

INTERNAL CORRECTIVE AND PREVENTIVE ACTIONS (iCAPAs)

RSTO iCAPAs

**Internal Safety Review**

In response to the internal safety review report regarding Rail Operations Oversight, Supervision & Fitness for Duty, the Office of Rail Transportation and the Office of Quality Assurance, Internal Compliance & Oversight (QICO) have coordinated the development of five (5) iCAPAs. The iCAPAs have been developed to address required actions and the associated findings.

EXECUTIVE LEADERSHIP COMMITMENT**RESPONSIBLE PARTIES****Joseph Leader** 


Joseph Leader
Executive Vice President & Chief Operating Officer

*Date***INTERNAL OVERSIGHT****Hakim Davis** 

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

*Date***Eric L.
Christensen** 

Eric Christensen
Executive Vice President, Internal Compliance (INCP)

Date
4/26/21

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

Date

PURPOSE
AND
SCOPE

On December 23, 2020, the Office of Quality Assurance, Internal Compliance & Oversight (QICO) issued the Rail Operations Oversight, Supervision & Fitness for Duty Internal Safety Review report. This internal Corrective and Preventive Action (iCAPA) is developed to address associated finding and required action for **QICO-RSTO-21-01**.

FINDING

Monitoring the impact of fatigue on incidents, accidents, and service delivery will promote employee and customer safety.

REQUIRED
ACTION

QICO-RSTO-21-01

Rail Stations & Train Operations (RSTO)[Risk: High](#)

Implement controls to monitor and mitigate the impact of fatigue.

Measure: Safe Work Standards Risk Category: Safety (5,4)

ACTION PLAN OVERVIEW

RTRA will create a work instruction addressing the monitoring and impact of fatigue related incidents; RTRA will submit the work instruction; RTRA will create a virtual training program based on the work instruction created in Actionable Item #1. This training will be provided to RTRA division management and line directors. Refresher training intervals will be established; and RTRA will submit evidence of training.

Business Impact – Budget/Cost Estimate: Operating

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.	Create Work Instruction	RTRA will create and submit an approved work instruction addressing the monitoring and impact of fatigue related incidents.	Brandye Rogers (RTRA) Eunice Maize (RTRA)	04/30/21	07/07/21
2.	Develop & Deliver Training	RTRA will create and submit a virtual training program based on the work instruction created in Actionable Item #1. This training will be delivered to RTRA division management and line directors. The training program will also identify the frequency required.	Brandye Rogers (RTRA) Eunice Maize (RTRA)	07/07/21	01/12/22
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	01/12/22	02/11/22

PERFORMANCE MEASURES

Evidence that 95% of active personnel completed the virtual training as per 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.

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**

RTRA Brandye Rogers

(Signature/Date)

RTRA Eunice Maize

(Signature/Date)

SECOND-LEVEL RESPONSIBILITY

RTRA Shanita Wilkinson

(Signature/Date)

RAIL Michael Hass

(Signature/Date)

COO Joseph Leader

(Signature/Date)

PURPOSE
AND
SCOPE

On December 23, 2020, the Office of Quality Assurance, Internal Compliance & Oversight (QICO) issued the Rail Operations Oversight, Supervision & Fitness for Duty Internal Safety Review report. This internal Corrective and Preventive Action (iCAPA) is developed to address the associated finding and required action for **QICO-RSTO-21-02**.

FINDING

Completing required train operator fitness for duty evaluations provides assurance that employees are in satisfactory condition to perform their assignments and present themselves as public representatives for Metro.

REQUIRED
ACTION

QICO-RSTO-21-02

Rail Stations & Train Operations (RSTO)[Risk: Elevated](#)

Enhance fitness for duty evaluation requirements and improve compliance with existing requirements.

Measure: Job Safety Risk Category: Safety (4,3)

ACTION PLAN OVERVIEW

RTRA will change the current OAP 201-05 to an SOP to include specific depot clerk responsibilities, as well as training for fatigue awareness, fitness for duty, and drug and alcohol reasonable suspicion. RTRA will submit the SOP; RTRA will update and submit the current Depot Clerk training manual for both new hire and refresher training; RTRA will conduct training; and RTRA will submit evidence that 95% of active Depot Clerks have been trained on new SOP.

Business Impact – Budget/Cost Estimate: Operating

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. Revise OAP 201-05	RTRA will change the current OAP 201-05 to an SOP to include specific depot clerk responsibilities, as well as training for fatigue awareness, fitness for duty, and drug and alcohol reasonable suspicion. RTRA will submit the revised OAP.	Ronald Lewis (RTRA)	05/03/21	07/28/21
2. Develop & Deliver Training	RTRA will submit the revised Depot Clerk Training Manual for both new hire and refresher training. The training program will also identify the frequency required.	Kirk Mitchell (RTRA)	07/28/21	01/26/22
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	01/26/22	02/25/22

PERFORMANCE MEASURES

Evidence that 95% of active personnel completed the training program as per 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.

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**

RTRA Ronald Lewis

(Signature/Date)

RTRA Kirk Mitchell

(Signature/Date)

SECOND-LEVEL RESPONSIBILITY

RTRA Shanita Wilkinson

(Signature/Date)

RAIL Michael Hass

(Signature/Date)

COO Joseph Leader

(Signature/Date)

PURPOSE
AND
SCOPE

On December 23, 2020, the Office of Quality Assurance, Internal Compliance & Oversight (QICO) issued the Rail Operations Oversight, Supervision & Fitness for Duty Internal Safety Review report. This internal Corrective and Preventive Action (iCAPA) is developed to address associated finding and required action for **QICO-RSTO-21-03**.

FINDING

Meaningful supervisory oversight of interlocking operators will increase safety, efficiency, and accountability of dispatch and yard operations.

REQUIRED
ACTION**QICO-RSTO-21-03*****Rail Stations & Train Operations (RSTO)****Risk: Moderate*

Revise the current oversight program to be inclusive of all RSTO activities.

Measure: Regulations & Oversight Risk Category: Safety (3,3)

ACTION PLAN OVERVIEW

RTRA will create and submit a spot check SOP inclusive of interlocking operators; Rail Operations Quality Training (ROQT) will update initial supervisor training and refresher training; ROQT will submit the revised training curriculum; ROQT will provide evidence that 95% of active supervisors have acknowledged and been trained on the new SOP.

Business Impact – Budget/Cost Estimate: Operating

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.	Create Spot Check Program	RTRA will create and submit a spot check SOP inclusive of interlocking operators.	Ronald Lewis (RTRA)	07/01/21	09/29/21
2.	Develop & Deliver Training	ROQT will revise the initial and refresher supervisor training and incorporate the spot check SOP as per Actionable Item #1. This training will be delivered to RTRA supervisors.	Paul Bumbry (ROQT) Supporting Office: Myron Vines (RTRA)	09/30/21	06/01/22
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, considering the actionable item descriptions and performance measures.	QICO	06/01/22	07/01/22

PERFORMANCE MEASURES

RTRA will provide three consecutive months of interlocking operator spot check reports as per Actionable Item #1.

Evidence that 95% of active personnel complete the refresher supervisor training as per Actionable Item #2.

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² Est Start – Estimated Start Date.

³ Est End – Estimated Completion Date.

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

**RESPONSIBLE PARTIES**

RTRA Ronald Lewis

(Signature/Date)

ROQT Paul Bumbry

(Signature/Date)

SUPPORTING ROLE ACKNOWLEDGEMENT

RTRA Myron Vines

(Signature/Date)

SECOND-LEVEL RESPONSIBILITY

RTRA Shanita Wilkinson

(Signature/Date)

OPMS Linda Stoffregen

(Signature/Date)

RAIL Michael Hass

(Signature/Date)

COO Joseph Leader

(Signature/Date)

PURPOSE
AND
SCOPE

On December 23, 2020, the Office of Quality Assurance, Internal Compliance & Oversight (QICO) issued the Rail Operations Oversight, Supervision & Fitness for Duty Internal Safety Review report. This internal Corrective and Preventive Action (iCAPA) is developed to address associated finding and required action for **QICO-RSTO-21-04**.

FINDING

A process governing creation, closure, and quality of incident/accident reports will promote accountability and improve the capture of critical safety data.

REQUIRED
ACTION**QICO-RSTO-21-04*****Rail Stations & Train Operations (RSTO)***[Risk: Moderate](#)

Implement a documented process that ensures accurate collection, recording, and reporting of all incident/accident data

Measure: Assets and Activities Risk Category: Safety (2,5)

ACTION PLAN OVERVIEW

RTRA will develop and submit a documented process governing creation, closure, and quality of incidents in the SMS system; RTRA will provide SMS incident process training to all division management; and RTRA will provide evidence of SMS incident process training. QICO will perform a spot check of SMS to verify implementation and compliance with the new SMS process.

Business Impact – Budget/Cost Estimate: Operating

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 SMS Incident Process	RTRA will develop and submit a documented process governing creation, closure, and quality of incidents in the SMS system.	Allison King (RTRA) Supporting Office ⁴ : Michael White (SAFE)	05/01/21	06/30/21
2.	Deliver SMS Incident Process Training	RTRA will provide SMS incident process training to all division management based on the document created as per Actionable Item #1.	Andrea Bell (RTRA)	07/01/21	10/27/21
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, considering the actionable item descriptions and performance measures.	QICO	10/27/21	11/26/21

PERFORMANCE MEASURES

Evidence that 95% of active personnel completed the SMS incident process training as per 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.

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**

RTRA Allison King

(Signature/Date)

RTRA Andrea Bell

(Signature/Date)

SUPPORTING ROLE ACKNOWLEDGEMENT

SAFE Michael White

(Signature/Date)

SECOND-LEVEL RESPONSIBILITY

RTRA Shanita Wilkinson

(Signature/Date)

RAIL Michael Hass

(Signature/Date)

SAFE Theresa Impastato

(Signature/Date)

COO Joseph Leader

(Signature/Date)

PURPOSE
AND
SCOPE

On December 23, 2020, the Office of Quality Assurance, Internal Compliance & Oversight (QICO) issued the Rail Operations Oversight, Supervision & Fitness for Duty Internal Safety Review report. This internal Corrective and Preventive Action (iCAPA) is developed to address associated finding and required action for **QICO-RSTO-21-05**.

FINDING

Current and controlled policies, procedures, and standards provide clear direction and result in more consistent processes.

REQUIRED
ACTION**QICO-RSTO-21-05*****Rail Stations & Train Operations (RSTO)****Risk: Moderate*

Implement a process that ensures RSTO personnel are aware and have access to the latest policies and procedures.

Measure: Configuration Management Risk Category: Safety (2,5)

ACTION PLAN OVERVIEW

The Office of Rail Transportation (RTRA) will create and submit a documented process that establishes a master document log and defines roles and responsibilities for maintaining this log. The log will be used to manage documents requiring archiving, updating, and revision. In addition, RTRA will create a documented process for updating/distributing governing documents to applicable personnel.

Business Impact – Budget/Cost Estimate: Operating

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. Master Document Process	RTRA will create and submit a documented process that establishes a master document log and defines roles and responsibilities for maintaining this log. The log will be used to manage documents requiring archiving, updating, and revising.	Brandye Rogers (RTRA) Eunice Maize (RTRA)	06/01/21	09/29/21
2. Distribution and Updating Process	RTRA will create and submit a documented process for updating/distributing governing documents to applicable personnel.	Brandye Rogers (RTRA) Eunice Maize (RTRA)	09/29/21	12/08/21
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, considering the actionable item descriptions and performance measures.	QICO	12/08/21	01/07/22

PERFORMANCE MEASURES

N/A

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**

RTRA Brandye Rogers



(Signature/Date)

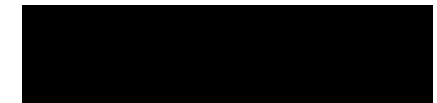
RTRA Eunice Maize



(Signature/Date)

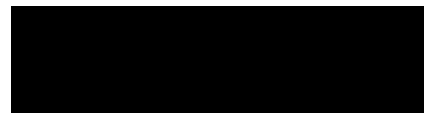
SECOND-LEVEL RESPONSIBILITY

RTRA Shanita Wilkinson



(Signature/Date)

RAIL Michael Hass



(Signature/Date)

COO Joseph Leader



(Signature/Date)

PLNT iCAPAs



Internal Safety Review

In response to the Internal Safety Review report regarding the Office of Plant Maintenance, the Office of Quality Assurance Internal Compliance & Oversight (QICO) has coordinated the development of four (4) iCAPAs. The iCAPAs have been developed to address required actions and the associated findings.

EXECUTIVE LEADERSHIP COMMITMENT

RESPONSIBLE PARTIES

Joseph Leader

Joe Leader

Executive Vice President & Chief Operating Officer

Date

INTERNAL OVERSIGHT

Hakim Davis

4/20/21

Hakim Davis

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

Date

Eric L. Christensen

4/20/21

Eric Christensen

Executive Vice President, Internal Compliance (INCP)

Date

4/20/21

Paul J. Wiedefeld

General Manager & Chief Executive Officer (GM/CEO)

Date

PURPOSE
AND
SCOPE

On January 29, 2021, the Office of Quality Assurance, Internal Compliance & Oversight (QICO) issued the Office of Plant Maintenance (PLNT) Internal Safety Review report. This internal Corrective and Preventive Action (iCAPA) is developed to address associated finding and required action for **QICO-PLNT-21-01**.

FINDING

Performing inspections, maintenance and repairs on station pylons in accordance with governing documents would promote safe, efficient and effective work functions.

REQUIRED
ACTION**QICO-PLNT-21-01****Office of Plant Maintenance (PLNT)**Risk: Elevated

Develop and implement processes to reduce safety hazards and promote a safe work environment.

Measure: Facilities and Equipment Inspections Risk Category: Safety (4,3)

ACTION PLAN OVERVIEW

PLNT will submit a problem statement to ENGA to define the periodicity to perform station pylon inspections. In addition, PLNT will update the work instruction adding the frequency for inspecting pylons and will conduct inspections.

Business Impact – Budget/Cost Estimate: Operating

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.



Actionable Items	Description	Responsible Party ¹	Est Start ²	Est End ³
1. Submit Problem Statement	PLNT will provide a problem statement to ENGA for guidance on inspection procedures and periodicity for platform pylons. PLNT will submit the problem statement document.	Darlene Bright (PLNT)	04/07/21	05/12/21
2. Updated Work Instructions (WI)	PLNT will update and submit PLNT WI 209-(XX) Pylon Inspection and Testing of Station Platform Pylon Supports and Anchorages to include ENGA's guidance.	Darlene Bright (PLNT)	04/07/21	01/26/22
3. Station Pylon Inspections Schedule	PLNT will submit a schedule to include creating an asset and inspection schedule for all stations/pylons.	Darlene Bright (PLNT)	01/26/22	03/30/22
4. Station Pylon Inspections	PLNT will conduct the pylon inspections in accordance with the revised WI referenced in Actionable Item #2. PLNT will submit completed pylon inspection checklists for five stations.	Darlene Bright (PLNT)	03/30/22	12/07/22
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	12/07/22	01/11/23

PERFORMANCE MEASURES

N/A

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

PLNT Darlene Bright

(Signature/Date)

PLNT Dwayne Lloyd

(Signature/Date)

SECOND-LEVEL RESPONSIBILITY

FSVT Rodolfo Bitar

(Signature/Date)

THIRD-LEVEL RESPONSIBILITY

BPDV Lisa Woodruff

(Signature/Date)

PURPOSE
AND
SCOPE

On January 29, 2021, the Office of Quality Assurance, Internal Compliance & Oversight (QICO) issued the Office of Plant Maintenance (PLNT) Internal Safety Review report. This internal Corrective and Preventive Action (iCAPA) is developed to address associated findings and required action for **QICO-PLNT-21-02**.

FINDINGS

FS-PLNT-21-02: Performing routine Supervisor Quality Control (QC) compliance checks as defined in Facilities, Systems, and Vertical Transportation (FSVT's) process and frequency would verify PLNT operations meet standards and safety measures.

FS-PLNT-21-03: Availability and enforcement of proper Personal Protective Equipment (PPE) and required tools to perform maintenance tasks reduces safety risks and improves work performance.

REQUIRED
ACTION**QICO-PLNT-21-02***Office of Plant Maintenance (PLNT)**Risk: Moderate*

Enforce implementation of quality control compliance checks to include operation, PPE, tools and equipment.

Measure: Rules Compliance / Local, State, and Federal Requirements Risk Category: Safety (3,3)

ACTION PLAN OVERVIEW

PLNT will enforce supervisors to conduct QC checks and document the process in Maximo in accordance with the established work instruction. In addition, PLNT will enforce compliance with PPE and required equipment through conducting monthly safety meetings.

Business Impact – Budget/Cost Estimate: Operating

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. Supervisor Quality Control (QC) Checks	PLNT supervisors will conduct QC checks and record the process in Maximo according to the instructions of work instruction (WI) 209-18. PLNT will submit three months of supervisor QC checks.	Darlene Bright (PLNT)	06/07/21	08/11/21
2. Personal Protective Equipment (PPE) and Maintenance Equipment	PLNT management will ensure that PLNT field employees have all required PPE and maintenance equipment through an acknowledgement memorandum. PLNT will submit the acknowledgement memorandums.	Darlene Bright (PLNT)	04/07/21	01/12/22
3. PPE and Equipment Verification	PLNT will submit three months supervisor QC checks to verify PPE and maintenance equipment.	Darlene Bright (PLNT)	04/07/21	01/12/22
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	01/12/22	02/16/22

PERFORMANCE MEASURES

Provide acknowledgement of PPE and equipment memorandum by 95% of active PLNT field employees as per 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.

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

PLNT Darlene Bright

(Signature/Date)

PLNT Dwayne Lloyd

(Signature/Date)

SECOND-LEVEL RESPONSIBILITY

FSVT Rodolfo Bitar

(Signature/Date)

THIRD-LEVEL RESPONSIBILITY

BPDV Lisa Woodruff

(Signature/Date)

PURPOSE
AND
SCOPE

On January 29, 2021, the Office of Quality Assurance, Internal Compliance & Oversight (QICO) issued the Office of Plant Maintenance (PLNT) Internal Safety Review report. This internal Corrective and Preventive Action (iCAPA) is developed to address associated finding and required action for **QICO-PLNT-21-03**.

FINDING

Reviewing and updating governing documents within the required periodicity optimizes applicability and incorporates changes in a timely manner.

REQUIRED
ACTION**QICO-PLNT-21-03*****Office of Plant Maintenance (PLNT)***[Risk: Moderate](#)

Revise governing documentation in accordance with the required revision periodicity and update the Master Document Control Log regularly to track document expiration dates.

Measure: Configuration Management and Control Risk Category: Service Delivery (3,3)

ACTION PLAN
OVERVIEW

PLNT will revise outdated documents in accordance with the required revision frequency and update the Master Document Control Log.

Business Impact – Budget/Cost Estimate: Operating

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 Master Document Control Log	PLNT will update the outdated documents and upload them to the Master Document Control Log with revised documents. PLNT will submit a memorandum listing all the documents requiring an update and provide a link to the document repository for verification.	Darlene Bright (PLNT)	04/07/21	12/22/21
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	12/22/21	01/21/22

PERFORMANCE MEASURES

N/A

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

PLNT Darlene Bright

(Signature/Date)

PLNT Dwayne Lloyd

(Signature/Date)

SECOND-LEVEL RESPONSIBILITY

FSVT Rodolfo Bitar

(Signature/Date)

THIRD-LEVEL RESPONSIBILITY

BPDV Lisa Woodruff

(Signature/Date)

PURPOSE
AND
SCOPE

On January 29, 2021, the Office of Quality Assurance, Internal Compliance & Oversight (QICO) issued the Office of Plant Maintenance (PLNT) Internal Safety Review report. This internal Corrective and Preventive Action (iCAPA) is developed to address associated finding and required action for **QICO-PLNT-21-04**.

FINDING

The accurate tracking of corrective maintenance work orders in Maximo would improve planning and efficiency of maintenance and repairs.

REQUIRED
ACTION**QICO-PLNT-21-04***Office of Plant Maintenance (PLNT)*[Risk: Low](#)

Develop a process to account for the creation of each Maximo work order, enforce prioritization and reduce the risk of duplicates.

Measure: Rules Compliance Risk Category: Service Delivery (2,3)

ACTION PLAN OVERVIEW

PLNT will create a documented process to validate Maximo work orders, manage duplicates and perform timely status updates.

Business Impact – Budget/Cost Estimate: Operating

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.	Manage Maximo Work Orders Process	PLNT will create and submit a documented process to validate Maximo work orders, manage duplicates and perform timely status updates.	Darlene Bright (PLNT)	04/07/21	08/25/21
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	08/25/21	09/29/21

PERFORMANCE MEASURES

Provide acknowledgement of its distribution and familiarization from 95% of active PLNT supervisors as per 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.



RESPONSIBLE PARTIES

PLNT Darlene Bright

(Signature/Date)

PLNT Dwayne Lloyd

(Signature/Date)

SECOND-LEVEL RESPONSIBILITY

FSVT Rodolfo Bitar

(Signature/Date)

THIRD-LEVEL RESPONSIBILITY

BPDV Lisa Woodruff

(Signature/Date)