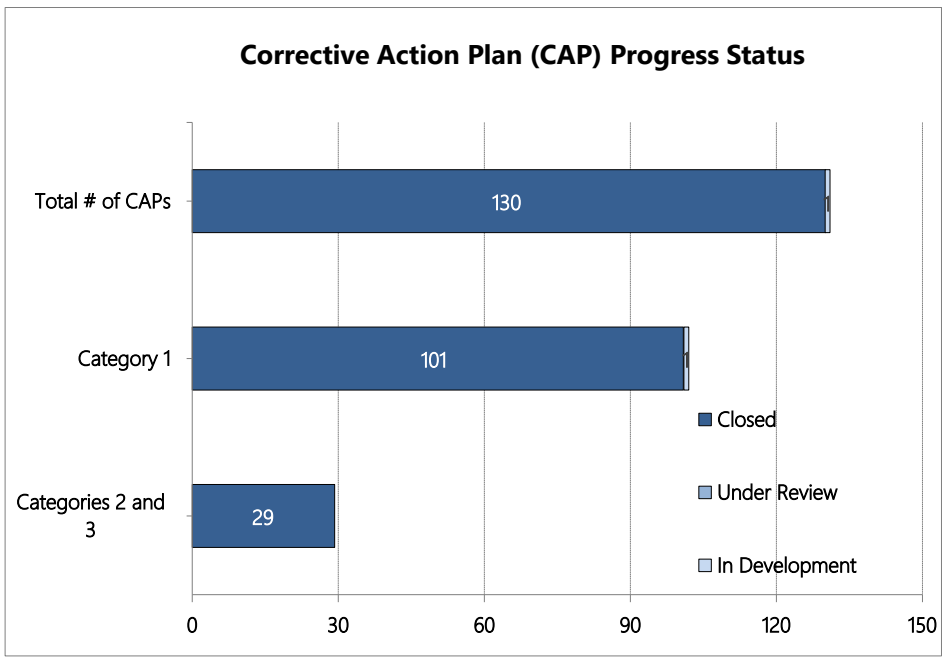
Washington Metropolitan Area Transit Authority (WMATA)

Safety Directive 16-1, 2 & 3 - Tri-State Oversight Committee (TOC) Detailed Tracker

As of 01/12/2024

WMATA Hazard Risk Category*	Description	CAP #s
I	**Unacceptable:** The hazard must be mitigated in the most expedient manner possible.	1
II	**Undesirable w/ Executive Safety Committee (ESC) decision required:** The hazard must be mitigated. If necessary, the Chief Safety Officer may develop interim mitigations in coordination with the ESC, subject to FTA approval.	43
III	**Acceptable w/ review:** The Chief Safety Officer must determine if the hazard is adequately controlled or mitigated as is.	45
IV	**Acceptable w/o review:** The hazard does not need immediate mitigation, but corrective actions are monitored.	42

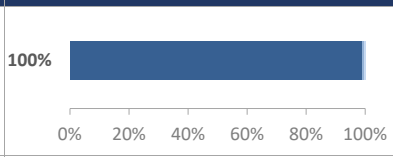
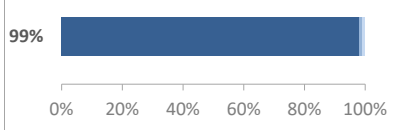
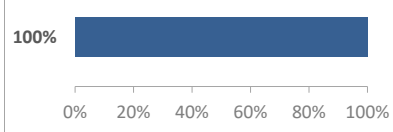
*In accordance with FTA requirements, WMATA's Hazard Risk categories are expressed in terms of severity and probability of occurrence. This is used as a safety management tool for mitigating hazards to the lowest practicable level

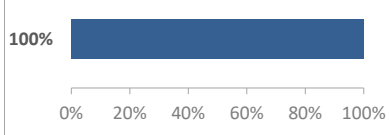
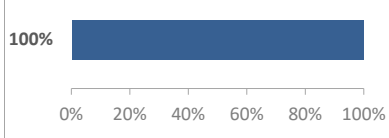
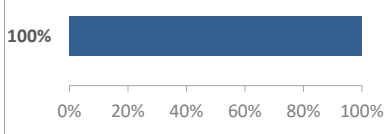
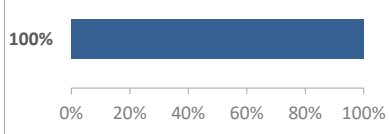


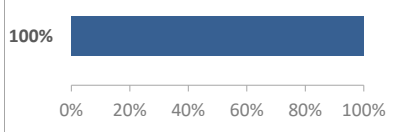
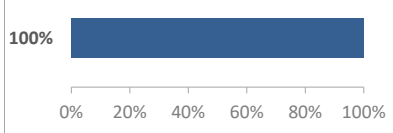
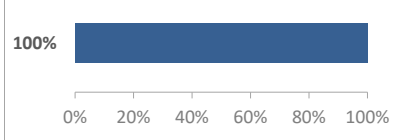
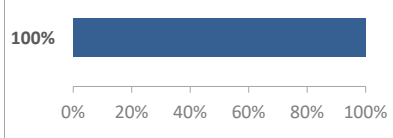
Metro Actionable Item Status		
Closed	Under Review	In Development

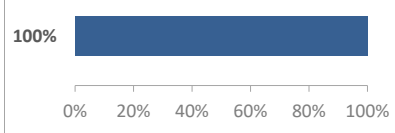
FTA Status Index			
O	Open	UR	Under FTA Review
O/PD	Open / Past Due	AC	Addressing FTA Comments
C	Closed		

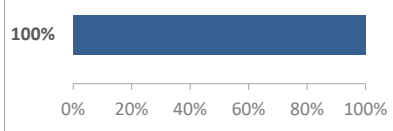
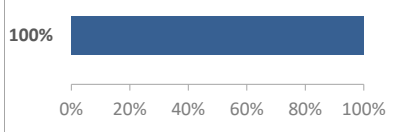
TOC Progress Status

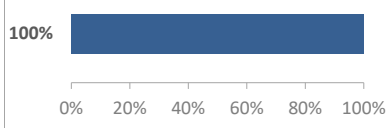
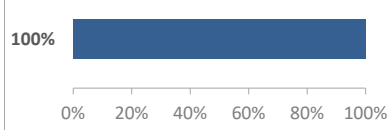
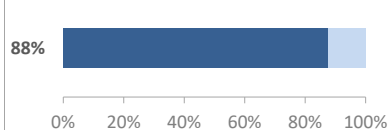
CAP #	Metro Actionable Items	WMATA Hazard Risk Category	Original Estimate to Request Closure	CAP Status	Total Action Items	Action Items Submitted	Actionable Items Status Bar
Tri-State Oversight Committee Corrective Action Plan (131 CAPS)					**237**	**236**	
Safety Directive 16-1 - Tri-State Oversight Committee - Category 1 (102 CAPs)					**102**	**101**	
TOC-ATC-15-002	ATC: Safety Findings and Required Actions for Automatic Train Control Maintenance and Training Issues • WMATA maintained inventory maintenance tools and updated the asset management database to remove all out-of-service items.	III	June 2020	C	10	10	
TOC-ATC-15-003	• WMATA implemented preventive maintenance (PM) frequency requirements for automatic train control (ATC) equipment and provided documentation of completed testing.	II		C			
TOC-ATC-15-004	• WMATA ensured that electronic PM data sheets for ATC are stored as blank copies and established policy requiring removal of any pre-filled data sheets.	IV		C			
TOC-ATC-15-005	• WMATA established documentation practices that ensure ATC PM data sheets are stored both in train control rooms and maintenance field offices and conducted routine audits of maintenance recordkeeping.	IV	February 2020	C			
TOC-ATC-15-006	• WMATA developed a quality control (QC) spotcheck procedure to verify supervisor work.	IV	February 2020	C			
TOC-ATC-15-008	• WMATA updated the maintenance management database to provide automatic identification of all past-due items for regular assessment by supervisors.	III		C			
TOC-ATC-15-009	• WMATA established protocols for the maintenance operations center (MOC) to govern work order generation and ATC must outline regular database queries for failure analysis, incorporating this process within the maintenance control policy (MCP).	II		C			
TOC-ATC-15-010	• WMATA added additional ATC inspections to the maintenance management database for scheduling and tracking, in response to return to the automatic train operations (ATO) report.	III		C			

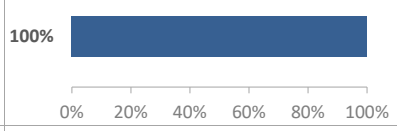
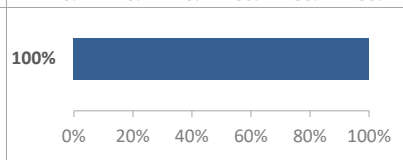
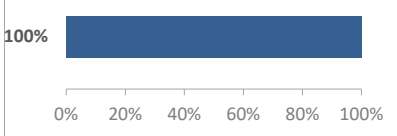
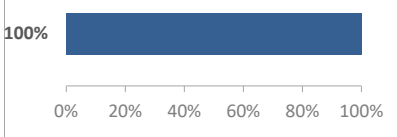
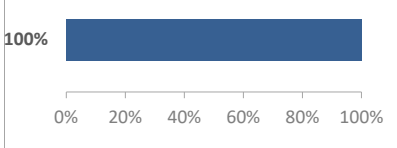
CAP #	Metro Actionable Items	WMATA Hazard Risk Category	Original Estimate to Request Closure	CAP Status	Total Action Items	Action Items Submitted	Actionable Items Status Bar
TOC-ATC-15-011	• WMATA established supervisor QC spot checks and appropriate documentation requirements in the ATC MCP.	IV	November 2020	C			
TOC-ATC-15-012	• WMATA added photos of ATC parts to associated part numbers in the supply system database for simplified parts identification.	IV	August 2019	C			
	CMT: Safety Findings and Required Actions for Change Management Issues				5	5	
TOC-CMT-15-001	• WMATA reviewed the safety and security management plan (SSMP) and make any updates necessary based on current requirements for the 7000 series railcar fleet.	IV		C			
TOC-CMT-15-002	• WMATA developed a procedure for and participate in audits of the safety and security certification program (SSCP) administered by vehicle engineering, as prescribed in the SSMP.	IV		C			
TOC-CMT-15-005	• WMATA developed a procedure to ensure that changes to infrastructure result in engineering modification instructions (EMI), and that site specific work plans (SSWP) contain necessary EMIs prior to approval by safety.	III		C			
TOC-CMT-15-006	• WMATA implemented a program for configuration control of technical documentation, as it relates to rail infrastructure, and incorporated requirements into the product lifecycle management (PLM) program.	II		C			
TOC-CMT-15-007	• WMATA ensured joint development and adjacent construction (JDAC) procedures and meeting agendas address internal departments regarding less-obvious impacts joint development projects may have on WMATA infrastructure.	IV		C			
	COL: Safety Findings and Required Actions Resulting from Collisions				3	3	
TOC-COL-15-002	• WMATA conducted a system-wide inspection of steel staircases and incorporated stair structures into annual station inspection requirements and provided reports/results for CY2014 and CY2015 to the FTA.	IV	August 2019	C			
TOC-COL-15-003	• WMATA is designing and installing new railing systems in all shop locations and rail facilities, including replacement of all sectional-type railing currently installed, to reduce the number of openings and eliminate the ability to swing railing within the dynamic envelope of railcars.	III	February 2022	C			
TOC-COL-15-005	• WMATA conducted an assessment of training provided to equipment operators following performance issues and established an approach to ensure appropriate training of operators prior to returning to service duties.	IV		C			
	DRL: Safety Findings and Required Actions Resulting from Derailments				1	1	
TOC-DRL-15-001	• WMATA installed wheel flange friction modifiers, similar to those installed on 5000 series rail cars, on remaining railcar fleets.	III		C			
	EGR: Safety Findings and Required Actions for Emergency Egress Issues				5	5	
TOC-EGR-15-001	• WMATA developed and implemented an inspection schedule, procedure and checklist for telephones, including those in emergency egress locations.	III		C			
TOC-EGR-15-003	• WMATA added inspections of fire extinguishers located in maintenance areas to the maintenance management database to ensure that regular inspections of extinguishers occur.	III		C			
TOC-EGR-15-004	• WMATA performed an analysis of PM procedures for call boxes at rail stations to ensure audible connection to station managers and the rail operations control center (ROCC).	III		C			

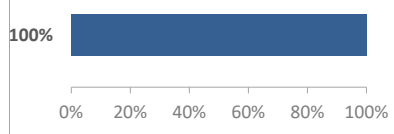
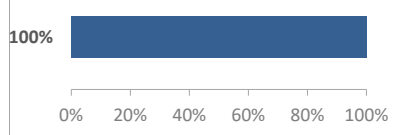
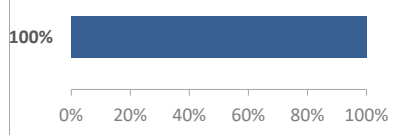
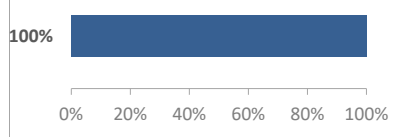
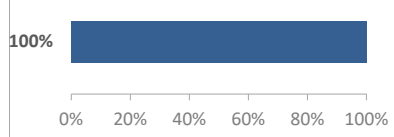
CAP #	Metro Actionable Items	WMATA Hazard Risk Category	Original Estimate to Request Closure	CAP Status	Total Action Items	Action Items Submitted	Actionable Items Status Bar
TOC-EGR-15-005	• WMATA submitted an implementation schedule to the FTA for installing covers on electrical outlets at stations and modified station manager inspection checklists to document missing outlet covers.	IV		C			
TOC-EGR-15-006	• WMATA addressed issues outlined in the TOC triennial review of stations maintenance (6/30/2015) regarding issues with lights, outlets, emergency egress, eyewash stations for battery rooms, guardrails, and ventilation.	IV		C			
TOC-EVC-15-001	EVC: Safety Findings and Required Actions for Evacuations • WMATA developed an annual maintenance program to replace every light and light fixture cover in the tunnels, to include rehabbing exiting covers where appropriate.	II		C	1	1	
TOC-FIR-15-001	FIR: Safety Findings and Required Actions for Fires • WMATA assessed the application of permanent order (T-13-12) regarding revision to standard operating procedure (SOP) #8 for fire and smoke in a station.	IV		C	1	1	
TOC-OSP-15-001	OSP: Safety Findings and Required Actions Resulting from Occupational and Shop Safety Compliance Issues • WMATA developed and implemented a hearing conservation program in accordance with Occupational Safety and Health Administration (OSHA) requirements.	II	July 2021	C	9	9	
TOC-OSP-15-002	• WMATA updated the hazard communication procedure to incorporate current practices and OSHA final rule, providing a copy to the FTA.	IV		C			
TOC-OSP-15-003	• WMATA communicated through safety training, campaigns and demonstrations' with employees to ensure the availability and use of the safety data sheet (SDS) system.	IV		C			
TOC-OSP-15-004	• WMATA conducted air quality testing in battery rooms located in Alexandria and West Falls Church to assess levels of hydrogen gas.	IV		C			
TOC-OSP-15-005	• WMATA stored and maintained shop equipment certification documents at each facility.	III		C			
TOC-OSP-15-006	• WMATA separated incompatible hazardous materials stored together and ensured that only compatible materials are stored together in respective cabinets.	III	January 2020	C			
TOC-OSP-15-007	• WMATA ensured requirements to separate flammable gases 20 feet from each other in a protective compressed gas cylinder cages is complied with at all facilities.	III	January 2020	C			
TOC-OSP-15-008	• WMATA updated all evacuation maps to identify user location (i.e. “You are here”), improve legibility, and identify the meaning of important icons.	III		C			
TOC-OSP-15-009	• WMATA posted evacuation plan maps in all rail car service and inspection facilities.	III		C			
TOC-OTR-15-001	OTR: Safety Findings and Required Actions Resulting from Other Accidents • WMATA instructed equipment operators on effective distribution/configuration for loading and unloading.	III		C	12	12	
TOC-OTR-15-002	• WMATA developed a program for flashing signal aspects at diverging routes.	III		C			
TOC-OTR-15-003	• WMATA ensured production crews have engineering modification instructions (EMI) available in the field.	III		C			
TOC-OTR-15-004	• WMATA implemented an engineering approval process for commissioning testing.	III		C			
TOC-OTR-15-005	• WMATA developed a configuration process outlining ATC engineering involvement in EMI implementation.	III		C			

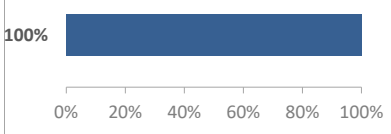
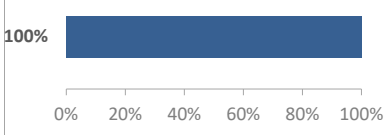
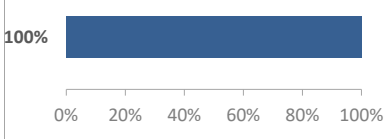
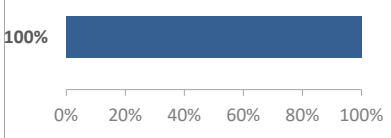
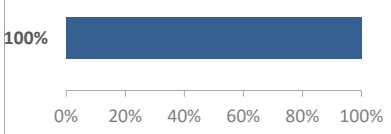
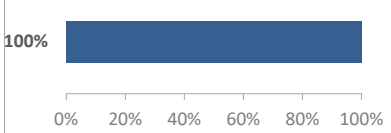
CAP #	Metro Actionable Items	WMATA Hazard Risk Category	Original Estimate to Request Closure	CAP Status	Total Action Items	Action Items Submitted	Actionable Items Status Bar
TOC-OTR-15-006	• WMATA installed train movement identification systems at all railcar wash facilities.	II	September 2020	C			
TOC-OTR-15-007	• WMATA clarified the station manager standard operating procedures (SOP) and training for intrusion detection alarms.	IV		C			
TOC-OTR-15-008	• WMATA developed a process for inspection and restoration of equipment used in emergency events or exercises, specifying time periods for restoration following an event.	IV		C			
TOC-OTR-15-009	• WMATA developed a process to ensure dry standpipes are dried after use.	IV		C			
TOC-OTR-15-010	• WMATA developed an SOP governing station condition checklists, coordinating with maintenance groups to ensure defects are documented and reported.	IV		C			
TOC-OTR-15-012	• WMATA developed a program to ensure portable radios are not used for extended periods beyond calibration, including notification to the communications branch when radios are taken out of service.	III		C			
TOC-OTR-15-014	• WMATA developed scheduling resources outlining yard storage activities at West Falls Church rail yard.	II		C			
	RWP: Safety Findings and Required Actions Resulting from Roadway Worker Protection (RWP) Program Implementation Issues				19	19	
TOC-RWP-15-001	• WMATA developed a formal procedure for flashbutt welding.	II		C			
TOC-RWP-15-002	• WMATA developed a job hazard analysis (JHA) for field welding to produce continuous welded rail (CWR).	II		C			
TOC-RWP-15-003	• WMATA conducted safety stand-downs with employees and contractors on safe welding practices.	II		C			
TOC-RWP-15-004	• WMATA established safety certification processes for all new track equipment, including training requirements, before allowing equipment operation.	II		C			
TOC-RWP-15-005	• WMATA continued fatigue management studies and applied results for track and structures employees.	II		C			
TOC-RWP-15-006	• WMATA reviewed all communications from the accident and develop lessons-learned, emphasizing professional communications during emergency situations.	II		C			
TOC-RWP-15-007	• WMATA revised SOP #1A for command, control and coordination of emergencies on the rail system to re-define the responsibilities of the rail operations control center (ROCC) and mobile command center (MCC) when emergencies occur in "shutdown" areas.	II		C			
TOC-RWP-15-008	• WMATA developed/updated engineering processes for developing, reviewing, approving, issuing and updating technical documentation.	II	January 2021	C			
TOC-RWP-15-009	• WMATA developed criteria to ensure that the department of safety and environmental management (SAFE) approves procurement actions above a designated threshold, including updates to the procurement procedures manual to reflect the new criteria.	II		C			
TOC-RWP-15-010	• WMATA developed a contract specification contract clause for safety requirements, requiring SAFE review of contract specifications to ensure application.	II		C			
TOC-RWP-15-011	• WMATA developed “Hot Work” program.	II		C			
TOC-RWP-15-012	• WMATA developed a formal procedure for SAFE to review and approved coordinated work plans for shutdowns.	II		C			

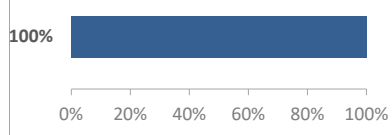
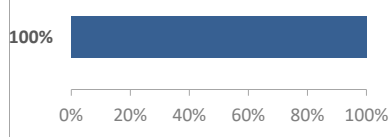
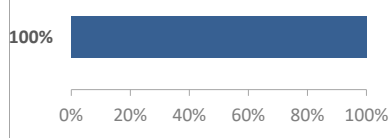
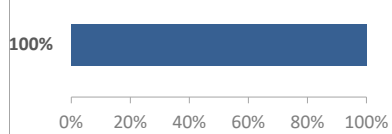
CAP #	Metro Actionable Items	WMATA Hazard Risk Category	Original Estimate to Request Closure	CAP Status	Total Action Items	Action Items Submitted	Actionable Items Status Bar
TOC-RWP-15-013	• WMATA developed a process to require daily inspection of all track equipment used for welding operations, including documentation on daily inspection checklists.	II		C			
TOC-RWP-15-014	• WMATA developed a process to require hydraulic hoses used for welding and grinding operations be designed for use in high temperature environments.	II		C			
TOC-RWP-15-015	• WMATA developed a process to perform appropriate air monitoring during welding operations.	II		C			
TOC-RWP-15-016	• WMATA developed a process designating SAFE as the final authority in determining safety certification requirements for projects and reference it in the safety and security certification plan (SSCP).	II		C			
TOC-RWP-15-017	• WMATA developed a policy governing the distribution of roadway workers in-charge (RWIC) for all work zone activities within working limits or shutdown areas, ensuring adequate coverage for extended work areas.	II	August 2019	C			
TOC-RWP-15-018	• WMATA developed lessons-learned emphasizing work prep activities, including use of the general orders and track rights system (GOTRS), briefing sheets, and radio communications.	IV		C			
TOC-RWP-15-019	• WMATA developed supplemental training tools regarding RWIC duties and responsibilities, including different ways information is communicated.	IV		C			
	SAF: Safety Findings and Required Actions Resulting from Issues with Safety Department Procedures and Responsibilities				9	9	
TOC-SAF-15-001	• WMATA completed the internal safety and security reviews (ISSR) according to schedule.	IV		C			
TOC-SAF-15-002	• WMATA completed safety certification activities and requirements for the Silver Line.	III		C			
TOC-SAF-15-003	• WMATA defined the update/comment process and responsibilities within the system safety program plan (SSPP).	IV		C			
TOC-SAF-15-004	• WMATA developed a process to review passenger complaints on railcar intercoms as part of the safety measurement system (SMS).	III		C			
TOC-SAF-15-005	• WMATA updated plans and procedures to ensure SAFE is involved in testing and commissioning activities of the 7000 series railcar fleet.	IV		C			
TOC-SAF-15-006	• WMATA developed a process to ensure contractor equipment is evaluated and inspected prior to use in the Metrorail system and provide oversight of implementation.	III		C			
TOC-SAF-15-007	• WMATA updated the SSPP to document how safety issues, concerns and requirements are managed in the procurement process.	III		C			
TOC-SAF-15-008	• WMATA updated policy instruction (P/I) 4.14/2 to clarify SAFE's role in the design control board (DCB) to ensure consistency with requirements contained in the SSPP.	IV		C			
TOC-SAF-15-009	• WMATA established a process to ensure accident investigation submittals are on-time.	IV	February 2020	C			
	SRT: Safety Findings and Required Actions for Structures Maintenance and Training Issues				11	11	
TOC-SRT-15-001	• WMATA conducted an assessment to determine assets that may require more frequent inspections and establish updated inspection schedules for those assets.	III		C			
TOC-SRT-15-002	• WMATA revised track inspection procedures, documentation and reporting to incorporate routine measurement and monitoring of tunnel leaks.	IV		C			

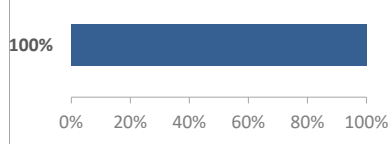
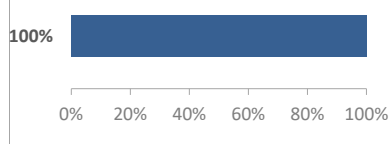
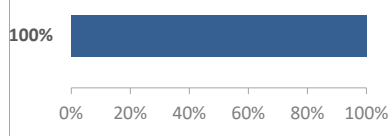
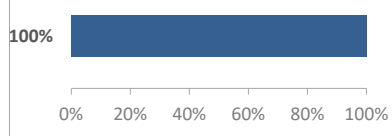
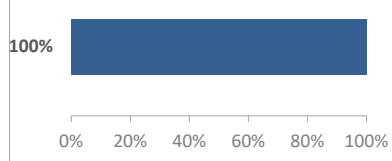
CAP #	Metro Actionable Items	WMATA Hazard Risk Category	Original Estimate to Request Closure	CAP Status	Total Action Items	Action Items Submitted	Actionable Items Status Bar
TOC-SRT-15-003	• WMATA updated quality control (QC) procedures and checklists to include requirements for maintenance manager spot-checks with field verification.	IV	April 2020	C			
TOC-SRT-15-004	• WMATA completed required revision of the TRST MCP.	IV	January 2021	C			
TOC-SRT-15-005	• WMATA developed a complete asset inventory of structures, including details and characteristics relevant to maintenance.	IV		C			
TOC-SRT-15-006	• WMATA improved utilization of track inspection software to incorporate work order numbers for deficiencies.	III		C			
TOC-SRT-15-007	• WMATA enhanced written inspection procedures to require documentation of all the defects based on location and quantity for historical comparison and tracking of structure condition.	III		C			
TOC-SRT-15-008	• WMATA assessed reasons for incomplete training and implement a solution to ensure all required training is completed.	IV		C			
TOC-SRT-15-009	• WMATA established inspection procedures and reporting requirements for static building structures and provide training to inspectors.	IV		C			
TOC-SRT-15-010	• WMATA revised existing maintenance procedures to include man-hour, tools and access requirements.	III		C			
TOC-SRT-15-011	• WMATA established guidelines for condition assessment of structures and expand use of inspection software beyond bridge structures.	IV		C			
	SVT: Safety Findings and Required Actions Resulting from System wide Maintenance and Vehicle Issues				6	6	
TOC-SVT-15-001	• WMATA established formal policies for safety-critical inventory management.	II		C			
TOC-SVT-15-004	• WMATA completed training for communications technicians on the 490 MHz radio system.	II		C			
TOC-SVT-15-005	• WMATA established a process to conduct follow-up inspections to ensure integrity of repairs.	II		C			
TOC-SVT-15-006	• WMATA developed a document control process adding revision numbers/dates and manager approval of car maintenance job plans.	III		C			
TOC-SVT-15-007	• WMATA initiated actions to mitigate water leak hazards.	II		C			
TOC-SVT-15-008	• WMATA developed inspection procedures and checklists for high-pressure washer parts based on original equipment manufacturer recommendations.	IV		C			
	WSD: Safety Findings and Required Actions Resulting from Wrong Side Door Openings				2	2	
TOC-WSD-15-001	• WMATA revised PMI for 5000 series railcars to incorporate inspections for water accumulation.	III		C			
TOC-WSD-15-002	• WMATA performed evaluation and selection of an effective sealant to prevent water intrusion that affects operation of railcar door components.	III		C			
	NTSB: NTSB Safety Recommendations Formally Adopted by the TOC				8	7	
NTSB R-10-21	• WMATA equipped lead railcar pairs with an operating onboard event recorder.	II		C			
NTSB R-10-22	• WMATA developed and implemented a program the performance of onboard event recorders to ensure functionality.	III		C			
NTSB R-15-10	• WMATA incorporated use of procedures in ongoing training developed in response to R-15-009, to ensure that ROCC staff have ample learning opportunities regarding ventilation fans.	II		C			

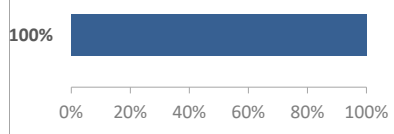
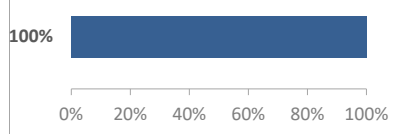
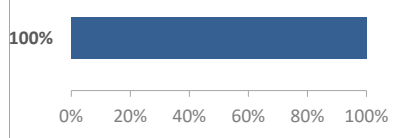
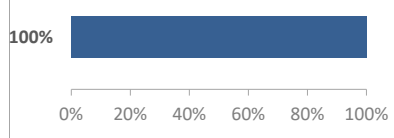
CAP #	Metro Actionable Items	WMATA Hazard Risk Category	Original Estimate to Request Closure	CAP Status	Total Action Items	Action Items Submitted	Actionable Items Status Bar
NTSB R-15-25	• WMATA developed and implemented a program to ensure that all power cable connector assemblies are properly constructed and installed in accordance with engineering design specifications.	III		C			
NTSB R-15-8	• WMATA performed an assessment of the tunnel ventilation system to verify state of good repair in accordance with industry best practices.	II		C			
NTSB R-15-9	• WMATA developed and implemented formal tunnel ventilation procedures for ROCC staff, based on the most effective fan direction and activation strategy to limit passenger exposure to smoke.	II		C			
NTSB-08-004	• WMATA will develop a strategy to alert wayside workers of approaching trains and train operators when approaching areas with workers on or near tracks.	I	December 2022	O			
NTSB-10-20	• WMATA removed all 1000 series railcars from service and replace with 7000 series railcars.	II		C			
Safety Directive 16-2 - Tri-State Oversight Committee - Categories 2 and 3 (29 CAPS)					**135**	**135**	
TOC-ATC-15-001 (T-1-1-a)	**WMATA must implement new scheduling methods to prevent Automatic Train Control (ATC) maintenance from being routinely deferred.** • WMATA implemented schedule, and audit ATC-1000 inspection manual. • WMATA performed an analysis on time available for inspection, testing and maintenance to ensure ATC maintenance is not routinely deferred. • WMATA conducted Preventative Maintenance Inspections (PMIs) in accordance with manufacturers' requirements. • Finally, WMATA performed a quality assurance audit to review actionable items.	II	March 2017	C	5	5	
TOC-ATC-15-007 (T-1-2-a)	**WMATA must add lines to ATC data sheets for tool information and calibration dates, and provide instructions to personnel regarding these changes**. • WMATA added a calibration section to the special tool and equipment requirements of the ATC-1000 and ATC-3000 manuals. • WMATA developed a new training plan, clarifying tool calibration requirements. • Finally, WMATA performed a quality assurance audit to review actionable items.	IV	August 2017	C	3	3	
TOC-ATC-15-013 (T-1-3-a)	**WMATA must implement new courses and refresher training for each mechanic grade.** • WMATA developed a standard operating procedure (SOP) governing mechanic promotional testing. • WMATA developed a complete list of training courses required for each ATC mechanic level. • WMATA developed complete ATC training curriculum in coordination with a third-party vendor. • WMATA incorporated updated training curriculum into training plans for all ATC mechanic grades. • Finally, WMATA performed a quality assurance audit to review actionable items.	IV	September 2017	C	5	5	
TOC-CMT-15-003 (T-2-1-a)	**WMATA must complete a staffing matrix for the 7000 series acceptance period, including a training plan to ensure the readiness of WMATA personnel.** • WMATA completed a staffing matrix through completion of the 7K series acceptance stage. • WMATA will developed a schedule training on 7K series railcars to operations and maintenance staff. • Finally, WMATA performed a quality assurance audit to review actionable items.	III	December 2017	C	4	4	

CAP #	Metro Actionable Items	WMATA Hazard Risk Category	Original Estimate to Request Closure	CAP Status	Total Action Items	Action Items Submitted	Actionable Items Status Bar
TOC-CMT-15-004 (T-2-2-a)	**WMATA must ensure that the Safety Certification Review Committee (SCRC) meets and votes as required, and that corrective actions and mitigations are developed to address results of the threat and vulnerability analysis (TVA).** • WMATA provided past meeting minutes and agendas from the SCRC, including items related to the TVA. • WMATA ensured TVA items are included as a SCRC standing item for review and action. • Finally, WMATA performed a quality assurance audit to review actionable items.	III	June 2016	C	4	4	
TOC-CMT-15-008 (T-2-3-a)	**WMATA must ensure the department of Safety and Environmental Management (SAFE) is involved in the Change Control Board. Also, the System Safety Program Plan (SSPP) must be updated to reference the Maintenance Control Policy (MCP) manual.** • WMATA submitted the policy instruction (P/I) 4.8/1 regarding capital construction program procedures. • WMATA submitted section of SSPP referencing the MCP manual. • Finally, WMATA performed a quality assurance audit to review actionable items. • WMATA addressed FTA comments	III	August 2019	C	3	3	
TOC-COL-15-001 (T-3-1-a)	**WMATA must conduct a system-wide audit of train movements in rail yards and shops in accordance with operating rules, documenting results and corrective actions.** • WMATA developed a comprehensive list and analysis of existing rules checks and other relevant procedures. • WMATA performed an assessment of the new rail supervisor training program. • WMATA performed an audit on rules check procedures to analyze findings and provide recommendations. • WMATA updated audit plans and checklists for auditing rail yards and shops in accordance with new procedures and perform quarterly audits. • WMATA audited rail yards and shops for compliance with updated/revised procedures and provided FTA with analysis of audit findings. • WMATA performed a quality assurance audit to review actionable items.	III	January 2020	C	11	11	
TOC-COL-15-004 (T-3-2-a)	**WMATA must provide results of push-pull tests completed on ceiling panels at Smithsonian, Metro Center, Gallery Plan, Farragut North, Judiciary Square and Union Station.** • WMATA submitted push pull test results for Smithsonian, Metro Center, Gallery Pl., Farragut North, Judiciary Sq., and Union stations. • WMATA revised ceiling tile specifications. • Finally, WMATA performed a quality assurance audit to review actionable items.	IV	July 2016	C	3	3	
TOC-COL-15-006 (T-3-3-a)	**WMATA must identify and correct improperly aligned third rail cable connector assemblies.** • WMATA provided a report of the system-wide inspection of all cable connector assemblies. • WMATA trained TRST inspectors on reporting requirements for misaligned or damaged cable boots. • WMATA modified track feeder cable inspection to include checklist for proper alignment. • Finally, WMATA performed a quality assurance audit to review actionable items.	III	July 2016	C	4	4	

CAP #	Metro Actionable Items	WMATA Hazard Risk Category	Original Estimate to Request Closure	CAP Status	Total Action Items	Action Items Submitted	Actionable Items Status Bar
TOC-COL-15-007 (T-3-4-a)	**WMATA must stripe asphalt adjacent to tracks to indicate fouling limits and "No Parking"** • WMATA completed a system-wide assessment of all rail yard tracks and adjacent no-parking zone markings. • WMATA modified the areas identified for risk mitigation, painting/striping asphalt adjacent to tracks. • Finally, WMATA performed a quality assurance audit to review actionable items.	**IV**	June 2016	C	3	3	
TOC-DRL-15-001 (T-4-1-a)	**WMATA must provide reports on follow-up inspections on the sufficiency of track ballast.** • WMATA Inspection supervisor performed track and ballast inspection assessment of the area. • The WMATA 1000 track standard was revised and reissued to all track walker/inspectors. • WMATA provided training outlines for track walker/inspectors based on the revised standard. • WMATA provided sign in sheets for completed training. • Finally, WMATA performed a quality assurance audit to review actionable items.	**III**	August 2016	C	5	5	
TOC-DRL-15-003 (T-4-2-a)	**WMATA must provide documentation and evidence of training for Equipment Operators and Supervisors conduct complete pre-trip inspections.** • WMATA carried out assessment on all track equipment according to pre-inspection check sheet. • WMATA issued a memorandum to operators instructing performance of pre-operational inspections with associated documentation. • Finally, WMATA performed a quality assurance audit to review actionable items. • WMATA addressed FTA comments	**IV**	July 2016	C	3	3	
TOC-DRL-15-004 (T-4-3-a)	**WMATA must provide documentation of system-wide inspection of hand throw switches and evidence of switch rod and stand replacement**. • WMATA completed system-wide inspection of all hand throw switches. • WMATA modified yard inspection to include hand throw switch. • WMATA carried out repairs on all identified hand throw switches. • Finally, WMATA performed a quality assurance audit to review actionable items.	**IV**	October 2016	C	4	4	
TOC-EGR-15-002 (T-5-1-a)	**WMATA must address debris and equipment blocking the emergency access landings and area of refuge, ensuring contractors are briefed on proper safety protocols.** • WMATA conducted an assessment of all emergency egress landings and areas of refuge, ensuring all areas were clear. • WMATA generated a memo regarding emergency egress landings and areas of refuge blocked by debris and/or equipment. • WMATA confirmed there was reasonable evidence to support completion of actionable items and performance measures.	**IV**	August 2019	C	3	3	
TOC-EVC-15-002 (T-6-1-a)	**WMATA must develop a procedure directing actions when a train must go out of service temporarily and move to a pocket/tail track.** • WMATA updated standard operating procedure (SOP) for train movement into pocket tracks.	**III**	June 2017	C	5	5	

CAP #	Metro Actionable Items	WMATA Hazard Risk Category	Original Estimate to Request Closure	CAP Status	Total Action Items	Action Items Submitted	Actionable Items Status Bar
	• WMATA modified rail training programs to incorporate modified SOPs and rule changes. • WMATA provided a quarterly rail training and safety audit. • Finally, WMATA performed a quality assurance audit to review actionable items.						
TOC-FIR-15-002 (T-7-1-a)	**WMATA must re-engineer the cab heater in the 5000 series railcars ensure safe performance and provide documentation of completion.** • WMATA provided an engineering test report (ETR) for new circuit breakers. • WMATA provided an ETR for testing cab heater protection. • WMATA provided instruction to replace the original circuit breaker. • WMATA provided instructions to install the additional protection cab heaters. • WMATA provided instructions to overhaul the cab heaters. • WMATA provided a memorandum to document 100% completion of engineering modification instruction (EMIs) and maintenance and service instructions (MSI). • Finally, WMATA performed a quality assurance audit to review actionable items.	II	July 2016	C	7	7	
TOC-OTR-15-011 (T-9-1-a)	**WMATA must conduct a staffing assessment for the communications branch with regards to maintenance requirements.** • WMATA completed a staffing assessment. • WMATA developed a budget and staffing plan based on assessment. • WMATA consulted with human resources (HR) for recruitment. • WMATA provided technical training for new employees. • Finally, WMATA performed a quality assurance audit to review actionable items.	III	July 2018	C	5	5	
TOC-OTR-15-013 (T-9-2-a)	**WMATA must conduct a staffing assessment and increase personnel resources at West Falls Church Yard during peak periods.** • WMATA provided a staffing assessment for West Falls Church rail yard. • WMATA generated a schedule to incorporate increased manpower. • WMATA submitted a quarterly safety audit to verify compliance with revised schedules. • WMATA confirmed there was reasonable evidence to support completion of actionable items and performance measures.	III	January 2020	C	4	4	
TOC-RED-15-001 (T-10-1-a)	**WMATA must improve its testing and observation of train and equipment operators, including regular review of track circuit downloads for speeding and speed gun testing.** • WMATA developed requirements, methods, and frequency for performing speed gun audit checks. • WMATA incorporated track circuit downloads into daily reports. • WMATA performed quarterly rail and safety audits. • Finally, WMATA performed a quality assurance audit to review actionable items.	II	February 2017	C	5	5	

CAP #	Metro Actionable Items	WMATA Hazard Risk Category	Original Estimate to Request Closure	CAP Status	Total Action Items	Action Items Submitted	Actionable Items Status Bar
TOC-RED-15-002 (T-10-2-a)	**WMATA must establish verbatim repeat-back from vehicle operators when vehicle movement instructions are issued by ROCC, interlocking operators, and supervisors.** • WMATA generated a list of requirements to address finding. • WMATA conducted an audit of radio communications. • WMATA confirmed there was reasonable evidence to support completion of actionable items and performance measures.	II	January 2020	C	3	3	
TOC-RED-15-003 (T-10-3-a)	**WMATA must require equipment operators and pilots to include any control points, junctions, stations, restricted sights, etc. in their job briefings.** • WMATA provided location validation of rail system mainline and yard signals and switches and printed maps for distribution to equipment operators. • WMATA wrote procedures requiring personnel to carry system map while on duty. • WMATA modified pre-operational checklists for maintenance of way (MOW) equipment. • WMATA performed quarterly safety audits to verify compliance with revised procedures. • Finally, WMATA performed a quality assurance audit to review actionable items.	II	September 2019	C	6	6	
TOC-RED-15-004 (T-10-4-a)	**WMATA must provide Train Operators and Pilots with physical characteristics training for the lines and yards they operate on, provided whenever starting on a new line or location. cement and other route irregularities.** • WMATA provided line familiarization training to train operators. • WMATA incorporated operating characteristic refresher into the train operator certification. • Finally, WMATA performed a quality assurance audit to review actionable items.	II	May 2017	C	3	3	
TOC-RED-15-005 (T-10-5-a)	**WMATA must immediately remove from service and retrain operators and pilots involved in red-signal overruns.** • WMATA provided line familiarization training to train operators. • WMATA developed re-instruction standards for train operators. • Finally, WMATA performed a quality assurance audit to review actionable items.	II	May 2017	C	3	3	
TOC-RED-15-006 (T-10-6-a)	**WMATA must develop an ongoing safety campaign to communicate leading causes of red signal violations to employees, including those identified in the report "Investigation and Analysis of WMATA 2014 Red Signal Violation Incidents".** • WMATA reviewed the "Investigation and Analysis of WMATA 2014 Red Signal Violation Incident" and provided corrective action plan. • WMATA developed a training course for all employees transmitting radio communications as part of FTA SMI R-1-6-a. • WMATA developed and posted yard schematics in rail yard breakrooms. • WMATA replaced console stickers with a modified version and developed a "Signal Recognition Train Operator Job Aid" for train operators. • Finally, WMATA performed a quality assurance audit to review actionable items.	II	January 2017	C	8	8	

CAP #	Metro Actionable Items	WMATA Hazard Risk Category	Original Estimate to Request Closure	CAP Status	Total Action Items	Action Items Submitted	Actionable Items Status Bar
TOC-RED-15-007 (T-10-7-a)	**WMATA must conduct an assessment of current schedule and headways to ensure realistic operating times.** • WMATA completed assessment of on-time performance by rail line and developed a scheduling review process. • WMATA implemented new scheduling process and developed an audit process to validate schedules. • WMATA performed quarterly safety audits. • WMATA confirmed there was reasonable evidence to support completion of actionable items and performance measures.	II	February 2020	C	7	7	
TOC-RED-15-008 (T-10-8-a)	**WMATA must complete an assessment of the signal system to identify potential improvements.** • WMATA collected station overrun data that identifies location and car equipment. • WMATA provided analysis of ATC system capabilities for operating in automatic train operation (ATO). • WMATA developed software to detect station overruns. • Finally, WMATA performed a quality assurance audit to review actionable items.	II	December 2017	C	4	4	
TOC-SVT-15-002 (T-14-1-a)	**WMATA must develop SOPs for maintenance personnel.** • WMATA added maintenance addendum to SOP to reflect IT interactions, include all engineering and facilities maintenance tasks. • WMATA updated SOP to include communication details and field relief processes. • WMATA completed job safety analysis for engineering staff. • WMATA performed a quality assurance audit to review actionable items.	II	September 2016	C	6	6	
TOC-SVT-15-003 (T-14-2-a)	**WMATA must establish a formal policy prohibiting the storage of equipment on tail tracks where incoming outbound trains would enter that track over a switch in the normal position.** • WMATA provided analysis of ATC track circuits, reviewing existing practices and procedures for all tail track storage. • WMATA generated a new SOP for the storage of trains in tail tracks. • WMATA modified rail training programs and guide books to incorporate policy and rule changes. • WMATA performed quarterly safety audits. • WMATA performed scope verification and inspection of deliverables.	II	June 2017	C	6	6	
TOC-WSD-15-003 (T-15-1-a)	**WMATA must evaluate its program for training and supervising train operators in accordance with SOP 40, door operations/station servicing procedure.** • WMATA modified rail supervisor training to comply with SOP 40. • WMATA updated train operator training to comply with SOP 40. • WMATA performed scope verification and inspection of deliverables.	III	January 2017	C	3	3