



INTERNAL REVIEW

Rail Operations Control Center Communications

In response to the internal review report for Metro's Rail Operations Control Center (ROCC) Rail Traffic Controller (RTC) responsibilities dated July 13, 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

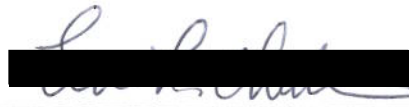
WMATA INTERNAL OVERSIGHT

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 July 13, 2017 QICO issued a comprehensive Report from an internal review into Rail Operations Control Center (ROCC) Communications- Rail Traffic Controller (RTC) Responsibilities. This Corrective Action Plan (CAP) has been developed to address the finding and required actions per **QICO-ROC-17-01**.

QICO Findings

QICO Recommendations

F-ROC-17-01: Corrective actions taken as a result of ROCC quality control checks are not consistently monitored or completed.

Introduce a process to continuously follow-up on the corrective actions driven by ROCC Quality Control Checklists to ensure ROCC controller performance is maintained and remedial actions are undertaken.

F-ROC-17-04: Despite training and monitoring efforts, ROCC Controllers are not consistently adhering to WMATA’s radio protocol, as outlined in Permanent Order T- 16-10.

Assess current Quality Control processes to ensure 100% compliance with Permanent Order T-16-10.

Required Actions

QICO-ROC-17-01: Introduce a process to continuously follow-up on the corrective actions driven by ROCC Quality Control Checklists to ensure ROCC controller performance is maintained and remedial actions are undertaken, including steps to ensure 100% compliance with Permanent Order T-16-10.

Risk Rating: Elevated

Plan Description

ROCC will establish a rules compliance process, including written instructions for remedial actions when nonconformance is identified. This process will monitor performance of ROCC Controllers while providing methods for training and lessons learned.

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	Rules Compliance Program	ROCC Rules Compliance Program process will monitor ROCC Controller performance, issue remedial actions and track progress through closure.	Deltrin Harris (ROCC)	08/15/17	11/20/17
2	Remedial Action Log	Tracking mechanism for documenting nonconformance and subsequent remedial actions, showing status of actions through closure.	Deltrin Harris (ROCC)	11/20/17	12/20/17
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	12/20/17	01/17/18

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



COMPLETION DOCUMENTATION

Performance Measures

- Evidence of ROCC Rules Compliance Program implementation, as described in actionable item #1.
- Evidence of effective tracking of remedial actions, including closeout of completed items, as described in actionable item #2.

RESPONSIBLE PARTIES

ROCC	Deltrin Harris	Deltrin Harris
RTRA	Lisa Woodruff	Lisa Woodruff

SECOND LEVEL RESPONSIBILITY

AGM RAIL	Andrew Off	Andrew Off
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CORRECTIVE ACTION PLAN

Purpose and Scope

On July 13, 2017 QICO issued a comprehensive Report from an internal review into Rail Operations Control Center (ROCC) Communications- Rail Traffic Controller (RTC) Responsibilities. This Corrective Action Plan (CAP) has been developed to address the finding and required action per QICO-ROC-17-02.

QICO Finding

QICO Recommendation

F-ROC-17-02: Although blanket speed restrictions for trains are being communicated via radio, Train Operators do not provide positive acknowledgment of these restrictions.

Evaluate the practicality of Permanent Order T-16-10 as currently written, with regards to acknowledgement of blanket announcements for speed restrictions, and implement a solution that is effective and sustainable.

Required Action

QICO-ROC-17-02: Evaluate the practicality of Permanent Order T-16-10 as currently written, with regards to acknowledgement of blanket announcements for speed restrictions, and implement a solution that is effective and sustainable.

Risk Rating: Moderate

Plan Description

ROCC will evaluate the current practices dictated in Permanent Order T-16-10, regarding train operator acknowledgement of blanket speed restrictions. This evaluation will take into account communication strategies and necessary roadway safety concerns.

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	T-16-10 Review	Review of required action for repeat backs for blanket announcements for train operators.	Deltrin Harris (ROCC), Lisa Woodruff (RTRA),	08/15/17	11/17/17
2	Implementation of Review	Implement actions required after multi-departmental review of Permanent Order T-16-10, issuing clarification or updated Permanent Order as determined in the review.	Lisa Woodruff (RTRA), Deltrin Harris (ROCC)	11/17/17	12/18/17
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	12/18/17	01/17/18

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COMPLETION DOCUMENTATION

Performance Measures

- Evidence of Permanent Order review, as outlined in actionable item #1. This could include meeting minutes and/or discussion notes from coordination meetings.
- 100% measured compliance with clarified or updated rules as determined in actionable item #2.

RESPONSIBLE PARTIES

ROCC	Deltrin Harris	Deltrin Harris
RTRA	Lisa Woodruff	Lisa Woodruff

SECOND LEVEL RESPONSIBILITY

AGM RAIL	Andrew Off	Andrew Off
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CORRECTIVE ACTION PLAN

Purpose and Scope

On July 13, 2017 QICO issued a comprehensive Report from an internal review into Rail Operations Control Center (ROCC) Communications- Rail Traffic Controller (RTC) Responsibilities. This Corrective Action Plan (CAP) has been developed to address the finding and required action per **QICO-ROC-17-03**.

QICO Finding

F-ROC-17-03: Although Rail Incident reports include a list of personnel on-site after the fact, ROCC does not maintain a log sheet to account for each individual during each incident, as required in SOP #1A.

QICO Recommendation

ROCC establish methods to adhere to SOP #1A, 1A.5.1.3.5, during roadway incidents. This should include any interdepartmental coordination that may be required to ensure accurate accounting of personnel during incidents.

Required Action

QICO-ROC-17-03: ROCC establish methods to adhere to SOP #1A, 1A.5.1.3.5, during roadway incidents. This should include any interdepartmental coordination that may be required to ensure accurate accounting of personnel during incidents.

Risk Rating: Elevated ■

Plan Description

ROCC will evaluate current practices used to account for key personnel in the field during incidents and make necessary adjustments to ensure compliance with requirements outlined in SOP #1A.

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	Operational Evaluation	Evaluation of ROCC practices during incidents, regarding the tracking/logging of key personnel in the field.	Deltrin Harris (ROCC)	08/15/17	09/18/17
2	Implementation Strategy	Written instructions for use in ROCC, outlining duties and responsibilities relating to logging personnel during incidents.	Deltrin Harris (ROCC)	09/18/17	10/25/17
3	Incident Logs	ROCC logs of individuals assigned to IC, OSC, Liaison positions and the location of command post during incidents.	Deltrin Harris (ROCC)	10/25/17	11/27/17
4	QICO CAP Verification Report	QICO will evaluate actionable items submitted to confirm there is reasonable evidence that the findings and this required action have been resolved, taking into account the actionable item descriptions and performance measures.	QICO	11/27/17	12/27/17

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



COMPLETION DOCUMENTATION

Performance Measures

- 100% measured compliance with SOP #1A, with regards to logging of key personnel, as outlined in actionable items #2 and #3.

RESPONSIBLE PARTIES

ROCC	Deltrin Harris	Deltrin Harris
RTRA	Lisa Woodruff	Lisa Woodruff

SECOND LEVEL RESPONSIBILITY

AGM RAIL	Andrew Off	Andrew Off
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