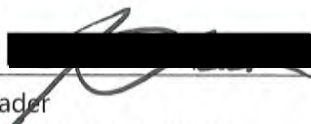## INTERNAL REVIEW

Capital Program Management and Execution

In response to the internal review of Metrorail Service Delivery, including review of Metrorail Station Americans With Disabilities Act (ADA) Compliance Assessment and Metrorail Train Operator Activities, the office of Quality Assurance, Internal Compliance & Oversight (QICO) has coordinated the development of four (4) CAPs. Each CAP outlines the findings, recommendations and requirements to be addressed, and a detailed action plan outlining responsible parties and specific actionable items.

EXECUTIVE LEADERSHIP OF RESPONSIBLE PARTIES

Corrective Action Plan Commitment

11/12/17
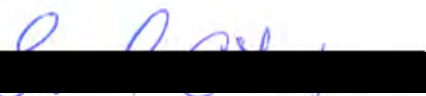Date

Joseph Leader
Chief Operating Officer (COO)

WMATA INTERNAL OVERSIGHT

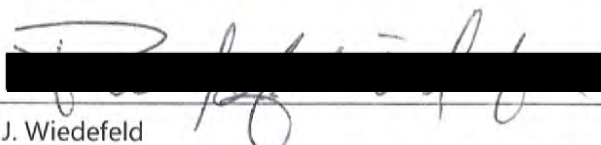### Corrective Action Plan Acknowledgement

11/15/17
Date

Angel Peña
Managing Director, Quality Assurance, Internal Compliance & Oversight (QICO)

11/15/17
Date

Eric Christensen
Chief, Internal Compliance (INCP)

11/15/17
Date

Paul J. Wiedefeld
General Manager & Chief Executive Officer (GM/CEO)

RAIL STATION ADA ASSESSMENT CAPS

CORRECTIVE ACTION PLAN

Purpose and Scope

On September 1, 2017 the office of Quality Assurance, Internal Compliance & Oversight (QICO) issued a comprehensive internal review report, regarding the current policies, procedures, and practices that ensure WMATA's compliance with the Americans with Disabilities Act (ADA). This Corrective Action Plan (CAP) has been developed to address the finding and required action per QICO-ADA-17-01.

QICO Finding	QICO Recommendation
F-ADA-17-01: Developing methods to measure and record performance of communications equipment is necessary to ensure compliance with ADA requirements and promote effective maintenance practices.	- Develop and implement a process to measure the performance and availability of ADA related communications equipment, as required by the Policy Instruction, to ensure compliance and improve maintenance practices.

Required Action
QICO-ADA-17-01: Develop and implement a process to measure the performance and availability of ADA related communications equipment, as required by the Policy Instruction, to ensure compliance and improve maintenance practices.   (Risk Rating: Moderate)

ACTION PLAN

Description

SMNT-COMM will produce a monthly report derived from MAXIMO Work Order data. The report will show the number of work orders opened per communication system (Intercom, Public Address, and PIDS) per station. This information will be tracked to identify any trends for increased failures.

Business Impact – Budget/Cost Estimate

Process Improvement – A current process/procedure needs to be optimized to address the QICO Required Action. This type of initiative does not need additional resources because current manpower will be used to improve the process.

PLAN STRUCTURE

	Actionable items	Description	Responsible Party	Estimated Start	Estimated Completion
1)	Equipment Standards	Document outlining definitions of ADA equipment, associated performance standards, and specific reporting requirements, in accordance with Policy Instruction 16.1/1, section 5.09.	SMNT	10/16/17	12/06/17
2)	Equipment Report	A periodic report to show the number of Maximo Work Orders (W/O) associated with ADA equipment; including Passenger Information Display Signs (PIDS), Intercom Systems and Public Address Systems.	COMM	11/01/17	01/31/18
3)	Equipment Report Analysis	Analysis of Maximo W/O to identify trends in equipment system component failure. These results will be used to develop action plans to resolve issues identified, including recommendation of system repair or replacement due to failure rates and lifecycle considerations as required.	COMM	01/31/18	02/28/18
4)	QICO CAP Verification Report	QICO will evaluate actionable items submitted to confirm there is reasonable evidence that the findings and this required action have been resolved, taking into account the actionable item descriptions and performance measures.	QICO	02/28/18	03/28/18

*In the event of personnel or departmental changes, responsibilities for actionable items shall transfer to the new leadership.

COMPLETION DOCUMENTATION

Performance Measures

- Equipment Standards developed under Actionable Item #1 meet the requirements set in Policy Instruction 16.1/1, section 5.09.
- Equipment reports under Actionable Item #2 are produced in accordance with requirements established under actionable item #1.
- Evidence of actions developed as a result of analysis performed under Actionable Item #3, including those completed and planned for future action.

RESPONSIBLE PARTIES

COMM	Matthew Lang		
SMNT	Gairy Johnson		11/8/17

SECOND LEVEL RESPONSIBILITY

AGM Rail Services	Andrew Off		8 NOV 17

CORRECTIVE ACTION PLAN

Purpose and Scope

On September 1, 2017 the office of Quality Assurance, Internal Compliance & Oversight (QICO) issued a comprehensive internal review report, regarding the current policies, procedures, and practices that ensure WMATA's compliance with the Americans with Disabilities Act (ADA). This Corrective Action Plan (CAP) has been developed to address the finding and required action per QICO-ADA-17-02.

QICO Finding	QICO Recommendation
F-ADA-17-02: Reinforcing the location of Areas of Refuge (AOR) is required to ensure Station Managers deliver appropriate guidance to passengers in the case of an emergency.	- Reinforce locations of Areas of Refuge (AOR) with Station Managers, through training and visual indication inside the kiosks, to ensure timely response and customer guidance in the case of an emergency.

Required Action

QICO-ADA-17-02: Reinforce locations of Areas of Refuge (AOR) with Station Managers, through training and visual indication inside the kiosks, to ensure timely response and customer guidance in the case of an emergency.

(Risk Rating: Elevated)

ACTION PLAN

Description

RTRA will re-issue and reinstructed all Station Managers and Rail Operation Supervisors on Permanent Order T-17-07 Procedures for the Areas of Refuge (AOR). Each will sign to acknowledge receipt and understanding of the Order. Notices will be placed in kiosks at stations with AORs for Station Manager use, including locations and potential routes of access.

Business Impact – Budget/Cost Estimate

Process Execution – A current process/procedure exists that meets the QICO Required Action, but needs to be executed. This type of initiative does not need additional resources.

PLAN STRUCTURE

	Actionable items	Description	Responsible Party	Estimated Start	Estimated Completion
1)	Permanent Order Reinstruction	Station Managers and Rail Operation Supervisors will be reinstructed on the contents of Permanent Order T-17-07 – Procedures for the Areas of Refuge (AOR) – with each providing signature acknowledgement and receipt.	Lisa Woodruff (RTRA)	09/27/17	12/13/17
2)	Kiosk Notices	Notices placed in kiosks at stations with AORs for Station Manager use, including locations and potential routes of access.	Lisa Woodruff (RTRA)	09/27/17	01/30/18
3)	QICO CAP Verification Report	QICO will evaluate actionable items submitted to confirm there is reasonable evidence that the findings and this required action have been resolved, taking into account the actionable item descriptions and performance measures.	QICO	01/30/17	02/28/18

*In the event of personnel or departmental changes, responsibilities for actionable items shall transfer to the new leadership.

COMPLETION DOCUMENTATION

Performance Measures

- 80% of active Station Managers and Rail Operation Supervisors provide signature acknowledgement of Permanent Order T-17-07.
- 100% of stations specified in Permanent Order T-17-07 as having an AOR has notices posted, as developed under Actionable Item #2.

RESPONSIBLE PARTIES

RTRA	Lisa Woodruff	

SECOND LEVEL RESPONSIBILITY

AGM Rail Services	Andrew Off	9 NOV 17

METRORAIL TRAIN OPERATOR CAPS

CORRECTIVE ACTION PLAN

Purpose and Scope

On October 6, 2017, QICO issued a comprehensive Report from an internal review of Metrorail Train Operator Activities. This Corrective Action Plan (CAP) has been developed to address the findings and required action per **QICO-TOR-17-01**.

QICO Finding	QICO Recommendation
F-TOR-17-01: System-wide enforcement of Train Operator Standard Baseline Announcements (SOP 50) is necessary to ensure clear and consistent communication to passengers. **F-TOR-17-02**: System-wide enforcement of Door Operations / Station Servicing Procedures (SOP 40) is necessary to ensure consistent loading and offloading of trains at stations. **F-TOR-17-03**: Consistent enforcement of radio communication protocols, as outlined in Permanent Order T-16-10, is essential to ensure messages are sent, received and understood effectively. **F-TOR-17-04**: System-wide enforcement of vehicle inspection requirements is necessary to ensure Train Operators consistently perform assigned duties. **F-TOR-17-05**: Effective tracking of supervisory spot-checks is required to ensure actions resulting from unsatisfactory performance results in measurable and verifiable change.	- Evaluate Train Operator performance in relation to MSRPH SOP 50 through supervisory spot-checks to ensure consistent and effective communication to passengers in accordance with requirements. - Evaluate Train Operator performance in relation to MSRPH SOP 40 through supervisory spot-checks to ensure consistent and effective passenger loading and offloading at stations. - Evaluate Train Operator performance in relation to Permanent Order T-16-10 through supervisory spot-checks to ensure consistent and effective radio communication. - Evaluate Train Operator performance in relation to MSRPH SOP 12 through supervisory spot-checks to ensure inspection of rail vehicles occur as required. - Conduct a comprehensive review and update of the current supervisory spot-check program to ensure it effectively captures non-compliance with requirements, and tracks remedial actions through validation and closure.

Required Action

QICO-TOR-17-01: Conduct a comprehensive review and update of the current supervisory spot-check program for Rail Transportation (RTRA) to ensure it encompasses the totality of Train Operator duties and responsibilities, takes into account appropriate sampling and frequency of spot-checks, effectively captures non-compliance with requirements, and tracks remedial actions through validation and closure.

(Risk Rating: Elevated)

ACTION PLAN

Description

RTRA/RSTO will review the Supervisor spot-check program and provide a procedure for corrective measures of deficiencies found by Supervisors.

Business Impact – Budget/Cost Estimate

- Process Improvement – A current process/procedure needs to be optimized to address the QICO Required Action. This type of initiative does not need additional resources because current manpower will be used to improve the process.

PLAN STRUCTURE

	Actionable items	Description	Responsible Party	Estimated Start	Estimated Completion
1)	Supervisor Spot Check Program	Provide RTRA Supervisor Spot Check Program SOP (RSDAR SOP).	RTRA	11/01/17	01/01/18
2)	Corrective Action Process	Management SOP Process for corrective actions to be taken for deficiencies that are found during a Supervisor's spot check.	RTRA	01/01018	03/31/18
3)	QICO CAP Verification Report	QICO will evaluate actionable items submitted to confirm there is reasonable evidence that the findings and this required action have been resolved, taking into account the actionable item descriptions and performance measures.	QICO	03/31/18	05/02/18

*In the event of personnel or departmental changes, responsibilities for actionable items shall transfer to the new leadership.

COMPLETION DOCUMENTATION

Performance Measures

- 80% of active RTRA Supervisors provide signature acknowledgement of Program SOP developed under actionable item #1.
- Evidence of corrective action process implementation in accordance with requirements developed under actionable item #2.

RESPONSIBLE PARTIES

RTRA	Ron Lewis	

SECOND LEVEL RESPONSIBILITY

Director RSTO	Robert Relyea	
Managing Director RTRA	Lisa Woodruff	
AGM Rail Services	Andrew Off	8 NOV 17

CORRECTIVE ACTION PLAN

Purpose and Scope

On October 6, 2017, QICO issued a comprehensive Report from an internal review of Metrorail Train Operator Activities. This Corrective Action Plan (CAP) has been developed to address the findings and required action per **QICO-TOR-17-02**.

QICO Finding	QICO Recommendation
F-TOR-17-07: Maintaining up-to-date procedures, troubleshooting guides, and checklists is needed to ensure Train Operators have access to these resources when performing work.	- Conduct a comprehensive review and update of troubleshooting guides, procedural checklists and job aids to ensure they provide adequate guidance for current equipment and operational conditions, including sufficient oversight for verification of activities.

Required Action

QICO-TOR-17-02: Conduct a comprehensive review and update of troubleshooting guides, procedural checklists and job aids to ensure they provide adequate guidance for current equipment and operational conditions, including appropriate oversight activities being performed.

(Risk Rating: Low) ■■

ACTION PLAN

Description

RTRA/RSTO will ensure that all applicable troubleshooting guides, procedural checklists and job aids are updated to incorporate new rail equipment (7K Series trains) and remove outdated information for retired equipment. RTRA/RSTO will also review overarching procedural documents to ensure they are in line with current equipment requirements.

Business Impact – Budget/Cost Estimate

- Process Improvement – A current process/procedure needs to be optimized to address the QICO Required Action. This type of initiative does not need additional resources because current manpower will be used to improve the process.

PLAN STRUCTURE

	Actionable items	Description	Responsible Party	Estimated Start	Estimated Completion
1)	Process Updates	Coordinate with SAFE, CMNT, and OPMS to provide updated troubleshooting guides, procedural checklists and job aids to reflect new equipment (7k series trains) and remove outdated/retired equipment.	RTRA	11/01/17	09/30/18
2)	MSRPH Review	Review of MSRPH to ensure it accurately reflects current equipment.	RTRA	11/01/17	09/30/18
3)	QICO CAP Verification Report	QICO will evaluate actionable items submitted to confirm there is reasonable evidence that the findings and this required action have been resolved, taking into account the actionable item descriptions and performance measures.	QICO	09/30/18	11/07/18

*In the event of personnel or departmental changes, responsibilities for actionable items shall transfer to the new leadership.

COMPLETION DOCUMENTATION

Performance Measures

- Evidence that updated troubleshooting documentation completed and distributed, developed under actionable item #1.
- 80% of active train operators provide signature acknowledgement of updated MSRPH developed under actionable item #2.

RESPONSIBLE PARTIES

RTRA	Ron Lewis	

SECOND LEVEL RESPONSIBILITY

Director RSTO	Robert Relyea	
Managing Director RTRA	Lisa Woodruff	
AGM Rail Services	Andrew Off	8 NN 17