 2020 | Closed | 100% |

WMATA must develop a documented process to identify and update technical documents affected by the approval of engineering modifications.
- √ Updated current process to establish timeframe, tracking, and implementation of technical changes.
- √ Confirmed there was reasonable evidence to support completion of actionable items and performance measures.

ATC System Configuration Management Plan — 100%

| QICO-ASCM-19-01 | 🟧 | August 2021 | Closed | 100% |

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.
- √ 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% |

ATC will update ATC-4000 manual to further define technical content permitted in documentation issued by ATCM management to ATCM personnel.
- √ Updated ATC-4000 manual in accordance with *System Safety Configuration Management Plan*.
- √ Included a test procedure number on data sheets and demonstrated the use of approved data sheets provided by engineering such as EIBs, EABs, EMIs, and TCPs.
- √ Confirmed there was reasonable evidence to support completion of actionable items and performance measures.

Storeroom Truck Inventory — 100%

| QICO-TRUC-19-01 | 🟨 | April 2022 | Closed | 100% |

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.
- √ Submitted meeting agenda/minutes for former *Storeroom Material Management Assessment Procedure*.
- √ Submitted new *Material Management Procedure*.
- √ Submitted evidence of *Material Management Procedure* 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% |

Develop a Standard Operating Procedure (SOP) that defines the process of inventory discrepancies across all SCMF storerooms.
- √ Submitted meeting agenda/minutes for former *Inventory Adjustment Procedure*.
- √ Submitted new *Inventory Adjustment Procedure*.
- √ Submitted evidence of *Inventory Adjustment Procedur*e implementation.
- √ Submitted three consecutive monthly Inventory Adjustments audit reports.
- √ Confirmed there was reasonable evidence to support completion of actionable items and performance measures.

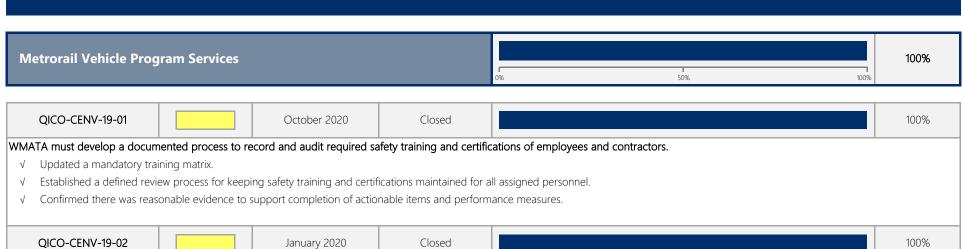| iCAPA Number	Risk Assessment	Closure Submission Date**	iCAPA Status	Actionable Item Status	

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Area of Focus: Safety

Metrorail Vehicle Program Services					100%

QICO-CENV-19-01		October 2020	Closed		100%

WMATA must develop a documented process to record and audit required safety training and certifications of employees and contractors.
- √ 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%

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.
- √ 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.

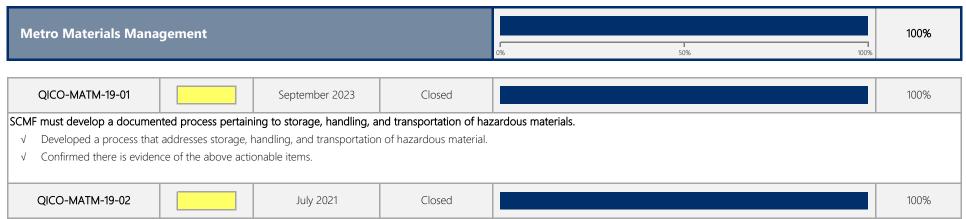| QICO-CENV-19-03		September 2020	Closed		100%

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.
- √ 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%

CENV must develop a documented quality control process to verify rulebook compliance.
- √ 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%

QICO-MATM-19-01		September 2023	Closed		100%

SCMF must develop a documented process pertaining to storage, handling, and transportation of hazardous materials.
- √ 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%

SCMF must develop a documented process for reporting incidents and accidents.
- √ Submitted *Safety Program Procedure*.
- √ Submitted evidence of *Safety Program Procedur*e implementation.
- √ Submitted communication strategy as evidence that SCCM staff were informed of the revised *Safety Program Procedure* 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%

| QICO-ENGA-19-01 | (yellow) | December 2020 | Closed | | 100% |

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.
- √ 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 | (orange) | October 2021 | Closed | | 100% |

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.
- √ 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 | (yellow) | October 2021 | Closed | | 100% |

ENGA will update the current *Continuity of Operations Plan* (COOP) in accordance with Office of Emergency Management standards.
- √ 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.

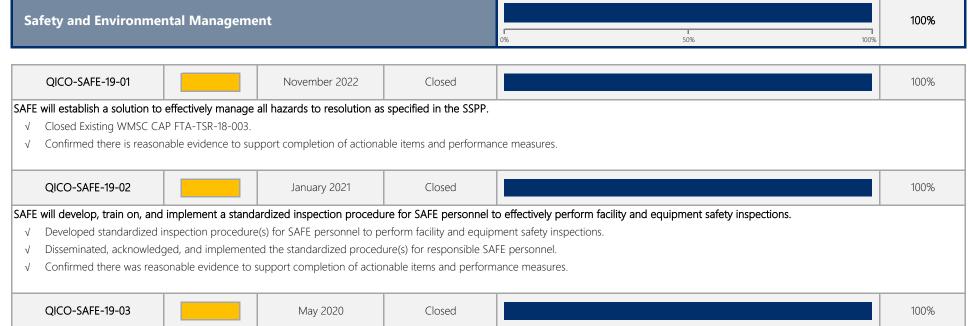| QICO-ENGA-19-04 | (yellow) | November 2021 | Closed | | 100% |

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.

| QICO-ENGA-19-05 | (green) | February 2022 | Closed | | 100% |

Each ENGA department will develop a training matrix for each position.
- √ 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%

| QICO-SAFE-19-01 | (orange) | November 2022 | Closed | | 100% |

SAFE will establish a solution to effectively manage all hazards to resolution as specified in the SSPP.
- √ 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 | (orange) | January 2021 | Closed | | 100% |

SAFE will develop, train on, and implement a standardized inspection procedure for SAFE personnel to effectively perform facility and equipment safety inspections.
- √ 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 | (orange) | May 2020 | Closed | | 100% |

SAFE will review and revise SAFE governing documents to ensure organizational policies and procedures are current.
- √ 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.

Prepared by the Department of Quality Assurance, Internal Compliance Oversight (Quality)