



Washington Metropolitan Area Transit Authority

ANNUAL INTERNAL REVIEW 2017

Metrorail Supervisor Daily Check Activities

QICO Internal Review

June 6, 2017



Quality Assurance, Internal Compliance & Oversight (QICO)

"Quality Trumps Quantity"



QICO INTERNAL REVIEW

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Internal Review Summary

Why QICO Performed Review:

- This internal review is intended to provide Metro senior management with an assessment of Rail Station and Train Operations (RSTO) Supervisory activities and promote the actions needed to address any systemic issues.
- QICO supports the achievement of these priorities through the performance of risk-based internal reviews targeting Metro's operations, maintenance and engineering functions.
- QICO is independent from the functions it oversees, authorized by the GM to conduct objective reviews with unrestricted access to all functions, records, assets and employees under its purview.

QICO's Methodology:

- Develop relevant review activities by identifying and assessing risks to Quality of Work, Compliance with Standards, Records Management, and Safety Requirements.
- Review Supervisory documentation, observe supervision process including Spot Checks, and interview key personnel.
- Rate findings and required actions based on severity of risk, which ranges from an 'Insignificant' to 'High' scale.

Note: An itemized Corrective Action Plan (CAP) is developed for each required action to achieve effective and measurable resolution of identified concerns. To check the status of CAP implementation go to www.wmata.com/initiatives/transparency/.

June 2017

Metrorail Supervisor Daily Activities QICO's Internal Review Results:

Further enhancing RTRA's reporting and corrective action processes will improve accountability and ensure sustained mission success.

QICO's internal review identified and noted several **Wins** and **Areas for Improvement**:

- ✓ On average, Rail Supervisors are exceeding the minimum number of daily spot checks required.
- ✓ The new Rail Supervisor initial training course incorporates well-developed modules on monitoring and check activities.
- Missing and incomplete data is consistently found in Rail Supervisor daily activity reports (RSDAR).
- Rail Supervisors do not routinely monitor Train Operator performance in Rail Yards and Maintenance Shops.
- Rail Supervisor refresher training has been developed, but not yet implemented.
- Rail Transportation Operations Support activities are not performed in a manner which effectively ensures process improvement and root cause corrective action.

Summary of Required Actions:

- **QICO-RTRA-17-01:** Evaluate Rail Supervisor Daily Activity Report (RSDAR) application to identify opportunities to enhance data quality and validity.
(Risk Rating: Moderate)
- **QICO-RTRA-17-02:** Determine the appropriate reporting structure to ensure certification and oversight functions are run independent of the department performing the work.
(Risk Rating: Moderate)
- **QICO-RTRA-17-03:** Implement Rail Supervisor refresher training, establish a training schedule and develop requirements for retraining that accounts for operational needs and manpower availability.
(Risk Rating: Moderate)

1 DEPARTMENT/FUNCTION OVERVIEW

Metrorail Supervisor Daily Check Activities

The Rail Station and Train Operations Branch (RSTO) of the Rail Transportation (RTRA) department is responsible for providing front-line transportation services to Metrorail passengers. This unit is organized into nine (9) Rail Divisions, corresponding to the major terminals of the Metrorail system from which service operates. The broad scope of the unit includes the following duties:

- Supervise more than fourteen hundred and fifty (1,450) employees, comprised of Train Operators, Station Managers, and Supervisory and Administrative support staff;
- Supervise the delivery of service on Metro’s one hundred and six (106) miles of track, at ninety one (91) rail stations, and from all rail yards and terminals.
- Responsible for responding to major incidents, and developing/implementing service alternatives during disruptions.

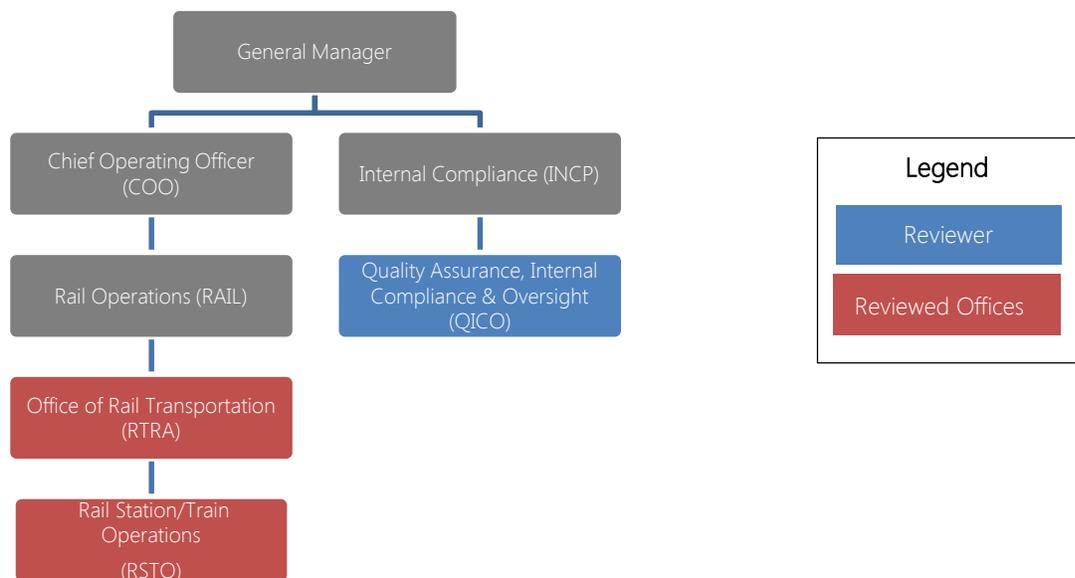
Ensuring the effective performance of the above responsibilities necessitates an effective supervision framework to enforce all safety and operational policies and programs. These Supervisors are the first line of supervision, and are tasked with effectively evaluating the performance of Train Operators and Station Managers through spot compliance checks. Rail Supervisors are expected to log their spot check observations in a consistent manner using the [Rail Supervisor Daily Activity Report \(RSDAR\)](#), an application built for use on smartphones to facilitate the collection and reporting of job task compliance data.

2 REVIEW METHODOLOGY

Internal Review Stakeholders

The Office of Quality Assurance, Internal Compliance and Oversight (QICO) provides objective review, quality assurance, and compliance monitoring services in a direct reporting relationship to the WMATA General Manager, via the Chief of Internal Compliance (INCP). These services safeguard the mission by improving the quality, consistency, and compliance of key operational processes and assets. Beyond conducting independent reviews, QICO supports the development and successful implementation of corrective action plans to deliver improvements with ongoing collaborative relationships with WMATA’s operational, maintenance, and engineering departments.

QICO conducted a review of the Rail Station and Train Operations (RSTO) Branch. RSTO is a branch within the Office of Rail Transportation (RTRA), itself a component of the Department of Rail Services (RAIL) under the Office of the Chief Operating Officer (COO). These reporting relationships are illustrated in the diagram below:



2.1 REVIEW SCOPE

Activity	Description
Review of Existing Documentation	<p>QICO gathered and analyzed the following documentation as part of its review:</p> <ul style="list-style-type: none"> - SOP 202-01 – Rail Supervisor Daily Activity Report and Compliance Checks <i>(Rev 001, Nov 10, 2016) & (Rev 002, April 04, 2017)</i> <ul style="list-style-type: none"> o WMATA’s adopted standard Operating Procedure for RSTO Rail Supervisors to effectively evaluate the primary job tasks of RSTO’s frontline employees through spot compliance checks in accordance with each job’s performance expectations. - “The Rail Supervisor Profession” - Course “Participant Manual” <i>(Dated Nov 25, 2016)</i> <ul style="list-style-type: none"> o Manual used in Rail Supervisor training - RTRA Operations Support Group Audit Report <i>(37 reports dated Jun-Dec 2016)</i> - RTRA Operations Support Group Audit Report <i>(8 reports April 2017)</i> - RTRA Operations Support Group Corrective Action Report <i>(5 reports Jan-April Dec 2017)</i> - Rail Supervisor Daily Activity Report (RSDAR) Records <ul style="list-style-type: none"> o Reviewed daily supervisor reports on Train Operators, Station Managers, and Miscellaneous spot checks spanning February 2017 through April 2017. - Rail Operation Supervisor 3 day Refresher <ul style="list-style-type: none"> o Syllabus
Interviews of Key Personnel (Appendix C)	<p>QICO conducted interviews of the following key personnel - <i>see also</i> (Appendix C)</p> <ul style="list-style-type: none"> - Division Superintendents for RTRA/RSTO - Division Assistant Superintendents for RTRA/RSTO - RTRA/RSTO Rail Operations Supervisors - RTRA Operations Support Manager
Observation of Rail Supervisor Activities & Training (Appendix D)	<p>QICO performed the following field observations in support of its review – <i>see also</i> (Appendix D)</p> <ul style="list-style-type: none"> - Verification of Rail Operation Supervisor tasks on mainline and at stations - Verification of Rail Supervisor Training effectiveness at Carmen Turner Facility

2.2 REVIEW CRITERIA

Quality Measures		Definition
Quality of Work	Workmanship	Qualitative or quantitative measurement of material characteristics of work performed.
	Performance of Work	Qualitative or quantitative measurement of actions taken to complete work.
	Housekeeping	Assessment of site conditions; i.e. work zone organization and cleanliness.
	Quality Control Measures	Internal management controls that ensure the consistency & reliability of work performed.
	Materials and Tooling	Measureable properties of parts and tools (or technology) used to perform work.
Compliance with Standards	Business Practices	Formal documented standards governing business practices; i.e. P/I's, departmental policies, etc.
	Procedural Requirements	Formal documented standards that identify specific actions to be taken; i.e. who, what, when, where, how?
	Regulatory Findings	Findings issued by outside regulatory entities (FTA, NTSB, GAO) that generate recommendations or required actions.
	Internal Findings	Findings issued by internal oversight entities (OIG, QICO, SAFE) that generate recommendations or required actions.
Safety	Roadway Worker Protection (RWP)	Documented requirements for work zone setup and personal protective equipment.
	Applicable Job Safety Requirements	Any documented safety requirements that apply to specific work performed.
Records Management	Work Order Management	Protocols established to control maintenance scheduling, documentation, and tracking.
	Processes	Documented requirements for departmental activities.
	Records Storage and Retention	Documented requirements for the maintenance of records and documentation.

2.3 RISK ASSESSMENT

Note: Required actions are rated based on severity of risk, which ranges from 'Insignificant' to 'High' scale. Refer to Figure 1 [Appendix A](#) (Risk Assessment) for details.

Definitions

Insignificant	Low	Moderate	Elevated	High
Reasonable assumption that this risk will not occur and unlikely to cause the activity to fail to meet part of its objective	Reasonable assumption that this risk will likely not occur & may cause a failure of the business process to meet part of its objectives	Reasonable assumption that this risk may occur & may cause a failure of the business process to meet a significant part of its objectives	Reasonable assumption that this risk will likely occur & likely to cause a failure of the business process to meet a significant part of its objectives	Reasonable assumption that this will occur & will cause a failure of the business process to meet its objectives or cause objective failure in other activities

3 WHAT WORKED WELL

Measure	Finding	Description
<p>Compliance with Standards</p>	<p>On average, Rail Supervisors are exceeding the minimum number of daily spot checks required.</p>	<ul style="list-style-type: none"> - As required by FTA CAP T-3-1, Rail Supervisor Compliance checks have increased in scope, quantity, consistency, and repeatability over the past 2 years. - QICO analysed fourteen thousand nine hundred and fifteen (14,915) Spot Compliance Checks in the Rail Supervisor Daily Activity Reports (RSDAR) application and noted: <ul style="list-style-type: none"> • Rail Supervisors averaged over four (4) evaluation points per one Train/Station Spot Check performed, one (1) greater than the minimum requirement set forth within SOP 202-01. Meet/exceeded requirement.
	<p>The new Rail Supervisor initial training course incorporates well-developed modules on monitoring and rule check activities.</p>	<ul style="list-style-type: none"> - QICO attended a classroom training on January 23, 2017 to evaluate the "Rail Supervisor Profession" Course effectivity in promoting compliance with SOP 202-01 (Rail Supervisor Daily Activity Report and Compliance checks). - "The Rail Supervisor Profession" Course Participant Manual, dated November 25, 2016, was found to be well developed. <ul style="list-style-type: none"> • Course Syllabus contains well defined course Goals, Objectives, Duration, Evaluation, Material, and Flow. • Contains five (5) Course Modules: <ul style="list-style-type: none"> ✓ Module-1 Rail Operation Supervisor Role and Responsibilities ✓ Module-2 Monitoring Employee Performance ✓ Module-3 Rule Violation ✓ Module-4 Proficiency Train Operations ✓ Module-5 Switches and Derails - Each Course Module: <ul style="list-style-type: none"> • Was formatted in logical order, and presented in a professional manner. • Was designed to promote student / instructor interaction. • Included Reviews/quizzes to help trainees to assimilate the material, evaluate the progress, and reinforce understanding. - The Course contains final evaluation at the end of instruction.

4 AREAS FOR IMPROVEMENT

Note: Findings are rated based on risk on a 1 (Insignificant) to 5 (High) scale. Refer to [Appendix A](#) (Risk Assessment) for further details

Measure	Finding	Description
Performance of Work	<p>F-RTRA-17-01: Missing and incomplete data is consistently found in Rail Supervisor daily activity reports (RSDAR).</p> <p><i>Governance Risk</i> Moderate (3,4) ■</p>	<ul style="list-style-type: none"> - Many data entry discrepancies were observed with actual data entry of RSDAR, primarily consisting of one or more key fields not being recorded. The absence of consistent data can seriously impede the ability to perform root cause analysis, investigations, and reporting. Below are the types of discrepancies observed: <ul style="list-style-type: none"> ➤ Departing Time, Boarding time not recorded ➤ Arrival Time and Leaving time not recorded ➤ Start time and End time not recorded ➤ Boarding Location and Departing Location not recorded ➤ Train ID not recorded ➤ Activity Type, location, and operator not recorded ➤ Spot Checks not locked using "Lock Spot Check" checkbox. <p>Recommendation: Evaluate RSDAR application to identify opportunities to enhance data quality and validity.</p>
Materials and Tooling	<p>F-RTRA-17-02: Rail Supervisors do not routinely monitor Train Operator performance in Rail Yards and Maintenance Shops.</p> <p><i>Governance Risk</i> Moderate (3,4) ■</p>	<ul style="list-style-type: none"> - SOP 202-01 did not include provisions or requirements for compliance checks in shops and yards. - A previous finding from the Tri-State Oversight Committee (TOC) TOC-COL-15-001 stated "Train, Yard, Interlocking and Equipment Operators are not following critical safety rules governing the movement of trains and equipment in rail yards and shops. WMATA responded to the FTA CAP, as of 8/1/2017 WMATA is currently responding to the FTA comments. (Source: FTA TOC WMATA CAP TOC-COL-15-001) - RSDAR data analysis does not provide clear evidence that Rail Supervisors completed Yard/Shop compliance checks, due to the fact that any of these activities would be recorded as "Miscellaneous" <p>Recommendation: Assess staffing levels and responsibilities to allow for additional checks within Rail Yards.</p>
Compliance to Standards	<p>F-RTRA-17-03: Rail Supervisor refresher training has been developed, but not yet implemented.</p> <p><i>Governance Risk</i> Moderate (3,4) ■</p>	<ul style="list-style-type: none"> - Only newly hired Rail Supervisors have gone through the revised "Rail Supervisor Profession" course. - Curriculum and course material for Supervisor Refresher training was developed, however as of 6/1/17 no classes have been scheduled. <p>Recommendation: Implement Rail Supervisor refresher training, establish a training schedule and develop requirements for retraining that accounts for operational needs and manpower availability.</p>

4 AREAS FOR IMPROVEMENT

Note: Findings are rated based on risk on a 1 (Insignificant) to 5 (High) scale. Refer to [Appendix A](#) (Risk Assessment) for further details

Measure	Finding	Description
Compliance to Standards	<p>F-RTRA-17-04: RTRA Operations Support activities are not performed in a manner which effectively ensures process improvement and root cause corrective action.</p> <p><i>Governance Risk</i> Moderate (3,4) ■</p>	<ul style="list-style-type: none"> - RTRA Operations Support quarterly activities are developed and submitted, however no evidence was provided to indicate that root cause analysis and appropriate corrective actions are taken to prevent reoccurrence other than on the individual performer level. - RTRA Operations Support has employees with job descriptions that are "Quality Assurance", however these individuals are currently responsible for tasks such as quality control, re-certification of operations personnel, efficiency checks and compliance checks, which is not consistent with RTRA's mission or the job description. - RTRA Operations Support staff are responsible for requalification/recertification of front-line employees. This is a deviation from other internal practices as well as best practices which call for an independent group, such as Training or another third party to perform this type of activity. <p><i>Recommendation:</i> Determine the appropriate reporting structure to ensure certification and oversight functions are run independent of the department performing the work.</p>

5 OTHER OBSERVATIONS

Measure	Observation	Description
Performance of Work	<p>O-RTRA-17-01: Rail Supervisors are not evenly distributing procedural reviews across all procedures.</p>	<ul style="list-style-type: none"> - 63 percent of all Operator procedural reviews involved 3 specific procedures: (Train Intercom Procedures, Rule of the Week, and Zero Speed Commands) - 71 percent of all Station Manager procedural reviews involved 3 specific procedures: (Rule of the Week, HEART Customer Service, and Station Radio –Ops 5)

6 SUMMARY OF REQUIRED ACTIONS

Note: Findings are rated based on the associated risk to organization's objectives, provided as Type of Risk followed by Risk Severity (Impact rating, Probability rating) Color Coding. Refer to [Appendix A](#) (Risk Assessment) for further details.

Required Action	Finding	Owner
<p>QICO-RTRA-17-01: Evaluate Rail Supervisor Daily Activity Report (RSDAR) application to identify opportunities to enhance data quality and validity. Moderate ■■</p>	<p>F-RTRA-17-01 ■</p> <p>Missing and incomplete data found in Supervisor daily activity reports (RSDAR).</p>	RTRA
<p>QICO-RTRA-17-02: Determine the appropriate reporting structure to ensure certification and oversight functions are run independent of the department performing the work. Moderate ■■</p>	<p>F-RTRA-17-02 ■</p> <p>Supervisors do not routinely monitor Train Operator work activities in Rail Yard and Maintenance Shops.</p>	RTRA
	<p>F-RTRA-17-04 ■</p> <p>RTRA Operations Support activities are not performed in a manner which effectively ensures process improvement and root cause corrective action.</p>	RTRA
<p>QICO-RTRA-17-03: Implement Rail Supervisor refresher training, establish a training schedule and develop requirements for retraining that accounts for operational needs and manpower availability. Moderate ■■</p>	<p>F-RTRA-17-03 ■</p> <p>Supervisor refresher training has been developed, but not yet implemented.</p>	RTRA

7 CORRECTIVE ACTION PLANS



INTERNAL REVIEW

Rail Transportation Supervisor Duties

In response to the internal review report for Metro's Rail Station and Train Operations (RSTO) dated June 15, 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

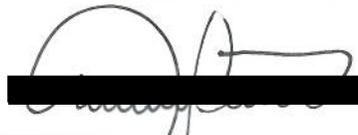


Joseph Leader
Chief Operating Officer (COO)

8/9/17
Date

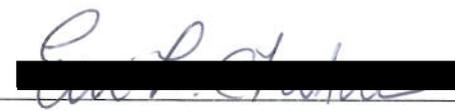
WMATA INTERNAL OVERSIGHT

Corrective Action Plan Acknowledgement



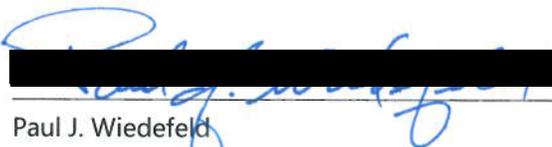
Angel Peña
Managing Director, Quality Assurance, Internal Compliance & Oversight (QICO)

08/09/17
Date



Eric Christensen
Chief, Internal Compliance (INCP)

8/10/17
Date



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

8/10/17
Date

CORRECTIVE ACTION PLAN

Purpose and Scope

On June 15, 2017 QICO issued a comprehensive Report from an internal review into Rail Station and Train Operations (RSTO) Branch, which resides within the Department of Rail Services (RAIL). This Corrective Action Plan (CAP) has been developed to address the finding and required action per **QICO-RTRA-17-01**.

QICO Finding

QICO Recommendation

F-RTRA-17-01: Missing and incomplete data found in - Evaluate RSDAR application to identify opportunities to Supervisor daily activity reports (RSDAR). enhance data quality and validity.

Required Action

QICO-RTRA-17-01: Evaluate RSDAR application to identify opportunities to enhance data quality and validity.

(Risk Rating: Moderate)

Plan Description

The RTRA Operations Support Group will conduct a review of the submitted data provided to QICO during the RSTO audit to verify the audit findings. Identified discrepancies should be determined and a root cause identified.

The RTRA Operations Support Group will identify discrepancies in the RSDAR application process that can create missing and incomplete data to be transmitted by field supervisors. Once the discrepancies are identified, testing and remediation of the discrepancies shall occur.

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	RSDAR Data Review	RTRA Operations Support Group will conduct a review of the submitted data provided to QICO during the RSTO audit to verify the audit findings. Identified discrepancies will be determined and a root cause identified.	Lisa Woodruff (RTRA)	07/17/17	08/09/17
2	Remediation Plan	RTRA Operations Support Group will identify discrepancies in the RSDAR application process that can create missing and incomplete data. Once the discrepancies are identified, testing and remediation of the discrepancies shall occur.	Lisa Woodruff (RTRA)	08/11/17	09/06/17
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	09/06/17	10/04/17

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



COMPLETION DOCUMENTATION

Performance Measures

- Identification of root cause as outlined in actionable item #1
- Evidence that remediation has taken place as determined in actionable item #2, demonstrating improvement in data capture.

RESPONSIBLE PARTIES

RTRA

Lisa Woodruff

SECOND LEVEL RESPONSIBILITY

AGM RAIL

Andrew Off

CORRECTIVE ACTION PLAN

Purpose and Scope

On June 15, 2017 QICO issued a comprehensive Report from an internal review into Rail Station and Train Operations (RSTO) Branch, which resides within the Department of Rail Services (RAIL). This Corrective Action Plan (CAP) has been developed to address the finding and required action per **QICO-RTRA-17-02**.

QICO Finding

F-RTRA-17-02: Rail Supervisors do not routinely monitor Train Operator performance in Rail Yards and Maintenance Shops.

F-RTRA-17-04: RTRA Operations Support activities are not performed in a manner which effectively ensures process improvement and root cause corrective action.

QICO Recommendation

- Assess staffing levels and responsibilities to allow for additional checks within Rail Yards.

- Determine the appropriate reporting structure to ensure certification and oversight functions are run independent of the department performing the work.

Required Action

QICO-RTRA-17-02: Determine the appropriate reporting structure to ensure certification and oversight functions are run independent of the department performing the work.

(Risk Rating: Moderate)

Plan Description

The RTRA Operations Support Group will re-write the job description for the RTRA QA/QC Officer position. This updated job description will outline Office of Rail Transportation operational quality control, compliance auditing, and certification/recertification of front-line employees.

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	Re-write of the RTRA QA/QC Officer Job Description	The RTRA Operations Support Group will re-write the job description for the RTRA QA/QC Officer position with a focus on Office of Rail Transportation operational quality control, compliance auditing, and certification/recertification of front-line employees.	Lisa Woodruff (RTRA)	07/17/17	12/06/17
2	RTRA QA/QC Checklists	90-day sample of completed checklists/documentation demonstrating quality control, compliance auditing and certification/recertification activities by RTRA QA/QC personnel.	Lisa Woodruff (RTRA)	08/01/17	10/31/17
2	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	12/06/17	01/31/18

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



COMPLETION DOCUMENTATION

Performance Measures

- Evidence of implementing updated RTRA QA/QC Officer job description developed under actionable item #1.
- Evidence of RTRA QA/QC activities through completed checklists as outlined in actionable item #2.

RESPONSIBLE PARTIES

RTRA

Lisa Woodruff

SECOND LEVEL RESPONSIBILITY

AGM RAIL

Andrew Off

CORRECTIVE ACTION PLAN

Purpose and Scope

On June 15, 2017 QICO issued a comprehensive Report from an internal review into Rail Station and Train Operations (RSTO) Branch, which resides within the Department of Rail Services (RAIL). This Corrective Action Plan (CAP) has been developed to address the finding and required action per **QICO-RTRA-17-03**.

QICO Finding

F-RTRA-17-03: Rail Supervisor refresher training has been developed, but not yet implemented.

QICO Recommendation

- Implement Rail Supervisor refresher training, establish a training schedule and develop requirements for retraining that accounts for operational needs and manpower availability.

Required Action

QICO-RTRA-17-03: Implement Rail Supervisor refresher training, establish a training schedule and develop requirements for retraining that accounts for operational needs and manpower availability.

(Risk Rating: Moderate)

Plan Description

Fifteen new RTRA Rail Supervisors have completed the initial Rail Supervisor training. As critical positions are filled and manpower availability stabilizes, RTRA will commence the Rail Supervisor Refresher Training.

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 Refresher Training Requirements	OPMS will work with RTRA to define the Rail Supervisor Refresher Training Requirements.	Linda Stoffregen (OPMS)	09/01/17	09/19/17
2	Rail Supervisor Refresher Training Schedule	RTRA will identify a Rail Supervisor Refresher Training schedule that ensures their employees complete the two-day training, but does not negatively impact the quality of rail service delivery through management staffing shortages, in conjunction with RWP refresher training.	Lisa Woodruff (RTRA)	11/01/17	10/31/18
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	10/31/18	02/06/19

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

COMPLETION DOCUMENTATION

Performance Measures

- 90% training completed in accordance with the schedule developed under actionable item #2.



RESPONSIBLE PARTIES

OPMS

Linda Stoffregen

[Redacted]

RTRA

Lisa Woodruff

[Redacted]

SECOND LEVEL RESPONSIBILITY

AGM RAIL

Andrew Off

[Redacted]

8 SUPPLEMENTAL MATERIAL

8.1 APPENDIX A: RISK ASSESSMENT

APPENDIX A: RISK ASSESSMENT

Risk Assessment Methodology

What is Risk?

Risk is defined as an uncertain event or condition that, if it occurs, has a positive or negative effect on the organization’s objectives and operations (both threats and opportunities). It is assessed on the combination of the probability of occurrence of risk and the severity of the risk.

Risk management is an attempt to answer the following questions:

- What can go wrong? – The Risk
- How bad are the consequences? – The Impact
- How often does/will it happen? – The Probability of Occurrence
- Is the risk acceptable? – The Risk Treatment, Remediation

Categories of Risk

- *Safety* – Risk associated with harm to customers and employees and critical equipment or asset safety
- *Governance* – Risks associated with internal controls and compliance
- *Operational* – Risk related to inefficient and ineffective business processes, disruption to normal business operations, non-compliance, negative public relations, breach to physical security, etc.
- *External* – Risks related to changing regulations, unfavourable economic conditions, industry or customer needs change, litigation and damage/loss to company assets
- *Financial* – Risks associated with uncollectable receivables, incorrect financial models or analysis, fluctuation in capital levels and adverse movement of interest rates

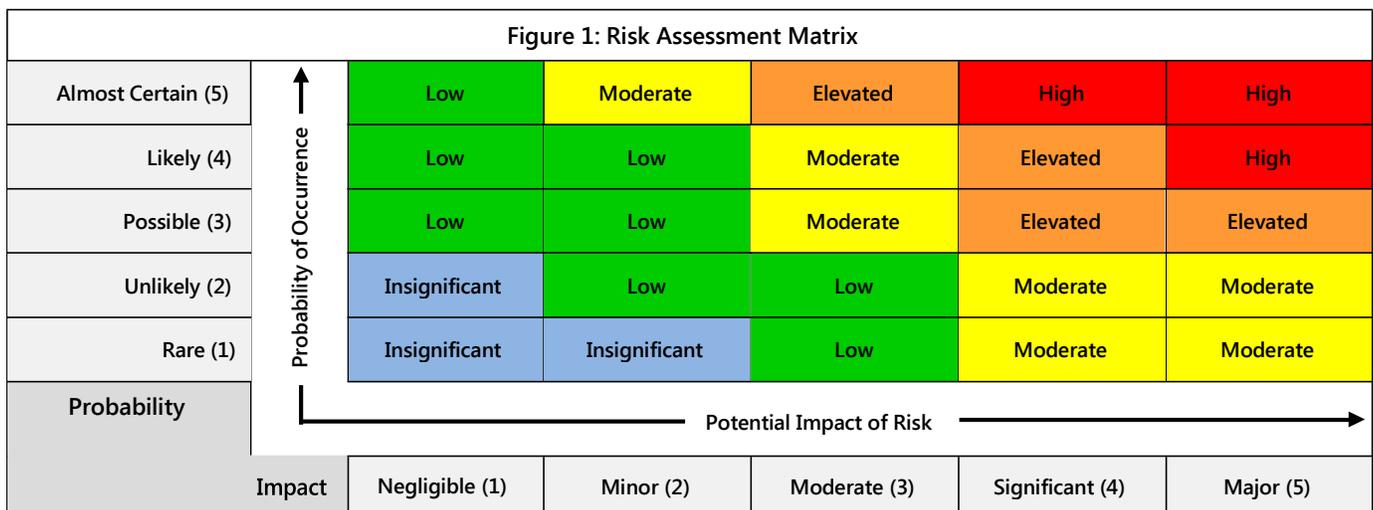
- *Technological* – Risk associated with unauthorized access to information, unavailable or unreliable information, technology not meeting business needs and compromised information security

Risk Assessment

The following risk matrix (Figure 1) was used to assess risks within the universe of review areas. The universe (see Table 1) is comprised of the potential range of all review activities and review business units (or departments) that fall within QICO’s scope and oversight authority. These business units consist of programs, processes, assets and people which together contribute to the fulfilment of the departments’ strategic goals (Goal 1 - Build Safety Culture; Goal 2 - Deliver Quality Service; Goal 3 - Improve Regional Mobility; and Goal 4 - Ensure Fiscal Stability).

Risks are assessed based on the probability of occurrence (see vertical axis in Figure 1) and the significance of their impact (see horizontal axis in Figure 1). The probability ratings are rated on a scale of 1 (minimum) to 5 (maximum) and are driven by the metrics shown on the next page. The impacts ratings are also rated on a scale of 1 (minimum) to 5 (maximum) and are driven by the category of risks, which are then aligned on the metrics shown on the next page.

Each finding is given a severity rating of Insignificant, Low, Moderate, Elevated or High. All areas with Elevated / High ratings are considered to be high risk to the organization’s objectives; and need to be mitigated/ reduced in severity at the earliest. The risk ratings to the findings are provided as “Type of Risk” followed by “Severity Rating (Impact, Probability)” (e.g. a finding with “Elevated (4 , 3)” would mean a ‘significant (4)’ impact along with a ‘possible (3)’ probability of occurrence)



APPENDIX A: RISK ASSESSMENT

Risk Assessment Methodology

Probability of Occurrence of Risk Events Defined

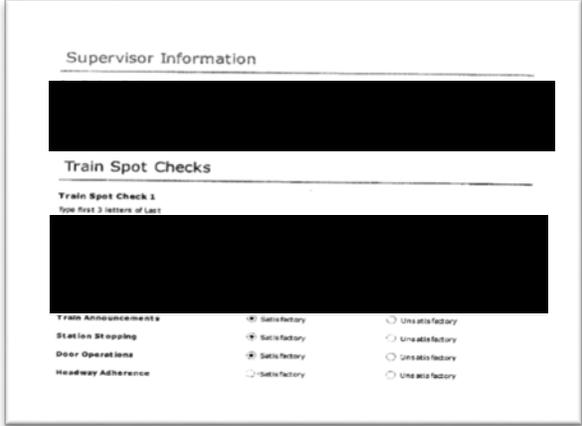
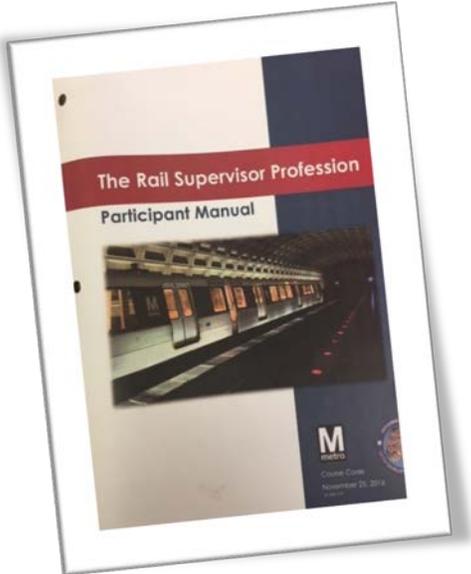
Rare | 1 – Reasonable assumption that this risk will not occur
Unlikely | 2 – Reasonable assumption that this risk will likely not occur
Possible | 3 – Reasonable assumption that this risk may occur
Likely | 4 – Reasonable assumption that this risk will likely occur
Almost Certain | 5 – Reasonable assumption that this will occur

Potential Impact of Risk Events Defined

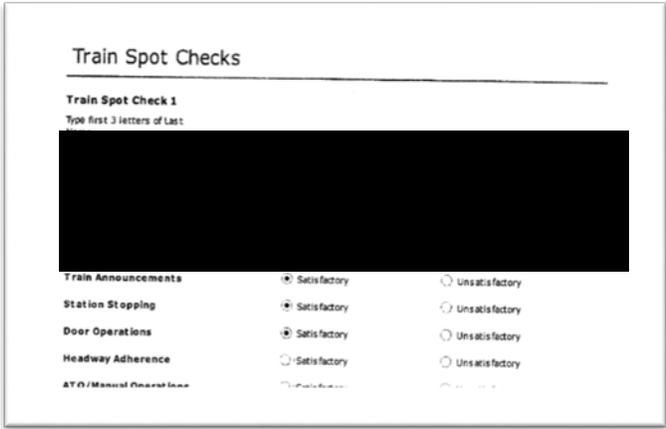
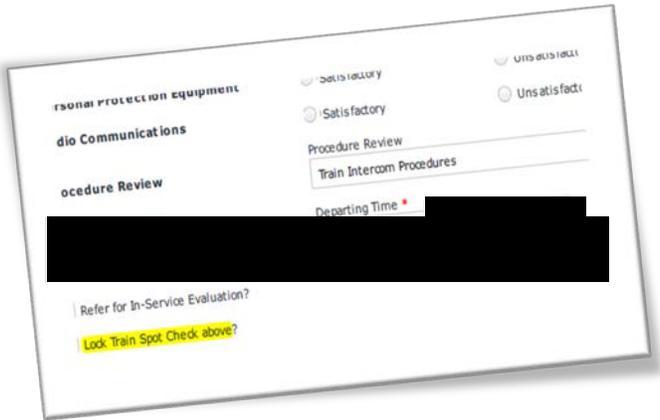
Negligible | 1 – Unlikely to cause the activity to fail to meet part of its objectives.
Minor | 2 – May cause a failure of the business process to meet part of its objectives, which may expose Metro to minor financial losses, less-effective or efficient operations, some non-compliance with laws and regulations, waste of resources, etc.
Moderate | 3 – May cause a failure of the business process to meet a significant part of its objectives, or negatively impact the objectives of other activities, which may expose Metro to significant financial losses, reductions to or ineffectiveness of operations, non-compliance with laws and regulations, sizable waste of resources, etc.
Significant | 4 – Likely to cause a failure of the business process to meet a significant part of its objectives, or negatively impact the objectives of other activities, which may expose Metro to significant financial losses, reductions to or ineffectiveness of operations, non-compliance with laws and regulations, sizable waste of resources, etc.
Major | 5 – Will cause a failure of the business process to meet its objectives, or cause objective failure in other activities, which may cause or expose Metro to major financial losses, interruptions in operations, failure to comply with laws and regulations, major waste of resources, failure to achieve stated goals, etc.

8.2 APPENDIX B: DEFINITIONS

APPENDIX B: Definitions

Definitions	Photos																																
<p>Rail Supervisor Daily Activity Report (RSDAR) An electronic daily report form for use by Rail Supervisors to:</p> <ul style="list-style-type: none"> • Conduct and log Train Spot Checks • Conduct and log Station Spot Checks • Record Miscellaneous Activities 	 <p>The image shows a digital form titled 'Supervisor Information' with a redacted section. Below it is the 'Train Spot Checks' section, which includes a 'Train Spot Check 1' form with a redacted area for the first three letters of the last name. At the bottom, there are radio button options for 'Satisfactory' and 'Unsatisfactory' for four categories: Train Announcements, Station Stopping, Door Operations, and Headway Adherence.</p>																																
<p>The Rail Supervisor Profession” - Course “Participant Manual” Participant handout prepared for Rail Supervisor initial training course. The goal of this course is to familiarize students to the Rail Operations Supervisor profession by examining the various duties he or she performs. The training contains five (5) course modules:</p> <ul style="list-style-type: none"> • Module-1 Rail Operation Supervisor Role and Responsibilities • Module-2 Monitoring Employee Performance • Module-3 Rule Violation • Module-4 Proficiency Train Operations • Module-5 Switches and Derails 	 <p>The image shows the cover of a manual titled 'The Rail Supervisor Profession Participant Manual'. The cover features a photograph of a train platform with tracks receding into the distance. The MTA logo is visible in the bottom right corner, along with the course code 'November 21, 2014'.</p>																																
<p>SOP 202-01 Rev 00 Standard Operating Procedure for RSTO Rail Supervisors to effectively evaluate the primary job tasks of RSTO’s frontline employees through spot compliance checks in accordance with each job’s performance expectations.</p>	 <p>The image shows the cover page of a Standard Operating Procedure (SOP) document. It includes the MTA logo and the title 'OFFICE OF RAIL TRANSPORTATION RAIL STATION AND TRAIN OPERATIONS BRANCH RSTO RAIL SUPERVISOR Standard Operating Procedure'. Below the title is a table with the following information:</p> <table border="1"> <thead> <tr> <th>CATEGORY</th> <th colspan="3">TOPIC</th> </tr> </thead> <tbody> <tr> <td>Operations</td> <td colspan="3">Standard Operating Procedures (SOP)</td> </tr> <tr> <td>SOP NO.</td> <td colspan="3">TITLE</td> </tr> <tr> <td>202-01</td> <td colspan="3">Rail Supervisor Daily Activity Report and Compliance Checks</td> </tr> <tr> <td>LATEST REVISION NO.</td> <td>ORIGINATION DATE</td> <td>DATE REVIEW DUE</td> <td>EXPIRATION DATE</td> </tr> <tr> <td>001</td> <td>March 21, 2016</td> <td>March 21, 2018</td> <td>None</td> </tr> <tr> <td>LATEST REVISION DATE</td> <td>LATEST REVIEW DATE</td> <td colspan="2"></td> </tr> <tr> <td>November 10, 2016</td> <td>None</td> <td colspan="2"></td> </tr> </tbody> </table> <p>Below the table, it states 'SOP APPLIES TO: Office of Rail Transportation, Rail Station and Train Operations (RSTO) Branch' and 'DEPARTMENT/OFFICE/INDIVIDUAL OF PRIMARY RESPONSIBILITY (OPR): Office of Rail Transportation, Rail Station and Train Operations (RSTO) Branch'. It also includes sections for 'EFFECTIVE PAGES/NOTES' (All), 'DISTRIBUTION' (All RSTO Directors, Superintendents, Assistant Superintendents, & Rail Supervisors), 'COORDINATION WITH OTHER PUBLICATIONS' (None), and 'APPROVAL:' and 'DIRECTED BY:' fields.</p>	CATEGORY	TOPIC			Operations	Standard Operating Procedures (SOP)			SOP NO.	TITLE			202-01	Rail Supervisor Daily Activity Report and Compliance Checks			LATEST REVISION NO.	ORIGINATION DATE	DATE REVIEW DUE	EXPIRATION DATE	001	March 21, 2016	March 21, 2018	None	LATEST REVISION DATE	LATEST REVIEW DATE			November 10, 2016	None		
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001	March 21, 2016	March 21, 2018	None																														
LATEST REVISION DATE	LATEST REVIEW DATE																																
November 10, 2016	None																																

APPENDIX B: Definitions

Definitions	Photos
<p>Spot Compliance Checks</p> <p>To sample or investigate quickly, typically at random, to verify conformity or identify problems especially by looking at a few items or people from a large group.</p>	
<p>Lock Train Spot Check Box</p> <p>A checkbox in the RSDAR form used by Rail Supervisors to complete and lock Spot Check forms to prevent accidental changes to spot check items.</p>	

8.3 APPENDIX C: QICO INTERVIEWS OF KEY PERSONNEL & FIELD OBSERVATIONS



ROLLING STOCK ASSURANCE PROGRAM

QUALITY ASSURANCE AUDIT CHECKLIST

Audit of Rail Supervisor Daily Activity Report and Compliance Checks (SOP 202-01)

RSTO RAIL SUPERVISOR: [REDACTED]	QICO AUDITOR: [REDACTED]	AUDIT DATE: 12/22/2016 10:00AM
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PURPOSE: The purpose of this audit is to verify rail supervisor's compliance to the RSTO SOP 202-01 and evaluate its effectiveness.

RTRA DIVISION: New Carrollton

COMMENTS AND RESPONSES

DISCREPANCY/OBSERVATIONS

#

1. **QMA OBSERVATION:**
 During audit opening meeting, [REDACTED] explained his responsibilities and daily duties as a RTRA Supervisory. His explanations are in compliance with the responsibilities and procedures as outlined in SOP 202-01.
 [REDACTED] performed a Train Spot check and Station Spot Check Activities per the guidelines outlined in SOP 202-01.
 [REDACTED] performed quick Procedure Reviews with Operators and Station Managers per the guidelines outlined in SOP 202-01.
 [REDACTED] recorded his observations and activities into the Smartphone App form per the guidelines outlined in SOP 202-01.

2. **QMA ANALYSIS:**
 QMA analyzed the Rail Supervisor Daily Activity Report (RSDAR); and found Mr. Bowman is proficient with the procedure outlined in SOP 202-01. Below are the summary of the observed and recorded activities. For detail see the attached RSDAR.

Activity Name/Number	Train ID/Mezz Code	Evaluation Points/Status			Procedure Review
		Total	Satisfactory	Unsatisfactory	
Train Spot Check 2	[REDACTED]	5	5	0	Zero Speed Commands
Train Spot Check 3	[REDACTED]	6	6	0	Red Signal
Train Spot Check 4	[REDACTED]	6	6	0	Zero Speed Commands
Station Spot Check 1	[REDACTED]	7	7	0	Person Hit By Train
Station Spot Check 2	[REDACTED]	5	5	0	Andllary Room Fire
Station Spot Check 3	[REDACTED]	5	5	0	Person Falling to Roadway

TABLE-1: DAY SHIFT SUPERVISOR RSDAR SUMMARY

RTRA RESPONSE

RAIL SUPERVISOR DAILY ACTIVITY REPORT AND COMPLIANCE CHECKS

The actions of the Rail Supervisor listed below are rated "Y" or "N" for compliance with applicable RTRA Standard Operating Procedures, Employee Rules and Regulations, Federal, State, and Local laws and Safety regulations. "Y" ratings indicate compliance with referenced standard(s). "N" ratings indicate non-compliance. "N/O" ratings indicate that no observations concerning the referenced standard were made by QICO and N/A indicates the condition was not applicable. Items rated "N" in shadowed boxes require immediate corrective response. Review this report with the Supervisor.

OBSERVATIONS		Y	N	N/O N/A
3	RESPONSIBILITIES			
3.2	RSTO Superintendents and Assistant Superintendents are responsible for:			
	3.2.1 Familiarization and compliance with the guidelines set forth in this procedure.	x		
	3.2.2 Ensuring that personnel fully understand the instructions in these procedures.	x		
	3.2.3 Ensuring the requirements of these procedures are executed properly and in the most effective manner possible.	x		
	3.2.4 Ensuring all RSTO Rail Supervisors receive training on how to use the Rail Supervisor Daily Activity Report and how to conduct Train Spot Checks and Station Spot Checks.	x		
	3.2.5 Responsible for reviewing all Rail Supervisor Daily Activity Reports for all Rail Supervisors under their management.	x		
3.3	RSTO Rail Supervisors are responsible for:			
	3.3.1 Adhering to all guidelines outlined in this standard operating procedure.	x		
	3.3.2 Using the Rail Supervisor Daily Activity Report to conduct Train Spot Checks and Station Spot Checks as set forth in this procedure	x		
6.1	Spot Check Expectations and Requirements for Rail Supervisors:			
	6.1.1.1 Monitor RSTO front-line employees performing their jobs in compliance with established safety rules & performance standards	x		
	6.1.1.2 Review operating procedures and tasks with RSTO front-line staff for knowledge, understanding, and application	x		
	6.1.1.3 Recognize RSTO front-line employees when their job performance is in accordance with desired standards and/or extraordinary.			x
	6.1.1.4 To correct and coach RSTO front-line employees when their job performance is unsatisfactory or a task deficiency has been discovered.			x
6.1.2	Spot Check Observation Criteria:			
	6.1.2.1 All Rail Supervisors are charged with conducting viable and meaningful evaluations of RTRA frontline employees throughout their tour-of-duty.			x
	6.1.2.2 All Rail Supervisors shall review a minimum of three (3) job task evaluation points during each spot check.	x		
	6.1.2.3 All Rail Supervisors shall provide immediate feedback to employees on their job performance, recognizing and praising desired performance and customer service using verbal recognition and/or written commendation.			x
	6.1.2.4 All Rail Supervisors shall immediately correct observed task performance deficiencies and record the deficiency and corrective action in the appropriate spot check form field.			x
	6.1.2.5 All Rail Supervisors shall perform procedure reviews with employees on random operating procedures or specific procedures as a part of a targeted, system-wide campaign or blitz.	x		
	6.1.2.6 All Rail Supervisors shall recommend further evaluations for employees with observed task performance deficiencies in multiple areas.			x

6.1.3	Spot Check Frequency and Consistency:			
	6.1.3.1 All Rail Supervisors with sector (road) supervision responsibilities are required to complete a Rail Supervisor Daily Activity Report (RSDAR) when on duty.	X		
	6.1.3.2 All Rail Supervisors shall account for their time by spot checking employees they encounter during their tour-of-duty using the Train Spot Check or Station Spot Check section of the RSDAR.	X		
	6.1.3.3 All Rail Supervisors shall record all other activities, outside of employee evaluation, in the Miscellaneous Activity section of the RSDAR.	X		
	6.1.3.4 All Rail Supervisors shall only complete one RSDAR per shift and are required to submit the completed RSDAR at the end of their shift.	X		
	6.1.3.5 An electronic copy of all RSDAR's will be automatically sent to each Rail Supervisor's division management team, via an email workflow, once submitted at the end of their shift.	X		
6.2	Conducting a Train Spot Check In the RSDAR:			
	6.2.1 Using the Train Spot Check section of the RSDAR on the mobile device, Rail Supervisors shall observe and record the following information:			
	6.2.1.1 Search for the Train Operator being evaluated by entering the first three (3) letters of their last name in the appropriate field and then, select the correct employee name and employee number when displayed.	X		
	6.2.1.2 Record the train 10, boarding location, and boarding time in the appropriate fields.	X		
	6.2.1.3 Visually check the Operator's task performance and compliance against the following evaluation points: <ul style="list-style-type: none"> • Train Operations • Station Stopping • Door Operations • Headway Adherence • ATO/Manual Operations • Uniform Appearance • Personal Protection Equipment • Radio Communications 	X		
	6.2.1.4 Using the Satisfactory/Unsatisfactory radio buttons, record a minimum of three (3) checks against the task performance and compliance evaluation points.	X		
	6.2.1.5 All Unsatisfactory checks recorded require comments in the "Unsatisfactory" text field under the evaluation point item; the deficiency observed and the corrective action taken by the Supervisor shall be noted in that field.			X
	6.2.1.4 Using the Satisfactory/Unsatisfactory radio buttons, record a minimum of three (3) checks against the task performance and compliance evaluation points.	X		
	6.2.1.5 All Unsatisfactory checks recorded require comments in the "Unsatisfactory" text field under the evaluation point item; the deficiency observed and the corrective action taken by the Supervisor shall be noted in that field.			X
	6.2.1.6 Select the Procedure Review field drop down list to select and perform a quick procedure review with the Operator	X		
	6.2.1.7 Record the departing location, and departing time in the appropriate fields.	X		
	6.2.1.8 If two (2) or more task were deemed Unsatisfactory, or the employee did not demonstrate knowledge and understanding of the procedure reviewed, the Rail Supervisor shall refer the Operator for an In-Service Evaluation by selecting the "Refer for In-Service Evaluation" checkbox.			X
	6.2.1.9 Complete the Train Spot Check by checking the "Lock Train Spot Check above?" checkbox; this prevents accidental changes to spot check items.	X		
	6.2.1.10 Begin a new Train Spot Check by selecting the "Add Train Spot Check" button (plus sign); the new Train Spot Check will appear under the completed check(s).	X		
	6.2.1.11 Repeat the previous steps to complete the new spot check.	X		

6.3	Conducting a Station Spot Check in the RSDAR			
	6.3.1 Using the Station Spot Check section of the RSDAR on the mobile device, Rail Supervisors shall observe and record the following information:			
	6.3.1.1 Search for the Station Manager being evaluated by entering the first three (3) letters of their last name in the appropriate field and then, select the correct employee name and employee number when displayed.	X		
	6.3.1.2 Record the station and mezzanine, and arrival time in the appropriate fields.	X		
	6.3.1.3 Visually check the Station Manager's task performance and compliance against the following evaluation points: <ul style="list-style-type: none"> • Welcomes Customers • Engages Customers • Demonstrates WMATA Expertise • Uniform Appearance • Station Logs • Out of the Kiosk (Rush) • Carries Station Radio • Kiosk Condition • Routine Duties 	X		
	6.3.1.4 Using the Satisfactory/Unsatisfactory radio buttons, record a minimum of three (3) checks against the task performance and compliance evaluation points.	X		
	6.3.1.5 All Unsatisfactory checks recorded require comments in the "Unsatisfactory" text field under the evaluation point item; the deficiency observed and the corrective action taken by the Supervisor shall be noted in that field.			X
	6.3.1.6 Select the Procedure Review field drop down list to select and perform a quick procedure review with the Station Manager.	X		
	6.3.1.7 Record the leaving time in the appropriate field.	X		
	6.3.1.8 If two (2) or more task were deemed Unsatisfactory, or the employee did not demonstrate knowledge and understanding of the procedure reviewed, the Rail Supervisor shall refer the Station Manager for an In-Service Evaluation by selecting the "Refer for In-Service Evaluation" checkbox.			X
	6.3.1.9 Complete the Station Spot Check by checking the "Lock Station Spot Check above?" checkbox; this prevents accidental changes to spot check items.	X		
	6.3.1.10 Begin a new Station Spot Check by selecting the "Add Station Spot Check" button (plus sign); the new Station Spot Check will appear under the completed check(s).	X		
	6.3.1.11 Repeat the previous steps to complete the new spot check.	X		
6.4	Recording a Miscellaneous Activity in the RSDAR			
	6.4.1 Using the Miscellaneous Activity section of the RSDAR on the mobile device, Rail Supervisors shall record other supervisory activities not associated with evaluating Employees.	X		
	6.4.2 Record the start time and end time of the activity in the appropriate fields.	X		
	6.4.3 Using the Activity Performed dropdown list, select the most applicable activity.	X		
	6.4.4 Using the Location dropdown list, select the location of the activity.	X		
	6.4.5 Provide a brief description of the activity performed and note any Corrective actions or unusual occurrences.	X		
	6.4.6 Complete the Miscellaneous Activity by checking the "Lock activity above?" checkbox; this prevents accidental changes to activity items.	X		
	6.4.7 Begin a new Miscellaneous Activity by selecting the "Add Miscellaneous Activity Check" button (plus sign); the new Miscellaneous Activity will appear under the Completed check(s).	X		
	6.4.8 Repeat the previous steps to complete the Miscellaneous Activity.	X		



ROLLING STOCK ASSURANCE PROGRAM

QUALITY ASSURANCE AUDIT CHECKLIST

Audit of Rail Supervisor Daily Activity Report and Compliance Checks (SOP 202-01)

RSTO RAIL SUPERVISOR:

QICO AUDITOR:

AUDIT DATE:

12/23/2016 7:00PM

PURPOSE: The purpose of this audit is to verify rail supervisor's compliance to the RSTO SOP 202-01 and evaluate its effectiveness.

RTRA DIVISION: New Carrollton

COMMENTS AND RESPONSES

DISCREPANCY/OBSERVATIONS

#

- QMA OBSERVATION:**
 During audit opening meeting, [REDACTED] explained his responsibilities and daily duties as a RTRA Supervisory. His explanations are in compliance with the responsibilities and procedures as outlined in SOP 202-01.

 [REDACTED] performed a Train Spot check and Station Spot Check Activities per the guidelines outlined in SOP 202-01.

 [REDACTED] performed quick Procedure Reviews with Operators and Station Managers per the guidelines outlined in SOP 202-01.

 [REDACTED] recorded his observations and activities into the Smartphone App form per the guidelines outlined in SOP 202-01.

- QMA ANALYSIS:**
 QMA analyzed the Rail Supervisor Daily Activity Report (RSDAR); and found Mr. Bowman is proficient with the procedure outlined in SOP 202-01. Below are the summary of the observed and recorded activities. For detail see the attached RSDAR.

Activity Name/Number	Train ID/Mezz Code	Evaluation Points/Status			Procedure Review
		Total	Satisfactory	Unsatisfactory	
Train Spot Check 2	[REDACTED]	3	3	0	Train Intercom Procedure
Train Spot Check 3	[REDACTED]	3	3	0	Train Intercom Procedure
Station Spot Check 1	[REDACTED]	4	4	0	Person Falling to Roadway
Station Spot Check 2	[REDACTED]	3	3	0	Person Falling to Roadway

TABLE-1: EVENING SUPERVISOR RSDAR SUMMARY

RTRA RESPONSE

RAIL SUPERVISOR DAILY ACTIVITY REPORT AND COMPLIANCE CHECKS

The actions of the Rail Supervisor listed below are rated "Y" or "N" for compliance with applicable RTRA Standard Operating Procedures, Employee Rules and Regulations, Federal, State, and Local laws and Safety regulations. "Y" ratings indicate compliance with referenced standard(s). "N" ratings indicate non-compliance. "N/O" ratings indicate that no observations concerning the referenced standard were made by QICO and N/A indicates the condition was not applicable. Items rated "N" in shadowed boxes require immediate corrective response. Review this report with the Supervisor.

OBSERVATIONS		Y	N	N/O N/A
3	RESPONSIBILITIES			
3.2	RSTO Superintendents and Assistant Superintendents are responsible for:			
	3.2.1 Familiarization and compliance with the guidelines set forth in this procedure.	X		
	3.2.2 Ensuring that personnel fully understand the instructions in these procedures.	X		
	3.2.3 Ensuring the requirements of these procedures are executed properly and in the most effective manner possible.	X		
	3.2.4 Ensuring all RSTO Rail Supervisors receive training on how to use the Rail Supervisor Daily Activity Report and how to conduct Train Spot Checks and Station Spot Checks.	X		
	3.2.5 Responsible for reviewing all Rail Supervisor Daily Activity Reports for all Rail Supervisors under their management.	X		
3.3	RSTO Rail Supervisors are responsible for:			
	3.3.1 Adhering to all guidelines outlined in this standard operating procedure.	X		
	3.3.2 Using the Rail Supervisor Daily Activity Report to conduct Train Spot Checks and Station Spot Checks as set forth in this procedure	X		
6.1	Spot Check Expectations and Requirements for Rail Supervisors:			
	6.1.1.1 Monitor RSTO front-line employees performing their jobs in compliance with established safety rules & performance standards	X		
	6.1.1.2 Review operating procedures and tasks with RSTO front-line staff for knowledge, understanding, and application	X		
	6.1.1.3 Recognize RSTO front-line employees when their job performance is in accordance with desired standards and/or extraordinary.			X
	6.1.1.4 To correct and coach RSTO front-line employees when their job performance is unsatisfactory or a task deficiency has been discovered.			X
6.1.2	Spot Check Observation Criteria:			
	6.1.2.1 All Rail Supervisors are charged with conducting viable and meaningful evaluations of RTRA frontline employees throughout their tour-of-duty.			X
	6.1.2.2 All Rail Supervisors shall review a minimum of three (3) job task evaluation points during each spot check.	X		
	6.1.2.3 All Rail Supervisors shall provide immediate feedback to employees on their job performance, recognizing and praising desired performance and customer service using verbal recognition and/or written commendation.			X
	6.1.2.4 All Rail Supervisors shall immediately correct observed task performance deficiencies and record the deficiency and corrective action in the appropriate spot check form field.			X
	6.1.2.5 All Rail Supervisors shall perform procedure reviews with employees on random operating procedures or specific procedures as a part of a targeted, system-wide campaign or blitz.	X		
	6.1.2.6 All Rail Supervisors shall recommend further evaluations for employees with observed task performance deficiencies in multiple areas.			X
6.1.3	Spot Check Frequency and Consistency:			
	6.1.3.1 All Rail Supervisors with sector (road) supervision responsibilities are required to complete a Rail Supervisor Daily Activity Report (RSDAR) when on duty.	X		
	6.1.3.2 All Rail Supervisors shall account for their time by spot checking employees they encounter during their tour-of-duty using the Train Spot Check or Station Spot Check section of the RSDAR.	X		
	6.1.3.3 All Rail Supervisors shall record all other activities, outside of employee evaluation, in the Miscellaneous Activity section of the RSDAR.	X		

	6.1.3.4 All Rail Supervisors shall only complete one RSDAR per shift and are required to submit the completed RSDAR at the end of their shift.	X		
	6.1.3.5 An electronic copy of all RSDAR's will be automatically sent to each Rail Supervisor's division management team, via an email workflow, once submitted at the end of their shift.	X		
6.2	Conducting a Train Spot Check In the RSDAR:			
	6.2.1 Using the Train Spot Check section of the RSDAR on the mobile device, Rail Supervisors shall observe and record the following information:			
	6.2.1.1 Search for the Train Operator being evaluated by entering the first three (3) letters of their last name in the appropriate field and then, select the correct employee name and employee number when displayed.	X		
	6.2.1.2 Record the train 10, boarding location, and boarding time in the appropriate fields.	X		
	6.2.1.3 Visually check the Operator's task performance and compliance against the following evaluation points: <ul style="list-style-type: none"> • Train Operations • Station Stopping • Door Operations • Headway Adherence • ATO/Manual Operations • Uniform Appearance • Personal Protection Equipment • Radio Communications 	X		
	6.2.1.4 Using the Satisfactory/Unsatisfactory radio buttons, record a minimum of three (3) checks against the task performance and compliance evaluation points.	X		
	6.2.1.5 All Unsatisfactory checks recorded require comments in the "Unsatisfactory" text field under the evaluation point item; the deficiency observed and the corrective action taken by the Supervisor shall be noted in that field.			X
	6.2.1.4 Using the Satisfactory/Unsatisfactory radio buttons, record a minimum of three (3) checks against the task performance and compliance evaluation points.	X		
	6.2.1.5 All Unsatisfactory checks recorded require comments in the "Unsatisfactory" text field under the evaluation point item; the deficiency observed and the corrective action taken by the Supervisor shall be noted in that field.			X
	6.2.1.6 Select the Procedure Review field drop down list to select and perform a quick procedure review with the Operator	X		
	6.2.1.7 Record the departing location, and departing time in the appropriate fields.	X		
	6.2.1.8 If two (2) or more task were deemed Unsatisfactory, or the employee did not demonstrate knowledge and understanding of the procedure reviewed, the Rail Supervisor shall refer the Operator for an In-Service Evaluation by selecting the "Refer for In-Service Evaluation" checkbox.			X
	6.2.1.9 Complete the Train Spot Check by checking the "Lock Train Spot Check above?" checkbox; this prevents accidental changes to spot check items.	X		
	6.2.1.10 Begin a new Train Spot Check by selecting the "Add Train Spot Check" button (plus sign); the new Train Spot Check will appear under the completed check(s).	X		
	6.2.1.11 Repeat the previous steps to complete the new spot check.	X		
6.3	Conducting a Station Spot Check in the RSDAR			
	6.3.1 Using the Station Spot Check section of the RSDAR on the mobile device, Rail Supervisors shall observe and record the following information:			
	6.3.1.1 Search for the Station Manager being evaluated by entering the first three (3) letters of their last name in the appropriate field and then, select the correct employee name and employee number when displayed.	X		
	6.3.1.2 Record the station and mezzanine, and arrival time in the appropriate fields.	X		

	6.3.1.3 Visually check the Station Manager's task performance and compliance against the following evaluation points: <ul style="list-style-type: none"> • Welcomes Customers • Engages Customers • Demonstrates WMATA Expertise • Uniform Appearance • Station Logs • Out of the Kiosk (Rush) • Carries Station Radio • Kiosk Condition • Routine Duties 	X		
	6.3.1.4 Using the Satisfactory/Unsatisfactory radio buttons, record a minimum of three (3) checks against the task performance and compliance evaluation points.	X		
	6.3.1.5 All Unsatisfactory checks recorded require comments in the "Unsatisfactory" text field under the evaluation point item; the deficiency observed and the corrective action taken by the Supervisor shall be noted in that field.			X
	6.3.1.6 Select the Procedure Review field drop down list to select and perform a quick procedure review with the Station Manager.	X		
	6.3.1.7 Record the leaving time in the appropriate field.	X		
	6.3.1.8 If two (2) or more task were deemed Unsatisfactory, or the employee did not demonstrate knowledge and understanding of the procedure reviewed, the Rail Supervisor shall refer the Station Manager for an In-Service Evaluation by selecting the "Refer for In-Service Evaluation" checkbox.			X
	6.3.1.9 Complete the Station Spot Check by checking the "Lock Station Spot Check above?" checkbox; this prevents accidental changes to spot check items.	X		
	6.3.1.10 Begin a new Station Spot Check by selecting the "Add Station Spot Check" button (plus sign); the new Station Spot Check will appear under the completed check(s).	X		
	6.3.1.11 Repeat the previous steps to complete the new spot check.	X		
6.4	Recording a Miscellaneous Activity in the RSDAR			
	6.4.1 Using the Miscellaneous Activity section of the RSDAR on the mobile device, Rail Supervisors shall record other supervisory activities not associated with evaluating Employees.	X		
	6.4.2 Record the start time and end time of the activity in the appropriate fields.	X		
	6.4.3 Using the Activity Performed dropdown list, select the most applicable activity.	X		
	6.4.4 Using the Location dropdown list, select the location of the activity.	X		
	6.4.5 Provide a brief description of the activity performed and note any Corrective actions or unusual occurrences.	X		
	6.4.6 Complete the Miscellaneous Activity by checking the "Lock activity above?" checkbox; this prevents accidental changes to activity items.	X		
	6.4.7 Begin a new Miscellaneous Activity by selecting the "Add Miscellaneous Activity Check" button (plus sign); the new Miscellaneous Activity will appear under the Completed check(s).	X		
	6.4.8 Repeat the previous steps to complete the Miscellaneous Activity.	X		

3	RESPONSIBILITIES					
3.2	RSTO Superintendents and Assistant Superintendents are responsible for:			x		
	3.2.1	Familiarization and compliance with the guidelines set forth in this procedure.		x		
	3.2.2	Ensuring that personnel fully understand the instructions in these procedures.		x		
	3.2.3	Ensuring the requirements of these procedures are executed properly and in the most effective manner possible.		x		
	3.2.4	Ensuring all RSTO Rail Supervisors receive training on how to use the Rail Supervisor Daily Activity Report and how to conduct Train Spot Checks and Station Spot Checks.		X		
	3.2.5	Responsible for reviewing all Rail Supervisor Daily Activity Reports for all Rail Supervisors under their management.		X		
3.3	RSTO Rail Supervisors are responsible for:					
	3.3.1	Adhering to all guidelines outlined in this standard operating procedure.		X		
	3.3.2	Using the Rail Supervisor Daily Activity Report to conduct Train Spot Checks and Station Spot Checks as set forth in this procedure.		X		
6.1	Spot Check Expectations and Requirements for Rail Supervisors:					
	6.1.1.1	Monitor RSTO front-line employees performing their jobs in compliance with established safety rules & performance standards		X		
	6.1.1.2	Review operating procedures and tasks with RSTO front-line staff for knowledge, understanding, and application		X		
	6.1.1.3	Recognize RSTO front-line employees when their job performance is in accordance with desired standards and/or extraordinary.			x	
	6.1.1.4	To correct and coach RSTO front-line employees when their job performance is unsatisfactory or a task deficiency has been discovered.				x
6.1.2	Spot Check Observation Criteria:					
	6.1.2.1	All Rail Supervisors are charged with conducting viable and meaningful evaluations of RTRA frontline employees throughout their tour-of-duty.				x
	6.1.2.2	All Rail Supervisors shall review a minimum of three (3) job task evaluation points during each spot check.		X		
	6.1.2.3	All Rail Supervisors shall provide immediate feedback to employees on their job performance, recognizing and praising desired performance and customer service using verbal recognition and/or written commendation.				x
	6.1.2.4	All Rail Supervisors shall immediately correct observed task performance deficiencies and record the deficiency and corrective action in the appropriate spot check form field.				x

	6.1.2.5 All Rail Supervisors shall perform procedure reviews with employees on random operating procedures or specific procedures as a part of a targeted, system-wide campaign or blitz.	X		
	6.1.2.6 All Rail Supervisors shall recommend further evaluations for employees with observed task performance deficiencies in multiple areas.			X
6.1.3	Spot Check Frequency and Consistency:			
	6.1.3.1 All Rail Supervisors with sector (road) supervision responsibilities are required to complete a Rail Supervisor Daily Activity Report (RSDAR) when on duty.	X		
	6.1.3.2 All Rail Supervisors shall account for their time by spot checking employees they encounter during their tour-of-duty using the Train Spot Check or Station Spot Check section of the RSDAR.	X		
	6.1.3.3 All Rail Supervisors shall record all other activities, outside of employee evaluation, in the Miscellaneous Activity section of the RSDAR.	X		
	6.1.3.4 All Rail Supervisors shall only complete one RSDAR per shift and are required to submit the completed RSDAR at the end of their shift.	X		
	6.1.3.5 An electronic copy of all RSDAR's will be automatically sent to each Rail Supervisor's division management team, via an email workflow, once submitted at the end of their shift.	X		
6.2	Conducting a Train Spot Check In the RSDAR:			
	6.2.1 Using the Train Spot Check section of the RSDAR on the mobile device, Rail Supervisors shall observe and record the following information:			
	6.2.1.1 Search for the Train Operator being evaluated by entering the first three (3) letters of their last name in the appropriate field and then, select the correct employee name and employee number when displayed.	X		
	6.2.1.2 Record the train 10 , boarding location, and boarding time in the appropriate fields.	X		
	6.2.1.3 Visually check the Operator's task performance and compliance against the following evaluation points: <ul style="list-style-type: none"> • Train Operations • Station Stopping • Door Operations • Headway Adherence • ATO/Manual Operations • Uniform Appearance • Personal Protection Equipment • Radio Communications 	X		
	6.2.1.4 Using the Satisfactory/Unsatisfactory radio buttons, record a minimum of three (3) checks against the task performance and compliance evaluation points.	X		
	6.2.1.5 All Unsatisfactory checks recorded require comments in the "Unsatisfactory" text field under the evaluation point item; the deficiency observed and the corrective action taken by the Supervisor shall be noted in that field.			X
	6.2.1.6 Select the Procedure Review field drop down list to select and perform a quick procedure review with the Operator.	X		
	6.2.1.7 Record the departing location, and departing time in the appropriate fields.	X		
	6.2.1.8 If two (2) or more task were deemed Unsatisfactory, or the employee did not demonstrate knowledge and understanding of the procedure reviewed, the Rail Supervisor shall refer the Operator for an In-Service Evaluation by selecting the "Refer for In-Service Evaluation" checkbox.			X
	6.2.1.9 Complete the Train Spot Check by checking the "Lock Train Spot Check above?" checkbox; this prevents accidental changes to spot check items.	X		

	6.2.1.10 Begin a new Train Spot Check by selecting the "Add Train Spot Check" button (plus sign); the new Train Spot Check will appear under the completed check(s).	X		
	6.2.1.11 Repeat the previous steps to complete the new spot check.	X		
6.3	Conducting a <u>Station Spot Check</u> in the RSDAR			
	6.3.1 Using the Station Spot Check section of the RSDAR on the mobile device, Rail Supervisors shall observe and record the following information:			
	6.3.1.1 Search for the Station Manager being evaluated by entering the first three (3) letters of their last name in the appropriate field and then, select the correct employee name and employee number when displayed.	X		
	6.3.1.2 Record the station and mezzanine, and arrival time in the appropriate fields.	X		
	6.3.1.3 Visually check the Station Manager's task performance and compliance against the following evaluation points: <ul style="list-style-type: none"> • Welcomes Customers • Engages Customers • Demonstrates WMATA Expertise • Uniform Appearance • Station Logs • Out of the Kiosk (Rush) • Carries Station Radio • Kiosk Condition • Routine Duties 	X		
	6.3.1.4 Using the Satisfactory/Unsatisfactory radio buttons, record a minimum of three (3) checks against the task performance and compliance evaluation points.			X
	6.3.1.5 All Unsatisfactory checks recorded require comments in the "Unsatisfactory" text field under the evaluation point item; the deficiency observed and the corrective action taken by the Supervisor shall be noted in that field.			X
	6.3.1.6 Select the Procedure Review field drop down list to select and perform a quick procedure review with the Station Manager.	X		
	6.3.1.7 Record the leaving time in the appropriate field.	X		
	6.3.1.8 If two (2) or more task were deemed Unsatisfactory, or the employee did not demonstrate knowledge and understanding of the procedure reviewed, the Rail Supervisor shall refer the Station Manager for an In- Service Evaluation by selecting the "Refer for In-Service Evaluation" checkbox.			X
	6.3.1.9 Complete the Station Spot Check by checking the "Lock Station Spot Check above?" checkbox; this prevents accidental changes to spot check items.	X		
	6.3.1.10 Begin a new Station Spot Check by selecting the "Add Station Spot Check" button (plus sign); the new Station Spot Check will appear under the completed check(s).	X		
	6.3.1.11 Repeat the previous steps to complete the new spot check.	X		
6.4	Recording a <u>Miscellaneous Activity</u> in the RSDAR			
	6.4.1 Using the Miscellaneous Activity section of the RSDAR on the mobile device, Rail Supervisors shall record other supervisory activities not associated with evaluating Employees.	X		
	6.4.2 Record the start time and end time of the activity in the appropriate fields.	X		
	6.4.3 Using the Activity Performed dropdown list, select the most applicable activity.	X		

	6.4.4 Using the Location dropdown list, select the location of the activity.	x		
	6.4.5 Provide a brief description of the activity performed and note any Corrective actions or unusual occurrences.	x		
	6.4.6 Complete the Miscellaneous Activity by checking the "Lock activity above?" checkbox; this prevents accidental changes to activity items.	x		
	6.4.7 Begin a new Miscellaneous Activity by selecting the "Add Miscellaneous Activity Check" button (plus sign); the new Miscellaneous Activity will appear under the Completed check(s).	x		
	6.4.8 Repeat the previous steps to complete the Miscellaneous Activity.	x		

OBSERVATIONS		Y	N	N/O N/A
3	RESPONSIBILITIES			
3.2	RSTO Superintendents and Assistant Superintendents are responsible for:	x		
	3.2.1 Familiarization and compliance with the guidelines set forth in this procedure.	x		
	3.2.2 Ensuring that personnel fully understand the instructions in these procedures.	x		
	3.2.3 Ensuring the requirements of these procedures are executed properly and in the most effective manner possible.	x		
	3.2.4 Ensuring all RSTO Rail Supervisors receive training on how to use the Rail Supervisor Daily Activity Report and how to conduct Train Spot Checks and Station Spot Checks.	X		
	3.2.5 Responsible for reviewing all Rail Supervisor Daily Activity Reports for all Rail Supervisors under their management.	X		
3.3	RSTO Rail Supervisors are responsible for:			
	3.3.1 Adhering to all guidelines outlined in this standard operating procedure.	X		
	3.3.2 Using the Rail Supervisor Daily Activity Report to conduct Train Spot Checks and Station Spot Checks as set forth in this procedure.	X		
6.1	Spot Check Expectations and Requirements for Rail Supervisors:			
	6.1.1.1 Monitor RSTO front-line employees performing their jobs in compliance with established safety rules & performance standards	X		
	6.1.1.2 Review operating procedures and tasks with RSTO front-line staff for knowledge, understanding, and application		x	
	6.1.1.3 Recognize RSTO front-line employees when their job performance is in accordance with desired standards and/or extraordinary.		x	
	6.1.1.4 To correct and coach RSTO front-line employees when their job performance is unsatisfactory or a task deficiency has been discovered.			x
6.1.2	Spot Check Observation Criteria:			
	6.1.2.1 All Rail Supervisors are charged with conducting viable and meaningful evaluations of RTRA frontline employees throughout their tour-of-duty.			x
	6.1.2.2 All Rail Supervisors shall review a minimum of three (3) job task evaluation points during each spot check.	X		
	6.1.2.3 All Rail Supervisors shall provide immediate feedback to employees on their job performance, recognizing and praising desired performance and customer service using verbal recognition and/or written commendation.			x
	6.1.2.4 All Rail Supervisors shall immediately correct observed task performance deficiencies and record the deficiency and corrective action in the appropriate spot check form field.			x

	6.1.2.5 All Rail Supervisors shall perform procedure reviews with employees on random operating procedures or specific procedures as a part of a targeted, system-wide campaign or blitz.		X	
	6.1.2.6 All Rail Supervisors shall recommend further evaluations for employees with observed task performance deficiencies in multiple areas.			X
6.1.3	Spot Check Frequency and Consistency:			
	6.1.3.1 All Rail Supervisors with sector (road) supervision responsibilities are required to complete a Rail Supervisor Daily Activity Report (RSDAR) when on duty.	X		
	6.1.3.2 All Rail Supervisors shall account for their time by spot checking employees they encounter during their tour-of-duty using the Train Spot Check or Station Spot Check section of the RSDAR.		X	
	6.1.3.3 All Rail Supervisors shall record all other activities, outside of employee evaluation, in the Miscellaneous Activity section of the RSDAR.	X		
	6.1.3.4 All Rail Supervisors shall only complete one RSDAR per shift and are required to submit the completed RSDAR at the end of their shift.	X		
	6.1.3.5 An electronic copy of all RSDAR's will be automatically sent to each Rail Supervisor's division management team, via an email workflow, once submitted at the end of their shift.	X		
6.2	Conducting a Train Spot Check In the RSDAR:			
	6.2.1 Using the Train Spot Check section of the RSDAR on the mobile device, Rail Supervisors shall observe and record the following information:			
	6.2.1.1 Search for the Train Operator being evaluated by entering the first three (3) letters of their last name in the appropriate field and then, select the correct employee name and employee number when displayed.	X		
	6.2.1.2 Record the train ID, boarding location, and boarding time in the appropriate fields.	X		
	6.2.1.3 Visually check the Operator's task performance and compliance against the following evaluation points: <ul style="list-style-type: none"> • Train Operations • Station Stopping • Door Operations • Headway Adherence • ATO/Manual Operations • Uniform Appearance • Personal Protection Equipment • Radio Communications 	X		
	6.2.1.4 Using the Satisfactory/Unsatisfactory radio buttons, record a minimum of three (3) checks against the task performance and compliance evaluation points.	X		
	6.2.1.5 All Unsatisfactory checks recorded require comments in the "Unsatisfactory" text field under the evaluation point item; the deficiency observed and the corrective action taken by the Supervisor shall be noted in that field.			X
	6.2.1.6 Select the Procedure Review field drop down list to select and perform a quick procedure review with the Operator.		X	
	6.2.1.7 Record the departing location, and departing time in the appropriate fields.	X		
	6.2.1.8 If two (2) or more task were deemed Unsatisfactory, or the employee did not demonstrate knowledge and understanding of the procedure reviewed, the Rail Supervisor shall refer the Operator for an In-Service Evaluation by selecting the "Refer for In-Service Evaluation" checkbox.			X
	6.2.1.9 Complete the Train Spot Check by checking the "Lock Train Spot Check above?" checkbox; this prevents accidental changes to spot check items.	X		

	6.2.1.10 Begin a new Train Spot Check by selecting the "Add Train Spot Check" button (plus sign); the new Train Spot Check will appear under the completed check(s).		X	
	6.2.1.11 Repeat the previous steps to complete the new spot check.	X		
6.3	Conducting a <u>Station Spot Check</u> in the RSDAR			
	6.3.1 Using the Station Spot Check section of the RSDAR on the mobile device, Rail Supervisors shall observe and record the following information:			
	6.3.1.1 Search for the Station Manager being evaluated by entering the first three (3) letters of their last name in the appropriate field and then, select the correct employee name and employee number when displayed.	X		
	6.3.1.2 Record the station and mezzanine, and arrival time in the appropriate fields.	X		
	6.3.1.3 Visually check the Station Manager's task performance and compliance against the following evaluation points: <ul style="list-style-type: none"> • Welcomes Customers • Engages Customers • Demonstrates WMATA Expertise • Uniform Appearance • Station Logs • Out of the Kiosk (Rush) • Carries Station Radio • Kiosk Condition • Routine Duties 	X		
	6.3.1.4 Using the Satisfactory/Unsatisfactory radio buttons, record a minimum of three (3) checks against the task performance and compliance evaluation points.			X
	6.3.1.5 All Unsatisfactory checks recorded require comments in the "Unsatisfactory" text field under the evaluation point item; the deficiency observed and the corrective action taken by the Supervisor shall be noted in that field.			X
	6.3.1.6 Select the Procedure Review field drop down list to select and perform a quick procedure review with the Station Manager.	X		
	6.3.1.7 Record the leaving time in the appropriate field.	X		
	6.3.1.8 If two (2) or more task were deemed Unsatisfactory, or the employee did not demonstrate knowledge and understanding of the procedure reviewed, the Rail Supervisor shall refer the Station Manager for an In- Service Evaluation by selecting the "Refer for In-Service Evaluation" checkbox.			X
	6.3.1.9 Complete the Station Spot Check by checking the "Lock Station Spot Check above?" checkbox; this prevents accidental changes to spot check items.	X		
	6.3.1.10 Begin a new Station Spot Check by selecting the "Add Station Spot Check" button (plus sign); the new Station Spot Check will appear under the completed check(s).		X	
	6.3.1.11 Repeat the previous steps to complete the new spot check.	X		
6.4	Recording a <u>Miscellaneous Activity</u> in the RSDAR			
	6.4.1 Using the Miscellaneous Activity section of the RSDAR on the mobile device, Rail Supervisors shall record other supervisory activities not associated with evaluating Employees.	X		
	6.4.2 Record the start time and end time of the activity in the appropriate fields.	X		
	6.4.3 Using the Activity Performed dropdown list, select the most applicable activity.	X		

	6.4.4 Using the Location dropdown list, select the location of the activity.	x		
	6.4.5 Provide a brief description of the activity performed and note any Corrective actions or unusual occurrences.	x		
	6.4.6 Complete the Miscellaneous Activity by checking the "Lock activity above?" checkbox; this prevents accidental changes to activity items.	x		
	6.4.7 Begin a new Miscellaneous Activity by selecting the "Add Miscellaneous Activity Check" button (plus sign); the new Miscellaneous Activity will appear under the Completed check(s).	x		
	6.4.8 Repeat the previous steps to complete the Miscellaneous Activity.	x		

RAIL SUPERVISOR DAILY ACTIVITY REPORT AND COMPLIANCE CHECKS

The actions of the Rail Supervisor listed below are rated "Y" or "N" for compliance with applicable RTRA Standard Operating Procedures, Employee Rules and Regulations, Federal, State, and Local laws and Safety regulations. "Y" ratings indicate compliance with referenced standard(s). "N" ratings indicate non-compliance. "N/O" ratings indicate that no observations concerning the referenced standard were made by QICO and N/A indicates the condition was not applicable. Items rated "N" in shadowed boxes require immediate corrective response. Review this report with the Supervisor.

OBSERVATIONS		Y	N	N/O N/A
3	RESPONSIBILITIES			
3.2	RSTO Superintendents and Assistant Superintendents are responsible for:			
	3.2.1 Familiarization and compliance with the guidelines set forth in this procedure.	Y		
	3.2.2 Ensuring that personnel fully understand the instructions in these procedures.	Y		
	3.2.3 Ensuring the requirements of these procedures are executed properly and in the most effective manner possible.	Y		
	3.2.4 Ensuring all RSTO Rail Supervisors receive training on how to use the Rail Supervisor Daily Activity Report and how to conduct Train Spot Checks and Station Spot Checks.	Y		
	3.2.5 Responsible for reviewing all Rail Supervisor Daily Activity Reports for all Rail Supervisors under their management.	Y		
3.3	RSTO Rail Supervisors are responsible for:			
	3.3.1 Adhering to all guidelines outlined in this standard operating procedure.		N	
	3.3.2 Using the Rail Supervisor Daily Activity Report to conduct Train Spot Checks and Station Spot Checks as set forth in this procedure.		N	
6.1	Spot Check Expectations and Requirements for Rail Supervisors:			
	6.1.1.1 Monitor RSTO front-line employees performing their jobs in compliance with established safety rules & performance standards	Y		
	6.1.1.2 Review operating procedures and tasks with RSTO front-line staff for knowledge, understanding, and application		N	
	6.1.1.3 Recognize RSTO front-line employees when their job performance is in accordance with desired standards and/or extraordinary.		N	
	6.1.1.4 To correct and coach RSTO front-line employees when their job performance is unsatisfactory or a task deficiency has been discovered.			N/O
6.1.2	Spot Check Observation Criteria:			
	6.1.2.1 All Rail Supervisors are charged with conducting viable and meaningful evaluations of RTRA frontline employees throughout their tour-of-duty.	Y		
	6.1.2.2 All Rail Supervisors shall review a minimum of three (3) job task evaluation points during each spot check.			N/A
	6.1.2.3 All Rail Supervisors shall provide immediate feedback to employees on their job performance, recognizing and praising desired performance and customer service using verbal recognition and/or written commendation.	Y		
	6.1.2.4 All Rail Supervisors shall immediately correct observed task performance deficiencies and record the deficiency and corrective action in the appropriate spot check form field.	Y		

	6.1.2.5 All Rail Supervisors shall perform procedure reviews with employees on random operating procedures or specific procedures as a part of a targeted, system-wide campaign or blitz.	Y	
	6.1.2.6 All Rail Supervisors shall recommend further evaluations for employees with observed task performance deficiencies in multiple areas.	Y	
6.1.3	Spot Check Frequency and Consistency:		
	6.1.3.1 All Rail Supervisors with sector (road) supervision responsibilities are required to complete a Rail Supervisor Daily Activity Report (RSDAR) when on duty.	N/O	
	6.1.3.2 All Rail Supervisors shall account for their time by spot checking employees they encounter during their tour-of-duty using the Train Spot Check or Station Spot Check section of the RSDAR.	Y	
	6.1.3.3 All Rail Supervisors shall record all other activities, outside of employee evaluation, in the Miscellaneous Activity section of the RSDAR.	Y	
	6.1.3.4 All Rail Supervisors shall only complete one RSDAR per shift and are required to submit the completed RSDAR at the end of their shift.	Y	
	6.1.3.5 An electronic copy of all RSDAR's will be automatically sent to each Rail Supervisor's division management team, via an email workflow, once submitted at the end of their shift.	Y	
6.2	Conducting a Train Spot Check In the RSDAR:		
	6.2.1 Using the Train Spot Check section of the RSDAR on the mobile device, Rail Supervisors shall observe and record the following information:		
	6.2.1.1 Search for the Train Operator being evaluated by entering the first three (3) letters of their last name in the appropriate field and then, select the correct employee name and employee number when displayed.	N/O	
	6.2.1.2 Record the train 10, boarding location, and boarding time in the appropriate fields.	N/O	
	6.2.1.3 Visually check the Operator's task performance and compliance against the following evaluation points: <ul style="list-style-type: none"> • Train Operations • Station Stopping • Door Operations • Headway Adherence • ATO/Manual Operations • Uniform Appearance • Personal Protection Equipment • Radio Communications 	Y	
	6.2.1.4 Using the Satisfactory/Unsatisfactory radio buttons, record a minimum of three (3) checks against the task performance and compliance evaluation points.	N/O	
	6.2.1.5 All Unsatisfactory checks recorded require comments in the "Unsatisfactory" text field under the evaluation point item; the deficiency observed and the corrective action taken by the Supervisor shall be noted in that field.	N/O	
	6.2.1.6 Select the Procedure Review field drop down list to select and perform a quick procedure review with the Operator.	N/O	
	6.2.1.7 Record the departing location, and departing time in the appropriate fields.	N/O	
	6.2.1.8 If two (2) or more task were deemed Unsatisfactory, or the employee did not demonstrate knowledge and understanding of the procedure reviewed, the Rail Supervisor shall refer the Operator for an In-Service Evaluation by selecting the "Refer for In-Service Evaluation" checkbox.	N/O	
	6.2.1.9 Complete the Train Spot Check by checking the "Lock Train Spot Check above?" checkbox; this prevents accidental changes to spot check items.	N/O	

	6.2.1.10 Begin a new Train Spot Check by selecting the "Add Train Spot Check" button (plus sign); the new Train Spot Check will appear under the completed check(s).	Y	
	6.2.1.11 Repeat the previous steps to complete the new spot check.	Y	
6.3	Conducting a <u>Station Spot Check</u> in the RSDAR		
	6.3.1 Using the Station Spot Check section of the RSDAR on the mobile device, Rail Supervisors shall observe and record the following information:		
	6.3.1.1 Search for the Station Manager being evaluated by entering the first three (3) letters of their last name in the appropriate field and then, select the correct employee name and employee number when displayed.	N/O	
	6.3.1.2 Record the station and mezzanine, and arrival time in the appropriate fields.		
	6.3.1.3 Visually check the Station Manager's task performance and compliance against the following evaluation points: <ul style="list-style-type: none"> • Welcomes Customers • Engages Customers • Demonstrates WMATA Expertise • Uniform Appearance • Station Logs • Out of the Kiosk (Rush) • Carries Station Radio • Kiosk Condition • Routine Duties 	N/O	
	6.3.1.4 Using the Satisfactory/Unsatisfactory radio buttons, record a minimum of three (3) checks against the task performance and compliance evaluation points.	N/O	
	6.3.1.5 All Unsatisfactory checks recorded require comments in the "Unsatisfactory" text field under the evaluation point item; the deficiency observed and the corrective action taken by the Supervisor shall be noted in that field.	N/O	
	6.3.1.6 Select the Procedure Review field drop down list to select and perform a quick procedure review with the Station Manager.	N/O	
	6.3.1.7 Record the leaving time in the appropriate field.	N/O	
	6.3.1.8 If two (2) or more task were deemed Unsatisfactory, or the employee did not demonstrate knowledge and understanding of the procedure reviewed, the Rail Supervisor shall refer the Station Manager for an In- Service Evaluation by selecting the "Refer for In-Service Evaluation" checkbox.	N/O	
	6.3.1.9 Complete the Station Spot Check by checking the "Lock Station Spot Check above?" checkbox; this prevents accidental changes to spot check items.	Y	
	6.3.1.10 Begin a new Station Spot Check by selecting the "Add Station Spot Check" button (plus sign); the new Station Spot Check will appear under the completed check(s).	N/O	
	6.3.1.11 Repeat the previous steps to complete the new spot check.	Y	
6.4	Recording a <u>Miscellaneous Activity</u> in the RSDAR		
	6.4.1 Using the Miscellaneous Activity section of the RSDAR on the mobile device, Rail Supervisors shall record other supervisory activities not associated with evaluating Employees.	N/O	
	6.4.2 Record the start time and end time of the activity in the appropriate fields.	N/O	
	6.4.3 Using the Activity Performed dropdown list, select the most applicable activity.	N/O	

	6.4.4 Using the Location dropdown list, select the location of the activity.	N/O	
	6.4.5 Provide a brief description of the activity performed and note any Corrective actions or unusual occurrences.	N/O	
	6.4.6 Complete the Miscellaneous Activity by checking the "Lock activity above?" checkbox; this prevents accidental changes to activity items.	N/O	
	6.4.7 Begin a new Miscellaneous Activity by selecting the "Add Miscellaneous Activity Check" button (plus sign); the new Miscellaneous Activity will appear under the Completed check(s).	N/O	
	6.4.8 Repeat the previous steps to complete the Miscellaneous Activity.	N/O	

RAIL SUPERVISOR DAILY ACTIVITY REPORT AND COMPLIANCE CHECKS

The actions of the Rail Supervisor listed below are rated "Y" or "N" for compliance with applicable RTRA Standard Operating Procedures, Employee Rules and Regulations, Federal, State, and Local laws and Safety regulations. "Y" ratings indicate compliance with referenced standard(s). "N" ratings indicate non-compliance. "N/O" ratings indicate that no observations concerning the referenced standard were made by QICO and N/A indicates the condition was not applicable. Items rated "N" in shadowed boxes require immediate corrective response. Review this report with the Supervisor.

OBSERVATIONS		Y	N	N/O N/A
3	RESPONSIBILITIES			
3.2	RSTO Superintendents and Assistant Superintendents are responsible for:			
	3.2.1 Familiarization and compliance with the guidelines set forth in this procedure.	Y		
	3.2.2 Ensuring that personnel fully understand the instructions in these procedures.	Y		
	3.2.3 Ensuring the requirements of these procedures are executed properly and in the most effective manner possible.	Y		
	3.2.4 Ensuring all RSTO Rail Supervisors receive training on how to use the Rail Supervisor Daily Activity Report and how to conduct Train Spot Checks and Station Spot Checks.	Y		
	3.2.5 Responsible for reviewing all Rail Supervisor Daily Activity Reports for all Rail Supervisors under their management.	Y		
3.3	RSTO Rail Supervisors are responsible for:			
	3.3.1 Adhering to all guidelines outlined in this standard operating procedure.	Y		
	3.3.2 Using the Rail Supervisor Daily Activity Report to conduct Train Spot Checks and Station Spot Checks as set forth in this procedure.	Y		
6.1	Spot Check Expectations and Requirements for Rail Supervisors:			
	6.1.1.1 Monitor RSTO front-line employees performing their jobs in compliance with established safety rules & performance standards	Y		
	6.1.1.2 Review operating procedures and tasks with RSTO front-line staff for knowledge, understanding, and application			N/O
	6.1.1.3 Recognize RSTO front-line employees when their job performance is in accordance with desired standards and/or extraordinary.	Y		
	6.1.1.4 To correct and coach RSTO front-line employees when their job performance is unsatisfactory or a task deficiency has been discovered.			N/O
6.1.2	Spot Check Observation Criteria:			
	6.1.2.1 All Rail Supervisors are charged with conducting viable and meaningful evaluations of RTRA frontline employees throughout their tour-of-duty.	Y		
	6.1.2.2 All Rail Supervisors shall review a minimum of three (3) job task evaluation points during each spot check.	Y		
	6.1.2.3 All Rail Supervisors shall provide immediate feedback to employees on their job performance, recognizing and praising desired performance and customer service using verbal recognition and/or written commendation.	Y		
	6.1.2.4 All Rail Supervisors shall immediately correct observed task performance deficiencies and record the deficiency and corrective action in the appropriate spot check form field.			N/O

	6.1.2.5 All Rail Supervisors shall perform procedure reviews with employees on random operating procedures or specific procedures as a part of a targeted, system-wide campaign or blitz.			N/O
	6.1.2.6 All Rail Supervisors shall recommend further evaluations for employees with observed task performance deficiencies in multiple areas.	Y		
6.1.3	Spot Check Frequency and Consistency:			
	6.1.3.1 All Rail Supervisors with sector (road) supervision responsibilities are required to complete a Rail Supervisor Daily Activity Report (RSDAR) when on duty.	Y		
	6.1.3.2 All Rail Supervisors shall account for their time by spot checking employees they encounter during their tour-of-duty using the Train Spot Check or Station Spot Check section of the RSDAR.	Y		
	6.1.3.3 All Rail Supervisors shall record all other activities, outside of employee evaluation, in the Miscellaneous Activity section of the RSDAR.	Y		
	6.1.3.4 All Rail Supervisors shall only complete one RSDAR per shift and are required to submit the completed RSDAR at the end of their shift.		N	
	6.1.3.5 An electronic copy of all RSDAR's will be automatically sent to each Rail Supervisor's division management team, via an email workflow, once submitted at the end of their shift.			N/A
6.2	Conducting a Train Spot Check In the RSDAR:			
	6.2.1 Using the Train Spot Check section of the RSDAR on the mobile device, Rail Supervisors shall observe and record the following information:			
	6.2.1.1 Search for the Train Operator being evaluated by entering the first three (3) letters of their last name in the appropriate field and then, select the correct employee name and employee number when displayed.	Y		
	6.2.1.2 Record the train 10, boarding location, and boarding time in the appropriate fields.	Y		
	6.2.1.3 Visually check the Operator's task performance and compliance against the following evaluation points: <ul style="list-style-type: none"> • Train Operations • Station Stopping • Door Operations • Headway Adherence • ATO/Manual Operations • Uniform Appearance • Personal Protection Equipment • Radio Communications 	Y		
	6.2.1.4 Using the Satisfactory/Unsatisfactory radio buttons, record a minimum of three (3) checks against the task performance and compliance evaluation points.	Y		
	6.2.1.5 All Unsatisfactory checks recorded require comments in the "Unsatisfactory" text field under the evaluation point item; the deficiency observed and the corrective action taken by the Supervisor shall be noted in that field.	Y		
	6.2.1.6 Select the Procedure Review field drop down list to select and perform a quick procedure review with the Operator.	Y		
	6.2.1.7 Record the departing location, and departing time in the appropriate fields.	Y		
	6.2.1.8 If two (2) or more task were deemed Unsatisfactory, or the employee did not demonstrate knowledge and understanding of the procedure reviewed, the Rail Supervisor shall refer the Operator for an In-Service Evaluation by selecting the "Refer for In-Service Evaluation" checkbox.			N/O
	6.2.1.9 Complete the Train Spot Check by checking the "Lock Train Spot Check above?" checkbox; this prevents accidental changes to spot check items.	Y		

	6.2.1.10 Begin a new Train Spot Check by selecting the "Add Train Spot Check" button (plus sign); the new Train Spot Check will appear under the completed check(s).	Y		
	6.2.1.11 Repeat the previous steps to complete the new spot check.	Y		
6.3	Conducting a <u>Station Spot Check</u> in the RSDAR			
	6.3.1 Using the Station Spot Check section of the RSDAR on the mobile device, Rail Supervisors shall observe and record the following information:			
	6.3.1.1 Search for the Station Manager being evaluated by entering the first three (3) letters of their last name in the appropriate field and then, select the correct employee name and employee number when displayed.	Y		
	6.3.1.2 Record the station and mezzanine, and arrival time in the appropriate fields.	N		
	6.3.1.3 Visually check the Station Manager's task performance and compliance against the following evaluation points: <ul style="list-style-type: none"> • Welcomes Customers • Engages Customers • Demonstrates WMATA Expertise • Uniform Appearance • Station Logs • Out of the Kiosk (Rush) • Carries Station Radio • Kiosk Condition • Routine Duties 	Y		
	6.3.1.4 Using the Satisfactory/Unsatisfactory radio buttons, record a minimum of three (3) checks against the task performance and compliance evaluation points.	Y		
	6.3.1.5 All Unsatisfactory checks recorded require comments in the "Unsatisfactory" text field under the evaluation point item; the deficiency observed and the corrective action taken by the Supervisor shall be noted in that field.	Y		
	6.3.1.6 Select the Procedure Review field drop down list to select and perform a quick procedure review with the Station Manager.	Y		
	6.3.1.7 Record the leaving time in the appropriate field.			
	6.3.1.8 If two (2) or more task were deemed Unsatisfactory, or the employee did not demonstrate knowledge and understanding of the procedure reviewed, the Rail Supervisor shall refer the Station Manager for an In- Service Evaluation by selecting the "Refer for In-Service Evaluation" checkbox.			N/O
	6.3.1.9 Complete the Station Spot Check by checking the "Lock Station Spot Check above?" checkbox; this prevents accidental changes to spot check items.	Y		
	6.3.1.10 Begin a new Station Spot Check by selecting the "Add Station Spot Check" button (plus sign); the new Station Spot Check will appear under the completed check(s).	Y		
	6.3.1.11 Repeat the previous steps to complete the new spot check.	Y		
6.4	Recording a <u>Miscellaneous Activity</u> in the RSDAR			
	6.4.1 Using the Miscellaneous Activity section of the RSDAR on the mobile device, Rail Supervisors shall record other supervisory activities not associated with evaluating Employees.	Y		
	6.4.2 Record the start time and end time of the activity in the appropriate fields.	Y		
	6.4.3 Using the Activity Performed dropdown list, select the most applicable activity.	Y		

	6.4.4 Using the Location dropdown list, select the location of the activity.	Y		
	6.4.5 Provide a brief description of the activity performed and note any Corrective actions or unusual occurrences.	Y		
	6.4.6 Complete the Miscellaneous Activity by checking the "Lock activity above?" checkbox; this prevents accidental changes to activity items.	Y		
	6.4.7 Begin a new Miscellaneous Activity by selecting the "Add Miscellaneous Activity Check" button (plus sign); the new Miscellaneous Activity will appear under the Completed check(s).	Y		
	6.4.8 Repeat the previous steps to complete the Miscellaneous Activity.	Y		

OBSERVATIONS		Y	N	N/O N/A
3	RESPONSIBILITIES			
3.2	RSTO Superintendents and Assistant Superintendents are responsible for:			
	3.2.1 Familiarization and compliance with the guidelines set forth in this procedure.	Y		
	3.2.2 Ensuring that personnel fully understand the instructions in these procedures.	Y		
	3.2.3 Ensuring the requirements of these procedures are executed properly and in the most effective manner possible.	Y		
	3.2.4 Ensuring all RSTO Rail Supervisors receive training on how to use the Rail Supervisor Daily Activity Report and how to conduct Train Spot Checks and Station Spot Checks.	Y		
	3.2.5 Responsible for reviewing all Rail Supervisor Daily Activity Reports for all Rail Supervisors under their management.	Y		
3.3	RSTO Rail Supervisors are responsible for:			
	3.3.1 Adhering to all guidelines outlined in this standard operating procedure.	Y		
	3.3.2 Using the Rail Supervisor Daily Activity Report to conduct Train Spot Checks and Station Spot Checks as set forth in this procedure.	Y		
6.1	Spot Check Expectations and Requirements for Rail Supervisors:			
	6.1.1.1 Monitor RSTO front-line employees performing their jobs in compliance with established safety rules & performance standards	Y		
	6.1.1.2 Review operating procedures and tasks with RSTO front-line staff for knowledge, understanding, and application	Y		
	6.1.1.3 Recognize RSTO front-line employees when their job performance is in accordance with desired standards and/or extraordinary.	Y		
	6.1.1.4 To correct and coach RSTO front-line employees when their job performance is unsatisfactory or a task deficiency has been discovered.	Y		
6.1.2	Spot Check Observation Criteria:			
	6.1.2.1 All Rail Supervisors are charged with conducting viable and meaningful evaluations of RTRA frontline employees throughout their tour-of-duty.	Y		
	6.1.2.2 All Rail Supervisors shall review a minimum of three (3) job task evaluation points during each spot check.	Y		
	6.1.2.3 All Rail Supervisors shall provide immediate feedback to employees on their job performance, recognizing and praising desired performance and customer service using verbal recognition and/or written commendation.	Y		
	6.1.2.4 All Rail Supervisors shall immediately correct observed task performance deficiencies and record the deficiency and corrective action in the appropriate spot check form field.	Y		
	6.1.2.5 All Rail Supervisors shall perform procedure reviews with employees on random operating procedures or specific procedures as a part of a targeted, system-wide campaign or blitz.	Y		
	6.1.2.6 All Rail Supervisors shall recommend further evaluations for employees with observed task performance deficiencies in multiple areas.	Y		
6.1.3	Spot Check Frequency and Consistency:			
	6.1.3.1 All Rail Supervisors with sector (road) supervision responsibilities are required to complete a Rail Supervisor Daily Activity Report (RSDAR) when on duty.	Y		

	6.1.3.2 All Rail Supervisors shall account for their time by spot checking employees they encounter during their tour-of-duty using the Train Spot Check or Station Spot Check section of the RSDAR.	Y		
	6.1.3.3 All Rail Supervisors shall record all other activities, outside of employee evaluation, in the Miscellaneous Activity section of the RSDAR.	Y		
	6.1.3.4 All Rail Supervisors shall only complete one RSDAR per shift and are required to submit the completed RSDAR at the end of their shift.	Y		
	6.1.3.5 An electronic copy of all RSDAR's will be automatically sent to each Rail Supervisor's division management team, via an email workflow, once submitted at the end of their shift.	Y		
6.2	Conducting a <u>Train Spot Check</u> In the RSDAR:			
	6.2.1 Using the Train Spot Check section of the RSDAR on the mobile device, Rail Supervisors shall observe and record the following information:			
	6.2.1.1 Search for the Train Operator being evaluated by entering the first three (3) letters of their last name in the appropriate field and then, select the correct employee name and employee number when displayed.	Y		
	6.2.1.2 Record the train 10, boarding location, and boarding time in the appropriate fields.	Y		
	6.2.1.3 Visually check the Operator's task performance and compliance against the following evaluation points: <ul style="list-style-type: none"> • Train Operations • Station Stopping • Door Operations • Headway Adherence • ATO/Manual Operations • Uniform Appearance • Personal Protection Equipment • Radio Communications 	Y		
	6.2.1.4 Using the Satisfactory/Unsatisfactory radio buttons, record a minimum of three (3) checks against the task performance and compliance evaluation points.	Y		
	6.2.1.5 All Unsatisfactory checks recorded require comments in the "Unsatisfactory" text field under the evaluation point item; the deficiency observed and the corrective action taken by the Supervisor shall be noted in that field.	Y		
	6.2.1.6 Select the Procedure Review field drop down list to select and perform a quick procedure review with the Operator.	Y		
	6.2.1.7 Record the departing location, and departing time in the appropriate fields.			
	6.2.1.8 If two (2) or more task were deemed Unsatisfactory, or the employee did not demonstrate knowledge and understanding of the procedure reviewed, the Rail Supervisor shall refer the Operator for an In-Service Evaluation by selecting the "Refer for In-Service Evaluation" checkbox.	Y		
	6.2.1.9 Complete the Train Spot Check by checking the "Lock Train Spot Check above?" checkbox; this prevents accidental changes to spot check items.	Y		
	6.2.1.10 Begin a new Train Spot Check by selecting the "Add Train Spot Check" button (plus sign); the new Train Spot Check will appear under the completed check(s).	Y		
	6.2.1.11 Repeat the previous steps to complete the new spot check.	Y		
6.3	Conducting a <u>Station Spot Check</u> in the RSDAR			
	6.3.1 Using the Station Spot Check section of the RSDAR on the mobile device, Rail			

	Supervisors shall observe and record the following information:			
	6.3.1.1 Search for the Station Manager being evaluated by entering the first three (3) letters of their last name in the appropriate field and then, select the correct employee name and employee number when displayed.	Y		
	6.3.1.2 Record the station and mezzanine, and arrival time in the appropriate fields.	Y		
	6.3.1.3 Visually check the Station Manager's task performance and compliance against the following evaluation points: <ul style="list-style-type: none"> • Welcomes Customers • Engages Customers • Demonstrates WMATA Expertise • Uniform Appearance • Station Logs • Out of the Kiosk (Rush) • Carries Station Radio • Kiosk Condition • Routine Duties 	Y		
	6.3.1.4 Using the Satisfactory/Unsatisfactory radio buttons, record a minimum of three (3) checks against the task performance and compliance evaluation points.	Y		
	6.3.1.5 All Unsatisfactory checks recorded require comments in the "Unsatisfactory" text field under the evaluation point item; the deficiency observed and the corrective action taken by the Supervisor shall be noted in that field.	Y		
	6.3.1.6 Select the Procedure Review field drop down list to select and perform a quick procedure review with the Station Manager.	Y		
	6.3.1.7 Record the leaving time in the appropriate field.	Y		
	6.3.1.8 If two (2) or more task were deemed Unsatisfactory, or the employee did not demonstrate knowledge and understanding of the procedure reviewed, the Rail Supervisor shall refer the Station Manager for an In- Service Evaluation by selecting the "Refer for In-Service Evaluation" checkbox.	Y		
	6.3.1.9 Complete the Station Spot Check by checking the "Lock Station Spot Check above?" checkbox; this prevents accidental changes to spot check items.	Y		
	6.3.1.10 Begin a new Station Spot Check by selecting the "Add Station Spot Check" button (plus sign); the new Station Spot Check will appear under the completed check(s).	Y		
	6.3.1.11 Repeat the previous steps to complete the new spot check.	Y		
6.4	Recording a <u>Miscellaneous Activity</u> in the RSDAR			
	6.4.1 Using the Miscellaneous Activity section of the RSDAR on the mobile device, Rail Supervisors shall record other supervisory activities not associated with evaluating Employees.	Y		
	6.4.2 Record the start time and end time of the activity in the appropriate fields.	Y		
	6.4.3 Using the Activity Performed dropdown list, select the most applicable activity.	Y		
	6.4.4 Using the Location dropdown list, select the location of the activity.	Y		
	6.4.5 Provide a brief description of the activity performed and note any Corrective actions or unusual occurrences.	Y		
	6.4.6 Complete the Miscellaneous Activity by checking the "Lock activity above?" checkbox; this prevents accidental changes to activity items.	Y		
	6.4.7 Begin a new Miscellaneous Activity by selecting the "Add Miscellaneous Activity Check" button (plus sign); the new Miscellaneous Activity will appear under the	Y		

	Completed check(s).			
	6.4.8 Repeat the previous steps to complete the Miscellaneous Activity.	Y		

8.4 APPENDIX D: QICO INTERVIEWS & FIELD OBSERVATIONS SUMMARY



ROLLING STOCK ASSURANCE PROGRAM

SOP 202-01 Assessment (Alexandria)

1/12/2017

REVIEWER	[REDACTED]	CONTROL NO.	A-RTRA-20170112-01
RESPONSIBLE PARTY	RTRA Alexandria Division	SUBJECT	SOP 202-01
REPORT DATE	1/12/17	LOCATION	Alexandria RTRA Division

SOP 202-01 ASSESSMENT	
Category	Description
Purpose	The purpose of this is audit is to assess the effectiveness and consistency of the Rail Transportation Supervisors using the Rail Supervisor Daily Activity Report (RSDAR) to conduct Train Spot Checks and Station Spot checks as outlined in SOP 202-01 "Rail Supervisor Daily Activity Report and Compliance Checks"
Scope	The scope of this audit will verify that Rail Supervisors effectively evaluate the primary tasks of Rail Station and Train Operator's (RSTO) frontline employees through spot checks in accordance with each job performance and expectations. Also, to verify the effective use of the RSDAR, built for the Samsung Galaxy Smartphones, to conduct spot compliance checks on RSTO employees.

EXECUTIVE SUMMARY	
Summary of Results	
<p>This audit was conducted in three phases; an interview with the Superintendent and Assistant Superintendent; documentation review and field observations.</p> <p>On December 21, 2016 QICO met with the Superintendent and Assistant Superintendent at Alexandria RTRA Division to examine the audit background and process. During the meeting QICO requested the following information:</p> <ul style="list-style-type: none"> • Total number of supervisors assigned to the Division. • Alexandria Division Supervisor's Schedule. • The supervisors responsible for completing the RSDAR Forms. • Twenty (20) random RSDAR reports dating back to September, 2016. • The supervisors that completed the RSDAR training. • Train Stations covered by Alexandria RTRA Division. <p>The Twenty (20) randomly selected RSDAR forms were reviewed and QICO noted the following:</p> <ul style="list-style-type: none"> • Procedure reviews were not conducted sometimes during a train spot check or station spot check. • There were discrepancies with time entries on some of the forms; as an example one Station Spot Check was completed in few seconds. • Huntington and Eisenhower Stations are checked less frequently while King Street Station is checked most often. • Inconsistency on how to conduct Spot Check; a form can show Zero Train Spot Check against three or more Station Spot checks. • Discrepancies with selecting the Departing Location and Departing Time with some forms. <p>Once all the requested documentation were received and reviewed, a field observation was conducted on two randomly selected supervisors, one on day shift and the second on evening shift.</p>	

During the field observation, a QICO representative rode the trains along with the Supervisor to verify compliance with SOP 202-01 and to gauge the effectiveness of SOP 202-01. The focus of the field observations was Train Spot Check, Station Spot Check and Miscellaneous Activity.

The following observations were made:

- The supervisors were familiar with the procedures as outlined in SOP 202-01.
- They were adept with the use of the electronic device (Mobile Device) provided to input data.
- The daytime supervisor is very competent with inputting data in the Samsung Smart phone where the Rail Supervisor Daily Activity Application is stored. In addition, he has a reliable and complete Microsoft Word form template, helpful in case of the Smart Phone Application glitch.
- One Supervisor completed Train and Station Spot checks.

QICO reviewed the training documentation provided and identified the following:

- 90 percent of Alexandria RTRA Division supervisors attended the Rail Supervisor Daily Activity Report training.
- The supervisor who missed the training opportunity due to the illness, will be trained internally when she gets back to work.

RESULTS

Category	Recommended Action
Spot Check	<ul style="list-style-type: none"> - Supervisors should perform each task completely as outlined in SOP 202-01. - Before submitting the RSDAR ensure that all the spot checks are completed and locked as required to prevent accidental changes to the spot-check items.
Procedure Reviews	<ul style="list-style-type: none"> - Supervisors should perform procedure reviews as outlined in Sections 6.1.2.5 and 6.2.1.6 of SOP 202-01.
Time Entry Discrepancy	<ul style="list-style-type: none"> - Supervisors should enter time as each task is completed to ensure accuracy in reporting.
Training	<ul style="list-style-type: none"> - Supervisors should sign all appropriate training documentation to ensure accuracy in attendance. - Refresher training class should be made available to supervisors.



ROLLING STOCK ASSURANCE PROGRAM

SOP 202-01 Assessment

REVIEWER	_____	CONTROL NO.	A-RTRA-20170112-02
RESPONSIBLE PARTY	RTRA West Falls Church Division	SUBJECT	SOP 202-01
REPORT DATE	1/12/17	LOCATION	West Fall Church RTRA Division

SOP 202-01 ASSESSMENT	
Category	Description
Purpose	The purpose of this is audit is to assess the effectiveness and consistency of the Rail Transportation Supervisors using the Rail Supervisor Daily Activity Report (RSDAR) to conduct Train Spot Checks and Station Spot checks as outlined in SOP 202-01 "Rail Supervisor Daily Activity Report and Compliance Checks"
Scope	The scope of this audit will verify that Rail Supervisors effectively evaluate the primary tasks of Rail Station and Train Operator's (RSTO) frontline employees through spot checks in accordance with each job' performance and expectations. Also, to verify the effective use of the RSDAR, built for the Samsung Galaxy Smartphones, to conduct spot compliance checks on RSTO employees.

EXECUTIVE SUMMARY	
Summary of Results	
<p>This audit was conducted in three phases; an interview with the Superintendent, Assistant Superintendent, and the Chief Operator Officer; documentation review, and field observations.</p> <p>On December 21, 2016 QICO met with the Superintendent and the Assistant Superintendent at the West Fall Church RTRA Division to discuss the audit process. During the meeting QICO requested the following information:</p> <ul style="list-style-type: none"> • Total number of supervisors assigned to the Division. • The supervisors responsible for completing the Rail Supervisor daily Activity Report (RSDAR) Forms. • Twenty (20) random RSDAR reports dating back to September, 2016. • A list of all supervisors that completed the RSDAR training. • Train Stations covered by West Fall Church RTRA Division. <p>Twenty (20) randomly selected RSDAR forms were reviewed and QICO noted the following:</p> <ul style="list-style-type: none"> • During the train and station spot checks, procedure reviews were not conducted in all cases. • There were discrepancies with time entries on some of the forms. As example, the form shows the supervisor boarding station but failed to mention the leaving station. • There were some entries where a supervisor completed Train Spot Check station between two stations in less than one minute. The minimum travelling time for a train between two stations is a minute or more. • The following is a list of procedures reviewed by supervisors while they were on the duties: Station Radio-ops 5, RWP/Personnel on Roadway, Station Stopping, Zero Speed Commands, Train Intercom Procedures, Red Signal, Rule of the Week, Unauthorized Signs in Station, Sick Customer, Person Falling to the Roadway, Emergency Procedures, Elevator Outage announcement, Escalator Shock, HEART Customer Service, ancillary Room File, Person Hit by Train, Station Overrun and Station Power Failure. 	

Once all requested documentation were received and reviewed, a field observation was conducted on two randomly selected supervisors, one on day shift and one on evening shift.

During the field observation, QICO witnessed the daily activities of each supervisor to verify compliance with SOP 202-01 with the focus on Train, Station Spot Checks and Miscellaneous activities.

The following observations were made :

- One supervisor was not familiar with the procedures as outlined in SOP 202-01. In addition, the supervisor does not fully understand the process to input data into the RSDAR (Rail Supervisor Daily Activity Report) application stored on Samsung Galaxy smart phone.
- The second supervisor who prefers not to use the RSDAR application, was instructed to comply with SOP 202-01 by his Superintendent, completed one Train Spot, Four Station Spot checks and five Miscellaneous Activities during the field observation and beyond.
- During the field evaluation, the Rail Operation Central Control (ROCC) instructed the second supervisor to operate the Silver line train between Wiehle-East Reston and Ballston MU Stations back and forth, due to the single tracking in effect between Foggy Bottom and Ballston MU train stations.
- The Second supervisor thanked the Train Station manager who was out of the station kiosk to help a customer to purchase a smart trip card. Also, he reviewed the Red Signal procedure with the train Operator during a Train Spot check.

QICO reviewed the training documentation provided and noticed the following:

- 80 percent of West Falls Church Division supervisors attended the training.
- Two supervisors have not been trained

RESULTS

Category	Recommended Action
Spot Check	<ul style="list-style-type: none"> - Supervisors should perform each task completely as outlined in SOP 202-01. - Before submitting the RSDAR ensure that all the spot checks are completed and locked as required to prevent accidental changes to the spot-check items.
Procedure Reviews	<ul style="list-style-type: none"> - Supervisors should perform procedure reviews as outlined in Sections 6.1.2.5 and 6.2.1.6 of SOP 202-01.
Time Entry Discrepancy	<ul style="list-style-type: none"> - Supervisors should enter time as each task is completed to ensure accuracy in reporting.
Training	<ul style="list-style-type: none"> - Supervisors should sign all appropriate training documentation to ensure accuracy in attendance.



ROLLING STOCK ASSURANCE PROGRAM

SOP 202-01 Assessment

REVIEWER	_____	CONTROL NO.	A-RTRA-20170112-03
RESPONSIBLE PARTY	RTRA Greenbelt Division	SUBJECT	SOP 202-01
REPORT DATE	1/12/2017	LOCATION	Greenbelt

SOP 202-01 ASSESSMENT	
Category	Description
Purpose	The purpose of this audit is to assess the effectiveness and consistency of the Rail Transportation Supervisors using the Rail Supervisor Daily Activity Report (RSDAR) to conduct Train Spot Checks and Station Spot checks as outlined in SOP 202-01 "Rail Supervisor Daily Activity Report and Compliance Checks"
Scope	To verify that Rail Supervisors at Greenbelt Rail Transportation (RTRA) Division effectively evaluate the primary tasks of Rail Station and Train Operator (RSTO) frontline employees through periodic spot checks, in accordance with each position's performance requirements and expectations. Also verifying the effective use of the Rail Supervisor Daily Activity Report (RSDAR), designed for the Samsung Galaxy Smartphone, to conduct and document these compliance checks.

EXECUTIVE SUMMARY	
Summary of Results	
<p>This audit was conducted in three phases; an interview with the Superintendent and Assistant Superintendent; documentation review, and field observations.</p> <p>On December 20, 2016, QICO met with the Superintendent and Assistant at the Greenbelt RTRA Division to discuss the audit process. During the meeting QICO requested the following information:</p> <ul style="list-style-type: none"> • Total number of supervisors assigned to the division. • The supervisors responsible for completing the RSDAR Forms • Twenty (20) random RSDAR reports dating back to September, 2016 • A list of all supervisors that completed the RSDAR training. <p>On December 21, 2016 Twenty (20) randomly selected RSDAR forms were reviewed and QICO noted to following:</p> <ul style="list-style-type: none"> • On seven (7) of the twenty documents reviewed, the train and station spot checks, procedure reviews were not conducted. • On three (3) of the reports reviewed the time it took to travel between stations was questioned. For example one supervisor stated he travelled from Greenbelt station to Shaw/Howard University station, a total of 9 stops, in 33 seconds. <p>Upon completion of the documentation review, field observations were conducted December 22, 2016. Two (2) supervisors were randomly selected from the day and evening shifts.</p> <p>During the field observation QICO, witnessed the daily operations of each supervisor to verify compliance with SOP 202-01.</p> <p>The following observations were made.</p> <ul style="list-style-type: none"> • Both supervisors were familiar with the procedure as outlined in SOP 202-01. • Both supervisors were familiar with and used the electronic device provided to input data. 	

- One Supervisor completed a minimum of three(3) Train and Station Spot checks as required by section 6.1.2.2 of SOP 202-01
- One supervisors was pulled from his duties to perform a task at the request of the Rail Operations Central Control (ROCC), leaving their assigned areas without supervision.
- One supervisor did not review operating procedures with a Rail Station Train Operator (RSTO) during a Train Spot check. As required by section 6.2.1.6 of SOP 202-01 see attachment under field observations
- There were inconsistencies in data entered on the RSDAR form by one supervisor. For example he stated he started a task at 3:30 pm but his on duty time states he reported at 5:00pm

QICO reviewed the training documentation provided and noted the following:

- Upon review of the training records, 10 of the 11 supervisors assigned to the Greenbelt division attended the training and signed the sign-in sheet
- One supervisor did not complete the sign-in sheet indicating that they did not attended the class.

RESULTS

Category

Recommended Action

Spot Check	<ul style="list-style-type: none"> - Supervisors should perform each task completely as outlined in SOP 202-01. - Before submitting the RSDAR ensure that all the spot checks are completed and locked as required to prevent accidental changes to the spot-check items.
Procedure Reviews	<ul style="list-style-type: none"> - Supervisors should perform procedure reviews as outlined in Sections 6.1.2.5 and 6.2.1.6 of SOP 202-01.
Time Entry Discrepancy	<ul style="list-style-type: none"> - Supervisors should enter time as each task is completed to ensure accuracy in reporting.
Training	<ul style="list-style-type: none"> - Supervisors should sign all appropriate training documentation to ensure accuracy in attendance.



ROLLING STOCK ASSURANCE PROGRAM

SOP 202-01 Assessment

REVIEWER	_____	CONTROL NO.	A-RTRA-20170112-04
RESPONSIBLE PARTY	RTRA Shady Grove Division	SUBJECT	SOP 202-01 Audit
REPORT DATE	01/24/2017	LOCATION	Shady Grove

SOP 202-01 ASSESSMENT	
Category	Description
Purpose	The purpose of this audit is to assess the effectiveness and consistency of the Rail Transportation Supervisors using the Rail Supervisor Daily Activity Report (RSDAR) to conduct Train Spot Checks and Station Spot checks as outlined in SOP 202-01 "Rail Supervisor Daily Activity Report and Compliance Checks"
Scope	To verify that Rail Supervisors at Shady Grove Rail Transportation (RTRA) Division effectively evaluate the primary tasks of Rail Station and Train Operator (RSTO) frontline employees through periodic spot checks, in accordance with each position's performance requirements and expectations. Also verifying the effective use of the Rail Supervisor Daily Activity Report (RSDAR), designed for the Samsung Galaxy Smartphone, to conduct and document these compliance checks.

EXECUTIVE SUMMARY	
Summary of Results	
<p>This audit was conducted in three phases; an interview with the Superintendent and Assistant Superintendent; documentation review, and field observations.</p> <p>On December 20, 2016, QICO met with the Superintendent and Assistant at the Shady Grove RTRA Division to discuss the audit process. During the meeting QICO requested the following information:</p> <ul style="list-style-type: none"> • Total number of supervisors assigned to the division. • The supervisors responsible for completing the RSDAR Forms • Twenty (20) random RSDAR reports dating back to September, 2016 • A list of all supervisors that completed the RSDAR training. <p>The Twenty (20) randomly selected RSDAR forms were reviewed and QICO noted the following:</p> <ul style="list-style-type: none"> • During the train and station spot checks, procedure reviews were not conducted in all cases. • There were discrepancies with time entries on some of the forms. • There were some entries where a supervisor completed station sport checks in less than 1 minute. • There were many cases where the checkbox was not checked to lock the Spot Check to prevent from accidental changes to the spot check items. • Out of 20 random samples of the RSDAR reviewed, one RSDAR had one entry of UNSATISFACTORY spot check. The supervisors interviewed indicated that they give the employee one or two chances before they entered the spot check as unsatisfactory. <p>QICO reviewed the training documentation provided and noted the following:</p> <ul style="list-style-type: none"> • Most of the supervisors located at Shady Grove attended the training and signed the sign-in sheet. • Three supervisor's names appear on the list but QICO could not verify if they indeed received the training since their signature was not present on the document. 	

Once all the requested documentation were received and reviewed, field observations were conducted on two (2) randomly selected supervisors in two different shifts.

During the field observation QICO witnessed the daily operation of each supervisor to verify compliance with SOP 202-01. The focus of the field observations was Train and Station Spot Checks.

The following observations were made:

- Both supervisors were familiar with the procedures as outlined in SOP 202-01.
- Both supervisors were familiar with and used the electronic device provided to input data.
- Both supervisors completed a minimum of three (3) Train and Station Spot checks as required.
- Both supervisors performed quick Procedure Reviews with the train operator and the station manager and recorded them in the RSDAR.
- There were inconsistencies in data entered on the RSDAR form by one supervisor.

RESULTS

Category	Recommended Action
Spot Check	<ul style="list-style-type: none"> - Supervisors should perform each task completely as outlined in SOP 202-01. - Before submitting the RSDAR ensure that all the spot checks are completed and locked as required to prevent accidental changes to the spot-check items.
Procedure Reviews	<ul style="list-style-type: none"> - Supervisors should perform procedure reviews as outlined in Sections 6.1.2.5 and 6.2.1.6 of SOP 202-01.
Time Entry Discrepancy	<ul style="list-style-type: none"> - Supervisors should enter time as each task is completed to ensure accuracy in reporting.
Training	<ul style="list-style-type: none"> - Supervisors should sign all appropriate training documentation to ensure accuracy in attendance.



ROLLING STOCK ASSURANCE PROGRAM

SOP 202-01 Assessment

REVIEWER	██████████	CONTROL NO.	A-RTRA-20170124-01
RESPONSIBLE PARTY	Office of Rail Transportation (RTRA)	SUBJECT	Review RTRA & SAFE Quarterly Audits
REPORT DATE	2/15/2017	LOCATION	RTRA: Greenbelt SAFE: Bladensburg

OVERVIEW	
Assessment Details	
Purpose	<p>QICO will conduct an assessment of the Quality Assurance audits performed by Office of Rail Transportation (RTRA) and the Office of Safety & Environmental Management (SAFE) to address the Federal Transit Authority (FTA) a Corrective Action Plan (CAP) (T-3-1-a). The intent of this assessment is to verify that quarterly internal RTRA and independent SAFE Audits are being conducted. QICO will analyze the data collected and assess the overall effectiveness of the audits which are being conducted.</p>
Background	<p>The FTA completed a Safety Management Inspection (SMI) of the Washington Metropolitan Area Transit Authority (WMATA) rail and bus system. It was discovered that 29 open safety findings required action. Completed analysis of the FTA Finding and Required Action revealed RTRA procedure weaknesses that impacted the safe movement of revenue and non-revenue trains in yards and shop areas. These safety critical procedures require enhancements to the initial training and/or refresher classes and independent Quality and Internal Compliance validation of RTRA Supervisors and Train Operators. RTRA's and SAFE's Quality Assurance has the responsibility of conducting quarterly audits and will be monitored by QICO.</p> <p>RTRA Quality Assurance audited all five (5) Divisions which included ten (10) Rules and Procedures for their quarterly compliance checks for the fiscal year 2016. A total of forty nine (49) audits were conducted. In 2017 RTRA will be introducing six (6) new SOPs which will be incorporated into their compliance checks going forward. Additionally, existing SOPs are currently be revised and updated as necessary.</p> <p>Divisions covered:</p> <ul style="list-style-type: none"> - Alexandria - Greenbelt - New Carrollton - Shady Grove - West Falls Church <p>SAFE Quality Assurance (QA) Officers conducted quarterly audits on RTRA's Supervisors and Train Operators. SAFE's primary focus was to ensure compliance to any safety critical procedures or other safety concerns that are observed while conducting audits.</p> <p>This assessment was conducted by way of interview and document review meetings with the RTRA's Operations Support Manager and SAFE's Quality Assurance Officers.</p>
Summary	<p>QICO conducted one (1) interview with each department. The RTRA's interview took place at the Greenbelt Rail Yard on January 24th, 2017 with the Operations Support Manager. The SAFE's interview took place at the Bladensburg Bus Garage on January 25th, 2017 with SAFE's Manager of Safety Assurance and two (2) of SAFE's Quality Assurance Officers. Quarterly audits from both departments were examined to verify the audits are being conducted according to the procedure to ensure corrective actions are implemented that address the identified deficiencies.</p> <p><u>RTRA QA Audits Reviewed: 37 out of 49 (82%) audits were reviewed.</u></p> <p><u>Samples:</u></p> <p>6/8/2016: RTRA QA conducted a Roadway/Hand Signal Acknowledgement Audit on RSTO Operations at Branch Avenue. This audit include 4 RTRA QA Officers, and a Roadway Worker in Charge (RWIC), with ROCC authorization.</p> <p>8/24/2016: RTRA QA conducted a Speed Compliance check on RSTO Operations on the "K" Line, traveling Ballston and Vienna Stations. The auditor's goal was to position himself (covert) on the outside of the cab door to visually monitor the speeds of the train.</p>

9/1/2016: RTRA QA conducted a Yard Pre-Trip Inspection check on RSTO Operations at West Falls Church Rail Yard. The auditor's goal was to observe the overall performance of train operators as they prepare/inspect their train prior to being dispatched to the mainline for revenue service.

11/21/2016: RTRA QA conducted a Red Signal Aspect/Zero Speed Commands check on RSTO Operations on the Silver Line. This audit was audited at the Rail Operation Control Center, where the RTRA QA Officer monitored train operators as they approached N Line Signal N95, between Spring Hill and Wiehle-Reston East Metro Station, track #2.

SAFE Audits Reviewed: 2 out of 9 (22%) audits were reviewed.

Samples:

7/7/16 - 7/15/16: RTRA was audited by SAFE on Permanent order T-13-12, Rev 1 to SOP#8 Fire and Smoke in a Station.

11/15/16: OPMS was audited by SAFE on RWP Training SOP #9 Compliance Proficiency and Effectiveness of the Training Program.

Results

The interview with RTRA's Operations Support Manager and SAFE's Manager provided evidence that their audits were effective in discovering non-compliances, addressing the non-compliant findings with respective parties, and highlighting areas where it was deemed necessary for additional training. Currently RTRA is working on developing a database to be able to track and measure improvements from the data collected in their audits.

RTRA's Operations Support Manager and SAFE's Manager of Safety Assurance were both cooperative with the QICO interview and were very knowledgeable of the activities.

SAFE has no dedicated schedule for its QA Officers on how and when their audits should be conducted. Currently SAFE has no database to be able to track measureable improvements from the data collected in their audits. SAFE's Manager of Safety Assurance also brought to QICO's attention that their QA team had 4 officers for the year 2016. Based on the requirements/demand of the FTA and SAFE's involvement with the Internal Safety & Security Review (ISSR), SAFE found their available QA personnel to be insufficient to meet all requirements.

WINS	
Category	Description
Interview	<ul style="list-style-type: none"> - RTRA's Operations Support Manager and SAFE's Manager of Safety Assurance were very cooperative in supporting the audit. - SAFE is currently using the "SAFE Drive" a WMATA networked drive to store audits/data for retrieval. Both systems have been proven reliable when audits reports were requested. - RTRA's auditing checklist outlined the areas of focus and frequency (monthly, quarterly, yearly, etc.) for the RTRA QA Officers to monitor the work being completed. - SAFE presented an FTA/SMI Audit Plan showing in progress and closed audits conducted for 2016.
Document Review	<ul style="list-style-type: none"> - Open and closed quarterly audits as well as the associated SOPs, were distributed to the Division Superintendents in a timely manner. - Audit reports are clear, precise, findings are properly written and descriptive, recommended actions are properly laid out and addressed to the appropriate party/parties. - Audits are being closed in a timely manner and signed by all the appropriate parties for accountability. - Both RTRA's and SAFE's audit reports are detailed and descriptive; including an objective, summary, significant findings, priority, non-conformance description, corrective action, and response status. - SAFE was able to provide a metrics titled "FTA/SMI Audit Plan 12/30/2016" (<i>see attachment</i>) showing Quarterly Audits in which SAFE QA Officers conducted.

CHALLENGES	
Category	Description
Interview	<ul style="list-style-type: none"> - Based on the requirements/demand of the CAP, both RTRA and SAFE found their available Quality Assurance team to be insufficient to meet all requirements. - SAFE's team members did not have a dedicated auditing schedule.
Document Review	<ul style="list-style-type: none"> - The use of SharePoint to store audit reports limits the type of files that can be saved and are not printer friendly for retrieval of hard copies. RTRA Operations Support Manager was asked to present hard copies of audit reports which posed an issue due to the formatting and layout when using the print option. RTRA Operations Support Manager had to create Word DOC/PDF with copies of audits for QICO to review and was presented at a later date. - SAFE's audit reports had no clear way of verifying that the audit report being reviewed by QICO was indeed a Quarterly Audit. This is also because SAFE does not have a schedule plan or criteria for what they audit quarterly.

NEXT STEPS	
Category	Recommended Actions
RTRA	<ul style="list-style-type: none"> - Perform a Manpower planning exercise to determine work load verses requirements necessary to achieve completion of all required audits. - Investigate the potential enhancement of SharePoint or another data storage source to streamline the retrieval of audit results. - Develop a Quarterly Audit Schedule for RTRA QA Officers to ensure that all components of the Audit Checklist are addressed.
SAFE	<ul style="list-style-type: none"> - Perform a Manpower planning exercise to determine work load verses requirements necessary to achieve completion of all required audits. - Develop a Quarterly Schedule for SAFE's QA Officers to ensure that all components of the Audit Checklist are addressed

QICO FOLLOW-UP	
Description	
<ul style="list-style-type: none"> - QICO will develop a plan and schedule to conduct future audits. - QICO will follow-up with RTRA and SAFE to promote and ensure the implementation of recommended actions. 	

8.5 APPENDIX E: APPLICATION OF REGULATORY CAPS

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Measure	Required Action	QICO Review
Regulatory Findings – FTA	<p>TOC-COL-15-001 (T-3-1-a)</p> <p>WMATA must conduct a system wide audit of revenue and non-revenue train movements in rail yards and shop locations to determine compliance with operating rules. Document results and action items to address the results, in a report for FTA review and approval. Implement required actions, providing FTA with quarterly updates until completion. Results may be integrated into WMATA action to address required actions for FTA's SMI findings R- 18 and R-1 9 regarding rules compliance programs.</p> <p>Status as of 8/01/2017: Open</p>	<ul style="list-style-type: none"> - QICO reviewed responses to open CAP, verified that updated documentation by way of SOP 202-01, and through witness of supervisor activities that corrective actions are being complied with. - QICO reviewed Rail Transportation Operation Support Groups documentation in regards to rail yard operations.
Regulatory Findings – FTA	<p>CAP R-2-18-a</p> <p>WMATA must require Rail Supervisors to complete meaningful rules checks on Train Operators, not just single observation items, unless directed as part of a special emphasis program.</p> <p>Status as of 8/01/2017: Open</p>	<ul style="list-style-type: none"> - QICO noted that based upon improvements to RSDAR Supervisors are now completing the activities addressed by this CAP.
Regulatory Findings – FTA	<p>CAP R-2-18-b</p> <p>WMATA must establish documentation and a training program to ensure that Rail Supervisors know how to conduct and record meaningful rules checks of Train Operators, and how to discuss results with Train Operators.</p> <p>Status as of 8/01/2017: Open</p>	<ul style="list-style-type: none"> - QICO assessed new rail supervisors training, it was noted that these activities were incorporated within the training
Regulatory Findings – FTA	<p>CAP R-2-19-a</p> <p>WMATA must develop a formal operations testing program to include active, fail-safe testing of all employees responsible for operating or directing the safe movement of trains.</p> <p>Status as of 8/01/2017: Open</p>	<ul style="list-style-type: none"> - While Supervisors activities involve having to move trains, this was not a portion of the focus of this audit and shall be covered through follow-up activities.
Regulatory Findings – FTA	<p>CAP R-2-19-b</p> <p>WMATA must document operational testing requirements and test results to improve the utility of the program as part of a robust testing and observation program.</p> <p>Status as of 8/01/2017: Open</p>	<ul style="list-style-type: none"> - While Supervisors activities involve having to move trains, this was not a portion of the focus of this audit and shall be covered through follow up activities.

APPENDIX E: APPLICATION OF REGULATORY CAPS

Measure	Required Action	QICO Review
Regulatory Findings – FTA	<p>CAP R-2-20-a WMATA must improve the quality and consistency of training for new Rail Supervisors to include purpose and requirements for rules checks.</p> <p>Status as of 8/01/2017: Open</p>	<p>- QICO assessed new rail supervisors training, it was noted that these activities were incorporated within the training</p>
Regulatory Findings – FTA	<p>CAP R-2-21-a WMATA must establish a minimum number of trips per month that each Rail Supervisor must complete on the mainline to ensure the sufficiency of his or her skills.</p> <p>Status as of 8/01/2017: Open</p>	<p>- While Supervisors activities involve having to move trains, this was not a portion of the focus of this audit and shall be covered through follow up activities.</p>
Regulatory Findings – FTA	<p>CAP R-2-21-b WMATA must review Supervisor Daily Activity Reports to ensure that Supervisors are completing required activities, including the minimum number of established trips per month.</p> <p>Status as of 8/01/2017: Open</p>	<p>- QICO reviewed the RSDAR data, and determined that Rail Transportation has been completing the actions required within this CAP.</p>
Regulatory Findings – FTA	<p>TOC-WSD-15-003 (T-15-1-a) WMATA must evaluate its program for training, observing, supervising, advising and reminding Train Operators of the requirement to:</p> <ol style="list-style-type: none"> 1. Revised Rail Supervisor Training Program. 2. Revised Train Operator Training Program. 3. Quality Audit Report <p>Status as of 8/01/2017: Closed</p>	<p>- QICO assessed new rail supervisors training, it was noted that these activities were incorporated within the training.</p>