



Corrective Action Plan (CAP) Summary			
Total	Submitted (✓)		Open (●)
	Closed	Under Review <sup>1</sup>	
91	81	1	9

<sup>1</sup> Under Review status includes items that were submitted to WMSC for review and closure, and items that were returned by WMSC to address additional comments.

Risk Assessment Category and Description with CAP Totals			
I	II	III	IV
Unacceptable	Undesirable - ESC* Decision Required	Acceptable with ESC* Review	Acceptable without ESC* Review
Submitted: 0   Open: 0	Submitted: 26   Open: 2	Submitted: 14   Open: 0	Submitted: 4   Open: 0

\* ESC - Executive Safety Committee

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

Elevated Structures Inspection, Maintenance and Repair	<div><div></div></div> <div>0%50%100%</div>	95%
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WMSC-21-C0071	II	December 2021	Closed	<div><div></div></div>	100%
<p>Metrorail must develop and implement procedures that ensure all department work together to establish uniform procedure and to identify and fully rectify issues.</p> <ul style="list-style-type: none"><li>✓ Developed and submitted a documented communication plan to include collaboration and communication needs between multiple departments.</li><li>✓ Held monthly meetings with Structures and Engineering departments to discuss the Structural Inspection coordination and submitted six months of meeting agendas as evidence of coordination.</li><li>✓ Held safety briefing with front-line employees as needed to convey subjects addressed during the departmental meetings and submitted six months of safety briefings as evidence.</li><li>✓ Attended coordination meetings at random and submitted the meeting and interview summaries.</li><li>✓ Submitted roles and responsibility matrix and signature acknowledgements.</li><li>✓ Confirmed there was evidence of the above actionable items.</li></ul>					
WMSC-21-C0072	II	March 2023	Closed	<div><div></div></div>	100%
<p>Metrorail must conduct a load rating assessment for all bridges and elevated structures or otherwise raised platforms or tracks (prioritizing the structures with most severe deficiencies), compare those load ratings to the actual maximum loads that could be placed on those structures, and make any operational changes required for safety. Following that assessment, Metrorail must establish a process, including clear procedures and load rating guidelines, to keep the load ratings up to date. Metrorail must also establish a process to evaluate rail vehicle (both single car or single maintenance machine and entire consist) weight relative to the weight ratings of structures across the system to ensure that no structure is overloaded during scheduled activities or unplanned events.</p> <ul style="list-style-type: none"><li>✓ Submitted a report to include load rating on 10% of structures on the high priority list that are being inspected every six months or less.</li><li>✓ Evaluated and updated the existing process for inspecting and approving vehicles being introduced to the system for compliant weight on system structures.</li><li>✓ Developed and submitted a documented methodology and process for updating the load ratings, as required, to ensure that load ratings are captured, maintained, and provided for the new and rehabilitated structures.</li><li>✓ Engineering led a program to conduct load rating assessments for all bridges and elevated structures or otherwise raised platforms or tracks to have this information readily available in the files.</li><li>✓ Provided and submitted bi-annual project status report showing progress on the load rating assessment.</li><li>✓ Confirmed there is evidence of the above actionable items.</li></ul>					
WMSC-21-C0073	II	October 2021	Closed	<div><div></div></div>	100%
<p>Metrorail must clearly designate the department and current job function with ownership of the manual and any related procedures, and the coordination process that will be used for future updates and reviews. The designation must also include a specific timeline for required reviews of the documents.</p> <ul style="list-style-type: none"><li>✓ Updated and submitted the Structural Inspection Manual specifying which department and job function are responsible for updating and reviewing the manual.</li><li>✓ Confirmed there was evidence of the above actionable item.</li></ul>					
WMSC-21-C0074	II	April 2022	Closed	<div><div></div></div>	100%
<p>Metro rail must continue to develop training materials and must provide necessary initial and recurring training to cover all relevant aspects of the manual and related procedures, including proper reporting of element inspections and proper completion of all reports, work orders and other documentation. This training development must be coordinated with and approved by the departments involved in finalizing the manual including TRST, ENGA, MOWE and SAFE, and must be provided to all relevant employees.</p> <ul style="list-style-type: none"><li>✓ Submitted a training matrix identifying personnel training requirements and frequency.</li><li>✓ Updated and submitted the Structural Inspection Training Program and submitted evidence of 95% of active Inspectors trained.</li><li>✓ Confirmed there is evidence of the above actionable items.</li></ul>					

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WMSC-21-C0075	II	April 2022	Closed		100%
<p>Metrorail must review and update SOP 208-07 or the Structural Inspection Manual to eliminate conflicts or outdated information and provide clear standards and requirements. Metrorail must then communicate these updates to all relevant employees and provide any necessary training related to the revisions.</p> <ul style="list-style-type: none"><li>✓ Revised and submitted SOP 208-07 to align with the Structural Inspection Manual.</li><li>✓ Issued a Staff Notice to inform the inspection personnel about the changes on SOP 208-07 and submitted evidence of acknowledgment for 95% of active personnel.</li><li>✓ Incorporated updated initial and refresher trainings for personnel.</li><li>✓ Submitted the updated Structural Program, defined what methodology will be used, and ensured changes are documented.</li><li>✓ Confirmed there is evidence of the above actionable items.</li></ul>					
WMSC-21-C0076	II	April 2022	Closed		100%
<p>Metrorail must provide its inspectors with both access to and training on tools such as dye penetrant kits and D-meters that are listed in the Structural Inspection Manual as tools to be used for certain inspections.</p> <ul style="list-style-type: none"><li>✓ Updated and submitted the Structural Inspection Manual.</li><li>✓ Submitted a tool-kit inventory list that includes dye penetrant kits and D-meters.</li><li>✓ Updated and submitted the Structural Training Program.</li><li>✓ Confirmed there is evidence of the above actionable items.</li></ul>					
WMSC-21-C0077	II	March 2023	Closed		100%
<p>Metrorail must formalize a timeline for sufficient NHI refresher training courses and fracture-critical member training (including element inspection training). Metrorail must establish sufficient requirements for employee refresher training on the safe use of equipment such as scissor lifts or bucket trucks and proper use of inspection checklists for those vehicles or equipment.</p> <ul style="list-style-type: none"><li>✓ Developed and submitted triennial aerial work platform training curriculum and records.</li><li>✓ Procured trainings for current and future Structural Inspectors and submitted training records and the latest National Highway Institute (NHI) curriculum.</li><li>✓ Confirmed there is evidence of the above actionable items.</li></ul>					
WMSC-21-C0078	II	May 2022	Closed		100%
<p>Metrorail must conduct an assessment of the workload, job responsibilities, training and territory, work assignments and travel time for structures inspection supervisor, to determine whether any changes to work assignment strategies or additional positions are required to implement and sustain this increase in field time. Metrorail must act on the conclusion of this assessment.</p> <ul style="list-style-type: none"><li>✓ Conducted and submitted an assessment of the workload, job responsibilities, training and territory, work assignments, and travel time for structures inspection supervisors.</li><li>✓ Submitted a document summarizing the outcome of the assessment.</li><li>✓ Submitted a document summarizing the implementation strategy and evidence of implementation, as necessary.</li><li>✓ Confirmed there is evidence of the above actionable items.</li></ul>					
WMSC-21-C0079	II	October 2021	Closed		100%
<p>Metrorail must establish a documentation pathway for an engineer’s observation to be added directly into inspection and maintenance records systems such as AssetWise (InspectTech), Maximo or Optram.</p> <ul style="list-style-type: none"><li>✓ Provided access to InspecTech to appropriate engineering personnel who participate in the review of inspection reports and perform field inspections and upload reports. And submitted list of engineering personnel that have access to InspecTech.</li><li>✓ Developed and submitted a documented process for engineering to upload inspection reports to InspecTech.</li><li>✓ Formally adopted and distributed the inspection report ensuring that engineering reports/inspections are documented and submitted a document indicating that the appropriate engineering personnel are familiar with the inspection report process.</li><li>✓ Confirmed there was evidence of the above actionable items.</li></ul>					
WMSC-21-C0080	II	July 2022	Closed		100%
<p>Metrorail must assess technology or other needs and identify any changes that would improve workflow to ensure that all documents are legible, up to date and accessible, and that all identified issues are communicated to each relevant department and addressed in a timely manner.</p> <ul style="list-style-type: none"><li>✓ Developed a documented process that will define the file naming convention to be used for as-built drawings and implemented in all future design and construction projects.</li><li>✓ Developed a live training session and submitted training records.</li><li>✓ Conducted and submitted the results of the enterprise asset management feasibility assessment.</li><li>✓ Developed and submitted a process to review and assess existing documents for legibility.</li><li>✓ Developed and submitted a form that captures Element Level inspections.</li><li>✓ Addressed the needed adjustments and submitted documents exhibiting the expected end-result of implementations.</li><li>✓ Confirmed there is evidence of the above actionable items.</li></ul>					
WMSC-21-C0081	II	July 2022	Closed		100%
<p>Metrorail must require and review proof of credentials, qualifications and training for contractors used to inspect or repair elevated structures.</p> <ul style="list-style-type: none"><li>✓ Assessed contractor's credential qualification and training for existing task orders related to structural work.</li><li>✓ Required credentials, qualifications, and training for contractors when inspecting or repairing elevated structures and submitted newly issued task orders.</li><li>✓ Staff conducted quarterly checks to verify credentials and submitted three quarters worth of reports.</li><li>✓ Confirmed there is evidence of the above actionable items.</li></ul>					

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WMSC-21-C0082	II	July 2021	Closed	<div></div>	100%
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<p>Metrorail must create and implement a written procedure requiring ENGA personnel to sample structural inspection reports.</p> <ul style="list-style-type: none"><li>✓ Created new job description and added a position for a Structures Inspection &amp; Maintenance Engineering Program Manager.</li><li>✓ Coordinated with Structures and Engineering to create a Spot Checks Procedure and Checklist and submitted the Spot Checks Procedure and Checklist.</li><li>✓ Submitted the task order scope of work and relevant parts of the proposal of the successful proposer.</li><li>✓ Submitted the issued Notice to Proceed for the task.</li><li>✓ Confirmed there is evidence of the above actionable items.</li></ul>					
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WMSC-21-C0083 R2	IV	November 2025	Open	<div></div>	57%
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<p>Metrorail should develop and implement a plan as part of its capital program to incorporate the replacement of these steel rocker bearings with elastomeric or spherical bearings into other capital projects on these bridges. Metrorail could also implement an appropriate interim mitigation such as installing a redundant cable support system to reduce the risk of catastrophic failure.</p> <ul style="list-style-type: none"><li>✓ Submitted the Notice to Proceed (NTP) and evidence of Cheverly rocker bearing replacement.</li><li>● Submit the bridge retrofit project implementation plan.</li><li>✓ Submitted the first quarterly retrofit project implementation progress report.</li><li>✓ Submitted the second quarterly retrofit project implementation progress report.</li><li>✓ Submitted the third quarterly retrofit project implementation progress report.</li><li>● Submit the final quarterly progress report confirming retrofit project completion.</li><li>● Confirm there is evidence of the above actionable items.</li></ul>					
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Roadway Maintenance Machine Inspection, Maintenance and Training				<div></div>	100%
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WMSC-21-C0084	II	June 2024	Closed	<div></div>	100%
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<p>Metrorail must implement a unified specific safety certification procedure and develop and implement appropriate training to ensure that each Metrorail department understands and implements safety certification requirements so that safety is considered from start to finish for each relevant project. Metrorail must establish and demonstrate that it is following effective safety certification and acceptance procedures and specific processes for all RMMs from the specification or design phase through acceptance and use. For those RMMs that did not go through the safety certification process required at the time of purchase or delivery, including those identified in the 2016 TOC Audit, Metrorail must complete an Operational Hazard Analysis (OHA) on each vehicle to identify hazards, and then, following a safety review process, must implement any identified mitigations for these hazards.</p> <ul style="list-style-type: none"><li>✓ Developed and submitted Rail Maintenance Machines (RMM) acceptance procedure.</li><li>✓ Submitted three quarters worth of safety certification process implementation.</li><li>✓ Updated and submitted the Safety and Security Certification Program Plan (SSCPP) process for all RMMs.</li><li>✓ Conducted Occupational Hazard Analysis for RMM that did not go through the safety certification process and implemented any identified mitigations.</li><li>✓ Developed and implemented SSCPP training for contracting officers and submitted training records as evidence of completion.</li><li>✓ Confirmed there is evidence of the above actionable items.</li></ul>					
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WMSC-21-C0085	II	March 2022	Closed	<div></div>	100%
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<p>Metrorail must ensure that adequate processes are in place through a unified, specific safety certification procedure across engineering, safety, procurement and any other appropriate departments to ensure that safety certification or approval requirements are properly completed for each engineering modification or other change, including SAFE's full participation in the approval process for modifications. This must include Metrorail ensuring that SAFE identifies and is adequately notified of engineering changes to RMMs and that SAFE reviews the changes prior to implementation.</p> <ul style="list-style-type: none"><li>✓ Updated and submitted the Equipment Configuration Change (ECC) procedure and provided three quarters of ECCs as evidence.</li><li>✓ Confirmed there was evidence of the above actionable items.</li></ul>					
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WMSC-21-C0086	II	December 2021	Closed	<div></div>	100%
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<p>Metrorail must follow its documentation procedures and processes for RMM modifications, including required reviews by all appropriate departments of each modification and training and instructions to employees. Metrorail must also ensure that adequate processes and a unified, specific procedure are in place across engineering, safety, procurement and any other appropriate departments to ensure that safety certification or safety approval requirements are properly completed for each engineering modification or other change. This must include using only approved processes for modifications and ceasing the use of service bulletins to implement modifications.</p> <ul style="list-style-type: none"><li>✓ Updated and submitted the Equipment Configuration Change (ECC) procedure.</li><li>✓ Held a stand down to announce the cessation of Service Bulletins (SB), submitted signed acknowledgement of the change, and provided three months of completed ECCs and SBs.</li><li>✓ Confirmed there was evidence of the above actionable items.</li></ul>					
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WMSC-21-C0087	III	July 2022	Closed	<div></div>	100%
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<p>Metrorail must establish a robust, coordinated reliability tracking and assessment process for RMMs to proactively identify and mitigate safety risks. As part of this process, WMATA must determine what improvements are required for data collection, data recording, analysis or other systems and implement the identified improvements.</p> <ul style="list-style-type: none"><li>✓ Added Reliability Engineer position.</li><li>✓ Developed a process establishing requirements for data collection, recording, and analysis.</li><li>✓ Developed and distributed reliability reports to relevant departments.</li><li>✓ Met monthly to review reports and assess failure trends.</li><li>✓ Confirmed there is evidence of the above actionable items.</li></ul>					
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WMSC-21-C0088	III	October 2022	Closed		100%
<p>Metrorail must institute sufficient, specific, specialized certification training and standards to operate each type of RMM and must provide that training and certification to each equipment operator for the type(s) of RMM that operator uses. All aspects of this training, including the required classroom, seat-time, OJT, and vehicle-type specific certification status of each equipment operator, must be documented.</p> <ul style="list-style-type: none"><li>✓ Conducted and submitted a job analysis.</li><li>✓ Developed and submitted a schedule of specialty equipment training.</li><li>✓ Developed a training tracking system and submitted two quarters worth of reports.</li><li>✓ Confirmed there is evidence of the above actionable items.</li></ul>					
WMSC-21-C0089	III	January 2022	Closed		100%
<p>Metrorail must require sufficient, specific, specialized, standardized refresher training and recertification on each type of equipment at appropriate intervals, which may be more frequent if operators have not regularly used a specific type of equipment, and develop a process to ensure equipment operators have frequent exposure to any equipment they may use. All aspects of this training and recertification must be documented.</p> <ul style="list-style-type: none"><li>✓ Developed a training matrix.</li><li>✓ Developed a training schedule.</li><li>✓ Confirmed there was evidence of the above actionable items.</li></ul>					
WMSC-21-C0090	III	October 2022	Closed		100%
<p>Metrorail must establish a process requiring regular supervisory checks of certifications, which may include checks during the pick process and automatic notifications of expiring certifications. Vehicle-type specific certification status of each individual who may operate, at a minimum, the most complex equipment such as the TGV, continuous welded rail train, heavy-duty (currently METRO 4x4) tamper, ballast regulator and vacuum train must be available in some way in the field to supervisors, so that they may provide appropriate oversight and control of personnel.</p> <ul style="list-style-type: none"><li>✓ Developed and distributed equipment operator certification report.</li><li>✓ Confirmed there is evidence of the above actionable items.</li></ul>					
WMSC-21-C0091	III	February 2023	Closed		100%
<p>Metrorail must conduct an analysis to determine the necessary number of fully trained and certified operators on each type of RMM for safe operations and continued safety-related maintenance or construction work. The analysis must also determine, for at least the most complex equipment (Track Geometry Vehicle, Continuous Welded Rail Train, heavy-duty tamper, ballast regulator, vacuum train), the seat time each must have on an ongoing basis to remain competent on each piece of equipment. Based on that analysis, Metrorail must train, certify, and maintain at least the required number of operators for each piece of equipment and must maintain and monitor operator certification expiration for each piece of equipment to ensure that the minimum number of trained operators continues to be met.</p> <ul style="list-style-type: none"><li>✓ Conducted and submitted a job analysis.</li><li>✓ Developed a training syllabus and matrix for equipment operator training.</li><li>✓ Developed a training schedule.</li><li>✓ Developed and distributed equipment operator certification report.</li><li>✓ Confirmed there is evidence of the above actionable items.</li></ul>					
WMSC-21-C0092	II	May 2021	Closed		100%
<p>Metrorail must establish a sufficient procedure for the inspection of non-WMATA RMMs before they are used on Metrorail property. Metrorail also must identify any other draft procedures that are being relied upon and replace those with procedures that are fully vetted and approved by all appropriate departments.</p> <ul style="list-style-type: none"><li>✓ Submitted the Inspection of Contractor Rail Vehicles for Roadway Usage Operation Administrative Procedure.</li><li>✓ Confirmed there was evidence of the above actionable items.</li></ul>					
WMSC-21-C0093	III	July 2021	Closed		100%
<p>All employees responsible for the inspection and maintenance of systems and components of hi-rail vehicles must be trained to have a holistic understanding of the potential effect of maintenance work or lack thereof on how the vehicle operates both on rubber tires and on the rails. For example, the employees must understand the importance of rubber tire maintenance and the potential relationship of that maintenance to hi-rail derailment risk.</p> <ul style="list-style-type: none"><li>✓ Developed and submitted training curriculum for heavy truck and equipment mechanic personnel and non-revenue frontline managers.</li><li>✓ Submitted training records for all active personnel.</li><li>✓ Confirmed there was evidence of the above actionable items.</li></ul>					
WMSC-21-C0094	III	February 2022	Closed		100%
<p>Metrorail must evaluate engineering and maintenance policies or procedures that relate to RMMs in departments including CMNT, CENV and CTEM and update them as needed to provide for improved safety and adequate reviews.</p> <ul style="list-style-type: none"><li>✓ Submitted the list of reviewed documents related to Rail Maintenance Machine (RMM).</li><li>✓ Updated and submitted the completed documents related to RMM.</li><li>✓ Confirmed there was evidence of the above actionable items.</li></ul>					
WMSC-21-C0095	III	July 2022	Closed		100%
<p>Metrorail must establish and document completion of vehicle training requirements for CTEM staff and must identify and provide adequate maintenance and movement training on each vehicle that a mechanic may work on, including any appropriate initial, refresher and recurring training on each type of RMM a mechanic works with.</p> <ul style="list-style-type: none"><li>✓ Developed and submitted a training matrix.</li><li>✓ Updated the maintenance and equipment movement curriculum.</li><li>✓ Developed on-the-job training procedure.</li><li>✓ Developed a training schedule.</li><li>✓ Confirmed there is evidence of the above actionable items.</li></ul>					

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WMSC-21-C0096	III	September 2021	Closed	<div></div>	100%
<p>Metrorail must provide a way for operators, supervisors and inspectors in the field to readily identify the inspection and maintenance status of an RMM and any restrictions on the use of that RMM, whether owned by WMATA or a contractor.</p> <ul style="list-style-type: none"><li>√ Distributed daily Car Track Equipment Maintenance (CTEM) status report.</li><li>√ Distributed CTEM scheduled maintenance report.</li><li>√ Updated pre-shift meeting form to include status report review.</li><li>√ Updated contractor rail vehicle inspection procedure.</li><li>√ Confirmed there was evidence of the above actionable items.</li></ul>					
WMSC-21-C0097	II	October 2021	Closed	<div></div>	100%
<p>Metrorail must establish a robust, coordinated reliability tracking and assessment process for RMMs to proactively identify and mitigate safety risks. As part of this process, WMATA must determine what improvements are required for data collection, data recording, analysis or other systems and implement the identified improvements.</p> <ul style="list-style-type: none"><li>√ Rescinded service bulletin.</li><li>√ Issued a staff notice on the rescinded service bulletin and procedural updates.</li><li>√ Updated procedures.</li><li>√ Confirmed there was evidence of the above actionable items.</li></ul>					
WMSC-21-C0098	II	May 2025	Closed	<div></div>	100%
<p>Metrorail could consult with original equipment manufacturers to identify the acceptable tolerances for each measurement, with particular consideration given to the available or necessary tools that employees use to achieve these requirements, then update each instruction or manual.</p> <ul style="list-style-type: none"><li>√ Developed and submitted a standard language to be added to the Scope of Work for future Rail Maintenance Machine purchases.</li><li>√ Updated manuals to include tolerances and submitted a sample of revised documents.</li><li>√ Confirmed there is evidence of the above actionable items.</li></ul>					

Safety Deficiency of Intrusion Detection Warning (IDW) System	<div><div></div><div></div></div> <div>0%50%100%</div>	60%
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WMSC-21-C0099	II	April 2028	Open	<div></div>	60%
<p>As outlined in the WMSC Program Standard, the WMSC requires this work to be developed and implemented as a Corrective Action Plan (CAP) addressing:</p> <ol style="list-style-type: none"><li>1. The hazard and deficiencies between Union Station and Rhode Island Ave;</li><li>2. Identification of all areas in the Metrorail system, both mainline and in yards, where WMATA design criteria, safety policies or procedures require IDW systems, as well as any other locations where Metrorail determines Intrusion Detection Warning (IDW) or equivalent protection systems are required for safe operations; and,</li><li>3. Development and implementation of plans to ensure all locations identified as requiring an IDW or equivalent protection system have those systems installed and operational.</li></ol> <ul style="list-style-type: none"><li>√ Submitted an executed task order for a systemwide assessment of areas where IDW or equivalent is required.</li><li>√ Submitted interim assessment report.</li><li>√ Developed and implemented an interim make-safe solution.</li><li>√ Conducted and submitted an intrusion risk assessment.</li><li>√ Developed a project plan.</li><li>√ WMSC and WMATA assessed the implementation timeline.</li><li>● Implement the project plan and provide semi-annual updates.</li><li>● Submit a summary completion report.</li><li>● Confirm there is evidence of the above actionable items.</li></ul>					

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Radio Communications Gaps in Rail Yards	<div><div></div></div> <div>0%50%100%</div>	73%
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WMSC-21-C0100	II	October 2026	Open	<div><div></div></div>	73%
<p>Metrorail must identify and resolve radio communications gaps in rail yards so that radio communication fully functions as intended within, to and from all yard and shop spaces where there is or may be rail vehicle traffic and must actively record and resolve additional reported radio communications gaps, going forward. Until upgrades are complete, Metrorail must determine and implement interim steps to mitigate risk such as creating and maintaining an up-to-date map of areas with poor or no radio communication and specifying alternate means of communication or safety protections in those areas.</p> <ul style="list-style-type: none"><li>√ Developed and submitted documented process for testing.</li><li>√ Performed grid-by-grid coverage testing and submitted monthly status reports.</li><li>√ Created and submitted an assessment report.</li><li>√ Developed and submitted a project plan.</li><li>√ WMSC and WMATA implemented assessment.</li><li>√ Implemented the project plan and provided the first semi-annual update.</li><li>√ Provided the second semi-annual update.</li><li>√ Provided the third semi-annual update.</li><li>√ Provided the fourth semi-annual update.</li><li>√ Provided the fifth semi-annual update.</li><li>√ Provided the sixth semi-annual update.</li><li>● Provide the seventh semi-annual update.</li><li>● Provide the eighth semi-annual update.</li><li>● Submit a summary completion report.</li><li>● Confirm there is evidence of the above actionable items.</li></ul>					

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Non-Signalized Areas in Rail Yards	<div><div></div><div>0%50%100%</div></div>	100%
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WMSC-21-C0101	II	March 2024	Closed	<div><div></div><div>0%50%100%</div></div>	100%
<p>Metrorail must clearly specify safety-based rules and procedures governing vehicle and switch movement in dark (non-signalized) territory, including all aspects of coordination, cooperation, communication and movement. Metrorail must fully train employees on these rules and procedures. This includes safety procedures related to communication of switch position and switch movement requests and actions, vehicle location and movement requests and actions, absolute or other block requirements, personnel location and movement requests and actions, vehicle storage safety rules, and the responsibilities of interlocking operators to have full knowledge, awareness and control of all activities in the yard, whether on signalized or unsignalized territory.</p> <ul style="list-style-type: none"><li>√ Developed and submitted a Safety Standard that includes a definition of non-signalized and non-electrified areas in rail yards.</li><li>√ Submitted Operating Rulebook No. 8.6.</li><li>√ Submitted staff communication.</li><li>√ Submitted training curricula.</li><li>√ Confirmed there is evidence of the above actionable items.</li></ul>					

Automatic Train Control, Signals and Signal Machines	<div><div></div><div>0%50%100%</div></div>	100%
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WMSC-21-C0102	II	September 2022	Closed	<div><div></div><div>0%50%100%</div></div>	100%
<p>Metrorail must implement safety promotion practices to build trust and a strong safety culture through positive and responsive safety communications and a collaborative process with employees to help identify safety issues and effective means to address those issues to ensure that work as performed comports with work as required. This could begin with safety stand downs and other training that emphasize not only rules and familiarization with any appropriate parts of the SSPP/PTASP, but also the safety reasons and risks behind those rules. Daily toolbox or other regular meetings or additional training must help ensure that employees understand safety risks and how safety measures such as personal protective equipment and RWP protocols help mitigate those risks.</p> <ul style="list-style-type: none"><li>√ Developed and submitted safety promotions material.</li><li>√ Developed and submitted safety training.</li><li>√ Conducted safety training sessions.</li><li>√ Submitted training records.</li><li>√ Developed and submitted Safety Management System promotions strategy.</li><li>√ Confirmed there is evidence of the above actionable items.</li></ul>					
WMSC-21-C0103	II	October 2022	Closed	<div><div></div><div>0%50%100%</div></div>	100%
<p>Metrorail must comply with its safety certification procedures, which includes the development and use of a comprehensive CIL and CEL based on complete and updated hazard analyses, detailed review by safety working group(s) including all relevant departments, a final Safety and Security Verification Report (SSCVR) and other aspects for projects that, like ATO, fall into Category 1 safety certification.</p> <ul style="list-style-type: none"><li>√ Developed and submitted a roles and responsibilities matrix.</li><li>√ Submitted six months’ worth of safety certification working group meeting records.</li><li>√ Revised and submitted the Safety Security Certification Plan.</li><li>√ Confirmed there is evidence of the above actionable items.</li></ul>					
WMSC-21-C0104	II	November 2022	Closed	<div><div></div><div>0%50%100%</div></div>	100%
<p>Metrorail must conduct its required inspections, preventive maintenance and testing, and must demonstrate that this work will continue to be conducted long-term. Metrorail must review and update manuals to ensure the manuals are up-to-date and accurate, must ensure that manual reviews are scheduled, must ensure that the manuals are reviewed and updated as scheduled, and must ensure that information about each update is clearly communicated to ATC personnel.</p> <ul style="list-style-type: none"><li>√ Updated maintenance manuals.</li><li>√ Developed and issued an Engineering Information Bulletin.</li><li>√ Submitted maintenance manual.</li><li>√ Submitted a year’s worth of quarterly AC Vane Relay Preventive Maintenance Instruction reports.</li><li>√ Submitted a year’s worth of quarterly Preventive Maintenance Instruction reports.</li><li>√ Confirmed there is evidence of the above actionable items.</li></ul>					
WMSC-21-C0105	III	July 2022	Closed	<div><div></div><div>0%50%100%</div></div>	100%
<p>Metrorail must develop, communicate, implement, and monitor compliance with safety-based rules and procedures governing the use of non-WMATA tools on the roadway, including allowable and prohibited tool lists that are updated regularly and a sufficient approval or rejection process. For each tool, Metrorail must include specifications, process and timelines for tool inspection, calibration (if necessary) and certification. Metrorail must also ensure employees and contractors understand the dangers of using unapproved tools and must institute regular compliance checks to ensure that only approved tools are in use and that tools are properly inspected daily.</p> <ul style="list-style-type: none"><li>√ Updated and submitted the Maintenance Control Policy (MCP).</li><li>√ Conducted compliance training and submitted training records.</li><li>√ Submitted six months’ worth of quality control checks.</li><li>√ Confirmed there is evidence of the above actionable items.</li></ul>					

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

WMSC-21-C0106	II	July 2022	Closed		100%
<p>Metrorail must develop a safety-based procedure that specifies which, if any, PMIs may or may not be bypassed, the circumstances that must occur in order to safely bypass a PMI, how the justification for the bypass must be documented, the frequency with which a specific PMI may be bypassed, who is responsible for analyzing and reviewing those bypass logs, and what corrective action is required if a PMI is bypassed.</p> <ul style="list-style-type: none"><li>✓ Developed and submitted a Preventive Maintenance Instruction (PMI) deferral procedure.</li><li>✓ Submitted first quarterly report.</li><li>✓ Submitted second quarterly report.</li><li>✓ Submitted third quarterly report.</li><li>✓ Confirmed there is evidence of the above actionable items.</li></ul>					
WMSC-21-C0107	IV	January 2023	Closed		100%
<p>Metrorail must develop, implement, and document a formal process for engineering modifications or manual change requests initiated by departments other than ATCE. The process may be documented in a location such as the ATC-4000 manual.</p> <ul style="list-style-type: none"><li>✓ Developed and submitted a process for requesting manual updates.</li><li>✓ Revised and submitted the updated manuals.</li><li>✓ Submitted four quarters' worth of change request logs.</li><li>✓ Confirmed there is evidence of the above actionable items.</li></ul>					
WMSC-21-C0108	IV	November 2022	Closed		100%
<p>Metrorail must provide specific expectations and requirements for the responsibilities of, and actual working relationships between, each department, and must document meetings with appropriate meeting agendas and with follow-up Actionable Items that are assigned to individuals or departments. Metrorail must also develop a method to share available training or technical reference materials among appropriate departments such as ATCE and ATCM and could also include opportunities for ATCE to attend or observe ATCM training.</p> <ul style="list-style-type: none"><li>✓ Developed and submitted a Memorandum of Understanding (MOU).</li><li>✓ Established a technical reference library.</li><li>✓ Submitted a year's worth of quarterly cross-departmental meeting action logs.</li><li>✓ Confirmed there is evidence of the above actionable items.</li></ul>					
WMSC-21-C0109	III	October 2022	Closed		100%
<p>Metrorail must develop and implement a formal, standardized process, including specific supporting documentation requirements, to request and justify the need for ATC capital renewal projects and that then evaluates and, as appropriate, leads to implementation of these projects. Metrorail must also create documented requirements for coordination among departments such as SSRP, ATCM and ATCE, and must document meetings involving SSRP, ATCM, ATCE and Strategy, Planning and Program Management (SPPM) with identified follow-up Actionable Items that are assigned to individuals or departments.</p> <ul style="list-style-type: none"><li>✓ Developed and submitted an organizational chart and roles and responsibilities matrix.</li><li>✓ Developed and submitted a standardized process.</li><li>✓ Submitted documentation demonstrating use of the process.</li><li>✓ Confirmed there is evidence of the above actionable items.</li></ul>					
WMSC-21-C0110	III	February 2023	Closed		100%
<p>WMATA must ensure that SAFE, departments responsible for procurement, and departments responsible for installation, maintenance, operations, engineering and training properly coordinate from the earliest stages of project development to provide for and include adequate review, approval, training and any parts or other features required to maintain the project and related systems in a state of good repair.</p> <ul style="list-style-type: none"><li>✓ Developed and submitted a documented process.</li><li>✓ Submitted two bi-annual compliance reports.</li><li>✓ Confirmed there is evidence of the above actionable items.</li></ul>					
WMSC-21-C0111	II	January 2024	Closed		100%
<p>Metrorail must develop inventories of parts and materials and their availability and lead times or unavailability and identify those parts that require immediate or near-term action to procure in order to maintain a state of good repair. Metrorail departments must cooperatively develop and implement midterm and long-term plans to replace equipment nearing or exceeding its useful life to maintain a state of good repair.</p> <ul style="list-style-type: none"><li>✓ Conducted an asset and spare parts analysis.</li><li>✓ Developed and submitted a capital program inventory control assessment task order.</li><li>✓ Conducted capital program inventory assessment.</li><li>✓ Developed and submitted a transitional inventory management procedure.</li><li>✓ Confirmed there is evidence of the above actionable items.</li></ul>					

CAP Number	Risk Assessment	Closure Submission Date**	CAP Status	Actionable Item Status
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WMSC-21-C0112	II	December 2022	Closed		100%
<p>Metrorail must specify, implement and document training requirements that must be met prior to work on specific equipment in the field, and must provide basic and ongoing higher-level training to ensure that employees have the required level of expertise for their positions. Metrorail must utilize its available or future technology, such as ELM and Maximo, to ensure that these requirements are followed. Metrorail must establish a process to set and document training requirements and obtain or create appropriate training for each new type of equipment.</p> <ul style="list-style-type: none"><li>√ Submitted On-the-Job Training Instruction Procedure Guidelines.</li><li>√ Developed a training matrix.</li><li>√ Developed a training schedule.</li><li>√ Submitted three months’ worth of meeting notes.</li><li>√ Submitted training records.</li><li>√ Confirmed there is evidence of the above actionable items.</li></ul>					
WMSC-21-C0113	III	September 2023	Closed		100%
<p>Metrorail must identify technical skills and experience required, and must develop, finalize, implement and continuously improve an effective recruitment and hiring process. These actions must identify, attract and retain staff with the necessary background, technical knowledge, skills and experience (to do the job or to understand and succeed based on additional technical training that Metrorail may develop or obtain and provide). Metrorail must also identify and provide any training necessary for current employees to gain the higher level of knowledge and understanding necessary to fill the gaps left by those who have left the departments.</p> <ul style="list-style-type: none"><li>√ Submitted revised mechanic job description.</li><li>√ Developed and implemented the apprenticeship program.</li><li>√ Submitted the recruitment strategy.</li><li>√ Provided three months of candidate review reports.</li><li>√ Developed a training matrix.</li><li>√ Developed a training schedule.</li><li>√ Submitted training records.</li><li>√ Submitted apprenticeship program graduation report.</li><li>√ Confirmed there is evidence of the above actionable items.</li></ul>					
WMSC-21-C0114	IV	April 2022	Closed		100%
<p>Metrorail must establish and communicate minimum standards for Maximo entries to ensure that crews do not need to restart troubleshooting from scratch, provide refresher training to employees on their required duties, and ensure that all tasks, reviews and supervisory oversight are properly completed and that forms are filled out legibly and completely to accurately reflect work that was conducted.</p> <ul style="list-style-type: none"><li>√ Submitted Maximo work order training records.</li><li>√ Developed and submitted a documented process for minimum work order data entry standards.</li><li>√ Submitted three months’ worth of work order review meeting notes.</li><li>√ Submitted three months’ worth of supervisory checks.</li><li>√ Confirmed there was evidence of the above actionable items.</li></ul>					
WMSC-21-C0115	IV	April 2023	Closed		100%
<p>Metrorail must ensure that all written procedures, such as those governing cranking and clamping, match the direction given to ATC personnel and that the procedures go through the proper safety review and approval process.</p> <ul style="list-style-type: none"><li>√ Uploaded and submitted a list of procedural documents.</li><li>√ Reviewed and submitted a list of procedural documents requiring revision.</li><li>√ Reviewed and revised Procedure 35, Hand Cranking, Blocking, and Clamping of Switches.</li><li>√ Submitted updated procedural documents.</li><li>√ Confirmed there is evidence of the above actionable items.</li></ul>					
WMSC-21-C0116	II	August 2021	Closed		100%
<p>ATCE, ATCM, SAFE and other relevant departments must identify the safest way to conduct this work, and what (if any) work can be done while connected to the energized third rail. Based on this review, Metrorail must update rules, procedures or SOPs to eliminate conflicts and provide training on the updated procedures.</p> <ul style="list-style-type: none"><li>√ Modified and submitted the Third Rail Power Outages Procedure.</li><li>√ Confirmed there was evidence of the above actionable items.</li></ul>					
WMSC-21-C0117	III	April 2022	Closed		100%
<p>Metrorail must develop and implement software standards that include all appropriate and required safety considerations, safety certifications and approvals for each change, and the required processes to ensure that the reliability of the system is reviewed and that Metrorail identifies and considers each future update developed by system manufacturers.</p> <ul style="list-style-type: none"><li>√ Developed and submitted an engineering bulletin outlining the current software standards.</li><li>√ Revised and submitted the updated manuals.</li><li>√ Confirmed there is evidence of the above actionable items.</li></ul>					

Risk Assessment Category*			
Description	High	Medium	Low
CAP Totals	Submitted: 8   Open: 1	Submitted: 22   Open: 4	Submitted: 8   Open: 2

\* As defined by WMATA's Agency Safety Plan

CAP Number	Risk Assessment	Closure Submission Date**	CAP Status	Actionable Item Status
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Safety Certification	<div><div></div><div>0%50%100%</div></div>	100%
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WMSC-21-C0118		March 2024	Closed	<div><div></div><div>0%50%100%</div></div>	100%
<p>Metrorail must clearly communicate requirements of, and take active, recurring steps to ensure compliance with, its safety certification procedures and processes from the initiation of a project through project completion, activation, final verification and acceptance. This includes the involvement and awareness of the Safety Department when each project is being proposed, developed, funded and implemented, which requires involvement when any related contracts are being developed, when actual work is underway, and when work is completed. Metrorail employees, such as department leaders, project managers, submittal reviewers, and procurement staff, who are involved in the development and implementation of contracts and projects that may require safety certification must be trained on safety certification processes and requirements. As specified in the Safety and Security Certification Program Plan (SSCPP), for many projects, this requires beginning the safety certification process at the beginning of a project, leading to the development and use of a Comprehensive Certifiable Items List (CIL) and Certifiable Elements List (CEL) based on complete and regularly update hazard analyses, detailed review by safety working group(s) including all relevant departments and subject matter experts, and all required final sign offs prior to activation. Metrorail must develop and implement a process to ensure that all relevant subject matter experts review and approve submittals or test reports and documentation such as Temporary Use Notices (TUNs) prior to the activation of the asset or system, and to ensure that required subject matter expert approvals are not bypassed. As part of a self-assessment to identify and resolve specific gaps in the safety certification process, Metrorail must also assess and document whether this process has been complied with for each project put into service (with or without a TUN or certificate of compliance) in 2020 and 2021. Metrorail must specify mitigations and corrective actions for each project that did not comply with this process to address the hazards and risks introduced due to a lack of compliance with the process and to address any other hazards identified during the assessment of each project.</p> <ul style="list-style-type: none"><li>✓ Completed and submitted a current state gap analysis of projects placed into service in 2020 and 2021.</li><li>✓ Reviewed and submitted SSCPP project evaluation criteria.</li><li>✓ Acquired WMSC concurrence on evaluation criteria.</li><li>✓ Issued a Safety Bulletin (SB) outlining the update to the SSCPP evaluation criteria.</li><li>✓ Determined and submitted a list of mitigations and corrective actions for projects placed into service in 2020 and 2021.</li><li>✓ Submitted specific mitigations and corrective actions for each project.</li><li>✓ Developed and submitted a process for incorporating safety certification as part of project planning.</li><li>✓ Updated and submitted the SSCPP.</li><li>✓ Updated and submitted the Project Implementation Manual.</li><li>✓ Updated and submitted the Project Development Manual.</li><li>✓ Developed and submitted a documented review process.</li><li>✓ Developed and submitted a training curriculum and training rosters for relevant personnel.</li><li>✓ Completed and submitted a comprehensive analysis to include additional projects placed into service and any corresponding mitigations and corrective actions.</li><li>✓ Completed and submitted a compliance assessment sampling 30 projects.</li><li>✓ Completed and submitted a follow up assessment to complete any open mitigations and corrective actions.</li><li>✓ Confirmed there is evidence of the above actionable items.</li></ul>					

CAP Number	Risk Assessment	Closure Submission Date**	CAP Status	Actionable Item Status
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Fitness For Duty Programs	<div><div></div><div>0%50%100%</div></div>	94%
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WMSC-21-C0119		December 2022	Closed	<div><div></div><div>0%50%100%</div></div>	100%
<p>Metrorail must communicate, track and conduct physicals as required by its policies. After physicals are conducted, Metrorail must document and track electronically when the next physical is due and must ensure that only personnel who meet these requirements are working in positions covered by the physical requirements.</p> <ul style="list-style-type: none"><li>√ Compiled and submitted the list of covered employees requiring a physical.</li><li>√ Developed an electronic tracking system and submitted quarterly reports of physical recertification.</li><li>√ Submitted the first monthly covered employees physical report.</li><li>√ Updated and submitted the Clinical Services documented process.</li><li>√ Confirmed there is evidence of the above actionable items.</li></ul>					
WMSC-21-C0120		January 2026	Open	<div><div></div><div>0%50%100%</div></div>	67%
<p>Metrorail must comply with its fatigue management policies. OHAW, SAFE and other departments must share information related to fatigue policy implementation and trends in order to improve safety.</p> <ul style="list-style-type: none"><li>√ Assessed prior implementation of the Fatigue Risk Management Policy/Instruction 10.6, to identify alternatives of implementation.</li><li>√ Updated and submitted the Fatigue Risk Management Policy/Instruction 10.6 document.</li><li>√ Submitted documentation assessing alternatives for implementation of the policy.</li><li>√ Submitted documentation demonstrating the review and negotiation of labor contracts.</li><li>● Submit a report of the compliance status of the data driven solution.</li><li>● Confirm there is evidence of the above actionable items.</li></ul>					
WMSC-21-C0121		October 2024	Closed	<div><div></div><div>0%50%100%</div></div>	100%
<p>Metrorail must comply with its fatigue management policies. OHAW, SAFE and other departments must share information related to fatigue policy implementation and trends in order to improve safety.</p> <ul style="list-style-type: none"><li>√ Labor reviewed and assessed the prior implementation of Policy/Instruction 10.6/xx , Fatigue Risk Management, and submitted documentation demonstrating review.</li><li>√ SAFE updated Policy/Instruction 10.6/xx Fatigue Risk Management to include the requirements pertaining the seventh day of work and hours of service constraints for “covered employees”.</li><li>√ ITSS assessed the feasibility of a data driven compliance monitoring solution.</li><li>√ ITSS developed a sample report from the Compliance Monitoring System.</li><li>√ Submitted the first three months of compliance monitoring reports.</li><li>√ Submitted the second three months of compliance monitoring reports.</li><li>√ As part of the bargaining agreement negotiations, Labor included a proposal to enable the full implementation of Policy/Instruction 10.6/xx., and submitted documentation demonstrating the review and negotiation of labor contracts.</li><li>√ Confirmed there is reasonable evidence to support completion of actionable items and performance measures.</li></ul>					
WMSC-21-C0122		August 2022	Closed	<div><div></div><div>0%50%100%</div></div>	100%
<p>Metrorail must implement a process that ensures that new employees are not permitted to act in a safety sensitive position until all required medical evaluations are completed and their safety sensitive medical card has been issued.</p> <ul style="list-style-type: none"><li>√ Updated and submitted the Clinical Services documented process.</li><li>√ Tracked and submitted quarterly reports of physicals and safety sensitive medical cards.</li><li>√ Confirmed there is evidence of the above actionable items.</li></ul>					
WMSC-21-C0123		December 2022	Closed	<div><div></div><div>0%50%100%</div></div>	100%
<p>Metrorail must update its job descriptions to be full and complete, including all current medical and physical requirements to carry out the job. Metrorail must develop and implement a process for this and all future updates that ensures medical experts in departments such as Occupational Health and Wellness (OHAW) are consulted each time job descriptions for positions covered by WMATA's fitness for duty and related requirements are reviewed and updated.</p> <ul style="list-style-type: none"><li>√ Revised and submitted a procedure to include the periodic review of job descriptions within the department and related physical and medical requirements.</li><li>√ Updated and submitted job descriptions for covered employees.</li><li>√ Confirmed there is evidence of the above actionable items.</li></ul>					
WMSC-21-C0124		December 2022	Closed	<div><div></div><div>0%50%100%</div></div>	100%
<p>Metrorail must document and implement a step by step process to fully document the reason(s) why any test is not completed and must document when a delayed test has been conducted. Metrorail must assess any trends in tests that are not completed and address the root causes of those issues in order to improve compliance.</p> <ul style="list-style-type: none"><li>√ Developed and submitted a documented process to ensure all scheduled tests are accounted for.</li><li>√ Reviewed and assessed any trends in tests that are not completed and submitted two quarter’s worth of data analysis.</li><li>√ Confirmed there is evidence of the above actionable items.</li></ul>					
WMSC-21-C0125		November 2022	Closed	<div><div></div><div>0%50%100%</div></div>	100%
<p>Metrorail must document and disseminate the criteria for post-incident testing, which may include incorporating these new criteria into decision checklists provided to managers or supervisors to determine whether post-accident or post-incident testing is required. Metrorail must ensure that all departments, employees and contractors understand that required testing must be completed, and that any requirement are included in Metrorail contracts. Metrorail must share safety event information with appropriate departments and must provide real-time accident information to OHAW staff or designate someone within SAFE to ensure the appropriate type of post-accident/incident test is completed.</p> <ul style="list-style-type: none"><li>√ Submitted Incidental Testing Matrix on safety-related events.</li><li>√ Developed and submitted a documented process that provides real-time accident information.</li><li>√ Submitted three months of post-incident testing compliance reports.</li><li>√ Issued and submitted post-incident criteria/guidance safety bulletin.</li><li>√ Confirmed there is evidence of the above actionable items.</li></ul>					

CAP Number	Risk Assessment	Closure Submission Date**	CAP Status	Actionable Item Status
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WMSC-21-C0126	<div></div>	November 2022	Closed	<div></div>	100%
<p>Metrorail must ensure that all personnel acting in a supervisory role receive reasonable suspicion training as soon as possible. Metrorail must designate a responsible individual for ensuring this is completed on an ongoing basis.</p> <ul style="list-style-type: none"><li>√ Submitted a Reasonable Suspicion training schedule.</li><li>√ Submitted six months’ worth of compliance reports for Reasonable Suspicion mandatory training.</li><li>√ Confirmed there is evidence of the above actionable items.</li></ul>					
WMSC-21-C0127	<div></div>	July 2022	Closed	<div></div>	100%
<p>Metrorail must provide clear information to employees to ensure that all relevant over-the-counter medication is reported.</p> <ul style="list-style-type: none"><li>√ Submitted policy document.</li><li>√ Issued and submitted staff communication.</li><li>√ Submitted awareness brochure.</li><li>√ Developed and submitted monthly medication reports.</li><li>√ Confirmed there is evidence of the above actionable items.</li></ul>					
WMSC-21-C0128	<div></div>	December 2022	Closed	<div></div>	100%
<p>Metrorail must set a maximum timeframe to verify and document positive tests, and to document removal from service, that provides for the safety of employees, contractors, customers and first responders.</p> <ul style="list-style-type: none"><li>√ Developed and submitted a documented process to manage the notification of positive drug and alcohol testing.</li><li>√ Issued and submitted a staff notice to communicate the process for removing employees from service.</li><li>√ Submitted two quarters’ worth of compliance documentation.</li><li>√ Confirmed there is evidence of the above actionable items.</li></ul>					
WMSC-21-C0129	<div></div>	August 2025	Under Review	<div></div>	100%
<p>Metrorail must establish, implement and document a program that ensures covered employees are assessed for fitness for duty prior to and/or during their shift on a regular basis.</p> <ul style="list-style-type: none"><li>√ The Fitness for Duty (FFD) Governance Board was made accountable for the FFD program and continued regular meetings to establish the requirements.</li><li>√ The FFD Governance Board established the requirements based on APTA and DOT guidance.</li><li>√ LABR worked with labor unions representatives to discuss FFD requirements and submitted an implementation plan.</li><li>√ Rolled-out implementation which included staffing assessment to meet FFD requirements and submitted documentation of training conducted.</li><li>√ Confirmed there is reasonable evidence to support completion of actionable items and performance measures.</li></ul>					
WMSC-21-C0130	<div></div>	March 2025	Closed	<div></div>	100%
<p>Metrorail should implement and utilize a comprehensive electronic recordkeeping system (which may be a commercially available electronic medical records system) that includes the tracking and trending of individuals and aggregated fitness for duty data. This trend data should be shared with all appropriate departments and be acted upon to improve safety. WMATA should develop, fully implement, document and sustain an effective Metrorail-wide sleep disorder and medical disorder awareness, identification, treatment and compliance monitoring program.</p> <ul style="list-style-type: none"><li>√ Developed and submitted a scope of work for a comprehensive electronic health system.</li><li>√ Submitted the notice to proceed for the comprehensive electronic health system.</li><li>√ Submitted evidence of the implemented system.</li><li>√ Submitted six months’ worth of documentation related to awareness activities for health education and compliance on sleep disorder program.</li><li>√ Confirmed there is evidence of the above actionable items.</li></ul>					
WMSC-21-C0131	<div></div>	December 2025	Open	<div></div>	60%
<p>Metrorail should require contractors performing in safety sensitive functions to meet its medical fitness for duty standards. Metrorail must ensure contractor’s compliance with this requirement.</p> <ul style="list-style-type: none"><li>√ The Office of Procurement (PRMT) reviewed and revised the existing Certification Requirement for all Safety Sensitive contracts, if necessary, to meet WMATA’s Fitness for Duty (FFD) standards.</li><li>√ PRMT submitted a documented process incorporating the new requirement for Fitness for Duty standards.</li><li>√ PRMT submitted three months’ worth of contractor self-certification evidence.</li><li>● WMATA will verify that the contractor submits self-certification evidence for its “covered employees” every two years and submit compliance evidence.</li><li>● Confirm there is evidence of the above actionable items.</li></ul>					
WMSC-21-C0132	<div></div>	January 2023	Closed	<div></div>	100%
<p>Metrorail should assess the feasibility of conducting testing for personnel who are hospitalized and implement any steps that are identified as feasible.</p> <ul style="list-style-type: none"><li>√ Conducted an assessment to determine the feasibility of testing Metrorail personnel who are hospitalized, but conscious, and able to provide consent.</li><li>√ Provided documentation on any steps that are identified as feasible.</li><li>√ Confirmed there is evidence of the above actionable items.</li></ul>					
WMSC-21-C0133	<div></div>	February 2023	Closed	<div></div>	100%
<p>WMATA should develop, implement and document a new hire process or procedure to check the prior DOT-covered employer forms provided to OHAW against other resume and background information, to ensure that all DOT-covered employees are accounted for.</p> <ul style="list-style-type: none"><li>√ Developed, submitted, and documented new hire process related to DOT-covered employees.</li><li>√ Submitted three months’ worth of documentation demonstrating implementation of the new hire process.</li><li>√ Confirmed there is evidence of the above actionable items.</li></ul>					

CAP Number	Risk Assessment	Closure Submission Date**	CAP Status	Actionable Item Status
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Revenue Vehicle (Railcar) Programs (I)	<div><div></div></div> <div>0%50%100%</div>	89%
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WMSC-21-C0134	<div></div>	February 2025	Closed	<div></div>	100%
<p>Metrorail must complete the safety certification process for all 6000 Series railcars. To accomplish this, Metrorail must review all the 6000 Series SMP procedures to confirm proper documentation, training, and parts or tools availability, and make all required corrections to each car for any areas where the procedures were deficient. Metrorail must also ensure that safety certification processes are followed for all current and future railcar projects, initiatives or similar efforts, including by ensuring procedures and training are in place for all relevant personnel.</p> <ul style="list-style-type: none"><li>✓ Established and submitted the updated Certified Items List.</li><li>✓ Provided the Certified Items List to the Safety Certification Review Committee for review and approval and submitted the approved document.</li><li>✓ Updated and submitted training curriculum and training rosters.</li><li>✓ Submitted the Certificate of Compliance for each new certification package.</li><li>✓ Confirmed there is reasonable evidence to support completion of actionable items and performance measures.</li></ul>					
WMSC-21-C0135	<div></div>	August 2022	Closed	<div></div>	100%
<p>SAFE must establish a process to ensure that the Safety and Security Certification Program Plan (SSCPP) is being followed, including ensuring that any Certified Items List (CIL) matches the version approved by the Safety Certification Review Committee (SCRC) prior to approval, and that each CIL is complete prior to approval. WMATA must demonstrate that this process is being followed.</p> <ul style="list-style-type: none"><li>✓ Submitted the approved CIL after SCRC review.</li><li>✓ Developed and submitted a process for document version control and review.</li><li>✓ Submitted six months’ worth of tracking logs.</li><li>✓ Confirmed there is evidence of the above actionable items.</li></ul>					
WMSC-21-C0136	<div></div>	May 2023	Closed	<div></div>	100%
<p>Metrorail must demonstrate that SAFE has approved the complete documentation specified in the SMP, including SAFE certification of coupler work, prior to each railcar returning to revenue service.</p> <ul style="list-style-type: none"><li>✓ Submitted Service Bulletin.</li><li>✓ Submitted the Certificate of Compliance for each new certification package.</li><li>✓ Confirmed there is reasonable evidence to support completion of actionable items and performance measures.</li></ul>					
WMSC-21-C0137	<div></div>	May 2023	Closed	<div></div>	100%
<p>Metrorail must ensure that safety-critical equipment and related procedures undergo all required safety reviews and approvals. Metrorail must document this for the process as a whole and for each railcar to show which couplers have been correctly handled under the latest procedures.</p> <ul style="list-style-type: none"><li>✓ Submitted the Certificate of Compliance for each new certification package.</li><li>✓ Updated and submitted procedure and items list.</li><li>✓ Confirmed there is reasonable evidence to support completion of actionable items and performance measures.</li></ul>					
WMSC-21-C0138	<div></div>	September 2023	Closed	<div></div>	100%
<p>Metrorail must establish procedures to ensure that WMATA contracts or otherwise works with the original equipment manufacturer as part of the development of purchase, rebuild, rehabilitation or overhaul programs to identify and supply any necessary special tools and parts.</p> <ul style="list-style-type: none"><li>✓ Reviewed and submitted approved technical specification for all future railcar procurements.</li><li>✓ Updated and submitted the special tools requirement list.</li><li>✓ Completed inventory review of special tools.</li><li>✓ Developed and submitted a documented process to identify procedures and special tools needed to perform all maintenance activities.</li><li>✓ Submitted plan of action to procure the tools identified as missing and/or needed.</li><li>✓ Completed inventory review of special tools.</li><li>✓ Confirmed there is reasonable evidence to support completion of actionable items and performance measures.</li></ul>					
WMSC-21-C0139	<div></div>	January 2026	Open	<div></div>	33%
<p>CMOR must coordinate with stakeholders including SAFE and follow the safety certification and approval process for the 7000 Series rehabilitation program.</p> <ul style="list-style-type: none"><li>✓ Department of Safety (SAFE) developed and submitted a Certified Items List approved by the Safety Certification Review Committee.</li><li>● SAFE will partner with Chief Mechanical Officer, RAIL (CMOR) to submit the Certificate of Compliance for each new certification package.</li><li>● Confirm there is reasonable evidence to support completion of actionable items and performance measures.</li></ul>					
WMSC-21-C0140	<div></div>	November 2021	Closed	<div></div>	100%
<p>Metrorail must define, document, and clearly delineate the roles, responsibilities and procedures related to the Incident Investigation Team and any other CMOR individuals or teams such as unusual occurrence response personnel. These policies and procedures must include the coordination processes and requirements between the IIT, any other CENV groups, and SAFE.</p> <ul style="list-style-type: none"><li>✓ Developed and submitted a documented process that will delineate responsibilities, coordination processes, and requirements between departments.</li><li>✓ Confirmed there was evidence of the above actionable item.</li></ul>					

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

WMSC-21-C0141		August 2022	Closed		100%
<p>Metrorail must establish and implement document control, communication and distribution processes for job plans and engineering case studies including procedures and processes to ensure that there are no conflicting or duplicated documents, that there are defined processes for development and approval of job plans created by employees at any level, and that there are standardized file names and file formats. Metrorail must review existing job plans in Maximo to ensure they are current, have required approvals, and meet the defined naming and format standards.</p> <ul style="list-style-type: none"><li>✓ Developed and submitted a documented process to standardize methods to vet, enter, and review job plans, including the naming conventions.</li><li>✓ Reviewed all active job plans and submitted an assessment report identifying job plans not associated with autogenerated work orders.</li><li>✓ Updated and submitted a log with current job plans located in the electronic document management system.</li><li>✓ Published and submitted approved job plan list and engineering case studies on the department webpage.</li><li>✓ Confirmed there is evidence of the above actionable items.</li></ul>					
WMSC-21-C0142		September 2023	Closed		100%
<p>Metrorail must establish the minimum training requirements to conduct each specific type of work on each specific railcar series. Metrorail must then develop and implement a process requiring regular supervisory checks of those certifications, which may include checks during the pick process and automatic notifications of expiring certifications. Metrorail must review the training required for mechanics, determine if refreshers or recurring training are necessary for each type, and define what requires a refresher.</p> <ul style="list-style-type: none"><li>✓ Performed and submitted a training assessment.</li><li>✓ Developed and submitted training matrix for engineers.</li><li>✓ Developed and submitted training matrix for technicians.</li><li>✓ Established a process to conduct supervisory checks on engineer training completion.</li><li>✓ Established a process to conduct supervisory checks on technician training completion.</li><li>✓ Confirmed there is reasonable evidence to support completion of actionable items and performance measures.</li></ul>					
WMSC-21-C0143		July 2026	Open		70%
<p>Metrorail must implement a consistent procedure for reporting and addressing wheels out-of-round, including processes to identify and mitigate root causes and to prevent cars with wheels out-of-round from operating, and must train personnel appropriately, including any relevant guidance for wheel lathe operators and their supervisors on the depth of cuts.</p> <ul style="list-style-type: none"><li>✓ Developed special instruction for wheel defects reports and actions to remove defective cars from service.</li><li>✓ Reviewed the existing Maintenance Service Instructions (MSI) procedure to address the wheels-out-of-round defects.</li><li>✓ Provided evidence of 95% active required personnel trained on the approved MSI.</li><li>✓ Modified and updated procedures, as needed. Provided three months' worth of work orders showing reported wheel defects.</li><li>✓ Partnered with Reliability Centered Maintenance Planning (RCMP) to investigate and identify root-cause of wheels-out-of-round and submitted mitigation plan.</li><li>✓ Updated the MSI based on the wheels-out-of-round investigation.</li><li>✓ Implemented the mitigations identified and provided the first bi-annual progress report.</li><li>● Implement the mitigations identified and provide the second bi-annual progress report.</li><li>● Implement the mitigations identified and provide the third bi-annual progress report.</li><li>● Confirm there is reasonable evidence to support completion of actionable items and performance measures.</li></ul>					
WMSC-21-C0144		March 2023	Closed		100%
<p>Metrorail must clearly define the proper use of engineering modification instructions, service bulletins and other engineering change documents. Metrorail must implement a document review and approval process to ensure that these changes are properly documented, including being instituted only through approved forms and procedures.</p> <ul style="list-style-type: none"><li>✓ Updated and submitted documented processes to ensure the instructions and activities are clearly delineated and documented.</li><li>✓ Submitted form acknowledgement of Workflow Procedure.</li><li>✓ Performed and submitted six months' worth of compliance checks.</li><li>✓ Confirmed there is reasonable evidence to support completion of actionable items and performance measures.</li></ul>					
WMSC-21-C0145		March 2023	Closed		100%
<p>Metrorail must review and update each railcar PI checklist to ensure consistency across all versions of the forms that are in use. The WMSC recommends these revisions include easily accessible pass/fail criteria for each item that has such a requirement, including railcar height.</p> <ul style="list-style-type: none"><li>✓ Reviewed, identified, and submitted list of Periodic Inspection (PI) checklists requiring revision.</li><li>✓ Distributed email notification for PI checklist updates.</li><li>✓ Submitted a work safety briefing.</li><li>✓ Submitted one week's worth of forms for each car maintenance shop.</li><li>✓ Submitted updated identified PI checklists on a quarterly basis.</li><li>✓ Confirmed there is reasonable evidence to support completion of actionable items and performance measures.</li></ul>					
WMSC-21-C0146 R1		August 2026	Open		50%
<p>Metrorail could install cameras and audio recording devices on its legacy fleets that will remain in service to meet the APTA recommended practice, and could consider improving the recording devices on the 7000 Series including the use of audio recording features to improve practices such as supervisory oversight, efficiency testing and safety event investigations.</p> <ul style="list-style-type: none"><li>✓ Developed and submitted a project plan for camera and audio recording equipment procurement, installation, and testing.</li><li>✓ Submitted first bi-annual progress report.</li><li>✓ Submitted second bi-annual progress report.</li><li>● Submit third bi-annual progress report.</li><li>● Submit fourth bi-annual progress report.</li><li>● Confirm there is evidence of the above actionable items.</li></ul>					

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

WMSC-21-C0147		June 2023	Closed		100%
<p>Metrorail may develop or update and implement procedures to ensure that part numbers are consistently documented in each Maximo work order and must demonstrate that this process is being carried out.</p> <ul style="list-style-type: none"><li>✓ Conducted a comprehensive analysis of the 7K parts to determine whether additional component codes are required.</li><li>✓ Based on previous results, RCMP updated the Maximo application, and submitted the component code list.</li><li>✓ Revised and submitted the work order audit form to include validation of recorded component codes.</li><li>✓ Provided completed audit forms and submitted two quarters worth of audit results.</li><li>✓ Confirmed there is reasonable evidence to support completion of actionable items and performance measures.</li></ul>					
WMSC-21-C0148		January 2023	Closed		100%
<p>Metrorail could develop and implement a procedure to ensure that job descriptions and responsibilities are reviewed on a specified regular basis to reflect current operating realities.</p> <ul style="list-style-type: none"><li>✓ Revised and submitted a documented procedure to include job descriptions periodic review.</li><li>✓ Updated and submitted job descriptions.</li><li>✓ Confirmed there is evidence of the above actionable items.</li></ul>					

2K3K Stop & Proceed					100%
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WMSC-21-C0149		February 2023	Closed		100%
<p>WMATA must complete and perform a hazard analysis regarding the positive stop option, and any other options, currently under review to prevent trains from operating with zero speed commands without authorization from the ROCC system wide.</p> <ul style="list-style-type: none"><li>✓ Submitted the hazard analysis for the stop and proceed mode software update.</li><li>✓ Submitted documentation showing the software update has been implemented on all 2K3K railcars.</li><li>✓ Confirmed there is evidence of the above actionable item.</li></ul>					

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

High Voltage and Traction Power Programs	<div><div></div><div>0%50%100%</div></div>	93%
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WMSC-21-C0150	<div><div></div></div>	April 2024	Closed	<div><div></div></div>	100%
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Metrorail must follow its own safety certification processes outlined in Metrorail’s SSCPP, including as it relates to Temporary Use Notices. Metrorail must fully train personnel on the requirements of the SSCPP and must establish processes to ensure all aspects of the SSCPP are complied with, including as it relates to not placing systems into service without completed Temporary Use Notices (TUNs) or completion of the safety certification process. Metrorail must ensure that information about all projects is shared with the safety certification team, and that subject matter experts participate throughout the process. *(Note: CAP in this area may incorporate elements of C-0118 developed in response to the WMSC finding issued on August 13, 2021 related to systemic safety certification deficiencies.)*

- √ Identified which projects have obvious gaps in safety certification and submitted the gap analysis, including a list of all projects that were reviewed.
- √ Based on previous gap analysis, specified mitigations and corrective actions.
- √ Submitted a summary of the process, which included how subject matter experts are identified for a particular project.
- √ Updated and submitted training curriculum and rosters documenting that, at a minimum, 95% of active personnel completed the updated training.
- √ Confirmed there is evidence of the above actionable items.

WMSC-21-C0151	<div><div></div></div>	July 2024	Closed	<div><div></div></div>	100%
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Metrorail must identify all preventive maintenance work that is required and ensure that all required preventive maintenance work is properly scheduled, documented, tracked and conducted. Metrorail must identify any additional preventive maintenance work or inspections that are required to make up for work that was not completed and must assess whether the lack of maintenance requires any preventive maintenance to be conducted on a more frequent basis.

- √ Developed and submitted a process for updating the master list of Preventative Maintenance Inspections (PMIs) and included newly created PMIs.
- √ Submitted planned maintenance gap analysis.
- √ Updated process and submitted preventive maintenance compliance reports.
- √ Submitted the first six months of completed PMI reports.
- √ Submitted the second six months of completed PMI reports.
- √ Submitted the third six months of completed PMI reports.
- √ Confirmed there is evidence of the above actionable items.

WMSC-21-C0152	<div><div></div></div>	November 2022	Closed	<div><div></div></div>	100%
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Metrorail must develop and fully implement plans and processes to ensure the traction power system is in and will remain in a state of good repair. For example, Metrorail must continue to fund the relay modernization program through completion system wide, must define, implement and sustain other traction power modernization efforts to prevent systemic issues, and must identify and implement any interim mitigations required until these modernization efforts are complete.

- √ Submitted the 10-year Capital Plan that shows TRPM’s “needs and projects” funded in the 6-year plan and identified in the 10-year plan.
- √ Developed and submitted a documented process to perform condition-based assessment.
- √ Submitted six months’ worth of meeting action logs that were held between offices of Traction Power, Maintenance of Way Engineering, and Reliability Centered Maintenance Planning.
- √ Submitted evidence of any temporary mitigations implemented.
- √ Confirmed there is evidence of the above actionable items.

WMSC-21-C0153	<div><div></div></div>	August 2022	Closed	<div><div></div></div>	100%
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Metrorail must specify requirements for, develop and implement adequate initial and refresher training for all traction power personnel (frontline employees and supervisors/managers) to ensure that they have a complete understanding of and fully and accurately document the tasks, processes, procedures and other responsibilities that they are required to carry out. These requirements may vary based on position and role. Metrorail must establish and implement a process to ensure that engineering and operations departments collaborate to provide oversight of procedures, test results and other activities, such as regular spot checks.

- √ Provided required training to new traction power maintenance personnel employees and submitted training records for all new 2021 hires.
- √ Provided the required refresher training schedule for traction power maintenance personnel and submitted the refresher training schedule.
- √ Conducted collaboration meetings and submitted three months’ worth of meeting agendas and Actionable Items.
- √ Held internal monthly meetings and submitted three months’ worth of agendas and Actionable Items.
- √ Confirmed there is evidence of the above actionable items.

WMSC-21-C0154 R1	<div><div></div></div>	February 2027	Open	<div><div></div><div></div></div>	38%
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Metrorail must specify, implement and document training requirements that must be met prior to work on specific equipment in the field. Metrorail must establish a process to set and document training requirements for each new type of equipment. Metrorail must develop and implement a process to ensure that technicians are only assigned to work on equipment that they have been fully and properly trained to work on.

- √ Developed and submitted a documented process for managing training requirements.
- √ Updated and submitted the Power training curriculum.
- √ Updated and submitted the Power training procedure.
- √ Updated and submitted the Power training matrix.
- Develop and submit a Power training schedule.
- Submit the first six months of training records.
- Submit the second six months of training records.
- Confirm there is evidence of the above actionable items.

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

WMSC-21-C0155 R1	<div></div>	January 2025	Closed	<div></div>	100%
<p>Metrorail must take definitive steps including training personnel to implement safety management systems principles such as hazard identification, tracking, mitigation and monitoring, and must develop, implement and monitor procedures to ensure that hazards are properly identified and addressed.</p> <ul style="list-style-type: none"><li>√ Developed and submitted a documented safety risk management process.</li><li>√ Developed and implemented awareness training on WMATA’s Safety Management System.</li><li>√ Submitted the first three months’ worth of risk management reports.</li><li>√ Submitted completed training records from 95% of active applicable personnel.</li><li>√ Submitted the second three months’ worth of risk management reports.</li><li>√ Confirmed there is evidence of the above actionable items.</li></ul>					
WMSC-21-C0156	<div></div>	January 2025	Closed	<div></div>	100%
<p>Metrorail must assess whether additional resources are needed to complete floating slab testing on schedule, and to ensure that the program continues as required. If such resources are required, Metrorail must implement the appropriate changes.</p> <ul style="list-style-type: none"><li>√ Submitted a progress report summarizing testing and repair work performed to date.</li><li>√ Submitted confirmation that all assessments and repairs are completed.</li><li>√ Confirmed there is evidence of the above actionable items.</li></ul>					
WMSC-21-C0157 R1	<div></div>	September 2024	Closed	<div></div>	100%
<p>Metrorail must document that all traction power facilities have current as-built schematics and must develop and institute an effective process to ensure that these schematics remain present and up to date.</p> <ul style="list-style-type: none"><li>√ Conducted and submitted a gap analysis to identify missing as-built schematics in all traction power substations and tie breaker stations.</li><li>√ Engineering provided an index list of missing drawings to the office of Traction Power.</li><li>√ Provided an example of a projects contract documents that contain language for the as-built schematics update.</li><li>√ Submitted supervisory checks.</li><li>√ Developed and submitted printing plan for required drawings.</li><li>√ Developed and submitted procurement plan for mounting hardware.</li><li>√ Conducted and submitted a gap analysis to identify missing one-line drawings.</li><li>√ Submitted an index list of missing one-line drawings to Power Maintenance.</li><li>√ Submitted the first quarterly procurement and installation progress report.</li><li>√ Submitted the second quarterly procurement and installation progress report.</li><li>√ Confirmed there is evidence of the above actionable items.</li></ul>					
WMSC-21-C0158	<div></div>	October 2022	Closed	<div></div>	100%
<p>Metrorail may develop and implement a process to effectively prioritize and address corrective maintenance work orders.</p> <ul style="list-style-type: none"><li>√ Developed and submitted a process to prioritize corrective maintenance work orders.</li><li>√ Submitted training records.</li><li>√ Submitted a random sampling of 100 work orders over of six months to ensure compliance.</li><li>√ Confirmed there is evidence of the above actionable items.</li></ul>					
WMSC-21-C0159 R1	<div></div>	September 2023	Closed	<div></div>	100%
<p>Metrorail could complete an inventory of all parts and materials on hand and establish a process to ensure that this inventory is updated in a complete and timely fashion as salvaged materials are brought to storage.</p> <ul style="list-style-type: none"><li>√ Performed visual assessment of all current parts equipment and materials locations and submitted a list of locations with the square footage and load requirements.</li><li>√ Developed a resource assessment inclusive of identifying additional personnel, equipment, and real estate needs, and submitted the results of the assessment.</li><li>√ Developed and submitted a documented process to assess and identify all traction power maintenance parts and materials.</li><li>√ Submitted inventory spreadsheets of all parts and materials.</li><li>√ Submitted three months’ worth of records showing reconciliation of electronic and physical inventories.</li><li>√ Confirmed there is evidence of the above actionable items.</li></ul>					
WMSC-21-C0160	<div></div>	January 2023	Closed	<div></div>	100%
<p>Metrorail may revise, establish, and provide adequate training on procedures to regularly review lists of tools, ensure tools are up to date on calibration, ensure tools out of calibration are promptly removed from service until re-calibration, document when any tools are permanently removed from service, and appropriately mark those tools to ensure they are no longer used in the WMATA rail system.</p> <ul style="list-style-type: none"><li>√ Developed and submitted a documented process to ensure that calibrated equipment is properly identified, tracked, and removed from service when beyond useful life or in need of calibration.</li><li>√ Provided training on calibrated equipment and submitted signature acknowledgement of 95% of active personnel that completed the training.</li><li>√ Submitted six months’ worth of calibration tracker records.</li><li>√ Confirmed there is evidence of the above actionable items.</li></ul>					
WMSC-21-C0161	<div></div>	December 2022	Closed	<div></div>	100%
<p>Metrorail may develop and implement a procedure to ensure that job descriptions and responsibilities are reviewed on a specified regular basis to reflect current operating realities, current code requirements, and current regulatory requirements.</p> <ul style="list-style-type: none"><li>√ Revised and submitted a documented procedure to update job descriptions periodically and ensured they reflect current practices and requirements.</li><li>√ Updated and submitted applicable job descriptions for the office of Traction Power.</li><li>√ Confirmed there is evidence of the above actionable items.</li></ul>					