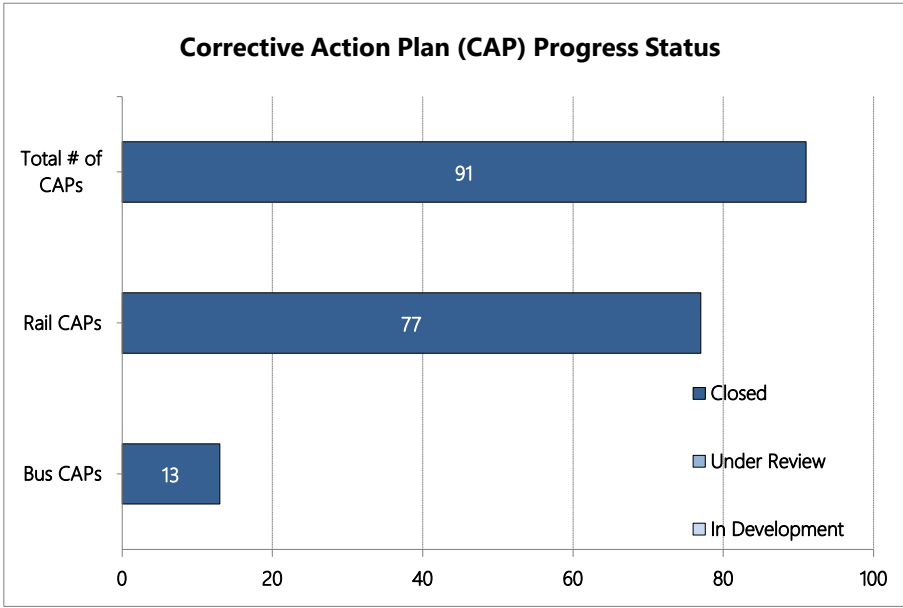


| WMATA Hazard Risk Category* | Description   | CAP #s |
|-----------------------------|---|--------|
| I                           | <b>Unacceptable:</b> The hazard must be mitigated in the most expedient manner possible.  | 0      |
| II                          | <b>Undesirable w/ Executive Safety Committee (ESC) decision required:</b> The hazard must be mitigated. If necessary, the Chief Safety Officer may develop interim mitigations in coordination with the ESC, subject to FTA approval. | 50     |
| III                         | <b>Acceptable w/ review:</b> The Chief Safety Officer must determine if the hazard is adequately controlled or mitigated as is.   | 18     |
| IV                          | <b>Acceptable w/o review:</b> The hazard does not need immediate mitigation, but corrective actions are monitored.  | 23     |

\*In accordance with FTA requirements, WMATA's Hazard Risk categories are expressed in terms of severity and probability of occurrence. This is used as a safety management tool for mitigating hazards to the lowest practicable level

| Metro Actionable Item Status |        |                |
|------------------------------|--------|----------------|
|                              | Closed | Under Review   |
|                              |        | In Development |

| FTA Status Index |                 |    |                         |
|------------------|-----------------|----|-------------------------|
| O                | Open            | UR | Under FTA Review        |
| O/PD             | Open / Past Due | AC | Addressing FTA Comments |
|                  | C               |    | Closed                  |



| FTA SMI Progress Status  |  |                            |                                      |            |                    |                        |   |
|--|--|----------------------------|--------------------------------------|------------|--------------------|------------------------|---|
| CAP #  | Metro Actionable Items   | WMATA Hazard Risk Category | Original Estimate to Request Closure | CAP Status | Total Action Items | Action Items Submitted | Actionable Items Status Bar                               |
| Safety Directive 15-1 - Safety Management Inspection (91 CAPS)                 |  |                            |                                      |            | 731                | 731                    | 100% <div><div></div></div> <div>0%20%40%60%80%100%</div> |
| Metro Rail   |  |                            |                                      |            | 635                | 635                    | 100% <div><div></div></div> <div>0%20%40%60%80%100%</div> |
| Category 1 - Inadequate Rail Operations Control Center Staffing and Procedures |  |                            |                                      |            | 138                | 138                    | 100% <div><div></div></div> <div>0%20%40%60%80%100%</div> |
| FTA-Rail-1-1-a   | WMATA must fully staff the Rail Operations Control Center (ROCC) <ul style="list-style-type: none"><li>WMATA recruited qualified candidates for employment in the ROCC.</li><li>Candidates completed the orientation.</li><li>WMATA conducted internal safety audit to verify the acceptable staffing level.</li><li>Finally, WMATA performed a quality assurance audit to</li></ul>   | II                         | July 2021                            | C          | 10                 | 10                     | 100% <div><div></div></div> <div>0%20%40%60%80%100%</div> |
| FTA-Rail-1-2-a   | WMATA must complete and maintain required annual re-certifications for Rail Traffic Controllers <ul style="list-style-type: none"><li>WMATA developed list verifying annual certification</li><li>WMATA developed a new rigorous certification program and a system to track the certification progress.</li><li>New audit policy was developed to provide guidance for maintaining compliance with FTA action.</li><li>Finally, WMATA performed a quality assurance audit to review actionable items</li></ul>  | II                         | July 2017                            | C          | 10                 | 10                     | 100% <div><div></div></div> <div>0%20%40%60%80%100%</div> |
| FTA-Rail-1-3-a   | WMATA must establish a program to provide each Rail Traffic Controller (RTC) with mandatory road days for territory familiarization and to keep up with changing system elements <ul style="list-style-type: none"><li>WMATA developed schedule for RTCs to participate in the ride along program.</li><li>WMATA developed a formal and specific criteria for the ride along program.</li><li>WMATA performed an audit to ensure compliance and a new audit policy will be implemented to provide guidance for compliance.</li><li>WMATA confirmed there was reasonable evidence to support completion of actionable items and performance</li></ul> | III                        | January 2020                         | C          | 6                  | 6                      | 100% <div><div></div></div> <div>0%20%40%60%80%100%</div> |

| CAP #          | Metro Actionable Items   | WMATA Hazard Risk Category | Original Estimate to Request Closure | CAP Status | Total Action Items | Action Items Submitted | Actionable Items Status Bar  |
|----------------|--|----------------------------|--------------------------------------|------------|--------------------|------------------------|--|
| FTA-Rail-1-3-b | <p>WMATA must require all Rail Traffic Controllers (RTC) to obtain and maintain Level 4 Roadway Worker Protection (RWP) training and certification</p> <ul style="list-style-type: none"><li>• Policy letter developed by WMATA requiring all RTCs to certify and maintain level 4 RWP certificates.</li><li>• WMATA provided level 4 RWP training to RTCs.</li><li>• WMATA performed audit to ensure compliance and new audit policy was implemented to provide guidance for compliance with FTA actions.</li><li>• Finally, WMATA performed a quality assurance audit to review actionable items.</li></ul>  | II                         | December 2016                        | C          | 5                  | 5                      | 100% <div><div></div></div> <div><div></div><div>0%</div><div>20%</div><div>40%</div><div>60%</div><div>80%</div><div>100%</div></div> |
| FTA-Rail-1-4-a | <p>WMATA must complete its assessment regarding the identification of critical versus non-critical notifications and alarms in the ROCC, and options for removing non-critical notifications must be implemented</p> <ul style="list-style-type: none"><li>• WMATA developed list of questionable alarms.</li><li>• A new procedures was implemented authorizing personnel to sign off on the alarms that have been removed or transitioned to events.</li><li>• WMATA developed guidance to improve the identification, tracking, and correction of alarms defects.</li><li>• WMATA performed a quality assurance audit to review actionable items.</li></ul> | II                         | July 2016                            | C          | 4                  | 4                      | 100% <div><div></div></div> <div><div></div><div>0%</div><div>20%</div><div>40%</div><div>60%</div><div>80%</div><div>100%</div></div> |
| FTA-Rail-1-4-b | <p>WMATA must conduct an engineering assessment, and implement the results, regarding options to reduce noise in the ROCC, including ambient noise and feedback from the radio system</p> <ul style="list-style-type: none"><li>• WMATA analyzed noise assessment and recommended solutions based on industry best practices.</li><li>• WMATA completed the radio analysis and implemented the findings of the engineering assessment.</li><li>• Finally, WMATA performed a quality assurance audit to review actionable items.</li></ul>  | II                         | January 2017                         | C          | 7                  | 7                      | 100% <div><div></div></div> <div><div></div><div>0%</div><div>20%</div><div>40%</div><div>60%</div><div>80%</div><div>100%</div></div> |
| FTA-Rail-1-4-c | <p>Until such time as electronic records of train movement are readily available to on-duty Rail Traffic Controllers, WMATA must ensure that its Rail Traffic Controllers maintain a paper-based record of all mainline train movements, signal by-passes, and unusual movements</p> <ul style="list-style-type: none"><li>• WMATA developed new procedures for reporting delays and unusual movements.</li><li>• WMATA developed AIM printout reports and a system for maintaining paper logs.</li><li>• A schedule and budget for the AIM upgrade was developed.</li><li>• WMATA performed a quality assurance audit to review actionable items.</li></ul>   | III                        | December 2015                        | C          | 25                 | 25                     | 100% <div><div></div></div> <div><div></div><div>0%</div><div>20%</div><div>40%</div><div>60%</div><div>80%</div><div>100%</div></div> |
| FTA-Rail-1-5-a | <p>WMATA must ensure Rail Traffic Controller workload and distraction do not interfere with the safe and efficient movement of trains</p> <ul style="list-style-type: none"><li>• WMATA assessed daily tasks and workloads.</li><li>• WMATA updated tasks allocation and duty descriptions including guidance for interaction with each other.</li><li>• WMATA studied options to reduce distractions and distribute workload evenly.</li><li>• WMATA confirmed there was reasonable evidence to support</li></ul>   | II                         | January 2020                         | C          | 6                  | 6                      | 100% <div><div></div></div> <div><div></div><div>0%</div><div>20%</div><div>40%</div><div>60%</div><div>80%</div><div>100%</div></div> |
| FTA-Rail-1-6-a | <p>WMATA must establish and enforce a proper protocol for language and terminology that is used over the radio – to include 100 percent word-for-word read-back for safety-related instructions and unusual train movements</p> <ul style="list-style-type: none"><li>• WMATA assessed radio communications issues.</li><li>• WMATA provided comprehensive radio communication training to RTCs personnel.</li><li>• WMATA conducted semi-annual of radio communication training.</li><li>• Finally, WMATA performed a quality assurance audit to review actionable items.</li></ul>   | II                         | December 2016                        | C          | 6                  | 6                      | 100% <div><div></div></div> <div><div></div><div>0%</div><div>20%</div><div>40%</div><div>60%</div><div>80%</div><div>100%</div></div> |
| FTA-Rail-1-6-b | <p>As part of the radio protocol required in R-1-6-a, WMATA must establish an approach for communicating and managing all speed restrictions that requires two-way communication between the ROCC and train operator and takes full advantage of available electronic AIM system features</p> <ul style="list-style-type: none"><li>• WMATA developed a new radio communication course</li></ul>   | II                         | December 2016                        | C          | 5                  | 5                      | 100% <div><div></div></div> <div><div></div><div>0%</div><div>20%</div><div>40%</div><div>60%</div><div>80%</div><div>100%</div></div> |

| CAP #           | Metro Actionable Items  | WMATA Hazard Risk Category | Original Estimate to Request Closure | CAP Status | Total Action Items | Action Items Submitted | Actionable Items Status Bar                               |
|-----------------|---|----------------------------|--------------------------------------|------------|--------------------|------------------------|---|
| FTA-Rail-1-6-b  | for ROCC and train operators. <ul style="list-style-type: none"><li>WMATA developed a list of capabilities of the AIM system and new procedures for manual speed restrictions and communications with trains.</li><li>Finally, WMATA performed a quality assurance audit to</li></ul>   |                            |                                      |            |                    |                        |   |
| FTA-Rail-1-7-a  | <b>WMATA must establish procedural checklists for Rail Operations Control Center staff to implement the Standard Operating Procedures attached to the Metrorail Safety Rules and Procedures Handbook (MSRPH)</b> <ul style="list-style-type: none"><li>WMATA developed a graphical training aid for RTCs and updated course instruction.</li><li>A checklist was developed for ROCC, ROIC and MOCC and procedures were reviewed by WMATA.</li><li>WMATA conducted testing to assess the usage of checklists.</li><li>Finally, WMATA performed a quality assurance audit to review actionable items.</li><li>WMATA addressed FTA comments.</li></ul> | III                        | February 2016                        | C          | 10                 | 10                     | 100% <div><div></div></div> <div>0%20%40%60%80%100%</div> |
| FTA-Rail-1-7-b  | <b>WMATA must enhance RTC reference materials to direct internal operations at the ROCC, including the use of the Advanced Information Management system, visual schematics of WMATA stations and facilities, and internal ROCC administrative policies and procedures</b> <ul style="list-style-type: none"><li>WMATA developed standard operating procedures and checklists.</li><li>WMATA developed a visual training aid for RTCs.</li><li>WMATA developed complete publication library for ROCC personnel.</li><li>Finally, WMATA performed a quality assurance audit to review actionable items.</li></ul>                                    | IV                         | December 2016                        | C          | 4                  | 4                      | 100% <div><div></div></div> <div>0%20%40%60%80%100%</div> |
| FTA-Rail-1-8-a  | <b>WMATA must establish a clear policy that prohibits distractions from the use of cell phones and other electronic devices in the Rail Operations Control Center</b> <ul style="list-style-type: none"><li>WMATA instituted a new zero tolerance policy for cell phone usage and signs were installed at all entrances.</li><li>WMATA conducted internal audit to ensure compliance with the policy and incident report of violations was developed and submitted.</li><li>Finally, WMATA performed a quality assurance audit to review actionable items.</li></ul>  | II                         | December 2016                        | C          | 5                  | 5                      | 100% <div><div></div></div> <div>0%20%40%60%80%100%</div> |
| FTA-Rail-1-9-a  | <b>Until such time as electronic transfer records are implemented, WMATA must ensure that its Rail Traffic Controller use paper- based logs with formal signatures</b> <ul style="list-style-type: none"><li>WMATA developed a new briefing procedures and distributed a new policy guidance.</li><li>A new shift change schedule was established and inspections were conducted to ensure compliance.</li><li>Finally, WMATA performed a quality assurance audit to review actionable items.</li><li>WMATA addressed FTA comments.</li></ul>   | IV                         | July 2016                            | C          | 5                  | 5                      | 100% <div><div></div></div> <div>0%20%40%60%80%100%</div> |
| FTA-Rail-1-10-a | <b>WMATA must establish an on-going “efficiency” testing program for Rail Traffic Controllers to evaluate their in-service performance and competency</b> <ul style="list-style-type: none"><li>WMATA developed new testing procedures and team event to identify strengths for RTCs.</li><li>Finally, WMATA performed a quality assurance audit to review actionable items.</li></ul>  | IV                         | July 2016                            | C          | 3                  | 3                      | 100% <div><div></div></div> <div>0%20%40%60%80%100%</div> |
| FTA-Rail-1-11-a | <b>WMATA must establish an independent committee to evaluate and monitor the recruitment of Rail Traffic Controller trainees, the quality and performance their training, and the certification of new candidates</b> <ul style="list-style-type: none"><li>WMATA formed a new committee to observe training programs and to give feedback.</li><li>WMATA developed detailed report about the quality of applicants.</li><li>Finally, WMATA performed a quality assurance audit to review actionable items.</li></ul>   | III                        | July 2016                            | C          | 3                  | 3                      | 100% <div><div></div></div> <div>0%20%40%60%80%100%</div> |
| FTA-Rail-1-12-a | <b>WMATA must overhaul, correct, revise and improve its training program for Rail Traffic Controllers</b> <ul style="list-style-type: none"><li>WMATA conducted the assessment of training program and developed new training program.</li><li>WMATA defined statement for Mentorship program and</li></ul>   | IV                         | July 2016                            | C          | 6                  | 6                      | 100% <div><div></div></div> <div>0%20%40%60%80%100%</div> |

| CAP #  | Metro Actionable Items  | WMATA Hazard Risk Category | Original Estimate to Request Closure | CAP Status | Total Action Items | Action Items Submitted | Actionable Items Status Bar                               |
|--|---|----------------------------|--------------------------------------|------------|--------------------|------------------------|---|
|  | conducting compliance reviews of updated program. <ul style="list-style-type: none"><li>WMATA developed a schedule of the training program.</li><li>Finally, WMATA performed a quality assurance audit to review actionable items.</li></ul>  |                            |                                      |            |                    |                        |   |
| FTA-Rail-1-12-b  | <b>WMATA must establish performance standards to be qualified for all positions in the Rail Operations Control Center</b> <ul style="list-style-type: none"><li>WMATA developed performance standards.</li><li>WMATA conducted a psychological test and profile built around FAA model.</li><li>WMATA developed evaluation metrics and training.</li><li>Finally, WMATA performed a quality assurance audit to review actionable items.</li><li>WMATA addressed FTA Comments.</li></ul>   | II                         | February 2016                        | C          | 5                  | 5                      | 100% <div><div></div></div> <div>0%20%40%60%80%100%</div> |
| FTA-Rail-1-13-a  | <b>WMATA must expand the focus of its accident investigation process to include an active review of the actions of the ROCC, and to ensure that RTCs whose performance could have contributed to the accident are taken for mandatory post- accident drug and alcohol testing as per 49 CFR Part 655.44</b> <ul style="list-style-type: none"><li>WMATA submitted the documentation detailing the process of accident investigation and quality audit report.</li><li>WMATA performed a quality assurance audit to review actionable items.</li><li>WMATA addressed FTA Comments.</li></ul> | II                         | December 2015                        | C          | 3                  | 3                      | 100% <div><div></div></div> <div>0%20%40%60%80%100%</div> |
| FTA-Rail-1-14-a  | <b>WMATA must expedite activities underway to modify the radio system design to add coverage to the areas that currently are not part of the system design, including tunnel ventilation and fan shafts, safe and refuge areas, and tunnel portals.</b> <ul style="list-style-type: none"><li>WMATA updated radio outage maps and developed communications procedures during an outage.</li><li>WMATA collected radio coverage data and updated procedures for MOCC response.</li><li>Finally, WMATA performed a quality assurance audit to review actionable items.</li></ul>              | II                         | January 2017                         | C          | 5                  | 5                      | 100% <div><div></div></div> <div>0%20%40%60%80%100%</div> |
| FTA-Rail-1-14-b  | <b>WMATA must assess and prioritize for additional radio enhancements not covered by Capital Improvement Plan (CIP) 136</b> <ul style="list-style-type: none"><li>WMATA updated radio outage maps and developed radio coverage reports with schedule for improvements.</li><li>WMATA developed long-term strategic plan for radio enhancements and maintenance.</li><li>Finally, WMATA performed a quality assurance audit to</li></ul>   | III                        | January 2017                         | C          | 5                  | 5                      | 100% <div><div></div></div> <div>0%20%40%60%80%100%</div> |
| Category 2 - Ineffective Training, Operational Testing and Rules Compliance Programs |   |                            |                                      |            | 185                | 185                    | 100% <div><div></div></div> <div>0%20%40%60%80%100%</div> |

| CAP #           | Metro Actionable Items   | WMATA Hazard Risk Category | Original Estimate to Request Closure | CAP Status | Total Action Items | Action Items Submitted | Actionable Items Status Bar  |
|-----------------|--|----------------------------|--------------------------------------|------------|--------------------|------------------------|--|
| FTA-Rail-2-15-a | <p>Each WMATA Department with Roadway Worker Protection-trained and qualified employees must coordinate with Technical Skills &amp; Maintenance Training to get or establish an accurate status on each employee’s refresher and requalification training</p> <ul style="list-style-type: none"><li>• WMATA revised RWP standard operating procedures and assembled a list of all active RWP certified employees.</li><li>• WMATA conducted independent audit and distributed the findings.</li><li>• WMATA performed a quality assurance audit to review actionable items.</li><li>• WMATA addressed FTA comments.</li></ul>  | II                         | April 2016                           | C          | 8                  | 8                      | 100% <div><div></div></div> <div><div></div><div>0%</div><div>20%</div><div>40%</div><div>60%</div><div>80%</div><div>100%</div></div> |
| FTA-Rail-2-15-b | <p>Each WMATA employee with lapsed refresher training or requalification must repeat the initial training and qualification for his or her level as specified in WMATA’s roadway worker protection training program</p> <ul style="list-style-type: none"><li>• WMATA assembled a list of out of compliance employees and developed prioritized schedule for training.</li><li>• WMATA revised RWP standard operating procedure mitigations.</li><li>• WMATA conducted an audit to ensure compliance.</li><li>• Finally, WMATA performed a quality assurance audit to review actionable items.</li></ul>   | II                         | October 2017                         | C          | 11                 | 11                     | 100% <div><div></div></div> <div><div></div><div>0%</div><div>20%</div><div>40%</div><div>60%</div><div>80%</div><div>100%</div></div> |
| FTA-Rail-2-15-c | <p>WMATA's Information Technology Department must work with Technical Skills &amp; Maintenance Training to develop a long-term solution to tracking employee status and ensuring that Computer-Based Training records, classroom records and employee records are accessible to all departments</p> <ul style="list-style-type: none"><li>• WMATA developed requirements for employee training record tracking and Enterprise Learning Management (ELM) shortcomings.</li><li>• WMATA developed short term standard operating procedures.</li><li>• WMATA conducted a quarterly briefing.</li><li>• Finally, WMATA performed a quality assurance audit to review actionable items.</li></ul> | IV                         | August 2019                          | C          | 11                 | 11                     | 100% <div><div></div></div> <div><div></div><div>0%</div><div>20%</div><div>40%</div><div>60%</div><div>80%</div><div>100%</div></div> |
| FTA-Rail-2-15-d | <p>WMATA must include annual Roadway Worker Protection refresher and requalification time in overall work scheduling protocols and requirements</p> <ul style="list-style-type: none"><li>• WMATA developed business safety plans based on list of out of compliance employees.</li><li>• WMATA established quarterly schedule for training classes.</li><li>• WMATA conducted quarterly safety audit.</li><li>• WMATA conducted a quarterly briefing.</li><li>• WMATA conducted an audit to ensure compliance.</li><li>• Finally, WMATA performed a quality assurance audit to review actionable items.</li></ul>   | II                         | September 2016                       | C          | 8                  | 8                      | 100% <div><div></div></div> <div><div></div><div>0%</div><div>20%</div><div>40%</div><div>60%</div><div>80%</div><div>100%</div></div> |
| FTA-Rail-2-16-a | <p>WMATA must conduct a coordinated study to prioritize technical training needs for maintenance personnel, and operations training for Rail Traffic Controller, Train Operators, and Field Supervisors</p> <ul style="list-style-type: none"><li>• WMATA developed a procedure describing the approach.</li><li>• WMATA revised the training plan for ROCC and frontline personnel.</li><li>• Finally, WMATA performed a quality assurance audit to review actionable items.</li></ul>  | IV                         | August 2017                          | C          | 5                  | 5                      | 100% <div><div></div></div> <div><div></div><div>0%</div><div>20%</div><div>40%</div><div>60%</div><div>80%</div><div>100%</div></div> |
| FTA-Rail-2-16-b | <p>WMATA must eval. whether re-organization or consolidation of training functions would improve the agency’s ability to manage, sch., budget for, develop, oversee and assess training and ensure that training material remains up-to- date</p> <ul style="list-style-type: none"><li>• WMATA adopted a new consolidated organization and</li></ul>  | IV                         | May 2016                             | C          | 7                  | 7                      | 100% <div><div></div></div> <div><div></div><div>0%</div><div>20%</div><div>40%</div><div>60%</div><div>80%</div><div>100%</div></div> |

| CAP #           | Metro Actionable Items   | WMATA Hazard Risk Category | Original Estimate to Request Closure | CAP Status | Total Action Items | Action Items Submitted | Actionable Items Status Bar   |
|-----------------|--|----------------------------|--------------------------------------|------------|--------------------|------------------------|---|
|                 | <p>developed an organization chart including new job descriptions.</p> <ul style="list-style-type: none"><li>• WMATA developed standard operating procedures.</li><li>• WMATA conducted meetings with management and training team to incorporate feedback.</li><li>• Finally, WMATA performed a quality assurance audit to review actionable items.</li><li>• WMATA addressed FTA Comments.</li></ul>   |                            |                                      |            |                    |                        |   |
| FTA-Rail-2-16-c | <p><b>WMATA must establish a comprehensive training program to communicate the new “Fire Life Safety (FLS) 1000 - Inspection, Testing and Maintenance Procedure” to WMATA Operations and Maintenance personnel</b></p> <ul style="list-style-type: none"><li>• WMATA established guidelines to develop a comprehensive training program.</li><li>• WMATA developed a final training curriculum and standard operating procedures.</li><li>• Once completed, training plan was rolled out to maintenance personnel.</li><li>• Finally, WMATA performed a quality assurance audit to review actionable items.</li></ul>  | III                        | August 2019                          | C          | 5                  | 5                      | 100% <div><div></div></div> <div><div>0%</div><div>20%</div><div>40%</div><div>60%</div><div>80%</div><div>100%</div></div> |
| FTA-Rail-2-16-d | <p><b>WMATA must est. formal guidance for maintenance employees responsible for providing on-the-job training</b></p> <ul style="list-style-type: none"><li>• WMATA documented steps taken to obtain mentor best practice guidelines from industry experts.</li><li>• WMATA drafted a mentor guidelines and training curriculum.</li><li>• WMATA finalized mentor guidelines and curriculum.</li><li>• WMATA created mentor training class schedules.</li><li>• Finally, WMATA performed a quality assurance audit to review actionable items.</li><li>• WMATA addressed FTA comments.</li></ul>   | II                         | June 2016                            | C          | 5                  | 5                      | 100% <div><div></div></div> <div><div>0%</div><div>20%</div><div>40%</div><div>60%</div><div>80%</div><div>100%</div></div> |
| FTA-Rail 2-17-a | <p><b>WMATA's OEM must conduct a formal review of the Metrorail Safety Rules and Procedures Handbook, the supporting Standard operating Procedures, and the new checklists and tools developed by the ROCC to ensure conformance with WMATA's emergency plans</b></p> <ul style="list-style-type: none"><li>• WMATA provided rules and procedures to office of Emergency Management (OEM).</li><li>• WMATA submitted OEM maintenance cycle process and departmental task force agenda and minutes.</li><li>• WMATA submitted SOP annual review to FTA.</li><li>• WMATA finalized rules and procedures and updated source documents.</li><li>• Finally, WMATA performed a quality assurance audit to review actionable items.</li></ul> | III                        | March 2017                           | C          | 11                 | 11                     | 100% <div><div></div></div> <div><div>0%</div><div>20%</div><div>40%</div><div>60%</div><div>80%</div><div>100%</div></div> |
| FTA-Rail-2-17-b | <p><b>WMATA's Office of Emergency Mgmt must conduct a formal review of all training provided to frontline, supervisory and ROCC per regarding the actions required to be performed during an emergency to ensure its conformance with WMATA's emergency plans and the understanding of local jurisdictions</b></p> <ul style="list-style-type: none"><li>• WMATA provided rules and procedures to office of Emergency Management (OEM).</li><li>• WMATA provided FTA with quarterly update on the GAP analysis.</li><li>• OEM developed GAP analysis assessment and implementation plans.</li><li>• Finally, WMATA performed a quality assurance audit to review actionable items.</li><li>• WMATA addressed FTA comments.</li></ul>   | III                        | May 2016                             | C          | 6                  | 6                      | 100% <div><div></div></div> <div><div>0%</div><div>20%</div><div>40%</div><div>60%</div><div>80%</div><div>100%</div></div> |
| FTA-Rail-2-17-c | <p><b>WMATA must establish an approach for delivering updated emergency response training to front-line Train Operators, Supervisors, Stations Managers, Rail Traffic Controllers, and other personnel</b></p> <ul style="list-style-type: none"><li>• WMATA developed a schedule of exercises for first</li></ul>   | II                         | June 2017                            | C          | 10                 | 10                     | 100% <div><div></div></div> <div><div>0%</div><div>20%</div><div>40%</div><div>60%</div><div>80%</div><div>100%</div></div> |



| CAP #           | Metro Actionable Items  | WMATA Hazard Risk Category | Original Estimate to Request Closure | CAP Status | Total Action Items | Action Items Submitted | Actionable Items Status Bar                               |
|-----------------|---|----------------------------|--------------------------------------|------------|--------------------|------------------------|---|
|                 | <p>responders.</p> <ul style="list-style-type: none"><li>• WMATA developed a training plan to incorporate an emergency training module.</li><li>• WMATA developed computer based training modules and rail incident training modules.</li><li>• WMATA developed automated emergency training tracking.</li><li>• WMATA conducted an internal safety audit to ensure compliance and provided update to FTA on quarterly basis.</li><li>• Finally, WMATA performed a quality assurance audit to review actionable items.</li></ul>  |                            |                                      |            |                    |                        |   |
| FTA-Rail-2-17-d | <p><b>WMATA must review &amp; update its approach to providing familiarization training to local emer responders, &amp; ensure that they have ample oppor. to learn and practice activating and using fire life safety equip and sys, incl ventilation fans, fire suppression sys, standpipes, comm equip, and other system</b></p> <ul style="list-style-type: none"><li>• WMATA developed 3-year exercise schedule.</li><li>• WMATA participated in the revision of emergency procedures policies.</li><li>• WMATA ensured that the jurisdictions have actively participated in training.</li><li>• WMATA submitted the analysis on emergency training tracking.</li><li>• WMATA submitted the quality assurance audit to review actionable items.</li></ul>  | II                         | October 2015                         | C          | 5                  | 5                      | 100% <div><div></div></div> <div>0%20%40%60%80%100%</div> |
| FTA-Rail-2-17-e | <p><b>WMATA must test its backup Rail Operations Control Center on a quarterly basis and demonstrate the ability to safely control train traffic</b></p> <ul style="list-style-type: none"><li>• WMATA revised COOP plan &amp; reviewed COOP plan for compliance.</li><li>• WMATA published revised COOP plan &amp; conducted a drill.</li><li>• WMATA internal safety audit was conducted.</li><li>• Finally, WMATA performed a quality assurance audit to review actionable items.</li></ul>  | III                        | January 2016                         | C          | 7                  | 7                      | 100% <div><div></div></div> <div>0%20%40%60%80%100%</div> |
| FTA-Rail-2-18-a | <p><b>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</b></p> <ul style="list-style-type: none"><li>• WMATA assessed quarterly progress.</li><li>• WMATA developed operations administrative policies for rail supervisors.</li><li>• WMATA developed automated rule check application for the hand held device.</li><li>• WMATA revised supervisor training program and Office of Emergency Management provided feedback.</li><li>• WMATA finalized the training program and conducted internal safety and rail audit.</li><li>• Finally, WMATA performed a quality assurance audit to review actionable items.</li></ul> | III                        | December 2016                        | C          | 10                 | 10                     | 100% <div><div></div></div> <div>0%20%40%60%80%100%</div> |
| FTA-Rail-2-18-b | <p><b>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</b></p> <ul style="list-style-type: none"><li>• WMATA assessed quarterly progress.</li><li>• WMATA developed operations administrative policies for rail supervisors.</li><li>• WMATA developed automated rule check application for the hand held device.</li><li>• WMATA revised supervisor training program and Office</li></ul>  | IV                         | December 2016                        | C          | 10                 | 10                     | 100% <div><div></div></div> <div>0%20%40%60%80%100%</div> |
|                 | <p>of Emergency Management will provide feedback.</p> <ul style="list-style-type: none"><li>• WMATA finalized the training program and conducted internal safety and rail audit.</li><li>• Finally, WMATA performed a quality assurance audit to review actionable items.</li></ul>   |                            |                                      |            |                    |                        |   |
| FTA-Rail-2-19-a | <p><b>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</b></p> <ul style="list-style-type: none"><li>• WMATA assessed quarterly progress.</li><li>• WMATA developed operations administrative policies for rail</li></ul>  | II                         | December 2016                        | C          | 9                  | 9                      | 100% <div><div></div></div> <div>0%20%40%60%80%100%</div> |

| CAP #           | Metro Actionable Items  | WMATA Hazard Risk Category | Original Estimate to Request Closure | CAP Status | Total Action Items | Action Items Submitted | Actionable Items Status Bar                               |
|-----------------|---|----------------------------|--------------------------------------|------------|--------------------|------------------------|---|
|                 | <p>supervisors.</p> <ul style="list-style-type: none"><li>• WMATA developed automated rule check application for the hand held device.</li><li>• WMATA revised supervisor training program and Office of</li><li>• WMATA finalized the training program and conducted internal safety and rail audit.</li><li>• Finally, WMATA performed a quality assurance audit to review actionable items.</li></ul>  |                            |                                      |            |                    |                        |   |
| FTA-Rail-2-19-b | <p><b>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</b></p> <ul style="list-style-type: none"><li>• WMATA assessed quarterly progress.</li><li>• WMATA developed operations administrative policies for rail supervisors.</li><li>• WMATA developed automated rule check application for the hand held device.</li><li>• WMATA revised supervisor training program and Office of Emergency Management provided feedback.</li><li>• WMATA finalized the training program and conducted internal safety and rail audit.</li><li>• Finally, WMATA performed a quality assurance audit to review actionable items.</li></ul>                | II                         | December 2016                        | C          | 9                  | 9                      | 100% <div><div></div></div> <div>0%20%40%60%80%100%</div> |
| FTA-Rail-2-20-a | <p><b>WMATA must improve the quality and consistency of training for new Rail Supervisors to include purpose and requirements for rules checks</b></p> <ul style="list-style-type: none"><li>• WMATA developed a quarterly progress report.</li><li>• WMATA developed operations administrative policies for rail supervisors.</li><li>• WMATA developed automated rule check application for the hand held device.</li><li>• WMATA revised supervisor training program and Office of Emergency Management provided feedback.</li><li>• WMATA finalized the training program and conducted internal safety and rail audit.</li><li>• Finally, WMATA performed a quality assurance audit to review actionable items.</li></ul>                             | III                        | December 2016                        | C          | 9                  | 9                      | 100% <div><div></div></div> <div>0%20%40%60%80%100%</div> |
| FTA-Rail-2-21-a | <p><b>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</b></p> <ul style="list-style-type: none"><li>• WMATA assessed quarterly progress.</li><li>• WMATA developed operations administrative policies for rail supervisors.</li><li>• WMATA developed automated rule check application for the hand held device.</li><li>• WMATA revised supervisor training program and Office of Emergency Management provided feedback.</li><li>• WMATA finalized the training program and conducted internal safety and rail audit.</li><li>• Finally, WMATA performed a quality assurance audit to review actionable items.</li></ul>                | III                        | December 2016                        | C          | 9                  | 9                      | 100% <div><div></div></div> <div>0%20%40%60%80%100%</div> |
| FTA-Rail-2-21-b | <p><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</b></p> <ul style="list-style-type: none"><li>• WMATA assessed quarterly progress.</li><li>• WMATA developed operations administrative policies for rail supervisors.</li><li>• WMATA developed automated rule check application for the hand held device.</li><li>• WMATA revised supervisor training program and Office of Emergency Management provided feedback.</li><li>• WMATA finalized the training program and conducted internal safety and rail audit.</li><li>• Finally, WMATA performed a quality assurance audit to review actionable items.</li></ul> | IV                         | August 2019                          | C          | 10                 | 10                     | 100% <div><div></div></div> <div>0%20%40%60%80%100%</div> |
| FTA-Rail-2-22-a | <p><b>WMATA must review its schedule of in service evaluations to ensure sufficient time is available for each Train Operator to receive his or her two-year re-certification</b></p> <ul style="list-style-type: none"><li>• WMATA assessed quarterly progress and developed guidelines explaining the steps taken to review the train</li></ul>   | IV                         | May 2016                             | C          | 9                  | 9                      | 100% <div><div></div></div> <div>0%20%40%60%80%100%</div> |



| CAP #  | Metro Actionable Items  | WMATA Hazard Risk Category | Original Estimate to Request Closure | CAP Status | Total Action Items | Action Items Submitted | Actionable Items Status Bar                               |
|--|---|----------------------------|--------------------------------------|------------|--------------------|------------------------|---|
|  | <p>operator re-certifications.</p> <ul style="list-style-type: none"><li>WMATA developed report for train operators scheduled and conducted certifications.</li><li>WMATA identified measurable results and developed list of out of compliance employees. Standard operating procedure for train operator recertification was developed.</li><li>WMATA conducted an internal safety audit for compliance.</li><li>Finally, WMATA performed a quality assurance audit to review actionable items.</li><li>WMATA addressed FTA Comments.</li></ul>   |                            |                                      |            |                    |                        |   |
| FTA-Rail-2-22-b                                      | <p><b>WMATA's Information Technology Department must work Rail Operations Support to develop a long-term solution to tracking Train Operator re-certification status and the results of any other in service examinations or activities completed. Thereafter, WMATA will conduct quality audit for scope verification and inspection of deliverables.</b></p> <ul style="list-style-type: none"><li>WMATA identified requirements for employee training.</li><li>WMATA developed immediate and short term solution procedures and is developing long term solution plan.</li><li>WMATA conducted IT quality audit report.</li><li>Finally, WMATA performed a quality assurance audit to review actionable items.</li></ul>                                   | III                        | August 2019                          | C          | 11                 | 11                     | 100% <div><div></div></div> <div>0%20%40%60%80%100%</div> |
| Category 3 - Insufficient Track Time for Maintenance |   |                            |                                      |            | 161                | 161                    | 100% <div><div></div></div> <div>0%20%40%60%80%100%</div> |
| FTA-Rail-3-23-a                                      | <p><b>WMATA must ensure that a process is in place for identifying and scheduling sufficient track time to complete required inspection, testing and maintenance activities</b></p> <ul style="list-style-type: none"><li>WMATA developed the department's structure and functionality guidelines for time allotment, inspection and testing.</li><li>WMATA assessed track access and revenue service adjustments.</li><li>WMATA developed RSA schedule on a weekly basis including performance measures and metrics, and performed work zone audits to assess conflicts.</li><li>WMATA conducted quarterly briefings.</li><li>Finally, WMATA performed a quality assurance audit to review actionable items.</li><li>WMATA addressed FTA Comments.</li></ul> | II                         | May 2016                             | C          | 96                 | 96                     | 100% <div><div></div></div> <div>0%20%40%60%80%100%</div> |
| FTA-Rail-3-24-a                                      | <p><b>WMATA must establish firm limits on minimum track time for inspection, testing and maintenance activities per month, and revisit limits annually</b></p> <ul style="list-style-type: none"><li>WMATA assessed time allotment for inspection and testing.</li></ul>  | II                         | May 2016                             | C          | 10                 | 10                     | 100% <div><div></div></div> <div>0%20%40%60%80%100%</div> |
|  | <ul style="list-style-type: none"><li>WMATA analyzed previous year allocations and used track time.</li><li>WMATA developed future year track time schedules and 12-week look-ahead schedules.</li><li>WMATA developed a procedural guidelines performance measures and metrics.</li><li>Finally, WMATA performed a quality assurance audit to review actionable items.</li><li>WMATA addressed FTA Comments.</li></ul>   |                            |                                      |            |                    |                        |   |
| FTA-Rail-3-25-a                                      | <p><b>WMATA must develop and implement staffing plans to eliminate maintenance work orders backlogs and manage on-going workload in track and structures, traction power, communications, and automated train control departments</b></p> <ul style="list-style-type: none"><li>WMATA assessed staffing plan to eliminate backlogs.</li><li>WMATA developed procedural guidelines that includes backlogs.</li><li>Finally, WMATA performed a quality assurance audit to review actionable items.</li><li>WMATA addressed FTA comments.</li></ul>  | IV                         | July 2016                            | C          | 5                  | 5                      | 100% <div><div></div></div> <div>0%20%40%60%80%100%</div> |
|  | <p><b>WMATA must improve interdepartmental coordination and communication to take full advantage of track time</b></p> <ul style="list-style-type: none"><li>WMATA created a narrative of work zone coordination.</li><li>WMATA developed standard operating procedures.</li><li>WMATA assessment of track access support services is on-</li></ul>   | II                         | April 2016                           | C          | 50                 | 50                     | 100% <div><div></div></div> <div>0%20%40%60%80%100%</div> |

| CAP #                                       | Metro Actionable Items  | WMATA Hazard Risk Category | Original Estimate to Request Closure | CAP Status | Total Action Items | Action Items Submitted | Actionable Items Status Bar   |
|---|---|----------------------------|--------------------------------------|------------|--------------------|------------------------|---|
| FTA-Rail-3-26-a                             | <p>WMATA assessment of track access support services is ongoing, on a monthly basis.</p> <ul style="list-style-type: none"><li>Assessment of 12-week look ahead schedule is occurring on a weekly basis and monthly meetings are ongoing.</li><li>Finally, WMATA performed a quality assurance audit to review actionable items.</li><li>WMATA addressed FTA comments.</li></ul>  |                            |                                      |            |                    |                        |   |
| Category 4 - System-wide Maintenance Issues |   |                            |                                      |            | 35                 | 35                     | <div><div>100%</div><div><div></div></div><div>0%20%40%60%80%100%</div></div> |
| FTA-Rail-4-27-a                             | <p>For all major deps with insp and maint responsibilities for critical infra., WMATA must establish and/or update a preventive maint and insp testing quality audit process to ensure compliance with established maint and testing practices, and to monitor missed or incomplete preventive maint activities and/or inspection</p> <ul style="list-style-type: none"><li>WMATA developed standard operating procedures.</li><li>WMATA developed maintenance and inspection procedures and updated the audit plan.</li><li>WMATA confirmed there was reasonable evidence to support completion of actionable items and performance.</li></ul> | II                         | March 2021                           | C          | 12                 | 12                     | <div><div>100%</div><div><div></div></div><div>0%20%40%60%80%100%</div></div> |
| FTA-Rail-4-28-a                             | <p>WMATA must review the workload and inspection territory assigned to track inspectors, and leverage non-track inspectors to perform watchman duties</p> <ul style="list-style-type: none"><li>WMATA submitted track walker analysis to FTA.</li><li>WMATA submitted an analysis of track inspection practices to FTA.</li><li>WMATA submitted a guidelines explaining metro track inspection processes.</li><li>WMATA developed standard operating procedures.</li><li>WMATA developed Track walker report and track inspection report per FTA review.</li></ul>  | II                         | October 2015                         | C          | 4                  | 4                      | <div><div>100%</div><div><div></div></div><div>0%20%40%60%80%100%</div></div> |
| FTA-Rail-4-29-a                             | <p>WMATA must ensure that ROCC reports all signal alarms and notifications to ATC</p> <ul style="list-style-type: none"><li>WMATA developed standard operating procedures.</li><li>WMATA revised operations administrative procedures.</li><li>WMATA completed the ATC alarm work order review.</li></ul>   | II                         | July 2016                            | C          | 4                  | 4                      | <div><div>100%</div><div><div></div></div><div>0%20%40%60%80%100%</div></div> |
|   | <p>and established business procedures for periodic ATC alarm.</p> <ul style="list-style-type: none"><li>Finally, WMATA performed a quality assurance audit to review actionable items.</li><li>WMATA addressed FTA comments.</li></ul>   |                            |                                      |            |                    |                        |   |
| FTA-Rail-4-30-a                             | <p>WMATA must develop a plan to document roles and responsibilities, activities, and points of coordination regarding its program to measure, document and mitigate the impacts of stray negative return current.</p> <ul style="list-style-type: none"><li>WMATA responded to FTA on current procedures.</li><li>WMATA studied stray negative return current and business process development.</li><li>WMATA submitted business process report, revised operations administrative procedures and corrective action plans to FTA.</li><li>Finally, WMATA performed a quality assurance audit to review actionable items.</li></ul>              | II                         | October 2016                         | C          | 5                  | 5                      | <div><div>100%</div><div><div></div></div><div>0%20%40%60%80%100%</div></div> |
| FTA-Rail-4-31-a                             | <p>WMATA must assess adequacy of Automatic Train Control (ATC) staffing levels resulting from the addition of the Silver Line</p> <ul style="list-style-type: none"><li>WMATA assessed the staffing levels and is developing a report for reallocation of positions.</li><li>Finally, WMATA performed a quality assurance audit to review actionable items.</li><li>WMATA addressed FTA comments.</li></ul>   | II                         | March 2016                           | C          | 3                  | 3                      | <div><div>100%</div><div><div></div></div><div>0%20%40%60%80%100%</div></div> |
|   | <p>WMATA must ensure that each department within Transit Infrastructure and Eng Services creates a formal program of Supervisory inspections to observe maint, look at quality of work in the field, and formally intervene to evaluate, re-train (if necessary), and enhance the professional development of employees.</p>  | II                         | March 2020                           | C          | 3                  | 3                      | <div><div>100%</div><div><div></div></div><div>0%20%40%60%80%100%</div></div> |

| CAP #  | Metro Actionable Items  | WMATA Hazard Risk Category | Original Estimate to Request Closure | CAP Status | Total Action Items | Action Items Submitted | Actionable Items Status Bar                               |
|--|---|----------------------------|--------------------------------------|------------|--------------------|------------------------|---|
| FTA-Rail-4-32-a  | <ul style="list-style-type: none"><li>WMATA developed a training program for supervisor QC management of maintenance activity.</li><li>WMATA reviewed current WMATA policies and procedures and created new policies to include supervisory inspection.</li><li>WMATA confirmed there is reasonable evidence to support completion of actionable items and performance measures.</li></ul>  |                            |                                      |            |                    |                        |   |
| FTA-Rail-4-33-a  | <p>Each WMATA Department impacted by inventory stockouts must develop a recovery or corrective action plan to ensure equipment availability and to manage delays.</p> <ul style="list-style-type: none"><li>WMATA developed notification process to alert potential stock-out.</li><li>WMATA documented procedures to manage delays in procuring materials and systematically reviewing inventory.</li><li>Finally, WMATA performed a quality assurance audit to review actionable items.</li></ul>   | II                         | November 2015                        | C          | 4                  | 4                      | 100% <div><div></div></div> <div>0%20%40%60%80%100%</div> |
| Category 5 - Fire/Life Safety and Emergency Preparedness |   |                            |                                      |            | 37                 | 37                     | 100% <div><div></div></div> <div>0%20%40%60%80%100%</div> |
| FTA-Rail-5-34-a  | <p>WMATA must complete its “Fire/Life Safety 1000” maintenance procedure, to clarify roles and responsibilities, and outline expectations regarding how departments should work together to coordinate inspection, maintenance and repair of these system components</p> <ul style="list-style-type: none"><li>WMATA developed guidelines and diagrams of tunnel fan, under platform and dome fans.</li><li>WMATA developed fire/life safety 1000 procedures.</li><li>WMATA rolled out plan for implementation and performed audit and testing of procedures.</li><li>WMATA conducted quality audit for scope verification and inspection of actionable items.</li><li>WMATA addressed ETA Comments</li></ul>   | II                         | May 2016                             | C          | 8                  | 8                      | 100% <div><div></div></div> <div>0%20%40%60%80%100%</div> |
| FTA-Rail-5-35-a  | <p>WMATA must establish clear definitions for infrastructure conditions requiring immediate or emergency action, such as “arcing insulator.”</p> <ul style="list-style-type: none"><li>WMATA developed a comprehensive list of issues that required emergency action.</li><li>WMATA developed a list of infrastructure conditions that required immediate action.</li><li>WMATA conducted quarterly assessment of employee reporting and management of conditions that required immediate action.</li><li>WMATA confirmed there was reasonable evidence to completion of actionable items and performance measures.</li></ul>   | IV                         | July 2020                            | C          | 5                  | 5                      | 100% <div><div></div></div> <div>0%20%40%60%80%100%</div> |
| FTA-Rail-5-35-b  | <p>WMATA must address third rail insulator cleaning and replacement requirements and third rail jumper cable inspection and replacement requirements as part of the “FLS 1000” procedure, or in separate but referenced procedures</p> <ul style="list-style-type: none"><li>WMATA developed guidelines to review upcoming track work requests.</li><li>WMATA revised procedures that support the ongoing compliance reviews.</li><li>WMATA developed a report of the TRST 2000 and power 100 plans.</li><li>WMATA developed a management directive that details the plan for insulator cleaning.</li><li>Quarterly assessments of insulator cable replacement are complete.</li><li>Finally, WMATA performed a quality assurance audit to review actionable items.</li></ul> | IV                         | December 2016                        | C          | 9                  | 9                      | 100% <div><div></div></div> <div>0%20%40%60%80%100%</div> |
| FTA-Rail-5-35-c  | <p>WMATA must improve its ability to detect the location of smoke in its tunnel network</p> <ul style="list-style-type: none"><li>WMATA developed solutions for smoke detection.</li><li>WMATA submitted standard operating procedures on the reporting of smoke locations.</li><li>Finally, WMATA performed a quality assurance audit to review actionable items.</li></ul>  | II                         | August 2019                          | C          | 5                  | 5                      | 100% <div><div></div></div> <div>0%20%40%60%80%100%</div> |
| FTA-Rail-5-35-d  | <p>WMATA must resume its program for cable insulation resistance testing for its power cables. Insulation resistance testing should be performed on power cables every 10 years</p> <ul style="list-style-type: none"><li>WMATA submitted the status of the insulator resistance testing.</li></ul>   | II                         | January 2017                         | C          | 4                  | 4                      | 100% <div><div></div></div> <div>0%20%40%60%80%100%</div> |

| CAP #   | Metro Actionable Items   | WMATA Hazard Risk Category | Original Estimate to Request Closure | CAP Status | Total Action Items | Action Items Submitted | Actionable Items Status Bar                               |
|---|--|----------------------------|--------------------------------------|------------|--------------------|------------------------|---|
|   | <ul style="list-style-type: none"><li>WMATA developed a detailed power 1000 plan.</li><li>Finally, WMATA performed a quality assurance audit to review actionable items.</li></ul>   |                            |                                      |            |                    |                        |   |
| FTA-Rail-5-35-e   | <b>WMATA must replace all defective power cables that have been identified by traction power inspectors and maintainers</b> <ul style="list-style-type: none"><li>WMATA conducted quarterly assessment on replacement of defective insulators cables.</li><li>Finally, WMATA performed a quality assurance audit to review actionable items.</li></ul>   | II                         | January 2017                         | C          | 2                  | 2                      | 100% <div><div></div></div> <div>0%20%40%60%80%100%</div> |
| FTA-Rail-5-35-f   | <b>WMATA must set a schedule of drills to assess the effectiveness of WMATA’s response to smoke in tunnel and station conditions</b> <ul style="list-style-type: none"><li>WMATA developed three year plan for emergency training exercises.</li><li>WMATA developed after action plans and a tracker to identify corrective actions and the status of recommended changes.</li><li>Finally, WMATA performed a quality assurance audit to</li></ul>  | II                         | December 2016                        | C          | 4                  | 4                      | 100% <div><div></div></div> <div>0%20%40%60%80%100%</div> |
| Category 6 - Condition and Performance of Tunnel Ventilation System |  |                            |                                      |            | 21                 | 21                     | 100% <div><div></div></div> <div>0%20%40%60%80%100%</div> |
| FTA-Rail-6-36-a   | <b>WMATA must establish a ventilation system testing quality audit process to ensure compliance with established maintenance and testing practices</b> <ul style="list-style-type: none"><li>WMATA developed an under platform exhaust, tunnel</li></ul>   | II                         | May 2016                             | C          | 6                  | 6                      | 100% <div><div></div></div> <div>0%20%40%60%80%100%</div> |
|   | fan and dome fan process diagram. <ul style="list-style-type: none"><li>WMATA developed fire/life safety 1000 procedures.</li><li>Finally, WMATA performed a quality assurance audit to review actionable items.</li><li>WMATA is addressing FTA comments.</li></ul>   |                            |                                      |            |                    |                        |   |
| FTA-Rail-6-36-b   | <b>WMATA must automate inspection and maintenance record keeping for tunnel ventilation systems, drainage pumping stations, and other critical systems managed by the Office of Plant Maintenance</b> <ul style="list-style-type: none"><li>WMATA developed inspection, testing and PM procedures.</li><li>WMATA submitted a project work plan that provide scope and approach.</li><li>WMATA procured hand held devices and is training personnel to use mobile devices and document attendance.</li><li>WMATA developed a maintenance inspection report.</li><li>WMATA confirmed there was reasonable evidence to support completion of actionable items and performance</li></ul> | II                         | March 2020                           | C          | 6                  | 6                      | 100% <div><div></div></div> <div>0%20%40%60%80%100%</div> |
| FTA-Rail-6-37-a   | <b>WMATA must complete replacement of the pneumatic control boxes for ventilation fans with Programmable Logic Control (PLC) systems within the next five years</b> <ul style="list-style-type: none"><li>WMATA developed drawings and specifications to procure PLC tunnel systems.</li><li>WMATA verified existing PLC controls and is in the process of procuring contract for PLC fan controls panel.</li><li>WMATA developed project work plan for installation of control panels. After procuring the contract, WMATA receipted first set of control panels.</li><li>Finally, WMATA performed a quality assurance audit to review actionable items.</li></ul>                  | II                         | October 2016                         | C          | 6                  | 6                      | 100% <div><div></div></div> <div>0%20%40%60%80%100%</div> |
| FTA-Rail-6-38-a   | <b>WMATA must conduct an engineering assessment to identify ways in which to improve the performance and capacity of the tunnel ventilation system</b> <ul style="list-style-type: none"><li>WMATA analyzed ventilation improvements.</li><li>WMATA developed an action plan from the ventilation improvements analysis.</li><li>Finally, WMATA performed a quality assurance audit to review actionable items.</li></ul>  | II                         | October 2016                         | C          | 3                  | 3                      | 100% <div><div></div></div> <div>0%20%40%60%80%100%</div> |
| Category 7 - Performance of Information Management Technology       |  |                            |                                      |            | 38                 | 38                     | 100% <div><div></div></div> <div>0%20%40%60%80%100%</div> |
|   | <b>WMATA must evaluate the existing ELM recordkeeping system and take corrective action, as necessary, to ensure accurate training, re-certification, and professional certification records are created, maintained, and readily accessible to appropriate managers and employees</b> <ul style="list-style-type: none"><li>WMATA developed ELM policy and evaluated ELM's</li></ul>  | IV                         | November 2019                        | C          | 11                 | 11                     | 100% <div><div></div></div> <div>0%20%40%60%80%100%</div> |

| CAP #   | Metro Actionable Items  | WMATA Hazard Risk Category | Original Estimate to Request Closure | CAP Status | Total Action Items | Action Items Submitted | Actionable Items Status Bar                              |
|---|---|----------------------------|--------------------------------------|------------|--------------------|------------------------|--|
| FTA-Rail-7-39-a   | alternatives. <ul style="list-style-type: none"><li>WMATA implemented new learning management system and developed user training materials and schedule.</li><li>Finally, WMATA performed a quality assurance audit to review actionable items.</li></ul>   |                            |                                      |            |                    |                        |  |
| FTA-Rail-7-40-a ,b, and c & FTA-Rail-7-41-a                         | <b>WMATA must develop a training strategy for improving the capabilities of employees to enter, analyze &amp; assess information into the agency’s Maint Mgmt Info Sys, WMATA must establish a data reliability working group focused on maint info, The IT Dept must coordinate with the Technical Training Dept</b> <ul style="list-style-type: none"><li>WMATA developed a project management and reengineering plan.</li><li>WMATA developed business and technical requirements and system design documents.</li><li>WMATA conducted a user acceptance test and will develop a training schedule.</li><li>Finally, WMATA performed a quality assurance audit to review actionable items.</li></ul> | IV                         | TBD                                  | C          | 9                  | 9                      | 100% <div><div></div><div>0%20%40%60%80%100%</div></div> |
| FTA-Rail-7-41-b   | <b>The Information Technology Department must coordinate with Rail Operations Quality Training to ensure the availability of additional training for the Rail Operations Control Center staff on the Advanced Information Management system</b> <ul style="list-style-type: none"><li>WMATA developed a detailed project management and business requirement plan.</li><li>WMATA developed training materials and conducted IT trainings.</li><li>WMATA delivered training to ROCC personnel</li><li>Finally, WMATA performed a quality assurance audit to review actionable items.</li></ul>   | IV                         | July 2016                            | C          | 6                  | 6                      | 100% <div><div></div><div>0%20%40%60%80%100%</div></div> |
| FTA-Rail-7-42-a   | <b>WMATA operating and maintenance depart must work together to develop a strategy to more actively analyze, review, and assess rail operation and maintenance data from a safety perspective.</b> <ul style="list-style-type: none"><li>WMATA developed a detailed project management plan.</li><li>WMATA developed technical requirements.</li><li>WMATA will conduct user acceptance testing and provide training to end users.</li><li>WMATA assessed lessons learned report and rolled out plan that explains how the pilot can be implemented.</li><li>Finally, WMATA performed a quality assurance audit to review actionable items.</li></ul>   | II                         | TBD                                  | C          | 8                  | 8                      | 100% <div><div></div><div>0%20%40%60%80%100%</div></div> |
| FTA-Rail-7-42-b   | <b>WMATA must work with the Tri-State Oversight Committee and FTA to establish and pilot an enhanced investigation process for rail transit accidents, incidents and safety studies that identify systemic root causes and deficiencies</b> <ul style="list-style-type: none"><li>WMATA provided initial hazard rating for all open accidents/incidents.</li><li>WMATA revised the policy/instruction and developed top ten list of highest priority accident/incident investigations.</li><li>Finally, WMATA performed a quality assurance audit to review actionable items.</li><li>WMATA addressed FTA comments.</li></ul>   | III                        | January 2016                         | C          | 4                  | 4                      | 100% <div><div></div><div>0%20%40%60%80%100%</div></div> |
| Category 8 - Outstanding Items from Previous FTA Audits and Reviews |   |                            |                                      |            | 20                 | 20                     | 100% <div><div></div><div>0%20%40%60%80%100%</div></div> |
| FTA-Rail-8-43-a   | <b>WMATA must assess the resources assigned to the Automatic Train Control Department to ensure their sufficiency to carry out critical work, including completion of the program for replacement of the Alstom Gen II track circuits by 2017</b> <ul style="list-style-type: none"><li>WMATA submitted status review of track circuit replacement.</li><li>WMATA submitted scope of work &amp; schedule for replacement.</li><li>WMATA committed funding for completion and staffing assessment.</li><li>WMATA submitted quarterly progress of track circuit replacement.</li><li>Finally, WMATA performed a quality assurance audit to review actionable items.</li></ul>                             | II                         | November 2015                        | C          | 7                  | 7                      | 100% <div><div></div><div>0%20%40%60%80%100%</div></div> |



| CAP #  | Metro Actionable Items   | WMATA Hazard Risk Category | Original Estimate to Request Closure | CAP Status | Total Action Items | Action Items Submitted | Actionable Items Status Bar   |
|--|--|----------------------------|--------------------------------------|------------|--------------------|------------------------|---|
| FTA-Rail-8-43-b  | <p>WMATA must expedite actions to address Corrective Action Plans from 2009 Fort Totten collision, including the 38 open items from the System Implementation Gap Analysis Report (SIGAR)</p> <ul style="list-style-type: none"><li>WMATA developed an overview of committee meetings.</li><li>WMATA developed closure documentation for committee approval.</li><li>Finally, WMATA performed a quality assurance audit to review actionable items.</li></ul>  | II                         | January 2017                         | C          | 3                  | 3                      | 100% <div><div></div></div> <div><div>0%</div><div>20%</div><div>40%</div><div>60%</div><div>80%</div><div>100%</div></div> |
| FTA-Rail-8-43-c  | <p>WMATA must replace ATC cables with low insulation resistance readings</p> <ul style="list-style-type: none"><li>WMATA explained steps taken to review ATC cable insulation resistance testing and replacement program.</li><li>WMATA developed a low insulation resistance vital ATC cable report and ATC cable replacement schedule.</li><li>WMATA developed an ATC cable replacement progress report.</li><li>Finally, WMATA performed a quality assurance audit to review actionable items.</li></ul>  | II                         | September 2016                       | C          | 5                  | 5                      | 100% <div><div></div></div> <div><div>0%</div><div>20%</div><div>40%</div><div>60%</div><div>80%</div><div>100%</div></div> |
|  | <ul style="list-style-type: none"><li>WMATA developed an ATC cable replacement progress report.</li><li>Finally, WMATA performed a quality assurance audit to review actionable items.</li></ul>   |                            |                                      |            |                    |                        |   |
| FTA-Rail-8-44-a FTA-Rail-8-44-b  | <p>WMATA must complete required submittals to FTA to close-out 2012 Safety and Maint Audit Recom #2 relating to the WMATA’s rail de-stressing program&amp; FTA-Rail-8-44-b - WMATA must conduct an independent assess regarding the Critical Rail Neutral Temp and Preferred Rail Laying Temp</p> <ul style="list-style-type: none"><li>WMATA gathered all historical data, including safety and maintenance audit.</li><li>WMATA updated heat counter measures and will develop action plans based on studies.</li><li>FWMATA confirmed there was reasonable evidence to support completion of actionable items and performance measures</li></ul>  | III                        | February 2020                        | C          | 5                  | 5                      | 100% <div><div></div></div> <div><div>0%</div><div>20%</div><div>40%</div><div>60%</div><div>80%</div><div>100%</div></div> |
| Metro Bus  |  |                            |                                      |            | 96                 | 96                     | 100% <div><div></div></div> <div><div>0%</div><div>20%</div><div>40%</div><div>60%</div><div>80%</div><div>100%</div></div> |
| Category 1 - Concern over the Protection of Metrobus Operations Personnel              |  |                            |                                      |            | 11                 | 11                     | 100% <div><div></div></div> <div><div>0%</div><div>20%</div><div>40%</div><div>60%</div><div>80%</div><div>100%</div></div> |
| FTA-Bus-1-1-a  | <p>WMATA will expedite development of an agency-wide coordinated strategy to address contributing elements to Bus Operator Assaults including: training, deployment of police and security resources, enhanced community outreach, and resolving fare box performance and reliability issues.</p> <ul style="list-style-type: none"><li>WMATA provided guide with step-by-step trouble shooting instructions for Farebox issues.</li><li>Finally, WMATA performed a quality assurance audit to review actionable items.</li></ul>  | II                         | July 2016                            | C          | 6                  | 6                      | 100% <div><div></div></div> <div><div>0%</div><div>20%</div><div>40%</div><div>60%</div><div>80%</div><div>100%</div></div> |
| FTA-Bus-1-1-b  | <p>WMATA’s Safety Department must increase its level of involvement in the Operator Assault Preventative/Awareness Safety Initiative at Local Safety Committees (LSC), and in the development of the overall strategy for enhanced protection of Bus Operators.</p> <ul style="list-style-type: none"><li>WMATA shared assault data with LSC, DSC, and ESC.</li><li>All new buses now include a barrier to separates the operator from the public.</li><li>WMATA has coordinated with MTPD to focus on High Intensity Target areas.</li><li>Finally, WMATA performed a quality assurance audit to review actionable items.</li></ul>   | II                         | January 2016                         | C          | 5                  | 5                      | 100% <div><div></div></div> <div><div>0%</div><div>20%</div><div>40%</div><div>60%</div><div>80%</div><div>100%</div></div> |
| Category 2 - Limited Availability of Training for Operations and Maintenance Personnel |  |                            |                                      |            | 42                 | 42                     | 100% <div><div></div></div> <div><div>0%</div><div>20%</div><div>40%</div><div>60%</div><div>80%</div><div>100%</div></div> |
| FTA-Bus-2-2-a  | <p>WMATA must develop a strategy and approach for developing, offering and updating refresher training as required in current policies and standards, for key categories of Transportation and Maintenance personnel, including Bus Operators, Street Supervisors, BOCC Specialists, and Bus Maintenance personnel.</p> <ul style="list-style-type: none"><li>All personnel have undergone safety refresher's training and the status of the 5-year recertification program has been assessed for implementation.</li><li>Refresher training was developed in accordance with the BOCC manual in order to ensure its continuation.</li><li>Finally, WMATA performed a quality assurance audit to review actionable item.</li></ul> | II                         | September 2017                       | C          | 35                 | 35                     | 100% <div><div></div></div> <div><div>0%</div><div>20%</div><div>40%</div><div>60%</div><div>80%</div><div>100%</div></div> |



| CAP #   | Metro Actionable Items  | WMATA Hazard Risk Category | Original Estimate to Request Closure | CAP Status | Total Action Items | Action Items Submitted | Actionable Items Status Bar                               |
|---|---|----------------------------|--------------------------------------|------------|--------------------|------------------------|---|
| FTA-Bus-2-3-a   | WMATA must develop a BOCC Manual (with processes and procedures) & a complete set of checklists for simple Standard Operating Procedures & bus vehicle troubleshooting guidance. A clear accompanying process should be established for updating the Manual & training specialists on its contents & updates.   | IV                         | January 2017                         | C          | 7                  | 7                      | 100% <div><div></div></div> <div>0%20%40%60%80%100%</div> |
|   | <ul style="list-style-type: none"><li>WMATA developed a BOCC manual and standards, and will conduct the training of these new processes and procedures.</li><li>WMATA developed monthly progress status on training compliance.</li><li>Finally, WMATA performed a quality assurance audit to review actionable items.</li></ul>  |                            |                                      |            |                    |                        |   |
| Category 3 - Inconsistent Operational Testing and Rules Compliance Checks |   |                            |                                      |            | 20                 | 20                     | 100% <div><div></div></div> <div>0%20%40%60%80%100%</div> |
| FTA-Bus-3-4-a   | WMATA must assess its overall approach to the performance of pre-trip inspections to determine the adequacy of time available for Operators to perform these inspections, the level of training available to Operators, and whether additional condition cards should be developed for different sub-fleets. <ul style="list-style-type: none"><li>WMATA replaced recording and delivery system with electronic system.</li><li>WMATA trained employees on system.</li><li>Finally, WMATA performed a quality assurance audit to review actionable items.</li></ul> | II                         | July 2016                            | C          | 9                  | 9                      | 100% <div><div></div></div> <div>0%20%40%60%80%100%</div> |
| FTA-Bus-3-5-a   | WMATA must establish and enforce a formal program to ensure that Supervisors assess Bus Operator performance. <ul style="list-style-type: none"><li>WMATA developed and implemented a process to conduct evaluations on an annual basis.</li><li>WMATA implemented evaluation process to track employee assessments.</li><li>WMATA performed a quality assurance audit to review actionable items.</li><li>WMATA addressed FTA comments.</li></ul>  | IV                         | February 2016                        | C          | 5                  | 5                      | 100% <div><div></div></div> <div>0%20%40%60%80%100%</div> |
| FTA-Bus-3-5-b   | WMATA must expand the total number and frequency of Passenger Service / Operator Skills Audits performed by Corporate Quality Assurance. <ul style="list-style-type: none"><li>WMATA developed a PSA assessment schedule annually.</li><li>Trend analysis audits were conducted to track risky behavior and unsafe work practices.</li><li>Finally, WMATA performed a quality assurance audit to review actionable items.</li><li>WMATA addressed FTA comments.</li></ul>   | IV                         | April 2016                           | C          | 4                  | 4                      | 100% <div><div></div></div> <div>0%20%40%60%80%100%</div> |
| FTA-Bus-3-6-a   | WMATA must establish a strategy and timeframe for extending the Fatigue Risk Management Program to all Bus Operations Control Center staff, including BOCC Specialists, the Street Operations Managers (SOMs), Street Supervisors and Division Office Managers. <ul style="list-style-type: none"><li>WMATA updated fatigue risk management policy.</li><li>WMATA performed a quality assurance audit to review actionable items.</li></ul>   | II                         | December 2015                        | C          | 2                  | 2                      | 100% <div><div></div></div> <div>0%20%40%60%80%100%</div> |
| Category 4 - System-wide Maintenance Issues                               |   |                            |                                      |            | 14                 | 14                     | 100% <div><div></div></div> <div>0%20%40%60%80%100%</div> |
| FTA-Bus-4-7-a   | WMATA must develop and implement a plan to bring its bus maintenance materials procurement process into compliance with FTA Circular 4220.1F. This plan must include a formal testing process for newly procured parts and enhancements to the process currently used to accept new bus vehicles. <ul style="list-style-type: none"><li>WMATA hired two new quality control inspectors to ensure that the new policy is implemented.</li><li>Finally, WMATA performed a quality assurance audit to review actionable items.</li></ul>                               | III                        | April 2016                           | C          | 7                  | 7                      | 100% <div><div></div></div> <div>0%20%40%60%80%100%</div> |
| FTA-Bus-4-8-a   | WMATA must conduct a resource evaluation regarding overall staffing and resources available to Quality Assurance & to other quality divisions and departments within Bus Maintenance & operational support in-plant inspection and general maintenance materials procedure. Options to re-instate factory visits must also be   | IV                         | April 2016                           | C          | 7                  | 7                      | 100% <div><div></div></div> <div>0%20%40%60%80%100%</div> |

| CAP #   | Metro Actionable Items  | WMATA Hazard Risk Category | Original Estimate to Request Closure | CAP Status | Total Action Items | Action Items Submitted | Actionable Items Status Bar                               |
|---|---|----------------------------|--------------------------------------|------------|--------------------|------------------------|---|
|   | <p>considered as part of this assessment.</p> <ul style="list-style-type: none"><li>WMATA issued a first article inspection, certifiable items list, and safety inspection report.</li><li>Finally, WMATA performed a quality assurance audit to review actionable items.</li></ul>   |                            |                                      |            |                    |                        |   |
| Category 5 - Lack of Information Management System Technology |   |                            |                                      |            | 9                  | 9                      | 100% <div><div></div></div> <div>0%20%40%60%80%100%</div> |
| FTA-Bus-5-9-a   | <p>Conduct an assessment determining the adequacy of resources available to support Bus Operations Control Center and Bus Superintendents with data entry and analysis.</p> <ul style="list-style-type: none"><li>WMATA analyzed of operational and safety concerns, and developed training manual.</li><li>These policy changes established the roles and responsibilities of the staffing requirements for BOCC specialists going forward.</li><li>Finally, WMATA performed a quality assurance audit to review actionable items.</li></ul> | III                        | January 2017                         | C          | 4                  | 4                      | 100% <div><div></div></div> <div>0%20%40%60%80%100%</div> |
| FTA-Bus-5-10-a  | <p>WMATA must formalize the procedure for how a Local Safety Committee will elevate a safety concern to the Departmental Safety Committee.</p> <ul style="list-style-type: none"><li>WMATA has updated Policy Instruction 10.2/2 related to new safety concerns since the last update.</li><li>Finally, WMATA performed a quality audit to review</li></ul>   | II                         | March 2016                           | C          | 2                  | 2                      | 100% <div><div></div></div> <div>0%20%40%60%80%100%</div> |
| FTA-Bus-5-10-b  | <p>WMATA must define the Bus Safety Officer roles and responsibilities and conduct an assessment determining the adequacy of resources available for Bus Safety Officers to complete these responsibilities.</p> <ul style="list-style-type: none"><li>WMATA's completed the SAFE handbook with roles and responsibilities.</li><li>WMATA assessed the adequacy of safety officers.</li><li>Finally, WMATA performed a quality assurance audit to review actionable items.</li></ul>  | II                         | March 2016                           | C          | 3                  | 3                      | 100% <div><div></div></div> <div>0%20%40%60%80%100%</div> |