

CAP Number	Finding(s)/Recommendation(s)	CAP Open Date	WMATA Expected Completion Date
FTA-17-1-10	Finding 4: Traction power cables are often loose on the ground, subjecting them to contamination, vibration, and damage from movement. Finding 9: There is insufficient dielectric insulation for cable terminations used in the traction power system. Finding 17: The cable replacement and upgrade program for 8-car train roll out has been deferred. Finding 18: WMATA's negative return system (at traction power substations) has not been upgraded to address plans for 50 percent and 100 percent operation of 8-car trains. Finding 19: WMATA has suspended its contact rail expansion joint elimination program until further analysis is completed.	2/19/2016	7/29/2022
FTA-RED-16-003-B	WMATA has not fully implemented sufficient protections against the unauthorized movement of trains with zero speed commands.	8/15/2016	8/31/2021
FTA-RED-16-004-A	WMATA does not ensure consistent understanding among train and equipment operators and the ROCC or Interlocking Controllers.	10/14/2016	6/30/2021
FTA-TSR-18-003	WMATA does not consistently implement its Hazard Management Procedure.	4/18/2018	6/30/2022
TOC-COL-15-003-A	Design and install a new railing system that reduces the number of openings and eliminates the ability of the hand rails to swing into the direction of the dynamic envelope of a rail car in all shop locations and rail facilities to replace the sectional type of railing system currently installed.	2/15/2015	2/1/2022
TOC-OSP-15-001-A	WMATA's hearing conservation program does not meet OSHA requirements.	12/15/2015	12/31/2021
WMSC-19-C0005	Metrorail lacks sufficient capability to collect safety-related data from assets via telemetry sources and analyze that data for use by rail and operations staff to improve the safety of those assets, which is a critical element of SMS.	1/22/2020	9/30/2022
WMSC-19-C0008-A	Metrorail does not currently have an effective hours of service policy.	3/3/2020	9/30/2020
WMSC-19-C0008-B	Metrorail does not currently have an effective hours of service policy.	3/3/2020	9/30/2022

WMSC-19-C0026	WMATA does not conduct annual culvert inspections as specified in Section 105.1 of the TRST-1000.	4/15/2020	3/18/2022
WMSC-19-C0033	WMATA cannot verify that defects identified during track geometry vehicle inspections are repaired	4/14/2020	12/15/2021
WMSC-20-C0037	Third rail power restoration is routinely rushed by ROCC management with a focus on restoring train service rather than a focus on following safety procedures.	9/25/2020	1/28/2022
WMSC-20-C0042	WMATA employees are not consistently following RWP Rule 5.12 for equipment calibration.	10/30/2020	11/24/2021
WMSC-20-C0046	Practical exercises and testing in RWP classes are not standardized, which could lead to workers getting Level II or Level IV certification without proper instruction.	10/2/2020	1/27/2022
WMSC-20-C0049	ROCC management contributes to a chaotic environment. Use of profanities, threats and racial, sexual or other forms of harassment are regular features of the control centers environment, which makes it difficult for controllers to do their jobs and drives low morals and significant turnover.	1/22/2021	12/1/2023
WMSC-20-C0051	Metrorail does not record all critical ROCC communications, limiting the lessons that can be learned from safety events.	1/8/2021	7/29/2022
WMSC-20-C0052	There is no consistent, clear, concise, immediate and reliable Metrorail communication process for safety-critical information between Metrorail personnel and fire liaison.	1/8/2021	2/24/2023
WMSC-20-C0053	Some Metrorail procedures lack the required urgency to address life-safety issues.	1/29/2021	1/6/2023
WMSC-20-C0054	Repeated failures to address safety issues have contributed to a culture where frontline workers no longer see any value in reporting and recording problems	12/15/2020	2/25/2022

WMSC-20-C0055	WMATA does not always follow or clearly define its fatigue risk management procedures for the Rail Operations Control Center, including those limiting the length of controller shifts.	1/8/2021	12/16/2022
WMSC-20-C0056	Metrorail ROCC recruitment and retention approach is failing. Some controller trainees have left the ROCC immediately after or shortly after the training course, which is scheduled to last nine months.	1/8/2021	8/30/2024
WMSC-20-C0057	A high rate of staff turnover in the Rail Operations Control Center contributes to staffing challenges and a lack of positive institutional knowledge that can contribute to safety challenges.	1/22/2021	1/6/2023
WMSC-20-C0058	Controllers still have too many responsibilities and are frequently rushed to complete tasks by management.	1/8/2021	12/2/2022
WMSC-20-C0059	WMATA has failed to regularly update the Rail Operations Control Center Procedures Manual.	1/8/2021	4/26/2024
WMSC-20-C0060	WMATA has not reviewed SOPs or OAPs on a regular basis.	2/1/2021	1/6/2023
WMSC-20-C0061	Ride alongs are not effectively utilized to increase controller knowledge, contributing to a lack of controller understanding of what is actually happening on the roadway.	1/8/2021	7/29/2022
WMSC-20-C0062	Controllers are not provided with the full extent of training necessary to do their jobs, including sufficient familiarization with roadway operations and procedures.	12/15/2020	2/18/2022
WMSC-20-C0063	Aspects of ROCC training are inconsistent and must be structured. Multiple controllers reported that significant time is wasted during initial training.	1/29/2021	1/7/2022
WMSC-20-C0064	Required on the job training (OJT) is not carried out in a structured or standardized fashion.	1/26/2021	10/29/2021

WMSC-20-C0065	Not all controllers experience emergency drills. If each ROCC controller does not get this experience, it diminishes the value of the drills	1/8/2021	2/17/2023
WMSC-20-C0066	The certification process for ROCC instructors, assistant superintendents, superintendents and controllers is inconsistent, not properly documented, and lacks proper controls to ensure the integrity and meaning of certification.	12/11/2020	7/1/2022
WMSC-20-C0067	Certification and recertification scenarios required of ROCC employees are repeated year after year, diminishing the value of the testing and training process.	1/8/2021	4/15/2022
WMSC-20-C0068	WMATA does not have a standardized training program for personnel working at desks such as the MOC or ROIC. Metrorail could not provide any documentation of MOC training materials, a curriculum or a training description. Metrorail provided only a study guide for the ROIC.	1/15/2021	1/26/2024
WMSC-20-C0070	Metrorail puts the integrity of safety event investigation at risk by not following procedures requiring proper chain of custody and control of evidence as outlined in SOP 800-01 and Policy/Instruction 10.4/1, not following procedures requiring direct access for investigators to all information, recordings and other evidence that is potentially relevant to the investigation, and not fully training all personnel on the steps they are required to take when a safety event occurs.	1/26/2021	10/27/2023
WMSC-20-C0071	Metrorail departments involved in structures inspections and maintenance operate in unacceptable silos, which creates safety risks.	6/14/2021	1/14/2022
WMSC-21-C0072	WMATA does not have load ratings for its bridges and aerial structures.	6/25/2021	4/14/2023
WMSC-21-C0073	Metrorail has not clearly assigned responsibility for the Structural Inspection Manual and has not set a timeline for review of the manual.	4/20/2021	9/30/2021

WMSC-21-C0074	A new Structural Inspection Manual was made effective without any associated training for the employees responsible for implementing it.	4/6/2021	5/13/2022
WMSC-21-C0075	Standard Operating Procedure 208-07 (dated March 2020) contains outdated and conflicting references.	4/6/2021	5/13/2022
WMSC-21-C0076	Metrorail does not have important structural steel inspection tools available that are listed in its Structural Inspection Manual.	4/16/2021	5/13/2022
WMSC-21-C0077	Metrorail does not have consistent requirements for refresher or additional training for structures inspection and maintenance teams.	5/7/2021	4/14/2023
WMSC-21-C0078	Structures inspection supervisors are not able to spend adequate time in the field, creating concerns about work quality and workload.	4/20/2021	7/16/2022
WMSC-21-C0079	Department of Engineering and Architecture (ENGA) does not document its findings when inspectors call for an engineer to examine a potential problem in person or through review of and inspection report.	4/16/2021	10/29/2021
WMSC-21-C0080	Metrorail inspection, repair and design data are spread across disparate systems in a way that makes certain work challenging, creating the risk that safety issues could be misidentified or slip through the cracks.	5/4/2021	7/29/2022
WMSC-21-C0081	Metrorail does not review contractor credentials, qualifications or trainings before a contractor conducts an elevated structure inspection.	4/6/2021	8/12/2022
WMSC-21-C0082	Metrorail does not have a written procedure for spot checks of TRST structural inspections.	3/23/2021	11/12/2021
WMSC-21-C0083	Ten Metrorail structures have steel rocker bearings, which created a seismic risk in the event of an earthquake other seismic events.	4/20/2021	11/10/2023

WMSC-21-C0084	Metrorail is not following and does not have effective safety certification and acceptance procedures for new RMMs. There is no Metrorail-wide safety certification procedure to implement the SSCP.	7/6/2021	7/19/2024
WMSC-21-C0085	Metrorail does not always follow safety certification or safety approval process requirements for modifications to existing RMMs.	5/20/2021	7/8/2022
WMSC-21-C0086	Metrorail is not following its engineering change procedures.	5/20/2021	1/7/2022
WMSC-21-C0087	Metrorail is not utilizing reliability data for its RMMs, including the specific nature of any failure, which prevents WMATA from realizing the safety benefits of a complete, ongoing analysis program.	6/14/2021	8/12/2022
WMSC-21-C0088	Equipment operators are not fully trained on each type of vehicle they may be directed to operate. Some training has not included sufficient hands-on experience.	7/6/2021	11/18/2022
WMSC-21-C0089	Equipment operator certifications for specific vehicles do not expire or require recertification.	6/14/2021	2/4/2022
WMSC-21-C0090	Supervisors or others have no way of confirming while in the field whether an operator is properly trained to operate a specific RMM.	6/14/2021	11/18/2022
WMSC-21-C0091	Metrorail risks key safety and maintenance work coming to a halt due to insufficient succession planning and training.	6/14/2021	2/22/2023
WMSC-21-C0094	Metrorail applies certain railcar rules to RMM maintenance and engineering that create unnecessary complications or contradictions.	5/20/2021	2/25/2022
WMSC-21-C0095	CTEM mechanics get only limited training on specific vehicles that would assist them in moving and maintaining RMMs, and do not get adequate refresher training.	6/14/2021	8/12/2022

WMSC-21-C0098	Several Metrorail preventive maintenance instructions do not include acceptable tolerances for required measurements.	5/20/2021	6/6/2025
WMSC-21-C0099	Intrusion Detection Warning (IDW) system deficiencies.	7/6/2021	4/7/2028
WMSC-21-C0100	Metrorail is not maintaining a fully functioning radio communications system in all rail yards and shops.	7/23/2021	10/30/2026
WMSC-21-C0101	Metrorail does not have, provide training on, or otherwise follow specific rules related to rail vehicle and switch movement in non-signalized territory. Further, Metrorail provides no controls on or oversight of movement in dark territory.	7/23/2021	11/16/2022
WMSC-21-C0102	Metrorail has not adequately trained ATCM employees on safety procedures to ensure that all employees fully understand their roles with respect to safety.	9/27/2021	9/23/2022
WMSC-21-C0103	Metrorail has continued efforts to return to Automatic Train Operation without following its safety certification procedures.	9/23/2021	2/25/2022
WMSC-21-C0104	WMATA is not conducting all inspections and maintenance required by its ATC manuals and ATC manuals have incorrect or incomplete information and outdated references.	9/29/2021	11/18/2022
WMSC-21-C0105	Metrorail allows employees to use tools that have not gone through any safety review or approval process.	9/10/2021	8/12/2022
WMSC-21-C0106	Metrorail does not have a standardized determination of which preventive maintenance work must be prioritized as safety critical.	9/23/2021	8/12/2022
WMSC-21-C0107	There is no formal process for ATCM, the department that performs the work in the field, to initiate or request an engineering modification or manual change from ATCE.	8/2/2021	1/13/2023

WMSC-21-C0108	Departments responsible for ATC do not have clear, documented, effective working relationships which contributes to communication and coordination challenges that limit safety improvements.	10/25/2021	11/18/2022
WMSC-21-C0109	WMATA does not have a standardized process to prioritize and advance ATC capital projects.	9/24/2021	7/29/2022
WMSC-21-C0110	Training and parts needed for maintenance appear to be an afterthought in WMATA procurements.	9/24/2021	3/17/2022
WMSC-21-C0111	Metrorail does not have adequate replacement parts or materials and has not planned for the obsolescence of critical equipment.	10/21/2021	8/25/2023
WMSC-21-C0112	Metrorail has no specific minimum training course requirements, documented OJT requirements or equipment certifications for ATCM employees, or requirements that individuals be trained on a system element prior to conducting maintenance work on it.	10/4/2021	11/16/2022
WMSC-21-C0114	Some test forms, work orders, or data sheets are not completed or are not completed with the required level of	10/29/2021	5/7/2022
WMSC-21-C0115	Metrorail's written procedures do not reflect changes that employees are being directed to implement	9/23/2021	7/5/2023
WMSC-21-C0117	Metrorail does not have documented ATC software standards.	8/3/2021	5/20/2022
WMSC-21-C0119	Safety sensitive physicals are not conducted as required by Metrorail policy, and Metrorail does not document or track when these physicals are due for all existing employees.	11/30/2021	1/27/2023
WMSC-21-C0122	WMATA does not conduct safety sensitive physicals at the time of or soon after hire as required by its policies.	11/30/2021	9/16/2022
WMSC-21-C0123	Not all safety sensitive employee positions have fully documented and up-to-date physical and medical requirements	1/5/2022	12/30/2022
WMSC-21-C0125	WMATA does not have written criteria for post-incident testing and does not consistently implement post-event testing.	1/5/2022	6/24/2022

WMSC-21-C0127	WMATA does not provide adequate, clear, understandable information to employees regarding what over-the counter medications must be disclosed.	11/30/2021	8/12/2022
WMSC-21-C0128	WMATA does not have procedures to confirm that employees are consistently removed from service for positive drug and alcohol test results in a timely manner as required by federal regulations.	12/2/2021	12/30/2022
WMSC-21-C0135	SAFE approved SMP documentation that was incomplete and that did not match approved forms, and Metrorail did not comply with safety certification requirements defined in the SSCPP.	12/16/2021	8/26/2022
WMSC-21-C0140	The responsibilities of CMOR's Incident Investigation Team and CMOR's separate unusual occurrence response personnel conflict and are not clearly defined.	11/11/2021	2/11/2022
WMSC-21-C0141	Metrorail does not have adequate document control practices for car maintenance job plans.	12/22/2021	8/26/2022
WMSC-21-C0148	Some WMATA job descriptions have not been reviewed in more than 20 years.	1/5/2022	1/4/2023
WMSC-21-C0149	WMATA has not fully implemented sufficient protections against the unauthorized movement of trains with zero speed commands.	11/18/2021	7/15/2022
** List reflects all WMATA Metrorail CAPs that WMSC or prior oversight (FTA, TOC) has approved for implementation and that remain open as of Jan. 14, 2022. It does not include CAPs that were not yet approved for implementation or that were not yet due.			