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Description of document: Tri-State Oversight Committee (TOC) Accident-Incident Matrix and the Monthly Washington Metropolitan Area Transit Authority (WMATA) Monthly Corrective Action Plan (CAP) Report for March 2014, provided to the Washington Post Newspaper, 2014

Requested date: 2014

Released date: 03-October-2014

Posted date: 11-January-2016

Source of document: Office of General Counsel
PARP Administrator
Washington Metropolitan Area Transit Authority
600 Fifth Street, NW
Washington, D.C. 20001

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From: "Thom, Keysia A."
Date: Oct 3, 2014 3:39:49 PM
Subject: PARP #14-0158
Cc: "Bacchus, Sonia A."

This is in response to your request for a copy of the materials released to the Washington Post newspaper in response to the Public Access to Records Policy (PARP) request #09-0525. Your request was processed pursuant to the PARP, which can be viewed on our website at

http://www.wmata.com/about_metro/public_rr.cfm, under the section marked, "Legal Affairs."

Attached are the decision email and the most recent TOC Accident-Incident Matrix at the time that we responded to PARP #09-0525 and the Monthly CAP Report for March 2014. Pursuant to PARP Exemption 6.1.6 (personal privacy), we have redacted names that are not already in the public domain and for whom we have not received a notarized release.

If you wish to appeal WMATA's decision, in accordance with PARP 9.1, you may file a written appeal of the action with the Chief of Staff within 30 business days of the date of this decision letter. Further details about our appeals process can be found on our website.

Future correspondence regarding your request should reference the PARP request number noted above. If you have any legal questions, please contact Sonia A. Bacchus, Chief Counsel, Customer Service and Regulatory Affairs. You may also contact me if you require clarification on any administrative matters.

Sincerely,

Keysia A. Thom
PARP/Privacy Policy Administrator
WMATA Office of General Counsel
600 5th Street, NW
Washington, DC 20001

THIS E-MAIL MESSAGE IS PRIVILEGED AND CONFIDENTIAL INFORMATION INTENDED ONLY FOR THE USE OF THE RECIPIENT NAMED ABOVE. IF THE READER OF THIS MESSAGE IS NOT THE NAMED RECIPIENT, OR THE AGENT RESPONSIBLE TO DELIVER IT TO THE NAMED RECIPIENT, YOU ARE NOTIFIED THAT ANY DISSEMINATION, DISTRIBUTION, COPYING OR OTHER USE OF THIS INFORMATION/COMMUNICATION IS STRICTLY PROHIBITED AND NO PRIVILEGE IS WAIVED. IF YOU HAVE RECEIVED THIS COMMUNICATION IN ERROR, PLEASE NOTIFY THE ABOVE-NAMED INDIVIDUAL IMMEDIATELY.

Thom, Keysia A.

From: Thom, Keysia A.
Sent: Wednesday, June 04, 2014 3:07 PM
To: PARP Ex. 6.1.6 @washpost.com
Cc: **PARP Ex. 6.1.6**
Subject: PARP #09-0525
Attachments: Monthly CAP Report March 2014_Redacted.pdf; TOC Accident-Incident Matrix MASTER_Redacted.pdf

PARP Ex. 6.1.6
Dear

This is in response to your Public Access to Records Policy (PARP) for (1) copies of the most current documentation available regarding the status of Corrective Action Plans (CAPs) and Accident Investigations and/or Incident Reports tracked by the Tri-State Oversight Committee; and (2) all communications, in hard copy or via e-mail, since January 1, 2009, between and among WMATA personnel and representatives of the Tri-State Oversight Committee (TOC) regarding efforts to resolve or close Corrective Action Plans and Accident/Incident Reports. We have requested that you clarify what you mean by "most current," suggesting that we would more readily provide the status of open CAPs. We also requested that you specify the types of incidents/accidents that interest you to conduct a more targeted search. Similarly, we asked you to restrict your time frame for the communications between TOC and Metro to make compliance possible. You have not provided the requested clarification or a restricted time frame. Therefore, we have closed your request.

However, we can readily provide records regarding the status of open CAPs and accident/incident investigations. Attached are the most recent TOC Accident-Incident Matrix and the most recent Monthly CAP Report for March 2014. Pursuant to PARP Exemption 6.1.6 (personal privacy), we have redacted names that are not already in the public domain.

If you wish to appeal WMATA's decision, in accordance with WMATA's PARP § 9.1, you may file a written appeal of the action with the Chief of Staff within 30 business days of the date of this denial letter. Further details about our appeals process can be found on our website.

Future correspondence regarding your request should be directed to my attention and should reference the PARP request number above. If you have any legal questions please contact PARP Ex. 6.1.6 Chief Counsel, Customer Service and Regulatory Affairs, at PARP Ex. 6.1.6 @wmata.com. You may also contact our office of Media Relations at 202-962-1051 with any questions about the records.

Best Regards,

Keysia A. Thom
PARP/Privacy Policy Administrator
WMATA Office of General Counsel
600 5th Street, NW
Washington, DC 20001

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TRI-STATE OVERSIGHT COMMITTEE ACCIDENT/ INCIDENT TRACKING DATABASE

Printed 4/22/2014

TOC Incident Number	New TOC Incident Tracking Number (2010-)	Date of Incident	Incident Time	Date Reported to TOC	Notification Time	Transit System Rep.	TOC Rep.	Line	Location of Incident	Brief Description of Incident	Reportable Accident/ Incident?	Primary Reportable Criterion	WMATA-Identified Cause	Other Documents Received	Status	Notes/ Reason not closed	Date Last Modified	CAP Created
504	130405	4/9/13	3:43	4/9/13	4:04	MTPD	Benton	Orange	Union Station	A pick-up truck with Hi-Rail gear derailed on track 2 at Union Station. The probable cause of the incident was a slow speed wheel climb.	Yes	Derailment	The probable cause of the incident was a slow speed wheel climb.	8 April 2014: Final report received; 13 June 2013: Draft Final Report received	Closed	Adopted by TOC 9 April 2014.	4/11/14	
509	130410	4/30/13		4/30/13	1:53	MTPD	Benton	Yellow	Potomac River Bridge	Two prime movers made contact with each other on the Yellow line at the Potomac River Bridge.	Yes	Collision btw transit vehicle and any other vehicle	Multiple rule violations by flagman and tie crane operator.	8 April 2014: Final report received; 28 July 2013: Draft Final Report Received	Closed	Adopted by TOC 9 April 2014.	4/11/14	
512a	130507	5/13/13	9:55	5/13/13	10:15	WMATA	Benton	Red	Friendship Heights	Train #713 allegedly violated signal A08-04 on track one at Friendship Heights Station. This remains under investigation.	Yes	Other Safety or Security-related incident		7 June 2013: Preliminary Report Received 16 September 2013: Final Report Received; 12 December 2013: WMATA response to comment sheet received	Open	7 March 2014: WMATA to transmit RTRA communications protocol and request extension. 10 February 2014: TOC asked for clarification on what the RTRA communication protocol is in such an instance, and whether an existing policy/plan/procedure covers how multiple workers on a single train can identify themselves to ROCC. 24 January 2014: Additional TOC comments compiled; to be presented to SAFE at February A/I work session. 30 September 2013: Comment Sheet Submitted to WMATA; 12 December 2013: WMATA response to comment sheet received.	3/7/14	
515	130505	5/18/13	5:45	5/18/13	6:25	WMATA	Benton	Green	Greenbelt Yard	The Greenbelt interlocking operator sent a 4 car train into an area under Red Tag Protection. This bridged the power gap of the work zone. No injuries or damage reported.	Yes	Other Safety or Security-related incident		20 May 2013- Preliminary Report Received 1 August 2013- Final Report Received	Open	7 March 2014: WMATA to submit how field personnel knew 3rd rail was energized; how yard tower controllers ensure that they have adequate hardware (i.e. clips) to lock out switches; SSWP - does it address the crossing gate at Greenbelt Yard; is the RSAB discussed in shift pass-downs. 12 August 2013: Comment Sheet Submitted to WMATA	3/7/14	

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517	130601	6/2/13	18:48	6/2/13	18:55	WMATA	Benton	Blue	Van Dorn	There was a red signal violation in a single track area at Van Dorn Station. This incident remains under investigation.	Yes	Other Safety or Security-related incident		5 June 2013: Preliminary Report Received 12 September 2013: Final Report Received	Open	7 March 2014: hard-copy WMATA response to comment sheet received. 30 September 2013: Comment Sheet Submitted to WMATA	3/7/14	
518	130602	6/6/13	12:00	6/6/13	12:45	WMATA	Benton	Yellow	Fort Totten	A train struck a construction fence at Fort Totten Station. There were no injuries or damage to the train.	Yes	Other Safety or Security-related incident	Insufficiently secured chain-link fence used to secure construction area.	8 April 2014: Final Report received; 17 June 2013: Draft Final Report Received 22 July 2013: Comment Sheet Received 22 July 2013: Supporting information submitted	Closed	Adopted by TOC 9 April 2014.	4/11/14	
520	130604	6/14/13	12:04	6/14/13	12:17	WMATA	Benton	Red	Rhode Island Ave	A train came in contact with a set metal service stairs at the end of the platform. Three patrons self-evacuated the train, walked to the platform and departed the station. There was one customer onboard reported to have a medical issue. There was greater than \$25,000 worth of damage from this incident. This incident remains under investigation.	Yes	Other Safety or Security-related incident		14 June 2013: Preliminary report received 29 July 2013: Final Report Received	Open	7 March 2014: WMATA to verify inspection schedule for metal staircases. 12 August 2013: Comment Sheet Submitted to WMATA.	3/7/14	
521	130605	6/24/13	3:26	6/24/13	2:20	WMATA	Benton	Yellow	Fort Totten	A ballast regulator derailed near Fort Totten. The conclusion from the final report is that the TRST operator violated multiple rules.	Yes	Derailment		12 July 2013: Draft Final Report 29 July 2013: Comment sheet received	Open	7 March 2014: TOC to further review file and WMATA comment sheet responses. Additional information requested from WMATA. 9 October 2013 A/I working session: WMATA to respond to TOC re: what environments ROCC and MOCC are responsible for overseeing, and what SOPs oversee these distinctions.	3/7/14	
528	130705	7/20/13	15:45	7/20/13	13:05		Benton	Orange	West Church Falls Yard	A red signal violation occurred in the yard. Preliminary investigation indicates that signal K99-130 is in the blind spot of the vehicles.	Yes	Other Safety or Security-related incident		29 July 2013: Preliminary Report received. 16 September 2013: Draft Final Report Received	Open	7 March 2014: WMATA hard-copy response to comment sheet received; 30 September 2013: Comment Sheet Submitted to WMATA	3/7/14	

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529	130801	8/7/13	7:15	8/7/13	7:45		Benton	Orange	Cheverly	A work truck was piggybacking a workgroup and protection was lifted prior to the worktruck being cleared. This was a RWP violation.	Yes	Other Safety or Security-related incident		12 November 2013: Draft Final report received; 15 August 2013: Preliminary Report Received; 12 November 2013: Final Report Received	Open	7 March 2014: WMATA hard-copy response to comment sheet received. 24 December 2013: Comment Sheet Submitted to WMATA	3/7/14	
530	130802	8/13/13	TBD	8/13/13	15:05		Benton	Dulles	Dulles	There was a slow speed derailment with minimal damages.	Yes	Derailment			Open	Report requested	8/14/13	
532	130804	8/28/13	2:15	8/28/13	4:11		Benton	Red	New York Avenue	The operator of PB-11 had the left door open while attempting to back the unit and made contact with interlocking signal B03-02. There was damage to the driver side door.	Yes	Collision btw transit vehicle and any other vehicle	Improper operation by new equipment operator (operated PB11 with door open)	8 April 2014: Final report received. 4 December 2013: Draft Final report received; 30 August 2013: Preliminary Report Received	Closed	Adopted by TOC 9 April 2014.	4/11/14	
533	130805	8/30/13	0:01	8/30/13	0:45		Benton	Red	Rhode Island Ave Station	There was a derailment of the last transport train of the night in the direction of Glenmont. No passengers were on board. There was damage to the 3rd rail, signal cables, and track components and evidence of the derailment. There were no injuries.	Yes	Derailment		1 September 2013: Preliminary Report Received 27 September 2013: Extension Request Received	Open	7 March 2014: WMATA to request extension. 27 September 2013: Extension Requested by WMATA; awaiting final report.	3/7/14	
534	130806	8/28/13	1:15	8/28/13	10:52		Benton	Red	Shady Grove	The wind blew caught the egress door and blew it into the dynamic envelope of the car. There were no reported injuries.	Yes	Collision btw transit vehicle and any other vehicle	Design flaw allows door to encroach the dynamic outline of the track bed when fully open.	4 September 2013: Preliminary Report Received 27 September 2013: Extension Request Received; 11 December 2013: Draft Final report received; 8 April 2014: Final Report received.	Closed	Adopted by TOC 9 April 2014.	4/11/14	
535	130901	9/4/13	0:56	9/4/13	2:57		Benton	Blue	Franconia Spring	A prime mover overran a red signal by 6 feet at Franconia Springfield. The person in charge (RWIC) was acting in two roles, the RWIC and the flagman. This violates the the Roadway Worker Protection. This investigation is ongoing.	Yes	Other Safety or Security-related incident		26 February 2014: Final Draft Report Received; 9 September 2013: Preliminary Report Received	Open	TOC requested why RWIC also decided to act as flagman (interview with supervision); copy of job briefing form; interview field workers on whether they are aware/feel empowered to use the Good Faith Challenge; what kind of work was being performed.	2/26/14	
536	130902	9/6/13	TBD	9/6/13	2:40		Benton	Red	Rhode Island Ave Station	A tie crane inserter derailed at Rhode Island Ave Station. There were no injuries or damages.	Yes	Derailment	Tie crane traveled over a section of track that had a suspended joint (2 sections of rail coming together without a rail tie underneath)	8 April 2014: final report received; 27 February 2014: draft final report received. 18 October 2013: extension requested by WMATA. 10 September 2013: Preliminary Report Received.	Closed	Adopted by TOC 9 April 2014.	4/11/14	

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537	130903	9/9/13	0:45	9/9/13	1:30		Benton	Orange	Foggy Bottom	A vehicle made contact with the stubs ups resulting in some debris being ignited. The stub ups had been repaired and the fire extinguished.	Yes	Evacuation for life safety reasons		25 March 2014: Draft final report received; 7 November 2013: Preliminary Report Received	Open	Under TOC review	3/25/14	
538	130904	9/15/13	22:50	9/16/13	5:29		Benton	Orange	Ballston	Prime Mover 47 was given an absolute block as an error. The ROCC changed the absolute block and then repeated the initial block. This caused the operator to proceed against a red signal.	No	Other Safety or Security-related incident	Operator error.	7 April 2014: WMATA response during A/I work session: an equipment operator must observe any red signal, regardless of instructions given by control. 9 December 2013: Comment sheet submitted to WMATA. 28 October 2013: Final report received. 18 September 2013: Preliminary Report Received	Open	7 April 2014: WMATA response during A/I work session: an equipment operator must observe any red signal, regardless of instructions given by control. 9 December 2013: Comment sheet submitted to WMATA. TOC is interested in whether the ROCC controller's actions contributed to the incident.	4/11/14	
539	131001	10/1/13	1:18	10/1/13	2:44			Orange	Smithsonian	Prime Mover 43 overran a red signal at Smithsonian Interlocking, track 1. No switch was trailed.	Yes	Other Safety or Security-related incident		27 February 2014: draft final report received. 3 October 2013: Preliminary Report Received	Open	Under TOC review	2/27/14	
540	1311002	10/6/13	0:10	10/6/13	1:01			Red	Union Station	A burst of smoke and fire originated from a Holland flash weld unit attached to Prime Mover 01. 2 WMATA employees and 1 contractor were struck by a 115-lb rail, resulting in 2 injuries (WMATA employees) and 1 fatality (contractor). Investigation is ongoing.	Yes	Fatality within 30 days		7 October 2013: MTPD report received; 9 October 2013: Preliminary Report Received	Open	7 April 2014: TOC requested revisions discussed during April A/I work session. 8 November 2013: Extension requested by WMATA. Awaiting final report.	4/11/14	
542	1311004	10/10/13	1:31	10/10/13	0:38			Blue	Potomac Yard	ST03 (Spot Tamper) came into contact with Blue Line Train #407 at C2 455+00 (Potomac Yard), causing minor damage to car 1226. No injuries reported. Approximately 11 passengers on board; customer locations on train unknown. Last revenue train of the evening.	Yes	Collision btw transit vehicle and any other vehicle	Under investigation.	6 March 2014: Draft final report received. 21 November 2013: WMATA requested extension. 15 October 2013: MTPD report received. 16 October 2013: Preliminary Report Received.	Open	Under TOC Review	3/6/14	

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543	131005	10/14/13	23:16	10/15/13	0:32			Orange	West Church Falls Yard	Operator running Car 3033 received lunar signal to proceed into track 18E in WFC Yard shop. Train failed to stop and collided with standing cars 6179-6178, causing minor damage to 3033's shear bolts and TWC coil.	Yes	Collision btw transit vehicle and any other vehicle	Multiple rule violations by employees for failure to communicate defects on railcars prior to movement and during a crew change and failure to obtain permission prior to uncoupling railcar.	8 April 2014: final report received. 4 December 2013: Draft Final report received; 16 October 2013: MTPD report received; 17 October 2013: Preliminary Report Received	Closed	Adopted by TOC 9 April 2014.	4/11/14	
545	131007	10/23/13	14:50	10/23/13	15:27			Red	Judiciary Square	The body of a deceased person was found at Judiciary Sq. Station. Review of surveillance video footage revealed that the victim had fallen behind the parapet wall on the Shady Grove platform at approx. 01:15 on 19 October 2013.	Yes	Fatality within 30 days	Under investigation.	4 November 2013: MTPD Report received; 17 December 2013: MTPD memo indicating that investigation is still open but probable cause is unlikely transit safety or security related.	Open	10 February 2014: TOC to verify with MTPD whether MTPD has a procedure in place with RTRA for station managers to inspect closed . 5 December 2013: MTPD has requested probable cause information from DC MPD; update memo received from MTPD 17 December 2013.	4/18/14	
546	131008	10/26/13	23:09	10/27/13	2:26			Orange	West Falls Church Yard	Doors #1 and 2 on car 1294 came into contact with a hand railing inside the K99 (West Falls Church Yard) car wash. CMNT reported minor damage to doors #1 and 2 (small dent in frame, bent door arm spindle). No injuries reported.	Yes	Other Safety or Security-related incident	Train operators failed to perform thorough exterior inspection of train prior to train movement.	8 April 2014: Final report received.	Closed	Adopted by TOC 9 April 2014.	4/11/14	
548	131101	11/2/13	1:36	11/2/13	2:55			Blue	Alexandria Yard	Rail car 3064 made contact with a handrail while exiting the car wash. Minor damage reported to door #8 and bent railing. No reported injuries.	Yes	Other Safety or Security-related incident	Under investigation.	7 November 2013: Preliminary Report Received	Open	7 March 2014: WMATA to verify submittal to TOC or request extension. Awaiting final report.	3/7/14	
549	131102	11/9/13	13:05	11/9/13	2:06			Red	Shady Grove	A Prime Mover came into contact with an excavator in the shutdown zone between Shady Grove and Twinbrook Stations, at CM A2 787+00. The excavator was unattended at the time of the incident. The Prime Mover and its operator were taken out of service. No injuries.	Yes	Collision btw transit vehicle and any other vehicle	Under investigation.	27 January 2014: Draft Final report received. 15 November 2013: Preliminary Report Received.	Open	Under TOC review. 27 January 2014: Final Report Received.	1/27/14	
551	131104	11/22/13	9:40	11/22/13	12:42			Blue	Alexandria Yard	A piece of track equipment, SM02, coming out of a maintenance building at Alexandria Yard hit an overhead door, damaging the overhead door.	Yes	Other Safety or Security-related incident	Under investigation.	25 March 2014: Draft final report received; 12 December 2013: Preliminary Report Received.	Open	Under TOC Review	3/25/14	
552	131105	11/24/13	7:35	11/24/13	16:25			Red	Dupont Circle	The Operator of Red Line train 101 overran a red signal at A03-08 at Dupont Circle, Track 2. No injuries or damage reported. Operator was instructed to change ends and offload passengers.	Yes	Other Safety or Security-related incident	Under investigation.	7 April 2014: Draft final report received. 27 November 2013: Preliminary Report Received.	Open	Under TOC Review.	4/7/14	

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553	131201	12/6/13	1:00	12/6/13	8:28			Red	Bethesda	An escorted ELES contractor unbolted a wood panel to an escalator to service a component. A non-revenue (employee) train then entered Bethesda Station on Track 2, and the push of air from the train dislodged the wood panel and hit the train. The panel then fell back to the platform. No injuries, minor damage to the train.	Yes	Other Safety or Security-related incident	Contractor failure to secure plywood.	25 March 2014: Draft final report received; 10 December 2013: Preliminary Report Received.	Open	Under TOC Review	3/25/14	
554	131202	12/19/13	21:30	12/19/13	22:22			Red	Shady Grove Yard	A gate along the railing along a walkway inside a car wash at Shady Grove yard contacted Door #12 on car 4027; car 4027 was in the middle of the consist of a 6-car train in the car wash. The train was on Track 2 North.	Yes	Other Safety or Security-related incident	Failure of yard operator to properly inspect train exterior prior to movement.	23 December 2013: Preliminary Report received. 17 January 2014: Draft Final Report received. 8 April 2014: final report received.	Closed	Adopted by TOC 9 April 2014.	4/11/14	
555	131203	12/19/13	23:34	12/20/13	0:50			Silver	West Falls Church Yard	A railcar came into contact with the wheel stoppers at a new S&I shop at WFC Yard under construction for the Silver Line. The train was being pushed by a prime mover, and the train's ATC loop sustained damage. The wheel stoppers were apparently designed to be too tall, thus resulting in damage to the train's ATC loop. TOC Chair was advised that DTP will prepare an incident report. MWAA incident.	Yes	Other Safety or Security-related incident	Under investigation.	5 February 2014: Received draft Procedure for Mobilization of Train Cars Into New S&I Annex Building for Testing of Car Hosing System from MWAA. 27 December 2013: Preliminary Report received.	Open	Awaiting final report.	2/5/14	
556	140101	1/8/14	10:22	1/8/14	12:00			Red	Shady Grove	A Red Line train violated a red signal at Shady Grove.	Yes	Other Safety or Security-related incident	Under investigation.	8 April 2014: Draft final report received. 14 January 2014: Preliminary report received.	Open	Under TOC Review.	4/8/14	
557	140102	1/8/14	17:34	1/8/14	19:37	MTPD		Red	Union Station	An unresponsive passenger aboard a Red Line train was found at 17:34; patron was transported to GWU Hospital. At 18:34 the patient was pronounced deceased by the Emergency Room attending physician at GWU. Per standard protocol, MTPD will prepare a memo to inform the WMATA Board of this incident.	Yes	Fatality within 30 days	Passenger's pre-existing medical condition.	15 April 2014: redacted MTPD report received. 9 January 2014: MTPD report received.	Open	Under TOC Review.	4/15/14	
558	140105	1/10/14	16:07	1/10/14	15:34			Green	Naylor Road	A customer reported to the train operator that door #9 of an unidentified car on the incident train consist was cycling open several times while the train was in motion. The train was taken out of service and a data download was performed by CMNT. Customer complaint not substantiated.	Yes	Other Safety or Security-related incident	Customer complaint unsubstantiated.		Closed	Customer complaint was not substantiated.	4/11/14	

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559	140106	1/11/14	14:30	1/11/14	15:45			Red	Fort Totten	A train that was approaching Ft Totten Station started experiencing brake problems. Before the train could berth with all cars at the station platform the train dumped its brakes. It is unknown why the train did this. The train operator was asked to off-load passengers from the train only using available doors on the platform and to take the train out of service. However, the train operator opened all the doors, including the ones that were still off the platform.	Yes	Other Safety or Security-related incident	Under investigation.	10 February 2014: Preliminary report (hard copy) received.	Open	Awaiting final report.	4/7/14	
560	140107	1/13/14	13:16	1/13/14	14:25			Green	Greenbelt	Green Line train #508 overran a red signal at Greenbelt Station. No injuries and no damage to the switches were reported.	Yes	Other Safety or Security-related incident	Under investigation.	15 January 2014: Preliminary report received.	Open	Awaiting draft final report. 7 March 2014: WMATA to request extension.	3/7/14	
561	140108	1/28/14	9:25	1/28/14	10:20			Red	Shady Grove	A customer reported to a station manager at Shady Grove Station that a rail car door opened while a train (Train ID 122, car 3179) was moving. The incident is under investigation.	Yes	Other Safety or Security-related incident	Under investigation.	7 February 2014: Draft Final report received.	Open	Under TOC review.	4/7/14	
562	140201	2/3/14	6:52	2/3/14	7:15			Red	Wheaton	The operator of Train 119 reported that the train doors opened on both sides of the platform at Wheaton Station when he initiated door opening. The operator conducted a ground inspection. No injuries resulted.	Yes	Other Safety or Security-related incident	Under investigation.	4 February 2014: Preliminary report received.	Open	Awaiting final report. TOC exercises its option to review and adopt the accident investigation report. 7 March 2014: WMATA to request extension.	3/7/14	
563	140202	2/5/14	19:30	2/5/14	19:32			Red	Dupont Circle	A passenger walked past the platform end gate at Dupont Circle, Track 2, and fell or jumped to the roadway and was struck by a Red Line train. The striking train operator did not realize that the victim had been struck; the operator of a trailing train observed the passenger in the roadway and summoned emergency response. The passenger reportedly sustained non-life threatening injuries.	Yes	Collision with Individual along ROW	Passenger error.	15 April 2014: redacted MTPD report received. 11 February 2014: SAFE preliminary report received. 7 February 2014: MTPD report received.	Open	Under TOC Review.	4/15/14	
564	140203	2/7/14	2:30	2/7/14	2:45			Green	Congress Heights	Two pieces of track equipment, PB11 and PM47, made contact near Congress Heights Station. At the time of the incident, PM47 was stationary. SAFE stated that it is possible that the brakes on one of the units failed.	Yes	Collision btw transit vehicle and any other vehicle	Under investigation.	12 February 2014: preliminary report received.	Open	Awaiting final report	2/13/14	
565	140301	3/5/14	15:02	3/5/14	15:31	MTPD		Red	Rhode Island Ave	A person, female, reportedly intentionally placed herself in the path of an oncoming Red Line train. The person has survived the impact. Fire department personnel are on scene. Person was extracted from underneath the train and transported for medical treatment.	Yes	Collision with Individual along ROW	Suicide attempt.	19 March 2014: MTPD report received.	Open	Under TOC review.	3/21/14	
566	140302	3/6/14	15:15	3/6/14	18:02	MTPD		Green	Waterfront-SEU	A person was struck by a train at Waterfront Station, Track 2. Incident is under investigation.	Yes	Fatality within 30 days	Suicide.	19 March 2014: MTPD report received.	Open	Under TOC review.	3/21/14	

TRI-STATE OVERSIGHT COMMITTEE ACCIDENT/ INCIDENT TRACKING DATABASE

Printed 4/22/2014

TOC Incident Number	New TOC Incident Tracking Number (2010-)	Date of Incident	Incident Time	Date Reported to TOC	Notification Time	Transit System Rep.	TOC Rep.	Line	Location of Incident	Brief Description of Incident	Reportable Accident/ Incident?	Primary Reportable Criterion	WMATA-Identified Cause	Other Documents Received	Status	Notes/ Reason not closed	Date Last Modified	CAP Created
567	140303	3/15/14	1:14	3/15/14	1:58			Blue	Metro Center	A patron came into contact with Largo-bound Blue Line train 405 at Metro Center, Track 1, as the train was departing. The patron subsequently fell to the roadway. Patron was transported to GWU Hospital. The patron's actions were reportedly intentional.	Yes	Collision with Individual along ROW	Passenger error.	15 April 2014: MTPD report received.	Open	Under TOC review.	4/15/14	
568	140304	3/23/14	2:00	3/25/14	17:01			Red	Wheaton	A patron was found unconscious and showing no signs of life in the tunnel from Wheaton Station leading to the bus bay. CPR was performed on the patron and was transported to the hospital. The patron was pronounced deceased at the hospital.	Yes	Fatality within 30 days	Patron's pre-existing medical condition.	15 April 2014: MTPD redacted report received. 25 March 2014: MTPD report received.	Open	Under TOC review.	4/4/14	
569	140305	3/24/14	4:15	3/26/14	9:27			Blue/Yellow	Alexandria Yard	A train made contact with an S&I shop's door at Alexandria Yard. No injuries reported.	Yes	Other Safety or Security-related incident	Under investigation.	27 March 2014: Preliminary report received.	Open	Awaiting final report.	4/3/14	
570	140306	3/26/14	21:19	3/26/14	21:30			Red	Shady Grove Yard	PM 41 made contact with PM 39 as PM 41 was backing up. No injuries reported.	Yes	Collision btw transit vehicle and any other vehicle	Under investigation.	27 March 2014: Preliminary report received; 28 March 2014: MTPD report received.	Open	Awaiting final report.	4/3/14	
571	140307	3/29/14	15:02	3/29/14	15:21			Green/Yellow	Columbia Heights	A patron intentionally placed himself in front of a Green Line train, track 2. Incident resulted in a fatality.	Yes	Fatality within 30 days	Suicide.	14 April 2014: MTPD report received.	Open	Under TOC review.	4/14/14	
572	140401	4/3/14	8:23	4/3/14	19:12			Red	NoMa-Gallaudet	Red Line train with lead car 5116, train 123, berthed at NoMa-Gallaudet Station. All doors opened on the platform side, except for door #2 on car 5116, which opened on the wrong side. Operator conducted a ground inspection, finding no injuries or damage to car 5116. Train was immediately removed from service and taken to Brentwood for inspection and VMS download.	Yes	Other Safety or Security-related incident	Under investigation.	7 April 2014: Preliminary report received. TOC exercises option to review and adopt investigation.	Open	Awaiting final report.	4/7/14	
573	140402	4/7/14	3:37	4/7/14	4:00			Red	Silver Spring	Spot Tamper ST01 derailed near CM 448+00 on Track 1, near Silver Spring Station. No injuries, no damage. ST01 re-railed at approximately 03:37.	Yes	Derailment	Under investigation.	10 April 2014: Preliminary report received.	Open	Awaiting final report.	4/10/14	
574	140403	4/7/14	20:04	4/7/14	20:20			Blue	Arlington Cemetery	A passenger reportedly intentionally placed himself into the path of a Blue Line train and was struck on Track 1, resulting in a fatality.	Yes	Fatality within 30 days	Suicide.	14 April 2014: MTPD report received.	Open	Under TOC review.	4/14/14	

Washington Metropolitan Area Transit Authority

Department of Safety and Environmental Management

Monthly Corrective Action Plan Report



March 31, 2014

Below is an itemization of the one (1) corrective action plan (CAP) that was closed in the Month of March 2014:

TOC ID	Finding/Recommendation	Action Taken
10-131	Integration and analysis of safety data is disjointed and no assurance of NTD/SSO consistency is provided.	On March 27, 2014 the TOC reviewed the closure documentation provided by WMATA and agreed to close the CAP. The CAP is now resolved at this time.

To assist in the monitoring of changes that were made during the month of March 2014, the following CAPs are included in the attached appendix

10-050	10-219	12-052	13-073	13-080	13-087
10-119	12-004	12-070	13-074	13-081	13-088
10-120	12-005	12-074	13-075	13-082	13-089
10-189	12-006	13-005	13-076	13-083	
10-204	12-007	13-011	13-077	13-084	
10-217	12-008	13-013	13-078	13-085	
10-218	12-009	13-055	13-079	13-086	

Corrective Action Plan (CAP) Report Summaries

Priority Rating

Open 1: Unacceptable: The hazard must be mitigated in the most expedient manner possible before normal service may resume. Interim corrective action may be

Open 2: Undesirable w/ Executive Safety Committee (ESC) decision required: A hazard at this level of risk must be mitigated unless a documented decision to manage the hazard until resources are available for full mitigation is issued by the CSO and forwarded to TOC(rail hazards only) for review and approval/disapproval.

Open 3: Acceptable w/ review: The CSO must determine if the hazard is adequately controlled Open 3: or mitigated as is.

Open 4: Acceptable w/o review: The hazard does not need to be reviewed by the ESC and does not require further mitigation or control.

2004		2005		2006	
Open 1	0	Open 1	0	Open 1	0
Open 2	1	Open 2	0	Open 2	0
Open 3	0	Open 3	0	Open 3	0
Open 4	0	Open 4	0	Open 4	0

Open (Total)	1	Open (Total)	0	Open (Total)	0
Closed	54	Closed	27	Closed	49

2007		2008		2009	
Open 1	0	Open 1	0	Open 1	0
Open 2	0	Open 2	2	Open 2	0
Open 3	0	Open 3	0	Open 3	0
Open 4	0	Open 4	0	Open 4	0

Open (Total)	0	Open (Total)	2	Open (Total)	0
Closed	67	Closed	22	Closed	33

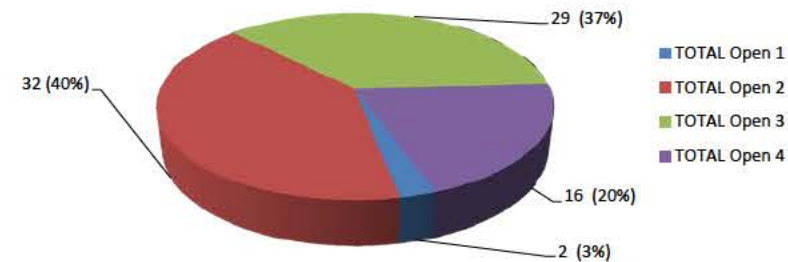
2010		2011		2012	
Open 1	2	Open 1	0	Open 1	0
Open 2	9	Open 2	1	Open 2	5
Open 3	2	Open 3	1	Open 3	4
Open 4	2	Open 4	0	Open 4	1

Open (Total)	15	Open (Total)	2	Open (Total)	10
Closed	242	Closed	34	Closed	82

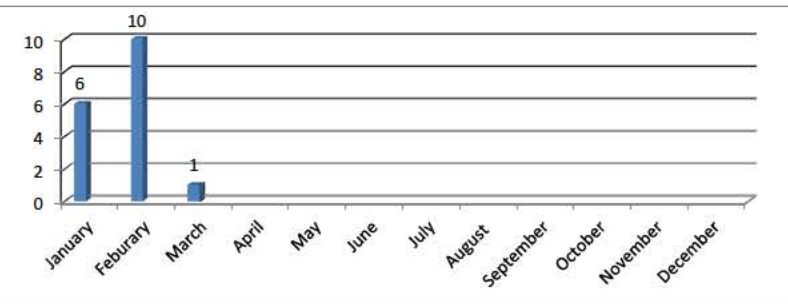
2013	
Open 1	0
Open 2	14
Open 3	22
Open 4	13
Open (Total)	49
Closed	29

CAP Totals (All Years)	
TOTAL Open 1	2
TOTAL Open 2	32
TOTAL Open 3	29
TOTAL Open 4	16
TOTAL Open	79
TOTAL Closed	639

CAP Open Item Totals



Monthly CAP Closures - 2014



WMATA Master List of Corrective Action Plans

WMATA CAP ID	CAP Source Type	Finding/Recommendation	Corrective Action Plan	Status	Responsible Person(s)	Estimated Completion Date	Date of Most Recent Update	Initial Hazard Rating	Mitigated Hazard Rating
07-002	Accident/Incident Report - External	No external door release handle on all series of cars for emergency services to access stationary train without a key	Provide external door release handle on all series of cars for emergency services to access stationary train without a key. 10/2/07--Will install if determined to be feasible.	Open – Action Acceptable		4/30/2014	10/1/2013	1D - Undesirable - Management (ESC) decision	1E - Acceptable with ESC review
<p>Most Recent Update: 4/26/11- 194 of the 2k,3k,6k have been modified. Completion is expected in 9/11. 1k installation will begin 10/11. the contract for the 4k and 5k has been awarded. Installation will begin 6/11. 6/28/11- 326 of 540 installations have been completed on the 2K,3K 6K. estimated completion of 11/11. 1K installation will begin 11/11 or 12/11. 4K,5K ETP is in the approval process at this time, once approved installation will begin. 8/25/11- Status updated provided by CENV2/3K completed 162 pair or 322 cars 6K completed 35 pair or 70 cars 1K 1 pair has a proto type installed 4/5 K proto type installation scheduled this month. 12/13/11- WMATA has begun the modification of all transit car fleets to include an external emergency side door release. Currently the modifications have been completed on all Breda 2K/3K cars, and all Alstom 6K cars. The Rohr 1K cars are scheduled to begin modification January 2012. The 4K and 5K cars equipped with Faiveley doors are still in the design stage. 3/21/12- [REDACTED] advised 1K cars are expected to begin modification in April 2012 and completion in January 2013. 4K & 5K contract has been signed. An acceptable design is forthcoming</p> <p>. 9/12/07--5/21/07 submission postpones addressing the finding. Submit a date for completion.</p> <p>12/8/09--Update received. 6/11/10--Received [REDACTED] memo.</p> <p>7/16/10--Received memo from [REDACTED]</p> <p>10/19/10--Received [REDACTED] update memo.</p> <p>11/23/10--Per [REDACTED] 2k, 3k 6k mods are being done at old New Carrollton shop.</p> <p>12/14/10--Update by [REDACTED] no target date change. 1/4/13 – [REDACTED] advises that 218 cars are completed with 72 cars to go. Completion date is expected to be late March, 2013. 3/15/13-Rec'd status update 1K,2K,3K,6K are completed at this time. 4K & 5K are scheduled to complete testing by May 2013. Installation will begin at that time. Current schedule shows completion by 12/31/13 4/16/13- [REDACTED] advised the 4K installation will begin the week of 4/15/13.</p> <p>9/25/13- Status update has been requested.</p> <p>10/1/13- Status updated has been provided 82% of the entire fleet is complete, with all remaining cars to be completed by April 2014..</p>									
08-001	Accident/Incident Report - External	Promptly implement appropriate technology that will automatically alert wayside workers of approaching trains and will automatically alert train operators when approaching areas with workers on or near the tracks.	WMATA will evaluate available technology and new approaches for automatically alerting wayside workers of approaching trains and will automatically alert train operators when approaching areas with workers on or near the tracks.	Open – Action Acceptable		12/31/2016	12/20/12	1C - Unacceptable	2D - Undesirable - Management (ESC) decision

<u>WMATA CAP ID</u>	<u>CAP Source Type</u>	<u>Finding/Recommendation</u>	<u>Corrective Action Plan</u>	<u>Status</u>	<u>Responsible Person(s)</u>	<u>Estimated Completion Date</u>	<u>Date of Most Recent Update</u>	<u>Initial Hazard Rating</u>	<u>Mitigated Hazard Rating</u>
<p>Most Recent Update: 12/8/09 WMATA will provide a progress report in 3/10. 5/18/10 Evaluated technologies and have decided to try flashing amber light system. 6/11/10 Judiciary Sq to Gallary Place to be pilot. 9/14/10 [REDACTED] advised logistics being worked out. 10/19/10 [REDACTED] advised prototype parts are on order. 11/23/10 [REDACTED] advised project on schedule. 6/10/11 WMATA provided documentation to [REDACTED] of NTSB for closure. 1/27/12 D. Kubicek provided update during Safety and Security Board Meeting. 8/15/2012 [REDACTED] provided update: 02/22/2011 Amber light prototype installation was successfully tested by rail operation. 11/28/2011 WMATA developped a new design criteria for ETS and Track warning light system. 11/29/11 ETS/amber light system hazard analysis report was approved by WMATA department of SAFE. 4/25/2012 WMATA approved scope of work and specifications for systemwide installation developed by consultants. Dulles extension, Red Dupont to Silver spring, O/B line New Carrollton to National Airport amber light system are being installed. . 12/8/09--Update received.</p> <p>5/18/10--Requested letter describing analysis.</p> <p>6/11/10--Received SAFE cover sheet and D. Kubicek 20100525 memo.</p> <p>7/16/20--Received memo from [REDACTED]</p> <p>9/14/10--See WMATA comment. 10/19/10- [REDACTED] stated tht prototype parts are on order; many have already been received.</p> <p>11/23/10--Per [REDACTED] prototype should be on line 12/1/10. 12/20/12- Per R.Troup two initiatives – wayside worker portal which is being implemented and the Amber light which is being implemented in the line contracts. This is a long term installation initiative estimated completion date 12/31/2016.</p>									
08-005	Internal Safety Audits	Develop and fully implement a WMATA Hearing Conservation Program that is compliant with OSHA requirements.	WMATA will develop and fully implement a WMATA Hearing Conservation Program that is compliant with OSHA requirements.	Open – Action Acceptable	[REDACTED]	12/31/2014	12/11/2013	2C - Undesirable - Management (ESC) decision	2E - Acceptable with ESC review
<p>Most Recent Update: 1/25/12 - The hearing conservation program is currently in development. 12/19/12-The hearing conservation program is currently in development. Proposal are being reviewed at this time. 9/24/13- A budget proposal has been recommended in order to move forward on this action.</p> <p>12/11/13- The current hearing conservation program resides in the Department of Human Resources / Office of Medical where it is administered and maintained. SAFE has the authority and responsibility to ensure the program functions properly (compliance with OSHA requirements) to ensure the safety and health of our employees. Although program is not implemented, positive actions have been taken to move this CAP to completion. A complete revision of the Hearing Conservation Program policy has been develop; Operating funding and contract authority / task order are in place for K&J Engineering to begin performing gap analysis based on the draft program policy and current practices. It is anticipated this gap analysis with recommendations will be completed within first quarter of 2014. Based on this gap analysis findings, SAFE will work with Medical (and all affected Departments) to bring the program into full implementation and maturity; correcting all reported deficiencies. Until this report is issue, it is difficult to provide a more accurate completion date, however SAFE will provide one after the final report is issued.</p>									
10-042	Accident/Incident Report - External	Conduct a comprehensive safety analysis of the Metrorail automatic train control system to evaluate all foreseeable failures of this system that could result in a loss of train separation, and work with your train control equipment manufacturers to address in that analysis all potential failure modes that could cause a loss of train detection, including parasitic oscillation, cable faults and placement, and corrugated rail.	WMATA will conduct a comprehensive safety analysis of the automatic train control system to evaluate all foreseeable failures of the system that could result in a loss of train separation, and work with the train control equipment manufacturers to address in the analysis all potential failure modes that could cause a loss of train detection, including parasitic oscillation, cable faults and placement, and corrugated rail.	Open – Action Acceptable	[REDACTED]	6/30/2014	1/8/2014	1B - Unacceptable	1D - Undesirable - Management (ESC) decision

<u>WMATA CAP ID</u>	<u>CAP Source Type</u>	<u>Finding/Recommendation</u>	<u>Corrective Action Plan</u>	<u>Status</u>	<u>Responsible Person(s)</u>	<u>Estimated Completion Date</u>	<u>Date of Most Recent Update</u>	<u>Initial Hazard Rating</u>	<u>Mitigated Hazard Rating</u>
<p>Most Recent Update: 1/26/12- D. Kubicek gave update during safety and security board report. 8/28/12- ██████ provided the following update Hatch Mott MacDonald has experienced delay and lack of availability in obtaining documentation for the Alstom Generation III AFTC and onboard ATC equipment. Completion date has been revised to 3/31/13 . 12/17/12 Hatch Mott MacDonald is working with Alstom and Ansaldo STS to obtain the missing FEMAs for wayside and vehicle equipment. An interim final report based on all existing documentation will be delivered by 3/31/13. The report will be updated with final information obtained from the suppliers by the end of 2013. 3/15/13- Interim final reports for the Wayside ATC Subsystem Hazard Analysis, Carbourne ATC Subsystem Analysis, Operating and Support Hazard Analysis, and Interface Hazard Analysis have been submitted by Hatch Mott MacDonald, and the findings/recommendations in each report are under review by ATCS and CENV. The required scope of work, schedule and cost to address the findings presented in the interim final reports will be determined and initiated by 6/30/2013. Final reports are scheduled for delivery by 9/31/2013.</p> <p>12/20/13- WMATA has contracted with a 3rd party Engineering firm which is moving forward with a multi- phased Hazard Analysis. WMATA has met with NTSB representatives and provided a technical presentation anticipated follow-up technical presentation in April 2014.</p> <p>1/8/14- Extension request was made to GM/CEO to extend completion date until 6/30/14. GM/CEO approved extension request..</p>									
10-043	Accident/Incident Report - External	Based on the findings of the safety analysis recommended in R-10-12 incorporate the design, operational, and maintenance controls necessary to address potential failures in the automatic train control system.	WMATA will incorporate the design, operational, and maintenance controls necessary to address potential failures in the automatic train control system.	Open – Action Acceptable	Troup	6/30/2014	1/8/2014	1C - Unacceptable	1E - Acceptable with ESC review
<p>Most Recent Update: 1/26/12- D. Kubicek gave update during safety and security board report. 8/28/12- Draft System Safety Analysis was delivered to WMATA on June 20, 2012. The review and coordination of the findings are being developed. Expectation is to have an executable plan completed by 12/2012. 12/17/12 Findings for the ATC System Safety Analysis on documentation reviewed to date will be provided in the interim final report by 3/31/13. An executable plan will be developed based on those findings by 6/30/2013. 3/15/13- Interim final reports for the Wayside ATC Subsystem Hazard Analysis, Carbourne ATC Subsystem Analysis, Operating and Support Hazard Analysis, and Interface Hazard Analysis have been submitted by Hatch Mott MacDonald, and the findings/recommendations in each report are under review by ATCS and CENV. The required scope of work, schedule and cost to address the findings presented in the interim final reports will be determined and initiated by 6/30/2013. Final reports are scheduled for delivery by 9/31/2013.</p> <p>12/20/13- WMATA has contracted with a 3rd party Engineering firm which is moving forward with a multi- phased Hazard Analysis. WMATA has met with NTSB representatives and provided a technical presentation anticipated follow-up technical presentation in April 2014.</p> <p>1/8/14- Extension request was made to GM/CEO to extend completion date until 6/30/14. GM/CEO approved extension request..</p>									
10-046	Accident/Incident Report - External	Require that your safety department; representatives of the operations, maintenance, and engineering departments; and representatives of labor organizations regularly review recorded operational data from Metrorail train onboard recorders and the Advanced Information Management system to identify safety issues and trends and share the results across all divisions of your organization.	WMATA will require that the safety department; representatives of the operations, maintenance, and engineering departments; and representatives of labor organizations regularly review recorded operational data from onboard recorders and the Advanced Information Management system to identify safety issues and trends and share the results across all divisions of the organization.	Open – Action Acceptable	██████	6/30/2014	12/09/2013	3C - Undesirable - Management (ESC) decision	3D - Acceptable with ESC review

<u>WMATA CAP ID</u>	<u>CAP Source Type</u>	<u>Finding/Recommendation</u>	<u>Corrective Action Plan</u>	<u>Status</u>	<u>Responsible Person(s)</u>	<u>Estimated Completion Date</u>	<u>Date of Most Recent Update</u>	<u>Initial Hazard Rating</u>	<u>Mitigated Hazard Rating</u>
<p>Most Recent Update: 6/10/11- WMATA provided documentation to ████████ of NTSB for closure. 1/27/12-Waiting response from NTSB. 3/27/12- WMATA still awaiting response from NTSB. 6/25/12- WMATA still awaiting response from NTSB. 8/28/12-WMATA rec'd letter from NTSB advising additional documentation must be provided prior to closing this item. 7/23/13- The requested additional information is currently being gathered. Upon completion information will be forwarded to the NTSB.</p> <p>12/9/13 A Safety Data Trend (SDT) Committee has been established to identify negative, neutral, and positive trends produced from data obtained from the Advanced Information Management System (AIMS) and Vehicle Monitoring System (VMS) for the purpose of sharing results across all divisions within WMATA. The SDT Committee consists of representatives from the following groups within the organization: Safety (SAFE), Rail Transportation (RTRA), Car Maintenance (CMNT), Automatic Train Control Engineering (ATC), Chief Engineering Vehicles (CENV), Information Technology (IT), and Local 689..</p>									
10-047	Accident/Incident Report - External	Develop and implement a non-punitive safety reporting program to collect reports from employees in all divisions within your organization, and ensure that the safety department; representatives of the operations, maintenance, and engineering departments; and representatives of labor organizations regularly review these reports and share the results of those reviews across all divisions of your organization.	WMATA will develop and implement a non-punitive safety reporting program to collect reports from employees in all divisions within the organization, and ensure that the safety department; representatives of the operations, maintenance, and engineering departments; and representatives of labor organizations regularly review these reports and share the results of those reviews across all divisions of the organization.	Open – Action Acceptable	Troup	6/30/2014	1/7/2014	1D - Undesirable - Management (ESC) decision	1E - Acceptable with ESC review
<p>Most Recent Update: 7/17/12 ████████ gave update during CAPTURE meeting. He advised monthly interdepartmental meetings are currently taking place. 12/18/12-The DGMO meetings with the ATU Local 689 continue. Services to support the process are currently being established. 1/25/13 - ████████ reported a 60 day notice was published in the Federal Register regarding the program. The Close Call Working Group has been meeting regularly and has completed 50% of the MOU. Drafted cooperative agreement with the Bureau of Transportation Statistics and Logistics. Currently under review by COUN. Implementation planned for Spring/Early Summer 2013. Completion date should remain the same. 4/16/13- Update was provided The Cooperative Agreement between WMATA and the RITA Bureau of Transportation Statistics (BTS) was fully executed on March 18. BTS will develop, implement and manage the program on behalf of WMATA, including capturing confidential data that would otherwise not be captured. BTS is currently putting contracts into place to support the project. The Close Call Steering Committee has been meeting regularly and has completed 90% of the MOU. A project timeline has been established, with Peer Review Team selection and participant training in April through June. Implementation is planned for Summer 2013. 5/22/13- Closure documentation was submitted to the NTSB. 10/24/13- NTSB advised recommendation should remain open pending the implementation of a permanent program. 12/9/13-NTSB provided response to WMATA's submission of pilot close call program. NTSB advised they would like to see result of pilot program before formally closing recommendation. 1/7/14- Extension request was made to GM/CEO to extend completion date until 6/30/14. GM/CEO approved extension request..</p>									
10-050	Accident/Incident Report - External	Remove all 1000-series railcars as soon as possible and replace them with cars that have crashworthiness collision protection at least comparable to the 6000series railcars.	WMATA will remove all 1000-series railcars as soon as possible and replace them with cars that have crashworthiness collision protection at least comparable to the 6000series railcars.	Open – Action Acceptable	Troup	3/31/2014	3/27/14	1D - Undesirable - Management (ESC) decision	1E - Acceptable with ESC review

<u>WMATA CAP ID</u>	<u>CAP Source Type</u>	<u>Finding/Recommendation</u>	<u>Corrective Action Plan</u>	<u>Status</u>	<u>Responsible Person(s)</u>	<u>Estimated Completion Date</u>	<u>Date of Most Recent Update</u>	<u>Initial Hazard Rating</u>	<u>Mitigated Hazard Rating</u>
<p>Most Recent Update: 1/26/12- D. Kubicek gave update during safety and security board report. 12/18/12- 7K Cars – Option exercised. 7K cars to replace 1K vehicles in a phased approach. 7/23/13- The first set of railcars are scheduled to be rec'd in the first quarter of 2014.</p> <p>3/27/14-Test 7K cars are currently in testing. Railcars have been viewed by NTSB and TOC.</p>									
10-051	Accident/Incident Report - External	Ensure that the lead married-pair car set of each train is equipped with an operating onboard event recorder.	WMATA will ensure that the lead married-pair car set of each train is equipped with an operating onboard event recorder.	Open – Action Acceptable	Reynolds	6/30/2015	1/7/2014	3C - Undesirable - Management (ESC) decision	3D - Acceptable with ESC review
<p>Most Recent Update: 1/26/12- D. Kubicek gave update during safety and security board report. 7/17/12- [REDACTED] gave update during CAPTURE meeting. He advised a contract for the 1K and 4K cars has been awarded. It is expected that the final design review will be completed in 60 days . 12/18/12- Contract Awarded To SEPSA to Equip 1K & 4K Cars, CIP139-19, Final Design review complete. FAI is scheduled for Feb.2013. 3/15/13-Technical issues were encountered while conducting testing. The new FAI date is 4/22/13 pending the resolution identified proves successful. As a result of the new FAI the project is delayed. 9/25/13- Status update has been requested.</p> <p>10/1/13- Status update has been provided. Currently the testing stage of the new hardware/software is nearing completion. There are three ETPs (one for each fleet) documenting the testing: ETP 180367 for the 2000 and 3000 Series Railcar Fleet, ETP 160117 for the 5000 Series Railcar Fleet, ETP 150080 for the 6000 Series Railcar Fleet.</p> <p>Three cycles of testing have been performed with the new hardware and software-- one in November 2012, one in February 2013 and one in April 2013. All three sequences of this testing was unsuccessful at some level. The unified software is functional when installed on existing processor boards on the 6000 and 2000/3000 Series fleets. The 5000 Series fleet requires new processor boards and these new boards will be the spare parts for all Series moving forward. This new hardware combined with the new software experienced lock ups. The root cause of the lock ups was identified during the February 2013 testing in the unexpectedly high volume of signal changes being received for processing by the recorder. This higher volume of signals was first addressed with software modifications that were tested on WMATA cars April 16th through April 26th, 2013. At the conclusion of this testing it was determined that additional hardware changes to the processor board would be required. A final testing sequence with the latest software and hardware revisions was tested June 6th through June 14th. This testing was successful and the test cars have been operating without lock-ups since June. The testing is being expanded to 20 married pair of each fleet, with a priority given to the 5000 Series Fleet, to validate the stability of the event recorders and to transition into the fleet wide installation. The supplier will have production hardware prepared for a First Article Inspection by December 31st, 2013.</p> <p>Implementation schedule will depend on final testing and successful acceptance of the First Article Inspection (FAI).</p> <p>Upon completion, the three railcar series will have the latest hardware, increased memory for data storage, a unified signal list and a single user interface for maintenance and engineering personnel.</p> <p>1/7/14- 'Extension request was made to GM/CEO to extend completion date until 6/30/15. GM/CEO approved extension request.</p>									
10-052	Accident/Incident Report - External	Develop and implement a program to monitor the performance of onboard event recorders and ensure they are functioning properly.	WMATA will develop and implement a program to monitor the performance of onboard event recorders and ensure they are functioning properly.	Open – Action Acceptable	Reynolds	12/31/2014	1/7/2014	4C - Acceptable without review	4D - Acceptable without review

WMATA CAP ID	CAP Source Type	Finding/Recommendation	Corrective Action Plan	Status	Responsible Person(s)	Estimated Completion Date	Date of Most Recent Update	Initial Hazard Rating	Mitigated Hazard Rating
<p>Most Recent Update: 1/26/12- D. Kubicek gave update during safety and security board report. 12/18/12-CIP139-20 to make all VMS software and hardware common across fleets. Testing for common signal lists ongoing. 4/16/13-Updated was provided Current work remains in the testing stage of the new hardware/software. There are three ETPs (one for each fleet) documenting the testing: ETP 180367 for the 2000 and 3000 Series Railcar Fleet, ETP 160117 for the 5000 Series Railcar Fleet, ETP 150080 for the 6000 Series Railcar Fleet.Two cycles of testing have been performed with the new hardware and software-- one in November 2012 and one in February 2013. Neither sequence of testing was successful. The unified software is functional when installed on existing processor boards on the 6000 and 2000/3000 Series fleets. The 5000 Series fleet requires new processor boards and these new boards will be the spare parts for all Series moving forward. This new hardware combined with the new software experienced lock ups. The root cause of the lock ups has been identified in the unexpectedly high volume of signal changes being received for processing by the recorder. This higher volume of signals has now been incorporated into the lab testing of the new hardware/software combination at the supplier. The next cycle of testing on WMATA cars is planned for April 16th through April 26th, 2013. Upon successful demonstration of the functionality, the testing will be expanded to as many as 20 cars of each fleet, with a priority given to the 5000 Series Fleet, to validate the stability of the event recorders and to transition into the fleet wide installation. The current implementation schedule would begin fleet wide installation during the week of June 17th. The 5000 Series fleet will be prioritized as it has the oldest hardware. Installation will begin with one railcar pair at a time and ramp up to two pairs per day. The 5000 Series (192 cars) is scheduled to be updated by December 2013; the 2000/3000 (364 cars) Series installations are scheduled to take place between August 2013 and October 2014; the 6000 Series installations are scheduled to take place between January and September 2014.</p> <p>Upon completion, the three railcar series will have the latest hardware, increased memory for data storage, a unified signal list and a single user interface for maintenance and engineering personnel.</p> <p>9/25/13- Status update has been requested.. 9/25/13- Status update has been requested.</p> <p>10/1/13- Status update has been provided. Currently the testing stage of the new hardware/software is nearing completion. There are three ETPs (one for each fleet) documenting the testing: ETP 180367 for the 2000 and 3000 Series Railcar Fleet, ETP 160117 for the 5000 Series Railcar Fleet, ETP 150080 for the 6000 Series Railcar Fleet.</p> <p>Three cycles of testing have been performed with the new hardware and software-- one in November 2012, one in February 2013 and one in April 2013. All three sequences of this testing was unsuccessful at some level. The unified software is functional when installed on existing processor boards on the 6000 and 2000/3000 Series fleets. The 5000 Series fleet requires new processor boards and these new boards will be the spare parts for all Series moving forward. This new hardware combined with the new software experienced lock ups. The root cause of the lock ups was identified during the February 2013 testing in the unexpectedly high volume of signal changes being received for processing by the recorder. This higher volume of signals was first addressed with software modifications that were tested on WMATA cars April 16th through April 26th, 2013. At the conclusion of this testing it was determined that additional hardware changes to the processor board would be required. A final testing sequence with the latest software and hardware revisions was tested June 6th through June 14th. This testing was successful and the test cars have been operating without lock-ups since June. The testing is being expanded to 20 married pair of each fleet, with a priority given to the 5000 Series Fleet, to validate the stability of the event recorders and to transition into the fleet wide installation. The supplier will have production hardware prepared for a First Article Inspection by December 31st, 2013.</p> <p>Implementation schedule will depend on final testing and successful acceptance of the First Article Inspection (FAI).</p> <p>Upon completion, the three railcar series will have the latest hardware, increased memory for data storage, a unified signal list and a single user interface for maintenance and engineering personnel..</p>									
10-119	TOC Triennial Audit	HIRM (Hazard Identification and Resolution Matrix) items remain open.	This finding is tied into the Hazard Management module of SMS which is currently in development and is scheduled for release in July 2012 . TOC will be allowed to review this System once it is fully operational to verify that information is being incorporated into the hazard management program.	Open – Action Acceptable		4/30/2014	3/14/2014	1C - Unacceptable	2C - Undesirable - Management (ESC) decision

<u>WMATA CAP ID</u>	<u>CAP Source Type</u>	<u>Finding/Recommendation</u>	<u>Corrective Action Plan</u>	<u>Status</u>	<u>Responsible Person(s)</u>	<u>Estimated Completion Date</u>	<u>Date of Most Recent Update</u>	<u>Initial Hazard Rating</u>	<u>Mitigated Hazard Rating</u>
<p>Most Recent Update: 6/22/11 SAFE submitted letter to TOC to close CAP. Currently under TOC review 7/28/11- Documentation under TOC review. 1/30/12-This CAP is tied into the Hazard Management of SMS which is currently in development 12/21/12-Upon full implementation of SMS this CAP will be resolved. 7/23/13- The SMS procedure is still in development at this time.</p> <p>12/19/13-TOC advised they would like to have a demo of the Hazard Management module implementation prior to closure of CAP.</p> <p>2/27/14- TOC is scheduled for demo on 3/14/14. CAP will be resolved at that time.</p> <p>3/14/14-TOC rec'd Hazard Management Demo/Training along with training manual as requested. WMATA is waiting for TOC disposition on this CAP at this time.. To close this finding, WMATA must:</p> <ul style="list-style-type: none">- Implement the new hazard management process specified in Deficiency 6-1.- Develop a formal written process to guide the resolution and closure of hazardous conditions noted on the HIRM.- Provide the formal, written process to TOC. <p>11/21/13- Closure documnetation has been provided to the TOC. Closure is pending TOC review.</p>									
10-120	TOC Triennial Audit	Environmental issues are not addressed or included in hazard management.	11/23/10--SAFE is developing a Safety Measurement IT System that will incorporate hazard program information collected from multiple sources including the IH Tracking Matrix. TOC will be allowed to review this System once it is fully operational to verify that information from the IH Tracking Matrix is being incorporated into the hazard management program.	Open – Action Acceptable	<div></div>	4/30/2014	3/14/2014	1D - Undesirable - Management (ESC) decision	1E - Acceptable with ESC review
<p>Most Recent Update: The Safety Measurement System remains under development. Beta testing of the hazard analysis module of the system began November 8, 2010. 6/22/11 SAFE submitted letter to TOC to close CAP. Currently under TOC review 7/28/11- Documentation under TOC review 1/30/12-This CAP is tied into the Hazard Management of SMS which is currently in development 12/21/12-Upon full implementation of SMS this CAP will be resolved. 7/23/13- The SMS procedure is still in development at this time.</p> <p>12/19/13-TOC advised they would like to have a demo of the Hazard Management module implementation prior to closure of CAP.</p> <p>2/27/14- TOC is scheduled for demo on 3/14/14. CAP will be resolved at that time.</p> <p>3/14/14-TOC rec'd Hazard Management Demo/Training along with training manual as requested. WMATA is waiting for TOC disposition on this CAP at this time.. To close this finding, WMATA must:</p> <ul style="list-style-type: none">- Develop a formal written policy or procedure integrating the information collected in the Industrial Hygiene Tracking Matrix into the WMATA hazard management program.- Provide the formal written policy or procedure to TOC.									
10-176	TOC Triennial Audit	Many Communications Technicians have not received classroom training on the 490 MHz radio system.	11/23/10--WMATA Status Summarized: <ul style="list-style-type: none">• The COMM Radio Instructor has identified that the original vendor training was presented in approximately 14 modules, each generally 1 to 2 days in length.• The COMM Radio Instructor has been supplied with the vendor materials, and is currently examining and editing the materials, with the goal of achieving a finalized course, with a determined length.• The COMM Radio Instructor has identified the absence of training materials related to the underground portion of the system, and will have to create these.• Estimated completion date of all curriculum related to the CRCS (490 MHz System) is February 2011.	Open – Action Acceptable	Petersen	6/30/2014	12/19/2013	2C - Undesirable - Management (ESC) decision	2E - Acceptable with ESC review

<u>WMATA CAP ID</u>	<u>CAP Source Type</u>	<u>Finding/Recommendation</u>	<u>Corrective Action Plan</u>	<u>Status</u>	<u>Responsible Person(s)</u>	<u>Estimated Completion Date</u>	<u>Date of Most Recent Update</u>	<u>Initial Hazard Rating</u>	<u>Mitigated Hazard Rating</u>
<p>Most Recent Update: 6/14/11 CENI provided syllabi for CRCS courses and training schedule. Expected completion 12/31/11. 7/17/12- [REDACTED] advised the original course materials have been received and are being expanded and implemented by COMM trainer. 12/18/12 A extension request was granted for 490MHz Training in conjunction with the OIG CAP10-234 , which extended the completion date for the creation of this training to 063014. 1/25 [REDACTED] reports that a new Radio Communications Instructor was hired & started on January 7, 2013. The new Instructor is currently working to create the remaining 490MHz Training Modules (Courses), identified by the previous instructor, with a goal to begin 490 MHz instruction in April, 2013. The completion date remains the same.</p> <p>12/19/13- Closure documentation has been provided to the TOC. Closure is pending TOC review.. To close this finding, WMATA must:</p> <ul style="list-style-type: none"> - Devise a schedule for the completion of classroom training on the 490 MHz radio system for all communications technicians. - Provide the written schedule to TOC. - Upon completion of classroom training, provide TOC with evidence that all training has been completed. <p>12/17/10--Please also provide the target date for the completion of the training program, in addition to just the curriculum..</p>									
10-189	TOC Triennial Audit	While WMATA appears to be formalizing training records within a new data system, many records for (particularly) long-time employees are unavailable for review.	11/23/11--CENV/TTDC will develop a written plan to ensure all employee training records are available for review as an interim solution until PeopleSoft 7 training module is implemented. (January 2011). HR will also be implementing PeopleSoft 9.1 and the 9.0 version of the Enterprise Learning Module beginning January 2011. Implementation of eLM is undetermined.	Open – Action Acceptable	Moore- McGee	3/30/2014	3/31/2014	4B - Acceptable with ESC review	4D - Acceptable without review
<p>Most Recent Update: 11/23/11--SAFE has evaluated this finding using a hazard analysis approach and has determined that it does not present a hazard or threat to the system. Given the negligible safety nature of this finding, WMATA requests that it be closed at this time. 12/18/12- Upon completion of the installation of the Enterprise Learning Module and PeopleSoft employee training records will be open for review. Procedure is under development. . To close this finding, WMATA must:</p> <ul style="list-style-type: none"> - Develop a plan, policy, or procedure to ensure that all employee training records are available for review as an interim solution until the new data system is implemented. - Provide the written plan to TOC. - Provide TOC with evidence that the training records have become available. <p>12/17/10 Providing that the steps outlined under notes for Hazard Closure [CAP] are carried out, this solution is acceptable. 9/25/13- Status update has been requested.</p> <p>10/17/13- The implementation of the eLM is scheduled for March 2014. This item will be resolved at that time. 3/27/14-ELM will be implemented on 3/31/14. Documentation will be provided to the TOC..</p>									
10-204	TOC Triennial Audit	Although an automated Access database process is under development, verification of inspector training and certification completion by required due dates is currently a manual process involving review of individual personnel training files.	11/23/10--WMATA continues to implement the automated Access database process for tracking training data. HR will also be implementing PeopleSoft 9.1 and the 9.0 version of the Enterprise Learning Module beginning January 2011. Implementation of eLM is undetermined.	Open – Action Acceptable	Moore- McGee	3/30/2014	3/31/2013	4D - Acceptable without review	4E - Acceptable without review

<u>WMATA CAP ID</u>	<u>CAP Source Type</u>	<u>Finding/Recommendation</u>	<u>Corrective Action Plan</u>	<u>Status</u>	<u>Responsible Person(s)</u>	<u>Estimated Completion Date</u>	<u>Date of Most Recent Update</u>	<u>Initial Hazard Rating</u>	<u>Mitigated Hazard Rating</u>
Most Recent Update: 12/18/12- This CAP is still in development. . To close this finding, WMATA must: - Continue the implementation of the automated Access database process to automatically track completion of training requirements prior to due dates. - Provide TOC with documentation verifying the implementation of the new tracking process. 9/25/13- Status update has been requested. 12/17/10--Could be closed pending implementation of training database.10/17/13- The implementation of the eLM is scheduled for March 2014. This item will be resolved at that time. 3/27/14-ELM will be implemented on 3/31/14. Documentation will be provided to the TOC..									
10-217	TOC Triennial Audit	WMATA lacks a formal plan, policy or procedure to help ensure compliance with employee training and certification requirements.	11/23/10--WMATA to develop a plan that directs the monitoring of compliance with employee training and certification requirements. The completed plan will be provided to TOC. HR , in collaboration with TIES shall define and evaluate the existing business, defined revised procedures to identify training sponsors within Metro, evaluate existing business processes to monitor compliance, draft and implement new policy, identify out of compliance population based by training/certification requirements and remediate.	Open – Action Acceptable	Moore- McGee	3/30/2014	3/27/2014	3D - Acceptable with ESC review	3E - Acceptable with ESC review
Most Recent Update: 12/18/12- This CAP is still in development. To close this finding, WMATA must: - Develop a plan, policy, or procedure that directs the monitoring of compliance with employee training and certification requirements. - Provide the written plan to TOC. 10/17/13- The implementation of the eLM is scheduled for March 2014. This item will be resolved at that time. 3/27/14-ELM will be implemented on 3/31/14. Documentation will be provided to the TOC.									
10-218	TOC Triennial Audit	WMATA does not yet have a compliant CM program or a plan for its achievement.	11/23/10--CENV response: The foundation of CM for railcars is based on OPA 200-6, Engineering Modification Instruction. CENV will work with CENI to develop a configuration management implementation plan with an overall timeframe and intermediate milestones that fully achieves the purpose of P/I 4.10/2. The Schedule of development is" 1. Develop SOP(s) – 3 months. 2. Develop Engineering Documentum Workflows – 6 months. 3. Training on the use of Documentum Workflows – 3 months 4. Pilot phase – 2-months 5. Deploy CM program Total Estimated Schedule - 14months CENI will reorganize with a sub organization specific to Configuration Management. Configuration Management will team will develop standards and protocols for CAD drawings, filing and software revisions, both vital and non-vital. This will be completed by January 2012. Responsible party is R. Troup.	Open – Action Acceptable	Bitar	3/31/2014	3/27/2014	3C - Undesirable - Management (ESC) decision	3E - Acceptable with ESC review

<u>WMATA CAP ID</u>	<u>CAP Source Type</u>	<u>Finding/Recommendation</u>	<u>Corrective Action Plan</u>	<u>Status</u>	<u>Responsible Person(s)</u>	<u>Estimated Completion Date</u>	<u>Date of Most Recent Update</u>	<u>Initial Hazard Rating</u>	<u>Mitigated Hazard Rating</u>
<p>Most Recent Update: 11/23/10--Existing Related CAP: 2007-4. IT has a CM process that includes workflows, control points and stakeholder signoffs for hardware and software changes. IT has instituted a Change Control Board that meets weekly. IT's plan and milestones for meeting WMATA's CMP includes: (1) Completing SDLC Processes/phase activities - requirements, CCB, signoffs, approvals by October 2011. (2) Conduct analysis to understand and design/redesign an integrated CM process by June 2011. (3) Develop/update integrated CMP through a coordinated WMATA effort by August 2011. (4) Update Professionals' Guide to IT Standards and Services for Metro by February 2011. (5) Develop/update IT-related policy for Configuration Management by February 2011. (6) Approve IT-related CM Policy by June 2011. 6/28/11 CENI provided update on progress advised project is on target. 8/28/12- Closure documentation was provided to the TOC during the CAPTURE meeting. TOC advised they will review and advise of outcome.10/1/12-Comment sheet rec'd from TOC regarding documentation provided for closure. WMATA will review and answer questions. 12/18/12- Per [REDACTED] WMATA is utilizing Documentum to manage and control documents such as, EMIs, ERs, MSIs, etc. PAF is a new parts control system (June 18, 2012).. To close this finding, WMATA must:</p> <ul style="list-style-type: none"> - Develop a configuration management implementation plan with an overall timeframe and intermediate milestones that fully achieves the purpose of P/I 4.10/2. - Provide the plan to TOC. <p>12/17/10--WMATA Actions (CAP) statement appears adequate. TOC requests regular reports of activities and outputs to track progress. We request that TOC also be invited to periodic meetings held to address configuration management as a means of monitoring WMATA's progress in achieving full compliance with TOC requirements and WMATA's SSPP. 7/23/13- TOC provided comment sheets requesting additional information. The requested information is currently being gathered and will be provided to the TOC.</p> <p>11/21/13- TOC advised during CAPTURE meeting they are currently reviewing this CAP for closure. Item stand under TOC review at this time.</p> <p>12/19/13-CAP is stil under TOC review at this time.</p> <p>2/27/14- WMATA is still awaiting TOC review for closure.</p> <p>3/27/14-Per meeting minutes from 2/27/14 CAPTURE TOC is reviewing this item further</p>									
10-219	TOC Triennial Audit	CM initiatives of other WMATA departments need to be addressed as part of an overall WMATA CM Plan.	<p>11/23/10--CENV response: The foundation of CM for railcars is based on OPA 200-6, Engineering Modification Instruction. CENV will work with CENI to develop a configuration management implementation plan with an overall timeframe and intermediate milestones that fully achieves the purpose of P/I 4.10/2. The Schedule of development is"</p> <ol style="list-style-type: none"> 1. Develop SOP(s) – 3 months. 2. Develop Engineering Documentum Workflows – 6 months. 3. Training on the use of Documentum Workflows – 3 months 4. Pilot phase – 2-months 5. Deploy CM program <p>Total Estimated Schedule - 14months</p> <p>CENI will reorganize with a sub organization specific to Configuration Management. Configuration Management will team will develop standards and protocols for CAD drawings, filing and software revisions, both vital and non-vital. This will be completed by January 2012. Responsible party is R. Troup.</p>	Open – Action Acceptable	Bitar	3/31/2014	3/27/2014	3C - Undesirable - Management (ESC) decision	3E - Acceptable with ESC review

<u>WMATA CAP ID</u>	<u>CAP Source Type</u>	<u>Finding/Recommendation</u>	<u>Corrective Action Plan</u>	<u>Status</u>	<u>Responsible Person(s)</u>	<u>Estimated Completion Date</u>	<u>Date of Most Recent Update</u>	<u>Initial Hazard Rating</u>	<u>Mitigated Hazard Rating</u>
<p>Most Recent Update: 11/23/10--SSPP updated to reflect TOC, FTA and WMATA SAFE findings and recommendations. Draft of revised SSPP completed September 30, 2010, and is currently being reviewed internally by WMATA. Final draft SSPP to be provided to TOC by January 1, 2011. 8/28/12- Closure documentation was provided to the TOC during the CAPTURE meeting. TOC advised they will review and advise of outcome. 9/25/12- Still under TOC review. 10/1/12- Comment sheet rec'd from TOC regarding documentation provided for closure. WMATA will review and answer questions. 12/18/12- Per [REDACTED] Much of The CENV CM is Complete. Need to include In The System-wide Plan. To close this finding, WMATA must:</p> <ul style="list-style-type: none">- Revise the CM plan to ensure that it fully addresses CM initiatives of all appropriate WMATA departments and provide the revised CM plan to TOC.- Revise the WMATA SSPP to accurately reflect the WMATA CM program and provide the revised SSPP to TOC. 12/17/10--WMATA Actions (CAP) statement appears adequate. TOC requests regular reports of activities and outputs to track progress. We request that TOC also be invited to periodic meetings held to address configuration managemt as a means of monitoring WMATA's progress in achieving full compliance with TOC requirements and WMATA's SSPP. 7/23/13- TOC provided comment sheets requesting additional information. The requested information is currently being gathered and will be provided to the TOC. <p>11/21/13- TOC advised during CAPTURE meeting they are currently reviewing this CAP for closure. Item stand under TOC review at this time.</p> <p>12/19/13-CAP is still under TOC review at this time.</p> <p>2/27/14- WMATA is still awaiting TOC review for closure.</p> <p>3/27/14-Per meeting minutes from 2/27/14 CAPTURE TOC is reviewing this item further.</p>									
11-125	Internal Safety Audits	SCADA systems are not properly identified as SCADA and are compartmentalized SCADA systems: 1. TIES SCADA a. ELES (This system must be maintained and monitored separately to conform tyo federal law) b. AIM, including Automatic Train Control, in train control rooms, ROCS: and power management and distribution c. Advanced energy d. ADT alarm and security camera system 2. PLNT SCADA system--control energy management (Lighting at stations and facilities) 3. PIDS (currently protected fully through MITS).	Ensure proper identification of all SCADA systems and consolidation of their security through MITS. The audit team recommends this be accomplished through the following steps: 1. Development of thorough and detailed interdepartmental procedures for coordination of efforts for SCADA. 2. Documentation of all SCADA activities on an open log(can be accessed by both the users and MITS) with exception of protected operational activities only for ELES-all user activities should be logged for review by MITS. 3. Ongoing and open discussion of security issues on the SCADA systems for users and MITS.	Open – Action Acceptable	IT--Kevin Borek	6/30/2014	1/27/2014	4D - Acceptable without review	4E - Acceptable without review

<u>WMATA CAP ID</u>	<u>CAP Source Type</u>	<u>Finding/Recommendation</u>	<u>Corrective Action Plan</u>	<u>Status</u>	<u>Responsible Person(s)</u>	<u>Estimated Completion Date</u>	<u>Date of Most Recent Update</u>	<u>Initial Hazard Rating</u>	<u>Mitigated Hazard Rating</u>
<p>Most Recent Update: 12/13/12-ISSA Team met with IT as part of the current IT Audit. IT advised draft documents are being completed at this time upon completion they will circulated for signature. Expected date of completion is 3/31/13. ISSA Team granted extension request. 3/25/13- This CAP was revisted during the recent ISSA of IT (March 2013). A leadership change of the IT Security group is now in place. ISSA Team agreed to extend completion date. IT agreed to provide milestone toward completion . 9/25/13- Status update has been requested. 10/17/13- Draft SOP has been created and is currently being reviewed by the ISSA Team for comments. 12/19/13-The ISSA team has reviewed draft SOP that was submitted by IT. There are several comments and questions that must be resolved. IT management advised they will need to hire additional personnel in order to complete this project. Extension request was submitted. 1/27/14-AGM/CIO making extension request to GM/CEO for extension.</p>									
11-129	Internal Safety Audits	IT does not currently comply with the WMATA Safety and Security Certification program.	a.Ensure that Safety and Security critical software is fully identified and documented. B. Ensure that a design and testing plan & procedures are fully documented. C. Ensure that a fully documented disposal plan for sensitive electronic equipment and devices is developed and implemented to ensure that the equipment cannot be mined. d. Ensure that Life Cycle management is integrated into all aspects of IT operations and management. A life cycle program plan should be in place for all major acquisitions. e. Vulnerabilities in acquisition must be managed through an apporpriate Risk Management Program	Open – Action Acceptable	IT--Kevin Borek	6/30/2014	3/25/2013	3D - Acceptable with ESC review	
<p>Most Recent Update: 12/13/12-ISSA Team met with IT as part of the current IT Audit. IT advised draft documents are being completed at this time upon completion they will circulated for signature. Expected date of completion is 3/31/13. ISSA Team granted extension request. 3/25/13- This CAP was revisted during the recent ISSA of IT (March 2013). A leadership change of the IT Security group is now in place. ISSA Team agreed to extend completion date. IT agreed to provide milestone toward completion .</p>									
12-004	Internal Safety Audits	Develop, train on and exercise annually a departmental COOP.	Develop, train on and exercise annually a departmental COOP.	Open – Action Acceptable	CENI-Viner	4/30/2014	3/28/2014	3D - Acceptable with ESC review	
<p>Most Recent Update: 3/28/14- COOP is completed. Waiting for completion of Table-top exercise on Monday, March 31st. Once table-top is complete an after action report will be drafted by OEM for submittal to SAFE for closure consideration. .</p>									
12-005	Internal Safety Audits	Develop and implement full life-cycle planning for infrastructure elements supported by CENI.	Develop and implement full life-cycle planning for infrastructure elements supported by CENI.	Open – Action Acceptable	CENI-[REDACTED]	3/31/2015	3/28/2014	3D - Acceptable with ESC review	
<p>Most Recent Update: 3/28/14- CENI staff currently working towards completion of closure documentation.</p>									

<u>WMATA CAP ID</u>	<u>CAP Source Type</u>	<u>Finding/Recommendation</u>	<u>Corrective Action Plan</u>	<u>Status</u>	<u>Responsible Person(s)</u>	<u>Estimated Completion Date</u>	<u>Date of Most Recent Update</u>	<u>Initial Hazard Rating</u>	<u>Mitigated Hazard Rating</u>
12-006	Internal Safety Audits	Ensure that all TSSM/PWR, ATC, & COMM engineering requests are documented and addressed in a timely manner. In addition, ensure that all inquiries, communiques and requests from stakeholder departments regarding acceptance, reliability and maintainability, including during the SSC process, are addressed in a timely manner.	Ensure that all TSSM/PWR, ATC, & COMM engineering requests are documented and addressed in a timely manner. In addition, ensure that all inquiries, communiques and requests from stakeholder departments regarding acceptance, reliability and maintainability, including during the SSC process, are addressed in a timely manner.	Open – Action Acceptable	CENI [REDACTED]	3/31/2015	3/28/2014	3D - Acceptable with ESC review	
Most Recent Update: 3/28- CENI staff currently working towards completion of closure documentation.									
12-007	Internal Safety Audits	Ensure that safety & security criticality methodologies are properly documented in departmental methodologies. Include decision methodology for FMEA/FMECA.	Ensure that safety & security criticality methodologies are properly documented in departmental methodologies. Include decision methodology for FMEA/FMECA.	Open – Action Acceptable	CENI- [REDACTED]	4/30/2014	3/28/2014	3D - Acceptable with ESC review	
Most Recent Update: 3/28- CENI staff currently working towards completion of closure documentation.									
12-008	Internal Safety Audits	Ensure that safety & security criticality methodologies are properly documented in departmental methodologies. Include decision methodology for FMEA/FMECA.	Ensure that safety & security criticality methodologies are properly documented in departmental methodologies. Include decision methodology for FMEA/FMECA.	Open – Action Acceptable	CENV- [REDACTED]	4/30/2014	3/28/2014	3D - Acceptable with ESC review	
Most Recent Update: 4/16/13-Closure documentation was provided to the ISSA team for review. 3/28/14- CENV staff in process of sending signed document to QAAW for submission to ISSA Team.									
12-009	Internal Safety Audits	Ensure that departmental training requirements, including agency requirements are documented & have a responsible position for verification.	Ensure that departmental training requirements, including agency requirements are documented & have a responsible position for verification.	Open – Action Acceptable	CENI- [REDACTED]	4/30/2014	3/28/2014	3D - Acceptable with ESC review	
Most Recent Update: 3/28- CENI staff currently working towards completion of closure documentation.									
12-052	Internal Safety Audits	Certain technical training courses need revision or development	Ensure that courses/modules/instruction in car cleaning, PMs-work orders (where needed), truck rebuild, splicing, rerailing, wheels (press-true-bore), calibration, welding and fabrication are developed and approved.	Open – Action Acceptable	[REDACTED] TTDC	4/30/2014	3/28/2014	2D - Undesirable - Management (ESC) decision	

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Most Recent Update: 9/25/12- CAP review meeting to be held and update to be provided. 2/26/13-ISSA Team advised documentation is to be provided on this item. 3/25/13- E. Petersen advised ISSA Team more time is need to complete this CAP. He advised he has hired additional staff now the development of the training course can begin. TTDC will provide milestone toward completion of this CAP. 8/22/13- TTDC provided update and schedule for completion. 2/27/14- awaiting status of extension request. 3/28/14- CENV met with ISSA 3/27. Staff will provide closure documentation no later than COB 4/4/14..									
12-070	Accident/Incident Report - Internal	Parabolic mirrors shall be installed in areas of limited visibility within the car wash.	WMATA shall install the mirrors.	Open – Action Acceptable	Bitar	4/30/2014	3/28/2014	4C - Acceptable without review	
Most Recent Update: 8/26/13-A closure justification memo has been provided to the TOC to close this CAP as it is being superceded by the actions in CAP 12-071. 9/17/13- TOC is requesting a justification for not installing parabolic mirrors. QAAW will provide memo. 10/16/13- Awaiting justification memo. 11/21/13- TOC advised during CAPTURE meeting they are currently reviewing this CAP for closure. Item stand under TOC review at this time. 12/9/13- Closure documnetation has been provided to the TOC. Closure is still pending TOC review. 1/27/14- WMATA is still awaiting TOC review for closure. 2/27/14- WMATA is still awaiting TOC review for closure. 3/28/14 - No further discussions were had. Staff will bring up during next Capture meeting..									
12-071	Accident/Incident Report - Internal	WMATA shall install a Train Movement Indication system in all car wash facilities.	The Communications Engineerign group will use existing portal warning system for this application, beginning with the Shady Grove facility.	Open – Action Acceptable	Bitar	7/31/2014	8/22/2013	2D - Undesirable - Management (ESC) decision	
Most Recent Update: 8/22/13-CMNT provided the following update. WMATA has finalized the contract for installation of the Train Movement Indication Systems within all WMATA attached car washes. CENI staff began testing on 8/14/13 at the Shady Grove car wash. It will take approx. 1 year to complete installation at all car washes..									
12-074	Accident/Incident Report - Internal	SAFE will work on an Operational Procedure "Active Fire Alarm/Trouble Report Responsibilities" to address Fire Alarm/Trouble Report Response Procedures. The purpose of this Operations Administrative Procedure (OAP) is to provide consistency and guidance to all OPER and MTPD personnel in repsonse to remotely reporting active fire and panic alarms, and fire system trouble reports in Authority facilities.	WMATA shall develop the OAP	Open – Action Acceptable	SAFE Fire Marshall	4/30/2014	3/27/2014	2C - Undesirable - Management (ESC) decision	

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Most Recent Update: 2/26/13- The OAP is currently under review for final signoff. 7/23/2013- Revision are currently being made to draft OAP. 9/25/13- OAP is currently being circulated for final review. 12/10/13- Closure documentation has been provided to the TOC. Closure is pending TOC review. 1/27/14- WMATA is still awaiting TOC review for closure. 2/27/14- WMATA is still awaiting TOC review for closure. 3/27/14- WMATA is still awaiting TOC review for closure..									
13-005	Accident/Incident Report - Internal	Recommend OCC/RTRA create memorandum instructing all Rail Train Operators to request "Rail Line" updates when transitioning from one line in the system to another (e.g. traveling from the C Line to the K Line). Establish and implement the "Rail Line" update as an SOP.	RTRA shall create a memorandum instructing all Rail Train Operators to request "Rail Line" updates when transitioning from one rail line to another. The "Rail Line" update shall become an SOP as well.	Open – Action Acceptable	RTRA- [REDACTED]	3/31/2014	3/27/2014	4A - Acceptable with ESC review	
Most Recent Update: 9/13/13- Closure documentation has been submitted to TOC. Documents are currently under TOC review. 10/16/13- TOC reviewed closure documentation and requested additional information prior to closure of CAP. 11/21/13- TOC advised during CAPTURE meeting they are currently reviewing this CAP for closure. Item stand under TOC review at this time. 12/19/13- Closure documentation has been provided to the TOC. Closure is still pending TOC review. 1/28/14-TOC has requested additional information. Information will be gathered and provided . 2/27/14- TOC has requested that the CAP be rewritten to reflect current practices with regard to radio communications. 3/27/14- QAAW and RTRA staff working to re-write CAP.									
13-007	Accident/Incident Report - Internal	The current Customer Communications Campaign needs to include improvements to warn customers about self evacuations	SAFE shall plan and implement a Customer Communications Campaign regarding warning customers about self evacuations.	Open – Action Acceptable	L. Bowersox	4/30/2014	2/27/2014	4C - Acceptable without review	
Most Recent Update: 9/13/13- Closure documentation has been submitted to TOC. Documents are currently under TOC review. 10/16/13- TOC reviewed closure documentation. TOC advised CAP should remain open until all steps are fully implemented. 12/2/13- Closure documentation has been provided to the TOC. Closure is pending TOC review. 1/27/14- WMATA is still awaiting TOC review for closure. 2/27/14- WMATA is still awaiting TOC review for closure..									
13-011	Accident/Incident Report - Internal	The probable cause of this incident was that failure to follow Standard Operating Procedure (SOP 1A) – Command, Control and Coordination of Emergencies on the Rail System.	SAFE/MTPD/RTRA/TRST/CMNT shall develop an Emergency Procedure Guide to distribute to individuals responsible for response.	Open – Action Acceptable	SAFE- [REDACTED]	12/31/2013	3/27/2014	3C - Undesirable - Management (ESC) decision	

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Most Recent Update: 12/19/13- Closure documentation has been provided to the TOC. Closure is pending TOC review. 1/27/14- WMATA is still awaiting TOC review for closure. 2/27/14- TOC reviewed the submitted closure documentation. TOC advised document does not address what employees should do during an emergency. Additional documentation will be provided. 3/27/14- Supplemental documentation has been submitted to TOC to support CAP closure. Documentation is currently under TOC review..									
13-013	Accident/Incident Report - Internal	Contributing to the failure to follow SOP 1A was a lack of training received by Supervisory Personnel and the absence of joint training exercises to re-enforce the training.	MTPD/OEM shall conduct drills with responding departments and outside agencies to train for emergencies	Open – Action Acceptable	MTPD/OEM [REDACTED]	6/30/2014	3/27/2014	2D - Undesirable - Management (ESC) decision	
Most Recent Update: 12/2/13- Closure documentation has been provided to the TOC. Closure is pending TOC review. 1/27/14- WMATA is still awaiting TOC review for closure. 2/27/14- TOC reviewed the submitted closure documentation. TOC advised they would like to see an after action report of any drills that were used as part of the training prior to closure. 3/27/14- Supplemental documentation has been submitted to TOC to support CAP closure. Documentation is currently under TOC review..									
13-014	Accident/Incident Report - Internal	The current wheel flange angle is 63- degrees which can contribute to wheel climb.	WMATA shall implement a new wheel profile to incorporate a 70- degree flange angle	Open – Action Acceptable	CENV- [REDACTED]	7/30/2014	1/7/2014	3E - Acceptable with ESC review	
Most Recent Update: 10/17/13- The ETP to test the 70 degree flange angel has been completed. The EMI and MSI are being issued. CENV is in the process of buying new 70 degree flange angle templates to cut the wheels to new profile. We have also changed the drawing/contract to buy new wheels with 70 degree flange angle. 12/20/13- Per [REDACTED] the software has been rec'd and the CNC machine will be modified to cut wheels at 70 degree angle. 1/7/14- Extension request was made to GM/CEO to extend completion date until 7/30/14. GM/CEO approved extension request..									
13-015	Accident/Incident Report - Internal	Dry rail can contribute to wheel climb.	WMATA shall install wheel flange friction modifiers on most of the remaining fleets, similar to the 5000 series installation	Open – Action Acceptable	CENV- [REDACTED]	4/30/2014	3/28/2014	3E - Acceptable with ESC review	
Most Recent Update: 10/17/13- The ETP to test the flange lubricator on 6 K has been completed. The EMI is in the approval process. 12/20/13- Per [REDACTED] 6K cars are currently being outfitted with the wheel flange modifiers. 1/27/14-AGM/TIES making extension request to GM/CEO for extension. 2/27/14- awaiting status of extension request. 3/28/14- Operations staff finalizing extension request letter to GM. Letter should be submitted to GM office no later than 3/31. 10/17/13- The ETP to test the flange lubricator on 6 K has been completed. The EMI is in the approval process. 12/20/13- Per [REDACTED] 6K cars are currently being outfitted with the wheel flange modifiers. 1/27/14-AGM/TIES making extension request to GM/CEO for extension. 2/27/14- awaiting status of extension request. 3/28/14- Operations staff finalizing extension request letter to GM. Letter should be submitted to GM office no later than 3/31. 10/17/13- The ETP to test the flange lubricator on 6 K has been completed. The EMI is in the approval process. 12/20/13- Per [REDACTED] 6K cars are currently being outfitted with the wheel flange modifiers. 1/27/14-AGM/TIES making extension request to GM/CEO for extension. 2/27/14- awaiting status of extension request.									

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13-017	Internal Safety Audits	Maintenance Policy not established for a number of safety-critical areas	Establish formal documented policies for the safety-critical maintenance areas below: a. Inspection reports received outside of MOC or field inspection reports. Failure to ensure entry of all deficiencies into Maximo means that work cannot be tracked and proper failure trend analysis required for safety data acquisition and analysis as required by 49CFR659 cannot be achieved. b. Failure trend analysis is not performed for PLNT maintenance. Failure to do so does not meet criteria for 49CFR659. c. Prioritization of critical repairs. Per the Mil Std 882, required of WMATA by the TOC PSP, proper hazard identification and analysis must be performed and hazard addressed by their criticality. Prioritization of critical repairs is a critical part of this area of compliance. Also documented should be the criteria for any "PM Pass" that PLNT deems acceptable, meaning any time a PM inspection is not performed within the time frame allotted by department/OEM guidelines or standards. d. Fabrication, including machinists and sheet metal fabrication. Lack of procedures, standards and policy for fabrication can lead to premature failure and other safety-critical hazards. e. Deferred maintenance and work-around criteria f. Management methodologies for PLNT g. Configuration Management and document control of all PLNT internal documentation, including change control, annual review and SAFE/MTPD review for compliance with the SSPP and SEPP h. Internal Controls, including reviews for documentation compliance, OEM compliance/changes, and all policy, procedures for supervision and QA, and as pertains to industrial safety assurance per 29CFR. i. Safety Critical parts and processes: it is recommended that PLNT use the Dulles extension certification process as its documentation. j. Site Specific Work Plan coordination as required for construction sites as applicable to PLNT k Shelf-life & warehousing (materials management)	Open – Action Acceptable	PLNT- [REDACTED]	12/31/2014		3C - Undesirable - Management (ESC) decision	

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13-018	Internal Safety Audits	There are required safety-critical inspections that are not properly documented	<p>Provide full formal accurate written documentation for:</p> <p>a. Internal SOPs and other procedures, including OAPs, are not regularly updated, and some are 10 years old. All safety-critical documentation should be properly updated to reflect current configuration, technology and practices, and then reviewed at least once annually to assure accuracy. Document control procedures should require version control (date/version/revision) to reflect annual reviews.</p> <p>b. Roll-up door inspections, station security barriers: procedures and checklists are required for safety-critical inspections of these assets</p> <p>c. Generators owned and maintained by PLNT</p> <p>d. Fire cabinets: no regular inspections of these items are recorded; field verifications for proper storage of flammables and combustibles at several PLNT locations throughout the system revealed a number of violations.</p>	Open – Action Acceptable	PLNT- [REDACTED]	12/31/2014		2D - Undesirable - Management (ESC) decision	

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13-020	Internal Safety Audits	Training and certification programs are not sufficiently documented or monitored to meet requirements of the SSPP and 49CFR659.	<p>A. Ensure that documentation and monitoring is appropriately provided for all licensing and certifications required by statute or WMATA policy and procedure, to include:</p> <ul style="list-style-type: none"> -CDL renewals -Bloodborne pathogens, per 29CFR 1910.1030 -Master plumbing and HVAC per jurisdictional requirements - Forklift and welding certification per 29CFR <p>Documentation should include a matrix or other tracking methodology to ensure that all certifications are up to date and meet all requirements</p> <p>B. Ensure that training is provided and documented for:</p> <ul style="list-style-type: none"> i. SOP 39, as required by the MSRP for all WMATA employees who cross the threshold of power substations (door maintenance) ii. Confined space per 29CFR for PLNT employees who oversee contractors working in confined space. <p>C. Ensure that all drivers who transport hazmats are either certified in hazmats through their CDL qualifications or receive training in hazmat spills</p> <p>D. Ensure all on-the-job training is properly documented</p> <p>F. Ensure all training internal and external for all PLNT employees is properly documented and maintained</p>	Open – Action Acceptable	PLNT- [REDACTED]	6/30/2014		2C - Undesirable - Management (ESC) decision	

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13-027	Internal Safety Audits	Maintenance Policy not established for a number of safety-critical areas	<p>Establish formal documented policies for the safety-critical maintenance areas below:</p> <p>a. EOC procedure for MAXIMO is not current.</p> <p>b. Field inspection reports procedure. Failure to ensure entry of all deficiencies and non compliances into Maximo means that work cannot be tracked and proper failure trend analysis required for safety data acquisition and analysis as required by 49CFR659 cannot be achieved.</p> <p>c. Failure trend analysis process was not readily available. Failure trend analysis is required to identify hazards to meet criteria for 49CFR659.</p> <p>d. Prioritization of critical repairs. Per the Mil Std 882, required of WMATA by the TOC PSP, proper hazard identification and analysis must be performed and hazards addressed by their criticality. Prioritization of critical repairs is a critical part of this area of compliance.</p> <p>e. Configuration Management and document control of all ELES internal documentation, including change control, annual review and SAFE/MTPD review for compliance with the SSPP and SEPP</p> <p>f. Internal Controls, including reviews for documentation compliance, OEM compliance/changes, updating work instructions when OEM revise manuals.</p> <p>g. Safety Critical parts and processes: it is recommended that ELES use the Dulles extension certification CIL as its documentation.</p> <p>h. Shelf-life & warehousing (materials management, spill containment SOP 212-21 incomplete)</p> <p>i. Incident investigation procedure did not include data entry for SMS or tracking of open investigations.</p> <p>j. Document processes for inter-departmental communication and coordination.</p> <p>k.No SOP or documented procedure for ELES emergency operations subsequent to elevator/escalator malfunction.</p> <p>l. No documented Life cycle program plan.</p> <p>m.ELES participation in Safety Certification.</p>	Open – Action Acceptable	ELES- <div></div>	12/31/2014		3C - Undesirable - Management (ESC) decision	

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			n. Safety goals and accountability.						
13-028	Internal Safety Audits	Emergency procedures are not fully documented and implemented per Federal, OEM and SEPP requirements	<p>a. Ensure that a full COOP is developed, employees are trained on it, and it is exercised on a regular basis.</p> <p>b. Ensure that accountability procedures are in place for ELES employees and contractors at all facilities. Include contingency/all-hazards plans, policies and EOPs per Section 8 on the audit matrix.</p> <p>c. Coordination with area emergency responders.</p> <p>d. Emergency notification to field personnel SOP.</p>	Open – Action Acceptable	ELES- [REDACTED]	6/30/2014		2D - Undesirable - Management (ESC) decision	
13-037	Internal Safety Audits	IT does not comply with the WMATA SSPP requirements for Configuration Management and Document Control.	<p>a. IT must properly document the full configuration of its system, and make appropriate changes in a timely manner when the configuration of its networks, compartments, hardware, firmware and all other aspects of the system change. This process must be governed by Standard operating procedures.</p> <p>b. IT must have SOPs in place for appropriate document control for all internal documents as well as P/Is for which IT has primary responsibility. These SOPs must ensure development, annual review, authorization, maintenance and access of all IT documentation is appropriately managed.</p> <p>c. All documentation must be reviewed by safety/MTPD for compliance with the SSPP and SEPP. Changes to documentation must be provided to SAFE/MTPD per IT SOPs.</p> <p>d. Ensure that compatibility and reliability studies are required in the acquisition process and are properly documented when completed.</p>	Open – Action Acceptable	IT--Kevin Borek	6/30/2014		3C - Undesirable - Management (ESC) decision	
13-038	Internal Safety Audits	IT does not properly document its internal controls procedures.	<p>a. Ensure that internal audits and scans of the IT system and external connectivity validation are performed per existing documentation, are fully documented and have an appropriate methodology in place to guide the processes</p> <p>b Ensure that the checklist used in the daily inspection of the DRS has instructions/SOPs, including for maintenance of the inspection checklists for verification</p>	Open – Action Acceptable	IT--Kevin Borek	6/30/2014		3D - Acceptable with ESC review	
Most Recent Update: IT management advised they will need to hire additional personnel in order to complete this project. Extension request was submitted..									

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13-039	Internal Safety Audits	The IT vendor review process is not documented. In particular, Security requirements of the SEPP are not currently ensured in the IT department.	a. Ensure that IT has a documented methodology for review of vendors for quality and security purposes. b. Ensure that positions of trust are identified in the department so that both vendors and employees who hold these positions are appropriately monitored for security purposes.	Open – Action Acceptable	IT--Kevin Borek	6/30/2014		3C - Undesirable - Management (ESC) decision	
13-040	Internal Safety Audits	Security Sensitive information (national security/JTTF) can encrypted, but the process of doing so is not transparent to users, and if not used, is in violation of DoJ requirements.	All National Security information must be properly protected to ensure compliance with Federal Law. IT should either improve the encryption process so that it can be guaranteed that all information is properly protected, or, preferably, compartmentalize MTPD's IT usage so that it can be protected globally rather than individually.	Open – Action Acceptable	IT--Kevin Borek	6/30/2014		2C - Undesirable - Management (ESC) decision	
13-041	Internal Safety Audits	The Continuity of Operations processes not fully documented or exercised in IT.	a. The COOP/DRP needs to be updated. b. IT also needs additional information, including full documentation and identification of mission-critical systems, including all SCADA (see IT2 above). c. A power assessment should also be performed to ensure power needs are adequate for the most dire level of disaster anticipated in the COOP assumptions. d. The identification of essential functions and levels of security should be completed in the COOP. e. The COOP should be exercised annually, to include the fire system override in the DRC.	Open – Action Acceptable	IT--Kevin Borek	6/30/2014		2C - Undesirable - Management (ESC) decision	
13-042A	Accident/Incident Report - Internal	RTRA shall ensure that all station managers are aware of the intended operating direction of the escalators within their stations.	RTRA will issue a communication to ensure all station managers are aware of the correct direction of escalators.	Open – Action Acceptable	RTRA- [REDACTED]	6/30/2014		2D - Undesirable - Management (ESC) decision	2D - Undesirable - Management (ESC) decision
13-043	TOC Special Study	Records show that most Train Operators are not receiving the monthly minimum number of Blackberry (compliance) checks.	RTRA shall work with Information Technology personnel to link the PeopleSoft software with Blackberry checks. This will help to ensure Train Operators are appropriately assigned to a Supervisor when they are reassigned to other sections within RTRA.	Open – Action Acceptable	RTRA- [REDACTED]	10/31/2014		4A - Acceptable with ESC review	4A - Acceptable with ESC review
13-044	TOC Special Study	WMATA does not appear to be conducting analysis or validation of the rule compliance program effectively as described in its Standard Operating Procedure (SOP).	RTRA shall evaluate the effectiveness of the rule compliance program through weekly staff meetings as stated in Section 4.9 of the Rule Compliance Check Procedure SOP in order to analyze trends and determine problem areas of compliance that may need reinforcement.	Open – Action Acceptable	RTRA- [REDACTED]	10/31/2014		4A - Acceptable with ESC review	4A - Acceptable with ESC review

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13-045	Accident/Incident Report - Internal	ROCC Controllers must instruct operators to pull up to 8 car turnback (TB) signal before operator changes operating positions to ensure train is fully behind trailing end signal.	ROCC Controllers will instruct operators to pull up to 8 car turnback (TB) signal before operator changes operating positions to ensure train is fully behind trailing end signal.	Open – Action Acceptable	RTRA- [REDACTED]	9/30/2014		2D - Undesirable - Management (ESC) decision	2D - Undesirable - Management (ESC) decision
13-046	Accident/Incident Report - Internal	ROCC Controllers must instruct operators when changing operating positions to standby when arriving at opposite end before giving further instruction to operators.	ROCC Controllers will instruct operators when changing operating positions to standby when arriving at opposite end before giving further instruction to operators.	Open – Action Acceptable	RTRA- [REDACTED]	9/30/2014		2D - Undesirable - Management (ESC) decision	2D - Undesirable - Management (ESC) decision
13-047	Accident/Incident Report - Internal	Upon operator changing positions, ROCC Controller must verify that operator is in full view of facing signal and can verify lunar aspect before proceeding.	Upon operator changing positions, ROCC Controller will verify that operator is in full view of facing signal and can verify lunar aspect before proceeding.	Open – Action Acceptable	RTRA- [REDACTED]	9/30/2014		2D - Undesirable - Management (ESC) decision	2D - Undesirable - Management (ESC) decision
13-048	Accident/Incident Report - Internal	ROCC Management shall develop departmental procedure with an emphasis on items 1 and 2 discussing with and issuing procedures to all ROCC Operating staff.	ROCC Management will develop departmental procedure with an emphasis on items 1 and 2 discussing with and issuing procedures to all ROCC Operating staff.	Open – Action Acceptable	RTRA- [REDACTED]	9/30/2014		2D - Undesirable - Management (ESC) decision	2D - Undesirable - Management (ESC) decision
13-049	Accident/Incident Report - Internal	RTRA management must instruct Supervisory staff to discuss incident with Train Operators to ensure that Train Operators do not proceed without having visual confirmation of signal associated with interlocking.	RTRA management will instruct Supervisory staff to discuss incident with Train Operators to ensure that Train Operators do not proceed without having visual confirmation of signal associated with interlocking.	Open – Action Acceptable	RTRA- [REDACTED]	9/30/2014		2D - Undesirable - Management (ESC) decision	2D - Undesirable - Management (ESC) decision
13-050	Accident/Incident Report - Internal	ROCC/IT resolve Aim system display issue.	ROCC/IT will resolve Aim system display issue.	Open – Action Acceptable	RTRA- [REDACTED]	9/30/2014		3D - Acceptable with ESC review	3D - Acceptable with ESC review
13-051	Internal Safety Audits	Training programs and documentation are not fully in place.	"a. Appropriate revenue collection staff shall receive RWP and SMS training. b. The training matrix requires all positions to be listed with all training requirements, including SMS training requirements c. On-the job training must be fully documented".	Open – Action Acceptable	TRES	9/30/2014		3C - Undesirable - Management (ESC) decision	3C - Undesirable - Management (ESC) decision

<u>WMATA CAP ID</u>	<u>CAP Source Type</u>	<u>Finding/Recommendation</u>	<u>Corrective Action Plan</u>	<u>Status</u>	<u>Responsible Person(s)</u>	<u>Estimated Completion Date</u>	<u>Date of Most Recent Update</u>	<u>Initial Hazard Rating</u>	<u>Mitigated Hazard Rating</u>
13-052	Internal Safety Audits	Not all safety-critical tasks and activities are appropriately documented in SOPs.	Document SOPs for: a. All interactions with IT, including system failures b. Maintenance Engineer does not cover all of the tasks and activities required for the position c. Document the field relief process for revenue collection teams d. Job safety analyses are not currently performed for the maintenance engineering staff e. Document appropriate interactions with MOC (facilities, comm, etc.)	Open – Action Acceptable	TRES	12/30/2014		2C - Undesirable - Management (ESC) decision	2C - Undesirable - Management (ESC) decision
13-055	Other Internal Reports	CENV /CMNT shall develop an audit procedure to conduct sample testing of the intercom system for entire trainline. This will involve testing full consists.	CENV /CMNT will develop an audit procedure to conduct sample testing of the intercom system for entire trainline. This will involve testing full consists.	Open – Action Acceptable	CENV- [REDACTED]	3/31/2014	3/27/2014	3D - Acceptable with ESC review	3D - Acceptable with ESC review
Most Recent Update: 12/12/13- Closure documentation has been provided to the TOC. Closure is pending TOC review. 1/27/14- WMATA is still awaiting TOC review for closure. 2/27/14- WMATA is still awaiting TOC review for closure. 3/27/14- TOC reviewed documentation and advised CAP should remain open until the changes that were noted are fully implemented. .									
13-056	Other Internal Reports	WMATA - SAFE shall incorporate this information into the hazard resolution matrix.	WMATA - SAFE will incorporate this information into the hazard resolution matrix.	Open – Action Acceptable	SAFE- Brown	7/30/2014		3D - Acceptable with ESC review	3D - Acceptable with ESC review
13-057	Other Internal Reports	CENV shall continue to investigate and mitigate the 2K, 3K and 5K noise issue associated with the Digital Radio Upgrade. ETP for these fleets was circulated for approval on June 25, 2013.	CENV will continue to investigate and mitigate the 2K, 3K and 5K noise issue associated with the Digital Radio Upgrade. ETP for these fleets was circulated for approval on June 25, 2013.	Open – Action Acceptable	CENV- [REDACTED]	7/31/2014	2/27/2014	3D - Acceptable with ESC review	3D - Acceptable with ESC review
Most Recent Update: 12/12/13- Closure documentation has been provided to the TOC. Closure is pending TOC review. 1/27/14- WMATA is still awaiting TOC review for closure. 2/27/14- TOC reviewed documentation and advised CAP should remain open until verification can be provided to show successful completion of the ETP..									

<u>WMATA CAP ID</u>	<u>CAP Source Type</u>	<u>Finding/Recommendation</u>	<u>Corrective Action Plan</u>	<u>Status</u>	<u>Responsible Person(s)</u>	<u>Estimated Completion Date</u>	<u>Date of Most Recent Update</u>	<u>Initial Hazard Rating</u>	<u>Mitigated Hazard Rating</u>
13-059	Other Internal Reports	Until the 4K testing and analysis is completed, it is recommended that the 4K cars not be run in consists with 6K cars. A separate ETPjEMI will be issued for the modifications necessary to correct the 4K PCS to 6K CCP compatibility.	Until the 4K testing and analysis is completed 4K cars will not be run in consists with 6K cars. A separate ETPjEMI will be issued for the modifications necessary to correct the 4K PCS to 6K CCP compatibility.	Open – Action Acceptable	CENV- [REDACTED]	7/31/2014	2/27/2014	3D - Acceptable with ESC review	3D - Acceptable with ESC review
<p>Most Recent Update: 12/12/13- Closure documentation has been provided to the TOC. Closure is pending TOC review.</p> <p>1/27/14- WMATA is still awaiting TOC review for closure.</p> <p>2/27/14- TOC reviewed documentation and advised CAP should remain open until the changes that were noted in the EMI are fully implemented. .</p>									
13-060	Other Internal Reports	Process Improvements - Safety Measurement System	Process Improvements - Safety Measurement System	Open – Action Acceptable	SAFE- [REDACTED]	9/30/2014		4A - Acceptable with ESC review	4A - Acceptable with ESC review
13-073	Accident/Incident Report - Internal	Hold Safety Standown with an emphasis on Improper Operation.	TRST will hold a Safety Standown with an emphasis on Improper Operation.	Open – Action Acceptable	TRST- [REDACTED]	6/30/14			3D - Acceptable with ESC review
13-074	Accident/Incident Report - Internal	Develop a more robust training program for new Equipment Operators to include evaluation of trainers by training department.	TTDC will develop a more robust training program for new Equipment Operators to include evaluation of trainers by training department.	Open – Action Acceptable	TTDC - [REDACTED]	6/30/14			3D - Acceptable with ESC review
13-075	Accident/Incident Report - Internal	There is a design flaw that allows the door to encroach on the dynamic outline of the track bed when fully open.	PLNT will install a post or bollard near the egress door to prevent the door from swinging into the train's dynamic envelope	Open – Action Acceptable	PLNT- [REDACTED]	9/30/14			4A - Acceptable with ESC review
13-076	Accident/Incident Report - Internal	There is a design flaw that allows the door to encroach on the dynamic outline of the track bed when fully open.	Survey all yard shop locations to access similar conditions	Open – Action Acceptable	SAFE- [REDACTED]	6/30/14			4A - Acceptable with ESC review
13-077	Accident/Incident Report - Internal	5 second rule implemented to remind Train Operators to pause and check signal aspect and rail alignment	5 second rule will be implemented to remind Train Operators to pause and check signal aspect and rail alignment	Open – Action Acceptable	RTRA- [REDACTED]	7/31/14			3D - Acceptable with ESC review
13-078	Accident/Incident Report - Internal	Train Operator Training extended for an additional two weeks for one on one mentoring once Operator is assigned to his region.	Train Operator Training will be extended for an additional two weeks for one on one mentoring once Operator is assigned to his region.	Open – Action Acceptable	RTRA- [REDACTED]	7/31/14			3D - Acceptable with ESC review

<u>WMATA CAP ID</u>	<u>CAP Source Type</u>	<u>Finding/Recommendation</u>	<u>Corrective Action Plan</u>	<u>Status</u>	<u>Responsible Person(s)</u>	<u>Estimated Completion Date</u>	<u>Date of Most Recent Update</u>	<u>Initial Hazard Rating</u>	<u>Mitigated Hazard Rating</u>
13-079	Accident/Incident Report - Internal	Additional signage installed on console to remind Operator to stop at all red signals unless permission is given by ROCC.	Additional signage will be installed on console to remind Operator to stop at all red signals unless permission is given by ROCC	Open – Action Acceptable	RTRA- [REDACTED] CM NT-[REDACTED]	7/31/14			3D - Acceptable with ESC review
13-080	Accident/Incident Report - Internal	Peer Review meeting held to discuss signal recognition and frequency of red signal violations.	Peer Review meeting will be held to discuss signal recognition and frequency of red signal violations	Open – Action Acceptable	RTRA- [REDACTED]	7/31/14			4D - Acceptable without review
13-081	Accident/Incident Report - Internal	Develop a CBT for identification of signal aspects.	A CBT will be developed for identification of signal aspects	Open – Action Acceptable	RTRA- [REDACTED]	12/31/14			4C - Acceptable without review
13-082	Accident/Incident Report - Internal	Senior Management to discuss this incident in a group setting with all yard personnel to include Rail Supervisors, Interlocking Operators and Train Operators, as it relates to communication, ground inspections prior to moving vehicles and performing required brake test before moving vehicles.	Senior Management will hold a safety Stand Down to discuss this incident in a group setting with all yard personnel to include Rail Supervisors, Interlocking Operators and Train Operators, as it relates to communication, ground inspections prior to moving vehicles and performing required brake test before moving vehicles	Open – Action Acceptable	RTRA- [REDACTED]	7/31/14			4D - Acceptable without review
13-083	Accident/Incident Report - Internal	RTRA should ensure coupling/uncoupling activity is authorized and communicated by Interlocking Operator.	RTRA will hold a Safety Stand Down to discuss what coupling/uncoupling activity is authorized and communicated by Interlocking Operator.	Open – Action Acceptable	RTRA- [REDACTED]	7/31/14			3D - Acceptable with ESC review
13-084	Accident/Incident Report - Internal	RTRA should develop lessons learned document for describing incident and how to prevent re- occurrence.	RTRA will develop lessons learned document for describing incident and how to prevent re- occurrence.	Open – Action Acceptable	RTRA- [REDACTED]	7/31/14			4D - Acceptable without review
13-085	Accident/Incident Report - Internal	RTRA should issue a Communique addressing the importance of Interior and exterior inspections prior to moving rail vehicles.	RTRA will issue a Communique addressing the importance of Interior and exterior inspections prior to moving rail vehicles	Open – Action Acceptable	RTRA- [REDACTED]	7/31/14			4D - Acceptable without review
13-086	Accident/Incident Report - Internal	QAAW and CQAL do not currently perform QA/QC on materials to the extent described in SSPP sections 21.1 and 21.4	WMATA will revise Section 21.1 and 21.4 in the next revision of the SSPP to accurately reflect the scope of QAAW and CQAL.	Open – Action Acceptable	SAFE- [REDACTED]	12/31/14			4D - Acceptable without review

<u>WMATA CAP ID</u>	<u>CAP Source Type</u>	<u>Finding/Recommendation</u>	<u>Corrective Action Plan</u>	<u>Status</u>	<u>Responsible Person(s)</u>	<u>Estimated Completion Date</u>	<u>Date of Most Recent Update</u>	<u>Initial Hazard Rating</u>	<u>Mitigated Hazard Rating</u>
13-087	Accident/Incident Report - Internal	The PRMT or SAFE department does not evaluate and/or inspect contractor equipment for use on the Metrorail System.	WMATA will develop a procedure to evaluate and/or inspect contractor equipment for use on the rail system to assist in the prevention of accidents.	Open – Action Acceptable	SAFE- [REDACTED]	12/31/14			3E - Acceptable with ESC review
13-088	Accident/Incident Report - Internal	Not all hazardous materials had corresponding hard- copy MSDS on file in the local facility audited.	WMATA will ensure that all employees in storerooms have direct electronic access to the complete catalog of MSDS information.	Open – Action Acceptable	SAFE- [REDACTED]	12/31/14			3E - Acceptable with ESC review
13-089	Accident/Incident Report - Internal	Section 21.2 of the SSPP contains an outdated reference.	WMATA will revise Section 21.2 in the next revision of the SSPP to accurately reflect the most up-to-date references and procedures.	Open – Action Acceptable	SAFE- [REDACTED]	12/31/14			4D - Acceptable without review

APPENDIX

WMATA Master List of Corrective Action Plans

<u>WMATA CAP ID</u>	<u>CAP Source Type</u>	<u>Finding/Recommendation</u>	<u>Corrective Action Plan</u>	<u>Status</u>	<u>Responsible Person(s)</u>	<u>Estimated Completion Date</u>	<u>Date of Most Recent Update</u>	<u>Initial Hazard Rating</u>	<u>Mitigated Hazard Rating</u>
10-050	Accident/Incident Report - External	Remove all 1000-series railcars as soon as possible and replace them with cars that have crashworthiness collision protection at least comparable to the 6000series railcars.	WMATA will remove all 1000-series railcars as soon as possible and replace them with cars that have crashworthiness collision protection at least comparable to the 6000series railcars.	Open – Action Acceptable	Troup	3/31/2014	3/27/14	1D - Undesirable - Management (ESC) decision	1E - Acceptable with ESC review

Most Recent Update: 1/26/12- D. Kubicek gave update during safety and security board report. 12/18/12- 7K Cars – Option exercised. 7K cars to replace 1K vehicles in a phased approach. 7/23/13- The first set of railcars are scheduled to be rec'd in the first quarter of 2014.
3/27/14-Test 7K cars are currently in testing. Railcars have been viewed by NTSB and TOC.

<u>WMATA CAP ID</u>	<u>CAP Source Type</u>	<u>Finding/Recommendation</u>	<u>Corrective Action Plan</u>	<u>Status</u>	<u>Responsible Person(s)</u>	<u>Estimated Completion Date</u>	<u>Date of Most Recent Update</u>	<u>Initial Hazard Rating</u>	<u>Mitigated Hazard Rating</u>
10-119	TOC Triennial Audit	HIRM (Hazard Identification and Resolution Matrix) items remain open.	This finding is tied into the Hazard Management module of SMS which is currently in development and is scheduled for release in July 2012 . TOC will be allowed to review this System once it is fully operational to verify that information is being incorporated into the hazard management program.	Open – Action Acceptable		4/30/2014	3/14/2014	1C - Unacceptable	2C - Undesirable - Management (ESC) decision

Most Recent Update: 6/22/11 SAFE submitted letter to TOC to close CAP. Currently under TOC review 7/28/11- Documentation under TOC review. 1/30/12-This CAP is tied into the Hazard Management of SMS which is currently in development 12/21/12-Upon full implementation of SMS this CAP will be resolved. 7/23/13- The SMS procedure is still in development at this time.

12/19/13-TOC advised they would like to have a demo of the Hazard Management module implementation prior to closure of CAP.

2/27/14- TOC is scheduled for demo on 3/14/14. CAP will be resolved at that time.

3/14/14-TOC rec'd Hazard Management Demo/Training along with training manual as requested. WMATA is waiting for TOC disposition on this CAP at this time.. To close this finding, WMATA must:

- Implement the new hazard management process specified in Deficiency 6-1.
- Develop a formal written process to guide the resolution and closure of hazardous conditions noted on the HIRM.
- Provide the formal, written process to TOC.

11/21/13- Closure documnetation has been provided to the TOC. Closure is pending TOC review.

<u>WMATA CAP ID</u>	<u>CAP Source Type</u>	<u>Finding/Recommendation</u>	<u>Corrective Action Plan</u>	<u>Status</u>	<u>Responsible Person(s)</u>	<u>Estimated Completion Date</u>	<u>Date of Most Recent Update</u>	<u>Initial Hazard Rating</u>	<u>Mitigated Hazard Rating</u>
10-120	TOC Triennial Audit	Environmental issues are not addressed or included in hazard management.	11/23/10--SAFE is developing a Safety Measurement IT System that will incorporate hazard program information collected from multiple sources including the IH Tracking Matrix. TOC will be allowed to review this System once it is fully operational to verify that information from the IH Tracking Matrix is being incorporated into the hazard management program.	Open – Action Acceptable		4/30/2014	3/14/2014	1D - Undesirable - Management (ESC) decision	1E - Acceptable with ESC review

Most Recent Update: The Safety Measurement System remains under development. Beta testing of the hazard analysis module of the system began November 8, 2010. 6/22/11 SAFE submitted letter to TOC to close CAP. Currently under TOC review 7/28/11- Documentation under TOC review 1/30/12-This CAP is tied into the Hazard Management of SMS which is currently in development 12/21/12-Upon full implementation of SMS this CAP will be resolved. 7/23/13- The SMS procedure is still in development at this time.

12/19/13-TOC advised they would like to have a demo of the Hazard Management module implementation prior to closure of CAP.

2/27/14- TOC is scheduled for demo on 3/14/14. CAP will be resolved at that time.

3/14/14-TOC rec'd Hazard Management Demo/Training along with training manual as requested. WMATA is waiting for TOC disposition on this CAP at this time.. To close this finding, WMATA must:

- Develop a formal written policy or procedure integrating the information collected in the Industrial Hygiene Tracking Matrix into the WMATA hazard management program.
- Provide the formal written policy or procedure to TOC.

<u>WMATA CAP ID</u>	<u>CAP Source Type</u>	<u>Finding/Recommendation</u>	<u>Corrective Action Plan</u>	<u>Status</u>	<u>Responsible Person(s)</u>	<u>Estimated Completion Date</u>	<u>Date of Most Recent Update</u>	<u>Initial Hazard Rating</u>	<u>Mitigated Hazard Rating</u>
10-189	TOC Triennial Audit	While WMATA appears to be formalizing training records within a new data system, many records for (particularly) long-time employees are unavailable for review.	11/23/11--CENV/TTDC will develop a written plan to ensure all employee training records are available for review as an interim solution until PeopleSoft 7 training module is implemented. (January 2011). HR will also be implementing PeopleSoft 9.1 and the 9.0 version of the Enterprise Learning Module beginning January 2011. Implementation of eLM is undetermined.	Open – Action Acceptable	Moore- McGee	3/30/2014	3/31/2014	4B - Acceptable with ESC review	4D - Acceptable without review

Most Recent Update: 11/23/11--SAFE has evaluated this finding using a hazard analysis approach and has determined that it does not present a hazard or threat to the system. Given the negligible safety nature of this finding, WMATA requests that it be closed at this time. 12/18/12- Upon completion of the installation of the Enterprise Learning Module and PeopleSoft employee training records will be open for review. Procedure is under development. . To close this finding, WMATA must:

- Develop a plan, policy, or procedure to ensure that all employee training records are available for review as an interim solution until the new data system is implemented.
- Provide the written plan to TOC.
- Provide TOC with evidence that the training records have become available.

12/17/10Providing that the steps outlined under notes for Hazard Closure[CAP] are carried out, this solution is acceptable. 9/25/13- Status update has been requested.

10/17/13- The implementation of the eLM is scheduled for March 2014. This item will be resolved at that time. 3/27/14-ELM will be implemented on 3/31/14. Documentation will be provided to the TOC..

<u>WMATA CAP ID</u>	<u>CAP Source Type</u>	<u>Finding/Recommendation</u>	<u>Corrective Action Plan</u>	<u>Status</u>	<u>Responsible Person(s)</u>	<u>Estimated Completion Date</u>	<u>Date of Most Recent Update</u>	<u>Initial Hazard Rating</u>	<u>Mitigated Hazard Rating</u>
10-204	TOC Triennial Audit	Although an automated Access database process is under development, verification of inspector training and certification completion by required due dates is currently a manual process involving review of individual personnel training files.	11/23/10--WMATA continues to implement the automated Access database process for trakcing training data. HR will also be implementing PeopleSoft 9.1 and the 9.0 version of the Enterprise Learning Module beginning January 2011. Implementation of eLM is undetermined.	Open – Action Acceptable	Moore- McGee	3/30/2014	3/31/2013	4D - Acceptable without review	4E - Acceptable without review

Most Recent Update: 12/18/12- This CAP is still in development. . To close this finding, WMATA must:

- Continue the implementation of the automated Access database process to automatically track completion of training requirements prior to due dates.
- Provide TOC with documentation verifying the implementation of the new tracking process.

9/25/13- Status update has been requested.

12/17/10--Could be closed pending implementation of training database.10/17/13- The implementation of the eLM is scheduled for March 2014. This item will be resolved at that time. 3/27/14-ELM will be implemented on 3/31/14.

Documentation will be provided to the TOC..

<u>WMATA CAP ID</u>	<u>CAP Source Type</u>	<u>Finding/Recommendation</u>	<u>Corrective Action Plan</u>	<u>Status</u>	<u>Responsible Person(s)</u>	<u>Estimated Completion Date</u>	<u>Date of Most Recent Update</u>	<u>Initial Hazard Rating</u>	<u>Mitigated Hazard Rating</u>
10-217	TOC Triennial Audit	WMATA lacks a formal plan, policy or procedure to help ensure compliance with employee training and certification requirements.	11/23/10--WMATA to develop a plan that directs the monitoring of compliance with employee training and certification requirements. The completed plan will be provided to TOC. HR , in collaboration with TIES shall define and evaluate the existing business, defined revised procedures to identify training sponsors within Metro, evaluate existing business processes to monitor compliance, draft and implement new policy, identify out of compliance population based by training/certification requirements and remediate.	Open – Action Acceptable	Moore- McGee	3/30/2014	3/27/2014	3D - Acceptable with ESC review	3E - Acceptable with ESC review

Most Recent Update: 12/18/12- This CAP is still in development. To close this finding, WMATA must:

- Develop a plan, policy, or procedure that directs the monitoring of compliance with employee training and certification requirements.
- Provide the written plan to TOC. 10/17/13- The implementation of the eLM is scheduled for March 2014. This item will be resolved at that time. 3/27/14-ELM will be implemented on 3/31/14. Documentation will be provided to the TOC.

<u>WMATA CAP ID</u>	<u>CAP Source Type</u>	<u>Finding/Recommendation</u>	<u>Corrective Action Plan</u>	<u>Status</u>	<u>Responsible Person(s)</u>	<u>Estimated Completion Date</u>	<u>Date of Most Recent Update</u>	<u>Initial Hazard Rating</u>	<u>Mitigated Hazard Rating</u>
10-218	TOC Triennial Audit	WMATA does not yet have a compliant CM program or a plan for its achievement.	<p>11/23/10--CENV response: The foundation of CM for railcars is based on OPA 200-6, Engineering Modification Instruction. CENV will work with CENI to develop a configuration management implementation plan with an overall timeframe and intermediate milestones that fully achieves the purpose of P/I 4.10/2. The Schedule of development is"</p> <ol style="list-style-type: none"> 1. Develop SOP(s) – 3 months. 2. Develop Engineering Documentum Workflows – 6 months. 3. Training on the use of Documentum Workflows – 3 months 4. Pilot phase – 2-months 5. Deploy CM program <p>Total Estimated Schedule - 14months</p> <p>CENI will reorganize with a sub organization specific to Configuration Management. Configuration Management will team will develop standards and protocols for CAD drawings, filing and software revisions, both vital and non-vital. This will be completed by January 2012. Responsible party is R. Troup.</p>	Open – Action Acceptable	Bitar	3/31/2014	3/27/2014	3C - Undesirable - Management (ESC) decision	3E - Acceptable with ESC review

Most Recent Update: 11/23/10--Existing Related CAP: 2007-4. IT has a CM process that includes workflows, control points and stakeholder signoffs for hardware and software changes. IT has instituted a Change Control Board that meets weekly. IT's plan and milestones for meeting WMATA's CMP includes: (1) Completing SDLC Processes/phase activities - requirements, CCB, signoffs, approvals by October 2011. (2) Conduct analysis to understand and design/redesign an integrated CM process by June 2011. (3) Develop/update integrated CMP through a coordinated WMATA effort by August 2011. (4) Update Professionals' Guide to IT Standards and Services for Metro by February 2011. (5) Develop/update IT-related policy for Configuration Management by February 2011. (6) Approve IT-related CM Policy by June 2011. 6/28/11 CENI provided update on progress advised project is on target. 8/28/12- Closure documentation was provided to the TOC during the CAPTURE meeting. TOC advised they will review and advise of outcome.10/1/12-Comment sheet rec'd from TOC regarding documentation provided for closure. WMATA will review and answer questions. 12/18/12- Per ██████████ WMATA is utilizing Documentum to manage and control documents such as, EMIs, ERs, MSIs, etc. PAF is a new parts control system (June 18, 2012).. To close this finding, WMATA must:

- Develop a configuration management implementation plan with an overall timeframe and intermediate milestones that fully achieves the purpose of P/I 4.10/2.
- Provide the plan to TOC.

12/17/10--WMATA Actions (CAP) statement appears adequate. TOC requests regular reports of activities and outputs to track progress. We request that TOC also be invited to periodic meetings held to address configuration management as a means of monitoring WMATA's progress in achieving full compliance with TOC requirements and WMATA's SSPP. 7/23/13- TOC provided comment sheets requesting additional information. The requested information is currently being gathered and will be provided to the TOC.

11/21/13- TOC advised during CAPTURE meeting they are currently reviewing this CAP for closure. Item stand under TOC review at this time.

12/19/13-CAP is stil under TOC review at this time.

2/27/14- WMATA is still awaiting TOC review for closure.

3/27/14-Per meeting minutes from 2/27/14 CAPTURE TOC is reviewing this item further

<u>WMATA CAP ID</u>	<u>CAP Source Type</u>	<u>Finding/Recommendation</u>	<u>Corrective Action Plan</u>	<u>Status</u>	<u>Responsible Person(s)</u>	<u>Estimated Completion Date</u>	<u>Date of Most Recent Update</u>	<u>Initial Hazard Rating</u>	<u>Mitigated Hazard Rating</u>
10-219	TOC Triennial Audit	CM initiatives of other WMATA departments need to be addressed as part of an overall WMATA CM Plan.	11/23/10--CENV response: The foundation of CM for railcars is based on OPA 200-6, Engineering Modification Instruction. CENV will work with CENI to develop a configuration management implementation plan with an overall timeframe and intermediate milestones that fully achieves the purpose of P/I 4.10/2. The Schedule of development is" <ol style="list-style-type: none"> 1. Develop SOP(s) – 3 months. 2. Develop Engineering Documentum Workflows – 6 months. 3. Training on the use of Documentum Workflows – 3 months 4. Pilot phase – 2-months 5. Deploy CM program Total Estimated Schedule - 14months CENI will reorganize with a sub organization specific to Configuration Management. Configuration Management will team will develop standards and protocols for CAD drawings, filing and software revisions, both vital and non-vital. This will be completed by January 2012. Responsible party is R. Troup.	Open – Action Acceptable	Bitar	3/31/2014	3/27/2014	3C - Undesirable - Management (ESC) decision	3E - Acceptable with ESC review

Most Recent Update: 11/23/10--SSPP updated to reflect TOC, FTA and WMATA SAFE findings and recommendations. Draft of revised SSPP completed September 30, 2010, and is currently being reviewed internally by WMATA. Final draft SSPP to be provided to TOC by January 1, 2011. 8/28/12- Closure documentation was provided to the TOC during the CAPTURE meeting. TOC advised they will review and advise of outcome. 9/25/12- Still under TOC review. 10/1/12-Comment sheet rec'd from TOC regarding documentation provided for closure. WMATA will review and answer questions. 12/18/12- Per ██████████ Much of The CENV CM is Complete. Need to include In The System-wide Plan.

To close this finding, WMATA must:

- Revise the CM plan to ensure that it fully addresses CM initiatives of all appropriate WMATA departments and provide the revised CM plan to TOC.
- Revise the WMATA SSPP to accurately reflect the WMATA CM program and provide the revised SSPP to TOC. 12/17/10--WMATA Actions (CAP) statement appears adequate. TOC requests regular reports of activities and outputs to track progress. We request that TOC also be invited to periodic meetings held to address configuration management as a means of monitoring WMATA's progress in achieving full compliance with TOC requirements and WMATA's SSPP.

7/23/13- TOC provided comment sheets requesting additional information. The requested information is currently being gathered and will be provided to the TOC.

11/21/13- TOC advised during CAPTURE meeting they are currently reviewing this CAP for closure. Item stand under TOC review at this time.

12/19/13-CAP is still under TOC review at this time.

2/27/14- WMATA is still awaiting TOC review for closure.

3/27/14-Per meeting minutes from 2/27/14 CAPTURE TOC is reviewing this item further.

<u>WMATA CAP ID</u>	<u>CAP Source Type</u>	<u>Finding/Recommendation</u>	<u>Corrective Action Plan</u>	<u>Status</u>	<u>Responsible Person(s)</u>	<u>Estimated Completion Date</u>	<u>Date of Most Recent Update</u>	<u>Initial Hazard Rating</u>	<u>Mitigated Hazard Rating</u>
12-004	Internal Safety Audits	Develop, train on and exercise annually a departmental COOP.	Develop, train on and exercise annually a departmental COOP.	Open – Action Acceptable	CENI-[REDACTED]	4/30/2014	3/28/2014	3D - Acceptable with ESC review	
Most Recent Update: 3/28/14- COOP is completed. Waiting for completion of Table-top exercise on Monday, March 31st. Once table-top is complete an after action report will be drafted by OEM for submittal to SAFE for closure consideration. .									

<u>WMATA CAP ID</u>	<u>CAP Source Type</u>	<u>Finding/Recommendation</u>	<u>Corrective Action Plan</u>	<u>Status</u>	<u>Responsible Person(s)</u>	<u>Estimated Completion Date</u>	<u>Date of Most Recent Update</u>	<u>Initial Hazard Rating</u>	<u>Mitigated Hazard Rating</u>
12-005	Internal Safety Audits	Develop and implement full life-cycle planning for infrastructure elements supported by CENI.	Develop and implement full life-cycle planning for infrastructure elements supported by CENI.	Open – Action Acceptable	CENI [REDACTED]	3/31/2015	3/28/2014	3D - Acceptable with ESC review	

Most Recent Update: 3/28/14- CENI staff currently working towards completion of closure documentation.

<u>WMATA CAP ID</u>	<u>CAP Source Type</u>	<u>Finding/Recommendation</u>	<u>Corrective Action Plan</u>	<u>Status</u>	<u>Responsible Person(s)</u>	<u>Estimated Completion Date</u>	<u>Date of Most Recent Update</u>	<u>Initial Hazard Rating</u>	<u>Mitigated Hazard Rating</u>
12-006	Internal Safety Audits	Ensure that all TSSM/PWR, ATC, & COMM engineering requests are documented and addressed in a timely manner. In addition, ensure that all inquiries, communiques and requests from stakeholder departments regarding acceptance, reliability and maintainability, including during the SSC process, are addressed in a timely manner.	Ensure that all TSSM/PWR, ATC, & COMM engineering requests are documented and addressed in a timely manner. In addition, ensure that all inquiries, communiques and requests from stakeholder departments regarding acceptance, reliability and maintainability, including during the SSC process, are addressed in a timely manner.	Open – Action Acceptable	CENI [REDACTED]	3/31/2015	3/28/2014	3D - Acceptable with ESC review	

Most Recent Update: 3/28- CENI staff currently working towards completion of closure documentation.

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12-007	Internal Safety Audits	Ensure that safety & security criticality methodologies are properly documented in departmental methodologies. Include decision methodology for FMEA/FMECA.	Ensure that safety & security criticality methodologies are properly documented in departmental methodologies. Include decision methodology for FMEA/FMECA.	Open – Action Acceptable	CENI [REDACTED]	4/30/2014	3/28/2014	3D - Acceptable with ESC review	

Most Recent Update: 3/28- CENI staff currently working towards completion of closure documentation.

<u>WMATA</u> <u>CAP ID</u>	<u>CAP Source Type</u>	<u>Finding/Recommendation</u>	<u>Corrective Action Plan</u>	<u>Status</u>	<u>Responsible</u> <u>Person(s)</u>	<u>Estimated</u> <u>Completion</u> <u>Date</u>	<u>Date of Most</u> <u>Recent</u> <u>Update</u>	<u>Initial Hazard Rating</u>	<u>Mitigated Hazard</u> <u>Rating</u>
12-008	Internal Safety Audits	Ensure that safety & security criticality methodologies are properly documented in departmental methodologies. Include decision methodology for FMEA/FMECA.	Ensure that safety & security criticality methodologies are properly documented in departmental methodologies. Include decision methodology for FMEA/FMECA.	Open – Action Acceptable	CENV- [REDACTED]	4/30/2014	3/28/2014	3D - Acceptable with ESC review	

Most Recent Update: 4/16/13-Closure documentation was provided to the ISSA team for review.
3/28/14- CENV staff in process of sending signed document to QAAW for submission to ISSA Team.

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12-009	Internal Safety Audits	Ensure that departmental training requirements, including agency requirements are documented & have a responsible position for verification.	Ensure that departmental training requirements, including agency requirements are documented & have a responsible position for verification.	Open – Action Acceptable	CENI [REDACTED]	4/30/2014	3/28/2014	3D - Acceptable with ESC review	

Most Recent Update: 3/28- CENI staff currently working towards completion of closure documentation.

<u>WMATA</u> <u>CAP ID</u>	<u>CAP Source Type</u>	<u>Finding/Recommendation</u>	<u>Corrective Action Plan</u>	<u>Status</u>	<u>Responsible</u> <u>Person(s)</u>	<u>Estimated</u> <u>Completion</u> <u>Date</u>	<u>Date of Most</u> <u>Recent</u> <u>Update</u>	<u>Initial Hazard Rating</u>	<u>Mitigated Hazard</u> <u>Rating</u>
12-052	Internal Safety Audits	Certain technical training courses need revision or development	Ensure that courses/modules/instruction in car cleaning, PMs-work orders (where needed), truck rebuild, splicing, rerailing, wheels (press-true-bore), calibration, welding and fabrication are developed and approved.	Open – Action Acceptable	██████████ TTDC	4/30/2014	3/28/2014	2D - Undesirable - Management (ESC) decision	

Most Recent Update: 9/25/12- CAP review meeting to be held and update to be provided. 2/26/13-ISSA Team advised documentation is to be provided on this item. 3/25/13- ██████████ advised ISSA Team more time is need to complete this CAP. He advised he has hired additional staff now the development of the training course can begin. TTDC will provide milestone toward completion of this CAP. 8/22/13- TTDC provided update and schedule for completion. 2/27/14- awaiting status of extension request.

3/28/14- CENV met with ISSA 3/27. Staff will provide closure documentation no later than COB 4/4/14..

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12-070	Accident/Incident Report - Internal	Parabolic mirrors shall be installed in areas of limited visibility within the car wash.	WMATA shall install the mirrors.	Open – Action Acceptable	Bitar	4/30/2014	3/28/2014	4C - Acceptable without review	

Most Recent Update: 8/26/13-A closure justification memo has been provided to the TOC to close this CAP as it is being superceded by the actions in CAP 12-071. 9/17/13- TOC is requesting a justification for not installing parabolic mirrors. QAAW will provide memo. 10/16/13- Awaiting justification memo. 11/21/13- TOC advised during CAPTURE meeting they are currently reviewing this CAP for closure. Item stand under TOC review at this time. 12/9/13- Closure documnetation has been provided to the TOC. Closure is still pending TOC review. 1/27/14- WMATA is still awaiting TOC review for closure. 2/27/14- WMATA is still awaiting TOC review for closure. 3/28/14 - No further discussions were had. Staff will bring up during next Capture meeting..

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12-074	Accident/Incident Report - Internal	SAFE will work on an Operational Procedure "Active Fire Alarm/Trouble Report Responsibilities" to address Fire Alarm/Trouble Report Response Procedures. The purpose of this Operations Administrative Procedure (OAP) is to provide consistency and guidance to all OPER and MTPD personnel in repsonse to remotely reporting active fire and panic alarms, and fire system trouble reports in Authority facilities.	WMATA shall develop the OAP	Open – Action Acceptable	██████████ SAFE Fire ██████████	4/30/2014	3/27/2014	2C - Undesirable - Management (ESC) decision	

Most Recent Update: 2/26/13- The OAP is currently under review for final signoff. 7/23/2013- Revision are currently being made to draft OAP. 9/25/13- OAP is currently being circulated for final review.

12/10/13- Closure documentation has been provided to the TOC. Closure is pending TOC review.

1/27/14- WMATA is still awaiting TOC review for closure.

2/27/14- WMATA is still awaiting TOC review for closure.

3/27/14- WMATA is still awaiting TOC review for closure..

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13-005	Accident/Incident Report - Internal	Recommend OCC/RTRA create memorandum instructing all Rail Train Operators to request "Rail Line" updates when transitioning from one line in the system to another (e.g. traveling from the C Line to the K Line). Establish and implement the "Rail Line" update as an SOP.	RTRA shall create a memorandum instructing all Rail Train Operators to request "Rail Line" updates when transitioning from one rail line to another. The "Rail Line" update shall become an SOP as well.	Open – Action Acceptable	RTRA- [REDACTED]	3/31/2014	3/27/2014	4A - Acceptable with ESC review	

Most Recent Update: 9/13/13- Closure documentation has been submitted to TOC. Documents are currently inder TOC review. 10/16/13- TOC reviewed closure documentation and requested additional information prior to closure of CAP. 11/21/13- TOC advised during CAPTURE meeting they are currently reviewing this CAP for closure. Item stand under TOC review at this time. 12/19/13- Closure documentation has been provided to the TOC. Closure is still pending TOC review. 1/28/14-TOC has requested additional information. Information will be gathered and provided . 2/27/14- TOC has rquested that the CAP be rewritten to reflect current practices with regard to radio communications. 3/27/14- QAAW and RTRA staff working to re-write CAP.

<u>WMATA CAP ID</u>	<u>CAP Source Type</u>	<u>Finding/Recommendation</u>	<u>Corrective Action Plan</u>	<u>Status</u>	<u>Responsible Person(s)</u>	<u>Estimated Completion Date</u>	<u>Date of Most Recent Update</u>	<u>Initial Hazard Rating</u>	<u>Mitigated Hazard Rating</u>
13-011	Accident/Incident Report - Internal	The probable cause of this incident was that failure to follow Standard Operating Procedure (SOP 1A) – Command, Control and Coordination of Emergencies on the Rail System.	SAFE/MTPD/RTRA/TRST/CMNT shall develop an Emergency Procedure Guide to distribute to individuals responsible for response.	Open – Action Acceptable	SAFE- <div></div>	12/31/2013	3/27/2014	3C - Undesirable - Management (ESC) decision	

Most Recent Update: 12/19/13- Closure documentation has been provided to the TOC. Closure is pending TOC review.

1/27/14- WMATA is still awaiting TOC review for closure.

2/27/14- TOC reviewed the submitted closure documentation. TOC advised document does not address what employees should do during an emergency. Additional documentation will be provided.

3/27/14- Supplemental documenation has be been submitted to TOC to support CAP closure. Documenation is currently under TOC review..

<u>WMATA CAP ID</u>	<u>CAP Source Type</u>	<u>Finding/Recommendation</u>	<u>Corrective Action Plan</u>	<u>Status</u>	<u>Responsible Person(s)</u>	<u>Estimated Completion Date</u>	<u>Date of Most Recent Update</u>	<u>Initial Hazard Rating</u>	<u>Mitigated Hazard Rating</u>
13-013	Accident/Incident Report - Internal	Contributing to the failure to follow SOP 1A was a lack of training received by Supervisory Personnel and the absence of joint training exercises to re-enforce the training.	MTPD/OEM shall conduct drills with responding departments and outside agencies to train for emergencies	Open – Action Acceptable	MTPD/OEM <div></div>	6/30/2014	3/27/2014	2D - Undesirable - Management (ESC) decision	

Most Recent Update: 12/2/13- Closure documentation has been provided to the TOC. Closure is pending TOC review.

1/27/14- WMATA is still awaiting TOC review for closure.

2/27/14- TOC reviewed the submitted closure documentation. TOC advised they would like to see an after action report of any drills that were used as part of the training prior to closure.

3/27/14- Supplemental documenation has be been submitted to TOC to support CAP closure. Documenation is currently under TOC review..

<u>WMATA CAP ID</u>	<u>CAP Source Type</u>	<u>Finding/Recommendation</u>	<u>Corrective Action Plan</u>	<u>Status</u>	<u>Responsible Person(s)</u>	<u>Estimated Completion Date</u>	<u>Date of Most Recent Update</u>	<u>Initial Hazard Rating</u>	<u>Mitigated Hazard Rating</u>
13-055	Other Internal Reports	CENV /CMNT shall develop an audit procedure to conduct sample testing of the intercom system for entire trainline. This will involve testing full consists.	CENV /CMNT will develop an audit procedure to conduct sample testing of the intercom system for entire trainline. This will involve testing full consists.	Open – Action Acceptable	CENV- [REDACTED]	3/31/2014	3/27/2014	3D - Acceptable with ESC review	3D - Acceptable with ESC review

Most Recent Update: 12/12/13- Closure documentation has been provided to the TOC. Closure is pending TOC review.

1/27/14- WMATA is still awaiting TOC review for closure.

2/27/14- WMATA is still awaiting TOC review for closure.

3/27/14- TOC reviewed documentation and advised CAP should remain open until the changes that were noted are fully implemented. .

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13-073	Accident/Incident Report - Internal	Hold Safety Standown with an emphasis on Improper Operation.	TRST will hold a Safety Standown with an emphasis on Improper Operation.	Open – Action Acceptable	TRST- [REDACTED]	6/30/14			3D - Acceptable with ESC review

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13-074	Accident/Incident Report - Internal	Develop a more robust training program for new Equipment Operators to include evaluation of trainers by training department.	TTDC will develop a more robust training program for new Equipment Operators to include evaluation of trainers by training department.	Open – Action Acceptable	TTDC - [REDACTED]	6/30/14			3D - Acceptable with ESC review

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13-075	Accident/Incident Report - Internal	There is a design flaw that allows the door to encroach on the dynamic outline of the track bed when fully open.	PLNT will install a post or bollard near the egress door to prevent the door from swinging into the train's dynamic envelope	Open – Action Acceptable	PLNT- [REDACTED]	9/30/14			4A - Acceptable with ESC review

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13-076	Accident/Incident Report - Internal	There is a design flaw that allows the door to encroach on the dynamic outline of the track bed when fully open.	Survey all yard shop locations to access similar conditions	Open – Action Acceptable	SAFE- [REDACTED]	6/30/14			4A - Acceptable with ESC review

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13-077	Accident/Incident Report - Internal	5 second rule implemented to remind Train Operators to pause and check signal aspect and rail alignment	5 second rule will be implemented to remind Train Operators to pause and check signal aspect and rail alignment	Open – Action Acceptable	RTRA- [REDACTED]	7/31/14			3D - Acceptable with ESC review

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13-078	Accident/Incident Report - Internal	Train Operator Training extended for an additional two weeks for one on one mentoring once Operator is assigned to his region.	Train Operator Training will be extended for an additional two weeks for one on one mentoring once Operator is assigned to his region.	Open – Action Acceptable	RTRA- [REDACTED]	7/31/14			3D - Acceptable with ESC review

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13-079	Accident/Incident Report - Internal	Additional signage installed on console to remind Operator to stop at all red signals unless permission is given by ROCC.	Additional signage will be installed on console to remind Operator to stop at all red signals unless permission is given by ROCC	Open – Action Acceptable	RTRA- [REDACTED]/CM NT-[REDACTED]	7/31/14			3D - Acceptable with ESC review

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13-080	Accident/Incident Report - Internal	Peer Review meeting held to discuss signal recognition and frequency of red signal violations.	Peer Review meeting will be held to discuss signal recognition and frequency of red signal violations	Open – Action Acceptable	RTRA- [REDACTED]	7/31/14			4D - Acceptable without review

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13-081	Accident/Incident Report - Internal	Develop a CBT for identification of signal aspects.	A CBTwill be developed for identification of signal aspects	Open – Action Acceptable	RTRA- [REDACTED]	12/31/14			4C - Acceptable without review

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13-082	Accident/Incident Report - Internal	Senior Management to discuss this incident in a group setting with all yard personnel to include Rail Supervisors, Interlocking Operators and Train Operators, as it relates to communication, ground inspections prior to moving vehicles and performing required brake test before moving vehicles.	Senior Management wil hold a safety Stand Down to discuss this incident in a group setting with all yard personnel to include Rail Supervisors, Interlocking Operators and Train Operators, as it relates to communication, ground inspections prior to moving vehicles and performing required brake test before moving vehicles	Open – Action Acceptable	RTRA- [REDACTED]	7/31/14			4D - Acceptable without review

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13-083	Accident/Incident Report - Internal	RTRA should ensure coupling/uncoupling activity is authorized and communicated by Interlocking Operator.	RTRA will hold a Safety Stand Down to discuss what coupling/uncoupling activity is authorized and communicated by Interlocking Operator.	Open – Action Acceptable	RTRA- [REDACTED]	7/31/14			3D - Acceptable with ESC review

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13-084	Accident/Incident Report - Internal	RTRA should develop lessons learned document for describing incident and how to prevent re- occurrence.	RTRA will develop lessons learned document for describing incident and how to prevent re- occurrence.	Open – Action Acceptable	RTRA- [REDACTED]	7/31/14			4D - Acceptable without review

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13-085	Accident/Incident Report - Internal	RTRA should issue a Communique addressing the importance of Interior and exterior inspections prior to moving rail vehicles.	RTRA will issue a Communique addressing the importance of Interior and exterior inspections prior to moving rail vehicles	Open – Action Acceptable	RTRA- [REDACTED]	7/31/14			4D - Acceptable without review

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13-086	Accident/Incident Report - Internal	QAAW and CQAL do not currently perform QA/QC on materials to the extent described in SSPP sections 21.1 and 21.4	WMATA will revise Section 21.1 and 21.4 in the next revision of the SSPP to accurately reflect the scope of QAAW and CQAL.	Open – Action Acceptable	SAFE- [REDACTED]	12/31/14			4D - Acceptable without review

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13-087	Accident/Incident Report - Internal	The PRMT or SAFE department does not evaluate and/or inspect contractor equipment for use on the Metrorail System.	WMATA will develop a procedure to evaluate and/or inspect contractor equipment for use on the rail system to assist in the prevention of accidents.	Open – Action Acceptable	SAFE- [REDACTED]	12/31/14			3E - Acceptable with ESC review

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13-088	Accident/Incident Report - Internal	Not all hazardous materials had corresponding hard- copy MSDS on file in the local facility audited.	WMATA will ensure that all employees in storerooms have direct electronic access to the complete catalog of MSDS information.	Open – Action Acceptable	SAFE- [REDACTED]	12/31/14			3E - Acceptable with ESC review

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13-089	Accident/Incident Report - Internal	Section 21.2 of the SSPP contains an outdated reference.	WMATA will revise Section 21.2 in the next revision of the SSPP to accurately reflect the most up-to-date references and procedures.	Open – Action Acceptable	SAFE- [REDACTED]	12/31/14			4D - Acceptable without review