INTERNAL REVIEW

Service Delivery

In response to the internal review report regarding Vehicle Program Services (CENV) Change Management, the Office of Quality Assurance, Internal Compliance & Oversight (QICO) has coordinated the development of two (2) iCAPA's. The iCAPA's have been developed to address required action and the associated finding(s).

EXECUTIVE LEADERSHIP OF RESPONSIBLE PARTIES

Internal Corrective and Preventive Action (iCAPA) Commitment

5-2-2019

Date

Joseph Leader
Executive Vice President & Chief Operating Officer

EXECUTIVE LEADERSHIP OF RESPONSIBLE PARTIES

Internal Corrective and Preventive Action (iCAPA) Commitment

5/2/2019

Date

Hakim Davis
Vice President, Quality Assurance, Internal Compliance & Oversight (QICO)

5/6/19

Date

Eric Christensen
Executive Vice President, Internal Compliance (INCP)

5/6/19

Date

Paul J. Wiedefeld
General Manager & Chief Executive Officer (GM/CEO)

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Quality Assurance, Internal Compliance & Oversight (QICO)
Promoting Transparency, Accountability, & Public Confidence

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Purpose and Scope

On April 4, 2019, the Office of Quality Assurance, Internal Compliance & Oversight (QICO) issued an Internal Review report regarding Vehicle Program Services (CENV) Change Management. This internal Corrective and Preventive Action (iCAPA) has been developed to address required action QICO-RVCM-19-01 and the associated finding(s).

Required Action

QICO-RVCM-19-01	*Action Owner - CMOR*	Elevated

Required Action(s): Establish a quality control group independent from CENV to oversee configuration change document approval and implementation of rail vehicle modifications.

- **F-RVCM-19-01:** Implementation of quality control measures throughout the change management process is vital to promote outcomes at the expected quality level.

<div align="center">

Measure: *Quality Control*   Risk: *Service Delivery – Elevated (4,4)*

</div>

Action Plan Overview

The office of the CMO is in the process of implementing a plan to create a 'Budget and Compliance" department. One of the responsibilities of this department will be to oversee configuration changes, which coincides with the establishment of a quality control group, that is independent from CENV. CMOR is in the beginning stages of the hiring process for the Director of this department. The Director of Budget and Compliance, will in turn work to hire the required staff.

Business Impact – Budget/Cost Estimate

New/Expanded Initiative or Process – A new initiative needs to be created or a current process/procedure needs to be substantially expanded to address the Required Action(s). Additional resources will be required to address these initiatives.

- The salary for the Director of Budget and Compliance will be funded via the CMO operational budget. The funding source for subsequent staff will be identified by the Director, once hired. Associated funding years will begin in FY 2020 and will be continuously funded as this is an essential function of WMATA.

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Quality Assurance, Internal Compliance & Oversight (QICO)
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	Actionable Items	Description	Responsible Party[1]	Est Start[2]	Est End[3]
1.	Establish Budget & Compliance group	Establish an Independent Quality Control group to oversee Configuration Change. CMO will submit organizational structure and evidence of dedicated new Position Control Numbers (PCN) or staff augmentation to the Budget & Compliance group.	John Doherty CMO	04/11/19	10/14/20
2.	QICO CAP Verification Report	QICO will evaluate actionable items submitted to confirm there is reasonable evidence that the findings and this required action have been resolved, taking into account the actionable item descriptions and performance measures.	QICO	10/15/20	10/30/20

Performance Measures

- N/A

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[1] In the event of personnel or departmental changes, responsibilities for actionable items shall transfer to the new leadership.

[2] Est Start – Estimated Start Date.

[3] Est End – Estimated Completion Date.

[4] Offices designated as supporting roles provide subject matter expertise to responsible parties during action development and are not directly responsible for delivery of actionable items listed above.

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Quality Assurance, Internal Compliance & Oversight (QICO)
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Responsible Parties[1]

CMO   John Doherty   ▮▮▮▮▮▮   4/30/19

(Signature/Date)

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[1] In the event of personnel or departmental changes, responsibilities for actionable items shall transfer to the new leadership.

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Quality Assurance, Internal Compliance & Oversight (QICO)
Promoting Transparency, Accountability, & Public Confidence

Purpose and Scope

On April 4, 2019, the Office of Quality Assurance, Internal Compliance & Oversight (QICO) issued an Internal Review report regarding Vehicle Program Services (CENV) Change Management. This internal Corrective and Preventive Action (iCAPA) has been developed to address required action QICO-RVCM-19-02 and the associated finding(s).

Required Action

QICO-RVCM-19-02	*Action Owner - CENV*	Elevated

Required Action(s): Develop a documented process to identify and update the technical documents affected by the approval of engineering modifications.

- **F-RVCM-19-02:** A standardized approach to discovering and executing technical document revisions due to the approval of engineering changes is critical to an effective change control program.

    Measure: *Document Control*   Risk: *Service Delivery – Elevated (4,4)*

Action Plan Overview

Update current process to establish timeframe, tracking, and implementation of technical document changes.

Business Impact – Budget/Cost Estimate

Process Improvement – A current process/procedure needs to be optimized to address the Required Action(s). This type of initiative does not need additional resources because current manpower will be used to improve the process.

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Quality Assurance, Internal Compliance & Oversight (QICO)
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Actionable Items	Description	Responsible Party[1]	Est Start[2]	Est End[3]
1. Process Update	Update procedures for Engineering Modification Instruction (EMI), and Engineering Change Notice (ECN) to establish timeframe for technical document changes to be updated. CENV will submit updated procedures.	Stephen Baldassano (CENV)	04/15/19	06/05/19
2. Process implementation	Implementation of the updated procedure as per item 1 above. This will include an update of current tracker to include completion dates and responsible engineer. CENV will submit a onetime static copy of the tracking spreadsheet for QICO review.	Stephen Baldassano (CENV)	10/02/19	10/07/20
3. QICO CAP Verification Report	QICO will evaluate actionable items submitted to confirm there is reasonable evidence that the findings and this required action have been resolved, taking into account the actionable item descriptions and performance measures.	QICO	10/08/20	10/31/20

Performance Measures

- Tracking spreadsheet indicating 95% of document updates completed within timeline established as per actionable item #1.

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Quality Assurance, Internal Compliance & Oversight (QICO)
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Responsible Parties[1]

CENV　　　Stephen Baldassano

(Signature/Date)

Second-Level Responsibility

CENV　　　Steven Fuhrman

4/30/2019

(Signature/Date)

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Quality Assurance, Internal Compliance & Oversight (QICO)
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INTERNAL REVIEW

Service Delivery

In response to the internal review report regarding Storeroom Truck Inventory, the Office of Quality Assurance, Internal Compliance & Oversight (QICO) has coordinated the development of two (2) iCAPA's. The iCAPA's outline the findings, recommendation and requirements to be addressed, and a detailed action plan outlining responsible parties and specific actionable items.

EXECUTIVE LEADERSHIP OF RESPONSIBLE PARTIES

Internal Corrective and Preventive Action (iCAPA) Commitment

4/29/2019
Date

Joseph Leader
Executive Vice President & Chief Operating Officer

EXECUTIVE LEADERSHIP OF RESPONSIBLE PARTIES

Internal Corrective and Preventive Action (iCAPA) Commitment

4/29/2019
Date

Hakim Davis
Vice President, Quality Assurance, Internal Compliance & Oversight (QICO)

5/6/19
Date

Eric Christensen
Executive Vice President, Internal Compliance (INCP)

5/6/19
Date

Paul J. Wiedefeld
General Manager & Chief Executive Officer (GM/CEO)

INTERNAL CORRECTIVE AND PREVENTIVE ACTION (iCAPA)   QICO-TRUC-19-01

Purpose and Scope

On March 14, 2019, the Office of Quality Assurance, Internal Compliance & Oversight (QICO) issued an internal review report regarding Storeroom Truck Inventory. This internal Corrective and Preventive Action (iCAPA) report is developed to address associated finding(s) and required action for **QICO-TRUC-19-01**.

Required Action

QICO-TRUC-19-01	*Action Owner - SCMF*	<u>Moderate</u>

Required Action(s): Develop a Standard Operating Procedure for all SCMF storeroom transfer activities to include: roles & responsibilities, Maximo material transfer steps, physical transfer steps, truck driver acknowledgement, records, and quality control.

- F-TRUC-19-01: Generation of a documented process that defines all steps for transferring material from storeroom to storeroom will provide guidelines for traceability and accuracy of material transfers.

  Measure: *Work Standards*   Risk: *Service Delivery – Moderate (3,3)*

- F-TRUC-19-02: Creation of a documented process that depicts truck driver acknowledgement of the material and corresponding paperwork delineating the items and destination of transfer will promote accountability.

  Measure: *Work Standards*   Risk: *Service Delivery – Moderate (3,3)*

Action Plan Overview

- SCMF will revise and update the current process for transferring materials between storerooms. These changes will allow
- SCMF to have more controls to include at a minimum; roles and responsibilities, Maximo transfer steps, physical transfer steps, truck driver acknowledgement, records and quality control.

Business Impact – Budget/Cost Estimate

Process Improvement – A current process/procedure needs to be optimized to address the Required Action(s). This type of initiative does not need additional resources because current manpower will be used to improve the process.

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Quality Assurance, Internal Compliance & Oversight (QICO)
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	Actionable Items	Description	Responsible Party[1]	Est Start[2]	Est End[3]
1.	Meeting with Storeroom Supervisors and Managers	Action(s): Revise the current process and map out the steps for the reconciliation of inventory discrepancies in SCMF storerooms. Deliverable(s): Meeting agenda, minutes and meeting roster will be submitted to QICO.	Myrna Guzman SCMF Nichole Williams SCMF	04/8/2019	04/09/19
2.	Develop SOP	Action(s): Creation of a new SOP in compliance with QICO assessment. The new process will include the steps for the reconciliation of inventory discrepancies, and a checklist to investigate potential issues. The new process will also be added in the Countbook procedure section in the SCFM manual. Deliverable(s): SCMF will provide QICO the approved and signed SOP.	Myrna Guzman SCMF	04/10/2019	06/30/19
3.	New SOP Staff Notice	Action(s): This phase will include communication with all SCMF storeroom personnel and Supervisors' training of the new process. Training will be provided by Courtney Chavis, Business System Analyst. Supervisors will provide awareness refresher training to the SCMF storeroom clerks. Refresher training will be provided to the clerks after the June Pick is done and during the Clerk induction meeting on July 2019. Deliverable(s): Staff Notice, meeting agenda, minutes and meeting roster will be submitted to QICO.	Myrna Guzman SCMF Courtney Chavis SCMF	07/1/2019	07/31/19

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Quality Assurance, Internal Compliance & Oversight (QICO)
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	Actionable Items	Description	Responsible Party[1]	Est Start[2]	Est End[3]
4.	Monitoring	Action(s): Storerooms Supervisors will ensure the process is followed during the 90 days implementation phase. The new SOP will include an additional line item for the monthly storeroom inspection. Deliverable(s): SCMF will submit monthly storeroom inspection records for the 90-day monitoring period.	Myrna Guzman SCMF	07/1/2019	09/30/19
5.	QICO CAP Verification Report	QICO will evaluate actionable items submitted to confirm there is reasonable evidence that the findings and this required action have been resolved, taking into account the actionable item descriptions and performance measures.	QICO	10/1/2019	10/31/19

Performance Measures

- QICO will verify compliance for the three (3) consecutive monthly storeroom inspection records prior to closure of this QICO-TRUC-19-01.

QICO-REG-TMP01-01 iCAPA, Rev. 1, 3/25/2019
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Quality Assurance, Internal Compliance & Oversight (QICO)
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Responsible Parties[1]

SCMF	Myrna Guzman	██████████ 4-4-19 (Signature/Date)
SCMF	Nichole Williams	██████████ 4/4/19 (Signature/Date)
SCMF	Courtney Chavis	██████████ 4-4-19 (Signature/Date)
SCMF	Gerald Verno	██████████ 4-4-19 (Signature/Date)

Second-Level Responsibility

SCM	James Saenz	██████████ 4/5/19 (Signature/Date)

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[1] In the event of personnel or departmental changes, responsibilities for actionable items shall transfer to the new leadership.

QICO-REG-TMP01-01 iCAPA, Rev. 1, 3/25/2019
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Quality Assurance, Internal Compliance & Oversight (QICO)
Promoting Transparency, Accountability, & Public Confidence

Purpose and Scope

On March 14, 2019, the Office of Quality Assurance, Internal Compliance & Oversight (QICO) issued an internal review report regarding Storeroom Truck Inventory. This internal Corrective and Preventive Action (iCAPA) report is developed to address associated finding and required action for **QICO-TRUC-19-02**.

Required Action

QICO-TRUC-19-02	*Action Owner - SCMF*	Moderate

Required Action(s): Develop a Standard Operating Procedure that defines the process for the reconciliation of inventory discrepancies across all SCMF storerooms.

- F-TRUC-19-03: Development of a documented inventory discrepancy reconciliation process for the effective inventory management of parts and materials.

Measure: *Work Standards*   Risk: *Service Delivery – Moderate (3,3)*

Action Plan Overview

- SCMF team will develop a process for the reconciliation of inventory discrepancies.
- SCMF will develop and utilize a check list for investigating inventory discrepancies. Inventory adjustment threshold authorization levels will be monitored for compliance.

Business Impact – Budget/Cost Estimate

Process Improvement – A current process/procedure needs to be optimized to address the Required Action(s). This type of initiative does not need additional resources because current manpower will be used to improve the process.

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Quality Assurance, Internal Compliance & Oversight (QICO)
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	Actionable Items	Description	Responsible Party[1]	Est Start[2]	Est End[3]
1.	Meeting with Storeroom Supervisors and Managers	Action(s): Revise the current process and map out the steps for the reconciliation of inventory discrepancies in SCMF storerooms. Deliverable(s): Meeting agenda, minutes and meeting roster will be submitted to QICO.	Myrna Guzman SCMF Nichole Williams SCMF	04/8/2019	04/09/19
2.	Develop SOP	Action(s): Creation of a new SOP in compliance with QICO assessment. The new process will include the steps for the reconciliation of inventory discrepancies, and a checklist to investigate potential issues. The new process will also be added in the Countbook procedure section in the SCFM manual. Deliverable(s): SCMF will provide QICO the approved and signed SOP.	Myrna Guzman SCMF	04/10/2019	06/30/19
3.	Issue SOP Staff Notice	Action(s): This phase will include communication with all SCMF storeroom personnel and Supervisors' training of the new process. Training will be provided by Courtney Chavis, Business System Analyst. Supervisors will provide awareness refresher training to the SCMF storeroom clerks. Refresher training will be provided to the clerks after the June Pick is done and during the Clerk induction meeting on July 2019. Deliverable(s): Staff Notice, meeting agenda, minutes and meeting roster will be submitted to QICO.	Myrna Guzman SCMF Courtney Chavis SCMF	07/1/2019	07/31/19
4.	Monitoring	Action(s): Storerooms Supervisors will ensure the process is followed during the 90 days implementation phase. The new SOP will include an additional line item for the monthly storeroom inspection. Deliverable(s): SCMF will submit monthly storeroom inspection records for the 90-day monitoring period.	Myrna Guzman SCMF	07/1/2019	09/30/19

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[2] Est Start – Estimated Start Date.

[3] Est End – Estimated Completion Date.

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Quality Assurance, Internal Compliance & Oversight (QICO)
Promoting Transparency, Accountability, & Public Confidence

	Actionable Items	Description	Responsible Party[1]	Est Start[2]	Est End[3]
5.	QICO CAP Verification Report	QICO will evaluate actionable items submitted to confirm there is reasonable evidence that the findings and this required action have been resolved, taking into account the actionable item descriptions and performance measures.	QICO	10/1/2019	10/31/19

Performance Measures

- QICO will verify compliance for the three (3) consecutive monthly storeroom inspection records prior to closure of this QICO-TRUC-19-02.

QICO-REG-TMP01-01 iCAPA, Rev. 1, 3/25/2019
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Quality Assurance, Internal Compliance & Oversight (QICO)
Promoting Transparency, Accountability, & Public Confidence

Responsible Parties[1]

SCMF	Myrna Guzman	███████████████ 4-4-19
		(Signature/Date)
SCMF	Nichole Williams	███████████████ 4/4/19
		(Signature/Date)
SCMF	Courtney Chavis	██████████ 4-4-19
		(Signature/Date)
SCMF	Gerald Verno	████████ 4-4-19
		(Signature/Date)

Second-Level Responsibility

| SCMF | James Saenz | ██████████ 4/5/19 |
| | | (Signature/Date) |

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[1] In the event of personnel or departmental changes, responsibilities for actionable items shall transfer to the new leadership.

QICO-REG-TMP01-01 iCAPA, Rev. 1, 3/25/2019
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Quality Assurance, Internal Compliance & Oversight (QICO)
Promoting Transparency, Accountability, & Public Confidence

INTERNAL REVIEW

Service Delivery

In response to the internal review report regarding Non-Revenue Vehicle Utilization, the Office of Quality Assurance, Internal Compliance & Oversight (QICO) has coordinated the development of two (2) iCAPA's. The iCAPA's have been developed to address required action and the associated finding(s).

EXECUTIVE LEADERSHIP OF RESPONSIBLE PARTIES

Internal Corrective and Preventive Action (iCAPA) Commitment

4/30/2019

Joseph Leader
Executive Vice President & Chief Operating Officer

Date

EXECUTIVE LEADERSHIP OF RESPONSIBLE PARTIES

Internal Corrective and Preventive Action (iCAPA) Commitment

4/30/2019

Hakim Davis
Vice President, Quality Assurance, Internal Compliance & Oversight (QICO)

Date

5/2/19

Eric Christensen
Executive Vice President, Internal Compliance (INCP)

Date

5/2/19

Paul J. Wiedefeld
General Manager & Chief Executive Officer (GM/CEO)

Date

Purpose and Scope

On March 20, 2019, the Office of Quality Assurance, Internal Compliance & Oversight (QICO) issued an Internal Review report regarding Non-Revenue Vehicle Utilization. This internal Corrective and Preventive Action (iCAPA) has been developed to address required action QICO-NRV-19-01 and the associated finding(s).

Required Action

QICO-NRV-19-01	*Action Owner(s) – SVMT / STIN*	Moderate ▢

Required Action(s): Authority-wide training/awareness on the new Non-Revenue Fleet Management and use policy (P/I 1.9/8) is important to promote compliance.

- F-NRV-19-01: The utilization of the policy's standardized data collection forms is essential for data completeness and accuracy.

Measure: *Document Control*   Risk: *Service Delivery – Moderate (3,4)*

Action Plan Overview

As part of the new non-revenue fleet (NRF) policy roll-out, the Offices of Service Vehicles Maintenance (SVMT) and Strategic Initiatives (STIN) will brief senior leaders and Vehicle Monitors on major policy changes and each group's updated roles and responsibilities. SVMT, with support from STIN, will use current monthly meeting opportunities or host sessions for senior leaders and Vehicle Monitors, and assign Vehicle Monitors to share information with their respective offices' personnel. Finally, SVMT will include a compendium of all briefing materials on their MetroWeb page for future reference.

Business Impact – Budget/Cost Estimate

Process Improvement – A current process/procedure needs to be optimized to address the Required Action(s). This type of initiative does not need additional resources because current manpower will be used to improve the process.

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Quality Assurance, Internal Compliance & Oversight (QICO)
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	Actionable Items	Description	Responsible Party[1]	Est Start[2]	Est End[3]
1.	Senior leadership awareness	Brief senior leadership—from COO Assistant General Managers to Executive Management Team—on major policy changes and leadership role/responsibilities at a spring/summer 2019 BudSTAT meeting, as well as the first "NRF Quarterly Call" in summer/fall 2019. Post briefing materials on SVMT website for future reference. To support these actions, SVMT will submit meeting materials and sign-in sheets.	Kevin Newman (SVMT) Laura Moeini[4] (STIN)	08/01/19	11/27/19
2.	Vehicle Monitor briefings	Hold briefing sessions for all Vehicle Monitors (VMs) listed in Maximo in summer 2019 on major policy changes and VM roles/responsibilities. Post materials on SVMT website for future reference. To support these actions, SVMT will submit session materials and sign-in sheets.	Kevin Newman (SVMT) Laura Moeini[4] (STIN)	08/01/19	01/08/20
3.	QICO CAP Verification Report	QICO will evaluate actionable items submitted to confirm there is reasonable evidence that the findings and this required action have been resolved, taking into account the actionable item descriptions and performance measures.	QICO	01/09/20	02/05/20

Performance Measures

- 95% of active Vehicle Monitors (as listed on the date of the first session) have participated in a briefing session.

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[2] Est Start – Estimated Start Date.
[3] Est End – Estimated Completion Date.
[4] Offices designated as supporting roles provide subject matter expertise to responsible parties during action development and are not directly responsible for delivery of actionable items listed above.

Responsible Parties[1]

(SVMT)   Kevin Newman

4/18/19

(Signature/Date)

Supporting Role Acknowledgement[2]

(STIN)   Laura Moeini

4/26/19

(Signature/Date)

Second-Level Responsibility

(BMNT)   David Michels

4/18/19

(Signature/Date)

(STIN)   Jayme Johnson

4/23/19.

(Signature/Date)

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[2] Offices designated as supporting roles provide subject matter expertise to responsible parties during action development and are not directly responsible for delivery of actionable items listed above.

QICO-REG-TMP01-01 iCAPA, Rev. 1, 3/25/2019
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Quality Assurance, Internal Compliance & Oversight (QICO)
Promoting Transparency, Accountability, & Public Confidence

Purpose and Scope

On March 20, 2019, the Office of Quality Assurance, Internal Compliance & Oversight (QICO) issued an Internal Review report regarding Non-Revenue Vehicle Utilization. This internal Corrective and Preventive Action (iCAPA) has been developed to address required action QICO-NRV-19-02 and the associated finding(s).

Required Action

QICO-NRV-19-02	*Action Owner – SVMT / STIN / IT*	Moderate

Required Action(s): Development of a driver login solution to capture the drivers' information and trip details for NRV utilization.

- F-NRV-19-02: Review of detailed trip logs is essential to ensure data completeness and accuracy.

Measure: *Data Assurance*   Risk: *Service Delivery – Moderate (3,3)*

Action Plan Overview

The Office of Service Vehicle Maintenance (SVMT), with help from Strategic Initiatives (STIN), will focus on both short- and long-term solutions to improve non-revenue trip logging completeness and accuracy. In the short-term, SVMT will update the policy and release guidance documents to both 1) improve the paper trip logging process and 2) increase driver and Vehicle Monitor accountability with regards to logging trips. At the same time, SVMT will work long-term to implement vehicle tracking technology that allows easy driver sign-in with an electronic log-in device.

Business Impact – Budget/Cost Estimate

New/Expanded Initiative or Process – A new initiative needs to be created or a current process/procedure needs to be substantially expanded to address the Required Action(s). Additional resources will be required to address these initiatives.

SVMT estimates that will this initiative will cost capital funding of up to $2 Million. The CIP has not been established.

QICO-REG-TMP01-01 iCAPA, Rev. 1, 3/25/2019
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Quality Assurance, Internal Compliance & Oversight (QICO)
Promoting Transparency, Accountability, & Public Confidence

	Actionable Items	Description	Responsible Party[1]	Est Start[2]	Est End[3]
1.	Improving manual trip logging (short-term)	Improve manual trip log process and clarify instructions in new policy attachment and announcement, both released summer/fall 2019. In both, establish and/or strengthen reporting requirements. To support these actions, SVMT will submit new policy on Non-Revenue Fleet Management and Use and related announcement.	Kevin Newman (SVMT) Laura Moeini[4] (STIN)	05/01/19	11/06/19
2.	Identify electronic login device (long-term)	Identify a sustainable long-term electronic login solution from current or another vendor. To support these actions, SVMT will collaborate with IT to submit a plan that includes viable options, cost info, and implementation schedule.	Kevin Newman (SVMT) Laura Moeini (STIN) Martin Barnes[4] (IT)	05/01/19	01/06/21
3.	Implementation of electronic driver login system	Install hardware or software systems in all non-revenue street vehicles and test functionality. SVMT will submit evidence of vehicles completed using Maximo data for this campaign.	Kevin Newman (SVMT)	01/06/21	06/02/21
4.	Release announcement	Release an announcement explaining the newly implemented electronic driver login system.	Laura Moeini (STIN)	04/07/21	06/31/21
5.	QICO CAP Verification Report	QICO will evaluate actionable items submitted to confirm there is reasonable evidence that the findings and this required action have been resolved, taking into account the actionable item descriptions and performance measures.	QICO	06/03/21	06/30/21

Performance Measures

- SVMT will submit evidence of 90% completion of Maximo campaign as per actionable item #3.
- STIN will submit the announcement explaining the electronic driver login system per item #4.

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[3] Est End – Estimated Completion Date.

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QICO-REG-TMP01-01 iCAPA, Rev. 1, 3/25/2019
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Quality Assurance, Internal Compliance & Oversight (QICO)
Promoting Transparency, Accountability, & Public Confidence

Responsible Parties[1]

(SVMT)	Kevin Newman	4/18/19
		(Signature/Date)

(STIN)	Laura Moeini	4/26/19
		(Signature/Date)

Supporting Role Acknowledgement[2]

(IT)	Martin Barnes	4/15/19
		(Signature/Date)

Second-Level Responsibility

(BMNT)	David Michels	4/18/19
		(Signature/Date)

(STIN)	Jayme Johnson	4/23/19
		(Signature/Date)

(IT)	Roderic Allsopp	4/18/19
		(Signature/Date)

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[1] In the event of personnel or departmental changes, responsibilities for actionable items shall transfer to the new leadership.

[2] Offices designated as supporting roles provide subject matter expertise to responsible parties during action development and are not directly responsible for delivery of actionable items listed above.

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Quality Assurance, Internal Compliance & Oversight (QICO)
Promoting Transparency, Accountability, & Public Confidence

Service Delivery

In response to the internal safety review report regarding Vehicle Program Services (CENV), the Office of Quality Assurance, Internal Compliance & Oversight (QICO) has coordinated the development of four (4) iCAPA's. The iCAPA's have been developed to address required action QICO-CENV-19-01 and the associated finding(s).

INTERNAL REVIEW

EXECUTIVE LEADERSHIP OF RESPONSIBLE PARTIES

5-2-2019

Joseph Leader   *Date*
Executive Vice President & Chief Operating Officer

EXECUTIVE LEADERSHIP OF RESPONSIBLE PARTIES

Internal Corrective and Preventive Action (iCAPA) Commitment

5/2/2019

Hakim Davis   *Date*
Vice President, Quality Assurance, Internal Compliance & Oversight (QICO)

5/6/19

Eric Christensen   *Date*
Executive Vice President, Internal Compliance (INCP)

5/6/19

Paul J. Wiedefeld   *Date*
General Manager & Chief Executive Officer (GM/CEO)

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Quality Assurance, Internal Compliance & Oversight (QICO)
Promoting Transparency, Accountability, & Public Confidence

Purpose and Scope

On April 4, 2019, the Office of Quality Assurance, Internal Compliance & Oversight (QICO) issued an Internal Safety Review report regarding Vehicle Program Services (CENV). This internal Corrective and Preventive Action (iCAPA) has been developed to address required action QICO-CENV-19-01 and the associated finding(s).

Required Action

QICO-CENV-19-01	*Action Owner - CENV*	Moderate

Required Action(s): Develop a documented process to record and audit required safety training and certifications of employees and contractors.

- **F-CENV-19-01:** Maintaining a training and certification program for employees and contractors is necessary to maintain the competency level of employees.

  Measure: *Safety Training & Certification*   Risk: *Safety – Moderate (3,3)*

Action Plan Overview

CENV will update mandatory training matrix and establish a defined review process for keeping safety training and certifications maintained for all assigned personnel.

Business Impact – Budget/Cost Estimate

Process Improvement – A current process/procedure needs to be optimized to address the Required Action(s). This type of initiative does not need additional resources because current manpower will be used to improve the process.

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Quality Assurance, Internal Compliance & Oversight (QICO)
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Actionable Items	Description	Responsible Party[1]	Est Start[2]	Est End[3]
1. Update training matrix	Review the current mandatory Safety Training profile to ensure the safety training matrix is current. CENV will submit updated mandatory Safety Training Matrix	Diane Holland (CENV)	04/29/19	07/03/19
2. Establish review process for safety training and certifications	Establish a review process to ensure mandatory safety training and certifications of employees and contractors are maintained and up to date. CENV will submit newly created procedure or revision to existing procedure.	Diane Holland (CENV)	04/15/19	01/01/20
3. QICO CAP Verification Report	QICO will evaluate actionable items submitted to confirm there is reasonable evidence that the findings and this required action have been resolved, taking into account the actionable item descriptions and performance measures.	QICO	01/02/20	01/31/20

Performance Measures

- N/A

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[2] Est Start – Estimated Start Date.

[3] Est End – Estimated Completion Date.

[4] Offices designated as supporting roles provide subject matter expertise to responsible parties during action development and are not directly responsible for delivery of actionable items listed above.

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Quality Assurance, Internal Compliance & Oversight (QICO)
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Responsible Parties[1]

CENV	Diane Holland	▇▇▇▇▇▇▇ 4/29/19
		(Signature/Date)
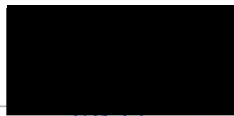
Second-Level Responsibility

CENV	Anthony Johnson	▇▇▇▇ 4/29/19
		(Signature/Date)

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[1] In the event of personnel or departmental changes, responsibilities for actionable items shall transfer to the new leadership.

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Quality Assurance, Internal Compliance & Oversight (QICO)
Promoting Transparency, Accountability, & Public Confidence

Purpose and Scope

On April 4, 2019, the Office of Quality Assurance, Internal Compliance & Oversight (QICO) issued an Internal Safety Review report regarding Vehicle Program Services (CENV). This internal Corrective and Preventive Action (iCAPA) has been developed to address required action QICO-CENV-19-02 and the associated finding(s).

Required Action

QICO-CENV-19-02	*Action Owner - CENV*	Moderate

Required Action(s): Determine how each work group will provide representation to attend designated local safety committee monthly meetings and establish a consistent presence at the monthly SCRC meetings.

- **F-CENV-19-02:** Regular attendance by required personnel at all mandatory safety committee meetings is essential to promote a culture of safety.

> Measure: *Assets & Activities*   Risk: *Safety – Moderate (3,3)*

Action Plan Overview

CENV will attend Safety Certification Review Committee (SCRC) meetings (either in person or via Conference Call) as required by Policy/Instruction 10.2/4. CENV will have management and non-management attendance at Local Safety Committee (LSC) meetings as required by Policy/Instruction 10.2/4. LSC meetings attendance will occur at maintenance yards with fulltime CENV representation.

Business Impact – Budget/Cost Estimate

Process Improvement – A current process/procedure needs to be optimized to address the Required Action(s). This type of initiative does not need additional resources because current manpower will be used to improve the process.

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Quality Assurance, Internal Compliance & Oversight (QICO)
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Actionable Items	Description	Responsible Party[1]	Est Start[2]	Est End[3]
1. Mandatory attendance of SCRC meetings	Chief, Vehicle Program Services or designee will attend all SCRC meetings either in person or via conference call. CENV will submit attendance documented from Meeting minutes or sign in sheets over a span of 90 days	Anthony Johnson CENV	05/01/19	07/31/19
2. Mandatory and representative attendance of LSC meetings	LSC meetings will be attended by management and non-management at yards with CENV representation (Greenbelt and New Carrollton). CENV will submit attendance documented from Meeting minutes or sign in sheets over a span of 90 days	David Eisenhauer CENV	05/01/19	07/31/19
3. QICO CAP Verification Report	QICO will evaluate actionable items submitted to confirm there is reasonable evidence that the findings and this required action have been resolved, taking into account the actionable item descriptions and performance measures.	QICO	08/01/19	04/30/19

Performance Measures

- Sign-in sheets demonstrating consistent attendance at all required safety committee meetings.

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[3] Est End – Estimated Completion Date.

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Quality Assurance, Internal Compliance & Oversight (QICO)
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Responsible Parties[1]

CENV	David Eisenhauer	████████████ 4/30/19
		(Signature/Date)

CENV	Anthony Johnson	████████ 4/29/19
		(Signature/Date)

Second-Level Responsibility

CENV	Sachit Kakkar	████████ 4/29/19
		(Signature/Date)

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[1] In the event of personnel or departmental changes, responsibilities for actionable items shall transfer to the new leadership.

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Quality Assurance, Internal Compliance & Oversight (QICO)
Promoting Transparency, Accountability, & Public Confidence

Purpose and Scope

On April 4, 2019, the Office of Quality Assurance, Internal Compliance & Oversight (QICO) issued an Internal Safety Review report regarding Vehicle Program Services (CENV). This internal Corrective and Preventive Action (iCAPA) has been developed to address required action QICO-CENV-19-03 and the associated finding(s).

Required Action

QICO-CENV-19-03	*Action Owner - CENV*	Moderate

Required Action(s): Develop a documented process to determine which document approval signatures are required and implement a method to record any revisions to the document approval signature page. Establish a method of verifying rail vehicle safety certifications are completed prior to releasing vehicles into service.

- **F-CENV-19-03:** Accurate and complete rail car safety certification records are essential for ensuring identified hazards have been mitigated.

Measure: *Document Control*   Risk: *Safety – Moderate (3,3)*

Action Plan Overview

In response to the request to develop a documented process to determine which approval signatures are required, for Safety Certifications, and to implement a method to record revisions to the process, CENV will either update existing documentation or create a new policy (OAP), to address the finding. This process will also clarify (and re-emphasize) existing methods regarding the acceptance (& releasing into service) of new rail cars.

Business Impact – Budget/Cost Estimate

Process Improvement – A current process/procedure needs to be optimized to address the Required Action(s). This type of initiative does not need additional resources because current manpower will be used to improve the process.

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Quality Assurance, Internal Compliance & Oversight (QICO)
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	Actionable Items	Description	Responsible Party[1]	Est Start[2]	Est End[3]
1.	Develop documented process	Update existing documentation or create new policy, regarding the certificate of compliance before acceptance/release of new rail cars. CENV will submit updated document or new policy (OAP).	Lucien Barthelemy (CENV)	05/1/2019	10/23/19
2.	QICO CAP Verification Report	QICO will evaluate actionable items submitted to confirm there is reasonable evidence that the findings and this required action have been resolved, taking into account the actionable item descriptions and performance measures.	QICO	10/24/2019	11/20/19

Performance Measures

- N/A

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Quality Assurance, Internal Compliance & Oversight (QICO)
Promoting Transparency, Accountability, & Public Confidence

Responsible Parties[1]

CENV	Lucien Barthelemy	████████████████ (Signature/Date)	4/30/19

Second-Level Responsibility

CENV	David Sauter	████████████████ (Signature/Date)	4/30/19

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[1] In the event of personnel or departmental changes, responsibilities for actionable items shall transfer to the new leadership.

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Quality Assurance, Internal Compliance & Oversight (QICO)
Promoting Transparency, Accountability, & Public Confidence

Purpose and Scope

On April 4, 2019, the Office of Quality Assurance, Internal Compliance & Oversight (QICO) issued an Internal Safety Review report regarding Vehicle Program Services (CENV). This internal Corrective and Preventive Action (iCAPA) has been developed to address required action QICO-CENV-19-04 and the associated finding(s).

Required Action

QICO-CENV-19-04	*Action Owner - CENV*	Moderate

Required Action(s): Develop a documented quality control process to verify rulebook compliance.

- **F-CENV-19-04:** Develop a documented quality control process to verify rulebook compliance.

       Measure: *Safety Training & Certification*   Risk: *Safety – Moderate (3,3)*

Action Plan Overview

Continue to use PeopleSoft ELM to track Roadway Worker Protection (RWP) certification for Metrorail Safety Rules and Procedures (MSRPH) rule knowledge. Create and implement procedure to capture supervisory monitoring of employees entering the roadway for adherence to personal protective equipment (PPE) requirements and radio protocol.

Business Impact – Budget/Cost Estimate

Process Improvement – A current process/procedure needs to be optimized to address the Required Action(s). This type of initiative does not need additional resources because current manpower will be used to improve the process.

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Quality Assurance, Internal Compliance & Oversight (QICO)
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	Actionable Items	Description	Responsible Party[1]	Est Start[2]	Est End[3]
1.	Demonstrate MSRPH rule knowledge with RWP certification	Maintain CENV RWP certification list with expiration dates. CENV will submit current CENV RWP compliance list over a span of 90 days.	David Eisenhauer CENV	05/15/19	09/18/19
2.	Establish procedure	Create new or revise existing procedure for supervisory rulebook quality control checks as per Policy/Instruction 1.15/0. CENV will submit updated or new procedure for supervisory rulebook quality control checks.	David Eisenhauer CENV	05/15/19	09/18/19
3.	Random monitoring of employee roadway work habits for MSRPH compliance.	Perform spot inspections as per actionable item #2 above. CENV will submit samples of completed supervisory QC checks as per procedure over a span of 90 days.	David Eisenhauer CENV	05/15/19	09/18/19
4.	QICO CAP Verification Report	QICO will evaluate actionable items submitted to confirm there is reasonable evidence that the findings and this required action have been resolved, taking into account the actionable item descriptions and performance measures.	QICO	09/19/19	09/30/19

Performance Measures

- For actionable item #1, 95% compliance for current RWP certifications.
- For actionable item #3, a quantity representing 95% of completed checks as per procedure submitted for actionable item #2.

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Quality Assurance, Internal Compliance & Oversight (QICO)
Promoting Transparency, Accountability, & Public Confidence

Responsible Parties[1]

CENV	David Eisenhauer		4/30/19
		(Signature/Date)	

Second-Level Responsibility

CENV	Anthony Johnson		4/29/19
		(Signature/Date)	

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[1] In the event of personnel or departmental changes, responsibilities for actionable items shall transfer to the new leadership.

INTERNAL REVIEW

Service Delivery

In response to the Internal Safety Review Report (ISR) issued by the Office of Quality Assurance, Internal Compliance & Oversight (QICO) to the Office of Supply Chain Management, Warehousing and Facilities (SCMF), QICO has coordinated the development of two (2) iCAPA's. The iCAPA's outline the findings, recommendation and requirements to be addressed, and a detailed action plan outlining responsible parties and specific actionable items.

EXECUTIVE LEADERSHIP OF RESPONSIBLE PARTIES

Internal Corrective and Preventive Action (iCAPA) Commitment

4/29/2019

Joseph Leader
Executive Vice President & Chief Operating Officer
Date

EXECUTIVE LEADERSHIP OF RESPONSIBLE PARTIES

Internal Corrective and Preventive Action (iCAPA) Commitment

4/29/2019

Hakim Davis
Vice President, Quality Assurance, Internal Compliance & Oversight (QICO)
Date

5/7/19

Eric Christensen
Executive Vice President, Internal Compliance (INCP)
Date

5/6/19

Paul J. Wiedefeld
General Manager & Chief Executive Officer (GM/CEO)
Date

INTERNAL CORRECTIVE AND PREVENTIVE ACTION (iCAPA)   QICO-MATM-19-01

Purpose and Scope

On April 10, 2019, the Office of Quality Assurance, Internal Compliance & Oversight (QICO) issued an Internal Safety Review (ISR) report for the office of Supply Chain Management, Warehousing and Facilities (SCMF). The ISR assessed SCMF's compliance with WMATA's System Safety Program Plan (SSPP). This internal Corrective and Preventive Action (iCAPA) report is developed to address the associated finding(s) and required action for **QICO-MATM-19-01**.

Required Action

QICO-MATM-19-01	*Action Owner - SCMF*	Moderate

Required Action(s): Develop a documented process pertaining to storage, handling, and transportation of hazardous materials.

- F-MATM-19-01: Developing a documented procedure for the Acquisition, Storage and Handling of Flammable Chemicals and Hazard Communication Program promotes a safe work environment.

  Measure: *Safe Work Standards*   Risk: *Safety Risk – Moderate (3,3)*

- F-MATM-19-03: Developing a documented procedure for handling hazardous materials during transport enhances the employee and material safety.

  Measure: *Safe Work Standards*   Risk: *Safety Risk – Moderate (3,3)*

Action Plan Overview

- SCMF will develop a process that addresses storage, handling, and transportation of hazardous materials.

Business Impact – Budget/Cost Estimate

New/Expanded Initiative or Process – A new initiative needs to be created or a current process/procedure needs to be substantially expanded to address the Required Action(s). Additional resources will be required to address these initiatives.

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Quality Assurance, Internal Compliance & Oversight (QICO)
Promoting Transparency, Accountability, & Public Confidence

	Actionable Items	Description	Responsible Party[1]	Est Start[2]	Est End[3]
1.	Meeting with Storeroom Supervisors and Managers	Action(s): Review the current processes and discuss steps required for proper storage, handling, and transportation of hazardous materials in SCMF warehouses and storerooms. Deliverable(s): Meeting agenda, minutes and meeting roster will be submitted to QICO.	Myrna Guzman SCMF	04/18/2019	04/19/19
2.	Develop Documented Process	Action(s): Creation of a new documented process in compliance with QICO assessment. The new process will include the specific instructions required to provide for proper storage, handling, and transportation of hazardous materials. The new process will be added in the Storeroom and Distribution Safety procedure section in the SCFM manual. Deliverable(s): SCMF will provide QICO the finalized documented process.	Myrna Guzman SCMF	04/10/2019	06/30/19
3.	Issue Documented Process Staff Notice	Action(s): This phase will include communication with all SCMF warehouse and storeroom personnel and Supervisors' training of the new process. Supervisors will provide awareness refresher training to the SCMF warehouse and storeroom clerks. Deliverable(s): Staff Notice, meeting agenda, minutes and meeting roster will be submitted to QICO.	Myrna Guzman SCMF	07/1/2019	08/31/19
4.	Monitoring	Action(s): Storerooms Supervisors will ensure the process is followed during the 90 days implementation phase. The new SOP will include an additional line item for the monthly storeroom inspection. Deliverable(s): SCMF will submit monthly storeroom inspection records for the 90-day monitoring period.	Myrna Guzman SCMF	09/1/2019	11/30/19

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[2] Est Start – Estimated Start Date.

[3] Est End – Estimated Completion Date.

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Quality Assurance, Internal Compliance & Oversight (QICO)
Promoting Transparency, Accountability, & Public Confidence

	Actionable Items	Description	Responsible Party[1]	Est Start[2]	Est End[3]
5.	QICO CAP Verification Report	QICO will evaluate actionable items submitted to confirm there is reasonable evidence that the findings and this required action have been resolved, taking into account the actionable item descriptions and performance measures.	QICO	10/1/2019	10/31/19

Performance Measures

- 90% attendance by all active SCMF personnel in accordance with actionable item #3. SCMF personnel are considered inactive if personnel are on long term leave.
- QICO will verify three (3) personnel's knowledge how to access the new documented process by conducting follow up interviews at three (3) locations. One (1) personnel will be randomly selected from each location.

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Quality Assurance, Internal Compliance & Oversight (QICO)
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Responsible Parties[1]

SCMF	Myrna Guzman	████████	4-11-19
		(Signature/Date)	
SCMF	Gerald Verno	████████	4-11-19
		(Signature/Date)	

Second-Level Responsibility

SCMF	James Saenz	████████	4/15/2019
		(Signature/Date)	

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[1] In the event of personnel or departmental changes, responsibilities for actionable items shall transfer to the new leadership.

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Quality Assurance, Internal Compliance & Oversight (QICO)
Promoting Transparency, Accountability, & Public Confidence

Purpose and Scope

On April 10, 2019, the Office of Quality Assurance, Internal Compliance & Oversight (QICO) issued an Internal Safety Review (ISR) report for the office of Supply Chain Management, Warehousing and Facilities (SCMF). The ISR assessed SCMF's compliance with WMATA's System Safety Program Plan (SSPP). This internal Corrective and Preventive Action (iCAPA) report is developed to address the associated finding and required action for **QICO-MATM-19-02**.

Required Action

QICO-MATM-19-02	*Action Owner - SCMF*	Moderate

Required Action(s): Develop a documented process for reporting incidents and accidents.

- F-MATM-19-02: Creating a documented procedure to define the process for reporting incidents or accidents creates traceability, lessons learned, and promotes a safer environment.

    Measure: *Safe Work Standards*   Risk: *Safety Risk – Moderate (3,3)*

Action Plan Overview

- SCMF will develop a process for reporting safety incidents and accidents.

Business Impact – Budget/Cost Estimate

New/Expanded Initiative or Process – A new initiative needs to be created or a current process/procedure needs to be substantially expanded to address the Required Action(s). Additional resources will be required to address these initiatives.

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Quality Assurance, Internal Compliance & Oversight (QICO)
Promoting Transparency, Accountability, & Public Confidence

	Actionable Items	Description	Responsible Party[1]	Est Start[2]	Est End[3]
1.	Meeting with Storeroom Supervisors and Managers	Action(s): Review the current processes and discuss steps required for proper reporting of incidents and accidents. Deliverable(s): Meeting agenda, minutes and meeting roster will be submitted to QICO.	Myrna Guzman SCMF	04/18/2019	04/19/19
2.	Develop Documented Process	Action(s): Creation of a new documented process in compliance with QICO assessment. The new process will include the specific instructions for the reporting of incidents and accidents, to include instructions for the completion of reporting within the SMS system. The new process will be added in the Storeroom and Distribution Safety procedure section in the SCFM manual. Deliverable(s): SCMF will provide QICO the finalized documented process.	Myrna Guzman SCMF	04/20/2019	06/10/19
3.	Issue Documented Process Staff Notice	Action(s): This phase will include communication with all SCMF warehouse and storeroom personnel and Supervisors' training of the new process. Supervisors will provide awareness refresher training to the SCMF warehouse and storeroom clerks. Deliverable(s): Staff Notice, meeting agenda, minutes and meeting roster will be submitted to QICO.	Myrna Guzman SCMF	06/11/2019	07/31/19
4.	QICO CAP Verification Report	QICO will evaluate actionable items submitted to confirm there is reasonable evidence that the findings and this required action have been resolved, taking into account the actionable item descriptions and performance measures.	QICO	10/1/2019	10/31/19

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[2] Est Start – Estimated Start Date.

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Quality Assurance, Internal Compliance & Oversight (QICO)
Promoting Transparency, Accountability, & Public Confidence

Performance Measures

- 90% attendance by all active SCMF personnel in accordance with actionable item #3. SCMF personnel are considered inactive if personnel are on long term leave.
- QICO will verify three (3) supervisory personnel's knowledge how to access the new documented process by conducting follow up interviews at three (3) locations. One (1) personnel will be randomly selected from each location.

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Quality Assurance, Internal Compliance & Oversight (QICO)
Promoting Transparency, Accountability, & Public Confidence

Responsible Parties[1]

SCMF	Myrna Guzman	███████████████	4-11-19
			(Signature/Date)
SCMF	Gerald Verno	████████	4-11-19
			(Signature/Date)

Second-Level Responsibility

SCMF	James Saenz	██████████	4/15/2019
			(Signature/Date)

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Quality Assurance, Internal Compliance & Oversight (QICO)
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