




**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

[Redacted]

SECOND LEVEL RESPONSIBILITY

AGM RAIL

Andrew Off

[Redacted]

## 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]