Corrective Action Plans

Metrorail Category 2:
Ineffective Training, Operational Testing and Rules Compliance Programs
(8 Findings and 22 Required Actions)

Federal Transit Administration (FTA)

Safety Management Inspection (SMI)

MAR 16 – APR 3 2015

Washington Metropolitan Area Transit Authority (WMATA)

Corrective Action Plan (CAP)

R-2-15-a

Table of Contents

1 BACKGROUND 3
2 PURPOSE 3
2.1 FTA FINDING 3
2.1 FTA REQUIRED ACTION 3
3 ANALYSIS AND RECOMMENDATION 3
3.1 ANALYSIS 3
3.2 RECOMMENDATION 3
4 ACTION PLAN DESCRIPTION 4
4.1 APPROACH 4
4.2 SCHEDULE 5
4.3 BUDGET / COST ESTIMATE 5
4.4 INTERNAL STAKEHOLDERS 6
5 CAP COMPLETION DOCUMENTATION 7
6 PERFORMANCE MEASURES 7
7 VERIFICATION 7
8 CAP APPROVAL 8

1 Background

The Federal Transit Administration (FTA) completed a Safety Management Inspection (SMI) of the Washington Metropolitan Area Transit Authority (WMATA) rail and bus systems. FTA issued Safety Directive 15-1 identifying 54 safety findings and 91 required actions to improve safety.

2 Purpose

This Corrective Action Plan has been developed to address Safety Finding No. R-15 and its Required Action R-2-15-a.

2.1 FTA Finding

Maintenance and Operations Departments have not ensured the Roadway Worker Protection (RWP) training program is being conducted as required. Annual refresher and biennial re-certification requirements for Level II and Level IV are behind schedule.

2.1 FTA Required Action

Each WMATA Department with RWP- trained and qualified employees must coordinate with Technical Skills & Maintenance Training to get or establish an accurate status on each employee's refresher and requalification training.

3 Analysis and Recommendation

3.1 Analysis

Completed analysis of the FTA Finding and Required Action revealed all records were not updated.

3.2 Recommendation

Confirm all training records are updated and conduct validation of all active RWP certified employees training records with the actual expiration date on the RWP ID card.

4 Action Plan Description

4.1 Approach

Conduct validation of all active RWP certified employees training record expiration dates with the expiration date on the actual RWP.

Deliverable		Description	Responsible Party	Estimated Completion Date
1)	Narrative Memo	A narrative memo briefly explaining the steps taken to ensure the standalone RWP database is up-to-date and the process moving forward to ensure it is current.	Linda Stoffregen	09/30/15
2)	RWP Standard Operating Procedure (SOP)	Revise RWP's SOP to reflect new streamlined processes put into place to ensure RWP standalone database is accurate and up-to-date. SOP will include a six month independent audit review to be conducted by Office of SAFE validating procedures are being followed and standalone database is current.	Linda Stoffregen Louis Brown	10/15/15
3)	SAFE Audit Report	Report of the six month independent audit review conducted by SAFE. Additionally, the accuracy of the RWP training records will be included in the Internal Safety Audit (ISA) process conducted by the Office of SAFE.	Louis Brown	03/30/16
4)	Report of all Operations' Active RWP Certified Employees	Send report to each Operations' office of all active RWP certified employees requesting a photocopy of the employee's RWP badge displaying the expiration date.	Linda Stoffregen	07/15/15
5)	Photocopies of Active RWP Badges	Each Operations General Superintendent/Director must submit a PDF photocopy of the RWP certified employee's RWP badge.	Operations General Superintendents/ Directors	10/31/15
6)	Discrepancy Report	Compare each RWP badge expiration with the employee's training record expiration date and note any discrepancy. Update any corrections found into the stand alone database and coordinate results with each Operations Director/General Superintendent.	Linda Stoffregen	11/30/15

Deliverable		Description	Responsible Party	Estimated Completion Date
7)	Report of all Operations Active RWP Certified Employees	Send report to each Operations' office of all active RWP certified employees noting level of qualification, badge expiration date, refresher date and requalification date. This will give each office a complete and accurate accounting of their RWP certified employees, after the completion of the validation and incorporation of any discrepancies. This complete database will be republished every six months and distributed to the applicable offices.	Linda Stoffregen	12/31/15
8)	Quality Audit Report	The Office of Quality Assurance & Warranty (QAAW) performs scope verification and inspection of CAP deliverables to ensure that all are completed as planned and expected.	Michael DiNatale	04/15/16

4.2 Schedule

Refer to 4.1 for scheduled dates.

4.3 Budget / Cost Estimate

This action will be funded in the operating budget in FY2016.

4.4 Internal Stakeholders

The following internal stakeholders are committed to work on the action plan:

Participant	Needed From	Required Initials	Item Needed	Give To/ Coordinate With	Due Date
SAFE	Louis Brown		Review of Revised SOP	Linda Stoffregen	10/15/15
ACCS	Christian Kent		Copies of Employees' RWP Badges	Linda Stoffregen	10/31/15
CENI	Lou Viner		Copies of Employees' RWP Badges	Linda Stoffregen	10/31/15
CENV	Joseph Reynolds		Copies of Employees' RWP Badges	Linda Stoffregen	10/31/15
CMNT	Damon Cannon		Copies of Employees' RWP Badges	Linda Stoffregen	10/31/15
CPDO	Ildefonso Burgos		Copies of Employees' RWP Badges	Linda Stoffregen	10/31/15
CPMO	Devintia Headen		Copies of Employees' RWP Badges	Linda Stoffregen	10/31/15
ELES	Lonnie Murray		Copies of Employees' RWP Badges	Linda Stoffregen	10/31/15
LABR	Gayle Gray		Copies of Employees' RWP Badges	Linda Stoffregen	10/31/15
MCAP	John Thomas		Copies of Employees' RWP Badges	Linda Stoffregen	10/31/15
NEPP	Tom Randall		Copies of Employees' RWP Badges	Linda Stoffregen	10/31/15
PLNT	Paull Kram		Copies of Employees' RWP Badges	Linda Stoffregen	10/31/15
RTRA	Hercules Ballard		Copies of Employees' RWP Badges	Linda Stoffregen	10/31/15
SCES	Rodolfo Bitar		Copies of Employees' RWP Badges	Linda Stoffregen	10/31/15
SMNT	David Newman		Copies of Employees' RWP Badges	Linda Stoffregen	10/31/15
SRML	Pretha Mitchell		Copies of Employees' RWP Badges	Linda Stoffregen	10/31/15
TAMO	Joe Grey		Copies of Employees' RWP Badges	Linda Stoffregen	10/31/15
TRST	Darvin Kelly		Copies of Employees' RWP Badges	Linda Stoffregen	10/31/15
TIES	Andrew Off		Copies of Employees' RWP Badges	Linda Stoffregen	10/31/15
QAAW	Michael DiNatale		CAP deliverables verified and reviewed	Linda Stoffregen	04/15/16

5 CAP Completion Documentation

After Metro's collective review, a memorandum with enclosed CAP deliverables (refer to 4.1) will be provided to FTA to support the closure of required action.

6 Performance Measures

- Number of completed annual refreshers and biennial recertifications for RWP Level 2 and Level 4 equal the number of required for certified persons.
- Reduction in rule violation reports regarding out-of-date RWP cards.
- Continuous improvement in the accuracy of RWP training records.

7 Verification

- FTA review of the revised RWP SOP, training records and the 6-month audit review conducted by the Office of SAFE.

8 CAP Approval

APPROVED BY:

9/10/15
Date

Action Coordinator
Linda Stoffregen
Director, Operations Management Services (OPMS)

9/10/2015
Date

A. Robert Troup
Deputy General Manager, Operations (DGMO)

9/10/15
Date

Louis J. Brown
Acting Chief Safety Officer (SAFE)

9/11/15
Date

Jack Requa
Interim General Manager/Chief Executive Officer (GM/CEO)

Federal Transit Administration (FTA)

Safety Management Inspection (SMI)

MAR 16 – APR 3 2015

Washington Metropolitan Area Transit Authority (WMATA)

Corrective Action Plan (CAP)

R-2-15-b

Table of Contents

1 BACKGROUND 3

2 PURPOSE 3

2.1 FTA FINDING 3
2.1 FTA REQUIRED ACTION 3

3 ANALYSIS AND RECOMMENDATION 3

3.1 ANALYSIS 3
3.2 RECOMMENDATION 4

4 ACTION PLAN DESCRIPTION 4

4.1 APPROACH 4
4.2 SCHEDULE 6
4.3 BUDGET / COST ESTIMATE 6
4.4 INTERNAL STAKEHOLDERS 7

5 CAP COMPLETION DOCUMENTATION 8

6 PERFORMANCE MEASURES 8

7 VERIFICATION 8

8 CAP APPROVAL 9

1 Background

The Federal Transit Administration (FTA) completed a Safety Management Inspection (SMI) of the Washington Metropolitan Area Transit Authority (WMATA) rail and bus systems. FTA issued Safety Directive 15-1 identifying 54 safety findings and 91 required actions to improve safety.

2 Purpose

This Corrective Action Plan has been developed to address Safety Finding No. R-15 and its Required Action R-2-15-b.

2.1 FTA Finding

Maintenance and Operations Departments have not ensured the Roadway Worker Protection (RWP) training program is being conducted as required. Annual refresher and biennial re-certification requirements for Level II and Level IV are behind schedule.

2.1 FTA Required Action

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 Program.

3 Analysis and Recommendation

3.1 Analysis

Completed analysis of the FTA Finding and Required Action revealed the Technical Skills Maintenance Training (TSMT) team will revise the RWP SOP and implement the practice of requiring any employee who has lapsed refresher training or requalification to repeat the initial training and qualification for their respective RWP level.

RWP training commenced in FY11 with 5,059 trained the first year and a total of 20,824 since the beginning have been trained by the TSMT training team. During the past three years, an average of 4,602 employees have been trained annually.

As of 09/15/15 the table below conveys how many WMATA employees are out of compliance with their RWP training – excluding MTPD whose RWP training and tracking is done within MTPD due to confidentially.

Level	Refresher	Requalification	Total
Level 1	257	10	267
Level 2	607	684	1291
Level 4	132	97	229
Totals	996	791	1787

3.2 Recommendation

WMATA will ensure all RWP certified employees are in compliance with RWP training. Performance plans will incorporate performance metric for applicable employees and supervision requiring maintenance of RWP compliance. To ensure that all WMATA employees are aware of the importance of RWP compliance, any job description requiring RWP certification will be modified to reflect it as a requirement.

4 Action Plan Description

4.1 Approach

Deliverable		Description	Responsible Party	Due Date
1)	Out of Compliance Report	A report identifying Department of Operations employees' Out of Compliance with RWP training. This report will be sent out each **week** to those Managers/ Supervisors of employees "Out of Compliance". Individuals will be removed that have successfully completed training and individuals will be added that have not obtained requalification prior to their badge expiration date. Employees "Out of Compliance" with RWP training shall not be permitted access to the Roadway until recertification, requalification is completed.	Linda Stoffregen	09/16/15
2)	Memorandum/Bulletin	Communication to employees indicating 1)that all employees who have failed to complete their annual RWP refresher or RWP qualification for his or her certification level and 2)that WMATA is developing a prioritized schedule to ensure training availability to bring all WMATA employees into compliance with the RWP Program.	Linda Stoffregen	10/01/15

Deliverable		Description	Responsible Party	Due Date
3)	Prioritized Schedule	Analysis of those employees needing to repeat initial training by RWP level and department, and a prioritized schedule that shows when each employee identified by Employee ID number is scheduled to complete the repeat initial training.	Linda Stoffregen General Superintendents/ Directors	11/01/15
4)	List of Mitigations	List of mitigations that will be put into place for dealing with employees who have fallen out-of-compliance with WMATA's RWP refresher and requalification training so that they may continue to work safely while waiting to repeat the initial training (i.e., issuance of explanatory bulletin, supervisory reminders, more detailed job briefings, safety campaign on changes to the RWP Program, more QAAW and SAFE audits of RWP compliance).	Linda Stoffregen General Superintendents/ Directors	10/01/15
5)	RWP Standard Operating Procedure (SOP)	Revise RWP's SOP to reflect new streamlined processes put into place to ensure RWP standalone database is accurate and up-to-date. Clarify 1)annual RWP training is required to maintain RWP badge and ability to access the right-of-way; 2)any employee who has lapsed RWP refresher training or RWP requalification must repeat the initial training and qualification for their respective RWP level; 3)any employee who fails any RWP training test(s) whether it is refresher or requalification will have their RWP badge removed until they successfully pass the test; and 4)process of sticker application to the RWP badge signifying RWP refresher has been successfully completed. SOP will include a six month independent audit review to be conducted by Office of SAFE validating procedures are being followed and standalone database is current.	Linda Stoffregen Louis Brown	10/15/15
6)	Compliance Plan	Plan outlining the processes and measures to be taken to ensure employees do not fall out-of-compliance with their annual refresher or requalification training (i.e., issuance of additional weekly RWP report identifying employees due refresher or requalification within the next month, reminder emails to Supervisors, revising performance plans to incorporate performance metric for applicable employees and supervision requiring maintenance of RWP compliance, modifying any job description requiring RWP certification to reflect it as a requirement).	Linda Stoffregen	10/15/15

Deliverable		Description	Responsible Party	Due Date
7)	Monthly Briefing	Monthly briefing to the Executive Safety Committee Meeting on the "Out of Compliance" RWP report.	Linda Stoffregen	12/01/15
8)	Quarterly Safety Audit	Quarterly safety audit of Operations employees out of compliance with RWP training. Additionally, the non-compliance training will be included in the Internal Safety Audit (ISA) process conducted by the Office of SAFE.	Louis Brown	01/31/16
9)	Quarterly Briefing	Quarterly briefing for the WMATA Board regarding the Quarterly safety audit of employees out of compliance.	Louis Brown	03/31/16
10)	Out of Compliance Report	Publish "Out of Compliance" Report that has no employees listed indicating 100% RWP training compliance.	Linda Stoffregen	09/30/17
11)	Quality Audit Report	The Office of Quality Assurance & Warranty (QAAW) performs scope verification and inspection of CAP deliverables to ensure that all are completed as planned and expected. Subsequent periodic annual audits will be performed to verify RWP compliance.	Michael DiNatale	10/07/17

4.2 Schedule

Refer to 4.1 for scheduled dates.

4.3 Budget / Cost Estimate

This action will be funded in the operating budget in FY2016. Additional operating funds will be required in future fiscal years to support this action.

4.4 Internal Stakeholders

The following internal stakeholders are committed to work on the action plan:

Participant	Needed From	Required Initials	Item Needed	Give To/ Coordinate With	Estimated Completion Date
SAFE	Louis Brown		Quarterly Safety Audit "Out of Compliance" employees	Linda Stoffregen	01/31/16
ACCS	Christian Kent		Schedule "Out of Compliance" employees	Linda Stoffregen	09/30/17
CENI	Lou Viner		Schedule "Out of Compliance" employees	Linda Stoffregen	09/30/17
CENV	Joseph Reynolds		Schedule "Out of Compliance" employees	Linda Stoffregen	09/30/17
CMNT	Damon Cannon		Schedule "Out of Compliance" employees	Linda Stoffregen	09/30/17
CPDO	Ildefonso Burgos		Schedule "Out of Compliance" employees	Linda Stoffregen	09/30/17
CPMO	Devintia Headen		Schedule "Out of Compliance" employees	Linda Stoffregen	09/30/17
ELES	Lonnie Murray		Schedule "Out of Compliance" employees	Linda Stoffregen	09/30/17
LABR	Gayle Gray		Schedule "Out of Compliance" employees	Linda Stoffregen	09/30/17
MCAP	John Thomas		Schedule "Out of Compliance" employees	Linda Stoffregen	09/30/17
NEPP	Tom Randall		Schedule "Out of Compliance" employees	Linda Stoffregen	09/30/17
PLNT	Paull Kram		Schedule "Out of Compliance" employees	Linda Stoffregen	09/30/17
RTRA	Hercules Ballard		Schedule "Out of Compliance" employees	Linda Stoffregen	09/30/17
SCES	Rodolfo Bitar		Schedule "Out of Compliance" employees	Linda Stoffregen	09/30/17

Participant	Needed From	Required Initials	Item Needed	Give To/ Coordinate With	Estimated Completion Date
SMNT	David Newman		Schedule "Out of Compliance" employees	Linda Stoffregen	09/30/17
SRML	Pretha Mitchell		Schedule "Out of Compliance" employees	Linda Stoffregen	09/30/17
TAMO	Joe Grey		Schedule "Out of Compliance" employees	Linda Stoffregen	09/30/17
TRST	Darvin Kelly		Schedule "Out of Compliance" employees	Linda Stoffregen	09/30/17
TIES	Andrew Off		Schedule "Out of Compliance" employees	Linda Stoffregen	09/30/17
QAAW	Michael DiNatale		CAP deliverables verified and reviewed	Linda Stoffregen	10/07/17

5 CAP Completion Documentation

After Metro's collective review, a memorandum with enclosed CAP deliverables (refer to 4.1) will be provided to FTA to support the closure of required action.

6 Performance Measures

- Greater than 95% compliance with RWP training requirements.

7 Verification

- Review deliverables provided by WMATA including one year of the Quarterly Safety Audit Reports of RWP training performed by the Office of SAFE.

8 CAP Approval

APPROVED BY:

9/10/15
Action Coordinator — *Date*
Linda Stoffregen
Director, Operations Management Services (OPMS)

9/10/2015
A. Robert Troup — *Date*
Deputy General Manager, Operations (DGMO)

9/10/15
Louis J. Brown — *Date*
Acting Chief Safety Officer (SAFE)

9/11/15
Jack Requa — *Date*
Interim General Manager/Chief Executive Officer (GM/CEO)

Federal Transit Administration (FTA)

Safety Management Inspection (SMI)

MAR 16 – APR 3 2015

Washington Metropolitan Area Transit Authority (WMATA)

Corrective Action Plan (CAP)

R-2-15-c

Table of Contents

1 BACKGROUND 3

2 PURPOSE 3

2.1 FTA FINDING 3
2.1 FTA REQUIRED ACTION 3

3 ANALYSIS AND RECOMMENDATION 3

3.1 ANALYSIS 3
3.2 RECOMMENDATION 3

4 ACTION PLAN DESCRIPTION 4

4.1 APPROACH 4
4.2 SCHEDULE 5
4.3 BUDGET / COST ESTIMATE 5
4.4 INTERNAL STAKEHOLDERS 6

5 CAP COMPLETION DOCUMENTATION 7

6 PERFORMANCE MEASURES 7

7 VERIFICATION 7

8 CAP APPROVAL 8

1 Background

The Federal Transit Administration (FTA) completed a Safety Management Inspection (SMI) of the Washington Metropolitan Area Transit Authority (WMATA) rail and bus systems. FTA issued Safety Directive 15-1 identifying 54 safety findings and 91 required actions to improve safety.

2 Purpose

This Corrective Action Plan has been developed to address Safety Finding No. R-15 and its Required Action R-2-15-c.

2.1 FTA Finding

Maintenance and Operations Departments have not ensured the RWP training program is being conducted as required. Annual refresher and biennial re- certification requirements for Level II and Level IV are behind schedule.

2.1 FTA Required Action

WMATA's Information Technology Department must work with Technical Skills & 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.

3 Analysis and Recommendation

3.1 Analysis

Completed analysis of the FTA Finding and Required Action revealed WMATA's PeopleSoft module ELM does not currently meet the requirements of tracking employee training records.

3.2 Recommendation

Implement long term solution for tracking employee training records utilizing WMATA's enterprise system PeopleSoft. In the interim Operations will implement a short term solution.

4 Action Plan Description

4.1 Approach

Collaboration between operations' training groups, WMATA IT and WMATA HR to identify requirement gaps and implement a workaround resolution in the short term while WMATA IT and WMATA HR focus on the long term (IT Action Item R-7-39-a) Human Capital Management (HCM)/Enterprise Learning Management (ELM) resolution.

Deliverable		Description	Responsible Party	Due Date
1)	User Requirements List	Meeting with Operations' and SAFE training groups to identify requirements for employee training record tracking and ELM shortcomings.	Linda Stoffregen	10/31/15
2)	ELM Immediate Solutions List	WMATA IT, Operations' and SAFE training stakeholders will walk-through critical training record requirements and explore currently available ELM solutions to minimize tracking required outside ELM. The User Requirements List will be updated to reflect any items that are addressed with an immediate ELM solution.	Linda Stoffregen Lauren Semper-Scott, Ron Lewis, Eric Petersen, Alan Denney, Ann Murtha	11/30/15
3)	Short Term Solution Standard Operating Procedure (SOP)	**Short Term Solution:** Develop and implement a tracking mechanism for all employee training records that ensures management has a line of sight on all required certifications, requalifications and renewals. This will include the utilization of Microsoft Access and Microsoft Excel. Processes will be documented in an SOP that addresses all Department of Operations Training maintaining consistency wherever possible.	Linda Stoffregen Lauren Semper-Scott, Ron Lewis, Eric Petersen, Alan Denney, Ann Murtha	01/31/16
4)	Narrative Memo	**ELM Automated Solutions Long Term:** Memorandum will outline a high level plan including some initial activities. This item refers to IT Action R-7-39-a.	Kevin Borek Matt Peters	12/31/15
5)	Quarterly Progress Report	**ELM Automated Solutions Long Term:** Quarterly report identifying the progress on the long term solution (refer to IT Action R-7-39-a).	Kevin Borek	04/15/16
6)	Long Term Solution Project Plan (Refer to IT Action R-7-39-a)	**Employee Roles Report:** Cataloging the different types of employee roles across the authority and determining the required experience, trainings, licenses, certifications, etc. for each.	Matt Peters	09/22/17
Path 1				

Deliverable		Description	Responsible Party	Due Date
7)	Long Term Solution Project Plan (Refer to IT Action R-7-39-a)	**Final Implementation:** Of enhanced ELM or alternative training tracking system.	Kevin Borek	07/27/18
8)	IT Quality Audit Report	The Office of Information Technology (IT) performs scope verification and inspection of deliverables to ensure that all are completed as planned and expected.	Kevin Borek	09/15/18
		Path 2		
9)	Implementation of New Learning Management System	Implementation a new learning management system that meets the learning and tracking needs of WMATA	Kevin Borek	06/30/19
10)	IT Quality Audit Report	The Office of Information Technology Quality Assurance (ITQA) performs scope verification and inspection of CAP deliverables to ensure that all are completed as planned and expected.	Kevin Borek	09/01/19
11)	Quality Audit Report	The Office of Quality Assurance and Warranty (QAAW) performs scope verification and inspection of deliverables to ensure that all are completed as planned and expected.	Michael DiNatale	09/08/19

4.2 Schedule

Refer to 4.1 for scheduled dates.

4.3 Budget / Cost Estimate

This short term solution will be funded in the operating budget in FY2016. Additional capital funds will be required in future fiscal years to complete the long term solution IT Action Item R-7-39-a.

4.4 Internal Stakeholders

The following internal stakeholders are committed to work on the action plan.

Participant	Needed From	Required Initials	Item Needed	Give To/ Coordinate With	Estimated Completion Date
IT	Kevin Borek	KJB	Resources to review user requirements, identify potential ELM solutions, obtain user agreement with solutions, and modify ELM to incorporate solutions, test revised ELM and rollout ELM to users.	Linda Stoffregen	09/01/19
HRIM	Sharon Nystrom	SN	Resources to participate in user requirements review and identifying resolutions.	Linda Stoffregen	06/30/19
CENV	Eric Peterson		Participate throughout the process as a stakeholder	Linda Stoffregen	06/30/19
RTRA	Dr. Lauren Scott		Participate throughout the process as a stakeholder	Linda Stoffregen	06/30/19
RTRA	Ron Lewis	for Lewis	Participate throughout the process as a stakeholder	Linda Stoffregen	06/30/19
SAFE	Ann Murtha		Participate throughout the process as a stakeholder	Linda Stoffregen	06/30/19
OPMS	Kimberly Mountjoy	KM	Participate throughout the process as a stakeholder	Linda Stoffregen	06/30/19
OPMS	Rudolph Flowers	RF	Participate throughout the process as a stakeholder	Linda Stoffregen	06/30/19
OPMS	Kevin Tolson	KT	Participate throughout the process as a stakeholder	Linda Stoffregen	06/30/19
BUS	Alan Denney	for LFM 8.0	Participate throughout the process as a stakeholder	Linda Stoffregen	06/30/19
QAAW	Michael DiNatale	MD	CAP deliverables verified and reviewed	Linda Stoffregen	09/08/19

5 CAP Completion Documentation

The User Acceptance testing document signed by the Operations training stakeholders will substantiate to the FTA the CAP has been completed.

6 Performance Measures

- Validation within a testing environment that the ELM fulfills the established requirements of the Operations and SAFE training groups.

7 Verification

- Review deliverables provided by WMATA, interviews and record checks.

8 CAP Approval

APPROVED BY:

9/10/15
Date

Action Coordinator
Linda Stoffregen
Director, Operation Management Services (OPMS)

9/10/15
Date

Kevin Borek
Assistant General Manager and Chief Information Officer (IT)

9/10/2015
Date

A. Robert Troup
Deputy General Manager, Operations (DGMO)

9/10/15
Date

Louis J. Brown
Acting Chief Safety Officer (SAFE)

9/11/15
Date

Jack Requa
Interim General Manager/Chief Executive Officer (GM/CEO)

Federal Transit Administration (FTA)

Safety Management Inspection (SMI)

MAR 16 – APR 3 2015

Washington Metropolitan Area Transit Authority (WMATA)

Corrective Action Plan (CAP)

R-2-15-d

Table of Contents

1 BACKGROUND 3

2 PURPOSE 3

2.1 FTA FINDING 3
2.1 FTA REQUIRED ACTION 3

3 ANALYSIS AND RECOMMENDATION 3

3.1 ANALYSIS 3
3.2 RECOMMENDATION 4

4 ACTION PLAN DESCRIPTION 5

4.1 APPROACH 5
4.2 SCHEDULE 6
4.3 BUDGET / COST ESTIMATE 6
4.4 INTERNAL STAKEHOLDERS 7

5 CAP COMPLETION DOCUMENTATION 8

6 PERFORMANCE MEASURES 8

7 VERIFICATION 8

8 CAP APPROVAL 9

1 Background

The Federal Transit Administration (FTA) completed a Safety Management Inspection (SMI) of the Washington Metropolitan Area Transit Authority (WMATA) rail and bus systems. FTA issued Safety Directive 15-1 identifying 54 safety findings and 91 required actions to improve safety.

2 Purpose

This Corrective Action Plan has been developed to address Safety Finding No. R-15 and its Required Action R-2-15-d.

2.1 FTA Finding

Maintenance and Operations Departments have not ensured the Roadway Worker Protection (RWP) training program is being conducted as required. Annual refresher and biennial re-certification requirements for Level II and Level IV are behind schedule.

2.1 FTA Required Action

WMATA must include annual Roadway Worker Protection refresher and requalification time in overall work scheduling protocols and requirements.

3 Analysis and Recommendation

3.1 Analysis

WMATA completed a thorough review of the Roadway Worker Protection (RWP) training and the availability of training opportunities for required employees. The analysis revealed WMATA management is committed to training employees that require RWP certification to perform their jobs through the following means:

- New Employee Orientation: New employees or employees transferring to a position that requires RWP certification are provided their RWP training at the completion of their new employee orientation.
- WMATA Business Plan: Each Office within the Department of Operations has the following goal identified under Safety (Attachment A – TIES Departmental Business Plan 2015-2017 page 2):

"Ensure employees are trained on Metrorail Safety Rules and Procedures Handbook (MSRPH) and have current, appropriate levels of Roadway Worker Protection certification".

- Classes: RWP training is conducted each weekday and some Saturdays, year around.

RWP training commenced in FY11 with 5,059 trained the first year and a total of 20,824 since the beginning have been trained by the TSMT training team. During the past three years, an average of 4,602 employees have been trained annually.

As of 09/15/15 the table below conveys how many WMATA employees are out of compliance with their RWP training – excluding MTPD whose RWP training and tracking is done within MTPD due to confidentially.

Level	Refresher	Requalification	Total
Level 1	257	10	267
Level 2	607	684	1291
Level 4	132	97	229
Totals	996	791	1787

3.2 Recommendation

WMATA will ensure all RWP certified employees are in compliance with RWP training as outlined also for R-2-15-b. Performance plans will incorporate performance metric for applicable employees and supervision requiring maintenance of RWP compliance. To ensure that all WMATA employees are aware of the importance of RWP compliance, any job description requiring RWP certification will be modified to reflect it as a requirement.

4 Action Plan Description

4.1 Approach

Deliverable		Description	Responsible Party	Due Date
1)	Out of Compliance Report	A report identifying Department of Operations employees' Out of Compliance with RWP training. This report will be sent out each **week** to those Managers/ Supervisors of employees "Out of Compliance". Individuals will be removed that have successfully completed training and individuals will be added that have not obtained requalification prior to their badge expiration date. Employees "Out of Compliance" with RWP training shall not be permitted access to the Roadway until recertification, requalification is completed.	Linda Stoffregen	09/16/15
2)	Business Plan Safety Goal	Evaluate and update the safety goal identified in the WMATA Business Plan for each office within the Department of Operations.	Linda Stoffregen	10/31/15
3)	Quarterly Schedule	Identify specific training classes scheduled for the upcoming quarter (Classroom and CBT) by the ensure sufficiency of available training. Work with General Superintendents/Directors to schedule employees out of compliance and monitor class registerations to ensure class occupancy levels.	Linda Stoffregen General Superintendents/ Directors	10/01/15
4)	Monthly Briefing	Monthly briefing to the Executive Safety Committee Meeting on the "Out of Compliance" RWP report.	Linda Stoffregen	11/01/15
5)	Quarterly Safety Audit	Quarterly safety audit of Operations employees out of compliance with RWP training. Additionally, the non-compliance training will be included in the Internal Safety Audit (ISA) process conducted by the Office of SAFE.	Louis Brown	01/31/16

Deliverable		Description	Responsible Party	Due Date
6)	Quarterly Briefing	Quarterly briefing for the WMATA Board regarding the Quarterly safety audit of employees out of compliance.	Louis Brown	03/31/16
7)	Out of Compliance Report	Publish “Out of Compliance” Report to that has no employees listed indicating 100% RWP training compliance.	Linda Stoffregen	08/31/16
8)	Quality Audit Report	The Office of Quality Assurance & Warranty (QAAW) performs scope verification and inspection of CAP deliverables to ensure that all are completed as planned and expected. Subsequent periodic annual audits will be performed to verify RWP compliance.	Michael DiNatale	09/07/16

4.2 Schedule

Refer to 4.1 for scheduled dates.

4.3 Budget / Cost Estimate

This action will be funded in the operating budget in FY2016.

4.4 Internal Stakeholders

The following internal stakeholders are committed to work on the action plan:

Participant	Needed From	Required Initials	Item Needed	Give To/ Coordinate With	Estimated Completion Date
SAFE	Louis Brown		Quarterly Safety Audit "Out of Compliance" employees	Linda Stoffregen	01/31/16
ACCS	Christian Kent		Schedule "Out of Compliance" employees	Linda Stoffregen	08/31/16
CENI	Lou Viner		Schedule "Out of Compliance" employees	Linda Stoffregen	08/31/16
CENV	Joseph Reynolds		Schedule "Out of Compliance" employees	Linda Stoffregen	08/31/16
CMNT	Damon Cannon		Schedule "Out of Compliance" employees	Linda Stoffregen	08/31/16
CPDO	Ildefonso Burgos		Schedule "Out of Compliance" employees	Linda Stoffregen	08/31/16
CPMO	Devintia Headen		Schedule "Out of Compliance" employees	Linda Stoffregen	08/31/16
ELES	Lonnie Murray		Schedule "Out of Compliance" employees	Linda Stoffregen	08/31/16
LABR	Gayle Gray		Schedule "Out of Compliance" employees	Linda Stoffregen	08/31/16
MCAP	John Thomas		Schedule "Out of Compliance" employees	Linda Stoffregen	08/31/16
NEPP	Tom Randall		Schedule "Out of Compliance" employees	Linda Stoffregen	08/31/16
PLNT	Paull Kram		Schedule "Out of Compliance" employees	Linda Stoffregen	08/31/16
RTRA	Hercules Ballard		Schedule "Out of Compliance" employees	Linda Stoffregen	08/31/16
SCES	Rodolfo Bitar		Schedule "Out of Compliance" employees	Linda Stoffregen	08/31/16

Participant	Needed From	Required Initials	Item Needed	Give To/ Coordinate With	Estimated Completion Date
SMNT	David Newman		Schedule "Out of Compliance" employees	Linda Stoffregen	08/31/16
SRML	Pretha Mitchell		Schedule "Out of Compliance" employees	Linda Stoffregen	08/31/16
TAMO	Joe Grey		Schedule "Out of Compliance" employees	Linda Stoffregen	08/31/16
TRST	Darvin Kelly		Schedule "Out of Compliance" employees	Linda Stoffregen	08/31/16
TIES	Andrew Off		Schedule "Out of Compliance" employees	Linda Stoffregen	08/31/16
QAAW	Michael DiNatale		CAP deliverables verified and reviewed	Linda Stoffregen	09/07/16

5 CAP Completion Documentation

After Metro's collective review, a memorandum with enclosed CAP deliverables (refer to 4.1) will be provided to FTA to support the closure of required action.

6 Performance Measures

- Greater than 95% compliance with RWP training requirements.

7 Verification

- Review deliverables provided by WMATA including one year of the Quarterly Safety Audit Report of RWP training performed by the Office of SAFE.

8 CAP Approval

APPROVED BY:

Linda Stoffregen — 9/10/15

Action Coordinator
Linda Stoffregen
Director, Operations Management Services (OPMS)
Date

A. R. T. — 9/10/2015

A. Robert Troup
Deputy General Manager, Operations (DGMO)
Date

Louis J. Brown — 9/10/15

Louis J. Brown
Acting Chief Safety Officer (SAFE)
Date

Jack Requa — 9/11/15

Jack Requa
Interim General Manager/Chief Executive Officer (GM/CEO)
Date

Federal Transit Administration (FTA)

Safety Management Inspection (SMI)

MAR 16 – APR 3 2015

Washington Metropolitan Area Transit Authority (WMATA)

Corrective Action Plan (CAP)

R-2-16-a

Table of Contents

1 BACKGROUND 3

2 PURPOSE 3

2.1 FTA FINDING 3
2.2 FTA REQUIRED ACTION 3

3 ANALYSIS AND RECOMMENDATION 3

3.1 ANALYSIS 3
3.2 RECOMMENDATION 3

4 ACTION PLAN DESCRIPTION 4

4.1 APPROACH 4
4.2 SCHEDULE 4
4.3 BUDGET / COST ESTIMATE 5
4.4 INTERNAL STAKEHOLDERS 5

5 CAP COMPLETION DOCUMENTATION 6

6 PERFORMANCE MEASURES 6

7 VERIFICATION 6

8 CAP APPROVAL 7

1 Background

The Federal Transit Administration (FTA) completed a Safety Management Inspection (SMI) of the Washington Metropolitan Area Transit Authority (WMATA) rail and bus systems. FTA issued Safety Directive 15-1 identifying 54 safety findings and 91 required actions to improve safety.

2 Purpose

This Corrective Action Plan has been developed to address Safety Finding No. R-16 and its Required Action R-2-16-a.

2.1 FTA Finding

Technical Training for operations and maintenance departments is under-resourced and fractured, currently provided by five different departments and IT, is insufficiently directed and resourced, and relies significantly on on-the-job-training (OJT) which is informal and lacks oversight.

2.2 FTA Required Action

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.

3 Analysis and Recommendation

3.1 Analysis

Completed analysis of the FTA Finding and Required Action revealed Metro needs to conduct a study to prioritize technical training needs for maintenance and operations personnel.

3.2 Recommendation

Metro will perform an independent study of operations and maintenance technical training needs.

4 Action Plan Description

4.1 Approach

Operations will obtain an outside contractor to conduct an independent study of operations and maintenance technical training needs.

Deliverable		Description	Responsible Party	Estimated Completion Date
1)	Narrative Memo	A narrative memo briefly explaining the steps that Operations will take to meet this required action. Steps will include obtaining an outside contractor to conduct a study that will identify training gaps and then subsequently obtain an outside contractor to develop training curriculum for the prioritized needs.	Linda Stoffregen	10/31/15
2)	Executed Contract	Copy of executed contract with the outside contractor.	Linda Stoffregen	01/31/16
3)	Final Curriculum	Vendor delivered final training curriculum that fulfills gaps and operational training priorities.	Vendor	05/31/17
4)	Revised Training Plan	Operations will incorporate training curriculum into maintenance, Rail Operation Control Center (ROCC) controllers and frontline personnel training requirements along with training frequency requirements.	Linda Stoffregen	07/31/17
5)	Quality Audit Report	The Office of Quality Assurance and Warranty (QAAW) performs scope verification and inspection of deliverables to ensure that all are completed as planned and expected. Subsequent periodic annual audits will be performed to verify compliance with the revised training plan.	Michael DiNatale	08/07/17

4.2 Schedule

Refer to 4.1 for scheduled dates.

4.3 Budget / Cost Estimate

This action will be funded in the operating budget in FY2016. Additional operating funds will be required in future fiscal years to support this action.

4.4 Internal Stakeholders

The following internal stakeholders are committed to work on the action plan.

Participant	Needed From	Required Initials	Item Needed	Give To/ Coordinate With	Estimated Completion Date
PRMT	John Shackelford		Approval of 2 task orders	Linda Stoffregen	11/01/15
CENI	Lou Viner		Participation in preparation of SOWs and review of curriculum	Linda Stoffregen	05/31/17
CENV	Joseph Reynolds		Participation in preparation of SOWs and review of curriculum	Linda Stoffregen	05/31/17
CMNT	Damon Cannon		Participation in preparation of SOWs and review of curriculum	Linda Stoffregen	05/31/17
CPDO	Ildefonso Burgos		Participation in preparation of SOWs and review of curriculum	Linda Stoffregen	05/31/17
ELES	Lonnie Murray		Participation in preparation of SOWs and review of curriculum	Linda Stoffregen	05/31/17
MCAP	John Thomas		Participation in preparation of SOWs and review of curriculum	Linda Stoffregen	05/31/17
PLNT	Paul Kram		Participation in preparation of SOWs and review of curriculum	Linda Stoffregen	05/31/17
QAAW	Michael DiNatale		Participation in preparation of SOWs and review of curriculum	Linda Stoffregen	05/31/17
RTRA	Hercules Ballard		Participation in preparation of SOWs and review of curriculum	Linda Stoffregen	05/31/17
SCES	Rodolfo Bitar		Participation in preparation of SOWs and review of curriculum	Linda Stoffregen	05/31/17
SMNT	David Newman		Participation in preparation of SOWs and review of curriculum	Linda Stoffregen	05/31/17
SRML	Pretha Mitchell		Participation in preparation of SOWs and review of curriculum	Linda Stoffregen	05/31/17

Participant	Needed From	Required Initials	Item Needed	Give To/ Coordinate With	Estimated Completion Date
TAMO	Joe Grey		Participation in preparation of SOWs and review of curriculum	Linda Stoffregen	05/31/17
TRST	Darvin Kelly		Participation in preparation of SOWs and review of curriculum	Linda Stoffregen	05/31/17
TIES	Andrew Off		Participation in preparation of SOWs and review of curriculum	Linda Stoffregen	05/31/17
RTRA	Lauren Scott		Participation in revising training plans	Linda Stoffregen	07/31/17
CENV	Eric Peterson		Participation in revising training plans	Linda Stoffregen	07/31/17
QAAW	Michael DiNatale		CAP deliverables verified and reviewed	Linda Stoffregen	08/07/17

5 CAP Completion Documentation

After Metro's collective review, a memorandum with enclosed CAP deliverables (refer to 4.1) will be provided to FTA to support the closure of required action.

6 Performance Measures

- 100% completion of the independent study of operations and maintenance training needs.
- 100% incorporation of training curriculum into operations and maintenance.

7 Verification

- Review deliverables provided by WMATA, interviews and record checks.

8 CAP Approval

APPROVED BY:

9/10/15

Action Coordinator
Linda Stoffregen
Director, Operations Management Services (OPMS)
Date

9/10/2015

A. Robert Troup
Deputy General Manager, Operations (DGMO)
Date

9/10/15

Louis J. Brown
Acting Chief Safety Officer (SAFE)
Date

9/11/15

Jack Requa
Interim General Manager/Chief Executive Officer (GM/CEO)
Date

Federal Transit Administration (FTA)

Safety Management Inspection (SMI)

MAR 16 – APR 3 2015

Washington Metropolitan Area Transit Authority (WMATA)

Corrective Action Plan (CAP)

R-2-16-b

Table of Contents

1 BACKGROUND 3

2 PURPOSE 3

2.1 FTA FINDING 3
2.2 FTA REQUIRED ACTION 3

3 ANALYSIS AND RECOMMENDATION 3

3.1 ANALYSIS 3
3.2 RECOMMENDATION 3

4 ACTION PLAN DESCRIPTION 4

4.1 APPROACH 4
4.2 SCHEDULE 5
4.3 BUDGET / COST ESTIMATE 5
4.4 INTERNAL STAKEHOLDERS 6

5 CAP COMPLETION DOCUMENTATION 6

6 PERFORMANCE MEASURES 6

7 VERIFICATION 6

8 CAP APPROVAL 7

1 Background

The Federal Transit Administration (FTA) completed a Safety Management Inspection (SMI) of the Washington Metropolitan Area Transit Authority (WMATA) rail and bus systems. FTA issued Safety Directive 15-1 identifying 54 safety findings and 91 required actions to improve safety.

2 Purpose

This Corrective Action Plan has been developed to address Safety Finding No. R-16 and its Required Action R-2-16-b.

2.1 FTA Finding

Technical Training for operations and maintenance departments is under-resourced and fractured, currently provided by five different departments and IT, is insufficiently directed and resourced, and relies significantly on on-the-job-training (OJT) which is informal and lacks oversight.

2.2 FTA Required Action

WMATA must evaluate whether re-organization or consolidation of training functions would improve the agency's ability to manage, schedule, budget for, develop, oversee and assess training and ensure that training material remains up-to-date.

3 Analysis and Recommendation

3.1 Analysis

Completed analysis of the FTA Finding and Required Action revealed Metro Operations group would improve their ability to manage the Operations training functions if the training was consolidated under one office.

3.2 Recommendation

WMATA Operations will reorganize the three training functions under one office.

4 Action Plan Description

4.1 Approach

Metro will implement one single training department for Metrorail training needs by having a Director of Technical Maintenance Training and a Director of Rail Transportation Training within one department. This would enable synergy and consistent approach but will require additional staffing resources to be successful. These resources could possibly be obtained by realignment of existing positions.

Deliverable		Description	Responsible Party	Estimated Completion Date
1)	Narrative Memo of Reorganization	Propose new consolidated organization for the three training groups in Operations for the Deputy General Manager of Operations (DGMO) consideration. Aligning staff in a matrix organization to support the maintenance and operations groups.	Hercules Ballard, Andrew Off, Linda Stoffregen	10/31/15
2)	Organizational Chart	Identify staffing resource requirements to effectively deliver required training for Technical/Maintenance and Rail Transportation. Put in place one liaison for Transit Infrastructure and Engineering Services (TIES) and one liaison for the Office of Rail Transportation (RTRA) that will provide the two groups independent coordination with the training group as well as ensure all coordination occurs with SAFE, OEM and HR. Create and modify necessary job descriptions required for training organization.	Hercules Ballard, Andrew Off, Linda Stoffregen	11/30/15
3)	Revised and/or New Job Descriptions	Revised and/or new job descriptions required for the new consolidated training organization within Operations.	Michael Duncan	11/30/15
4)	Standard Operating Procedure	Develop a standard operating procedure (SOP) for the Operations training team that will clearly set forth the guidelines for the team including training scheduling, tracking, and record keeping. SOP is included in the Internal Safety Audit (ISA) process conducted by the Office of SAFE.	Linda Stoffregen	02/15/16
5)	Management Meeting Minutes	Meet with Operations Managing Directors, Assistant General Managers, General Superintendents and Directors to identify their training concerns and the path moving forward.	Linda Stoffregen	03/31/16

Deliverable		Description	Responsible Party	Estimated Completion Date
6)	All Hands Meeting Minutes	Meet with entire training team to discuss goals/objectives/SOP and ensure the team understands we are a customer based department and we need the expertise of every one of them working together as one to be successful.	Linda Stoffregen	04/30/16
7)	Quality Audit Report	The Office of Quality Assurance and Warranty (QAAW) performs scope verification and inspection of deliverables to ensure that all are completed as planned and expected. Subsequent periodic annual audits will be performed to verify compliance with the revised SOP.	Michael DiNatale	05/07/16

4.2 Schedule

Refer to 4.1 for scheduled dates.

4.3 Budget / Cost Estimate

This action will be funded in the operating budget in FY2016.

4.4 Internal Stakeholders

The following internal stakeholders are committed to work on the action plan.

Participant	Needed From	Required Initials	Item Needed	Give To/ Coordinate With	Estimated Completion Date
SAFE	Louis Brown		SOP is included in the Internal Safety Audit (ISA) process conducted by the Office of SAFE.	Linda Stoffregen	02/15/16
TIES	Andrew Off		Development of proposed reorganization and collaboration training needs and path forward.	Linda Stoffregen	02/15/16
RTRA	Hercules Ballard		Development of proposed reorganization and collaboration training needs and path forward.	Linda Stoffregen	02/15/16
HR	Micahel Duncan		Review and approval of revised/new job descriptions	Linda Stoffregen	11/30/15
HROS	Ethel Roy		Recruitment of vacant positions	Linda Stoffregen	12/31/15
QAAW	Michael DiNatale		CAP deliverables verified and reviewed	Linda Stoffregen	05/07/16

5 CAP Completion Documentation

After Metro's collective review, a memorandum with enclosed CAP deliverables (refer to 4.1) will be provided to FTA to support the closure of required action.

6 Performance Measures

- 100% completion of the reorganization of the three training functions under one office with direct report to the DGMO.

7 Verification

- Review deliverables provided by WMATA, interviews and record checks.

8 CAP Approval

APPROVED BY:

9/10/15
Date

Action Coordinator
Linda Stoffregen
Director, Operations Management Services (OPMS)

9/10/2015
Date

A. Robert Troup
Deputy General Manager, Operations (DGMO)

Chad Y. Kenkowski for Louis Brown 9/10/15
Date

Louis J. Brown
Acting Chief Safety Officer (SAFE)

9/11/15
Date

Jack Requa
Interim General Manager/Chief Executive Officer (GM/CEO)

Federal Transit Administration (FTA)

Safety Management Inspection (SMI)

MAR 16 – APR 3 2015

Washington Metropolitan Area Transit Authority (WMATA)

Corrective Action Plan (CAP)

R-2-16-c

Table of Contents

1 BACKGROUND 3

2 PURPOSE 3

2.1 FTA FINDING 3
2.2 FTA REQUIRED ACTION 3

3 ANALYSIS AND RECOMMENDATION 3

3.1 ANALYSIS 3
3.2 RECOMMENDATION 3

4 ACTION PLAN DESCRIPTION 4

4.1 APPROACH 4
4.2 SCHEDULE 4
4.3 BUDGET / COST ESTIMATE 4
4.4 INTERNAL STAKEHOLDERS 5

5 CAP COMPLETION DOCUMENTATION 5

6 PERFORMANCE MEASURES 5

7 VERIFICATION 5

8 CAP APPROVAL 6

1 Background

The Federal Transit Administration (FTA) completed a Safety Management Inspection (SMI) of the Washington Metropolitan Area Transit Authority (WMATA) rail and bus systems. FTA issued Safety Directive 15-1 identifying 54 safety findings and 91 required actions to improve safety.

2 Purpose

This Corrective Action Plan has been developed to address Safety Finding No. R-16 and its Required Action R-2-16-c.

2.1 FTA Finding

Technical Training for operations and maintenance departments is under-resourced and fractured, currently provided by five different departments and IT, is insufficiently directed and resourced, and relies significantly on on-the-job-training (OJT) which is informal and lacks oversight.

2.2 FTA Required Action

WMATA must establish a comprehensive training program to communicate the new “Fire Life Safety 1000 -- Inspection, Testing and Maintenance Procedure” to WMATA Operations and Maintenance personnel.

3 Analysis and Recommendation

3.1 Analysis

Completed analysis of the FTA Finding and Required Action revealed WMATA needs to establish a comprehensive training program to communicate the new “Fire Life Safety 1000 – inspection”.

3.2 Recommendation

WMATA will develop a FLS 1000 comprehensive training program.

4 Action Plan Description

4.1 Approach

Operations will establish a comprehensive training program for FLS incorporating the assistance of a vendor with the subject matter industry expertise.

Deliverable		Description	Responsible Party	Estimated Completion Date
1)	Narrative Memo	A narrative memo briefly explaining the steps that Operations will take to establish a comprehensive training program for FLS.	Lou Viner	10/31/15
2)	Executed Contract	Copy of executed contract with the outside contractor.	Lou Vinder	12/31/15
3)	Final Training Curriculum And SOPs	AECOM will incorporate changes/comments received from WMATA's review and pilot training.	Lou Viner	03/31/17
4)	Training Plan	New Curriculum and training program will be rolled out to maintenance personnel.	Linda Stoffregen	05/31/17
5)	Quality Audit Report	The Office of Quality Assurance and Warranty (QAAW) performs scope verification and inspection of deliverables to ensure that all are completed as planned and expected. Subsequent periodic annual audits will be performed to verify compliance with the revised training program.	Michael DiNatale	06/07/17

4.2 Schedule

Refer to 4.1 for scheduled dates.

4.3 Budget / Cost Estimate

This action will be funded in the operating budget in FY2016. Additional operating funds will be required in future fiscal years to support this action.

4.4 Internal Stakeholders

The following internal stakeholders are committed to work on the action plan.

Participant	Needed From	Required Initials	Item Needed	Give To/ Coordinate With	Estimated Completion Date
OEM	Ron Bodmer		Participation in review of curriculum and SOPs	Lou Viner	05/31/17
SAFE	Louis Brown		Participation in review of curriculum and SOPs	Lou Viner	05/31/17
TIES	Andrew Off		Participation in review of curriculum and SOPs	Linda Stoffregen	05/31/17
QAAW	Michael DiNatale		CAP deliverables verified and reviewed	Linda Stoffregen	06/07/17

5 CAP Completion Documentation

After Metro's collective review, a memorandum with enclosed CAP deliverables (refer to 4.1) will be provided to FTA to support the closure of required action.

6 Performance Measures

- Implementation of the new curriculum and training program.

7 Verification

- Review deliverables provided by WMATA, interviews and record checks.

8 CAP Approval

APPROVED BY:

9/10/15
Date

Action Coordinator
Linda Stoffregen
Director, Operations Management Services (OPMS)

16 SEP 15
Date

Andrew Off
Assistant General Manager
Transit Infrastructure and Engineering Services (TIES)

9/10/2015
Date

A. Robert Troup
Deputy General Manager, Operations (DGMO)

9/10/15
Date

Louis J. Brown
Acting Chief Safety Officer (SAFE)

9/11/15
Date

Jack Requa
Interim General Manager/Chief Executive Officer (GM/CEO)

Federal Transit Administration (FTA)

Safety Management Inspection (SMI)

MAR 16 – APR 3 2015

Washington Metropolitan Area Transit Authority (WMATA)

Corrective Action Plan (CAP)

R-2-16-d

Table of Contents

1 BACKGROUND 3

2 PURPOSE 3

2.1 FTA FINDING 3
2.2 FTA REQUIRED ACTION 3

3 ANALYSIS AND RECOMMENDATION 3

3.1 ANALYSIS 3
3.2 RECOMMENDATION 3

4 ACTION PLAN DESCRIPTION 4

4.1 APPROACH 4
4.2 SCHEDULE 4
4.3 BUDGET / COST ESTIMATE 4
4.4 INTERNAL STAKEHOLDERS 5

5 CAP COMPLETION DOCUMENTATION 5

6 PERFORMANCE MEASURES 5

7 VERIFICATION 5

8 CAP APPROVAL 6

1 Background

The Federal Transit Administration (FTA) completed a Safety Management Inspection (SMI) of the Washington Metropolitan Area Transit Authority (WMATA) rail and bus systems. FTA issued Safety Directive 15-1 identifying 54 safety findings and 91 required actions to improve safety.

2 Purpose

This Corrective Action Plan has been developed to address Safety Finding No. R-16 and its Required Action R-2-16-d.

2.1 FTA Finding

Technical Training for operations and maintenance departments is under-resourced and fractured, currently provided by five different departments and IT, is insufficiently directed and resourced, and relies significantly on on-the-job-training (OJT) which is informal and lacks oversight.

2.2 FTA Required Action

WMATA must establish formal guidance for maintenance employees responsible for providing on-the-job training.

3 Analysis and Recommendation

3.1 Analysis

Completed analysis of the FTA Finding and Required Action revealed that WMATA Technical Skills and Maintenance group in Operations has a training curriculum that used to be utilized to train mentors in the field that provided on-the-job training for apprentices. However, there is not a formal guidance for maintenance employees responsible for on-the-job training.

3.2 Recommendation

WMATA will develop a mentor guideline and training curriculum for maintenance employees responsible for providing on-the-job training.

4 Action Plan Description

4.1 Approach

Operations will utilize best practices to develop a standard mentor guideline and training curriculum for anyone responsible for providing on-the-job training.

	Deliverable	Description	Responsible Party	Estimated Completion Date
1)	Narrative Memo	A narrative memo briefly explaining the steps taken to obtain mentor best practice guidelines from industry experts including basic skill requirements, consistent approach and documenting and providing constructive feedback.	Kimberly Mountjoy	09/30/15
2)	Draft Mentor Guideline and Curriculum	Develop a draft mentor guideline and training curriculum	Kimberly Mountjoy	12/31/15
3)	Final Mentor Guideline and Curriculum	Rollout of final mentor guidelines to Operations management for distribution to anyone providing mentoring in the field. Add training curriculum as a standard class offered.	Kimberly Mountjoy	04/30/16
4)	Quarterly Schedule	Identify specific mentor training classes scheduled for the upcoming quarter.	Kimberly Mountjoy	05/31/16
5)	Quality Audit Report	The Office of Quality Assurance and Warranty (QAAW) performs scope verification and inspection of deliverables to ensure that all are completed as planned and expected. Subsequent periodic annual audits will be performed to verify compliance with the new curriculum.	Michael DiNatale	06/07/16

4.2 Schedule

Refer to 4.1 for scheduled dates.

4.3 Budget / Cost Estimate

This action will be funded in the operating budget in FY2016.

4.4 Internal Stakeholders

The following internal stakeholders are committed to work on the action plan.

Participant	Needed From	Required Initials	Item Needed	Give To/ Coordinate With	Estimated Completion Date
TIES	Andrew Off		Provide personnel to participate in pilot of guideline and training curriculum	Linda Stoffregen	04/30/16
QAAW	Michael DiNatale		CAP's deliverables verified and reviewed	Linda Stoffregen	06/07/16

5 CAP Completion Documentation

After Metro's collective review, a memorandum with enclosed CAP deliverables (refer to 4.1) will be provided to FTA to support the closure of required action.

6 Performance Measures

- Implementation of the new curriculum and training program.

7 Verification

- Review deliverables provided by WMATA, interviews and record checks.

8 CAP Approval

APPROVED BY:

Action Coordinator — 9/10/15 Date
Linda Stoffregen
Director, Operations Management Services (OPMS)

A. Robert Troup — 9/10/2015 Date
Deputy General Manager, Operations (DGMO)

Louis J. Brown — 9/10/15 Date
Acting Chief Safety Officer (SAFE)

Jack Requa — 9/11/15 Date
Interim General Manager/Chief Executive Officer (GM/CEO)

Federal Transit Administration (FTA)

Safety Management Inspection (SMI)

MAR 16 – APR 3 2015

Washington Metropolitan Area Transit Authority (WMATA)

Corrective Action Plan (CAP)

R-2-17-a

Table of Contents

1 BACKGROUND 3

2 PURPOSE 3

2.1 FTA FINDING 3
2.2 FTA REQUIRED ACTION 3

3 ANALYSIS AND RECOMMENDATION 3

3.1 ANALYSIS 3
3.2 RECOMMENDATION 4

4 ACTION PLAN DESCRIPTION 5

4.1 APPROACH 5
4.2 SCHEDULE 6
4.3 BUDGET / COST ESTIMATE 6
4.4 INTERNAL STAKEHOLDERS 7

5 CAP COMPLETION DOCUMENTATION 7

6 PERFORMANCE MEASURES 7

7 VERIFICATION 7

8 CAP APPROVAL 8

1 Background

The Federal Transit Administration (FTA) completed a Safety Management Inspection (SMI) of the Washington Metropolitan Area Transit Authority (WMATA) rail and bus systems. FTA issued Safety Directive 15-1 identifying 54 safety findings and 91 required actions to improve safety.

2 Purpose

This Corrective Action Plan has been developed to address Safety Finding No. R-2-17-a and its Required Action(s).

2.1 FTA Finding

WMATA does not have a clear strategy for the development or delivery of emergency response training to WMATA's frontline personnel, or for managing the logistical challenges associated with coordinating familiarization training with local emergency responders.

2.2 FTA Required Action

WMATA's Office of Emergency Management (OEM) must conduct a formal review of the Metrorail Safety Rules and Procedures Handbook (MSRPH), the supporting Standard Operating Procedures, and the new checklists and tools developed by the Rail Operations Control Center to ensure conformance with WMATA's emergency plans and the understanding of local jurisdictions as reflected in region-wide emergency operations plans.

3 Analysis and Recommendation

3.1 Analysis

Completed analysis of the FTA Finding and Required Action revealed WMATA's OEM continues a collaborative and systematic approach to ensure that all departments/offices emergency response plans, procedures, and protocols are in conformance with WMATA's emergency plans and the understanding of the local jurisdictions as reflected in region-wide emergency operations plans.

As part of the existing planning process and in accordance with Comprehensive Planning Guide (CPG) 101, OEM identified a core planning team to incorporate subject matter knowledge, best practices and lessons learned during the developmental stage of WMATA's departments/offices emergency response plans. Once documents are developed, emergency response plans are cross walked with relevant plans, procedures, protocol and general orders. Documents are reviewed by various WMATA stakeholders and suggested changes incorporated. To ensure continual maintenance of these documents and implementation of a change management process, OEM put into place a maintenance cycle process so that the departmental subject matter experts could review bi-annually for any required revisions.

OEM serves as a member of the MSRPH Committee which oversees the review of changes/revisions and attends Rail Operations Control Center's (ROCC) bi-weekly staff meetings to review any new procedures, checklists, tools and desk reference that may require changes to plans, procedures, or protocols or require the development of a fire/life safety bulletin.

OEM's process for developing internal emergency response plans and procedures includes the establishment of a WMATA Departmental Task Force, to include, but not limited to, representatives specifically the Deputy General Manager of Operations, Director or designee from ROCC, Office of Rail Transportation (RTRA), Office of Systems Maintenance (SMNT), other departments/offices under the auspices of the DGMO and Department of Bus Services to ensure direct consultation, coordination, collaboration and communications during the development of emergency response plans, procedures and protocols.

OEM will conduct a formal review of the MSRPH, Standard Operating Procedures (SOP), checklists, tools and desk references for both Operations and Bus, as well as other appropriate WMATA departments/offices.

3.2 Recommendation

OEM to perform a formal review of the MSRPH, SOPs, checklists, tools and desk references for both Operations and Bus, as well as other appropriate WMATA departments/offices.

4 Action Plan Description

4.1 Approach

OEM will coordinate with Operations and Bus, as well as other appropriate WMATA departments/offices to conduct a formal review of the MSRPH, SOPs, checklists, tools and desk references.

Deliverable		Description	Responsible Party	Estimated Completion Date
1)	Operations Source Documents	Provide OEM with all Operations source documents MSRPH, SOPs, checklists, tools and desk references.	Linda Stoffregen	09/30/15
2)	Bus Source Documents	Provide OEM with all Bus source documents SOPs, checklists, tools and desk references.	Robert Potts	09/30/15
3)	OEM Maintenance Cycle	Provide FTA with the OEM maintenance cycle process that is used for the bi-annual reviews.	Ron Bodmer	09/30/15
4)	Departmental Task Force Agenda and Minutes	Provide FTA with the minutes and agenda items for the WMATA Departmental Task Force.	Ron Bodmer	10/16/15
5)	OEM SOP Annual Review	OEM will develop and deliver (to FTA) a SOP for the annual review of the Operations and Bus source documents.	Ron Bodmer	12/31/15
6)	Final Report of Document Review	OEM will conduct a formal review of the MSRPH, SOPs, checklists, tools and desk references to ensure conformance with WMATA's emergency plans and the understanding of local jurisdictions as reflected in the region-wide emergency operations plans. OEM will provide Operations and Bus with a final report noting any corrections needed.	Ron Bodmer	02/29/16
7)	Final Report of Document Review	Provide FTA with a copy of final report.	Ron Bodmer	02/29/16
8)	Updated Source Documents	Corrections incorporated into source documents for Bus and Rail.	Linda Stoffregen, Robert Potts	03/21/16

Deliverable		Description	Responsible Party	Estimated Completion Date
9)	Quality Audit Report	The Office of Quality Assurance and Warranty (QAAW) performs scope verification and inspection of deliverables to ensure that all are completed as planned and expected.	Michael DiNatale	03/28/16
10)	Safety ISA Reviews	SAFE shall ensure that OEM's Annual Review SOP is included in the Internal Safety Audit (ISA) process.	Lou Brown	03/28/16
11)	Annual Quality Audit Report	QAAW will perform an annual audit to verify compliance with the Annual Review SOP.	Michael DiNatale	03/28/17

4.2 Schedule

Refer to 4.1 for scheduled dates.

4.3 Budget / Cost Estimate

Yes, this action will require funding in the operating budget in FY16. Additional operating funds will also be required in future fiscal years to support this action.

4.4 Internal Stakeholders

Participant	Needed From	Required Initials	Item Needed	Give To/ Coordinate With	Estimated Completion Date
OPMS	Linda Stoffregen		Provide OEM with all Operations source documents MSRPH, SOPs, checklists, tools and desk references.	Ron Bodmer	09/30/15
BUS	Robert Potts		Provide OEM with all Bus source documents SOPs, checklists, tools and desk references.	Ron Bodmer	09/30/15
OEM	Alexa Dupigny-Samuels		Participate throughout the process as a stakeholder	Ron Bodmer	02/29/16
QAAW	Michael DiNatale		CAP deliverables verified and reviewed	Ron Bodmer	03/07/16
SAFE	Lou Brown		ISA deliverables	Ron Bodmer	03/28/16

5 CAP Completion Documentation

After Metro's collective review, a memorandum with enclosed CAP deliverables (refer to 4.1) will be provided to FTA to support the closure of required action.

6 Performance Measures

100% compliance with the OEM established annual review cycle.

7 Verification

Review deliverables provided by WMATA, interviews and record checks.

8 CAP Approval

APPROVED BY:

Denton J Rowlin for 9/10/15

Action Coordinator *Date*
Ronald Bodmer
Director, Office of Emergency Management (OEM)

Ronald Pavlik 9.10.2015

Department Head *Date*
Ronald Pavlik, Jr.
Chief, Metro Transit Police Department (MTPD)

A R T 9/10/2015

A. Robert Troup *Date*
Deputy General Manager, Operations (DGMO)

Chad Y. Kankowski for Louis Brown 9/10/15

Louis J. Brown *Date*
Acting Chief Safety Officer (SAFE)

9/11/15

Jack Requa *Date*
Interim General Manager/Chief Executive Officer (GM/CEO)

Federal Transit Administration (FTA)

Safety Management Inspection (SMI)

MAR 16 – APR 3 2015

Washington Metropolitan Area Transit Authority (WMATA)

Corrective Action Plan (CAP)

R-2-17-b

Table of Contents

1 BACKGROUND 3

2 PURPOSE 3

2.1 FTA FINDING 3
2.2 FTA REQUIRED ACTION 3

3 ANALYSIS AND RECOMMENDATION 3

3.1 ANALYSIS 3
3.2 RECOMMENDATION 3

4 ACTION PLAN DESCRIPTION 4

4.1 APPROACH 4
4.2 SCHEDULE 5
4.3 BUDGET / COST ESTIMATE 5
4.4 INTERNAL STAKEHOLDERS 5

5 CAP COMPLETION DOCUMENTATION 5

6 PERFORMANCE MEASURES 5

7 VERIFICATION 6

8 CAP APPROVAL 7

1 Background

The Federal Transit Administration (FTA) completed a Safety Management Inspection (SMI) of the Washington Metropolitan Area Transit Authority (WMATA) rail and bus systems. FTA issued Safety Directive 15-1 identifying 54 safety findings and 91 required actions to improve safety.

2 Purpose

This Corrective Action Plan has been developed to address Safety Finding No. R-17 and its Required Action R-2-17-b.

2.1 FTA Finding

WMATA does not have a clear strategy for the development or delivery of emergency response training to WMATA's frontline personnel, or for managing the logistical challenges associated with coordinating familiarization training with local emergency responders.

2.2 FTA Required Action

WMATA's Office of Emergency Management (OEM) must conduct a formal review of all training provided to frontline, supervisory and Rail Operations Control Center (ROCC) personnel 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 as reflected in region-wide emergency operations plans.

3 Analysis and Recommendation

3.1 Analysis

Completed analysis of the FTA Finding and Required Action revealed WMATA's OEM will conduct a formal review of all emergency response action training provided to frontline, Supervisory and ROCC personnel.

3.2 Recommendation

OEM to perform a formal review of all frontline, supervisory and ROCC personnel training associated with actions performed during an emergency response.

4 Action Plan Description

4.1 Approach

OEM will conduct a Gap Analysis to determine the existing emergency management training curriculum for frontline, supervisory and ROCC personnel. Develop a comprehensive report and implementation plan that outlines options to ensure emergency management training for required WMATA personnel.

Deliverable		Description	Responsible Party	Estimated Completion Date
1)	Operations Source Documents	Provide OEM with all Operations training curriculum for frontline, supervisory and ROCC personnel.	Linda Stoffregen	09/30/15
2)	Bus Source Documents	Provide OEM with all Bus training curriculum for frontline and supervisory personnel.	Robert Potts	09/30/15
3)	Quarterly Update to FTA	Provide FTA with a quarterly update on the GAP analysis.	Ron Bodmer	12/31/15 and subsequent dates
4)	Gap Analysis Report	OEM will conduct a Gap Analysis to determine the existing emergency management training curriculum for frontline, supervisory and ROCC personnel. Develop a comprehensive report and implementation plan that outlines options to ensure that frontline, supervisory and ROCC personnel are trained in emergency management for public safety incidents response and the action plan for implementation of the developed methodologies and options, including staff, funding and outsourcing requirements.	Ron Bodmer	04/30/16
5)	Gap Analysis and Implementation Plan to FTA	Provide FTA with OEM's Implementation Plan identified in the Gap Analysis Report.	Ron Bodmer	04/30/16
6)	Quality Audit Report	The Office of Quality Assurance and Warranty (QAAW) performs scope verification and inspection of deliverables to ensure that all are completed as planned and expected	Michael DiNatale	05/06/16

4.2 Schedule

Refer to 4.1 for scheduled dates.

4.3 Budget / Cost Estimate

Yes, this action will require funding in the operating budget in FY16. Additional operating funds will also be required in future fiscal years to support this action.

4.4 Internal Stakeholders

The following internal stakeholders are committed to work on the action plan.

Participant	Needed From	Required Initials	Item Needed	Give To/ Coordinate With	Estimated Completion Date
OPMS	Linda Stoffregen		Provide OEM with all Operations source documents MSRPH, SOPs, checklists, tools and desk references.	Ron Bodmer	09/30/15
BUS	Robert Potts		Provide OEM with all Bus source documents SOPs, checklists, tools and desk references.	Ron Bodmer	09/30/15
OEM	Alexa Dupigny-Samuels		Participate throughout the process as a stakeholder	Ron Bodmer	04/30/16
QAAW	Michael DiNatale		CAP deliverables verified and reviewed	Ron Bodmer	05/06/16

5 CAP Completion Documentation

After Metro's collective review, a memorandum with enclosed CAP deliverables (refer to 4.1) will be provided to FTA to support the closure of required action.

6 Performance Measures

100% completion of the OEM Implementation Plan.

7 Verification

Review deliverables provided by WMATA, interviews and record checks.

8 CAP Approval

APPROVED BY:

Action Coordinator
Ronald Bodmer
Director, Office of Emergency Management (OEM)
Date: 9/10/15

Department Head
Ronald Pavlik, Jr.
Chief, Metro Transit Police Department (MTPD)
Date: 9.10.2015

A. Robert Troup
Deputy General Manager, Operations (DGMO)
Date: 9/10/2015

Louis J. Brown
Acting Chief Safety Officer (SAFE)
Date: 9/10/15

Jack Requa
Interim General Manager/Chief Executive Officer (GM/CEO)
Date: 9/11/15

Federal Transit Administration (FTA)

Safety Management Inspection (SMI)

MAR 16 – APR 3 2015

Washington Metropolitan Area Transit Authority (WMATA)

Corrective Action Plan (CAP)

R-2-17-c

Table of Contents

1 BACKGROUND 3

2 PURPOSE 3

2.1 FTA FINDING 3
2.2 FTA REQUIRED ACTION 3

3 ANALYSIS AND RECOMMENDATION 3

3.1 ANALYSIS 3
3.2 RECOMMENDATION 4

4 ACTION PLAN DESCRIPTION 4

4.1 APPROACH 4
4.2 SCHEDULE 6
4.3 BUDGET / COST ESTIMATE 6
4.4 INTERNAL STAKEHOLDERS 7

5 CAP COMPLETION DOCUMENTATION 8

6 PERFORMANCE MEASURES 8

7 VERIFICATION 8

8 CAP APPROVAL 9

1 Background

The Federal Transit Administration (FTA) completed a Safety Management Inspection (SMI) of the Washington Metropolitan Area Transit Authority (WMATA) rail and bus systems. FTA issued Safety Directive 15-1 identifying 54 safety findings and 91 required actions to improve safety.

2 Purpose

This Corrective Action Plan has been developed to address Safety Finding No. R-17 and its Required Action R-2-17-c.

2.1 FTA Finding

WMATA does not have a clear strategy for the development or delivery of emergency response training to WMATA's frontline personnel, or for managing the logistical challenges associated with coordinating familiarization training with local emergency responders.

2.2 FTA Required Action

Metro must establish an approach for delivering updated emergency response training to frontline Train Operators, Supervisors, Stations Managers, Rail Traffic Controllers (RTC), and other personnel.

3 Analysis and Recommendation

3.1 Analysis

Completed analysis of the FTA Finding and Required Action revealed the Office of Emergency Management (OEM) will continue to conduct Joint Supervisory Training (JST) to all internal and external first responders. We have also established a training module on emergency response delivered during new employee orientation, as well as 30-60 day refresher's training for Train Operators and Station Managers. OEM will incorporate an emergency response module in the current annual re-certification training for the Rail Controllers. Metro will expand its approach for delivering updated emergency response training operations frontline personnel and supervisors.

3.2 Recommendation

WMATA will expand its approach for delivering updated emergency response training to frontline personnel and supervisors.

4 Action Plan Description

4.1 Approach

Operations will partner with OEM to expand its approach for delivering updated emergency response training to frontline personnel and supervisors. Coordinate with Emergency Management to (a) expand the schedule developed by Emergency Management for First Responders to incorporate rotation of frontline operations personnel; (b) develop Computer Based Training (CBT) for at least 4 specific incident types that will enable refresher training to frontline employees; (c) provide hands-on training such as tabletop and full-scale exercises, tunnel walks, rail specific annex emergency response and evacuation key areas of consideration; (d) identify and implement emergency training frequency and tracking.

OEM will ensure the training addresses the recommendations and findings issued by the FTA.

Deliverable		Description	Responsible Party	Estimated Completion Date
1)	Schedule	Expand the established schedule of exercises developed by OEM for First Responders to incorporate rotation of frontline operations personnel.	Hercules Ballard, Randall Grooman	09/30/15
2)	Training Plan	Operations will work with OEM to incorporate an emergency training module into all initial Train Operator, Station Manager and ROCC Controller training plans as well as Rail Supervisors. Additionally, it will be a standard requirement in all re-certification training.	Lauren Semper-Scott	01/31/16
3)	OEM CBT Training Module	As a result of a 2015 National Capitol Region Urban Area Security Initiative Grant award, OEM will develop an online training CBT program, augmenting the 2015 Metrorail Transit Fire/Rescue Emergency Procedures Policy Agreement, to include emergency management training. Target audience will include operational fire and rescue personnel subject to responding to Metrorail emergency within their jurisdictions and WMATA frontline personnel and supervisors.	Ron Bodmer	07/31/16
4)	Rail Incident CBT Modules	Operations will develop four specific incident type CBT training modules that will enable refresher training for frontline employees and supervisors.	Hercules Ballard	08/31/16
5)	Report of Emergency Training Tracking	Operations will partner with IT to establish an automated method for tracking all emergency management training for Operations employees in ELM.	Linda Stoffregen	12/31/16
6)	Safety ISA Reviews	SAFE shall ensure that compliance with the initial and re-certification requirement of the emergency training module, developed by OEM, is included in the Internal Safety Audit (ISA).	Lou Brown	12/31/16
7)	FTA Update	Provide FTA with OPER's quarterly updates on the development and implementation of the emergency training module.	Hercules Ballard	12/31/16
8)	Quality Audit Report	The Office of Quality Assurance and Warranty (QAAW) performs scope verification and inspection of deliverables to ensure that all are completed as planned and expected	Michael DiNatale	02/07/17

Deliverable		Description	Responsible Party	Estimated Completion Date
9)	QAAW Recertification Review	Ensure that QAAW performs periodic audits to verify compliance with initial and re-certification cycles.	Michael DiNatale	06/30/17 and subsequent quarters

4.2 Schedule

Refer to 4.1 for scheduled dates.

4.3 Budget / Cost Estimate

FY16 Operating Budget -- Cost allocated for Incident CBT development: $200,000. Yes, this action will require funding in the operating budget in FY16. Additional operating funds will also be required in future fiscal years to support this action.

4.4 Internal Stakeholders

The following internal stakeholders are committed to work on the action plan.

Participant	Needed From	Required Initials	Item Needed	Give To/ Coordinate With	Estimated Completion Date
RTRA, TIES	Hercules Ballard, Andrew Off	RJR for Ballard	Frontline training rotation for OEM established exercises with First Responders.	Ron Bodmer	09/30/15
RTRA	Dr. Lauren Scott		Provide OEM training schedule for Train Operators, Station Managers, ROCC personnel and Rail Supervisors for next 18 months.	Ron Bodmer	09/30/15
OEM	Ron Bodmer		OEM resources to conduct emergency response and management training module into all initial Train Operator, Station Manager and ROCC Controller training as well as Rail Supervisors. Additionally, it will be a standard requirement in all re-certification training.	Dr. Lauren Scott	01/31/16
RTRA, TIES, OPMS	Hercules Ballard, Andrew Off, Linda Stoffregen	Br. For Hercules Ballard	Participation of frontline employees and supervisors in development of CBTs.	Ron Bodmer	08/31/16
IT	Kevin Borek		Identify IT resources to establish an automated method for tracking all emergency management training in ELM.	Linda Stoffregen	12/31/16
OEM	Alexa Dupigny-Samuels		Participate throughout the process as a stakeholder	Ron Bodmer	12/31/16
SAFE	Lou Brown		ISA audit documents	Ron Bodmer	02/07/17
QAAW	Michael DiNatale		CAP deliverables verified and reviewed	Ron Bodmer	02/07/17

5 CAP Completion Documentation

After Metro's collective review, a memorandum with enclosed CAP deliverables (refer to 4.1) will be provided to FTA to support the closure of required action.

6 Performance Measures

100% implementation of the emergency training module into all initial and re-certification training for Train Operator, Station Manager and ROCC Controller training clans as well as Rail Supervisors.

7 Verification

Review deliverables provided by WMATA, interviews and record checks.

8 CAP Approval

APPROVED BY:

Denton J. Rambo for — 9/10/15

Action Coordinator
Ronald Bodmer
Director, Office of Emergency Management (OEM)

Ronald Pavlik — 9-10-2015

Department Head
Ronald Pavlik, Jr.
Chief, Metro Transit Police Department (MTPD)

A. R. T. — 9/10/2015

A. Robert Troup
Deputy General Manager, Operations (DGMO)

Chad Y. Kyellowski for Louis Brown — 9/10/15

Louis J. Brown
Acting Chief Safety Officer (SAFE)

Jack Requa — 9/11/15

Jack Requa
Interim General Manager/Chief Executive Officer (GM/CEO)

Federal Transit Administration (FTA)

Safety Management Inspection (SMI)

MAR 16 – APR 3 2015

Washington Metropolitan Area Transit Authority (WMATA)

Corrective Action Plan (CAP)

R-2-17-d

Table of Contents

1 BACKGROUND 3

2 PURPOSE 3

2.1 FTA FINDING 3
2.2 FTA REQUIRED ACTION 3

3 ANALYSIS AND RECOMMENDATION 4

3.1 ANALYSIS 4
3.2 RECOMMENDATION 4

4 ACTION PLAN DESCRIPTION 5

4.1 APPROACH 5
4.2 SCHEDULE 5
4.3 BUDGET / COST ESTIMATE 6
4.4 INTERNAL STAKEHOLDERS 6

5 CAP COMPLETION DOCUMENTATION 6

6 PERFORMANCE MEASURES 6

7 VERIFICATION 6

8 CAP APPROVAL 7

1 Background

The Federal Transit Administration (FTA) completed a Safety Management Inspection (SMI) of the Washington Metropolitan Area Transit Authority (WMATA) rail and bus systems. FTA issued Safety Directive 15-1 identifying 54 safety findings and 91 required actions to improve safety.

2 Purpose

This Corrective Action Plan has been developed to address Safety Finding No. R-17 and its Required Action R-2-17-d.

2.1 FTA Finding

WMATA does not have a clear strategy for the development or delivery of emergency response training to WMATA's frontline personnel, or for managing the logistical challenges associated with coordinating familiarization training with local emergency responders.

2.2 FTA Required Action

WMATA's Office of Emergency Management (OEM) must review and update its approach to providing familiarization training to local emergency responders, and ensure that emergency responders have ample opportunities to learn and practice activating and using fire life safety equipment and systems, including ventilation fans, fire suppression system, standpipes, communication equipment, and other systems.

3 Analysis and Recommendation

3.1 Analysis

Completed analysis of the FTA Finding and Required Action revealed WMATA's OEM will meet with each jurisdiction on a monthly basis to identify training gaps with jurisdictions and suggest methods for closing those gaps. The Office of Emergency Management (OEM) will continue to conduct Joint Supervisory Training (JST) to all internal and external first responders. OEM will begin the development of Computer Based Training (CBT) as a method of closing those gaps for first responders. This will include a train-the-trainer program on emergency response. The training numbers will facilitate our ability to identify gaps and require jurisdictional responders to enforce the 2015 Metro Fire Rescue Policy Agreement.

3.2 Recommendation

MTPD/OEM will develop and distribute training numbers to be shared with our jurisdictional regional partners. OEM will also make an official notification to the jurisdiction when their respective training numbers drop or become stagnant. OEM will continue to provide and enhance its methods of disseminating forecasted training announcements and schedules to regional public safety and homeland security meetings and technology platforms.

4 Action Plan Description

4.1 Approach

MTPD/OEM will continue to develop and execute quarterly exercises utilizing FEMA's HSEEP guidance, which builds on previous exercises, feedback from monthly meeting with first responders and the findings and recommendations issued by the FTA. We will also continue to calculate the training numbers and will seize the opportunity share that data on a monthly basis through the appropriate Metropolitan Washington Council of Governments (MWCOG) committees.

Deliverable		Description	Responsible Party	Estimated Completion Date
1)	3-Year Schedule	As a result of an incident, WMATA identified 10 early action items to be implemented. One of those items was to conduct a full scale exercise every quarter over the next three years with our jurisdictional first responders.	Ron Bodmer	01/26/15 (1st quarterly exercise held on 4/19/15; 2nd exercise held on 8/23/15)
2)	Revised Jurisdictional COG Agreement	WMATA participated in the revision of the Metrorail Transit – Fire/Rescue Emergency Procedures Policy Agreement 2015, which includes a training component.	Ron Bodmer	06/30/15
3)	Narrative Memo	A narrative memo briefly explaining the steps taken to ensure that the jurisdictions have actively participated in training opportunities.	Ron Bodmer	07/21/15
4)	Report of Emergency Training Tracking	OEM will track and share each jurisdiction's training numbers with them on a monthly basis. This will include notification of any lapse in training participation.	Ron Bodmer	10/01/15
5)	Quality Audit Report	The Office of Quality Assurance and Warranty (QAAW) performs scope verification and inspection of deliverables to ensure that all are completed as planned and expected	Michael DiNatale	10/08/15

4.2 Schedule

Refer to 4.1 for scheduled dates.

4.3 Budget / Cost Estimate

Yes, this action will require funding in the operating budget in FY16. Additional operating funds will also be required in future fiscal years to support this action.

4.4 Internal Stakeholders

The following internal stakeholders are committed to work on the action plan.

Participant	Needed From	Required Initials	Item Needed	Give To/ Coordinate With	Estimated Completion Date
OEM	Denton Rourke		Participate throughout the process as a stakeholder	Ron Bodmer	10/01/15
QAAW	Michael DiNatale		CAP deliverables verified and reviewed	Ron Bodmer	10/08/15

5 CAP Completion Documentation

After Metro's collective review, a memorandum with enclosed CAP deliverables (refer to 4.1) will be provided to FTA to support the closure of required action.

6 Performance Measures

Increased ratios of the number of classes and the attendance numbers for each class.

Increased jurisdictional participation in training opportunities.

100% compliance with the quarterly exercises requirement.

7 Verification

Review deliverables provided by WMATA, interviews and record checks.

8 CAP Approval

APPROVED BY:

Denton J Nombe for 9/10/15

Action Coordinator
Ronald Bodmer
Director, Office of Emergency Management (OEM)
Date

Ronald Pavlik 9-10-2015

Department Head
Ronald Pavlik, Jr.
Chief, Metro Transit Police Department (MTPD)
Date

A R T 9/10/2015

A. Robert Troup
Deputy General Manager, Operations (DGMO)
Date

Chad Y. Kucharski for Louis Brown 9/10/15

Louis J. Brown
Acting Chief Safety Officer (SAFE)
Date

9/11/15

Jack Requa
Interim General Manager/Chief Executive Officer (GM/CEO)
Date

Federal Transit Administration (FTA)

Safety Management Inspection (SMI)

MAR 16 – APR 3 2015

Washington Metropolitan Area Transit Authority (WMATA)

Corrective Action Plan (CAP)

R-2-17-e

Table of Contents

1 BACKGROUND 3

2 PURPOSE 3

2.1 FTA FINDING 3
2.2 FTA REQUIRED ACTION 3

3 ANALYSIS AND RECOMMENDATION 3

3.1 ANALYSIS 3
3.2 RECOMMENDATION 3

4 ACTION PLAN DESCRIPTION 4

4.1 APPROACH 4
4.2 SCHEDULE 5
4.3 BUDGET / COST ESTIMATE 5
4.4 INTERNAL STAKEHOLDERS 5

5 CAP COMPLETION DOCUMENTATION 5

6 PERFORMANCE MEASURES 5

7 VERIFICATION 5

8 CAP APPROVAL 6

1 Background

The Federal Transit Administration (FTA) completed a Safety Management Inspection (SMI) of the Washington Metropolitan Area Transit Authority (WMATA) rail and bus systems. FTA issued Safety Directive 15-1 identifying 54 safety findings and 91 required actions to improve safety.

2 Purpose

This Corrective Action Plan has been developed to address Safety Finding No. R-17 and its Required Action R-2-17-e.

2.1 FTA Finding

WMATA does not have a clear strategy for the development or delivery of emergency response training to WMATA's frontline personnel, or for managing the logistical challenges associated with coordinating familiarization training with local emergency responders.

2.2 FTA Required Action

WMATA must test its backup Rail Operations Control Center (ROCC) on a quarterly basis and demonstrate the ability to safely control train traffic.

3 Analysis and Recommendation

3.1 Analysis

Completed analysis of the FTA Finding and Required Action revealed that Metro (ROCC) periodically moves to the backup ROCC to perform all rail operations in a safe manner. In accordance with WMATA's Continuity of Operations Base Plan, the ROCC relocates to its backup/alternate relocation site at least bi-annually.

3.2 Recommendation

WMATA will develop a formal quarterly demonstration of the backup ROCC.

4 Action Plan Description

4.1 Approach

Operations will put into place a formal standard process requirement that tests the backup ROCC. This will be achieved by modifying the Office of Rail Transportation (RTRA) Continuity of Operation Plan (COOP) to include a quarterly move to the backup ROCC to demonstrate the ability to safely control train traffic. Testing results will be provided to OEM for tracking of updates to COOP and tracking of WMATA departments/offices COOP testing requirements.

Deliverable		Description	Responsible Party	Estimated Completion Date
1)	RTRA COOP Plan	Modify the RTRA COOP plan to include a quarterly move to the backup ROCC to demonstrate the ability to safely control train traffic.	Hercules Ballard	10/30/15
2)	Report of Review of RTRA COOP Plan	OEM will review RTRA COOP Plan for conformance to the FTA Required Action.	Ron Bodmer	11/15/15
3)	Revised RTRA COOP Plan	Publish revised RTRA COOP Plan	Hercules Ballard	11/30/15
4)	Report of RTRA COOP Drill	Conduct drill of revised RTRA COOP Plan to include moving to the backup ROCC to demonstrate the ability to safely control train traffic	Hercules Ballard	12/11/15
5)	SAFE ISA Review	SAFE shall ensure that compliance with the initial and re-certification requirement of the emergency training module, developed by OEM, is included in the Internal Safety Audit (ISA) process conducted by the Office of SAFE.	Lou Brown	12/31/15
6)	Report of COOP Drill Tracking	Testing results will be provided to OEM for tracking of updates to COOP and tracking of WMATA departments/offices COOP testing requirements. Ensure accurate tracking of all COOP Drills is maintained and readily available for auditing purposes and submitted to the FTA.	Hercules Ballard	01/15/16
7)	Quality Audit Report	The Office of Quality Assurance and Warranty (QAAW) performs scope verification and inspection of deliverables to ensure that all are completed as planned and expected	Michael DiNatale	01/22/16

4.2 Schedule

Refer to 4.1 for scheduled dates.

4.3 Budget / Cost Estimate

Yes, this action will require funding in the operating budget in FY16. Additional operating funds will also be required in future fiscal years to support this action.

4.4 Internal Stakeholders

The following internal stakeholders are committed to work on the action plan.

Participant	Needed From	Required Initials	Item Needed	Give To/ Coordinate With	Estimated Completion Date
OEM	Ron Bodmer		Provide review of revised RTRA COOP Plan.	Hercules Ballard	11/15/15
SAFE	Lou Brown		Provide resources to review RTRA COOP Drill	Hercules Ballard	01/15/16
QAAW	Michael DiNatale		CAP deliverables verified and reviewed	Hercules Ballard	01/22/16

5 CAP Completion Documentation

After Metro's collective review, a memorandum with enclosed CAP deliverables (refer to 4.1) will be provided to FTA to support the closure of required action.

6 Performance Measures

100% compliance with the quarterly COOP required ROCC move exercise.

7 Verification

Review deliverables provided by WMATA, interviews and record checks.

8 CAP Approval

APPROVED BY:

For Hercules Ballard 9-10-15

Action Coordinator *Date*
Hercules Ballard
Director, Office of Rail Transportation (RTRA)

A. R T 9/10/2015

A. Robert Troup *Date*
Deputy General Manager, Operations (DGMO)

Louis J. Brown 9/10/15

Louis J. Brown *Date*
Acting Chief Safety Officer (SAFE)

9/11/15

Jack Requa *Date*
Interim General Manager/Chief Executive Officer (GM/CEO)

Federal Transit Administration (FTA)

Safety Management Inspection (SMI)

MAR 16 – APR 3 2015

Washington Metropolitan Area Transit Authority (WMATA)

Corrective Action Plan (CAP)

R-2-18-a

Table of Contents

1 BACKGROUND 3

2 PURPOSE 3

2.1 FTA FINDING 3
2.2 FTA REQUIRED ACTION 3

3 ANALYSIS AND RECOMMENDATION 3

3.1 ANALYSIS 3
3.2 RECOMMENDATION 3

4 ACTION PLAN DESCRIPTION 4

4.1 APPROACH 4
4.2 SCHEDULE 5
4.3 BUDGET / COST ESTIMATE 5
4.4 INTERNAL STAKEHOLDERS 6

5 CAP COMPLETION DOCUMENTATION 6

6 PERFORMANCE MEASURES 6

7 VERIFICATION 6

8 CAP APPROVAL 7

1 Background

The Federal Transit Administration (FTA) completed a Safety Management Inspection (SMI) of the Washington Metropolitan Area Transit Authority (WMATA) rail and bus systems. FTA issued Safety Directive 15-1 identifying 54 safety findings and 91 required actions to improve safety.

2 Purpose

This Corrective Action Plan has been developed to address Safety Finding No. R-18 and its Required Action R-2-18-a.

2.1 FTA Finding

Rules compliance checks of operational personnel are inconsistent.

2.2 FTA Required Action

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.

3 Analysis and Recommendation

3.1 Analysis

Completed analysis of the FTA Finding and Required Action revealed that WMATA Rail Supervisors perform rule checks on Train Operators but routinely only one single observation.

3.2 Recommendation

Metro will implement a standard process requiring meaningful rule checks on Train Operators with a minimum of three observation items.

4 Action Plan Description

4.1 Approach

Operations will improve rules compliance checks through: (a) development of Director's Management Guide and Operations Administrative Procedure (OAP) that will identify frequency and accountability; (b) implement automated rule check applications on Galaxy phone. To avoid any future lapse in the automated rule checks being done on the Galaxy phone, WMATA will ensure the application is operational on any new platform prior to transitioning from the current cellular device. Existing Rail Supervisors will received the revised training program as part of their re-certification process.

	Deliverable	Description	Responsible Party	Due Date
1)	Quarterly Progress Report	Quarterly report identifying the progress on the CAP.	Byron England	12/15/15
2)	Operations Administrative Policies (OAP) Rail Supervisor Rule Checks	Develop Rail Supervisor Rule Check OAP for Train Operators that specifically identifies the frequency, acceptable type of observation checks, quantity required and accountability.	Byron England	03/31/16
3)	Director's Management Guide	Develop a master management guide that will serve as a reference for all RTRA management personnel and contain all required management activities including OAPs.	Byron England	03/31/16
4)	Report of Automated Rule Check – Galaxy Phone	Develop automated rule check application for the Galaxy Phone that will enable Rail Supervisors to efficiently and effectively track all rule checks. Push application to all Rail Supervisor Galaxy phones.	Byron England Kevin Borek	03/31/16
5)	Revised Rail Supervisor Training Program	Modify Rail Supervisor Training Program to incorporate a review of Director's Management Guide and OAP that specifically identifies rule checks for train operators - the frequency, acceptable type of observation checks, quantity required and accountability. OAP will include monthly quality control checks on a sampling of Rail Supervisor observations to include: quantity of observations, criteria used and provide feedback to RTRA management.	Lauren Semper-Scott	04/30/16

Deliverable		Description	Responsible Party	Due Date
6)	Memo – Office of Emergency Management (OEM) Review	OEM review of revised Rail Supervisor Training Program. Provide any changes/corrections to Rail Training.	Ron Bodmer	05/30/16
7)	Final Rail Supervisor Training Program	Incorporate changes identified by OEM and during pilot and rollout new training program for Rail Supervisors.	Dr. Lauren Scott	07/31/16
8)	Quarterly Safety Audit	Quarterly safety audit to verify compliance with rule check OAP conducted by the Office of SAFE. Additionally, the compliance with the rule check OAP will be included in the Internal Safety Audit (ISA) process conducted by the Office of SAFE.	Louis Brown	11/30/16
9)	Quarterly Rail Audit	Quarterly Rail quality audit to verify compliance with rule check OAP.	Ron Lewis	11/30/16
10)	Quality Audit Report	The Office of Quality Assurance and Warranty (QAAW) performs scope verification and inspection of deliverables to ensure that all are completed as planned and expected	Michael DiNatale	12/07/16

4.2 Schedule

Refer to 4.1 for scheduled dates.

4.3 Budget / Cost Estimate

This action will be funded in the operating budget in FY2016.

4.4 Internal Stakeholders

The following internal stakeholders are committed to work on the action plan.

Participant	Needed From	Required Initials	Item Needed	Give To/ Coordinate With	Estimated Completion Date
IT	Kevin Borek		Provide resources to complete automation of rule checks on Galaxy phone	Hercules Ballard	03/31/16
OEM	Ron Bodmer		Provide OEM review of revised Rail Supervisor Training Program	Lauren Semper-Scott	05/30/16
SAFE	Louis Brown		Conduct quarterly audits	Hercules Ballard	11/30/16
RTRA	Ron Lewis		Conduct quarterly audits	Hercules Ballard	11/30/16
QAAW	Michael DiNatale		CAP deliverables verified and reviewed	Hercules Ballard	12/07/16

5 CAP Completion Documentation

After Metro's collective review, a memorandum with enclosed CAP deliverables (refer to 4.1) will be provided to FTA to support the closure of required action.

6 Performance Measures

- Consistent improvement in the number of and quality of the rule checks performed by Rail Supervisors.
- Improved compliance with the required number of rule checks per Supervisor.

7 Verification

- Review deliverables provided by WMATA, interviews and record checks.

8 CAP Approval

APPROVED BY:

9/10/15
Action Coordinator *Date*
Linda Stoffregen
Director, Operations Management Services (OPMS)

9/10/2015
A. Robert Troup *Date*
Deputy General Manager, Operations (DGMO)

Chad Y. Kaufield for Louis Brown 9/10/15
Louis J. Brown *Date*
Acting Chief Safety Officer (SAFE)

9/11/15
Jack Requa *Date*
Interim General Manager/Chief Executive Officer (GM/CEO)

Federal Transit Administration (FTA)

Safety Management Inspection (SMI)

MAR 16 – APR 3 2015

Washington Metropolitan Area Transit Authority (WMATA)

Corrective Action Plan (CAP)

R-2-18-b

Table of Contents

1 BACKGROUND 3

2 PURPOSE 3

2.1 FTA FINDING 3
2.2 FTA REQUIRED ACTION 3

3 ANALYSIS AND RECOMMENDATION 3

3.1 ANALYSIS 3
3.2 RECOMMENDATION 3

4 ACTION PLAN DESCRIPTION 4

4.1 APPROACH 4
4.2 SCHEDULE 6
4.3 BUDGET / COST ESTIMATE 6
4.4 INTERNAL STAKEHOLDERS 6

5 CAP COMPLETION DOCUMENTATION 6

6 PERFORMANCE MEASURES 6

7 VERIFICATION 7

8 CAP APPROVAL 8

1 Background

The Federal Transit Administration (FTA) completed a Safety Management Inspection (SMI) of the Washington Metropolitan Area Transit Authority (WMATA) rail and bus systems. FTA issued Safety Directive 15-1 identifying 54 safety findings and 91 required actions to improve safety.

2 Purpose

This Corrective Action Plan has been developed to address Safety Finding No. R-18 and its Required Action R-2-18-b.

2.1 FTA Finding

Rules compliance checks of operational personnel are inconsistent.

2.2 FTA Required Action

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.

3 Analysis and Recommendation

3.1 Analysis

Completed analysis of the FTA Finding and Required Action revealed that WMATA Rail Supervisors training program needs to be modified to place a greater emphasis on documenting and conducting rule checks. The documenting of rule checks declined significantly when the Office of Rail Operations (RTRA) lost the usage of the Blackberry which had an application for Rail Supervisors to track rule checks.

3.2 Recommendation

WMATA will modify the Rail Supervisor training program to emphasis how to conduct and document a rule check and communicate the results to the Train Operators.

4 Action Plan Description

4.1 Approach

As part of R-2-18-a CAP and the modification of the Rail Supervisor training program, Operations will be incorporating a Director's Management Guide and Operations Administrative Policies (OAP) that will (a) identify the importance and purpose of rule checks; (b) identify observation frequency and accountability; (c) explain importance of consistency; (d) identify testing requirements; (e) how observations will be performed via the Galaxy phone; (f) identify formal train movement testing program including frequency, accountability, and fail-safe testing; (g) how testing and results will be documented; and (h) how rule check results with be communicated with Train Operators.

To avoid any future lapse in the automated rule checks being done on the Galaxy phone, WMATA will ensure the application is operational on any new platform prior to transitioning from the current cellular device. Existing Rail Supervisors will received the revised training program as part of their re-certification process.

Deliverable		Description	Responsible Party	Estimated Completion Date
1)	Quarterly Progress Report	Quarterly report identifying the progress on the CAP.	Byron England	12/15/15
2)	Operations Administrative Policies (OAP) Rail Supervisor Rule Checks	Develop Rail Supervisor Rule Check OAP for Train Operators that specifically includes: (a) **identify the importance and purpose of rule checks;** (b) identify observation frequency and accountability; (c**) explain importance of consistency; (d) identify testing requirements;** (e) how observations will be performed via the Galaxy phone; (f) identify formal train movement testing program including frequency, accountability, and fail-safe testing; (g) **how testing and results will be documented**; and (h) **how rule check results will be communicated with Train Operators.**	Byron England	03/31/16
3)	Director's Management Guide	Develop a master management guide that will serve as a reference for all RTRA management personnel and contain all required management activities including OAPs.	Byron England	03/31/16

Deliverable		Description	Responsible Party	Estimated Completion Date
4)	Report of Automated Rule Check–Galaxy Phone	Develop automated rule check application for the Galaxy Phone that will enable Rail Supervisors to efficiently and effectively track all rule checks. Push application to all Rail Supervisor Galaxy phones.	Byron England Kevin Borek	03/31/16
5)	Revised Rail Supervisor Training Program	Modify Rail Supervisor Training Program to incorporate a review of Director's Management Guide and OAP that specifically includes: (a) **identify the importance and purpose of rule checks;** (b) identify observation frequency and accountability; (c) **explain importance of consistency;** (d) identify testing requirements; (e) how observations will be performed via the Galaxy phone; (f) identify formal train movement testing program including frequency, accountability, and fail-safe testing; (g) **how testing and results will be documented;** and (h) **how rule check results will be communicated with Train Operators.** OAP will include monthly quality control checks on a sampling of Rail Supervisor observations to include: quantity of observations, criteria used and provide feedback to RTRA management.	Lauren Semper-Scott	04/30/16
6)	Memo - Office of Emergency Management (OEM) Review	OEM review of revised Rail Supervisor Training Program. Provide any changes/corrections to Rail Training.	Ron Bodmer	05/30/16
7)	Final Rail Supervisor Training Program	Incorporate changes identified by OEM and during pilot and rollout new training program for Rail Supervisors.	Dr. Lauren Scott	07/31/16
8)	Quarterly Safety Audit	Quarterly safety audit to verify compliance with rule check OAP conducted by the Office of SAFE. Additionally, the compliance with the rule check OAP will be included in the Internal Safety Audit (ISA) process conducted by the Office of SAFE.	Louis Brown	11/30/16
9)	Quarterly Rail Audit	Quarterly Rail quality audit to verify compliance with rule check OAP.	Ron Lewis	11/30/16
10)	Quality Audit Report	The Office of Quality Assurance and Warranty (QAAW) performs scope verification and inspection of deliverables to ensure that all are completed as planned and expected.	Michael DiNatale	12/07/16

4.2 Schedule

Refer to 4.1 for scheduled dates.

4.3 Budget / Cost Estimate

This action will be funded in the operating budget in FY2016.

4.4 Internal Stakeholders

The following internal stakeholders are committed to work on the action plan

Participant	Needed From	Required Initials	Item Needed	Give To/ Coordinate With	Estimated Completion Date
IT	Kevin Borek	KTB	Provide resources to complete automation of rule checks on Galaxy phone	Hercules Ballard	03/31/16
OEM	Ron Bodmer		Provide OEM review of revised Rail Supervisor Training Program	Lauren Semper- Scott	05/30/16
SAFE	Louis Brown		Conduct quarterly audits	Hercules Ballard	11/30/16
RTRA	Ron Lewis		Conduct quarterly audits	Hercules Ballard	11/30/16
QAAW	Michael DiNatale		CAP deliverables verified and reviewed	Hercules Ballard	12/07/16

5 CAP Completion Documentation

After Metro's collective review, a memorandum with enclosed CAP deliverables (refer to 4.1) will be provided to FTA to support the closure of required action.

6 Performance Measures

- 100% completion of the revised training program for Rail Supervisors.
- Consistent improvement in the number of and quality of the rule checks performed by Rail Supervisors.
- Improved compliance with the required number of rule checks per Supervisor.

7 Verification

- Review deliverables provided by WMATA, interviews and record checks.

8 CAP Approval

APPROVED BY:

9/10/15

Action Coordinator *Date*
Linda Stoffregen
Director, Operations Management Services (OPMS)

A. R. T. 9/10/2015

A. Robert Troup *Date*
Deputy General Manager, Operations (DGMO)

Chad Y. Kirkland for Louis Brown 9/10/15

Louis J. Brown *Date*
Acting Chief Safety Officer (SAFE)

9/11/15

Jack Requa *Date*
Interim General Manager/Chief Executive Officer (GM/CEO)

Federal Transit Administration (FTA)

Safety Management Inspection (SMI)

MAR 16 – APR 3 2015

Washington Metropolitan Area Transit Authority (WMATA)

Corrective Action Plan (CAP)

R-2-19-a

Table of Contents

1 BACKGROUND 3

2 PURPOSE 3

2.1 FTA FINDING 3
2.2 FTA REQUIRED ACTION 3

3 ANALYSIS AND RECOMMENDATION 3

3.1 ANALYSIS 3
3.2 RECOMMENDATION 3

4 ACTION PLAN DESCRIPTION 4

4.1 APPROACH 4
4.2 SCHEDULE 5
4.3 BUDGET / COST ESTIMATE 5
4.4 INTERNAL STAKEHOLDERS 6

5 CAP COMPLETION DOCUMENTATION 6

6 PERFORMANCE MEASURES 6

7 VERIFICATION 6

8 CAP APPROVAL 7

1 Background

The Federal Transit Administration (FTA) completed a Safety Management Inspection (SMI) of the Washington Metropolitan Area Transit Authority (WMATA) rail and bus systems. FTA issued Safety Directive 15-1 identifying 54 safety findings and 91 required actions to improve safety.

2 Purpose

This Corrective Action Plan has been developed to address Safety Finding No. R-19 and its Required Action R-2-19-a.

2.1 FTA Finding

Rail Transportation is not ensuring that field supervisors conduct required rules compliance checks on station managers and train operators.

2.2 FTA Required Action

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.

3 Analysis and Recommendation

3.1 Analysis

Completed analysis of the FTA Finding and Required Action revealed that WMATA Rail Supervisors training program needs to be modified and strengthened in the area of rule checks and formal testing of train movement. The documenting of rule checks declined significantly when the Office of Rail Operations (RTRA) lost the usage of the Blackberry which had an application for Rail Supervisors to track rule checks.

3.2 Recommendation

WMATA will modify the Rail Supervisor training program to strengthen rule checks and formal testing of train movement.

4 Action Plan Description

4.1 Approach

As part of R-2-18-a CAP and the modification of the rail supervisor training program, Operations will also strengthen the Rail Supervisor training program to (a) identify the importance and purpose of rule checks; (b) identify observation frequency and accountability; (c) explain importance of consistency; (d) identify testing requirements; (e) how observations will be performed via the Galaxy phone; (f) identify formal train movement testing program including frequency, accountability, and fail-safe testing; (g) how testing and results will be documented; and (h) how rule check results with be communicated with Train Operators.

To avoid any future lapse in the automated rule checks being done on the Galaxy phone, WMATA will ensure the application is operational on any new platform prior to transitioning from the current cellular device. Existing Rail Supervisors will received the revised training program as part of their re-certification process.

Deliverable		Description	Responsible Party	Estimated Completion Date
1)	Quarterly Progress Report	Quarterly report identifying the progress on the CAP.	Byron England	12/15/15
2)	Operations Administrative Policies (OAP) Rail Supervisor Rule Checks	Develop Rail Supervisor Rule Check OAP for Train Operators that specifically includes: (a) identify the importance and purpose of rule checks; (b) identify observation frequency and accountability; (c) explain importance of consistency; (d) identify testing requirements; (e) how observations will be performed via the Galaxy phone; (f**) identify formal train movement testing program including frequency, accountability, and fail-safe testing;** (g) how testing and results will be documented; and (h) how rule check results will be communicated with Train Operators. OAP will include monthly quality control checks on a sampling of Rail Supervisor observations to include: quantity of observations, criteria used and provide feedback to RTRA management.	Byron England	03/31/16
3)	Director's Management Guide	Develop a master management guide that will serve as a reference for all RTRA management personnel and contain all required management activities including OAPs.	Byron England	03/31/16
4)	Automated Rule Check – Galaxy Phone	Develop automated rule check application for the Galaxy Phone that will enable Rail Supervisors to efficiently and effectively track all rule checks. Push application to all Rail Supervisor Galaxy phones.	Byron England Kevin Borek	03/31/16

Deliverable		Description	Responsible Party	Estimated Completion Date
5)	Revised Rail Supervisor Training Program	Modify Rail Supervisor Training Program to incorporate a review of Director's Management Guide and OAP that specifically includes: : (a) identify the importance and purpose of rule checks; (b) identify observation frequency and accountability; (c) explain importance of consistency; (d) identify testing requirements; (e) how observations will be performed via the Galaxy phone; **(f) identify formal train movement testing program including frequency, accountability, and fail-safe testing;** (g) how testing and results will be documented; and (h) how rule check results will be communicated with Train Operators. OAP will include monthly quality control checks on a sampling of Rail Supervisor observations to include: quantity of observations, criteria used and provide feedback to RTRA management.	Lauren Semper-Scott	04/30/16
6)	Memo - Office of Emergency Management (OEM) Review	OEM review of revised Rail Supervisor Training Program. Provide any changes/corrections to Rail Training.	Ron Bodmer	05/30/16
7)	Final Rail Supervisor Training Program	Incorporate changes identified by OEM and during pilot and rollout new training program for Rail Supervisors.	Lauren Semper-Scott	07/31/16
8)	Quarterly Safety Audit	Quarterly safety audit to verify compliance with revised training curriculum conducted by the Office of SAFE. Additionally, the compliance with the training curriculum and training records will be included in the Internal Safety Audit (ISA) process conducted by the Office of SAFE.	Louis Brown	11/30/16
9)	Quality Audit Report	The Office of Quality Assurance and Warranty (QAAW) performs scope verification and inspection of deliverables to ensure that all are completed as planned and expected	Michael DiNatale	12/07/16

4.2 Schedule

Refer to 4.1 for scheduled dates.

4.3 Budget / Cost Estimate

This action will be funded in the operating budget in FY2016.

4.4 Internal Stakeholders

The following internal stakeholders are committed to work on the action plan.

Participant	Needed From	Required Initials	Item Needed	Give To/ Coordinate With	Estimated Completion Date
IT	Kevin Borek		Provide resources to complete automation of rule checks on Galaxy phone	Hercules Ballard	03/31/16
OEM	Ron Bodmer		Provide OEM review of revised Rail Supervisor Training Program	Lauren Semper-Scott	05/30/16
SAFE	Louis Brown		Conduct quarterly audits	Hercules Ballard	11/30/16
QAAW	Michael DiNatale		CAP deliverables verified and reviewed	Hercules Ballard	12/07/16

5 CAP Completion Documentation

After Metro's collective review, a memorandum with enclosed CAP deliverables (refer to 4.1) will be provided to FTA to support the closure of required action.

6 Performance Measures

- 100% completion of the revised training program for Rail Supervisors.
- Consistent improvement in the number of and quality of the rule checks performed by Rail Supervisors.
- Improved compliance with the required number of rule checks per Supervisor.

7 Verification

- Review deliverables provided by WMATA, interviews and record checks.

8 CAP Approval

APPROVED BY:

9/10/15
Action Coordinator *Date*
Linda Stoffregen
Director, Operations Management Services (OPMS)

9/10/2015
A. Robert Troup *Date*
Deputy General Manager, Operations (DGMO)

9/10/15
Louis J. Brown *Date*
Acting Chief Safety Officer (SAFE)

9/11/15
Jack Requa *Date*
Interim General Manager/Chief Executive Officer (GM/CEO)

Federal Transit Administration (FTA)

Safety Management Inspection (SMI)

MAR 16 – APR 3 2015

Washington Metropolitan Area Transit Authority (WMATA)

Corrective Action Plan (CAP)

R-2-19-b

Table of Contents

1 BACKGROUND 3

2 PURPOSE 3

2.1 FTA FINDING 3
2.2 FTA REQUIRED ACTION 3

3 ANALYSIS AND RECOMMENDATION 3

3.1 ANALYSIS 3
3.2 RECOMMENDATION 3

4 ACTION PLAN DESCRIPTION 4

4.1 APPROACH 4
4.2 SCHEDULE 6
4.3 BUDGET / COST ESTIMATE 6
4.4 INTERNAL STAKEHOLDERS 6

5 CAP COMPLETION DOCUMENTATION 6

6 PERFORMANCE MEASURES 6

7 VERIFICATION 6

8 CAP APPROVAL 7

1 Background

The Federal Transit Administration (FTA) completed a Safety Management Inspection (SMI) of the Washington Metropolitan Area Transit Authority (WMATA) rail and bus systems. FTA issued Safety Directive 15-1 identifying 54 safety findings and 91 required actions to improve safety.

2 Purpose

This Corrective Action Plan has been developed to address Safety Finding No. R-19 and its Required Action R-2-19-b.

2.1 FTA Finding

Rail Transportation is not ensuring that field supervisors conduct required rules compliance checks on station managers and train operators.

2.2 FTA Required Action

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.

3 Analysis and Recommendation

3.1 Analysis

Completed analysis of the FTA Finding and Required Action revealed that WMATA Rail Supervisors training program needs to be modified to clearly document operational testing requirements and rule compliance checks. The documenting of observed rule checks declined significantly when the Office of Rail Operations (RTRA) lost the usage of the Blackberry which had an application for Rail Supervisors to track rule checks.

3.2 Recommendation

WMATA will modify the Rail Supervisor training program to clearly identify the robust testing and observation program.

4 Action Plan Description

4.1 Approach

As part of R-2-18-a CAP and the modification of the Rail Supervisor training program, Operations will be incorporating a Director's Management Guide and Operations Administrative Policies (OAP) that will (a) identify the importance and purpose of rule checks; (b) identify observation frequency and accountability; (c) explain importance of consistency; (d) identify testing requirements; (e) how observations will be performed via the Galaxy phone; (f) identify formal train movement testing program including frequency, accountability, and fail-safe testing; (g) how testing and results will be documented; and (h) how rule check results with be communicated with Train Operators.

To avoid any future lapse in the automated rule checks being done on the Galaxy phone, WMATA will ensure the application is operational on any new platform prior to transitioning from the current cellular device. Existing Rail Supervisors will received the revised training program as part of their re-certification process.

Deliverable		Description	Responsible Party	Estimated Completion Date
1)	Quarterly Progress Report	Quarterly report identifying the progress on the CAP.	Byron England	12/15/15
2)	Operations Administrative Policies (OAP) Rail Supervisor Rule Checks	Develop Rail Supervisor Rule Check OAP for Train Operators that specifically includes: (a) **identify the importance and purpose of rule checks;** (b**) identify observation frequency and accountability**; (c**)** explain importance of consistency**; (d) identify testing requirements;** (e) how observations will be performed via the Galaxy phone; (f) identify formal train movement testing program including frequency, accountability, and fail-safe testing; (g) **how testing and results will be documented**; and (h) how rule check results will be communicated with Train Operators.	Byron England	03/31/16
3)	Director's Management Guide	Develop a master management guide that will serve as a reference for all RTRA management personnel and contain all required management activities including OAPs.	Byron England	03/31/16

Deliverable		Description	Responsible Party	Estimated Completion Date
4)	Automated Rule Check – Galaxy	Develop automated rule check application for the Galaxy Phone that will enable Rail Supervisors to efficiently and effectively track all rule checks. Push application to all Rail Supervisor Galaxy phones.	Byron England Kevin Borek	03/31/16
5)	Revised Rail Supervisor Training Program	Modify Rail Supervisor Training Program to incorporate a review of Director's Management Guide and OAP that specifically includes : (a) **identify the importance and purpose of rule checks;** (b**) identify observation frequency and accountability**; (c**)** explain importance of consistency**; (d) identify testing requirements;** (e) how observations will be performed via the Galaxy phone; (f) identify formal train movement testing program including frequency, accountability, and fail-safe testing; (g) **how testing and results will be documented**; and (h) how rule check results will be communicated with Train Operators. OAP will include monthly quality control checks on a sampling of Rail Supervisor observations to include: quantity of observations, criteria used and provide feedback to RTRA management.	Lauren Semper-Scott	04/30/16
6)	Memo - Office of Emergency Management (OEM) Review	OEM review of revised Rail Supervisor Training Program. Provide any changes/corrections to Rail Training.	Ron Bodmer	05/30/16
7)	Final Rail Supervisor Training Program	Incorporate changes identified by OEM and during pilot and rollout new training program for Rail Supervisors.	Lauren Semper-Scott	07/31/16
8)	Quarterly Safety Audit	Quarterly safety audit to verify compliance with revised training curriculum conducted by the Office of SAFE. Additionally, the compliance with the training curriculum and training records will be included in the Internal Safety Audit (ISA) process conducted by the Office of SAFE.	Louis Brown	11/30/16
9)	Quality Audit Report	The Office of Quality Assurance and Warranty (QAAW) performs scope verification and inspection of deliverables to ensure that all are completed as planned and expected	Michael DiNatale	12/07/16

4.2 Schedule

Refer to 4.1 for scheduled dates.

4.3 Budget / Cost Estimate

This action will be funded in the operating budget in FY2016.

4.4 Internal Stakeholders

The following internal stakeholders are committed to work on the action plan.

Participant	Needed From	Required Initials	Item Needed	Give To/ Coordinate With	Estimated Completion Date
IT	Kevin Borek		Provide resources to complete automation of rule checks on Galaxy phone	Hercules Ballard	03/31/16
OEM	Ron Bodmer		Provide OEM review of revised Rail Supervisor Training Program	Lauren Semper- Scott	05/30/16
SAFE	Louis Brown		Conduct quarterly audits	Hercules Ballard	11/30/16
QAAW	Michael DiNatale		CAP deliverables verified and reviewed	Hercules Ballard	12/07/16

5 CAP Completion Documentation

After Metro's collective review, a memorandum with enclosed CAP deliverables (refer to 4.1) will be provided to FTA to support the closure of required action.

6 Performance Measures

- 100% completion of the revised training program for Rail Supervisors.
- Consistent improvement in the number of and quality of the rule checks performed by Rail Supervisors.
- Improved compliance with the required number of rule checks per Supervisor.

7 Verification

- Review deliverables provided by WMATA, interviews and record checks.

8 CAP Approval

APPROVED BY:

9/10/15

Action Coordinator *Date*
Linda Stoffregen
Director, Operations Management Services (OPMS)

9/10/2015

A. Robert Troup *Date*
Deputy General Manager, Operations (DGMO)

9/10/15

Louis J. Brown *Date*
Acting Chief Safety Officer (SAFE)

9/11/15

Jack Requa *Date*
Interim General Manager/Chief Executive Officer (GM/CEO)

Federal Transit Administration (FTA)

Safety Management Inspection (SMI)

MAR 16 – APR 3 2015

Washington Metropolitan Area Transit Authority (WMATA)

Corrective Action Plan (CAP)

R-2-20-a

Table of Contents

1 BACKGROUND 3

2 PURPOSE 3

2.1 FTA FINDING 3
2.2 FTA REQUIRED ACTION 3

3 ANALYSIS AND RECOMMENDATION 3

3.1 ANALYSIS 3
3.2 RECOMMENDATION 3

4 ACTION PLAN DESCRIPTION 4

4.1 APPROACH 4
4.2 SCHEDULE 6
4.3 BUDGET / COST ESTIMATE 6
4.4 INTERNAL STAKEHOLDERS 6

5 CAP COMPLETION DOCUMENTATION 6

6 PERFORMANCE MEASURES 6

7 VERIFICATION 6

8 CAP APPROVAL 7

1 Background

The Federal Transit Administration (FTA) completed a Safety Management Inspection (SMI) of the Washington Metropolitan Area Transit Authority (WMATA) rail and bus systems. FTA issued Safety Directive 15-1 identifying 54 safety findings and 91 required actions to improve safety.

2 Purpose

This Corrective Action Plan has been developed to address Safety Finding No. R-20 and its Required Action R-2-20-a.

2.1 FTA Finding

New supervisors are not familiar with rules compliance checks requirements.

2.2 FTA Required Action

WMATA must improve the quality and consistency of training for new Rail Supervisors to include purpose and requirements for rules checks.

3 Analysis and Recommendation

3.1 Analysis

Completed analysis of the FTA Finding and Required Action revealed that WMATA Rail Supervisors training program needs to be strengthened to improve the quality and consistency of training specifically in the area of rule checks. The documenting of observed rule checks declined significantly when RTRA lost the usage of the Blackberry which had an application for Rail Supervisors to track rule checks.

3.2 Recommendation

WMATA will modify the Rail Supervisor training program to strengthen the quality and consistency of training to include the purpose and requirements for rule checks.

4 Action Plan Description

4.1 Approach

As part of R-2-18-a CAP and the modification of the Rail Supervisor training program, Operations will be incorporating a Director's Management Guide and Operations Administrative Policies (OAP) that will (a) identify the importance and purpose of rule checks; (b) identify observation frequency and accountability; (c) explain importance of consistency; (d) identify testing requirements; (e) how observations will be performed via the Galaxy phone; (f) identify formal train movement testing program including frequency, accountability, and fail-safe testing; (g) how testing and results will be documented; and (h) how rule check results with be communicated with Train Operators.

To avoid any future lapse in the automated rule checks being done on the Galaxy phone, WMATA will ensure the application is operational on any new platform prior to transitioning from the current celluar device. Existing Rail Supervisors will received the revised training program as part of their re-certification process.

Deliverable		Description	Responsible Party	Estimated Completion Date
1)	Quarterly Progress Report	Quarterly report identifying the progress on the CAP.	Byron England	12/15/15
2)	Operations Administrative Policies (OAP) Rail Supervisor Rule Checks	Develop Rail Supervisor Rule Check OAP for Train Operators that specifically includes: (a) **identify the importance and purpose of rule checks;** (b**) identify observation frequency and accountability**; (c**) explain importance of consistency; (d) identify testing requirements;** (e) how observations will be performed via the Galaxy phone; (f) identify formal train movement testing program including frequency, accountability, and fail-safe testing; (g) **how testing and results will be documented**; and (h) how rule check results will be communicated with Train Operators.	Byron England	03/31/16
3)	Director's Management Guide	Develop a master management guide that will serve as a reference for all RTRA management personnel and contain all required management activities including OAPs.	Byron England	03/31/16

Deliverable		Description	Responsible Party	Estimated Completion Date
4)	Automated Rule Check – Galaxy Phone	Develop automated rule check application for the Galaxy Phone that will enable Rail Supervisors to efficiently and effectively track all rule checks. Push application to all Rail Supervisor Galaxy phones.	Byron England Kevin Borek	03/31/16
5)	Revised Rail Supervisor Training Program	Modify Rail Supervisor Training Program to incorporate a review of Director's Management Guide and OAP that specifically includes a) **identify the importance and purpose of rule checks;** (b**) identify observation frequency and accountability**; (c**) explain importance of consistency; (d) identify testing requirements;** (e) how observations will be performed via the Galaxy phone; (f) identify formal train movement testing program including frequency, accountability, and fail-safe testing; (g) **how testing and results will be documented**; and (h) how rule check results will be communicated with Train Operators. OAP will include monthly quality control checks on a sampling of Rail Supervisor observations to include: quantity of observations, criteria used and provide feedback to RTRA management.	Lauren Semper-Scott	04/30/16
6)	Memo - Office of Emergency Management (OEM) Review	OEM review of revised Rail Supervisor Training Program. Provide any changes/corrections to Rail Training.	Ron Bodmer	05/30/16
7)	Final Rail Supervisor Training Program	Incorporate changes identified by OEM and during pilot and rollout new training program for Rail Supervisors.	Lauren Semper-Scott	07/31/16
8)	Quarterly Safety Audit	Quarterly safety audit to verify compliance with revised training curriculum conducted by the Office of SAFE. Additionally, the compliance with the training curriculum and training records will be included in the Internal Safety Audit (ISA) process conducted by the Office of SAFE.	Louis Brown	11/30/16
9)	Quality Audit Report	The Office of Quality Assurance and Warranty (QAAW) performs scope verification and inspection of deliverables to ensure that all are completed as planned and expected	Michael DiNatale	12/07/16

4.2 Schedule

Refer to 4.1 for scheduled dates.

4.3 Budget / Cost Estimate

This action will be funded in the operating budget in FY2016.

4.4 Internal Stakeholders

The following internal stakeholders are committed to work on the action plan.

Participant	Needed From	Required Initials	Item Needed	Give To/ Coordinate With	Estimated Completion Date
IT	Kevin Borek	KOB	Provide resources to complete automation of rule checks on Galaxy phone	Hercules Ballard	03/31/16
OEM	Ron Bodmer		Provide OEM review of revised Rail Supervisor Training Program	Lauren Semper-Scott	05/30/16
SAFE	Louis Brown		Conduct quarterly audits	Hercules Ballard	11/30/16
QAAW	Michael Dinatali		CAP's deliverables verified and reviewed	Hercules Ballard	12/07/16

5 CAP Completion Documentation

After Metro's collective review, a memorandum with enclosed CAP deliverables (refer to 4.1) will be provided to FTA to support the closure of required action.

6 Performance Measures

- 100% completion of the revised training program for Rail Supervisors.
- Consistent improvement in the number of and quality of the rule checks performed by Rail Supervisors.
- Improved compliance with the required number of rule checks per Supervisor.

7 Verification

- Review deliverables provided by WMATA, interviews and record checks.

8 CAP Approval

APPROVED BY:

Linda Stoffregen 9/10/15

Action Coordinator *Date*
Linda Stoffregen
Director, Operations Management Services (OPMS)

A. R. T. 9/10/2015

A. Robert Troup *Date*
Deputy General Manager, Operations (DGMO)

Chad Y. Kuykendall for Louis Brown 9/9/15

Louis J. Brown *Date*
Acting Chief Safety Officer (SAFE)

9/11/15

Jack Requa *Date*
Interim General Manager/Chief Executive Officer (GM/CEO)

Federal Transit Administration (FTA)

Safety Management Inspection (SMI)

MAR 16 – APR 3 2015

Washington Metropolitan Area Transit Authority (WMATA)

Corrective Action Plan (CAP)

R-2-21-a

Table of Contents

1 BACKGROUND 3
2 PURPOSE 3
2.1 FTA FINDING 3
2.2 FTA REQUIRED ACTION 3
3 ANALYSIS AND RECOMMENDATION 3
3.1 ANALYSIS 3
3.2 RECOMMENDATION 4
4 ACTION PLAN DESCRIPTION 4
4.1 APPROACH 4
4.2 SCHEDULE 5
4.3 BUDGET / COST ESTIMATE 5
4.4 INTERNAL STAKEHOLDERS 6
5 CAP COMPLETION DOCUMENTATION 6
6 PERFORMANCE MEASURES 6
7 VERIFICATION 6
8 CAP APPROVAL 7

1 Background

The Federal Transit Administration (FTA) completed a Safety Management Inspection (SMI) of the Washington Metropolitan Area Transit Authority (WMATA) rail and bus systems. FTA issued Safety Directive 15-1 identifying 54 safety findings and 91 required actions to improve safety.

2 Purpose

This Corrective Action Plan has been developed to address Safety Finding No. R-21 and its Required Action R-2-21-a.

2.1 FTA Finding

Some newly promoted Field Supervisors, who have not previously operated rail vehicles, are not sufficiently trained to relieve train operators on the mainline.

2.2 FTA Required Action

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.

3 Analysis and Recommendation

3.1 Analysis

Completed analysis of the FTA Finding and Required Action revealed the Rail Supervisor training program for the last two classes resulted in the supervisors trainees completing:

- Standard Student Train Operator classroom curriculum.
- Yard practical which includes a minimum of 40 hours yard time.
- Average of 55 hours each of main line train operations which exceeds the 30 minimum main line operations requirement.
- Main line train operations training continued until Rail Supervisors displayed competency.

All future Rail Supervisor classes will include the 16 week train operator training (classroom and practical).

3.2 Recommendation

Implement the requirement for all Rail Supervisors to complete one main line train trip or a minimum of 20 minutes of main line train operations per month. This will be documented through the Rail Operations Control Center who is notified at the start and stop of the Rail Supervisor's command of the train. Requirement will be identified in the Rail Supervisor training program. This requirement will be incorporated in FTA CAP 2-21-b.

4 Action Plan Description

4.1 Approach

	Deliverable	Description	Responsible Party	Estimated Completion Date
1)	Quarterly Progress Report	Quarterly report identifying the progress on the CAP.	Byron England	12/15/15
2)	Operations Administrative Policies (OAP) Rail Supervisor Rule Checks	Develop Rail Supervisor Rule Check OAP for Train Operators that specifically includes: (a) identify the importance and purpose of rule checks; (b) identify observation frequency and accountability; (c) explain importance of consistency; (d) identify testing requirements; (e) how observations will be performed via the Galaxy phone; (f) identify formal train movement testing program including frequency, accountability, and fail-safe testing; (g) how testing and results will be documented; (h) how rule check results will be communicated with Train Operators; and (i) quality control review of the Rail Supervisor's required activities. **OAP will also identify the requirement for Rail Supervisors to complete one main line trip or a minimum of 20 minutes of mainline operations monthly.**	Byron England	03/31/16
3)	Director's Management Guide	Develop a master management guide that will serve as a reference for all RTRA management personnel and contain all required management activities including OAPs. The Directors Guide will identify the requirement for Rail Supervisors to complete one main line trip or a minimum of 20 minutes of mainline operations monthly.	Byron England	03/31/16
4)	Automated Rule Check – Galaxy	Develop automated rule check application for the Galaxy Phone that will enable Rail Supervisors to efficiently and effectively track all rule checks. Supervisors Daily Activity Reports will also be automated on the Galaxy phone. Push application to all Rail Supervisor Galaxy phones.	Byron England Kevin Borek	03/31/16

Deliverable		Description	Responsible Party	Estimated Completion Date
5)	Revised Rail Supervisor Training Program	Modify Rail Supervisor Training Program to incorporate a review of Director's Management Guide and OAP that specifically includes (a) identify the importance and purpose of rule checks; (b) identify observation frequency and accountability; (c) explain importance of consistency; (d) identify testing requirements; (e) how observations will be performed via the Galaxy phone; (f) identify formal train movement testing program including frequency, accountability, and fail-safe testing; (g) how testing and results will be documented; (h) how rule check results will be communicated with Train Operators; and (i) quality control review of the Rail Supervisor's required activities. OAP will include monthly quality control checks on a sampling of Rail Supervisor observations to include: quantity of observations, criteria used and provide feedback to RTRA management. OAP will also document the required number of trips each month a Rail Supervisor must complete on the mainline.	Lauren Semper-Scott	04/30/16
6)	Memo - Office of Emergency Management (OEM) Review	OEM review of revised Rail Supervisor Training Program. Provide any changes/corrections to Rail Training.	Ron Bodmer	05/30/16
7)	Final Rail Supervisor Training Program	Incorporate changes identified by OEM and during pilot and rollout new training program for Rail Supervisors.	Lauren Semper-Scott	07/31/16
8)	Quarterly Safety Audit	Quarterly safety audit to verify compliance with revised training curriculum including the minimum of 20 minutes mainline each month conducted by the Office of SAFE. Additionally, the compliance with the training curriculum and training records will be included in the Internal Safety Audit (ISA) process conducted by the Office of SAFE.	Louis Brown	11/30/16
9)	Quality Audit Report	The Office of Quality Assurance and Warranty (QAAW) performs scope verification and inspection of deliverables to ensure that all are completed as planned and expected.	Michael DiNatale	12/07/16

4.2 Schedule

Refer to 4.1 for scheduled dates.

4.3 Budget / Cost Estimate

This action will be funded in the operating budget in FY2016.

4.4 Internal Stakeholders

The following internal stakeholders are committed to work on the action plan.

Participant	Needed From	Required Initials	Item Needed	Give To/ Coordinate With	Estimated Completion Date
IT	Kevin Borek	KBB	Provide resources to complete automation of rule checks on Galaxy phone	Hercules Ballard	03/31/16
OEM	Ron Bodmer		Provide OEM review of revised Rail Supervisor Training Program	Lauren Semper-Scott	05/30/16
SAFE	Louis Brown		Conduct quarterly audits	Hercules Ballard	11/30/16
QAAW	Michael DiNatale		CAP's deliverables verified and reviewed	Hercules Ballard	12/07/16

5 CAP Completion Documentation

After Metro's collective review, a memorandum with enclosed CAP deliverables (refer to 4.1) will be provided to FTA to support the closure of required action.

6 Performance Measures

- 100% completion of the revised training program for Rail Supervisors.
- 100% completion of the requirement for Rail Supervisors to complete one main line trip or a minimum of 20 minutes of mainline operations monthly.

7 Verification

- Review deliverables provided by WMATA, interviews and record checks.

8 CAP Approval

APPROVED BY:

9/10/15
Action Coordinator *Date*
Linda Stoffregen
Director, Operations Management Services (OPMS)

9/10/2015
A. Robert Troup *Date*
Deputy General Manager, Operations (DGMO)

9/10/15
Louis J. Brown *Date*
Acting Chief Safety Officer (SAFE)

9/11/15
Jack Requa *Date*
Interim General Manager/Chief Executive Officer (GM/CEO)

Federal Transit Administration (FTA)

Safety Management Inspection (SMI)

MAR 16 – APR 3 2015

Washington Metropolitan Area Transit Authority (WMATA)

Corrective Action Plan (CAP)

R-2-21-b

Table of Contents

1 BACKGROUND 3

2 PURPOSE 3

2.1 FTA FINDING 3
2.2 FTA REQUIRED ACTION 3

3 ANALYSIS AND RECOMMENDATION 3

3.1 ANALYSIS 3
3.2 RECOMMENDATION 3

4 ACTION PLAN DESCRIPTION 4

4.1 APPROACH 4
4.2 SCHEDULE 6
4.3 BUDGET / COST ESTIMATE 6
4.4 INTERNAL STAKEHOLDERS 6

5 CAP COMPLETION DOCUMENTATION 6

6 PERFORMANCE MEASURES 7

7 VERIFICATION 7

8 CAP APPROVAL 8

1 Background

The Federal Transit Administration (FTA) completed a Safety Management Inspection (SMI) of the Washington Metropolitan Area Transit Authority (WMATA) rail and bus systems. FTA issued Safety Directive 15-1 identifying 54 safety findings and 91 required actions to improve safety.

2 Purpose

This Corrective Action Plan has been developed to address Safety Finding No. R-21 and its Required Action R-2-21-b.

2.1 FTA Finding

Some newly promoted Field Supervisors, who have not previously operated rail vehicles, are not sufficiently trained to relieve train operators on the mainline.

2.2 FTA Required Action

WMATA must review Supervisor Daily Activity Reports to ensure that Supervisors are completing required activities, including the minimum number of established trips per month.

3 Analysis and Recommendation

3.1 Analysis

Completed analysis of the FTA Finding and Required Action revealed that WMATA Rail Supervisors training program needs to be strengthened to include quality control review of Rail Supervisor required activities.

3.2 Recommendation

WMATA will modify the Rail Supervisor training program to include quality control review of Rail Supervisor required activities.

4 Action Plan Description

4.1 Approach

Operations will incorporate the Supervisor Daily Activity Report in the automated application for the Galaxy phone. As part of R-2-18-a CAP and the modification of the Rail Supervisor training program, Operations will be incorporating a Director's Management Guide and OAP that will (a) identify the importance and purpose of rule checks; (b) identify observation frequency and accountability; (c) explain importance of consistency; (d) identify testing requirements; (e) how observations will be performed via the Galaxy phone; (f) identify formal train movement testing program including frequency, accountability, and fail-safe testing; (g) how testing and results will be documented; (h) how rule check results with be communicated with Train Operators; and (i)quality control review of the Rail Supervisor's required activities.

Deliverable		Description	Responsible Party	Estimated Completion Date
1)	Quarterly Progress Report	Quarterly report identifying the progress on the CAP.	Byron England	12/15/15
2)	Operations Administrative Policies (OAP) Rail Supervisor Rule Checks	Develop Rail Supervisor Rule Check OAP for Train Operators that specifically includes: (a) identify the importance and purpose of rule checks; (b) identify observation frequency and accountability; (c) explain importance of consistency; (d) identify testing requirements; (e) how observations will be performed via the Galaxy phone; (f) identify formal train movement testing program including frequency, accountability, and fail-safe testing; (g) how testing and results will be documented; (h) how rule check results will be communicated with Train Operators; and (i) **quality control review of the Rail Supervisor's required activities**.	Byron England	03/11/16
3)	Director's Management Guide	Develop a master management guide that will serve as a reference for all RTRA management personnel and contain all required management activities including OAPs.	Byron England	03/31/16

Deliverable		Description	Responsible Party	Estimated Completion Date
4)	Automated Rule Check – Galaxy	Develop automated rule check application for the Galaxy Phone that will enable Rail Supervisors to efficiently and effectively track all rule checks. Supervisors Daily Activity Reports will also be automated on the Galaxy phone. Push application to all Rail Supervisor Galaxy phones.	Byron England Kevin Borek	03/31/16
5)	Revised Rail Supervisor Training Program	Modify Rail Supervisor Training Program to incorporate a review of Director's Management Guide and OAP that specifically includes (a) identify the importance and purpose of rule checks; (b) identify observation frequency and accountability; (c) explain importance of consistency; (d) identify testing requirements; (e) how observations will be performed via the Galaxy phone; (f) identify formal train movement testing program including frequency, accountability, and fail-safe testing; (g) how testing and results will be documented; (h) how rule check results will be communicated with Train Operators; and (i) **quality control review of the Rail Supervisor's required activities**. OAP will include monthly quality control checks on a sampling of Rail Supervisor observations to include: quantity of observations, criteria used and provide feedback to RTRA management. OAP will also document the required number of trips each month a Rail Supervisor must complete on the mainline.	Lauren Semper-Scott	04/30/16
6)	Memo - Office of Emergency Management (OEM) Review	OEM review of revised Rail Supervisor Training Program. Provide any changes/corrections to Rail Training.	Ron Bodmer	05/30/16
7)	Final Rail Supervisor Training Program	Incorporate changes identified by OEM and during pilot and rollout new training program for Rail Supervisors.	Lauren Semper-Scott	07/31/16
8)	Monthly Rail QA Report	Report on the monthly quality control checks of Rail Supervisor's required activities conducted by Rail QA.	Ron Lewis	09/30/16
9)	Quarterly Safety Audit	Quarterly safety audit to verify compliance with the Rail Supervisor's required activities conducted by the Office of SAFE. Additionally, the compliance with Rail Supervisor's required duties is included in the Internal Safety Audit (ISA) process conducted by the Office of SAFE.	Louis Brown	11/30/16

Deliverable		Description	Responsible Party	Estimated Completion Date
10)	Quality Audit Report	The Office of Quality Assurance and Warranty (QAAW) performs scope verification and inspection of deliverables to ensure that all are completed as planned and expected	Michael DiNatale	12/07/16

4.2 Schedule

Refer to 4.1 for scheduled dates.

4.3 Budget / Cost Estimate

This action will be funded in the operating budget in FY2016.

4.4 Internal Stakeholders

The following internal stakeholders are committed to work on the action plan.

Participant	Needed From	Required Initials	Item Needed	Give To/ Coordinate With	Estimated Completion Date
IT	Kevin Borek		Provide resources to complete automation of rule checks on Galaxy phone	Hercules Ballard	03/31/16
OEM	Ron Bodmer		Provide OEM review of revised Rail Supervisor Training Program	Lauren Semper-Scott	05/30/16
RTRA	Ron Lewis		Conduct monthly audits	Hercules Ballard	09/30/16
SAFE	Louis Brown		Conduct quarterly audits	Hercules Ballard	11/30/16
QAAW	Michael DiNatale		CAP's deliverables verified and reviewed	Hercules Ballard	12/07/16

5 CAP Completion Documentation

After Metro's collective review, a memorandum with enclosed CAP deliverables (refer to 4.1) will be provided to FTA to support the closure of required action.

6 Performance Measures

- 100% completion of the revised training program for Rail Supervisors.
- 100% compliance with the number of established trips per month per the new OAP.

7 Verification

- Review deliverables provided by WMATA, interviews and record checks.

8 CAP Approval

APPROVED BY:

9/10/15
Action Coordinator *Date*
Linda Stoffregen
Director, Operations Management Services (OPMS)

9/10/2015
A. Robert Troup *Date*
Deputy General Manager, Operations (DGMO)

9/10/15
Louis J. Brown *Date*
Acting Chief Safety Officer (SAFE)

9/11/15
Jack Requa *Date*
Interim General Manager/Chief Executive Officer (GM/CEO)

Federal Transit Administration (FTA)

Safety Management Inspection (SMI)

MAR 16 – APR 3 2015

Washington Metropolitan Area Transit Authority (WMATA)

Corrective Action Plan (CAP)

R-2-22-a

Table of Contents

1 BACKGROUND 3
2 PURPOSE 3
2.1 FTA FINDING 3
2.1 FTA REQUIRED ACTION 3
3 ANALYSIS AND RECOMMENDATION 3
3.1 ANALYSIS 3
3.2 RECOMMENDATION 3
4 ACTION PLAN DESCRIPTION 4
4.1 APPROACH 4
4.2 SCHEDULE 4
4.3 BUDGET / COST ESTIMATE 5
4.4 INTERNAL STAKEHOLDERS 5
5 CAP COMPLETION DOCUMENTATION 5
6 PERFORMANCE MEASURES 5
7 VERIFICATION 5
8 CAP APPROVAL 6

1 Background

The Federal Transit Administration (FTA) completed a Safety Management Inspection (SMI) of the Washington Metropolitan Area Transit Authority (WMATA) rail and bus systems. FTA issued Safety Directive 15-1 identifying 54 safety findings and 91 required actions to improve safety.

2 Purpose

This Corrective Action Plan has been developed to address Safety Finding No. R-22 and its Required Action R-2-22-a.

2.1 FTA Finding

WMATA must ensure that two-year re-certifications are being performed for Train Operators.

2.1 FTA Required Action

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.

3 Analysis and Recommendation

3.1 Analysis

Completed analysis of the FTA Finding and Required Action revealed Rail Operations Support establishes a 12-month look ahead schedule of upcoming required train operator and interlocker re-certifications.

3.2 Recommendation

WMATA will review the train operator re-certification schedule from February 2015 through June 2015 to ensure re-certifications were conducted. WMATA will develop a standard operating procedure (SOP) identifying the process for Train Operator re-certifications. This SOP will also serve as a checkpoint to verify that Train Operators are in compliance with their RWP certifications.

4 Action Plan Description

4.1 Approach

Deliverable		Description	Responsible Party	Estimated Completion Date
1)	Quarterly Progress Report	Quarterly report identifying the progress on the CAP.	Byron England	12/15/15
2)	Narrative Memo	A narrative memo briefly explaining the steps taken to review the train operator re-certifications for the period February 2015 through June 2015.	Linda Stoffregen	07/10/15
3)	Train Operator Scheduled Certifications Report February 2015 through June 2015	Obtain Train Operator Scheduled Certifications Report February 2015 to June 2015 from Rail Operations Support.	Linda Stoffregen Hercules Ballard	07/15/15
4)	Train Operator Conducted Certifications Report February 2015 through June 2015	Obtain Train Operator Conducted Certifications Report February 2015 to June 2015 from Rail Operations Support.	Linda Stoffregen Hercules Ballard	07/15/15
5)	Results Memo	Explanation identifying measurable results from the comparison of the scheduled certifications vs the completed certifications.	Linda Stoffregen	07/31/15
6)	Train Operator Recertification SOP	Process for scheduling, conducting and tracking Train Operator recertifications.	Hercules Ballard	12/31/15
7)	Out of Compliance Report	Report identifying Train Operators that are out of compliance with recertification. Report to be published monthly and provided to the Chief Safety Officer and Deputy General Manager of Operations.	Hercules Ballard	01/31/16
8)	Quarterly Safety Audit	Quarterly safety audit to verify compliance with the train operator and interlocking operator certification requirements conducted by the Office of SAFE. Additionally, the compliance with train operator and interlocker certification requirements is included in the Internal Safety Audit (ISA) process conducted by the Office of SAFE.	Louis Brown	04/30/16
9)	Quality Audit Report	The Office of Quality Assurance & Warranty (QAAW) performs scope verification and inspection of CAP deliverables to ensure that all are completed as planned and expected.	Michael DiNatale	05/07/16

4.2 Schedule

Refer to 4.1 for scheduled dates.

4.3 Budget / Cost Estimate

This action will be funded in the operating budget in FY2016.

4.4 Internal Stakeholders

The following internal stakeholders are committed to work on the action plan:

Participant	Needed From	Required Initials	Item Needed	Give To/ Coordinate With	Estimated Completion Date
RTRA	Hercules Ballard	B.E. for Hercules Ballard	Train Operator recertification SOP and Out of Compliance Report.	Linda Stoffregen	01/31/16
RTRA	Byron England	B.E.	Quarterly Updates	Linda Stoffregen	12/15/15
SAFE	Louis Brown		Conduct quarterly audits	Hercules Ballard	04/30/16
QAAW	Michael DiNatale		CAP deliverables verified and reviewed	Linda Stoffregen	05/07/16

5 CAP Completion Documentation

After Metro's collective review, a memorandum with enclosed CAP deliverables (refer to 4.1) will be provided to FTA to support the closure of required action.

6 Performance Measures

- 100% compliance with train operator and interlocking operator re-certification requirements including RWP training.

7 Verification

- Review deliverables provided by WMATA, interviews and record checks.

8 CAP Approval

APPROVED BY:

9/10/15
Action Coordinator *Date*
Linda Stoffregen
Director, Operations Management Services (OPMS)

9/10/2015
A. Robert Troup *Date*
Deputy General Manager, Operations (DGMO)

9/10/15
Louis J. Brown *Date*
Acting Chief Safety Officer (SAFE)

9/11/15
Jack Requa *Date*
Interim General Manager/Chief Executive Officer (GM/CEO)

Federal Transit Administration (FTA)

Safety Management Inspection (SMI)

MAR 16 – APR 3 2015

Washington Metropolitan Area Transit Authority (WMATA)

Corrective Action Plan (CAP)

R-2-22-b

Table of Contents

1 BACKGROUND 3

2 PURPOSE 3

2.1 FTA FINDING 3
2.2 FTA REQUIRED ACTION 3

3 ANALYSIS AND RECOMMENDATION 3

3.1 ANALYSIS 3
3.2 RECOMMENDATION 3

4 ACTION PLAN DESCRIPTION 4

4.1 APPROACH 4
4.2 SCHEDULE 5
4.3 BUDGET / COST ESTIMATE 5
4.4 INTERNAL STAKEHOLDERS 5

5 CAP COMPLETION DOCUMENTATION 6

6 PERFORMANCE MEASURES 6

7 VERIFICATION 6

8 CAP APPROVAL 7

1 Background

The Federal Transit Administration (FTA) completed a Safety Management Inspection (SMI) of the Washington Metropolitan Area Transit Authority (WMATA) rail and bus systems. FTA issued Safety Directive 15-1 identifying 54 safety findings and 91 required actions to improve safety.

2 Purpose

This Corrective Action Plan has been developed to address Safety Finding No. R-22 and its Required Action R-2-22-b.

2.1 FTA Finding

WMATA must ensure that two-year re-certifications are being performed for Train Operators.

2.2 FTA Required Action

WMATA's Information Technology Department must work with 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.

3 Analysis and Recommendation

3.1 Analysis

Completed analysis of the FTA Finding and Required Action revealed WMATA's PeopleSoft module ELM does not currently meet the requirements of tracking employee training records.

3.2 Recommendation

Implement long term solution for tracking employee training records utilizing WMATA's enterprise system PeopleSoft. In the interim Operations will implement a short term solution. CAP will be combined with R-2-15-c.

4 Action Plan Description

4.1 Approach

Collaboration between operations' training groups and WMATA IT and WMATA HR to identify requirement gaps and implement ELM resolutions. CAP will be combined with R-2-15-c.

Deliverable		Description	Responsible Party	Due Date
1)	User Requirements List	Meeting with Operations' training groups to identify requirements for employee training record tracking and ELM shortcomings.	Linda Stoffregen	09/30/15
2)	ELM Immediate Solutions List	WMATA IT and Operations' training stakeholders to walk-through critical training record requirements and explore available ELM solutions to minimize tracking required outside ELM. The User Requirements List will be updated to reflect any items that are addressed with an immediate ELM solution.	Linda Stoffregen Lauren Semper-Scott, Eric Petersen, Alan Denney, Ann Murtha	11/30/15
3)	Short Term Solution Standard Operating Procedure (SOP)	**Short Term Solution:** Develop and implement a tracking mechanism for all employee training records that ensures management has a line of sight on all required certifications, requalifications and renewals. This will include the utilization of Microsoft Access and Microsoft Excel. Processes will be documented in an SOP that addresses all Department of Operations Training maintaining consistency wherever possible.	Linda Stoffregen Lauren Semper-Scott Eric Petersen, Alan Denney, Ann Murtha	01/31/16
4)	Narrative Memo	**ELM Automated Solutions Long Term:** Memorandum will outline a high level plan including some initial activities. This item refers to IT Action R-7-39-a.	Kevin Borek Matt Peters	12/31/15
5)	Quarterly Progress Report	**ELM Automated Solutions Long Term:** Quarterly report identifying the progress on the long term solution (refer to IT Action R-7-39-a).	Kevin Borek	04/15/16
6)	Long Term Solution Project Plan (Refer to IT Action R-7-39-a)	**Employee Roles Report:** Cataloging the different types of employee roles across the authority and determining the required experience, trainings, licenses, certifications, etc. for each.	Matt Peters	09/22/17
Path 1				

7)	Long Term Solution Project Plan (Refer to IT Action R-7-39-a)	**Final Implementation:** Of enhanced ELM or alternative training tracking system.	Kevin Borek	07/27/18
8)	IT Quality Audit Report	The Office of Information Technology (IT) performs scope verification and inspection of deliverables to ensure that all are completed as planned and expected.	Kevin Borek	09/15/18
Path 2				
9)	Implementation of New Learning Management System	Implementation a new learning management system that meets the learning and tracking needs of WMATA	Kevin Borek	06/30/19
10)	IT Quality Audit Report	The Office of Information Technology Quality Assurance (ITQA) performs scope verification and inspection of CAP deliverables to ensure that all are completed as planned and expected.	Kevin Borek	09/01/19
11)	Quality Audit Report	The Office of Quality Assurance and Warranty (QAAW) performs scope verification and inspection of deliverables to ensure that all are completed as planned and expected .	Michael DiNatale	09/08/19

4.2 Schedule

Refer to 4.1 for scheduled dates.

4.3 Budget / Cost Estimate

This short term solution will be funded in the operating budget in FY2016. Additional capital funds will be required in future fiscal years to complete the long term solution IT Action Item R-7-39-a.

4.4 Internal Stakeholders

The following internal stakeholders are committed to work on the action plan.

Participant	Needed From	Required Initials	Item Needed	Give To/ Coordinate With	Estimated Completion Date
IT	Kevin Borek	KTB	Resources to review user requirements, identify potential ELM solutions, obtain user agreement with solutions, and modify ELM to incorporate solutions, test revised ELM and rollout ELM to users.	Linda Stoffregen	01/15/19
HRIM	Sharon Nystrom	SLN	Resources to participate in user requirements review and identifying resolutions.	Linda Stoffregen	12/31/18
SAFE	Ann Murtha	CAM	Participate throughout the process as a stakeholder	Linda Stoffregen	12/31/18
CENV	Eric Peterson		Participate throughout the process as a stakeholder	Linda Stoffregen	12/31/18
RTRA	Dr. Lauren Scott		Participate throughout the process as a stakeholder	Linda Stoffregen	12/31/18
OPMS	Kimberly Mountjoy	KM	Participate throughout the process as a stakeholder	Linda Stoffregen	12/31/18
OPMS	Rudolph Flowers	RF	Participate throughout the process as a stakeholder	Linda Stoffregen	12/31/18
OPMS	Kevin Tolson	KT	Participate throughout the process as a stakeholder	Linda Stoffregen	12/31/18
BUS	Alan Denney	RF FOR A.D	Participate throughout the process as a stakeholder	Linda Stoffregen	12/31/18
QAAW	Michael DiNatale	MD	CAP deliverables verified and reviewed	Linda Stoffregen	09/08/19

5 CAP Completion Documentation

After Metro's collective review, a memorandum with enclosed CAP deliverables (refer to 4.1) will be provided to FTA to support the closure of required action.

6 Performance Measures

Validation within a testing environment that the ELM fulfills the established requirements of the Operations and SAFE training groups.

7 Verification

Review deliverables provided by WMATA, interviews and record checks

8 CAP Approval

APPROVED BY:

9/10/15
Action Coordinator *Date*
Linda Stoffregen
Director, Operations Management Services (OPMS)

9/10/2015
A. Robert Troup *Date*
Deputy General Manager, Operations (DGMO)

9/10/15
Louis J. Brown *Date*
Acting Chief Safety Officer (SAFE)

9/11/15
Jack Requa *Date*
Interim General Manager/Chief Executive Officer (GM/CEO)