INTERNAL REVIEW

Service Delivery

In response to the internal review report regarding the Office of Elevators and Escalators (ELES) Operations Center (EOC), the Office of Quality Assurance, Internal Compliance & Oversight (QICO) has coordinated the development of three iCAPAs. The iCAPAs have been developed to address required actions and the associated findings.

EXECUTIVE LEADERSHIP OF RESPONSIBLE PARTIES

Internal Corrective and Preventive Action (iCAPA) Commitment

1-13-2020

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

EXECUTIVE LEADERSHIP OF RESPONSIBLE PARTIES

Internal Corrective and Preventive Action (iCAPA) Commitment

1-14-2020

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

1/14/20

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

1/15/20

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

QICO-PRO-TMP12-00 iCAPA Executive Signature Page, Rev 00, 7/10/19

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

Page 58 of 120

Purpose and Scope

On November 19, 2019, the Office of Quality Assurance, Internal Compliance & Oversight (QICO) issued an Engineering & Maintenance Internal Review report for the Office of Elevators and Escalators (ELES) Operations Center (EOC). This internal Corrective and Preventive Action (iCAPA) report is developed to address associated finding(s) and required action(s) for QICO-EOC-19-01.

Required Action

| QICO-EOC-19-01 | *Elevators and Escalators (ELES) Operations Center (EOC)* | Moderate | |

Required Action(s): Update 212-SOP-36 and/or establish new procedures to formalize and assure compliance with key job functions.

- F-EOC-19-01: Adherence to existing documentation would improve consistency.

  Measure: Quality Control   *Risk: Moderate – Strategic (3,5)*

- F-EOC-19-02: Developing comprehensive procedures would encourage efficiency and thoroughness.

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

Action Plan Overview

ELES EOC will retire standard operating procedure (SOP) 212-SOP-36. It will be replaced by a new procedure to bring ELES EOC into conformity with current ELES EOC business practices. ELES EOC has updated some of its processes and procedures to align itself with changes in maintenance reporting and documentation and this new SOP will incorporate these 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.

QICO-REG-TMP01-03 iCAPA, Rev. 3, 7/02/2019
wmata.com/transparency

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

Page 59 of 120

Actionable Items	Description	Responsible Party[1]	Est Start[2]	Est End[3]
1. Modify Existing or Establish New Procedures	ELES EOC will submit the standard operating procedure (SOP) in replacement of SOP 212-SOP-36. The SOP will include but is not limited to: • ELES EOC incident/accident response manual • ELES EOC data entry manual • ELES EOC remote monitoring • ELES EOC camera monitoring manual	Madhavan Kozhipurath (EOC/ENG)	01/08/20	01/06/21
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	01/06/21	02/10/21

Performance Measures

- EOC will provide evidence of distribution and implementation.

---

[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.

QICO-REG-TMP01-03 iCAPA, Rev. 3, 7/02/2019
wmata.com/transparency

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

Page 60 of 120

Responsible Parties

EOC/ENG	Madhavan Kozhipurath	12/19/19
		(Signature/Date)
ELES	Henock Yohannes	12/19/19
		(Signature/Date)
ELES	Mitchell Nici	12-19-2019
		(Signature/Date)

Second-Level Responsibility

ELES	Rodolfo Bitar	12-19-19
		(Signature/Date)

QICO-REG-TMP01-03 iCAPA, Rev. 3, 7/02/2019
wmata.com/transparency

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

Page 61 of 120

Purpose and Scope

On November 19, 2019, the Office of Quality Assurance, Internal Compliance & Oversight (QICO) issued an Engineering & Maintenance Internal Review report for the Office of Elevators and Escalators (ELES) Operations Center (EOC). This internal Corrective and Preventive Action (iCAPA) report is developed to address associated finding(s) and required action(s) for QICO-EOC-19-02.

Required Action

QICO-EOC-19-02	*Elevators and Escalators (ELES) Operations Center (EOC)* *Operations Management Services (OPMS)* *Office of Technical Skills and Maintenance Training (TSMT)*	Moderate

Required Action(s): Establish and implement a controlled curriculum that encompasses all training requirements of EOC personnel.

- F-EOC-19-03: A documented training program would promote adherence to procedures.

       Measure: Quality Control   *Risk: Moderate – Strategic (3,3)*

Action Plan Overview

ELES EOC has recognized training of new dispatchers and re-certification of existing dispatchers is a core value in delivering quality service. Our approach to improve training is two-fold: comprehensive training for new dispatchers and dispatcher awareness training and certification of existing staff. The latter is especially important as it will allow processes and internal ELES business practice changes to be updated and included in on-going dispatcher training.

ELES EOC will be working with WMATA internal resources to develop a series of training videos and future video library. This will allow training to be done in real time, on-demand. It will also provide consistency in content and establish a context on which to build a video knowledge library in the future.

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.

QICO-REG-TMP01-03 iCAPA, Rev. 3, 7/02/2019
wmata.com/transparency

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

Page 62 of 120

	Actionable Items	Description	Responsible Party[1]	Est Start[2]	Est End[3]
1.	Training Plan	EOC will develop and provide a timeline to include the schedule and training metrics for updated/new procedures as mentioned in QICO-EOC-19-01.	Madhavan Kozhipurath (EOC)	01/06/21	04/28/21
2.	Training Curriculum	ELES EOC will develop training modules based on the updated/new procedures in replacement of SOP 212-SOP-36. ELES EOC will submit training modules.	Madhavan Kozhipurath (EOC)	05/05/21	12/29/21
3.	Dispatcher Training	ELES EOC will provide training to all dispatchers on the updated/new procedures in replacement of SOP 212-SOP-36. ELES EOC will submit evidence of training.	Madhavan Kozhipurath (EOC)	12/29/21	03/02/22
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	03/02/22	04/06/22

Performance Measures

- EOC will provide evidence that 95% of active dispatchers have completed training.

---

[1] In the event of personnel or departmental changes, responsibilities for actionable items shall transfer to the new leadership.
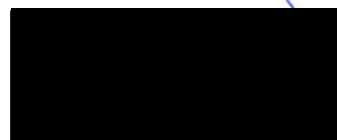
[2] Est Start – Estimated Start Date.

[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.

QICO-REG-TMP01-03 iCAPA, Rev. 3, 7/02/2019   **Quality Assurance, Internal Compliance & Oversight (QICO)**
wmata.com/transparency   *Promoting Transparency, Accountability, & Public Confidence .*

Page 63 of 120

Responsible Parties

EOC/ENG	Madhavan Kozhipurath		12/19/19
		(Signature/Date)	
ELES	Henock Yohannes		12/19/19.
		(Signature/Date)	
ELES	Mitchell Nici		12-19-20
		(Signature/Date)	

Second-Level Responsibility

ELES	Rodolfo Bitar		12-19-19
		(Signature/Date)	

QICO-REG-TMP01-03 iCAPA, Rev. 3, 7/02/2019
wmata.com/transparency

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

Page 64 of 120

Purpose and Scope

On November 19, 2019, the Office of Quality Assurance, Internal Compliance & Oversight (QICO) issued an Engineering & Maintenance Internal Review report for the Office of Elevators and Escalators (ELES) Operations Center (EOC). This internal Corrective and Preventive Action (iCAPA) report is developed to address associated finding(s) and required action(s) for QICO-EOC-19-03.

Required Action

QICO-EOC-19-03	*Elevators and Escalators (ELES) Operations Center (EOC)*	Moderate	

Required Action(s): Establish a formal quality control plan for monitoring and improving all EOC activities. personnel.

- F-EOC-19-04: Creating a formal review program would improve job performance and data quality.

       Measure: Quality Control   *Risk: Moderate – Strategic (3,4)*

Action Plan Overview

ELES EOC management has been working to develop a quality plan that measures performance and quality against established metrics and standards to improve job performance and data quality.

ELES EOC will create an EOC Quality Control Plan document for improving job performance and data quality.

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.

QICO-REG-TMP01-03 iCAPA, Rev. 3, 7/02/2019
wmata.com/transparency

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

Page 65 of 120

	Actionable Items	Description	Responsible Party[1]	Est Start[2]	Est End[3]
1.	EOC Quality Control Plan	ELES EOC will develop and provide a Quality Control Plan.	Madhavan Kozhipurath (EOC)	01/08/20	09/30/20
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	09/30/20	01/06/21

Performance Measures

- EOC will provide evidence that all active Supervisors have knowledge of the EOC Quality Control Plan.
- QICO will evaluate 3 months of documentation verifying adherence to the Quality Control Plan.

---

[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.

QICO-REG-TMP01-03 iCAPA, Rev. 3, 7/02/2019
wmata.com/transparency

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

Page 66 of 120

Responsible Parties

EOC/ENG   Madhavan Kozhipurath

12/19/19

(Signature/Date)

ELES   Henock Yohannes

12/19/19.

(Signature/Date)

ELES   Mitchell Nici

12/19/2019

(Signature/Date)

Second-Level Responsibility

ELES   Rodolfo Bitar

12-19-79

(Signature/Date)

INTERNAL REVIEW

Service Delivery

In response to the internal review report regarding Automatic Train Control (ATC) System Configuration Management Plan (ASCM), the Office of Quality Assurance, Internal Compliance & Oversight (QICO) has coordinated the development of two iCAPAs. The iCAPAs have been developed to address required actions and the associated findings.

EXECUTIVE LEADERSHIP OF RESPONSIBLE PARTIES

Internal Corrective and Preventive Action (iCAPA) Commitment

_12-17-19_

Joseph Leader   Date
Executive Vice President & Chief Operating Officer

_12-19-19_

Laura Mason   Date
Executive Vice President Capital Delivery

WMATA INTERNAL OVERSIGHT

Internal Corrective and Preventive Action (iCAPA) Commitment

_12-19-19_

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

_1/1/20_

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

_1/6/20_

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

QICO-PRO-TMP12-00 iCAPA Executive Signature Page, Rev 00, 7/10/19

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

Page 69 of 120

Purpose and Scope

On October 7, 2019, the Office of Quality Assurance, Internal Compliance & Oversight (QICO) issued the ATC System Configuration Management Plan Internal Review report. This internal Corrective and Preventive Action (iCAPA) report is developed to address associated finding(s) and required action(s) for QICO-ASCM-19-01.

Required Action

| QICO-ASCM-19-01 | *Technical Skills Maintenance Training Department   (TSMT)*
Office of Automatic Train Control Maintenance   (ATCM)
Office of Automatic Train Control Engineering (ATCE)
Office of Operations Management Services   (OPMS) | *Elevated* |

Required Action(s):   Develop and implement a training plan of ATC-4000 manual, inclusive of front-line supervisors, TSMT/ATC training instructors, and middle and upper management, to streamline safety and design principles.

- F-ASCM-19-01: Following established guidelines of document revision processes for Configuration items (CI) documents ensures compliance with System Configuration Management Plan.

    Measure: Policies, Procedures & Standards   *Risk: Elevated – Safety* (4,3)

- F-ASCM-19-02: Using controlled data sheets would ensure ATC system infrastructure integrity.

    Measure: Traceability   *Risk: Elevated – Safety* (4,3)

- F-ASCM-19-04: Adhering to OPMS standard operating procedures is essential to maintaining current TSMT training methodology.

    Measure: Traceability   *Risk: Elevated – Safety* (4,3)

Action Plan Overview

Technical Skills Maintenance Training Department (TSMT) will update the ATC-4000 training curriculum to capture changes to ATC-4000 and develop a training plan to cascade these changes to ATCM staff in accordance with OPMS. TSMT will implement ATC-4000 training to ATCM staff such that their day to day operations are compliant.

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.

QICO-REG-TMP01-03 iCAPA, Rev. 3, 7/02/2019
wmata.com/transparency

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

Page 70 of 120

	Actionable Items	Description	Responsible Party[1]	Est Start[2]	Est End[3]
1.	ATC-4000 Training Curriculum	Provide current ATC-4000 training curriculum in compliance with OPMS SOPs. TSMT to submit approved training curriculum.	Joseph Robinson TSMT Supporting Office[4]: Atousa Vali (ATCE) Jameel Rogers (ATCM)	05/01/20	08/05/20
2.	ATC-4000 Manual Training Plan	Develop training plan of the ATC-4000 manual. Include front-line supervisors, TSMT training instructors, and middle and upper management in the training requirement. TSMT to submit ATC-4000 manual training plan.	Joseph Robinson TSMT Supporting Office[4]: Atousa Vali (ATCE) Jameel Rogers (ATCM)	08/03/20	10/07/20
3.	Deliver ATC-4000 Training	Train ATC Maintenance staff to approved curriculum. TSMT to submit Enterprise Learning Management (ELM) record.	Joseph Robinson (TSMT) Supporting Office[4]: Atousa Vali (ATCE) Jameel Rogers (ATCM)	10/07/20	01/06/21
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	01/06/21	02/03/21

Performance Measures

- 95% ATCM-4000 manual training compliance for active front-line supervisors, TSMT training instructors, and middle and upper management. Provide training sign in sheets or ELM records as evidence.

---

[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.

QICO-REG-TMP01-03 iCAPA, Rev. 3, 7/02/2019
wmata.com/transparency

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

Page 71 of 120

Responsible Parties

TSMT   Joseph Robinson

_____ 12/3/19

(Signature/Date)

Supporting Role Acknowledgement
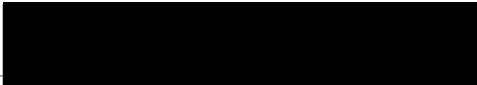
ATCE   Atousa Vali

_____

(Signature/Date)

12/3/2019

ATCM   Jameel Rogers

_____ 12/4/19

(Signature/Date)

Second-Level Responsibility

OPMS   Linda Stoffregen

_____ 12/3/19

(Signature/Date)

QICO-REG-TMP01-03 iCAPA, Rev. 3, 7/02/2019
wmata.com/transparency

Page 72 of 120

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

Purpose and Scope

On October 7, 2019, the Office of Quality Assurance, Internal Compliance & Oversight (QICO) issued the ATC System Configuration Management Plan Internal Review report. This internal Corrective and Preventive Action (iCAPA) report is developed to address associated finding(s) and required action(s) for QICO-ASCM-19-02.

Required Action

QICO-ASCM-19-02	*Office of Automatic Train Control Engineering*　(ATCE) *Office of Automatic Train Control Maintenance*　(ATCM) *Department of Safety and Environment Management (SAFE)*	*Elevated*

Required Action(s):　Update ATC-4000 manual to further define technical content permitted in documentation issued by ATCM management to ATCM personnel.

- F-ASCM-19-03:　Former ATCM leadership did not follow System Configuration Management Plan.

　　　Measure: Traceability　　　　*Risk: Elevated – Safety* (4,3)

Action Plan Overview

Office of Automatic Train Control Engineering will revise and update the ATC-4000 manual to further clarify technical documentation differences and monitor ATCM's utilization of approved data sheets.

Business Impact – Budget/Cost Estimate

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

Actionable Items	Description	Responsible Party[1]	Est Start[2]	Est End[3]
1. Update ATC-4000 Manual	Chief ATC Engineer to update ATC-4000 manual in accordance with System Safety Configuration Management Plan. ATCE will submit updated ATC-4000 Manual.	Atousa Vali (ATCE) Supporting Office[4]: Jameel Rogers (ATCM) Angel Gonzales (SAFE)	10/07/19	04/29/20
2. Utilize Approved Data Sheets	General Superintendent of ATC Maintenance to demonstrate the use of approved data sheets provided by engineering such as EIBs, EABs, EMIs, and TCPs. Ensure the data sheets include a test procedure number. ATCM will provide completed data sheets.	Jameel Rogers (ATCM) Supporting Office[4]: Atousa Vali (ATCE)	10/07/19	01/29/20
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	04/01/20	05/27/20

Performance Measures

- Provide two (2) quarters of completed data sheets.

---

[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.

QICO-REG-TMP01-03 iCAPA, Rev. 3, 7/02/2019
wmata.com/transparency

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

Page 74 of 120

Responsible Parties

ATCE	Atousa Vali	(Signature/Date)	11/22/2019
ATCM	Jameel Rogers	(Signature/Date)	11/29/2019

Supporting Role Acknowledgement

SAFE	Angel Gonzales	(Signature/Date)	11/27/2019

Second-Level Responsibility

ENGA	Nichalos Gardner	(Signature/Date)	11/27/19
RIME	Chief of RIME - SVP Rail Services	(Signature/Date)	12/03/19

INTERNAL REVIEW

Service Delivery

In response to the internal review report regarding Cinder Bed Road Contract Management, the office of Quality Assurance, Internal Compliance & Oversight (QICO) has coordinated the development of two (2) iCAPAs. The iCAPAs outline the findings, recommendations 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

1-7-2020

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

EXECUTIVE LEADERSHIP OF RESPONSIBLE PARTIES

Internal Corrective and Preventive Action (iCAPA) Commitment

1-8-2020

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

1/10/20

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

1/10/20

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

QICO-PRO-TMP12-00 iCAPA Executive Signature Page, Rev 00, 7/10/19

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

Page 77 of 120

Purpose and Scope

On September 13, 2019, the Office of Quality Assurance, Internal Compliance & Oversight (QICO) issued the Cinder Bed Road Contract Management Internal Review report. This internal Corrective and Preventive Action (iCAPA) report is developed to address associated finding(s) and required action(s) for QICO-CIND-19-01.

Required Action

| QICO-CIND-19-01 | *Department of Bus Services (BUSV)* | Moderate | |

Required Action(s): Develop documented procedures for the Contract Management Team activities in accordance with the Authority's QMSP.

- Documentation of the contract management processes and the associated activities allows for effective, sustainable and traceable oversight activities.

Measure: Policy, Procedures, & Standards   *Risk:* Moderate – Service Delivery *3,3*

Action Plan Overview

The Department of Bus Services (BUSV) – Cinder Bed Road Contract Management will develop and implement documented contract management processes to include:

- Quality Procedures (*Reference: WMATA's Quality Management System Plan (QMSP)*)

    o Document Control Procedure

    o Inspection and Testing Procedure

    o Quality Records Procedure

    o Corrective Action Procedure

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.

QICO-REG-TMP01-03 iCAPA, Rev. 3, 7/02/2019
wmata.com/transparency

Page 78 of 120

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

Actionable Items	Description	Responsible Party[1]	Est Start[2]	Est End[3]
1. Develop Document Control Procedure	Develop Document Control Procedure to outline how quality records are created, controlled, and archived in accordance with WMATA's QMSP (Reference: 3.2). Associated blank forms/templates for documentation will accompany the procedure.	Y. Manfra (BUSV)	10/01/19	02/28/20
2. Develop Inspection and Testing Procedure	Develop Inspection and Testing Procedure to outline quality activities being performed by the contract management personnel overseeing the contractor in accordance with WMATA's QMSP (Reference 3.6). Associated blank forms/templates for documentation will accompany the procedure.	Y. Manfra (BUSV)	10/01/19	02/28/20
3. Develop Corrective Action Procedure	Develop Corrective Action Procedure in accordance with WMATA's QMSP (*Reference: 3.9*). Associated blank forms/templates for documentation will accompany the procedure.	Y. Manfra (BUSV)	10/01/19	02/28/20
4. Develop Quality Record Procedure	Develop Quality Record Procedure to outline how quality records are identified, collected, completed, and stored in accordance with WMATA's QMSP (*Reference: 3.10*). Associated blank forms/templates for documentation will accompany the procedure.	Y. Manfra (BUSV)	10/15/19	02/28/20
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	02/28/20	03/31/20

Performance Measures

- Approved (by signature) Document Control Procedure in compliance with WMATA's QMSP – Section 3.2 (Actionable Item #1).

---

[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.

QICO-REG-TMP01-03 iCAPA, Rev. 3, 7/02/2019
wmata.com/transparency

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

Page 79 of 120

Performance Measures

- Approved (by signature) Inspection and Testing Procedure in compliance with WMATA's QMSP – Section 3.6 (Actionable Item #2).

- Approved (by signature) Quality Record Procedure in compliance with WMATA's QMSP – Section 3.9 (Actionable Item #3).

- Approved (by signature) Corrective Action Procedue in compliance with WMATA's QMSP – Section 3.10 (Actionable Item #4).

Responsible Parties

BUSV	Yvonne Manfra	
		(Signature/Date)

Second-Level Responsibility

BUSV	Robert Potts	9/19/19
		(Signature/Date)

Purpose and Scope

On September 13, 2019, the Office of Quality Assurance, Internal Compliance & Oversight (QICO) issued the Cinder Bed Road Contract Management Internal Review report. This internal Corrective and Preventive Action (iCAPA) report is developed to address associated finding(s) and required action(s) for QICO-CIND-19-02.

Required Action

QICO-CIND-19-02	*Department of Bus Services (BUSV)*	Moderate

Required Action(s): Develop a Continuity of Operations Plan (COOP) for the Cinder Bed Road Contract Management Team.

- An established Continuity of Operations Plan (COOP) allows for continuous and uninterrupted contract oversight.

Measure: Policy, Procedures, & Standards   *Risk:* Moderate – Service Delivery *3,3*

Action Plan Overview

The Department of Bus Services (BUSV) – Cinder Bed Road Contract Management will update the Continuity of Operations Plan to include a susession plan for the Cinder Bed Road Contract Management 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.

QICO-REG-TMP01-03 iCAPA, Rev. 3, 7/02/2019
wmata.com/transparency

Page 82 of 120

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

	Actionable Items	Description	Responsible Party[1]	Est Start[2]	Est End[3]
1.	Develop Continiuity of Operations Plan (COOP)	Update the Department of Bus Services (BUSV) Continuity of Operations Plan (COOP) to include a sucession plan for the Cinder Bed Road Contract Management personnel.	Y. Manfra (BUSV)	09/23/19	03/30/20
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	04/30/20	05/31/20

Performance Measures

- Updated and approved (by signature) BUSV COOP including a sucession plan for the Cinder Bed Road Contract Management personnel (Actionable Item #1).

---

[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.

QICO-REG-TMP01-03 iCAPA, Rev. 3, 7/02/2019
wmata.com/transparency

Page 83 of 120

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

Responsible Parties

BUSV   Yvonne Manfra

(Signature/Date)

Second-Level Responsibility

BUSV   Robert Potts

9/19/19

(Signature/Date)

INTERNAL SAFETY REVIEW

Service Delivery

In response to the internal safety review report regarding Engineering and Architecture (ENGA), the Office of Quality Assurance, Internal Compliance & Oversight (QICO) has coordinated the development of five iCAPAs. The iCAPAs have been developed to address required actions and the associated findings.

EXECUTIVE LEADERSHIP OF RESPONSIBLE PARTIES

Internal Corrective and Preventive Action (iCAPA) Commitment

12/19/19

_____   _____
Laura Mason   Date
Executive Vice President Capital Delivery

WMATA INTERNAL OVERSIGHT

Internal Corrective and Preventive Action (iCAPA) Commitment

12/19/19

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

1/1/20

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

1/6/20

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

QICO-PRO-TMP12-00 iCAPA Executive Signature Page, Rev 00, 7/10/19

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

Page 86 of 120

Purpose and Scope

On September 20, 2019, the Office of Quality Assurance, Internal Compliance & Oversight (QICO) issued the Internal Safety Review report. The objective of the ENGA Internal Safety Review (ISR) is to internally validate that routine operations, system extensions, new projects, rehabilitated facilities, systems, and equipment under the purview of the Design and Construction department are as safe as reasonably possible per WMATA's System Safety Program Plan (SSPP). The SSPP is a WMATA wide safety plan created by the Department of Safety and Environmental Management (SAFE) in accordance with Federal Transit Administration (FTA) guidelines (49 CFR 659), and details WMATA's approach to satisfying the 21 required elements for system safety.

This internal Corrective and Preventive Action (iCAPA) report is developed to address associated finding(s) and required action(s) for QICO-ENGA-19-01.

Required Action

QICO-ENGA-19-01	*Office of Engineering and Architecture (ENGA)*	Moderate

Required Action(s): Effectively document and establish a consistent presence at all applicable safety committee meetings.

- F-ENGA-19-01: Participation in routine safety committee meetings is essential to continuously improve safety throughout the Authority.
  - o Measure: Safety Management Risk: Safety – Moderate (2,5)
- F-ENGA-19-07: Consistent participation in the Safety and Security Certification Review process is essential to assure the safety and security of new or rehabilitated facilities, systems, and equipment.
  - o Measure: Managing Safety in System Modification Risk: Safety – Moderate (3,3)

Measure: Safety Management　　　　*Risk:* Moderate – Safety *(3,4)*

Action Plan Overview

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

Business Impact – Budget/Cost Estimate

Process Improvement – A current process/procedure needs to be optimized to address the Required Action(s). Additional manpower is needed in the form of the restoration, recruiting, and onboarding a replacement for the safety officer that retired from the group in 2018. The requirement will be addressed by having the duty covered as much as practically possible by an existing staff member as an additional duty.

QICO-REG-TMP01-03 iCAPA, Rev. 3, 7/02/2019
wmata.com/transparency

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

Page 87 of 120

Actionable Items	Description	Responsible Party[1]	Est Start[2]	Est End[3]
1. Establish a consistent presence at Local Safety Committee Meetings	ENGA will participate in routine local safety committee meetings. ENGA will submit sign-in sheets and meeting minutes.	Philip Browne ENGA Nichalos Gardner ENGA	11/01/19	05/01/20
2. Establish effective communication to disseminate safety committee meeting minutes to ENGA internal departments	ENGA will develop a communication technique (e.g. email, department meetings) to disseminate safety committee meeting minutes to ENGA departmental staff (e.g. ATCS, COMS, PWRS, CIVL, CFGM, MECH, Architecture)	Philip Browne ENGA Nichalos Gardner ENGA	11/01/19	05/01/20
3. Establish a consistent presence in Safety and Security Review Committee meetings	Participation in routine Safety and Security Certification Review committee meetings. SAFE will submit sign-in sheets and meeting minutes.	Lucelle Rosati SAFE Nichalos Gardner ENGA	11/01/19	05/01/20
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	05/01/20	06/01/20

Performance Measures

- 6 months of meeting minutes and sign-in sheets demonstrating consistent attendance as specified under deliverable #1 and #3.
- Evidence of local safety committee meetings minutes being disseminated to internal ENGA departments as specified under deliverable #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.

[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.
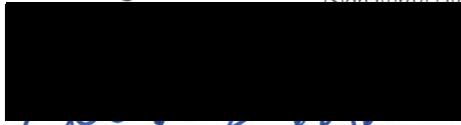
QICO-REG-TMP01-03 iCAPA, Rev. 3, 7/02/2019
wmata.com/transparency

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

Page 88 of 120

Responsible Parties

ENGA	Philip Browne	████████████████████	/ 11.21.09
			(Signature/Date)
ENGA	Nichalos Gardner	████████████████████	11/21/19
			(Signature/Date)

Supporting Role Acknowledgement

SAFE	Lucelle Rosati	████████████████	11/25/19
			(Signature/Date)

QICO-REG-TMP01-03 iCAPA, Rev. 3, 7/02/2019
wmata.com/transparency

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

Page 89 of 120

Purpose and Scope

On September 20, 2019, the Office of Quality Assurance, Internal Compliance & Oversight (QICO) issued the Internal Safety Review report. The objective of the ENGA Internal Safety Review (ISR) is to internally validate that routine operations, system extensions, new projects, rehabilitated facilities, systems, and equipment under the purview of the Design and Construction department are as safe as reasonably possible per WMATA's System Safety Program Plan (SSPP). The SSPP is a WMATA wide safety plan created by the Department of Safety and Environmental Management (SAFE) in accordance with Federal Transit Administration (FTA) guidelines (49 CFR 659), and details WMATA's approach to satisfying the 21 required elements for system safety.

This internal Corrective and Preventive Action (iCAPA) report is developed to address associated finding(s) and required action(s) for QICO-ENGA-19-02.

Required Action

QICO-ENGA-19-02	*Office of Engineering and Architecture (ENGA)*	Elevated

Required Action(s): Establish controls to ensure proper configuration management.

- F-ENGA-19-02: Conducting and recording Configuration Change Control Board meetings is vital to effectively tracking configuration changes affecting multiple disciplines throughout the Authority.
  - o Measure: Configuration Management Risk: Safety – Elevated (3,5)
- F-ENGA-19-03: - Effective configuration management is critical to assuring all WMATA assets are consistently maintained to standards.
  - o Measure: Configuration Management Risk: Safety – Elevated (4,4)
- F-ENGA-19-04: Consistent administration of design control board meetings results in a more effective change control database.
  - o Measure: Configuration Management Risk: Safety – Elevated (3,5)

Measure: Configuration Management   *Risk:* Elevated – Safety *(3,5)*

Action Plan Overview

ENGA will conduct Configuration Change Control Board meetings on a quarterly basis as required by Policy/Instruction 1.20/0. ENGA will conduct Design Control Board meetings on a monthly basis as required by Policy/Instruction 4.14/3. ENGA will establish a change control database purposed to track and properly store configuration controlled items.

Business Impact – Budget/Cost Estimate

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

QICO-REG-TMP01-03 iCAPA, Rev. 3, 7/02/2019   **Quality Assurance, Internal Compliance & Oversight (QICO)**
wmata.com/transparency   *Promoting Transparency, Accountability, & Public Confidence*

Page 90 of 120

Actionable Items	Description	Responsible Party[1]	Est Start[2]	Est End[3]
1. Conduct Required Configuration Change Control Board Meetings	ENGA will conduct Configuration Change Control Board meetings on a quarterly basis and provide meeting records (i.e., sign in sheets and minutes) for three quarterly meetings.	Donald Falken ENGA Nichalos Gardner ENGA	11/01/19	08/03/20
2. Conduct Required Design Control Board Meeetings	ENGA will conduct Design Control Board meetings on a monthly basis and provide meeting records (i.e., sign in sheets and minutes) for six monthly meetings.	Nichalos Gardner ENGA	11/01/19	05/04/20
3. Establish an Effective Change Control Database	ENGA to establish an effective change control database to track and store configuration controlled items (e.g. EMI, TCP, As-builts, Drawing Modifications).	Donald Falken ENGA Nichalos Gardner ENGA	11/01/19	05/04/20
4. Establish a Database to Keep Record of all Proposed Issues	ENGA to establish a database to keep record of all proposed issues and dispositions submitted to the Design Control Board.	Nichalos Gardner ENGA	11/01/19	05/04/20
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	08/03/20	08/31/20

Performance Measures

- Meeting minutes and sign-in sheets demonstrating consistent administration of 3 quarterly meetings as specified under deliverable #1
- 6 months of meeting minutes and sign-in sheets demonstrating consistent administration of meeting as specified under deliverable #2
- 6 months of records demonstrating consistent administration of all configuration controlled items, proposed issues and dispositions as specified under deliverable #3 and #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.

[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.

QICO-REG-TMP01-03 iCAPA, Rev. 3, 7/02/2019
wmata.com/transparency

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

Page 91 of 120

Responsible Parties

ENGA   Donald Falken

(Signature/Date)

ENGA   Nichalos Gardner   11/21/19

(Signature/Date)

Purpose and Scope

On September 20, 2019, the Office of Quality Assurance, Internal Compliance & Oversight (QICO) issued the Internal Safety Review report. The objective of the ENGA Internal Safety Review (ISR) is to internally validate that routine operations, system extensions, new projects, rehabilitated facilities, systems, and equipment under the purview of the Design and Construction department are as safe as reasonably possible per WMATA's System Safety Program Plan (SSPP). The SSPP is a WMATA wide safety plan created by the Department of Safety and Environmental Management (SAFE) in accordance with Federal Transit Administration (FTA) guidelines (49 CFR 659), and details WMATA's approach to satisfying the 21 required elements for system safety.

This internal Corrective and Preventive Action (iCAPA) report is developed to address associated finding(s) and required action(s) for QICO-ENGA-19-03.

Required Action

QICO-ENGA-19-03	*Office of Engineering and Architecture (ENGA)*	Moderate	

Required Action(s): Establish a document control process for the COOP Plan in accordance with Office of Emergency Management standards.

- F-ENGA-19-05: Following Office of Emergency Management Standards for the development of the Continuity of Operations Plan is essential to maintaining mission critical operations in the event of an emergency.
  - o Measure: Emergency Management Risk:: Safety – Moderate (4,2)

    Measure: Emergency Management　　　　*Risk: Moderate – Safety (4,2)*

Action Plan Overview

ENGA will update the current COOP Plan in accordance with Office of Emergency Management standards.

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.

QICO-REG-TMP01-03 iCAPA, Rev. 3, 7/02/2019
wmata.com/transparency

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

Page 93 of 120

	Actionable Items	Description	Responsible Party[1]	Est Start[2]	Est End[3]
1.	Update Continuity of Operations Plan in accordance with OEM standards	ENGA will update their current Continuity of Operations (COOP) Plan in accordance with the Office of Emergency Management (OEM) standards.	Nichalos Gardner ENGA	11/01/19	02/03/20
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	02/03/20	03/26/20

Performance Measures

- Evidence of revised Continuity of Operations Plan updated to ENGA website as specified under deliverable #1.

---

[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.

QICO-REG-TMP01-03 iCAPA, Rev. 3, 7/02/2019
wmata.com/transparency

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

Page 94 of 120

Responsible Parties

ENGA   Nichalos Gardner

(Signature/Date)

11/21/19

QICO-REG-TMP01-03 iCAPA, Rev. 3, 7/02/2019
wmata.com/transparency

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

Page 95 of 120

Purpose and Scope

On September 20, 2019, the Office of Quality Assurance, Internal Compliance & Oversight (QICO) issued the Internal Safety Review report. The objective of the ENGA Internal Safety Review (ISR) is to internally validate that routine operations, system extensions, new projects, rehabilitated facilities, systems, and equipment under the purview of the Design and Construction department are as safe as reasonably possible per WMATA's System Safety Program Plan (SSPP). The SSPP is a WMATA wide safety plan created by the Department of Safety and Environmental Management (SAFE) in accordance with Federal Transit Administration (FTA) guidelines (49 CFR 659), and details WMATA's approach to satisfying the 21 required elements for system safety.

This internal Corrective and Preventive Action (iCAPA) report is developed to address associated finding(s) and required action(s) for QICO-ENGA-19-04.

Required Action

| QICO-ENGA-19-04 | *Office of Engineering and Architecture (ENGA)* | Moderate | |

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

- F-ENGA-19-06: Establishing a quality control program to verify compliance to rules and procedures promotes effective safety awareness.
  - Measure: Safe Work Standards Risk: Safety – Moderate (3.3)

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

Action Plan Overview

ENGA will develop a quality control checklist to ensure RWP compliance as required by Policy/Instruction 1.15/0. ENGA will also send memo to inform the team of checklist requirements when leading an outage. This memo will also allow ENGA members to take pictures of sign-in sheets when they are out with a RWIC, after ENGA members have completed the job safety briefing.

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.

QICO-REG-TMP01-03 iCAPA, Rev. 3, 7/02/2019
wmata.com/transparency

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

Page 96 of 120

	Actionable Items	Description	Responsible Party[1]	Est Start[2]	Est End[3]
1.	Develop a Quality Control Plan	ENGA will develop a quality control checklist to ensure processes are in compliance with RWP when applicable. Checklist will mirror the RWP requirements, compliance checks and corrective actions to address non-compliance. ENGA will submit their quality control checklist.	Nichalos Gardner ENGA	11/01/19	09/01/20
2.	Distribute the Quality Control Checklist	ENGA will distribute a memo to all ENGA departmental staff requiring ENGA supervisors to conduct quality control checklists to monitor compliance while ENGA personnel is conducting business in the right of way.	Nichalos Gardner ENGA	11/01/19	09/01/20
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	09/01/20	09/30/20

Performance Measures

- Provide 3 months of evidence to show completed and signed checklists or job safety briefings derived from quality control program as specified under deliverable #1.

---

[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.

Responsible Parties

ENGA   Nichalos Gardner

███████████████████████████   11/27/19

(Signature/Date)

INTERNAL CORRECTIVE AND PREVENTIVE ACTION (iCAPA)   QICO-ENGA-19-05

Purpose and Scope

On September 20, 2019, the Office of Quality Assurance, Internal Compliance & Oversight (QICO) issued the Internal Safety Review report. The objective of the ENGA Internal Safety Review (ISR) is to internally validate that routine operations, system extensions, new projects, rehabilitated facilities, systems, and equipment under the purview of the Design and Construction department are as safe as reasonably possible per WMATA's System Safety Program Plan (SSPP). The SSPP is a WMATA wide safety plan created by the Department of Safety and Environmental Management (SAFE) in accordance with Federal Transit Administration (FTA) guidelines (49 CFR 659), and details WMATA's approach to satisfying the 21 required elements for system safety.

This internal Corrective and Preventive Action (iCAPA) report is developed to address associated finding(s) and required action(s) for QICO-ENGA-19-05.

Required Action

QICO-ENGA-19-05	*Office of Engineering and Architecture (ENGA)*	Low

Required Action(s): Develop a training matrix for each position within ENGA and establish a documented process to record and periodically audit required safety training and certifications for employees and contractors.

- F-ENGA-19-08: Maintaining a training and certification matrix for employees and contractors highlights required competencies and reinforces compliance.
  - o Measure: Safety Training and Certification Risk: Safety – Low (2.3)

    Measure: Safety Training & Certification   *Risk:* Moderate – Safety (2,3)

Action Plan Overview

Each ENGA department will develop a training matrix for each position

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.

QICO-REG-TMP01-03 iCAPA, Rev. 3, 7/02/2019
wmata.com/transparency

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

Page 99 of 120

	Actionable Items	Description	Responsible Party[1]	Est Start[2]	Est End[3]
1.	Develop ENGA Departmental Training Matrix	Each ENGA department will develop a training matrix with safety-training requirements for each position and employee.	Nichalos Gardner ENGA	11/01/19	04/30/20
2.	Develop a process to record and periodically audit required safety training and certifications	ENGA will develop a process to record and periodically audit training records to verify that required training and certifications are being completed by employees and contractors.	Nichalos Gardner ENGA	11/01/19	06/30/20
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	06/30/20	07/31/20

Performance Measures

- Evidence of update training matrix as prescribed per actionable item #1.
- ENGA will provide the training recording process and six months of evidence as specified under deliverable #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.

[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.

QICO-REG-TMP01-03 iCAPA, Rev. 3, 7/02/2019
wmata.com/transparency

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

Page 100 of 120

Responsible Parties

ENGA   Nichalos Gardner   ▓▓▓▓▓▓▓▓▓▓   11/21/19

(Signature/Date)

QICO-REG-TMP01-03 iCAPA, Rev. 3, 7/02/2019
wmata.com/transparency

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

Page 101 of 120

INTERNAL REVIEW

Safety

In response to the internal safety review report regarding the Department of Safety and Environmental Management (SAFE), the office of Quality Assurance, Internal Compliance & Oversight (QICO) has coordinated the development of three (3) iCAPAs. The iCAPAs outline the findings, recommendations 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

12/19/19   _Date_

Theresa Impastato
Executive Vice President & Chief Safety Officer

EXECUTIVE LEADERSHIP OF RESPONSIBLE PARTIES

Internal Corrective and Preventive Action (iCAPA) Commitment

12/19/19   _Date_

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

1/1/20   _Date_

Eric Christensen
Executive Vice President, Internal Compliance (INCP)

1/6/20   _Date_

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

Purpose and Scope

On October 30, 2019, the Office of Quality Assurance, Internal Compliance & Oversight (QICO) issued the Department of Safety and Environmental Management Internal Safety Review report. This internal Corrective and Preventive Action (iCAPA) report is developed to address associated finding(s) and required action(s) for QICO-SAFE-19-01.

Required Action

| QICO-SAFE-19-01 | *Department of Safety and Environmental Management (SAFE)* | Elevated | |

Required Action(s): Establish a solution to effectively manage all hazards to resolution as specified in the SSPP.

- The utilization of the hazard management module will promote compliance with the SSPP and effectively track and mitigate hazards.

Measure: Hazard Management   *Risk: Elevated – Assets and Activities/Document Control (4,4)*

Action Plan Overview

Comply with requirements to manage hazards established in the SSPP, as well as with the Agency Safety Plan under development. Each WMATA Department/Office is responsible to identify hazards in its daily activities and responsibilities and to fully document all of these activities. Departments/Offices will enter all hazards into the WMATA SMS database or equivalent alternative to enable SAFE to review and monitor hazard management in the departments.

Under the requirements of 49 CFR 673.25(a), WMATA will develop and implement a Safety Risk Management (SRM) Process. All employees, departments, and contractors are required to identify hazards, report them, and mitigate them appropriately. The primary sources will identify reactive hazards (i.e., Safety incident/accident data) and proactive hazard identification (Safety Hotline). Each system will have an indicator identifying the hazard source, incident, or observation.

Once the hazards have been identified, a hazard analysis will be conducted to identify all components and consequences. The hazard will be risk rated by reviewing the probability and severity of the consequence; the mitigation will also be evaluated to determine if the end result will lower the risk rating to an acceptable level. Finally, that mitigation will be put in place to address the hazard.

All of the steps noted above will be captured into the Hazard Management Module or equivalent alternative.

Business Impact – Budget/Cost Estimate

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

QICO-REG-TMP01-03 iCAPA, Rev. 3, 7/02/2019
wmata.com/transparency

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

Page 104 of 120

Actionable Items	Description	Responsible Party[1]	Est Start[2]	Est End[3]
1. Closure of existing CAP	Closure of FTA-TSR-18-003.	Carla Grano (SAFE) Support Joseph Leader (COO)	07/20/20	06/29/22
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	07/01/22	07/26/22

Performance Measures

- Three consecutive months exhibiting 90% of confirmed hazards recorded in the SMS Hazard Management Module or equivalent alternative covering the below inputs:
  - Safety hotline
  - Safety incident/accident data

---

[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.

QICO-REG-TMP01-03 iCAPA, Rev. 3, 7/02/2019
wmata.com/transparency

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

Page 105 of 120

Responsible Parties

SAFE	Carla Grano	████████ (Signature/Date)	12/3/19

Supporting Role Acknowledgement

COO	Joseph Leader	████████ (Signature/Date)	12-17-19

Second-Level Responsibility

SAFE	Theresa Impastato	████████ (Signature/Date)	12/3

QICO-REG-TMP01-03 iCAPA, Rev. 3, 7/02/2019
wmata.com/transparency

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

Page 106 of 120

Purpose and Scope

On October 30, 2019, the Office of Quality Assurance, Internal Compliance & Oversight (QICO) issued the Department of Safety and Environmental Management Internal Safety Review report. This internal Corrective and Preventive Action (iCAPA) report is developed to address associated finding(s) and required action(s) for QICO-SAFE-19-02.

Required Action

QICO-SAFE-19-02	*Department of Safety and Environmental Management (SAFE)*	Elevated	

Required Action(s): Develop, train on, and implement a standardized inspection procedure for SAFE personnel to effectively perform facility and equipment safety inspections.

- Defined and detailed inspection procedures are important to effectively perform facility and equipment safety inspections.

Measure: Policies, Procedures & Standards   *Risk: Elevated – Safe Work Standards (4,4)*

Action Plan Overview

Develop new procedure(s) for SAFE inspections of facilities and equipment. The procedure(s) will be developed for fire life safety, bus and MetroAccess safety, rail and facilities safety, incident investigation, performance monitoring, and construction safety.

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.

	Actionable Items	Description	Responsible Party[1]	Est Start[2]	Est End[3]
1.	Develop Standardized Inspection Procedure(s)	SAFE will develop standardized inspection procedure(s) for SAFE personnel to perform facility and equipment safety inspections. SAFE will provide new procedure(s).	Douglas Connett (SAFE) Carla Grano (SAFE)	01/01/20	05/27/20
2.	Distribution, Acknowledgement, and Implementation	Dissemination, acknowledgement, and implementation of the standardized procedure(s) for responsible SAFE personnel as described in Actionable Item #1. SAFE will provide signed sheets.	Douglas Connett (SAFE) Carla Grano (SAFE)	06/01/20	01/06/21
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	01/06/21	02/10/21

Performance Measures

- Evidence that 90% of active safety officers have acknowledged the new procedure(s) as per Actionable Item #2.
- Inspection records covering three consecutive months demonstrating that safety officers are adhering to the new procedure(s).

---

[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.

QICO-REG-TMP01-03 iCAPA, Rev. 3, 7/02/2019
wmata.com/transparency

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

Page 108 of 120

Responsible Parties

| SAFE | Douglas Connett | ████████████████ 12/16/19 |
| | | (Signature/Date) |

| SAFE | Carla Grano | ████████████ 12/16/19 |
| | | (Signature/Date) |

Second-Level Responsibility

| SAFE | Theresa Impastato | ████████████████ 12-13-19 |
| | | (Signature/Date) |

Purpose and Scope

On October 30, 2019, the Office of Quality Assurance, Internal Compliance & Oversight (QICO) issued the Department of Safety and Environmental Management Internal Safety Review report. This internal Corrective and Preventive Action (iCAPA) report is developed to address associated finding(s) and required action(s) for QICO-SAFE-19-03.

Required Action

QICO-SAFE-19-03	*Department of Safety and Environmental Management (SAFE)*	Moderate

Required Action(s): Review and revise SAFE governing documents to ensure organizational policies and procedures are current.

- Timely and periodic reviews and updates of governing documents are important to promote compliance

    Measure: Policies, Procedures & Standards   *Risk: Moderate – Safe Work Standards (3,3)*

Action Plan Overview

SAFE will review/revise and document the review/revision of SAFE governinig documents for which review is currently overdue. This review is required for the following overdue policies/procedures:

- o   SOP 800-01 Incident and Accident Investigations of Bus and Rail
- o   OAP 600-12 Safety Hotline Process
- o   OAP 200-01 Third Rail Insulating Mats
- o   WMATA Safety and Security Certification Plan Rev. 3
- o   SOP 200-03 Confined Space Entry
- o   SOP 200-08 Engineering Reviews

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.

QICO-REG-TMP01-03 iCAPA, Rev. 3, 7/02/2019
wmata.com/transparency

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

Page 110 of 120

	Actionable Items	Description	Responsible Party[1]	Est Start[2]	Est End[3]
1.	Documents Review and Update	Review/revise all overdue policies, procedures, and standards owned by SAFE. SAFE will provide the revised documents.	Douglas Connett (SAFE) Carla Grano (SAFE) Angel Gonzalez (SAFE)	12/02/19	04/01/20
2.	Distribution of Revised Documents	Provide evidence of dissemination of the updated documents. SAFE will provide copy of safety bulletin or other means used to distribute the documents.	Douglas Connett (SAFE) Carla Grano (SAFE) Angel Gonzalez (SAFE)	04/01/20	04/29/20
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	05/01/20	05/27/20

Performance Measures

- Evidence of dissemination of the revised documents WMATA-wide.

---

[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.

QICO-REG-TMP01-03 iCAPA, Rev. 3, 7/02/2019
wmata.com/transparency

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

Page 111 of 120

Responsible Parties

SAFE	Douglas Connett	(Signature/Date) 12/3/19
SAFE	Carla Grano	(Signature/Date) 12/3/19
SAFE	Angel Gonzalez	(Signature/Date)

Second-Level Responsibility

SAFE	Theresa Impastato	(Signature/Date) 12/13/19