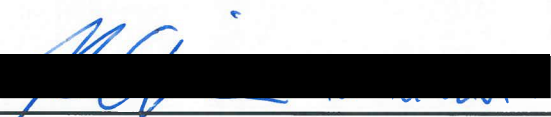## INTERNAL REVIEW

Safety and Security

In response to the internal review of Safety and Security, including review of Systems Maintenance (SMNT) Shops & Material Support (SAMS), SMNT Communications Branch (COMM), SMNT Automatic Fare Collection Branch (AFC), and the Office of Elevators and Escalators (ELES), the office of Quality Assurance, Internal Compliance & Oversight (QICO) has coordinated the development of twelve (12) iCAPAs. Each iCAPA outlines 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

_____   4/26/18

Joseph Leader   Date
Chief Operating Officer (COO)

_____   4/27/18

Patrick Lavin   Date
Chief Safety Officer (SAFE)

WMATA INTERNAL OVERSIGHT

internal Corrective and Preventive Action (iCAPA) Acknowledgement

_____   4/26/18

Angel Peña   Date
Managing Director, Quality Assurance, Internal Compliance & Oversight (QICO)

_____   4/27/18

Eric Christensen   Date
Chief of Internal Compliance (INCP)

_____   4/27/18

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

SYSTEMS MAINTENANCE (SMNT) iCAPAs

Purpose and Scope

On April 5, 2018, the Office of Quality Assurance, Internal Compliance & Oversight (QICO) issued an Internal Safety and Security Review report regarding Office of System Maintenance (SMNT) offices: Automatic Fare Collection (AFC), Communications Section (COMM), and Shops and Material Support (SAMS). This Internal Corrective and Preventive Action (iCAPA) has been developed to address required action QICO-SS-SMNT-18-01 and the associated finding(s).

Required Action

QICO-SS-SMNT-18-01   *Systems Maintenance (SMNT)*   *Elevated* ■

Implement a documented hazard management procedure, including the required forms containing identification, analysis and mitigation of the hazards identified.

Applicable Finding(s)

- F-SS-AFC-18-01: Implementation of the departmental hazard management procedure to identify, analyze, and resolve hazards will promote a safe working environment.
    - Measure: *Hazard Management*. Risk: *Safety – Elevated (4,4)*
- F-SS-COM-18-01: Implementation of the departmental hazard management procedure to identify, analyze, and resolve hazards will promote a safe working environment.
    - Measure: *Hazard Management*. Risk: *Safety – Elevated (4,4)*
- F-SS-SAM-18-01: Implementation of the departmental hazard management procedure to identify, analyze, and resolve hazards will promote a safe working environment.
    - Measure: *Hazard Management*. Risk: *Safety – Elevated (4,4)*

Action Plan Overview

SMNT will incorporate a departmental hazard management procedure in to the revised Maintenance Control Policy (MCP) for each branch. SMNT may optionally move to consolidate each branch MCP into an office-wide MCP to cover all branches under SMNT.

Business Impact - Budget/Cost Estimate

- Process Improvement – A current process/procedure needs to be optimized to address the required action. This type of initiative does not need additional resources because current manpower will be used to improve the process.

PLAN STRUCTURE

	Actionable Items	Description	Responsible Party[1]	Est Start[2]	Est End[3]
1.	Revise and update the Maintenance Control Policy (MCP)	SMNT will create a standardized hazard reporting procedure to promote a safe working environment with AFC, COMM, and SAMS, and incorporate those procedures into each branch MCP. SMNT will provide the MCP.	Gairy Johnson SMNT	05/02/18	12/05/18
2.	Toolbox Meeting	SMNT will conduct toolbox meeting with all maintenance personnel (e.g. AFC, COMM, and SAMS) to communicate creation of standardized hazard reporting procedure. SMNT will submit toolbox meeting notes and sign-in sheets.	Gairy Johnson SMNT	12/05/18	01/02/19
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	01/02/19	02/01/19

Completion Documentation & Performance Measures

- Evidence of AFC, COMM & SAMS hazard management procedures incorporated in the MCP as prescribed under actionable item #1.
- Evidence that 100 percent of all active AFC, COMM, and SAMS employees received training as prescribed under actionable item # 2.

---

[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.

Responsible Party

SMNT	Gairy Johnson	████████████	4/26/18
		(Signature/Date)	

Second-Level Responsibility

SSRV	Randall Grooman	████████████	4/26/18
		(Signature/Date)	

Purpose and Scope

On April 05, 2018, the Office of Quality Assurance, Internal Compliance & Oversight (QICO) issued an Internal Safety and Security Review report regarding Office of System Maintenance (SMNT) offices: Automatic Fare Collection (AFC), Communications Section (COMM), and Shops and Material Support (SAMS). This Internal Corrective And Preventive Action Plan (iCAPA) has been developed to address required action QICO-SS-SMNT-18-02 and the associated finding(s).

Required Action

| QICO-SS-SMNT-18-02 | *Systems Maintenance (SMNT)* | *High* | ■ |

Implement a documented rulebook compliance quality control program that addresses specific check criteria and the frequency of the checks.

Applicable Finding(s)

- F-SS-AFC-18-03: The implementation of the quality control program related to rulebook compliance is essential to maintain a safe working environment.
    - o   *Measure: Safety Management   Risk: Safety (4.5)*
- F-SS-COM-18-03: The implementation of the quality control program related to rulebook compliance is essential to maintain a safe working environment.
    - o   *Measure: Safety Management   Risk: Safety (4.5)*
- F-SS-SAM-18-03: The implementation of the quality control program related to rulebook compliance is essential to maintain a safe working environment.
    - o   *Measure: Safety Management   Risk: Safety (4.5)*

Action Plan Overview

Systems Maintenance (SMNT) will develop a checklist for second level quality control compliance inspections and update Maintenance Control Policy (MCP) accordingly. SMNT will perform safety rule compliance checks and quality control compliance checks as noted in MCP and maintain records of inspection in Maximo.

Business Impact - Budget/Cost Estimate

- Process Execution – A current process/procedure exists that meets the FTA Required Action, but needs to be executed. This type of initiative does not need additional resources.

PLAN STRUCTURE

	Actionable Items	Description	Responsible Party[1]	Est Start[2]	Est End[3]
1.	Develop Checklist for Second Level Quality Control Compliance Inspections	SMNT will develop a checklist for Area Managers and Assistant Superintendents to perform their second level quality control compliance inspections. SMNT will submit developed checklist.	Gairy Johnson (SMNT)	05/01/18	08/01/18
2.	Revise Maintenance Control Policy (MCP)	Revise maintenance control policy to include new second level quality control compliance checklist. SMNT will submit revised MCP.	Gairy Johnson (SMNT)	05/01/18	08/01/18
3.	Perform Quality Control and Safety Compliance Checks	Shift Supervisors and Area Managers/Assistant Superintendent will perform quality and safety compliance checks as noted in the revised MCP. SMNT will submit three months of completed quality control inspection checklists after implementation.	Gairy Johnson (SMNT)	05/01/18	08/01/18
4.	Integrate Quality Control Checks into Maximo	SMNT will integrate quality control checks as work orders into Maximo for record keeping purposes. SMNT will submit three months of quality control Maximo records after implementation.	Gairy Johnson (SMNT)	05/01/18	08/01/18
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	08/01/18	09/03/18

Completion Documentation & Performance Measures

- Evidence of developed second level quality control inspection checklist as prescribed under actionable item #1.
- Evidence of revised maintenance control policy as prescribed under actionable item #2.
- Evidence of performed quality control and safety compliance checks as prescribed under actionable item #3.
- Evidence of quality control checks being recorded in Maximo as prescribed under actionable item #4.

---

[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.

Responsible Party

SMNT   Gairy Johnson   ██████████████   4/26/18

(Signature/Date)

Second-Level Responsibility

SSRV   Randall Grooman   ████████████   4/26/18

(Signature/Date)

Purpose and Scope

On April 05, 2018, the Office of Quality Assurance, Internal Compliance & Oversight (QICO) issued an Internal Safety and Security Review report regarding Office of System Maintenance (SMNT) offices: Automatic Fare Collection (AFC), Communications Section (COMM), and Shops and Material Support (SAMS). This Internal Corrective and Preventative Action Plan (iCAPA) has been developed to address required action QICO-SS-SMNT-18-03 and the associated finding(s).

Required Action

QICO-SS-SMNT-18-03	*Systems Maintenance (SMNT)*	*Moderate* ⬛

Maintain and control an up-to-date training matrix and establish a procedure to periodically review training records.

Applicable Finding(s)

- F-SS-AFC-18-05: Maintaining a controlled training and certification program for employees and contractors is necessary to retain the competency level.
    - *Measure: Safety Training & Certification. Risk: Safety – Moderate (3.4)*
- F-SS-COM-18-03: Maintaining a controlled training and certification program for employees and contractors is necessary to retain the competency level.
    - *Measure: Safety Training & Certification. Risk: Safety – Moderate (3.4)*
- F-SS-SAM-18-03: Maintaining a controlled training and certification program for employees and contractors is necessary to retain the competency level.
    - *Measure: Safety Training & Certification. Risk: Safety – Moderate (3.4)*

Action Plan Overview

Systems Maintenance (SMNT) will update the current training matrix confirming all required training are included in the matrix. SAFE will review the training matrix for accuracy and provide concurrence for safety related training.

Business Impact - Budget/Cost Estimate

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

PLAN STRUCTURE

	Actionable Items	Description	Responsible Party[1]	Est Start[2]	Est End[3]
1.	Update SMNT Training Matrix	Update AFCS, COMM, SAMS personnel training matrix to include specific training requirements, periodicities for management, and each technician grade. SMNT will provide training matrix.	Gairy Johnson SMNT	05/01/18	07/11/18
2.	Training Matrix Review	SAFE will review required safety courses for accuracy. SAFE will provide evidence of review and concurrence with the training matrix as applicable.	Patrick Lavin SAFE	07/11/18	08/15/18
3.	Standard Operating Procedure (SOP) for Required Training	Develop SOP for administering and tracking training and certification records for AFC, COMM and SAMS personnel. SMNT will provide SOP.	Gairy Johnson SMNT	05/01/18	09/26/18
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	09/26/18	10/31/18

Completion Documentation & Performance Measures

- Evidence of updated training matrix as prescribed per actionable item #1.
- Evidence of developed SOP as prescribed per actionable item # 3.

---

[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.
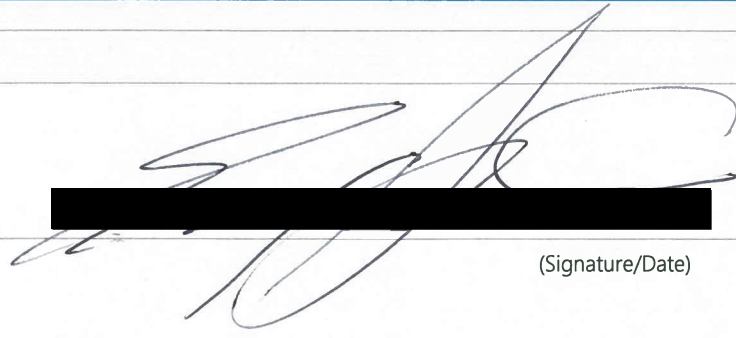
Responsible Party

SMNT	Gairy Johnson	███████████████	4/26/18
		(Signature/Date)	

Second-Level Responsibility

SSRV	Randall Grooman	███████████	4/26/18
		(Signature/Date)	
SAFE	Patrick Lavin	███████████	4/26/18
		(Signature/Date)	

SYSTEMS MAINTENANCE SHOPS AND MATERIAL SUPPORT iCAPAs

Purpose and Scope

On April 5, 2018, the Office of Quality Assurance, Internal Compliance & Oversight (QICO) issued an Internal Safety and Security Review report regarding Office of System Maintenance (SMNT) offices: Automatic Fare Collection (AFC), Communications Section (COMM), and Shops and Material Support (SAMS). This Internal Corrective and Preventive Action (iCAPA) has been developed to address required action QICO-SS-SMNT-18-01 and the associated finding(s).

Required Action

QICO-SS-SAM-18-01	*Systems Maintenance (SMNT)*	*Moderate*

Establish and implement a departmental procedure that governs configuration changes, with an emphasis on safety.

Applicable Finding(s)

- F-SS-SAM-18-05: The presence of a department specific procedure governing configuration changes is critical to safe and reliable change management.
    - *Measure: Managing Safety in System Modification Risk: Safety – Moderate (3,3)*

Action Plan Overview

SMNT will incorporate a configuration control management and document control procedure with specific requirements for Engineering Modification Instruction (EMI) implementation to the revised Maintenance Control Policy (MCP) for the SAMS branch, in accordance with Operations Administrative Procedure (OAP) 200-06.

Business Impact - Budget/Cost Estimate

- Process Improvement – A current process/procedure needs to be optimized to address the required action. This type of initiative does not need additional resources because current manpower will be used to improve the process.

PLAN STRUCTURE

	Actionable Items	Description	Responsible Party[1]	Est Start[2]	Est End[3]
1.	Revise and update the Maintenance Control Policy (MCP)	SMNT-SAMS will provide configuration control management and document control procedure in accordance with OAP 200-06, and incorporate in to revised MCP. SMNT will submit MCP.	Gairy Johnson SMNT	05/02/18	08/01/18
2.	Toolbox Meeting	SMNT-SAMS will conduct toolbox meetings with maintenance personnel to communicate the configuration management and document control procedure revisions to the MCP. SMNT-SAMS will submit toolbox meeting notes and sign-in sheets.	Gairy Johnson SMNT	08/08/18	08/18/18
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	08/18/18	09/05/18

Completion Documentation & Performance Measures

- Evidence of configuration control policy incorporated in the MCP.
- Toolbox meeting notes and sign-in sheets demonstrating evidence of discussion regarding revised MCP.

---

[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.

Responsible Parties

SMNT   Gairy Johnson   ████████████████   4/26/18

(Signature/Date)

Second-Level Responsibility

SSRV   Randall Grooman   ███████████   4/26/18

(Signature/Date)

SYSTEMS MAINTENANCE COMMUNICATIONS BRANCH iCAPAs

Purpose and Scope

On April 5, 2018, the Office of Quality Assurance, Internal Compliance & Oversight (QICO) issued an Internal Safety and Security Review report regarding Office of System Maintenance (SMNT) offices: Automatic Fare Collection (AFC), Communications Section (COMM), and Shops and Material Support (SAMS). This Internal Corrective and Preventive Action (iCAPA) has been developed to address required action QICO-SS-SMNT-18-01 and the associated finding(s).

Required Action

| QICO-SS-COM-18-01 | *Systems Maintenance (SMNT)* | *Elevated* ▮ |

Establish a quality control program to promote compliance to the inspection and calibration requirements. The program should include specific check points, frequency of checks, and the responsible parties.

Applicable Finding(s)

- F-SS-COM-18-05: Timely inspections and calibration of facilities and equipment is essential to maintain a safe and reliable working environment.
    - *Measure: Occupational Safety & Health Risk: Safety – Elevated (4,4)*

Action Plan Overview

Create an updated test equipment calibration schedule and run overdue reports on a weekly basis. The shift supervisor will be responsible for ensuring that equipment is sent to SAMS for calibration. The Assistant Superintendent will ensure that the master list is kept current.

COMM will have the Assistant Superintendent review the preventive maintenance (PM) work orders within their area of responsibility and have the supervisor document why the PM will be delayed. Supervisors will monitor and certify that PMs are being completed monthly. The supervisor will document why the PM will not be completed by the end of the month as noted in the COMM Maintenance Control Policy.

Business Impact - Budget/Cost Estimate

- Process Execution – A current process/procedure exists that meets the required action, but needs to be executed. This type of initiative does not need additional resources.

PLAN STRUCTURE

	Actionable Items	Description	Responsible Party[1]	Est Start[2]	Est End[3]
1.	Weekly Calibration Overdue Reports	Shift supervisors will run calibration overdue reports using Maximo on a weekly basis, and submit to Assistant Superintendent for review. SMNT will submit three months' worth of reports.	Gairy Johnson SMNT	05/30/18	08/29/18
2.	Monthly PM Compliance Reports	Assistant superintendents will conduct monthly checks for PM compliance using Maximo records and require supervisors to supply justification for delayed PMs. SMNT will submit six months' worth of compliance reports.	Gairy Johnson SMNT	05/30/18	10/31/18
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	10/31/18	11/28/18

Completion Documentation & Performance Measures

- Maximo records indicating compliance with the calibration requirements as prescribed under actionable item #1.
- Maximo records indicating compliance with the PM requirements as prescribed under actionable item #2.

---

[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.
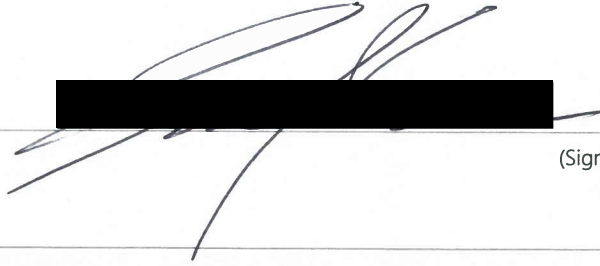
[3] Est End – Estimated Completion Date.

Responsible Parties

SMNT   Gairy Johnson   ███████████████   4/26/18

(Signature/Date)

Second-Level Responsibility

SSRV   Randall Grooman   ███████████████   4/26/18

(Signature/Date)

SYSTEMS MAINTENANCE AUTOMATIC FARE COLLECTION BRANCH
iCAPAs

Purpose and Scope

On April 5, 2018, the Office of Quality Assurance, Internal Compliance & Oversight (QICO) issued an Internal Safety and Security Review report regarding Office of System Maintenance (SMNT) offices: Automatic Fare Collection (AFC) Section. This Internal Corrective and Preventive Action (iCAPA) has been developed to address required action QICO-AFC-18-01 and the associated finding(s).

Required Action

QICO-SS-AFC-18-01	*Systems Maintenance (SMNT)*	*Elevated* ▨

Establish a quality control program to promote compliance to the inspection, calibration, and storage requirements. The program should include specific check points, frequency of checks, and the responsible parties.

Applicable Finding(s)

- F-SS-AFC-18-04: Timely inspections and calibration of facilities and equipment is essential to maintaining a safe and reliable working environment.
    - o *Measure: Occupational Safety & Health. Risk: Safety – Elevated (4, 4).*
- F-SS-AFC-18-06: Proper storage of hazmat materials in department facilities is essential to maintaining a safe and secure work environment
    - o *Measure: Job Safety. Risk: Safety – Moderate (3, 3).*

Action Plan Overview

AFC will ensure the 28 overdue equipment are calibrated and closed out in Maximo. To ensure compliance going forward AFC shift supervisors will run calibration reports on a weekly basis. The Assistant Superintendent will ensure that the master list is kept current.

AFC will revise and submit monthly office safety inspection sheets and SMNT will develop a Standard Operating Procedure (SOP) for the disposal of hazardous materials.

Business Impact - Budget/Cost Estimate

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

PLAN STRUCTURE

	Actionable Items	Description	Responsible Party[1]	Est Start[2]	Est End[3]
1.	Overdue AFC Calibration Equipment	AFC will ensure the 28 AFC overdue test equipment for calibration is completed and closed. AFC will provide equipment calibration status report from Maximo.	Gairy Johnson SMNT	05/30/18	08/29/18
2.	Weekly Calibration Overdue Reports	Shift supervisors will run calibration overdue reports on a weekly basis, and submit to Assistant Superintendent for review. AFC will submit three months' worth of reports.	Gairy Johnson SMNT	05/30/18	08/29/18
3.	Monthly Office Safety Inspection Sheet	AFC will revise monthly office safety inspection sheet to include the disposal of hazardous materials. AFC will submit revised office safety inspection sheet.	Gairy Johnson SMNT	05/30/18	08/29/18
4.	Standard Operating Procedure For Disposal of Hazardous Materials	SMNT will develop a Standard Operating Procedure (SOP) for the disposal of hazardous materials. SMNT will submit SOP.	Gairy Johnson SMNT	05/30/18	08/29/18
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	08/29/18	10/01/18

Completion Documentation & Performance Measures

- Evidence of completed and closed overdue equipment calibration as prescribed per actionable item # 1.
- Evidence of calibration overdue reports as prescribed per actionable item # 2.
- Evidence of revised monthly office safety inspection sheet as prescribed per actionable item # 3.
- Evidence of SOP as prescribed per actionable item # 4.

---

[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.
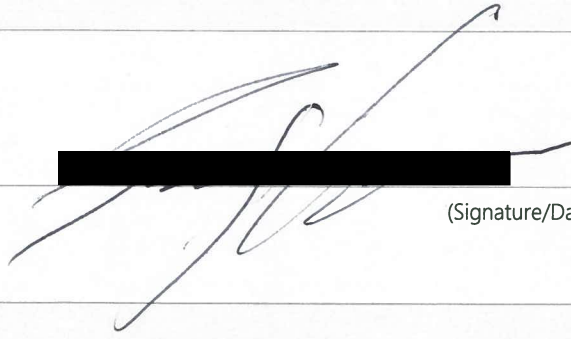
Responsible Parties

SMNT	Gairy Johnson	4/25/18
		(Signature/Date)

Second-Level Responsibility

SSRV	Randall Grooman	4/26/18
		(Signature/Date)

OFFICE OF ELEVATORS AND ESCALATORS iCAPAs

Purpose and Scope

On 04/05/2018, the Office of Quality Assurance, Internal Compliance & Oversight (QICO) issued an internal safety and security review report regarding Office of Elevators and Escalators. This internal Corrective and Preventive Action (iCAPA) has been developed to address required action QICO-SSELES-18-01 and the associated findings.

Required Action

QICO-SS-ELES-18-01   *Office of Elevator and Escalator Services (ELES)*   *Overall Risk – Moderate (3,3)*

Required Action: 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 (SSPP) guidelines.

Applicable Findings

- F-SS-ELES-18-01: The presence of a departmental specific procedure governing configuration changes in collaboration with SAFE approval is critical to safe and reliable change management as per the requirements in the SSPP.
    - *Measure: Managing Safety in System Modification. Risk: Safety – Moderate (3,3)*
- F-SS-ELES-18-03: The implementation of a safety control plan related to rulebook compliance is essential to maintain a safe work enviorment.
    - *Measure: Safety Management. Risk: Safety – Moderate (3,3)*
- F-SS-ELES-18-04: Timely inspections and calibration of facilities and equipment is essential to maintain a safe and reliable working enviorment.
    - *Measure: Occupational Safety & Health. Risk: Safety – Elevated (4,4)*
- F-SS-ELES-18-05: Maintaining up to date procedures, policies and checklists is essential to assure ELES technicians have the proper resources to perform work accurately.
    - *Measure: Configuration Management. Management. Risk: Service Delivery – Moderate (3,3)*

Action Plan Overview

PLAN OVERVIEW

ELES will revise SOPs to include communication with SAFE. ELES will revise procedures to address deferred maintenance, revision dates and make the most recent versions available on the ELES website.

Business Impact - Budget/Cost Estimate

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

INTERNAL CORRECTIVE AND PREVENTIVE ACTION (iCAPA)   QICO-SS-ELES-18-01

PLAN STRUCTURE

	Actionable Items	Description	Responsible Party[1]	Est Start[2]	Est End[3]
1.	Modify service bulletin procedure	Modify service bulletin procedure to include routing to SAFE. Submit revised service bulletin procedure.	Madhavan Kozhipurath (ELES)	05/01/18	06/05/18
2.	Establish Safety and Security Certification procedure	Develop and submit a new Standard Operating Procedure (SOP) for safety and security certification.	Cedric Watson (ELES)	05/01/18	06/05/18
3.	Complete supervisor safety audit reports	Provide supervisor quality audit reports for each region for June 2018 in accordance with Operations Administrative Policy (OAP) 100-01.	Rolando Grimaldi (ELES)	06/01/18	07/11/18
4.	Modify SOP to address deferred maintenance	Modify SOP 212-19 to address assets not maintained in the 30-day cycle. Train journeymen and apprentices on procedure modifications. Submit revised SOP and signed acknowledgments from staff.	Rolando Grimaldi (ELES)	05/01/18	08/15/18
5.	Provide revision dates on controlled documentation	Add revision dates to hydraulic elevator MCP, traction elevator MCP, return station/carriage procedure, and comb impact adjustment procedure. Submit revised documents.	Rolando Grimaldi (ELES)	05/01/18	08/15/18
6.	SOP distribution	Update the ELES website with the most-recent versions of safety-related SOPs. Provide screenshot of updated website.	Rolando Grimaldi (ELES)	05/01/18	08/15/18
7.	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	08/21/18	09/11/18

Completion Documentation & Performance Measures

- 90 percent of journeymen and apprentices acknowledge policy modification included in actionable item number 4.

---

[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.

Responsible Parties

ELES	Madhavan Kozhipurath	████████	4/26/18
			(Signature/Date)
ELES	Rolando Grimaldi	████████	4/26/18
			(Signature/Date)
ELES	Cedric Watson	████████	4/26/18
			(Signature/Date)
ELES	Mitchell Nici	████████	4/26/18
			(Signature/Date)

Second-Level Responsibility

SSRV	Randall Grooman	████████	4/28/18
			(Signature/Date)

Purpose and Scope

On 04/05/2018, the Office of Quality Assurance, Internal Compliance & Oversight (QICO) issued an internal safety and security review report regarding Office of Elevators and Escalators. This internal Corrective and Preventive Action (iCAPA) has been developed to address required action QICO-SSELES-18-02 and the associated finding.

Required Action

| QICO-SS-ELES-18-02 | *Office of Elevator and Escalator Services (ELES)* | *Elevated (4.4)* |

Required Action: Maintain and control an up-to-date training matrix and establish a procedure to periodically review training records.

Applicable Finding

- F-SS-ELES-18-06: Developing and maintaining a controlled training matrix is necessary to sustain the competency level of employees to safely perform their duties.
  - *Measure: Application & Fulfillment* *Risk: Safety – Elevated (4.4)*

Action Plan Overview

Develop and maintain an SOP and a controlled training matrix to track and sustain the competency level of employees and ensure safety during work performance.

Business Impact - Budget/Cost Estimate

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

PLAN STRUCTURE

	Actionable Items	Description	Responsible Party[1]	Est Start[2]	Est End[3]
1.	Update ELES training matrix	Update the ELES personnel training matrix to include certification, expiration, and requalification dates. Submit updated matrix.	Mitchell Nici (ELES)	05/15/18	08/15/18
2.	Establish standard operating procedure (SOP) for required training	Establish an SOP for administering training and certification to employees and contractors in safety-related positions. Submit SOP.	Mitchell Nici (ELES)	07/09/18	08/15/18
3.	Safety measurement system (SMS) training	Submit SMS training records for all applicable employees.	Mitchell Nici (ELES)	05/15/18	08/15/18
4.	Hazard Waste Management (HWM) training	Submit HWM training records for all applicable employees.	Mitchell Nici (ELES)	07/09/18	08/15/18
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	08/21/18	09/11/18

Completion Documentation & Performance Measures

- 100 percent of applicable employees are trained on SMS
- 100 percent of applicable employees are trained on HWM

---

[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.

Responsible Parties

ELES   Mitchell Nici   4/26/18
                                                    (Signature/Date)

Second-Level Responsibility

SSRV   Randall Grooman   4/28/18
                                                    (Signature/Date)

Purpose and Scope

On 04/05/2018, the Office of Quality Assurance, Internal Compliance & Oversight (QICO) issued an internal safety and security review report regarding Office of Elevators and Escalators. This internal Corrective and Preventive Action (iCAPA) has been developed to address required action QICO-SSELES-18-03 and the associated finding.

Required Action

QICO-SS-ELES-18-03	*Office of Elevator and Escalator Services (ELES)*	*Overall Risk – Elevated (4.4)*

Required Action: Assess the safety compliance in all ELES materials storage areas and take immediate corrective actions. Review the current inspection and quality control procedures and update where applicable to achieve a robust process for safe working conditions.

Applicable Finding

-   F-SS-ELES-18-07: Complying with material handling and storage safety requirements is necessary for a safe and reliable working environment.
    -   o   *Measure: Safety Training & Certification Risk: Safety – Elevated (4.4)*

Action Plan Overview

ELES employees will comply with material handling and storage safety requirements to ensure a safe and reliable working environment by submitting a signed policy acknowledgments from active field employees

Business Impact - Budget/Cost Estimate

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

PLAN STRUCTURE

	Actionable Items	Description	Responsible Party[1]	Est Start[2]	Est End[3]
1.	Fluorescent tube handling	Enforce fluorescent tube handling policy and provide proper means of storage and disposal in stations. Submit signed policy acknowledgments from active field employees.	Rolando Grimaldi (ELES)	05/09/18	07/09/18
2.	Spill pallet storage	Enforce chemical storage policy and provide spill pallets where needed. Submit signed policy acknowledgments from active field employees.	Rolando Grimaldi (ELES)	05/09/18	07/09/18
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	07/16/18	07/31/18

Completion Documentation & Performance Measures

- 95 percent of field employees acknowledge florescent tube handling policy.
- 95 percent of field employees acknowledge chemical storage policy.

---

[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.

Responsible Parties

ELES   Rolando Grimaldi

4/26/18
(Signature/Date)

ELES   Mitchell Nici

4/26/18
(Signature/Date)

Second-Level Responsibility

SSRV   Randall Grooman

4/21/18
(Signature/Date)