



NATIONAL TRANSPORTATION SAFETY BOARD
Investigative Hearing

Washington Metropolitan Area Transit Authority Metrorail train 302 that encountered heavy smoke in the tunnel between the L'Enfant Plaza Station and the Potomac River Bridge on January 12, 2015

GROUP	H
EXHIBIT	
44	

Agency / Organization

Washington Metropolitan Area Transit Authority

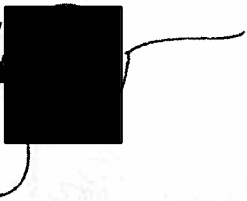
Title

Disciplinary Guidelines Matrix
Memorandum to Employees

M E M O R A N D U M



SUBJECT: Disciplinary Guidelines Matrix for Local 689 and Local 922 Represented Employees DATE: January 26, 2015

FROM: Jack Requa, Interim General Manager 

THRU: A. Robert Troup, DGMO
Robert Potts, Acting AGM, BUSV

TO: All WMATA Operations and Maintenance Employees in BUSV, RTRA and TIES Represented by Local 689 and Local 922

This memorandum serves as notice to all WMATA operations and maintenance employees assigned to Departments in BUSV, BMNT, SMNT, ELES, RTRA, CMNT, PLNT, and TRST represented by ATU Local 689 and IBT Local 922 of the Disciplinary Guidelines Matrix, to be used when administering discipline. This memorandum will outline the policy and procedures these Departments will be required to use to administer their Department's specific disciplinary guidelines matrix.

This memorandum and the universal use of the Disciplinary Guidelines Matrix (Guidelines) are intended to ensure an efficient transit operation for customers, safe work environment and improved performance, behavior and conduct, for employees, via discipline and re-training, when needed. This approach promotes greater consistency and accountability in administering discipline throughout the operating departments of the Washington Metropolitan Area Transit Authority (Metro). The Guidelines are designed to be comprehensive, progressive, and effective through remedial training, counseling, and discipline, as appropriate. The Guidelines will inform employees of the potential for and nature of disciplinary action that may result from violation of Metro rules, nonperformance of duties and/or misconduct.

Washington
Metropolitan Area
Transit Authority

DEFINITIONS OF TERMS USED IN THIS POLICY

- a) Aggravating Factors - Include an employee's length and quality of prior service, extent of injury to person or damage to property or equipment, and prior disciplinary record. Such factors are used when considering deviation from the disciplinary guidelines.
- b) Base Penalty - The disciplinary penalty, within a respective Department's disciplinary guidelines matrix, that is the starting point for determining the

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- next progressive disciplinary penalty, subject to any mitigating or aggravating factors
- c) Category of Violation - The grouping of similar safety/operational rules and policy violations as General, Serious and Critical, based upon their severity and potential for injury, damage to equipment or property, and service disruption.
 - d) Disciplinary Guidelines Matrix (Guidelines) – A Department-generated list of specific rules, policies, NTOs, SOPs and OAPs, categorized by their seriousness and impact on safety and/or operational efficiency, with a progressive disciplinary scale for each instance.
 - e) Occurrence - An individual disciplinary action that an employee has received within a defined period of time and/or in a particular category of violation. The number of occurrences is used to determine the appropriate disciplinary penalty based upon the specific facts of the investigation for a current violation.
 - f) Mitigating Factors - Include an employee's length and quality of prior service, lack of injury to a person or damage to property or equipment, and lack of a prior disciplinary record. Such factors are used when considering deviation from the Guidelines.
 - g) Penalty Matrix - The list of progressive disciplinary penalties for each successive violation within a specific violation category.
 - h) Progressive Discipline - A series of increasing disciplinary penalties for subsequent violations for the purpose of correcting unsatisfactory performance or inappropriate conduct of an employee.

RESPONSIBILITY

Local 689 and Local 922 Represented Employees are responsible for familiarizing themselves with, and observing, all Metro rules, policies, guidelines, and procedures, and to satisfactorily performing the duties and responsibilities of their position. Employees are required to understand the expectations for performance, behavior and conduct, and the respective disciplinary consequences for their failures and actions within their present title.

Superintendents/Managers (or designees) are responsible for ensuring that all employees reporting to them are familiar with the applicable Metro rules, policies, NTOs, SOPs and, OAPs as well as the performance expectations and standards that the employees are expected to meet. They are responsible for conducting an incident/violation investigation and determining if disciplinary action is necessary.

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If disciplinary action is warranted, the Superintendents/Managers (designees) will consult the Guidelines for guidance in determining the appropriate action. Discharge should only be implemented after prior consultation with the Department Heads/Directors and due process review by the Office of Employee and Labor Relations; (refer to *P.I. 7.3.3/1 Separation from Employment*). It is the responsibility of the manager taking the action to properly document any and all disciplinary actions taken.

Superintendents/Managers (or designees) taking the action are responsible for ensuring that copies of such documentation are provided to the employee and the Union, as required, and that the employee's transcript of record is updated. Copies of all relevant counseling or disciplinary documentation, i.e., written warnings, counseling, meetings, suspensions and discharges must be included in the employee's employment file.

Department Heads/Directors are responsible for the general administration, implementation and enforcement of this Policy, in order to create consistency and uniformity in the application of the discipline for violations of rules, NTOs, SOPs, OAPs and Policies/Instructions. Management shall administer this policy in accordance with the respective Collective Bargaining Agreements and in accordance with the Department's Disciplinary Guidelines Matrix. Department Heads/Directors will provide direction and guidance to Superintendents/Managers (or designees) in reviewing and considering mitigating and aggravating factors. In matters of discharge, the Department Heads/Directors must approve the penalty before the action is taken, in accordance with *P.I. 7.3.3/1 Separation of Employment*.

POLICIES AND PROCEDURES

Metro encourages direct communication between employees and their superintendents/managers (designees) regarding issues of job performance, training, remedial actions, inappropriate behavior and conduct. Any disciplinary action taken should be administered in accordance with the guidelines contained in this policy and any relevant Collective Bargaining Agreements.

The severity of the disciplinary penalty shall correlate to the gravity and operational significance of the violation(s). Discipline shall be administered consistently; similar penalties shall be imposed for violations of similar severity for unsatisfactory work/performance, behavior and/or conduct.

Each instance of unsatisfactory job performance, behavior and/or inappropriate conduct will be evaluated on a case-by-case basis. With the concurrence of Department Heads/Directors, consideration of aggravating or mitigating factors may result in modification of the Disciplinary Guideline Matrix Base Penalty.

Mitigating or aggravating factors upon which discipline is modified must be documented in the case file.

Department Heads/Directors must be consulted prior to initiating any action which could result in disciplinary penalty of at least ten (10) or more days of suspension. Consistent with due process, all disciplinary penalties will be based upon the totality of the facts and the gravity and operational significance of the violation.

CATEGORIES OF VIOLATIONS AND PROGRESSION OF DISCIPLINE

General Rule Violations (GV)

All violations of rules, policies, NTOs, SOPs and OAPs can result in disciplinary action and reinstruction, based upon the employment principles of progressive discipline for sufficient cause. These rules are maintained in the various Departments or WMATA's rule books and policies and violations of these rules have a relatively minor impact on issues of operational safety.

General Rule Violation Guideline: Progressive discipline for General Rule Violations (five steps) is:

1. Caution (first level of contractual discipline)
2. Reprimand or one (1) day suspension:
 - a) If more than one (1) year has elapsed from the date of the occurrence of the General Rule violation resulting in a Caution, a Reprimand shall be issued.
 - b) If less than one (1) year has elapsed from the date of the occurrence of the General Rule Violation, a one (1) day suspension shall be issued.
3. Three (3) day suspension
4. Ten (10) day of suspension and Final Warning for an overall poor record
5. Discharge

Regardless of whether the penalty issued for a second General Rule Violation is a Reprimand or one (1) day suspension, it still serves as an "occurrence" to determine the next level of disciplinary penalty. The review period for a General Rule Violation is a three (3) year look back from the current violation.

Serious Safety/Operational Rule Violations (SV)

A Serious Safety/Operational rule is defined as rules, policies, NTOs, SOPs and OAPs that, if violated, have the potential to cause unreasonable safety and security risks. Such violations may result in damage to property, harm or injury to

individuals, serious disruption/interference with service operations and/or impact customer service, including minor violations of applicable law. Violations in this category warrant a greater initial level of corrective action or discipline, usually a moderate suspension in the first instance, which will include remedial counselling or training.

Serious Safety/Operational Guideline: Progressive disciplinary guidelines for Serious Safety/Operational Violations (four Steps) are:

1. Three (3) day suspension with counseling/remedial action, where appropriate
2. Five (5) day suspension with counseling/remedial action, where appropriate.
3. Ten (10) day suspension and a Final Warning (FW) that the employee's overall, poor record warrants immediate correction and any future violation, within reasonable time limits, may result in discharge.
4. Discharge from employment, unless specific facts warrant consideration for mitigation.

Each Department is responsible for establishing, notifying and providing to each employee their respective, current list of Serious Safety/Operational Rules and the respective disciplinary penalties associated with the progression of discipline for each instance based upon a violation for that category.

Critical Safety/Operational Rule Violations (CV)

A Critical Safety/Operational Rule is defined as rules, policies, NTOs, SOPs and OAPs that, if violated, have the potential to cause an *elevated* safety and security risk beyond reasonable and acceptable standards. Critical Safety/Operational Rule Violations could result in substantial damage to property, substantial injury of or to individuals, or a serious violation of local laws. Violations of Critical Safety/Operational rules, policies, NTOs, SOPs and OAPs can result in a substantial suspension with retraining or discharge, depending on aggravating factors.

Critical Safety/Operational Guideline: Progressive disciplinary guidelines matrix for Critical Safety/Operational category (three Steps) are:

1. Five (5) day suspension with counseling/remedial action, where appropriate,

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2. Ten (10) day suspension and Final Warning for their overall poor record that warrants immediate correction, or any future violations, within reasonable time limits, will result in discharge.
3. Discharge from employment, unless specific facts warrant consideration for mitigation.

Each Department is responsible for establishing, notifying and providing to each employee a current list of their Critical Safety/Operational Rules and respective disciplinary penalty associated with the progression of discipline for each instance, based upon a violation for that category.

Review of prior disciplinary record:

In determining the appropriate penalty for a current violation, Management will review an employee's overall disciplinary record for the three (3) years prior to the date of the most recent occurrence. If a negotiated agreement or arbitral precedent establishes a different review period that review period will prevail. Progressive discipline will only be based upon documented disciplinary actions in an employee's record.

Determining the appropriate disciplinary penalty:

Discipline must always be issued within the appropriate contractual time periods. Prior to determining the appropriate disciplinary penalty for the current violation, the responsible Superintendent/Manager (designee) must first complete their investigation into the violation.

The Guidelines are to be used for General, Serious, and Critical violations. The appropriate penalty for a violation under consideration should be determined as follows:

- a) Determine the category and/or nature of the current violation. For violations of a Major Policy or Major Rule, refer to section below.
- b) Review the employee's disciplinary history for the preceding three (3) year period, from the date of the current violation. All documented disciplinary actions within that period will be considered for progressive disciplinary purposes. The last disciplinary occurrence, within the review period, will determine the starting point for the current penalty.
- c) Some violations have longer established review periods, which are based on either mutual agreement, past practice or arbitral precedent. Confer with Labor Relations if you have any questions.

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- d) Within each category determine how many occurrences of documented disciplinary action(s) the employee received within the appropriate disciplinary look back review period.
- e) Review the Disciplinary Guidelines Matrix, based on the category of the current violation. Identify the guidelines' corresponding penalty matrix, using the number of prior occurrences, within the review period, to determine the appropriate minimum penalty for the current violation.
- f) Finally, consider whether there are any mitigating or aggravating factors, based upon the facts of the current violation, prior to making a penalty decision.

If mitigating or aggravating factors are being considered, the Superintendent/Manager (designee) must discuss those factors with Department Head/Director, or with Labor Relations, to ensure consistency of application.

When applying progressive discipline, in the absence of aggravating or mitigating factors, an employee must receive a five (5) day suspension and appropriate remedial counseling/training prior to being given a ten (10) day suspension and a Final Warning for their overall record.

When applying progressive discipline, in the absence of aggravating or mitigating factors, an employee must be given a ten (10) day suspension with Final Warning and placed on notice that they have developed an overall poor disciplinary record, prior to being discharged or terminated on the basis of an overall poor record.

Certain violations (see "Major Rules" below) warrant discharge for the first offense and are not subject to progressive discipline.

Any questions regarding the application or consideration of mitigating or aggravating factors must be discussed with the respective Department Head/Director or Labor Relations.

MAJOR POLICY

In any case where a Metro Major Policy Instruction provides a specific disciplinary process, that process will prevail. Any questions should be directed to the Department Head/Director or Labor Relations.

1. Major Policy Instructions with established disciplinary penalties:
 - a) Absence for Medical Reasons Policy; PI 7.4.4

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- b) Arrest/Conviction Policy; PI 7.86; MSRPH 2.11, 2.13; DOBSER 1.16, 2.11, 2.13
- c) Attendance Reporting Policy for Local 689 and Local 922
- d) Background Check Policy; PI 7.2.3
- e) Electronic Device Policy; PI 10.3/2; DOBSER 1.11, 4.80
- f) SAP/EAP Policy for Local 689 and Local 922
- g) Sexual Harassment Policy PI 7.1.2
- h) Workplace Violence; PI 7.8.3; MSRPH 2.15

MAJOR RULES

Violations of Major Rules can result in discharge in the first instance. These are rules that are so fundamental to a safe and efficient work environment that violation warrants the most severe employment action.

- 2. Major Rule violations that may result in discharge in first instance: (Determined on a case-by-case basis after a review with the Department Head/ Director and/or Labor Relations)
 - a) Failure to immediately report or remain at accident (BTRA); DOBSER 1.33, 1.35 RTRA; MSRPH 1.32
 - b) Falsifying report/statement, MSRPH 1.38 DOBSER 1.22, 1.27.7, 1.28.7
 - c) Gross Misconduct; DOBSER 1.15, MSRPH 2.5
 - d) Insubordination; DOBSER 1.15; MSRPH 1.4
 - e) Possession of a weapon; MSRPH 2.14; DOBSER 1.7, 2.14
 - f) Theft; MSRPH 1.56; DOBSER 2.1, 2.5
 - g) Willful Destruction of Property; MSRPH 1.54; DOBSER 5.44
 - h) Gambling on Metro property DOBSER 1.18.1. MSRPH 2.10

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Approved for Implementation:

[Redacted Signature]

Date 1/28/15

Jack Requa
Interim General Manager
WMATA

[Redacted Signature]

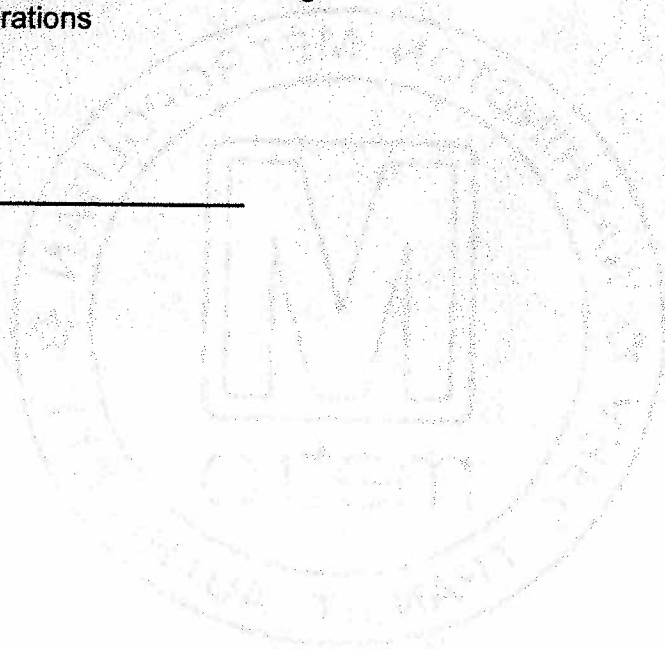
Date 1/23/2015

A. Robert Troup
Deputy General Manager - Operations
WMATA

[Redacted Signature]

Date 1/23/15

Robert Potts
Acting Assistant General Manager
Bus Operations
WMATA



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RELATED POLICIES

- Metro Policy/Instruction 7.3.3/1 Separations of Employment
- Absence for Medical Reasons Policy; PI 7.4.4
- Arrest/Conviction Policy; PI 7.86; MSRPH 2.11, 2.13; DOBSER 1.16, 2.11, 2.13
- Attendance Reporting Policy for Local 689 and Local 922
- Background Check Policy; PI 7.2.3
- Electronic Device Policy; PI 10.3/2; DOBSER 1.11, 4.80
- SAP/EAP Policy for Local 689 and Local 922
- Sexual Harassment Policy PI 7.1.2
- Workplace Violence; PI 7.8.3; MSRPH 2.15

LIST OF FORMS

- WMATA Disciplinary Records Review Form and Summary
- WMATA Operations Disciplinary Guidelines Matrix
- BMNT Disciplinary Guidelines Matrix
- CMNT Disciplinary Guidelines Matrix
- ELES Disciplinary Guidelines Matrix
- PLNT Disciplinary Guidelines Matrix
- SMNT Disciplinary Guidelines Matrix
- TRST Disciplinary Guidelines Matrix

WMATA OPERATIONS DISCIPLINARY GUIDELINES MATRIX
(as of 10/20/2014)

General Rule Violations (EXAMPLES NOT TO BE CONSIDERED ALL INCLUSIVE)- 5 Step Progression		
Clerks- Failure to properly process lost and found items -DC GR 3.12	Caution Reprimand or 1-day Suspension	
Clerks - Improper assignment of work per 689 and 922 guidelines		
Station Manager Kiosk Window Nameplates, RTRA Personnel Notice dated 2/18/14 New PI		
Failure to wear proper and authorized uniform; DOBSE 3.5, 3.6, 3.7, 3.8, 3.9, 3.10		
Reading non work material at layover DOBSE 1.25 NTO-15-06		
Failure to check bus at end of line for lost and found article violation; DOBSE 3.94, 3.95		
Operating a train ahead of schedule; MSRP 3.14		
Unauthorized stops/breaks; DOBSE 1.23, 3.28, 3.29		
Serious Safety/Operational Violations - 4 Step Progression		
Accepting an incomplete route OR 3.76	3-day Suspension w/ training 5-day suspension w/training 10-day suspension w/final warning Termination	
Ahead of Schedule; DOBSE 3.27 & NTO #05-09		
Collision (Minor w/no injuries); MSRP 3.91 (Rail Only) BTRA uses Preventable Accident Agreement		
Discourteous Language; DOBSE 1.17.3, 2.3, 3.47.1.7, 4.1.30.4 MSRP 2.3, 2.4		
Ejection of Passenger/Students(without notifying BOCC);DOBSE 3.65, 3.71		
Failing to comply with Coupling Procedure; SOP 16.5.2.8		
Failing to verify a switch is properly clamped/blocked before giving permission to pass dark or red aspect; MSRP 3.67		
Failure of Interlocking Operator to Protect out of service track; SOP 29		
Failure to pre-trip bus; DOBSE 3.27.1.1, 3.81 NTO #15-07		
Failure to complete scheduled service/Cut trip; DOBSE 3.27, 3.36		
Failure to comply with instructions Supervisor or Manager MSRP 1.1, 1.5 DOBSE 1.15.4, 5.1.2, 5.2.5		
Failure to Maintain Attention to operational duties; MSRP 1.46 DOBSE 4.1.52		
Failure to make interior inspection of train and taking passenger in yard; SOP45		
Failure to Perform proper radio communications yard/interlocking ; MSRP3.89		
Failure to perform safety stops;MSRP 3.89		
Failure to service a station; SOP 40		
Failure to wear safety vest when required to do so; DOBSE 3.4.1.15, 4.1.70, 5.15.5 NTO#15-05		
Leaving Station or Tower Unattended w/o Authorization; MSRP 1.14, 23.10		
Movement of a train on Maintenance hold; SOP 29		
Moving a Train with zero speed commands without authorization;MSRP 3.22		
Operating a train through a misaligned switch; MSRP 3.29.1		
Operating Train in an Unauthorized Mode; MSRP 3.31		
Red Light Violation to include Right turn on red signal; DOBSE 3.36/NTO #15-08		
Reading while operating a Bus; DOBSE 1.25 & NTO #15-06		
ROW Safety Violations; MSRP 3.87		
Seat belt; DOBSE 3.23.2, NTO #15-11		
Setting incomplete lead route in yard		
Speeding; DOBSE 3.24, 3.27.1 NTO #15-10		
Stop Sign Violation; NTO #15-13		
Train Coupling Damage during yard moves MSRP 1.53		
Unauthorized absence from duty after reporting; MSRP 1.14 DOBSE 1.23, 3.29		
Unauthorized work exchange in Bus or Rail, RTRA MSRP 1.16		
Unsafe Operation NTO? To be defined		
Urinating on Bus NTO #09-25 & Memo New NTO		
Unauthorized Passenger in cab of train/On Bus; MSRP 1.49; DOBSE 3.15		
Unprofessional conduct; DOBSE 1.5, 2.3, 2.5		
Critical Safety/Operational Violations - 3 Step Progression		
ATP cutout without permission (mainline) MSRP 3.24, 3.27, 3.28	5-day suspension w/training 10-day Suspension w/Final Warning Termination	
Collision/Derailment (Mainline) (Subject to aggravating circumstances; MSRP 3.91		
Disrespectful to Supervisor (subject to aggravating); MSRP 1.4 DOBSE 5.15		
Engine Idling; DOBSE 3.30 & NTO #15-03		
Failure to proper secure a bus NTO #15-01		
Improper Door Operation Off Platform or Wrong Side; MSRP 1.32, 3.121-Pursuant to arbitration Award		
Locking a customer in Station by Station Manager; SOP 46		
Reading Material while operating a train; MSRP 1.46		
Red Signal violation in yard or mainline; MSRP 3.91-Pursuant to arbitration Award		
Sleeping (Station Manager, Interlocking Operator);MSRP 2.17		
Sleeping on Duty; DOBSE 1.22 & 2.17,		
Train Operator Sleeping on Duty while in operation of train (Subject to Aggravating circumstances); MSRP 2.17		
Violating an Absolute Block w/o Authorization; MSRP 3.29 1?3.79?		
Major Policy-Discipline in accordance with guidelines in policy (Case by Case) After review with Dept. Director/LABR		
Absence for Medical Reasons Policy; PI 7.4.4		
Arrest/Conviction Policy; PI 7.86; MSRP 2.11, 2.13; DOBSE 1.16, 2.11, 2.13		
Attendance Reporting Policy for Local 689 and Local 922		
Background Check Policy; PI 7.2.3		
Electronic Device Policy; PI 10.3/2; DOBSE 1.11, 4.80		
SAP/EAP Policy for Local 689 and Local 922		
Sexual Harassment Policy PI 7.1.2		
Workplace Violence; PI 7.8.3; MSRP 2.15		
Major Rule= Termination (Case by Case) After review with Dept. Director/LABR		
Failure to immediately report or remain at accident (BTRA); DOBSE 1.33, 1.35 RTRA MSRP 1.32		
Falsifying report/statement, MSRP 1.38 DOBSE 1.22, 1.27.7, 1.28.7		
Gross Misconduct; DOBSE 1.15		
Insubordination; DOBSE 1.15 RTRA MSRP 1.4		
Possession of a weapon; MSRP 2.14; DOBSE 1.7, 2.14		
Theft; MSRP 1.56		
Willful Destruction of Property; MSRP 1.54; DOBSE 5.44		

BMNT DISCIPLINARY GUIDELINES MATRIX

General Violations Examples (NOT TO BE CONSIDERED ALL INCLUSIVE)	5 Step Progression*
Failure to wear proper and authorized uniform (BUSVRB 3.7.1/5.2)	Caution
Failure to comply with WMATA "Smoke-Free Workplace" Policy P.I. 7.7.5)	Reprimand or 1-day Suspension
Failure to provide office with current address and telephone number(BUSVRB 1.4)	3-day Suspension
Failure to timely report "on the job" injuries (BUSVRB 1.13 / 1.40 / 4.1.54)	10-day Suspension / Final Warning
Unauthorized Breaks (BUSVRB 1.23)	Termination
Any rules not specifically listed as serious/critical/immediate termination will be treated as a general rule violations (INCLUDING BUT NOT LIMITED TO: BUSVRB, MEMO'S, POLICY/INSTRUCTIONS, STANDING ORDERS, SOP's, SERVICE BULLETINS, ETC.)	*Note: Extenuating, mitigating and aggravating circumstances can impact progression
Serious Safety/Operational Violations	4 Step Progression*
Failure to adhere to facility security, parking, speed limits and crosswalk policies (BUSVRB 1.24 /4.1.63 /5.13)	3-day Suspension w/ training
Failure to pay traffic/parking violation on WMATA vehicles (BUSVRB 2.16)	5-day suspension w/training
Failure to report hazardous conditions (BUSVRB 4.1.2)	10-day suspension w/final warning
Failure to report suspension of driver's license (BUSVRB 1.6.4)	Termination
Failure to use Fall Protection-no injury (BUSVRB 5.7.8)	*Note: Extenuating, mitigating and aggravating circumstances can impact progression
Failure to wear/use PPE-no injury (BUSVRB 5.7)	
Improper use of Hand, Power Tools and Equipment-no injury (BUSVRB 5.11)	
Sleeping on Duty (BUSVRB 1.22/2.17)	
Unsafe Vehicle Operation (BUSVRB 1.6.5/BMNT Staff Notice 13-05)	
Critical Safety/Operational Violations	3 Step Progression*
Failure to properly set engine controls to preclude engine start up during maintenance actions (BUSVRB 5.3.11/5.3.22)	5-day suspension w/training
Failure to secure a bus/vehicle (braking, transmission and ignition) (BUSVRB 3.44)	10-day Suspension w/Final Warning
Failure to use Fall Protection with injury (BUSVRB 5.7.8)	Termination
Failure to wear/use PPE resulting in an injury (BUSVRB 5.7)	
Intentionally Sleeping on Duty (Nesting) (BUSVRB 1.22/2.17)	
Modifying/Disabling vehicle/equipment safety guards or systems (BUSVRB 3.23/4.1.3)	
Negligence resulting in injury to self or others (BUSVRB 5.3.12)	*Note: Extenuating, mitigating and aggravating circumstances can impact progression
Safety Violations (Pull-Aways-anything attached to bus) (BUSVRB 5.1.4)	
Unauthorized removal of a lock or tag from equipment (BUSVRB 5.3.23)	
Verbal Altercation with a Co-Worker (no physical contact based upon circumstances) (BUSVRB 1.17/2.3)	
Major Rules	Major Policies
(Immediate Termination on a Case-by-Case basis; After Consultation with LABR)	(Disciplinary Guidelines included in policy)
Failure to report or remain at accident (BUSVRB 1.33.1)	Absenteesim for Medical Reasons Policy (PI 7.4.4)
Falsification of any report or statement (BUSVRB 1.2)	Arrest/Conviction Policy (PI 7.8.8)
Gambling on WMATA Property (BUSVRB 1.18)	Attendance Reporting Policy (PI 7.4/4)
Gross Misconduct (BUSVRB 1.15)	Background Check Policy (PI 7.2.2)
Insubordination (BUSVRB 1.15.2 / 1.15.4 / 5.1.5)	Electronic Device Policy (PI 10.3/2)
Possession of a weapon (BUSVRB 1.7)	Preventable Accidents (BUSV Disp Policy)
Theft (BUSVRB 2.21 / 5.4.5 / 5.4.7)	SAP/EAP Policy (PI 7.7.2 and CBA)
Willful Destruction of Property (BUSVRB 5.4.4)	Workplace Violence (PI 7.8/3)
KEY	
BUSVRB -BUS SERVICE RULE BOOK	
SOP - Standard Operating Procedure	
PI - Policy Instruction	

CMNT DISCIPLINARY GUIDELINES MATRIX

General Violations Examples (NOT TO BE CONSIDERED ALL INCLUSIVE)	5 Step Progression*
Failure to comply with WMATA "Smoke-Free Workplace" Policy (P.I. 7.7.5)	Caution
Failure to provide office with current address and telephone number (MSRPH 1.66)	Reprimand or 1-day Suspension
Failure to adhere to facility security, parking, speed limits and crosswalk policies (MSRPH GR 1.5)	3-day Suspension
Failure to pay traffic/parking violation on WMATA vehicles. (PI 1.9/6)	10-day Suspension / Final Warning
Failure to timely report "on the job" injuries (MSRPH 4.4)	Termination
Out of Work Area/Unauthorized Breaks (MSRPH GR 1.14)	*Note: Extenuating, mitigating and aggravating circumstances can impact progression
Any rules not specifically listed as serious/critical/Immediate termination will be treated as a general rule violations (INCLUDING BUT NOT LIMITED TO: MSRPH GENERAL RULES, MEMO'S, POLICY/INSTRUCTIONS, STANDING ORDERS, ETC.)	
Serious Safety/Operational Violations	4 Step Progression*
Failure to report hazardous or unsafe conditions (MSRPH SR 4.1)	3-day Suspension w/ training
Improper use of Safety Guard Equipment-no injury (MSRPH SR 4.3)	5-day suspension w/training
Sleeping on Duty (with mitigation) (MSRPH ROC 2.17)	10-day suspension w/final warning
Unsafe Vehicle Operation (MSRPH GR 1.67 and OR 3.18, PI 1.9/6)	Termination
Unauthorized leave of absence from jobsite(MSRPH 1.14)	*Note: Extenuating, mitigating and aggravating circumstances can impact progression
Critical Safety/Operational Violations	
Negligence resulting in injury to self or others	3 Step Progression*
Failure to properly secure or store vehicle/equipment	5-day suspension w/training
Failure to use Fall Protection-injury	10-day Suspension w/Final Warning
Failure to wear/use PPE resulting in an injury (MSRPH SR 4.33)	Termination
Modifying/Disabling vehicle/equipment safety guards or systems (MSRPH SR 4.3)	*Note: Extenuating, mitigating and aggravating circumstances can impact progression
Safety Violations (Pull-Aways-anything attached to train) (MSRPH SOP 12)	
Sleeping on Duty with intent (nesting) (MSRPH ROC 2.17)	
Unauthorized removal of a lock or tag from equipment (CMNT SOP 3.07)	
Verbal Altercation with a Co-Worker (no physical contact or threats) (MSRPH ROC 2.3and 2.4)	
Major Rules (Immediate Termination on a Case-by-Case basis; After Consultation with LABR)	Major Policies Guidelines included in policy) (Disciplinary)
Failure to report or remain at accident (MSRPH GR 1.32)	Absenteesim for Medical Reasons Policy (PI 7.4.4)
Falsification of any report or statement (MSRPH GR 1.38)	Arrest/Conviction Policy (PI 7.8.8)
Gambling on WMATA Property (MSRPH 2.10)	Attendance Reporting Policy (PI 7.4/4)
Gross Misconduct (MSRPH ROC 2.1 and 2.5)	Background Check Policy (PI 7.2.2)
Insubordination (MSRPH GR 1.4)	Electronic Device Policy (PI 10.3/2)
Possession of a weapon (MSRPH ROC 2.14)	Preventable Accident Policy - Non-revenue Vehicles (OAP 500-21)
Theft (MSRPH GR 1.56 and ROC 2.12)	SAP/EAP Policy (PI 7.7.2 and CBA)
Willful Destruction of Property (MSRPH GR 1.54)	Workplace Violence (MSRPH ROC 2.15 and PI 7.8/3)
KEY	
MSRPH - METRORAIL SAFETY RULES AND PROCEDURES HANDBOOK	
PI - Policy Instruction	

ELES DISCIPLINARY GUIDELINES MATRIX

General Violations Examples (NOT TO BE CONSIDERED ALL INCLUSIVE)	5 Step Progression*
Failure to comply with WMATA "Smoke-Free Workplace" Policy P.I. 7.7.5)	Caution
Failure to provide office with current address and telephone number (MSRPH 1.66)	Reprimand or 1-day Suspension
Failure to timely report "on the job" injuries (MSRPH 4.4)	3-day Suspension
Failure to wear proper and authorized uniform (MSRPH GR 1.17 and 1.18)	10-day Suspension / Final Warning
Out of Work Area/Unauthorized Breaks (MSRPH GR 1.14)	Termination
Any rules not specifically listed as serious/critical/immediate termination will be treated as a general rule violations (INCLUDING BUT NOT LIMITED TO; MSRPH, EIFESH, GENERAL RULES, MEMO'S, POLICY/INSTRUCTIONS, STANDING ORDERS, ETC.)	*Note: Extenuating, mitigating and aggravating circumstances can impact progression
Serious Safety/Operational Violations	4 Step Progression*
Improper lifting of material/equipment	3-day Suspension w/ training
Improper use of jumpers (EIFESH Section 6)	5-day suspension w/training
Improper use of lock out/tag out (EIFESH Section 7)	10-day suspension w/final warning
Improper welding/not following standard procedures)(EIFESH Section 13)	Termination
Improperly erected barricades (Hatch, Escalator or Elevator) (EIFESH 4.3)	*Note: Extenuating, mitigating and aggravating circumstances can impact progression
Improperly stowed flammable liquid, solvents, and other hazardous materials(EIFESH Section 14.8)	
Sleeping on Duty (with mitigation) (MSRPH 2.17)	
Critical Safety/Operational Violations	3 Step Progression*
Energizing equipment without proper authorization (EIFESH 7.1.2)	5-day suspension w/training
Failure to document a change in equipment status or condition (MSRPH 1.3)	10-day Suspension w/Final Warning
Failure to document use of locking bars or pawl brakes (EIFESH 7.3b)	Termination
Failure to properly secure equipment (MSRPH 1.3, 1.5)	*Note: Extenuating, mitigating and aggravating circumstances can impact progression
Failure to remove jumpers (EIFESH Section 6)	
Failure to utilize barricades (EIFESH 4.3)	
Failure to utilize lock out/tag out (EIFESH Section 7)	
Failure to utilize safety shields and safety equipment when welding (New WMATA Policy Pending, due out any day)(EIFESH Section 13)	
Illegal modification of equipment safety circuit (MSRPH 4.3)	
Running of a unit for revenue service/public use with known safety issues (MSRPH 1.3, 1.5)	
Intentionally Sleeping on Duty (nesting) (MSRPH 2.17)	
Major Rules (Immediate Termination on a Case-by-Case basis; After Consultation with LABR)	Major Policies (Disciplinary Guidelines included in policy)
Failure to report or remain at accident (MSRPH GR 1.32)	Absenteesim for Medical Reasons Policy (PI 7.4.4)
Falsification of any report or statement (MSRPH GR 1.38)	Arrest/Conviction Policy (PI 7.8.8)
Gambling on WMATA Property (MSRPH 2.10)	Attendance Reporting Policy (PI 7.4/4)
Gross Misconduct (MSRPH ROC 2.1 and 2.5)	Background Check Policy (PI 7.2.2)
Insubordination (MSRPH GR 1.4)	Electronic Device Policy (PI 10.3/2)
Possession of a weapon (MSRPH ROC 2.14)	Preventable Accident Policy - Non-revenue Vehicles (OAP 500-21)
Theft (MSRPH GR 1.56 and ROC 2.12)	SAP/EAP Policy (PI 7.7.2 and CBA)
Willful Destruction of Property (MSRPH GR 1.54)	Workplace Violence (MSRPH ROC 2.15 and PI 7.8/3)
KEY	
EIFESH - ELEVATOR INDUSTRY FIELD EMPLOYEES SAFETY HANDBOOK	
MSRPH - METRORAIL SAFETY RULES AND PROCEDURES HANDBOOK	
PI - Policy Instruction	

PLNT DISCIPLINARY GUIDELINES MATRIX

General Violations Examples (NOT TO BE CONSIDERED ALL INCLUSIVE)	5 Step Progression*
Failure to comply with WMATA "Smoke-Free Workplace" Policy (P.I. 7.7.5)	Caution
Failure to provide office with current address and telephone number (MSRPH 1.66)	Reprimand or 1-day Suspension
Failure to timely report "on the job" injuries (MSRPH 4.4)	3-day Suspension
Failure to wear proper and authorized uniform (MSRPH GR 1.17 and 1.18)	10-day Suspension / Final Warning
Out of Work Area/Unauthorized Breaks (MSRPH GR 1.14)	Termination
Any rules not specifically listed as serious/critical/immediate termination will be treated as a general rule violations (INCLUDING BUT NOT LIMITED TO: MSRPH GENERAL RULES, MEMO'S, POLICY/INSTRUCTIONS, STANDING ORDERS, ETC.)	*Note: Extenuating, mitigating and aggravating circumstances can impact progression
Serious Safety/Operational Violations	4 Step Progression
Discourteous conduct by a WMATA employee while on duty, on WMATA property or while in uniform at any place or time. (MSRPH 2.2)	3-day Suspension w/ training
Misuse of WMATA property or vehicles(MSRPH 1.54)	5-day suspension w/training
Moving traffic citation (MSRPH 1.67)	10-day suspension w/final warning
Sleeping on duty (MSRPH 2.17)	Termination
Unauthorized leave of absence from jobsite(MSRPH 1.14)	
Failure to report suspended or expired license (MSRPH 1.68) - Non CDL positions	*Note: Extenuating, mitigating and aggravating circumstances can impact progression
Failure to use Fall Protection (OSHA 29 CFR 1926.500)	
Critical Safety/Operational Rule Violations	3 Step Progression
Failure to properly secure or store vehicle/equipment	5-day suspension w/training
Failure to report suspended or expired license (MSRPH 1.68) - CDL positions	10-day Suspension w/Final Warning
Failure to use Fall Protection, resulting in injury (OSHA 29 CFR 1926.500)	Termination
Failure to wear/use PPE resulting in an injury (MSRPH SR 4.33)	*Note: Extenuating, mitigating and aggravating circumstances can impact progression
Intentionally Sleeping on Duty (Nesting) (MSRPH 2.17)	
Modifying/Disabling vehicle/equipment safety guards or systems (MSRPH SR 4.3)	
Negligence resulting in injury to self or others	
Safety Violations (Pull-Aways-anything attached to train) (MSRPH SOP 12)	
Sleeping on Duty with intent (nesting) (MSRPH ROC 2.17)	
Unauthorized removal of a lock or tag from equipment (CMNT SOP 3.07)	
Unauthorized use of WMATA vehicle (MSRPH GR 1.67 and OR 3.18, PI 1.9/6)	
Verbal Altercation with a Co-Worker (no physical contact or threats) (MSRPH ROC 2.3and 2.4)	
Major Rules (Immediate Termination on a Case-by-Case basis; After Consultation with LABR)	Major Policies (Disciplinary Guidelines included in policy)
Failure to report or remain at accident (MSRPH GR 1.32)	Absenteesim for Medical Reasons Policy (PI 7.4.4)
Falsification of any report or statement (MSRPH GR 1.38)	Arrest/Conviction Policy (PI 7.8.8)
Gambling on WMATA Property (MSRPH 2.10)	Attendance Reporting Policy (PI 7.4/4)
Gross Misconduct (MSRPH ROC 2.1 and 2.5)	Background Check Policy (PI 7.2.2)
Insubordination (MSRPH GR 1.4)	Electronic Device Policy (PI 10.3/2)
Possession of a weapon (MSRPH ROC 2.14)	Preventable Accident Policy - Non-revenue Vehicles (OAP 500-21)
Theft (MSRPH GR 1.56 and ROC 2.12)	SAP/EAP Policy (PI 7.7.2 and CBA)
Willful Destruction of Property (MSRPH GR 1.54)	Workplace Violence (MSRPH ROC 2.15 and PI 7.8/3)
KEY	
MSRPH - METRORAIL SAFETY RULES AND PROCEDURES HANDBOOK	
PI - Policy Instruction	

TRST DISCIPLINARY GUIDELINES MATRIX

General Violations Examples (NOT TO BE CONSIDERED ALL INCLUSIVE)	5 Step Progression*
Failure to comply with WMATA "Smoke-Free Workplace" Policy P.I. 7.7.5)	Caution
Failure to provide office with current address and telephone number (MSRPH 1.66)	Reprimand or 1-day Suspension
Failure to timely report "on the job" injuries (MSRPH 4.4)	3-day Suspension
Failure to wear proper and authorized uniform (MSRPH GR 1.17 and 1.18)	10-day Suspension / Final Warning
Out of Work Area/Unauthorized Breaks (MSRPH GR 1.14)	Termination
Any rules not specifically listed as serious/critical/immediate termination will be treated as a general rule violations (INCLUDING BUT NOT LIMITED TO: MSRPH GENERAL RULES, MMU Operational Rules, MEMO'S, POLICY/INSTRUCTIONS, STANDING ORDERS, ETC.)	*Note: Extenuating, mitigating and aggravating circumstances can impact progression
Serious Safety/Operational Violations	4 Step Progression*
Minor RMM collision (fixed or moving object) under \$1,500.00 (MSRPH OR 3.18)	3-day Suspension w/ training
Failure to use Fall Protection (injury) (OSHA 29 CFR 1926.500)	5-day suspension w/training
Unsafe Vehicle Operations: running red lights, speeding, running stop sign and other moving traffic violations (Citations?)	10-day suspension w/final warning
Verbal Altercation (subject to mitigation based on facts) (MSRPH GR 1.40)	Termination
	*Note: Extenuating, mitigating and aggravating circumstances can impact progression
RWIC or Gang Leader in Violation of RWP Rule that result in incident/accident (RWP 1)	
Critical Safety/Operational Violations	3 Step Progression*
Modifying, disabling, by-passing or overriding safety guards or systems (w/o prior approval or by a qualified mechanic) (MSRPH SR 4.3)	5-day suspension w/training
Failure to wear/use/on self PPE – injury (MSRPH SR 4.32, 4.33, 4.41, 4.50, 4.52, 4.54, 4.55 RWP 1.8, 1.15, 4.5,)	10-day Suspension w/Final Warning
Failure to preform RMM pre-trip inspections resulting in incident / accident (MSRPH OR 3.127)	Termination
Sleeping on duty with intent – nesting (ROC 2.17)	*Note: Extenuating, mitigating and aggravating circumstances can impact progression
Sleeping or giving the appearance of sleeping while operating RMM or WMATA vehicle (ROC 2.17)	
Negligence resulting in injury to self or others	
Failure to notify supervisor of incident or accident (MSRPH GR 1.32)	
RMM Safety Stop violation – damage (MSRPH OR 3.137, 3.88, 3.89)	
RMM Red Signal and/or block overrun – ML and/or Yard (MSRPH OR 3.67, SOP 15.5.8.6, 15.5.8.6.1, 15.5.8.6.2)	
RMM Split/trail switch ML and/or Yard (MSRPH OR 3.76, 3.77)	
Derailment of RMM causing damage (findings result in human error)	
Disrespectful to Authorized Supervision (ROC 2.3. 2.4)	
Negligence resulting in injury to self or others	
Intentional damage to WMATA property subject to aggravating considerations (MSRPH GR 1.53, 1.54)	
RMM collision with wayside equipment fixed or otherwise - accident as defined in MSRPH(findings result in human error) (Citation?)	
RMM and RMM collision or RMM and Revenue collision (employee at fault) damages exceeds \$1,500.00(Citation?)	
RMM undesired uncoupling causing run-a-way flat car incident/accident (MSRPH OR 3.126, 3.114)	
Major Rules	Major Policies
(Immediate Termination on a Case-by-Case basis; After Consultation with LABR)	(Disciplinary Guidelines included in policy)
Failure to report or remain at accident (MSRPH GR 1.32)	Absenteesim for Medical Reasons Policy (PI 7.4.4)
Falsification of any report or statement (MSRPH GR 1.38)	Arrest/Conviction Policy (PI 7.8.8)
Gambling on WMATA Property (MSRPH 2.10)	Attendance Reporting Policy (PI 7.4/4)
Gross Misconduct (MSRPH ROC 2.1 and 2.5)	Background Check Policy (PI 7.2.2)
Insubordination (MSRPH GR 1.4)	Electronic Device Policy (PI 10.3/2)
Possession of a weapon (MSRPH ROC 2.14)	Preventable Accident Policy (OAP 500-21)
Theft (MSRPH GR 1.56 and ROC 2.12)	SAP/EAP Policy (PI 7.7.2 and CBA)
Willful Destruction of Property (MSRPH GR 1.54)	Workplace Violence (MSRPH ROC 2.15 and PI 7.8/3)
KEY	
MSRPH - METRORAIL SAFETY RULES AND PROCEDURES HANDBOOK	
PI - Policy Instruction	
RWP - Roadway Work Protection	
SOP - Standard Operating Procedure	

Major Rules
 (Immediate Termination on a Case-by-Case basis; After
 Consultation with LABR)

1	Failure to report or remain at accident (MSRPH GR 1.32)
2	Falsification of any report or statement (MSRPH GR 1.38)
3	Gambling on WMATA Property (MSRPH 2.10)
4	Gross Misconduct (MSRPH ROC 2.1 and 2.5)
5	Insubordination (MSRPH GR 1.4)
6	Possession of a weapon (MSRPH ROC 2.14)
7	Theft (MSRPH GR 1.56 and ROC 2.12)
8	Willful Destruction of Property (MSRPH GR 1.54)
9	KEY
10	MSRPH - METRORAIL SAFETY RULES AND PROCEDURES
11	OAP - Organization and Administrative Policies and Procedures
12	PI - Policy Instruction
13	RWPM - Roadway Worker Protection Manual

Major Policies
(Disciplinary Guidelines included in policy)

Absenteesim for Medical Reasons Policy (PI 7.4.4)

Arrest/Conviction Policy (PI 7.8.8)

Attendance Reporting Policy (PI 7.4/4)

Background Check Policy (PI 7.2.2)

Electronic Device Policy (PI 10.3/2)

Preventable Accident Policy - Non-revenue Vehicles (OAP 500-21)

SAP/EAP Policy (PI 7.7.2 and CBA)

Workplace Violence (MSRPH ROC 2.15 and PI 7.8/3)

M E M O R A N D U M



SUBJECT: Electronic Device Usage
Restriction Policy - ROCC and
BOCC

DATE: July 2, 2015

FROM: Randall Grooman, Acting DGMO
Robert Potts, Acting AGM, BUSV

TO: Employees Working in ROCC and
BOCC

After a review of safety conditions in the Rail and Bus Operations Control Centers (OCCs), WMATA has determined that its Electronic Device policy 10.3/2, dated February 4, 2011, will be revised to prohibit the possession of a cell phone, whether powered on or powered off, within the OCCs. Currently, the policy for employees working in the OCC limits only the use of electronic devices such as cell phones while working in either of the OCCs. WMATA has determined that the mere possession of an electronic device, specifically including personal cell phones, creates a significant distraction in our safety sensitive work environment and poses an unacceptable risk of harm to customers, employees and contractors who work in the Metrorail system. Based upon this increased vigilance to safety, the OCCs are incorporating an additional restriction to possession of electronic devices while in the OCCs.

Effective July 5, 2015, all electronic devices, specifically personal cell phones, of individuals in either the Rail or Bus OCC are prohibited on the Operations Control Center work floor, regardless of whether powered on or powered off. Electronic devices may only be possessed and/or used in the following designated areas: locker rooms, break room, restrooms and other authorized areas outside the OCCs. This policy is applicable to ALL employees and nonemployees present within the OCCs, whether a visitor or an individual regularly assigned to work in the OCC. The exception to this policy change is WMATA Managers utilizing a WMATA-issued electronic device or utilizing an electronic device for the purpose of performing their official duties.

In cases of personal emergency, OCC employees must direct callers to contact them by calling their respective departments. The department will relay the message to the employee without delay.

July 2, 2015

Electronic Device Usage Restriction Policy – ROCC and BOCC

Page 2

Use, as defined in 3.05 of P/I 10.3/2, of an electronic device in the Rail or Bus OCC will result in termination for the first violation. However, possession of an electronic device, whether or not powered on, in the OCC will result in discipline, as follows:

- **1st Violation 5-day suspension**
- **2nd Offense 10-day suspension, and Final Warning**
- **3rd Offense Termination**

The safety of our customers and coworkers demands our full attention. Thank you for your full cooperation and compliance. Please feel free to see a Rail or Bus OCC Manager if you have any questions and/or concerns regarding these restrictions.

By signing this document you are confirming that you have received this information and have been provided notice of the requirement to comply with the Rail and Bus Operations Control Centers' electronic device usage restrictions.

Print Name

Signature

Employee #

Date

cc: Jack Requa, Interim General Manager
A. Robert Troup, DGMO
Dana Baker, Director, Bus OCC
Robert Relyea, Acting Director, Rail OCC
James Dougherty, SAFE
Tawnya Moore-McGee, CHRO
Eric Starin, OPEIU Local 2