



SUMMARY

The Quality Assurance Vegetation Management-Asset (QAVM-Asset) team utilizes PG&E’s Corrective Action Program (CAP) to document the completion of corrective actions resulting from findings from QAVM-Asset audits. The CAP program can also document and record the implementation of preventive actions resulting from findings on QAVM-Asset audits as well.

PURPOSE

To document corrective and/or preventive actions to be taken by Vegetation Management (VM) Execution due to findings from QAVM-Asset audits.

STAKEHOLDERS

All personnel conducting QAVM-Asset distribution compliance audits, and (VM) Execution partners.

ASSOCIATED TOOLS

Mobile device (e.g., iPad or iPhone), Field Maps mobile app, Survey123 mobile app, PG&E’s online CAP program.

NOTE:
 A CAP does *not* need to be created if the audit has no findings of any kind.

1. Initiating a QAVM-Asset Post-Audit CAP:

Before Initiating CAP Issue, ensure the following tasks have been completed:

- Audit Report is approved by the Quality Assurance Manager and is ready for publishing.
- Review the status of the Mitigation Datasheet and save the current copy (incomplete or complete) from the VM SharePoint site to the QAVM-Asset SharePoint site. At the end of the title save as Complete or Incomplete. A copy of the Mitigation Datasheet will be uploaded as an attachment to the CAP.
- Through cause analysis, and discussions with QAVM-Asset supervision, determine if any corrective and/or preventive actions need to be addressed.
- Audit lead and QAVM supervisor to work together to ensure that the audit CAP is created no more than 1-2 days prior to the planned publish date of the audit report.

2. Overview

2.1. Login to the ECAP Page and click on “Submit CAP Issue.”

2.2. Complete the ECAP Form.

- a. Fill in Basic and Additional Information sections appropriately.
 - Double check the information entered is accurate prior to submission to ensure CAP is routed appropriately.
- b. Lead Auditor Submits CAP. Within a few minutes, an email will arrive confirming that the CAP was submitted successfully.



2.3. Edit the submitted CAP. Re-open CAP by clicking the link included in the submission email.

- a. Add Attributes
 - Quality Program
- b. Add Action(s)
 - Any Corrective and/or Preventive actions to address audit findings.


3. Submitting a CAP

Basic information:

Responsible Organization	Will default to Electric Operations. Select “ PG&E Utility Operations ” from dropdown.
Issue Title	<p>The Issue Title MUST always start with VMQA*, then the year and audit number.</p> <p><i>Examples:</i></p> <ul style="list-style-type: none"> A. Distribution: VMQA 2023 NB-AC, VMQA 2023 SI-N-HFTD B. Transmission: VMQA 2023 ST-1-1 C. VC/PRC 4292: VMQA 2023 VC-1 <p>*Use VMQA instead of QAVM to stay consistent with all previous CAPs</p>
What & Where is the issue?	<p>Copy/Paste the correct template from (Appendix) and fill in the blanks for Division, etc.</p> <p>The default risk ranking is L.5.B (low). Work with supervisor to discuss if a different risk ranking is needed. Examples could include but are not limited to tree crews signing off on work that was not completed or trees that are out of compliance due to construction changes.</p>
Who should be assigned to address this issue?	<p>Write in the correct Regional Manager and their LAN ID</p> <p>The CAP is assigned to the Regional Manager, but any actions are assigned to the Manager.</p>
How might this issue be avoided or solved?	Leave Blank



Additional information:

Reason for Reporting	Leave Blank
Issue Type	<p>Click on the pop-up window icon.</p> <p>> ECAP-CMC-Compliance- Click the arrow</p> <ul style="list-style-type: none"> • AQA-Audit and Quality Assurance Click the  bubble
Asset Family	Choose Dist (Distribution) or Trans (Transmission).
Process	Type in PRQA into the space and press Enter. “PRQA Quality” will appear.
Division/District	Select the correct Division from the dropdown. For Pole Clearing/VC or Transmission audits choose “System Wide.”
Department	Type in Manager’s LAN ID and select the code associated with that manager.
Event Date	Select the Date the report is approved for publishing
Functional Location	Leave Blank
Equipment	Leave Blank
Address	Leave Blank
City	Leave Blank
Event Time	Leave Blank
Attachments	<p>Upload the data mitigation tracker that you saved in the QAVM SharePoint audit folder. When the file name appears in the CAP form window, click “Upload.” Click OK.</p> <p><i>*Maximum filename of 45 characters for upload,</i></p> <p>Label File: Audit #_Mitigation File_Incomplete or Complete</p> <p>Example: 2023 FR-AC_Mitigation File_Incomplete</p>
Submit	Click on ‘Submit’ located at the bottom-right of the page and click OK.

4. Editing the Submitted CAP

4.1. Overview

When you receive the email confirmation of the submitted CAP, edit the following:

- a. Adding Attributes
 - Quality Program
 - Non-Compliance/Self Report Issues
- b. Adding Action(s)
 - Adding an Action to complete the Mitigation Datasheet (IF APPLICABLE)



- Adding Action(s) for Corrective/Preventive Follow-up (IF APPLICABLE- DISCUSS AND CONFIRM WITH SUPERVISOR)

4.2. Adding Attributes

<p>Adding an Attribute for type of Quality Program</p>	<ol style="list-style-type: none"> 1. Click Edit button at bottom of page 2. Click on Attribute link at top of page 3. Click Create button 4. Click square icon to display list of ECAP Attribute Types 5. Find ECAP-VMQ ELEC Veg Mgmt. – Quality Programs, expand list and select VMQA - Quality Assurance (see Figure 1) 6. Click on Save button
<p>Adding an Attribute for Non-Compliance/Self Report Issues</p>	<ol style="list-style-type: none"> 1. Repeat steps 1-4 above. 2. Find ECAP-NCI Non-Compliance/Self Report Issues, expand list and select 3NCI-Not Compliance Issues (see Figure 1)* 3. Click on save button <p><i>*Attribute needs to be added regardless of if any compliance findings were identified on the audit.</i></p>

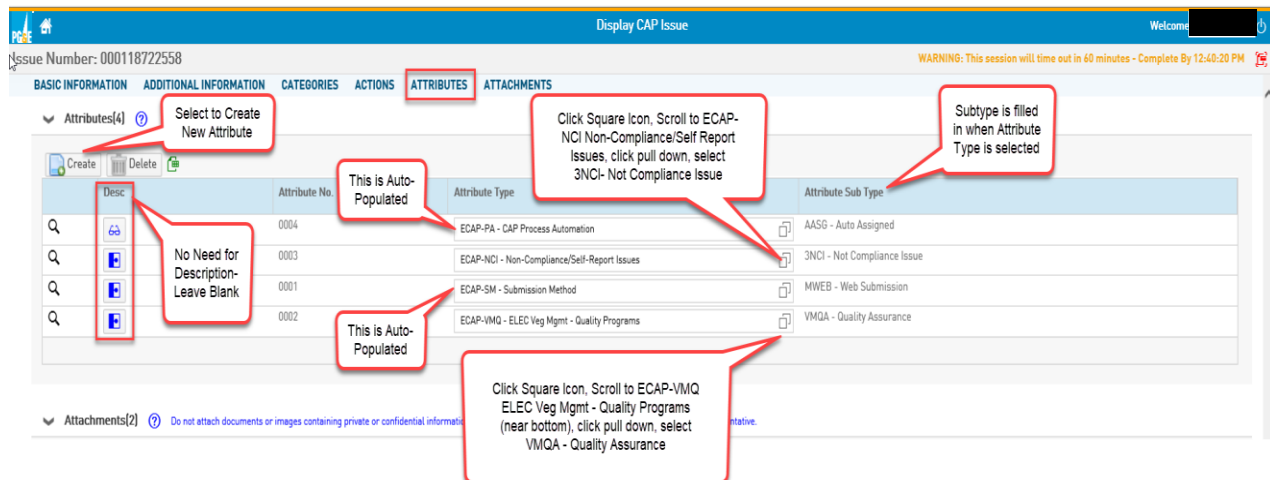


Figure 1. Adding attributes



4.3. Adding Actions

<p>Adding an Action</p> <p><i>Discuss and confirm with supervisor before adding any additional actions other than completing the Mitigation Datasheet.</i></p>	<ol style="list-style-type: none"> 1. Click Edit button at bottom of page 2. Click on Actions link at top of page 3. Click Create button 4. Click square icon to display list of ECAP-ACT Action Type. Select GENA-Action (see Figures 1 and 2) 5. Action Title*: Language to Address Corrective/Preventive Action. *Cannot exceed 40 characters. 6. Click Blue Box to open comment box Write in Corrective/Preventive comments for Action Owner. Copy/Paste the correct template from Table 2 below (page 13). 7. Owner Names: Search/select SVPM of Audit Division 8. Plan Start is the current date 9. Plan End must be on or before the CAP Issue due date. <ul style="list-style-type: none"> • CAP Issues have an automatically populated due date of 30 days from the initiation date. The threshold for all VMQA CAP Issues and Actions is not to exceed 30 days from the initiation/report published date. 10. Click on Save Button
<p>Adding Additional Actions</p>	<ol style="list-style-type: none"> 1. Repeat steps above

NOTE:

The mitigation tracker is considered incomplete if any line items have not been reviewed and addressed/signed off.

Figure 2. Adding an Action(s)

End of Document



Quality Assurance Vegetation Management–Asset Post-Audit Corrective Actions



(Appendix starts on following page)

REVISION REQUIREMENTS

To remain active document must be reviewed and approved annually within 1 month of anniversary of previous approval.

REVISION NOTES

Rev #	Date	Description
0	03/21/2024	Original Publication

DOCUMENT OWNER:

██████████, Director, Quality Assurance Vegetation Management

DOCUMENT CONTACT:

██████████ QAVM-Asset Supervisor

██████████, VM Quality Assurance



APPENDIX

NOTE:

The default risk ranking will be L.5.B. Consult with a QAVM Supervisor to determine If the audit results warrant a different ranking. Refer to the CAP Risk Matrix Tool to determine the appropriate risk ranking.

Table 1: Standard Paragraphs for “What & Where is the issue?”

<u>Distribution</u>	
<p>1) Incomplete Mitigation Tracker 2) Assigned Actions</p>	<p>This CAP issue is being entered for purposes of addressing Corrective/Preventive Actions resulting for Quality Assurance Vegetation Management Audit _____ per request of Electric Asset Management leadership. In addition, it is also being entered for purposes of accessibility and records repository.</p> <p>Please assign as:</p> <ul style="list-style-type: none"> • Risk Rank- L.5.B (or use appropriate Risk Ranking) • Close to Trend: _____ (Department Code) • Issue Type- Compliance • Subtype- Audit and Quality Assurance <p>Quality Assurance Veg. Mgmt. has reviewed the Mitigation Datasheet resulting from QAVM Audit #____. Vegetation Management Execution in ____ division must now complete the Mitigation Datasheet and Action(s) within this CAP Issue to address audit findings.</p> <p>*Please note that it is operations responsibility to create any corrective and/or preventive actions within the CAP Issue for all assigned actions by QAVM that address audit findings. (e.g., calibration training for PI, procedure review, process revision, etc.)</p>



Table 1: Standard Paragraphs for “What & Where is the issue?”

<u>Distribution</u>	
1) Complete Mitigation Tracker 2) Assigned Actions	<p>This CAP issue is being entered for purposes of addressing Corrective/Preventive Actions resulting for Quality Assurance Vegetation Management Audit _____ per request of Electric Asset Management leadership. In addition, it is also being entered for purposes of accessibility and records repository.</p> <p>Please assign as:</p> <ul style="list-style-type: none"> • Risk Rank: L.5.B (or use appropriate Risk Ranking) • Close to Trend: _____ (Department Code) • Issue Type: Compliance • Subtype: Audit and Quality Assurance <p>Quality Assurance Veg. Mgmt. has reviewed the Mitigation Datasheet resulting from QAVM Audit #____ in ____ division. The file is complete (attached). Vegetation Management Operations in ____ division must now complete the Action(s) within this CAP Issue to address audit findings.</p> <p>*Please note that it is operations responsibility to create any corrective and/or preventive actions within the CAP Issue for all assigned actions by QAVM that address audit findings. (e.g., calibration training for PI, procedure review, process revision, etc.)</p>
1) Complete Mitigation Tracker 2) No Assigned Actions	<p>This CAP issue is being entered for purposes of accessibility and records repository for Quality Assurance Vegetation Management Audit _____ per request of Electric Asset Management leadership.</p> <p>Please assign as:</p> <ul style="list-style-type: none"> • Risk Rank- L.5.B (or use appropriate Risk Ranking) • Close to Trend: _____ (Department Code) • Issue Type- Compliance • Subtype- Audit and Quality Assurance <p>Quality Assurance Veg. Mgmt. has reviewed the Mitigation Datasheet resulting from QAVM Audit #____ in ____ division. The file is complete (attached). There are no actions to address any findings identified during this Quality Assurance review. Once accepted, this CAP Issue may be closed as complete.</p>
<u>Pole Clearing/VC</u>	
1) Incomplete Mitigation Tracker 2) Assigned Actions	<p>This CAP issue is being entered for purposes of addressing Corrective/Preventive Actions resulting for Quality Assurance Vegetation Management Audit _____ per request of Electric Asset Management leadership. In addition, it is also being entered for purposes of accessibility and records repository.</p> <p>Please assign as:</p> <ul style="list-style-type: none"> • Risk Rank: L.5.B (or use appropriate Risk Ranking) • Close to Trend: _____ (Department Code)



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Table 1: Standard Paragraphs for “What & Where is the issue?”

<u>Distribution</u>	
	<ul style="list-style-type: none"> • Issue Type: Compliance • Subtype: Audit and Quality Assurance <p>Quality Assurance Veg. Mgmt. has reviewed the Mitigation Datasheet resulting from this system wide PRC 4292 QA Audit#_____ to ensure that minimum requirements have been met. Vegetation Management Operations must now complete the Mitigation Datasheet and Action(s) within this CAP Issue to address audit findings.</p> <p>*Please note that it is operations responsibility to create any corrective and/or preventive actions within the CAP Issue for all assigned actions by QAVM that address audit findings. (e.g., procedure review, process revision, etc.)</p>



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Table 1: Standard Paragraphs for “What & Where is the issue?”

<u>Pole Clearing/VC</u>	
1) Complete Mitigation Tracker 2) Assigned Actions	<p>This CAP issue is being entered for purposes of addressing Corrective/Preventive Actions resulting for Quality Assurance Vegetation Management Audit _____ per request of Electric Asset Management leadership. In addition, it is also being entered for purposes of accessibility and records repository.</p> <p>Please assign as:</p> <ul style="list-style-type: none"> • Risk Rank: L.5.B (or use appropriate Risk Ranking) • Close to Trend: _____ (Department Code) • Issue Type: Compliance • Subtype: Audit and Quality Assurance <p>Quality Assurance Veg. Mgmt. has reviewed the Mitigation Datasheet resulting from this system wide PRC 4292 QA Audit # _____ to ensure that minimum requirements have been met. The file is complete (attached). Vegetation Management Operations must now complete the action(s) within this CAP Issue to address audit findings.</p> <p>*Please note that it is operations responsibility to create any corrective and/or preventive actions within the CAP Issue for all assigned actions by QAVM that address audit findings. (e.g., procedure review, process revision, etc.)</p>
1) Complete Mitigation Tracker 2) No Assigned Actions	<p>This CAP issue is being entered for purposes of accessibility and records repository for Quality Assurance Vegetation Management Audit _____ per request of Electric Asset Management leadership.</p> <p>Please assign as:</p> <ul style="list-style-type: none"> • Risk Rank: L.5.B (or use appropriate Risk Ranking) • Close to Trend: _____ (Department Code) • Issue Type: Compliance • Subtype: Audit and Quality Assurance <p>Quality Assurance Veg. Mgmt. has reviewed the Mitigation Datasheet resulting from this system wide PRC 4292 QA Audit # _____ to ensure that minimum requirements have been met. The file is complete (attached). There are no actions to address any findings identified during this Quality Assurance review. Once accepted, this CAP Issue may be closed as complete.</p>



Quality Assurance Vegetation Management–Asset Post-Audit Corrective Actions



Table 1: Standard Paragraphs for “What & Where is the issue?”

<u>Transmission</u>	
1) Incomplete Mitigation Tracker 2) Assigned Actions	<p>This CAP issue is being entered for purposes of addressing Corrective/Preventive Actions resulting for Quality Assurance Vegetation Management Audit _____ per request of Electric Asset Management leadership. In addition, it is also being entered for purposes of accessibility and records repository.</p> <p>Please assign as:</p> <ul style="list-style-type: none"> • Risk Rank: L.5.B (or use appropriate Risk Ranking) • Close to Trend: _____ (Department Code) • Issue Type: Compliance • Subtype: Audit and Quality Assurance <p>Quality Assurance Veg. Mgmt. has reviewed the Mitigation Datasheet resulting from this system wide Transmission QA Audit# _____ to ensure that minimum requirements have been met. Vegetation Management Operations must now complete the Mitigation Datasheet and Action(s) within this CAP Issue to address compliance and or conformance findings identified during this Quality Assurance review.</p> <p>*Please note that it is operations responsibility to create any corrective and/or preventive actions within the CAP Issue for all assigned actions by QAVM that address audit findings. (e.g., calibration training for PI, procedure review, process revision, etc.)</p>
1) Complete Mitigation Tracker 2) Assigned Actions	<p>This CAP issue is being entered for purposes of addressing Corrective/Preventive Actions resulting for Quality Assurance Vegetation Management Audit _____ per request of Electric Asset Management leadership. In addition, it is also being entered for purposes of accessibility and records repository.</p> <p>Please assign as:</p> <ul style="list-style-type: none"> • Risk Rank: L.5.B (or use appropriate Risk Ranking) • Close to Trend: _____ (Department Code) • Issue Type: Compliance • Subtype: Audit and Quality Assurance <p>Quality Assurance Veg. Mgmt. has reviewed the Mitigation Datasheet resulting from this system wide Transmission QA Audit# _____ to ensure that minimum requirements have been met. The file is complete (attached). Vegetation Management Operations must now complete the action(s) within this CAP Issue to address audit findings.</p> <p>*Please note that it is operations responsibility to create any corrective and/or preventive actions within the CAP Issue for all assigned actions by QAVM that address audit findings. (e.g., calibration training for PI, procedure review, process revision, etc.)</p>



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<u>Transmission</u>	
<p>1) Complete Mitigation Tracker 2) No Assigned Actions</p>	<p>This CAP issue is being entered for purposes of accessibility and records repository for Quality Assurance Vegetation Management Audit _____ per request of Electric Asset Management leadership.</p> <p>Please assign as:</p> <ul style="list-style-type: none"> • Risk Rank: L.5.B (or use appropriate Risk Ranking) • Close to Trend: _____ (Department Code) • Issue Type: Compliance • Subtype: Audit and Quality Assurance <p>Quality Assurance Veg. Mgmt. has reviewed the Mitigation Datasheet resulting from this system wide Transmission QA Audit#_____ to ensure that minimum requirements have been met. The file is complete (attached). There are no actions to address any findings identified during this Quality Assurance review. Once accepted, this CAP Issue may be closed as complete.</p>



Table 2: Action Titles and Comments*

<u>Distribution, Pole Clearing & Transmission</u>	
1) Incomplete Mitigation Tracker	Title: Complete Mitigation Datasheet Comments: Complete the Mitigation Datasheet to address audit findings.
1) Compliance Score**	Title: Failing/Caution Compliance Score Comments: Implement corrective/preventive actions to address _____. See audit report for specific audit results. *Focus on providing details based on cause analysis. Each action should be tailored to the specific issue the action needs to address. Vegetation Management Operations must determine the specific action to take.
1) Compliant or other findings that need to be addressed**	Title: Select one of the following: 90 Day Trees, Major Woody Stem (MWS), FPTs', Vegetation Maintenance Agreements (VMA), Non-Conformance Findings, or other findings that need to be addressed. Comments: Implement corrective/preventive actions to address _____. See audit report for specific audit results. *Focus on providing details based on cause analysis. Each action should be tailored to the specific issue the action needs to address. Vegetation Management Operations must determine the specific action to take.

**When applicable, add additional pertinent details*

***Discuss and confirm with supervisor before adding any additional actions other than completing the mitigation datasheet*