



Washington Metropolitan Area Transit Authority (WMATA)

Quality Internal Reviews and Internal Safety Reviews Tracker - 2020

All CAPs in this Directive were **closed** as of 08/23/24

internal Corrective and Preventative Action Plan (iCAPA) Summary	Total	Closed (✓)	Open (●)
	26	26	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: 3 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: 9 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: 7 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: 7 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: Internal Safety Reviews

Office of Information Technology				<div><div></div></div> <div>0%50%100%</div>	100%
QICO-IT-20-01		October 2020	Closed	<div><div></div></div>	100%
Develop a Departmental Safety Committee (DSC) within IT or, participate in an existing departmental safety committee. <ul style="list-style-type: none">✓ Established a DSC and conducted stand-alone meetings or scheduled time with existing departmental DSC.✓ Confirmed there was reasonable evidence to support completion of actionable items and performance measures.					
QICO-IT-20-02		October 2020	Closed	<div><div></div></div>	100%
Create a formal compliance check program to manage safety rule prioritization, define roles and responsibilities, and establish compliance checks. <ul style="list-style-type: none">✓ Reviewed and submitted quality control program.✓ Confirmed there is reasonable evidence to support completion of actionable items and performance measures.					
QICO-IT-20-03		August 2020	Closed	<div><div></div></div>	100%
Develop and maintain a training and certification matrix per WMATA's System Safety Program Plan (SSPP) for all IT positions. <ul style="list-style-type: none">✓ Established and submitted a training matrix that details all safety training and certification required by governing regulations for each IT position.✓ Developed and submitted a system/process to periodically review the required safety training and certification for all IT personnel.✓ 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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Office of Emergency Management	<div><div></div></div>			<div><div></div></div>	100%
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QICO-OEM-20-01	<div><div></div></div>	September 2020	Closed	<div><div></div></div>	100%
Develop procedures and training curricula that fully describe work performed and training goals.					
<div><div>√</div> Developed and submitted a Duty Assignment Procedure.</div> <div><div>√</div> Developed and submitted a Rail Liaison Procedure.</div> <div><div>√</div> Developed and submitted an Instructor Guide.</div> <div><div>√</div> Confirmed there is reasonable evidence to support completion of actionable items and performance measures.</div>					
QICO-OEM-20-02	<div><div></div></div>	October 2020	Closed	<div><div></div></div>	100%
Review and update applicable emergency response plans per the direction within each document or the Emergency Operations Plan, whichever occurs soonest.					
<div><div>√</div> Updated and submitted the Assistance Plan.</div> <div><div>√</div> Updated and submitted the Operations Plan.</div> <div><div>√</div> Developed and submitted the new Continuity of Operations Plan.</div> <div><div>√</div> Updated and submitted the Emergency Response Plan.</div> <div><div>√</div> Confirmed there was reasonable evidence to support completion of actionable items and performance measures.</div>					
QICO-OEM-20-03	<div><div></div></div>	October 2020	Closed	<div><div></div></div>	100%
Create a formal compliance check program to manage safety rule prioritization, define roles and responsibilities, and establish compliance checks.					
<div><div>√</div> Created and submitted a Quality Control Program.</div> <div><div>√</div> Confirmed there was reasonable evidence to support completion of actionable items and performance measures.</div>					

Department of Low Voltage Electrical Maintenance	<div><div></div></div>			<div><div></div></div>	100%
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QICO-LVEM-20-01	<div></div>	December 2022	Closed	<div></div>	100%
Management oversight plan must reinforce the frequency and accuracy of compliance checks for job safety briefings and confirm that appropriate PPE, tools, and equipment are in place at the job site.					
<div><div>√</div> Updated and submitted outdated Preventive Maintenance Inspection (PMI).</div> <div><div>√</div> Provided Safety Committee meeting minutes and sign-in sheets.</div> <div><div>√</div> Developed and submitted a management oversight plan.</div> <div><div>√</div> Confirmed there is reasonable evidence to support completion of actionable items and performance measure.</div>					
QICO-LVEM-20-02	<div></div>	December 2021	Closed	<div></div>	100%
Develop and update current policies and procedures in accordance with the Systems Maintenance (SMNT) Maintenance Control Policy (MCP) standard.					
<div><div>√</div> Revised, updated, standardized, and submitted the work order life cycle process.</div> <div><div>√</div> Confirmed there was reasonable evidence to support completion of actionable items and performance measure.</div>					
QICO-LVEM-20-03	<div></div>	November 2021	Closed	<div></div>	100%
Revise Training Matrix to include all LVEM training requirements and ensure all active employees complete the required training. LVEM will also ensure training completion of all active 5027 AA Mechanics and 5036 Supervisors to meet the requirements of a Qualified Person.					
<div><div>√</div> Revised and submitted training matrix.</div> <div><div>√</div> Submitted on-the-job training records.</div> <div><div>√</div> Submitted additional on-the-job training records for mechanics and supervisors.</div> <div><div>√</div> Confirmed there was reasonable evidence to support completion of actionable items and performance measure.</div>					

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Area of Focus: Engineering & Maintenance

Automatic Train Control Maintenance, Reliability and Engineering	<div><div></div></div>	100%
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QICO-ATCM-20-01	<div><div></div></div>	February 2024	Closed	<div><div></div></div>	100%
Update the ATC MCP departmental warranty claim processes.					

Shops and Materials Support	<div><div></div></div>	100%
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QICO-SAMS-20-01	<div><div></div></div>	December 2021	Closed	<div><div></div></div>	100%
Establish communication process to ensure current and accurate repair and maintenance standards are implemented, and develop documented work instructions for radio certification, precision measurement equipment calibration, and verification of externally calibrated equipment. <div><div>√ Updated and submitted ATC 2000.</div><div>√ Established continuous communication loop to distribute and review standards revisions.</div><div>√ Created/modified and submitted a document control procedure.</div><div>√ Updated and submitted SMNT MCP.</div><div>√ Confirmed there was reasonable evidence to support completion of actionable items and performance measures.</div></div>					
QICO-SAMS-20-02	<div><div></div></div>	October 2021	Closed	<div><div></div></div>	100%
Establish and implement a training program that encompasses all training requirements of SAMS’ personnel. <div><div>√ Established and submitted a list of all relevant procedures and original equipment manufacturer standards for bench/component level repair.</div><div>√ Developed and submitted training requirements for soldering standards and anti-static work station protection.</div><div>√ Developed a training program based on SAMS’ requirements.</div><div>√ Confirmed there was reasonable evidence to support completion of actionable items and performance measures.</div></div>					

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Area of Focus: Service Delivery

Bus Transportation Training & Administration	<div><div></div></div> <div>0%50%100%</div>	100%
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QICO-BTRN-20-01	<div></div>	January 2022	Closed	<div></div>	100%
<div>Identify all core BTRN functions and develop associated processes and procedures.</div> <div><div>√</div>Identified and submitted a master list of all processes and procedures.</div> <div><div>√</div>Submitted the final and signed document processes and procedures.</div> <div><div>√</div>Confirmed there was reasonable evidence to support completion of actionable items and performance measures.</div>					
QICO-BTRN-20-02	<div></div>	April 2021	Closed	<div></div>	100%
<div>Establish a process for monitoring, maintaining, and reporting operator training compliance.</div> <div><div>√</div>Created and submitted a refresher class documented process, and provided compliance reports.</div> <div><div>√</div>Confirmed there was reasonable evidence to support completion of actionable items and performance measures.</div>					
QICO-BTRN-20-03	<div></div>	August 2021	Closed	<div></div>	100%
<div>Revise the remedial training program to target the causes of operator infractions.</div> <div><div>√</div>Submitted a plan for one-day and two-day remedial class.</div> <div><div>√</div>Developed and submitted a curriculum to reduce bus incidents and improve safety, and provided compliance reports.</div> <div><div>√</div>Confirmed there was reasonable evidence to support completion of actionable items and performance measures.</div>					
QICO-BTRN-20-04	<div></div>	July 2021	Closed	<div></div>	100%
<div>Adhere to BUSV's existing document control policy and revise/remove outdated and superseded documents.</div> <div><div>√</div>Reviewed, submitted, and maintained a master document log.</div> <div><div>√</div>Removed outdated and superseded documents; added new ones to the Intranet.</div> <div><div>√</div>Created and submitted a documented process for updating governing documents.</div> <div><div>√</div>Revised and submitted the division manual.</div> <div><div>√</div>Confirmed there was reasonable evidence to support completion of actionable items and performance measures.</div>					
QICO-BTRN-20-05	<div></div>	July 2022	Closed	<div></div>	100%
<div>Develop and implement a documented Quality Control Plan (QCP) to promote consistent department performance.</div> <div><div>√</div>Developed and submitted a comprehensive Quality Control Plan, and provided audit reports.</div> <div><div>√</div>Confirmed there is reasonable evidence to support completion of actionable items and performance measures.</div>					

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Bus Operations	<div><div></div></div>	100%
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QICO-BTRA-20-01	<div><div></div></div>	August 2024	Closed	<div><div></div></div>	100%
<p>Implement controls to monitor and mitigate the impact of operator fatigue.</p> <ul style="list-style-type: none">✓ Developed and submitted a Fatigue Risk Management (FRM) data entry process, and provided compliance reports.✓ Developed and submitted a monitoring process for WMATA Hours of Service (HOS) Policy violations, and provided compliance reports.✓ Developed a report to include key performance metrics and corrective actions.✓ Confirmed there is evidence of the above actionable items.					
QICO-BTRA-20-02	<div><div></div></div>	December 2021	Closed	<div><div></div></div>	100%
<p>Develop a comprehensive log-on process that includes criteria for supervisors/specialists, data analysis, and action plans.</p> <ul style="list-style-type: none">✓ Submitted a report that includes findings, root cause analysis, and solutions.✓ Developed and submitted a plan and schedule to prevent intermittent log-on events.✓ Developed and submitted a documented process, and provided compliance reports.✓ Confirmed that there was reasonable evidence to support the completion of actionable items and performance measures.					
QICO-BTRA-20-03	<div><div></div></div>	November 2021	Closed	<div><div></div></div>	100%
<p>Develop and execute a process to incorporate feedback and customer complaints into Metrobus training and operations.</p> <ul style="list-style-type: none">✓ Developed and submitted a documented process for customer complaints, and provided compliance reports.✓ Confirmed that there was reasonable evidence to support the completion of actionable items and performance measures.					
QICO-BTRA-20-04	<div><div></div></div>	July 2021	Closed	<div><div></div></div>	100%
<p>Develop and execute a Quality Control Plan (QCP) to monitor and improve Bus Transportation Operation (BTRA) processes.</p> <ul style="list-style-type: none">✓ Developed and submitted a quality control plan, and provided evidence of awareness.✓ Confirmed that there was reasonable evidence to support the completion of actionable items and performance measures.					
QICO-BTRA-20-05	<div><div></div></div>	November 2021	Closed	<div><div></div></div>	100%
<p>Develop and implement a procedure for recording and reviewing incidents/accidents.</p> <ul style="list-style-type: none">✓ Developed and submitted documented processes for Bus Operator Records Management System (BORMS) & Safety Management System (SMS), and provided evidence of awareness.✓ Confirmed that there was reasonable evidence to support the completion of actionable items and performance measures.					
QICO-BTRA-20-06	<div><div></div></div>	April 2022	Closed	<div><div></div></div>	100%
<p>Create and implement a commercial driver's license verification process to include procedures, audit plans, and reporting.</p> <ul style="list-style-type: none">✓ Developed and submitted a documented process for commercial driver's license verification, and provided audit results.✓ Confirmed that there is reasonable evidence to support the completion of actionable items and performance measures.					
QICO-BTRA-20-07	<div><div></div></div>	July 2021	Closed	<div><div></div></div>	100%
<p>Develop and document a Maximo incident process that governs the creation, modification, and closure of incidents.</p> <ul style="list-style-type: none">✓ Developed and submitted an incident closeout process, and provide status reports.✓ Confirmed that there was reasonable evidence to support the completion of actionable items and performance measures.					

Rail Planning & Scheduling	<div><div></div></div>	100%
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QICO-RPLN-20-01	<div><div></div></div>	February 2024	Closed	<div><div></div></div>	100%
<p>Develop a departmental document control procedure & processes, quality control plan for each of RPLN's core functions. Establish a policy that outlines the requirements for secured document storage, retention, and archiving.</p> <ul style="list-style-type: none">✓ Developed and submitted all core-function departmental processes and procedures.✓ Developed and submitted a document control process.✓ Developed and submitted a comprehensive quality control plan, and provided three months of reports.✓ Confirmed there is evidence of the above actionable items.					
QICO-RPLN-20-02	<div><div></div></div>	March 2021	Closed	<div><div></div></div>	100%
<p>Create a training matrix that identifies all required training for each position within Rail Planning and Scheduling (RPLN).</p> <ul style="list-style-type: none">✓ Developed and submitted a training matrix.✓ Confirmed there was reasonable evidence to support completion of actionable items and performance measures.					