



Washington Metropolitan Area Transit Authority (WMATA)

Quality Internal Reviews Tracker - 2018

All CAPs in this Directive were **closed** as of 03/24/23

Internal Corrective and Preventative Action Plan (iCAPA) Summary	Total	Closed (√)	Open (●)
	35	35	0

Risk Assessment Category and Description with iCAPA Totals		
	HIGH - Reasonable assumption that this risk will occur & will cause a failure of the business process to meet its objectives or cause objective failure in other activities	Closed: 4 Open: 0
	ELEVATED - Reasonable assumption that this risk will likely occur & will likely cause a failure of the business process to meet a significant part of its objectives	Closed: 16 Open: 0
	MODERATE - Reasonable assumption that this risk may occur & may cause a failure of the business process to meet a significant part of its objectives	Closed: 12 Open: 0
	LOW - Reasonable assumption that this risk will likely not occur & may cause a failure of the business process to meet part of its objectives	Closed: 3 Open: 0
	INSIGNIFICANT - Reasonable assumption that this risk will not occur & unlikely to cause a failure of the business process to meet part of its objectives	Closed: 0 Open: 0

iCAPA Number	Risk Assessment	Closure Submission Date**	iCAPA Status	Actionable Item Status
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**Date WMATA requests closure. Actual closure date is subject to review and acceptance of the closure.



Area of Focus: Engineering & Maintenance

Metrobus Maintenance & Engineering		100%
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QICO-BME-18-01		September 2019	Closed		100%
<p>Incorporate a sustainable maintenance plan to monitor the condition and safety of all bus maintenance equipment.</p> <ul style="list-style-type: none"> √ Revised facility issue reporting procedure and distributed staff notice. √ Reviewed equipment requiring repair or calibration and took necessary action. √ Implemented an annual inspection plan for jib cranes. √ Submitted updated safety training curriculum. √ WMATA evaluated Actionable Items to confirm that the required actions had been addressed. 					
QICO-BME-18-02		March 2022	Closed		100%
<p>Identify opportunities to update requirements for data entry, parts identification, storage, equipment testing, and calibration; and develop, train on, and implement a standardized procedure for asset management system data validation.</p> <ul style="list-style-type: none"> √ Developed procedure for asset management system work order data entry and management. √ Established quality management program that will monitor asset management system work order data and direct corrective actions. √ Conducted a staffing analysis to determine Office of Bus Maintenance's need for a quality control manager. √ Trained appropriate bus maintenance personnel on new procedure. √ Confirmed there was reasonable evidence to support completion of actionable items and performance measures. 					
QICO-BME-18-03		August 2020	Closed		100%
<p>Identify opportunities to update requirements for data entry, parts identification, storage, equipment testing; and develop procedure for parts and materials identification traceability, requalification, handling, and storage on the shop floor.</p> <ul style="list-style-type: none"> √ Created new procedure and trained maintenance personnel regarding requirements for parts and materials identification and traceability, requalification, handling, and storage on shop floor. √ Confirmed there was reasonable evidence to support completion of actionable items and performance measures. 					
QICO-BME-18-04		September 2019	Closed		100%
<p>Identify opportunities to update requirements for data entry, parts identification, storage, equipment testing; and develop procedures for tools and bench testing equipment including calibration management, labelling and identification, appropriate storage and periodic reviews.</p> <ul style="list-style-type: none"> √ Updated procedure to include requirements of calibration test labels; and submit revised procedure to include requirements to store tools and equipment to their designated areas. √ WMATA evaluated Actionable Items to confirm that the required actions had been addressed. 					
QICO-BME-18-05		March 2022	Closed		100%
<p>Identify opportunities to update requirements for data entry, parts identification, storage, equipment testing; and develop a quality control plan for corrective and preventative maintenance to promote consistent application of work and promote compliance and adherence to maintenance practices and procedures.</p> <ul style="list-style-type: none"> √ Developed procedure for monthly 5 percent engine compartment inspections. √ Established quality management program that will monitor asset management system work order data and direct corrective action; and conducted an analysis to determine Office of Bus Maintenance's need for a quality control manager. √ Trained supervisors responsible for 5 percent engine compartment inspection and asset management system work order closure. √ Confirmed there was reasonable evidence to support completion of actionable items and performance measures. 					

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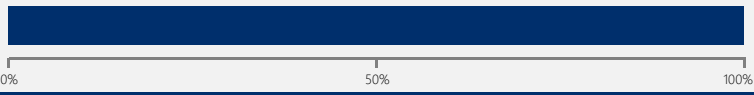
QICO-BME-18-06		October 2019	Closed		100%
<p>Revise procedures for diagnostic equipment to include software expiration, hardware, condition, and equipment assignment.</p> <ul style="list-style-type: none"> √ Evaluated existing diagnostic hardware, and alternative software license purchasing process. √ Developed a software expiration tracking procedure. √ WMATA evaluated Actionable Items to confirm that the required actions had been addressed. 					

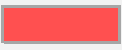









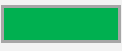



Metrobus Parts & Material Inventory Management					100%	
				0%	50%	100%

QICO-BMI-18-01		April 2019	Closed		100%
<p>Identify opportunities to implement sustainable methods for reducing inventory inaccuracies and lead time variances.</p> <ul style="list-style-type: none"> √ Developed and implemented procedures for reducing inventory inaccuracies and lead time variances; tracked/maintained compliance with the procedures; and trained maintenance personnel on maintaining inventory accuracy. √ WMATA evaluated Actionable Items to confirm that the required actions had been addressed. 					
QICO-BMI-18-02		March 2021	Closed		100%
<p>Incorporate a process to assure discrepant material cannot be mistaken for approved material.</p> <ul style="list-style-type: none"> √ Developed and implemented an approach plan process to assure the discrepant material is not mistaken for approved material. √ Developed and distributed procedure providing direction on how and where to store non-compliant material. √ Implemented material storage procedure and tracked compliance. √ Confirmed there was reasonable evidence to support completion of actionable items and performance measures. 					

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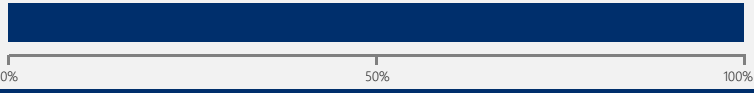
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Metrorail Vehicle Maintenance & Engineering		100%
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QICO-RCM-18-01		October 2019	Closed		100%
<p>Perform safety and equipment certification at all facilities. Implement methods to maintain safety critical items. Assess the safety compliance and state of the different facilities and take immediate correction actions. Develop a sustainable preventive program to internally monitor and maintain the safety condition of the facilities.</p> <ul style="list-style-type: none"> ✓ Conducted weekly spot checks of high voltage gloves inspection logs. ✓ Conducted annual reviews of the Lock Out/Tag Out log book and protocol. ✓ Conducted monthly inspections on the <i>Monthly Shop Safety & Health Inspection Checklist</i>. ✓ WMATA evaluated Actionable Items to confirm that the required actions had been addressed. 					
QICO-RCM-18-02		March 2020	Closed		100%
<p>Perform safety and equipment certification at all facilities. Implement methods to maintain safety critical items. Assess the certification status of all lifting devices and accessories and implement immediate corrective actions. Review the current inspection and certification procedures and update them accordingly to achieve a robust process, including effective visualization of the status of all covered equipment.</p> <ul style="list-style-type: none"> ✓ Conducted monthly spot checks to verify weight certifications are on file for each device in use. ✓ Conducted monthly spot checks to verify maximum load, asset, and serial numbers are attached to each device; monthly inspections are being documented in asset management system for each device; and lifting device attachments have proper load weight certification on file. ✓ Confirmed there was reasonable evidence to support completion of actionable items and performance measures. 					
QICO-RCM-18-03		March 2020	Closed		100%
<p>Establish shop metrics to improve maintenance performance and asset management system data collection; and as part of the planned implementation of the latest revision of the asset management system, establish detailed requirements for data entry and validation, and establish detailed criteria for Quality Control Plan (QCP) pertaining to preventative and corrective maintenance asset management system work order completion and closure.</p> <ul style="list-style-type: none"> ✓ Conducted weekly checks to verify Supervisors are reviewing deferred work orders for workability. ✓ Conducted weekly spot checks to verify PI Supervisors are reviewing deferred work orders for workability, and parts are properly tagged. ✓ Confirmed there was reasonable evidence to support completion of actionable items and performance measures. 					
QICO-RCM-18-04		March 2020	Closed		100%
<p>Update and enforce established procedures to improve work quality and parts management; and comply with the requirements established in the Office of Rail Car Maintenance procedure.</p> <ul style="list-style-type: none"> ✓ Performed and documented audits per procedure; and reviewed and documented all direct reports' audit per month to assess their proficiency. ✓ Performed reviews required per procedure and documented their results on a spreadsheet. ✓ WMATA evaluated Actionable Items to confirm that the required actions had been addressed. 					
QICO-RCM-18-05		March 2020	Closed		100%
<p>Establish procedures to identify, tag, and organize parts stored on the shop floor as well as housekeeping and workplace organization including implementation and periodic reviews; comply with the requirements prescribed in Office of Car Maintenance Standard Operating Procedure (SOP) 1.08, Shelf Life Management; and establish procedures to identify, tag, and organize parts stored on the shop floor as well as housekeeping and workplace organization including implementation and periodic reviews.</p> <ul style="list-style-type: none"> ✓ Performed quality shelf life checks of products. ✓ Conducted weekly spot checks to verify parts on the shop floor are properly tagged. ✓ WMATA evaluated Actionable Items to confirm that the required actions had been addressed. 					
QICO-RCM-18-06		January 2019	Closed		100%
<p>Establish shop specific metrics to improve maintenance and asset management system data collection; and establish shop specific metrics and indicators that reflects the actual work being done within the shops and utilize them within sound management routines to drive improvement.</p> <ul style="list-style-type: none"> ✓ Established key performance indicators (KPIs) for each shop. ✓ WMATA evaluated Actionable Items to confirm that the required actions had been addressed. 					
QICO-RCM-18-07		July 2019	Closed		100%
<p>Establish shop specific metrics to improve maintenance performance and data collection, and establish detailed requirements for data entry and validation.</p> <ul style="list-style-type: none"> ✓ Provided a report indicating the number of open EMI and ETP work orders. ✓ Created a procedure governing the lifecycle of EMI and ETP work orders. ✓ WMATA evaluated Actionable Items to confirm that the required actions had been addressed. 					

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Elevator and Escalator Services		100%
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QICO-ELES-18-01		August 2019	Closed		100%
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Identify opportunities to update the methodology for managing certification of all assets; include methods to ensure documentation is readily available on the System Asset Map.

- √ Revised procedure to include annual inspection of assets in the asset management system.
- √ Revised monthly preventative maintenance checklist.
- √ Developed and implemented a plan to address the backlog of safety work orders and inspection compliance with procedure.
- √ WMATA evaluated Actionable Items to confirm that the required actions had been addressed.

QICO-ELES-18-02		September 2018	Closed		100%
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Identify opportunities to implement established safety procedures that mitigate job hazards.

- √ Updated Lock Out/Tag Out (LOTO) procedure.
- √ Installed LOTO station at every rail station.
- √ Reinforced materials storage policy through internal meetings.
- √ Created housekeeping checklist to be posted at all non-public locations containing Office of Elevator and Escalator Services materials.
- √ WMATA evaluated Actionable Items to confirm that the required actions had been addressed.

QICO-ELES-18-03		January 2019	Closed		100%
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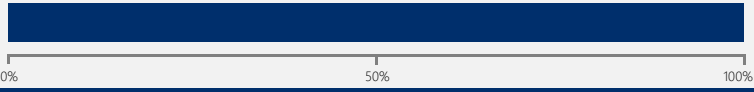
Review and update the maintenance control policy to reinforce established procedures, assure accurate management and availability of records.

- √ Revised hydraulic elevator policy.
- √ Updated the elevator control procedure.
- √ Completed kiosk logbooks with maintenance and repair information.
- √ WMATA evaluated Actionable Items to confirm that the required actions had been addressed.

QICO-ELES-18-04		September 2018	Closed		100%
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Verify Franconia-Springfield garage elevators programmable logic controllers meet capital improvement project acceptance measures and confirming all WMATA requirements are met.

- √ Established proper programmable logic controller (PLC) reporting functions.
- √ Confirmed PLC properly reports faults with a date and timestamp.
- √ WMATA evaluated Actionable Items to confirm that the required actions had been addressed.

Metrorail Automatic Fare Collection Inspection & Maintenance		100%
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QICO-AFCS-18-01		June 2019	Closed		100%
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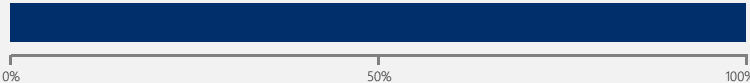
Review and update maintenance control policy in accordance with current business practices: reflecting improved quality control standards, consistent maintenance practices, and accurate asset reliability reporting.




- √ Developed preventative maintenance procedures for all Automatic Fare Collection (AFCS) assets and distributed staff notice; eliminate "Out of Service" and "Won't Go/Stay in Service" asset management system work order problem codes; and developed a quality control plan that addresses revision and review of checklists.
- √ Reviewed and revised policy to define roles and responsibilities of AFCS personnel.
- √ Communicated the requirements for asset management system work order problem code entries.
- √ WMATA evaluated Actionable Items to confirm that the required actions had been addressed.

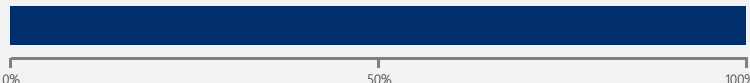
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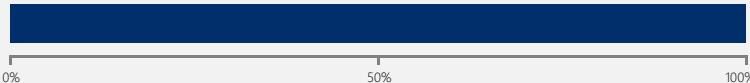
Area of Focus: Internal Safety & Security Review


System Maintenance		100%
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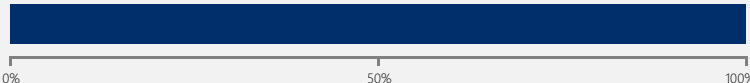
QICO-SS-SMNT-18-01		May 2019	Closed		100%
<p>Implement a documented hazard management procedure, including the required forms containing identification, analysis and mitigation of the hazard identified.</p> <ul style="list-style-type: none"> √ Revised and updated the maintenance control policy. √ Conducted internal meeting to communicate the creation of standardized hazard reporting procedure to all active maintenance personnel. √ WMATA evaluated Actionable Items to confirm that the required actions had been addressed. 					
QICO-SS-SMNT-18-02		January 2020	Closed		100%
<p>Implement a documented rulebook compliance quality control program that addresses specific check criteria and the frequency of the checks.</p> <ul style="list-style-type: none"> √ Developed checklist for second-level quality control compliance inspections; and revised policy to include them. √ Performed quality control and safety compliance checks; and integrated them into the asset management system. √ WMATA evaluated Actionable Items to confirm that the required actions had been addressed. 					
QICO-SS-SMNT-18-03		April 2019	Closed		100%
<p>Maintain and control an up-to-date training matrix and establish a procedure to periodically review training records.</p> <ul style="list-style-type: none"> √ Updated training matrix. √ Reviewed required safety courses for accuracy. √ Developed a procedure for administering and tracking training and certification records. √ WMATA evaluated Actionable Items to confirm that the required actions had been addressed. 					


Shops and Material Support		100%
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QICO-SS-SAM-18-01		May 2019	Closed		100%
<p>Establish and implement a departmental procedure that governs configuration changes, with an emphasis on safety.</p> <ul style="list-style-type: none"> √ Revised and updated the maintenance control policy. √ Communicated the configuration management and document control procedure revisions to the policy to all active maintenance personnel. √ WMATA evaluated Actionable Items to confirm that the required actions had been addressed. 					

Communications		100%
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QICO-SS-COM-18-01		May 2020	Closed		100%
<p>Establish a quality control program to promote compliance to the inspection and calibration requirements.</p> <ul style="list-style-type: none"> √ Ran calibration overdue reports using asset management system on a weekly basis. √ Conducted monthly checks for preventative maintenance compliance using asset management system records. √ Confirmed there was reasonable evidence to support completion of actionable items and performance measures. 					







Automatic Fare Collection		100%
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QICO-SS-AFC-18-01		June 2019	Closed		100%
<p>Establish a quality control program to promote compliance to the inspection, calibration, and storage requirements.</p> <ul style="list-style-type: none"> √ Ensured overdue test equipment for calibration is completed and closed. √ Ran weekly calibration overdue reports and submitted to the Assistant Superintendent for review. √ Revised monthly office safety inspection sheet to include the disposal of hazardous materials. √ Developed procedure for the disposal of hazardous materials. √ WMATA evaluated Actionable Items to confirm that the required actions had been addressed. 					

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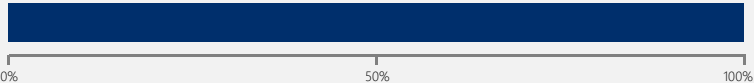
Elevators and Escalators		100%
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iCAPA Number	Risk Assessment	Closure Submission Date	iCAPA Status	Actionable Item Status
QICO-SS-ELES-18-01		October 2018	Closed	 100%
<p>Perform a review of all administrative and maintenance functions; ensure each function has a documented procedure and is well configured for identification and traceability purposes to meet WMATA's System Safety Program Plan guidelines.</p> <ul style="list-style-type: none"> √ Modified service bulletin procedure. √ Developed a procedure for safety and security certification. √ Completed supervisory safety audit reports. √ Modified procedure to address assets not maintained in the 30-day cycle. √ Provided revision dates on controlled documentation. √ Updated Office of Elevator and Escalator Services website with the most recent version of safety-related procedures. √ WMATA evaluated Actionable Items to confirm that the required actions had been addressed. 				
QICO-SS-ELES-18-02		September 2018	Closed	 100%
<p>Maintain and control an up-to-date training matrix and establish a procedure to periodically review training records.</p> <ul style="list-style-type: none"> √ Updated training matrix. √ Established a procedure for administering training and certification to employees and contractors in safety-related positions. √ Submitted training records for all applicable employees. √ Submitted hazard waste management training records for all applicable employees. √ WMATA evaluated Actionable Items to confirm that the required actions had been addressed. 				
QICO-SS-ELES-18-03		September 2018	Closed	 100%
<p>Assess the safety compliance in all ELES materials storage areas and take immediate corrective actions.</p> <ul style="list-style-type: none"> √ Enforced chemical storage and fluorescent tube handling policies; and provided spill pallets and proper means of storage and disposal in stations. √ WMATA evaluated Actionable Items to confirm that the required actions had been addressed. 				

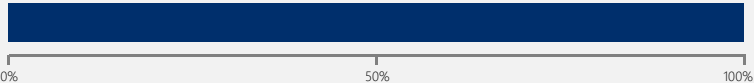
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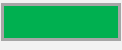

Area of Focus: Capital Program - Management & Execution



Metro rail New Railcar Manufacturing		100%
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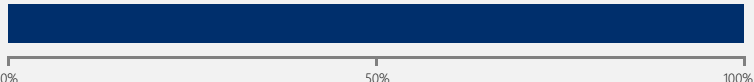
QICO-NRKM-18-01		October 2020	Closed		100%
<p>WMATA must review and ensure contract language and requirements for future railcar acquisitions includes performance of appropriate quality checks and engineering design support by the manufacturer.</p> <ul style="list-style-type: none"> ✓ Requested additional inspection data on a weekly basis for the remainder of the manufacturing process. ✓ Provided the most recently updated new railcar technical specification, conducted review meetings with all required stakeholders to update terms and conditions. ✓ Confirmed there was reasonable evidence to support completion of actionable items and performance measures. 					



Metrobus New Vehicle Acquisition		100%
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QICO-NVAB-18-01		October 2020	Closed		100%
<p>WMATA must establish a central repository for change management, program related document control and written correspondence.</p> <ul style="list-style-type: none"> ✓ Developed a business use case to identify all business requirements for establishing a central repository for new bus acquisition. ✓ Provided a software solution that meets the business requirements of the business-use case. ✓ Reviewed and revised existing procedures to incorporate the software solution, roles, and responsibilities into the business process. ✓ Confirmed there was reasonable evidence to support completion of actionable items and performance measures. 					

QICO-NVAB-18-02		August 2019	Closed		100%
<p>WMATA must establish a detailed training plan, including the training modules, targeted audience, delivery dates, and location. Retain training records within ELM and/or a central repository.</p> <ul style="list-style-type: none"> ✓ WMATA revised the training requirements in its procedure. ✓ WMATA submitted a training plan for necessary personnel on new buses and/or systems. ✓ WMATA provided records for 3 months after the first bus is delivered in the base year of the procurement. ✓ Finally, WMATA performed a quality verification of actionable items. 					



QICO-NVAB-18-03		June 2019	Closed		100%
<p>WMATA must provide monthly manufacturer supplied analysis of the defects, including trends and the actions taken to improve those trends. For future procurements, include a contractual requirement that identifies the targeted number of defects per bus and the actions to be taken in case of deviation.</p> <ul style="list-style-type: none"> ✓ WMATA performed monthly analysis reports of the defects reported on snag sheets. ✓ WMATA provided 6 months of manufacturer monthly analysis reports of the defects. ✓ Finally, WMATA performed a quality verification of actionable items. 					

Contract Requirements		100%
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QICO-PRMT-18-01		July 2022	Closed		100%
<p>WMATA must identify opportunities to update and implement policies, procedures and standards in accordance with the FTA Circular and the WMATA Procurement Manual to define expected practices, provide a roadmap for internal practices and assure efficiency, consistency and reliability.</p> <ul style="list-style-type: none"> ✓ Developed and implemented a procedure providing direction on WMATA's participation in the MWCOG cooperative purchasing program. ✓ Issued a staff notice announcing the establishment of a new procedure for the Cooperative Purchasing Program and standards. ✓ Revised and reissued procedures identified in F-PRMT-18-02. ✓ Confirmed there is reasonable evidence to support completion of actionable items and performance measures. 					

Area of Focus: Service Delivery

Rail Station ADA Compliance Assessment - 2018		100%
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QICO-ADA-18-01		March 2023	Closed		100%
<p>Bring platform edge light elements system-wide to a state of good repair.</p> <ul style="list-style-type: none"> ✓ Provided a list of stations to be completed under Future Above Ground Edge Light Contract & STUC-012. ✓ Provided evidence of completion of site survey and design for the replacement of platform train edge lights at 24 above-ground stations. ✓ Completed Phases 1-4 construction, installation, testing, and acceptance of replacement platform edge lights at 20 Metro station platforms. ✓ Completed construction, installation, testing, and acceptance of replacement platform edge lights at 24 above-ground Metro stations. ✓ Submitted an implementation plan including schedule to bring platform edge light systems at underground stations to a state of good repair. ✓ Confirmed there is reasonable evidence to support completion of actionable items and performance measures. 					