



INTERNAL REVIEW

Rail Station and Train Operations (RSTO) Station Manager

In response to the internal review report for Metro's Rail Station and Train Operations (RSTO) Station Managers' performance of assigned duties dated August 16, 2017, the office of Quality Assurance, Internal Compliance & Oversight (QICO) has coordinated with the Operations department to develop three comprehensive CAPs. Each CAP outlines the findings, recommendations and requirements to be addressed, ad a detailed action plan outlining responsible parties and specific actionable items.

EXECUTIVE LEADERSHIP OF RESPONSIBLE PARTIES

Corrective Action Plan Commitment

Joseph Leader
Chief Operating Officer (COO)

9/12/17
Date

WMATA INTERNAL OVERSIGHT

Corrective Action Plan Acknowledgement

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

09/12/17
Date

Eric Christensen
Chief, Internal Compliance (INCP)

9/12/17
Date

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

9/13/17
Date

CORRECTIVE ACTION PLAN

Purpose and Scope

On August 16, 2017 QICO issued a comprehensive Report from an internal review into assessment of the Rail Station and Train Operations (RSTO) Station Managers' performance of assigned duties. This Corrective Action Plan (CAP) has been developed to address the finding and required action per **QICO-RSM-17-01**.

QICO Finding

QICO Recommendation

<p>F-RSM-17-01: Inconsistent data entry in Rail Station Manager's logs, reducing the traceability of discrepancies and repairs.</p>	<ul style="list-style-type: none"> - Reinforce requirements for entries in station logs and perform spot-check to ensure uniform application and recordkeeping.
<p>F-RSM-17-02: Inconsistent handbook retention and records management at station kiosks, reducing the availability of current procedures and documentation for station manager use.</p>	<ul style="list-style-type: none"> - Ensure all station kiosks have the documentation required and establish methods to ensure this documentation is updated when revisions are issued
<p>F-RSM-17-04: Select Closed Circuit Television (CCTV) monitors are non-operational, with station managers citing extended wait times for repair</p>	<ul style="list-style-type: none"> - Review the reporting and follow-up processes for CCTV failures and establish methods to ensure reliability of the security-sensitive equipment.
<p>F-RSM-17-05: Station Managers utilize an outdated version of the Station Condition Checklist, which omits certain inspection requirements to address a previous FTA finding.</p>	<ul style="list-style-type: none"> - To ensure station managers have the most up-to-date documentation available to complete assigned tasks, establish methods to ensure all kiosks have required documentation and that it is updated when revisions are issued, conducting supervisory spot-checks to verify compliance.

Required Action

QICO-RSM-17-01: Reinforce requirements for entries in station logs and checklists, ensure all station kiosks have the documentation required, establish methods to ensure this documentation is updated when revisions are issued, and conduct supervisory control spot-checks to ensure compliance.

(Risk Rating: Elevated)

Plan Description

- The Office of Rail Transportation (RTRA) will conduct review meetings with stakeholders in station maintenance (Plant Maintenance, Communications, Elevator/Escalator, and Automatic Fare Collection) to ensure their understanding and commitment to closing out discrepancies in station log books. Reference SSOP #38 Station Manager's Log Book in the MSSOPH.
- RTRA/RSTO will issue a RTRA Operations Personnel Notice to reinforce Rail Operations Supervisors' responsibility to ensure that discrepancies are cleared in log books in accordance with SSOP #38; to include Rail Supervisors requirement to follow up with maintenance staff who do not complete equipment failure close-out records in the Station Manager's Log Book.
- Some CCTV monitors were not functional during the review due to new installation, where they were not yet made functional for observation. Engineering and Architecture (ENGA) will provide RTRA with quarterly Station CCTV Upgrade construction schedules to communicate which monitors and cameras are to be installed and functional; RTRA will develop and post construction notices in station manager's kiosk to ensure station managers are aware of new equipment not yet functional.
- RTRA/RSTO will modify SSOP's within MSSOPH and remove the requirement for a hard copy of the book to remain in the kiosk. Due to continuous changes to the MSRPH and the MSSOPH, RSTO will direct Station Managers to review "controlled" versions and all associated Permanent and Temporary Orders on the WMATA Intranet. RTRA is currently revising the MSSOPH via committee, and ensure updates are made to the revised MSSOPH prior to publishing. Rail Infrastructure Support Services (RISS) will draft a Standard Operating Procedure for Rail Station Supply Runners on the issuance, versioning,



rescinding, and destruction of station checklists and logs to ensure the most up-to-date document versions are used by station personnel.

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 SCHEDULE

Actionable items	Description	Responsible Party	Estimated Start	Estimated Completion
1 Station Maintenance Stakeholder Meetings	Meetings with stakeholders in station maintenance (Plant Maintenance, Communications, Elevator/Escalator, and Automatic Fare Collection) to ensure their understanding and commitment to closing out discrepancies in station log books.	Lisa Woodruff (RTRA)	09/01/17	11/27/17
2 Rail Supervisor ROPN	Issue a RTRA Operations Personnel Notice (ROPN) to reinforce Rail Operations Supervisors' responsibility to ensure that discrepancies are cleared in log books in accordance with SSOP #38.	Lisa Woodruff (RTRA)	09/01/17	10/09/17
3 Station CCTV Upgrade Schedule	Provide RTRA with TSGP2015 & TSGP2016 Quarterly Station CCTV Upgrade construction schedule, including installation of monitors and cameras.	Nichalos Gardner (ENGA)	08/28/17	12/18/17
4 Kiosk Construction Notice	Develop and Post Station construction schedule on Station Manager DIRECT to inform station managers of newly-installed monitors not yet functional.	Lisa Woodruff (RTRA)	08/28/17	12/18/17
5 Modify SSOP's in the MSSOPH	Modify the SSOP's within MSSOPH and remove the requirement for a hard copy of the book to remain in the kiosk; will direct Station Managers to review "controlled" versions and all associated Permanent and Temporary Orders on the WMATA Intranet.	Lisa Woodruff (RTRA)	09/01/17	03/28/18
6 SOP for Rail Station Supply Runners	Develop a Standard Operating Procedure (SOP) for Rail Station Supply Runners on the issuance, versioning, rescinding, and destruction of station checklists and logs to ensure the most up-to-date document versions are available at each location.	Lisa Woodruff (RTRA)	09/01/17	11/20/17
7 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	03/28/18	04/25/18

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



COMPLETION DOCUMENTATION

Performance Measures

- Evidence that station kiosks contain the correct documentation as determined by actionable item #6

RESPONSIBLE PARTIES

RTRA	Lisa Woodruff	[Redacted]
ENGA	Nichalos Gardner	[Redacted]

SECOND LEVEL RESPONSIBILITY

AGM RAIL	Andrew Off	[Redacted]
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CORRECTIVE ACTION PLAN

Purpose and Scope

On August 16, 2017 QICO issued a comprehensive Report from an internal review into assessment of the Rail Station and Train Operations (RSTO) Station Managers' performance of assigned duties. This Corrective Action Plan (CAP) has been developed to address the finding and required action per **QICO-RSM-17-02**

QICO Finding

F-RSM-17-03: Cabinets used to store emergency equipment at stations are inconsistently inspected, maintained and secured, compromising the readiness for potential emergency scenarios.

QICO Recommendation

- To ensure all appropriate supplies are available to station managers in the case of an emergency, conduct quality supervisory checks to verify compliance with requirements for Emergency Cabinet inventory and securement as specified in SSOP #55.

Required Action

QICO-RSM-17-02: To ensure all appropriate supplies are available to station managers in the case of an emergency, conduct quality supervisory checks to verify compliance with requirements for Emergency Cabinet inventory and securement as specified in SSOP #55.

(Risk Rating: Elevated)

Plan Description

The Office of Rail Transportation (RTRA) is in the process of reviewing all Station SOPs through the Station Manager's Rule Book Committee. The some requirements of SSOP #55 will be integrated into the current Station Condition Checklist to ensure emergency cabinets are checked on a designated frequency. This will require a revision of the current Station Condition Checklist. RTRA/RSTO is also in the process of modifying the Rail Supervisor's Monthly Station Inspection form to incorporate the Station Emergency Cabinet into the monthly inspection by supervisors. The RTRA QA/QC Group will incorporate an audit of a sample of station emergency cabinets to include; ability to access by on-duty station manager, cabinet inventory, the status of cabinet contents, cleanliness, proper securement, and inspection records.

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 SCHEDULE

Actionable items		Description	Responsible Party	Estimated Start	Estimated Completion
1	Station Condition Checklist	Revise the current Station Condition Checklist to ensure emergency cabinets are checked on a designated frequency.	Lisa Woodruff (RTRA)	09/01/17	11/20/17
2	Rail Supervisor Monthly Station Inspection	Modify the Rail Supervisor's Monthly Station Inspection to incorporate the Station Emergency Cabinet into the monthly inspection.	Lisa Woodruff (RTRA)	09/01/17	11/20/17



PLAN SCHEDULE

Actionable items		Description	Responsible Party	Estimated Start	Estimated Completion
3	Audit of Station Emergency Cabinets	RTRA QA/QC Group will conduct audits of a sample of station emergency cabinets to verify compliance with inspection requirements.	Lisa Woodruff (RTRA)	11/20/17	12/27/17
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	12/27/17	01/22/18

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

COMPLETION DOCUMENTATION

Performance Measures

- Updated checklists developed under actionable items #1 and #2 provide periodic inspections for station emergency cabinets.
- Completed Audit under actionable item #3 demonstrates compliance with updated inspection requirements.

RESPONSIBLE PARTIES

RTRA	Lisa Woodruff	[Redacted]
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SECOND LEVEL RESPONSIBILITY

AGM RAIL	Andrew Off	[Redacted]
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CORRECTIVE ACTION PLAN

Purpose and Scope

On August 16, 2017 QICO issued a comprehensive Report from an internal review into assessment of the Rail Station and Train Operations (RSTO) Station Managers' performance of assigned duties. This Corrective Action Plan (CAP) has been developed to address the finding and required action per QICO-RSM-17-03.

QICO Finding

QICO Recommendation

F-RSM-17-06: Station Managers are inconsistently conducting required tests of the Elevator intercom systems, increasing the risk that issues are not identified in a timely manner.

- To improve the application of inspection and testing by station managers, evaluate the inclusion of SOP references within the Station Condition Checklist to ensure all inspection and testing requirements are clearly outlined.

Required Action

QICO-RSM-17-03: To improve the application of inspection and testing by station managers, evaluate the inclusion of SOP references within the Station Condition Checklist to ensure all inspection and testing requirements are clearly outlined.

(Risk Rating: Moderate)

Plan Description

The elevator intercom testing schedule outlined in SSOP #41 requires Station Managers and Rail Supervisors to conduct weekly tests of the elevator intercom system for each unit in the rail system.

The Office of Rail Transportation (RTRA) will issue a RTRA Operations Personnel Notice to reinforce Rail Operations Supervisors' responsibility to conduct weekly elevator intercom checks for all the units in the rail system in accordance with SSOP #41; to include PM Rail Supervisors' requirement to conduct testing from 8pm to closing Sunday through Saturday.

The RTRA Operations Support Group will update the Miscellaneous Activity section of the RSDAR application to include "Elevator Intercom Testing" to serve as a method to record and track all elevator intercom tests by PM Rail 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 SCHEDULE

Actionable items		Description	Responsible Party	Estimated Start	Estimated Completion
1	Rail Supervisor ROPN	Issue a RTRA Operations Personnel Notice (ROPN) to reinforce Rail Operations Supervisors' responsibility to conduct weekly elevator intercom checks for all the units in the rail system in accordance with SSOP #41.	Lisa Woodruff (RTRA)	09/01/17	10/06/17
2	RSDAR Application Update	Update the Rail Supervisor Daily Activity Report (RSDAR) application to include Elevator Intercom Testing to serve as a method to record and track all elevator intercom tests	Lisa Woodruff (RTRA)	09/01/17	10/06/17
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	10/06/17	11/06/17

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<http://www.wmata.com/transparency>

Quality Assurance, Internal Compliance & Oversight (QICO)

"Quality Trumps Quantity"



COMPLETION DOCUMENTATION

Performance Measures

- Evidence of completed intercom checks in accordance with SSOP #41, as directed under actionable items #1 and #2.

RESPONSIBLE PARTIES

RTRA

Lisa Woodruff



SECOND LEVEL RESPONSIBILITY

AGM RAIL

Andrew Off

