

Washington Metropolitan Area Transit Authority (WMATA)

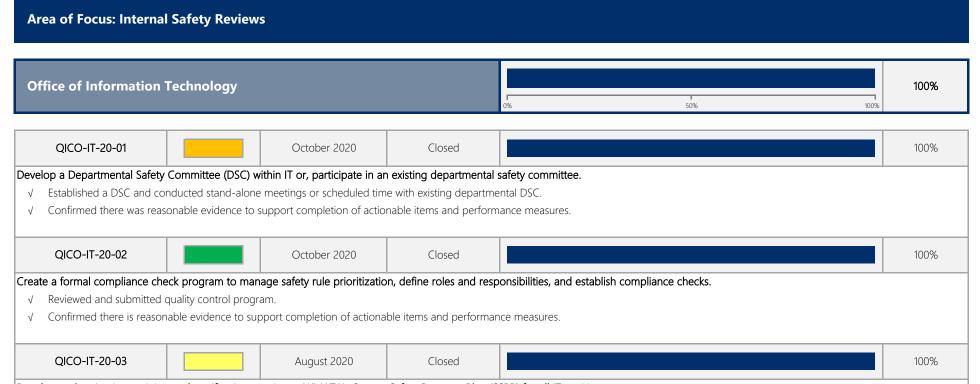
Quality Internal Reviews and Internal Safety Reviews Tracker - 2020 All CAPs in this Directive were **closed** as of 08/23/24

internal Corrective and Preventative	Total	Closed (√)	Open (●)	
Action Plan (iCAPA) Summary	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.

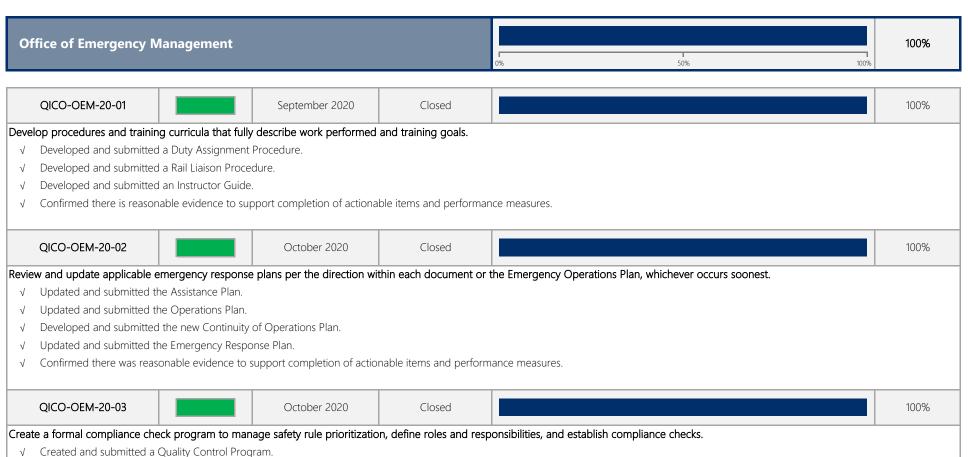


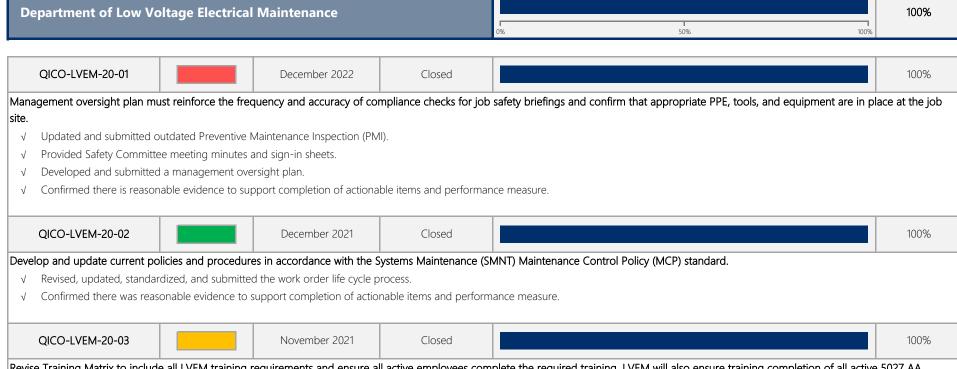
Develop and maintain a training and certification matrix per WMATA's System Safety Program Plan (SSPP) for all IT positions.

- √ Established and submitted a training matrix that details all safety training and certification required by governing regulations for each IT position.
- \lor Developed and submitted a system/process to periodically review the required safety training and certification for all IT personnel.
- \lor Confirmed there was reasonable evidence to support completion of actionable items and performance measures.

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

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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.

- Revised and submitted training matrix.
- Submitted on-the-job training records.
- Submitted additional on-the-job training records for mechanics and supervisors.
- Confirmed there was reasonable evidence to support completion of actionable items and performance measure.

Confirmed there was reasonable evidence to support completion of actionable items and performance measures.

iCAPA Number

Risk
Assessment

Closure

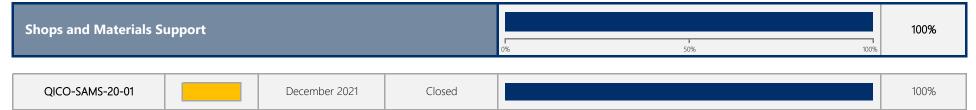
Submission
Date**

Closure

Submission
Date**

Area of Focus: Engineering & Maintenance





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.

- √ Updated and submitted ATC 2000.
- \lor Established continuous communication loop to distribute and review standards revisions.
- √ Created/modified and submitted a document control procedure.
- √ Updated and submitted SMNT MCP.
- V Confirmed there was reasonable evidence to support completion of actionable items and performance measures.

QICO-SAMS-20-02	October 2021	Closed	100%

Establish and implement a training program that encompasses all training requirements of SAMS' personnel.

- √ Established and submitted a list of all relevant procedures and original equipment manufacturer standards for bench/component level repair.
- \checkmark Developed and submitted training requirements for soldering standards and anti-static work station protection.
- \checkmark Developed a training program based on SAMS' requirements.
- √ Confirmed there was reasonable evidence to support completion of actionable items and performance measures.

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

iCAPA Number

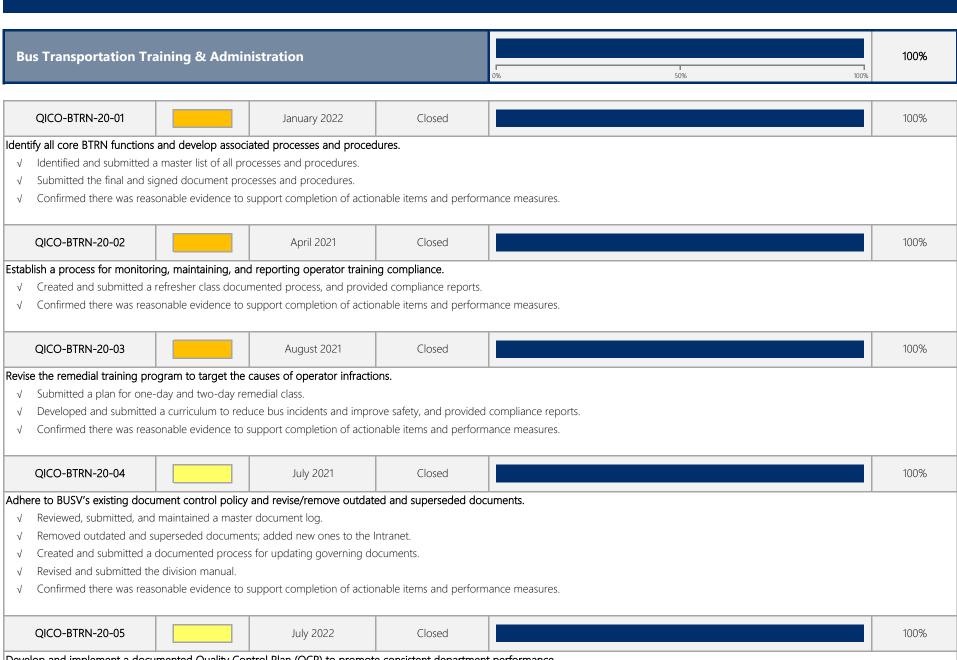
Risk
Assessment

Closure

iCAPA Status
Date**

Actionable Item Status

Area of Focus: Service Delivery



Develop and implement a documented Quality Control Plan (QCP) to promote consistent department performance.

- ✓ Developed and submitted a comprehensive Quality Control Plan, and provided audit reports.
- Confirmed there is reasonable evidence to support completion of actionable items and performance measures.

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

Closure Risk **iCAPA Number Actionable Item Status iCAPA Status Submission Assessment** Date** **Date WMATA requests closure. Actual closure date is subject to review and acceptance of the closure. **Bus Operations** 100% QICO-BTRA-20-01 August 2024 Closed 100% Implement controls to monitor and mitigate the impact of operator fatigue. Developed and submitted a Fatique 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 December 2021 100% Closed Develop a comprehensive log-on process that includes criteria for supervisors/specialists, data analysis, and action plans. 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 November 2021 Closed 100% Develop and execute a process to incorporate feedback and customer complaints into Metrobus training and operations. √ 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 July 2021 Closed 100% Develop and execute a Quality Control Plan (QCP) to monitor and improve Bus Transportation Operation (BTRA) processes. 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 November 2021 Closed 100% Develop and implement a procedure for recording and reviewing incidents/accidents. 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-20-06 100% April 2022 Closed Create and implement a commercial driver's license verification process to include procedures, audit plans, and reporting. ✓ 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 July 2021 Closed 100% Develop and document a Maximo incident process that governs the creation, modification, and closure of incidents. 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. 100% **Rail Planning & Scheduling** QICO-RPLN-20-01 February 2024 Closed 100% 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. 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 March 2021 Closed 100% Create a training matrix that identifies all required training for each position within Rail Planning and Scheduling (RPLN). Developed and submitted a training matrix. Confirmed there was reasonable evidence to support completion of actionable items and performance measures.