Date: March 12, 2021

Ms. Henrika Buchanan
Associate Administrator
Chief Safety Officer
Office of Transit Safety and Oversight
Federal Transit Administration
1200 New Jersey Avenue SE, E46-338
Washington, D.C., 20590-0001

RE: Colorado Public Utilities Commission (CoPUC) Annual Submittal Pursuant to 49 *Code of Federal Regulation* (CFR) §674.39(a)(1-6) and Certification of Compliance

Dear Ms. Buchanan:

Today, the CoPUC submits its annual report in compliance with 49 CFR §674.39(a)(1-6) through the Federal Transit Administration's (FTA) State Safety Oversight Reporting (SSOR) tool. CoPUC began its three-year safety and security review of the Denver Regional Transportation District (RTD) in 2020 under the 49 CFR §673 and §674 rules. The three-year safety review will be completed in the fall of 2022. New checklists are being used based on 49 CFR §673 and §674 and based on Safety Management Systems (SMS).

Included with this submittal in the SSOR tool are the following documents:
1. CoPUC report summarizing oversight activities for the preceding twelve months;
2. Copies of CoPUC Spring 2020 and Fall 2020 audit reports with Commission Decisions approving the Staff semi-annual audit reports attached;
3. Copy of RTD 2020 Annual Audit Report with Commission Decision approving the annual report attached;
4. Copy of RTD 2021 Public Transportation Safety Plan (PTASP)
5. Copy of CoPUC Decision No. C20-0792 and attached checklist approving RTD's 2021 Public Transportation Agency Safety Plan;
6. Copy of CoPUC Program Standard – 4 *Code of Colorado Regulations* 723-7-7340 through 7355;
7. Copy of SSOA TTP Template Colorado PUC Revised 2/8/2021.

Henrika Buchanan
March 12, 2021

The CoPUC has reviewed and adopted all accident reports contained within the SSOR or has conducted its own accident investigation, with CoPUC adopting that accident investigation report. The CoPUC has reviewed and approved all Corrective Action Plans contained within the SSOR. Commission Decisions for these approvals are available upon request.

Under the requirements of the CoPUC Program Standard, the RTD must certify its compliance with its PTASP meeting requirements of rule 7345 and approved by the Commission to FTA using the FTA determined certification method. Therefore, CoPUC has not issued a certification of compliance of RTD with 49 CFR §674 to FTA as the RTA's are required to issue that certification to FTA themselves using the FTA determined PTASP certification method.

The CoPUC finds that RTD is substantially in compliance with the policies and procedures required under its Public Transportation Agency Safety Plan.

Additionally, as required under 49 CFR §674.39(a)(2), CoPUC provides the following evidence that each of its employees has completed the requirements of the Public Transportation Safety Certification and Training Program, or is in progress of completing the program and the anticipated completion date of training. Dr. Pamela Fischhaber was provided her Certificate of Completion showing successful completion of the Public Transportation Safety Certification Training Program for State Safety Oversight Agencies showing completion on October 24, 2018. Ms. Cindy Terry, Ms. Jessica Sava, and Ms. Julie Whalen have completed 5 of 7 of the required TSI classes. All three will be completing the final two classes before the recently extended training completion date of August 20, 2022 based on availability of classes at transit agencies or virtually online. Jessica, Cindy, and Julie have completed RTD Operator Training, MOW Orientation, Signal and Traction Power Training and RTD Vehicle Maintenance Training as part of the technical training program. They were scheduled to complete the last remaining technical training item, RTD Track Training by September 2020. However, due to the COVID-19 crisis, the current rules and restrictions have prohibited them from starting this training. They will complete this training before the recently extended training completion date of August 20, 2022.

This letter serves as certification that CoPUC is in compliance with the requirements of 49 CFR §674.39(a)(1-6).

If you have any questions regarding the information being submitted or need additional information or documentation, please contact Dr. Pam Fischhaber at 303-894-2529.

Sincerely,

Doug Dean
Director
Colorado Public Utilities Commission

Cc: Ms. Cindy Terwilliger, Regional Administrator, FTA Region 8, Denver, CO
        Mr. John Lynch, Regional Counsel, FRA Region 8, Denver, CO
        Ms. Tiffany Gallegos, Director Office of Ops. and Program Mgt., FTA Region 8, Denver, CO

Ms. Stephanie Minter, General Engineer, FTA Region 8, Denver, CO
Ms. Debra Johnson, RTD
Mr. Mike Meader, RTD
Mr. Dan McClain, RTD
Mr. Richard Lobato, RTD
Mr. Mathew Cross, RTD
Mr. Skylar Mott, RTD
Mr. Jose Alverado, RTD
Mr. Nathan Marx, RTD
Mr. Dave Jensen, RTD
File

U.S. Department of Transportation
Federal Transit Administration
Office of Safety and Security

Annual Reporting Template
2020

This is an export of the State Safety and Oversight Reporting (SSOR) system report on State Safety Oversight (SSO) Program information.

Each reporting section is located on a different worksheet within this file. Click the tabs below to navigate through the template.

Status:	New	Reporting deadline: 3/15/2021

Please do not cut and paste cells in this workbook

State Oversight and RFGPTS General Information

State Oversight Agency

Agency Name	Street Address	City	State	Zip code	Phone Number
Colorado Public Utilities Commission	1560 Broadway, Suite 250	Denver	CO	80202	303-894-2000

Rail Fixed Guideway Public Transportation System(s)

Denver Regional Transit District	1660 Blake Street	Denver	CO	80202	303-299-4038

Systems in Engineering

Project Name	This is the name of the new modal system. For example: "DC Streetcar."
Mode	Mode of the system in engineering.
NEPA Decision Date	If this project **has** completed the activities required under the National Environmental Policy Act of 1969, Date of the NEPA decision.
Criteria for Determination	If this project **has not** completed the activities required under the National Environmental Policy Act of 1969, Criteria used for establishing engineering status.
Projected Revenue Operations Date	Projected revenue operations start date for the new system.

Rail Fixed Guideway Public Transportation System(s)	Project Name	Mode	NEPA Decision Date (if NEPA approved)	Criteria for Determination (if not NEPA approved)	Projected Revenue Operations Date

State Oversight Agency Contact Information

SSOA Primary   This is the SSO Program Manager or the primary contact for all SSO-related correspondence.
SSOA Alternate   This is the individual(s) responsible for correspondence and SSO-related activities in the absence of the SSO Program Manager.
First Year in SSO Program This is the calendar year a contact began working in the SSO program.

Contact Type	Sal.	First Name	Last Name	Title	Office Phone	Ext.	Cell Phone	Fax	Email	First Year in SSO Program
SSOA Alternate	Ms.	Jessica	Sava	SSO Program Safety Speci	303-894-2877				jessica.sava@state.co.us	2017
SSOA Alternate	Ms.	Cindy	Terry	SSO Program Engineer	303-894-2849				cindy.terry@state.co.us	2017
SSOA Alternate	Ms.	Julie	Whalen	SSO Program Safety Speci	303-894-2863				julie.whalen@state.co.us	2017
SSOA Primary	Dr.	Pamela	Fischhaber	Deputy Director Public Safe	303-894-2529				pamela.fischhaber@state.co.us	2005

Rail Fixed Guideway Public Transportation System Contact Information

RFGPTS	Contact Type	Sal.	First Name	Last Name	Title	Address	Phone	Ext.	Fax	Email
Denver Regional Tra	CEO	Mr.	David	Genova	General Manager/CEO	1600 Blake Street, Denver, CO 80202				david.genova@rtd-denver.com
Denver Regional Tra	CEO	Ms.	Debra	Johnson	General Manager/CEO	1600 Blake Street, Denver, CO 80202	(PRIMARY) 303-299-6000			debra.johnson@rtd-denver.com
Denver Regional Tra	Safety Alternate	Mr.	Dan	McClain	Senior Manager, Safety	1600 Blake Street, Denver, CO 80202	(PRIMARY) 303-299-3323			dan.mcclain@rtd-denver.com
Denver Regional Tra	Safety Primary	Mr.	Mike	Meader	AGM Safety, Security &	1600 Blake Street, Denver, CO 80202	(PRIMARY) 303-299-4038			mike.meader@rtd-denver.com
Denver Regional Tra	Security Alternate	Mr.	Robert	Grado	Chief of Police	1600 Blake Street, Denver, CO 80202	(PRIMARY) 303-299-3491			robert.grado@rtd-denver.com
Denver Regional Tra	Security Primary	Mr.	Mike	Meader	AGM Safety, Security &	1600 Blake Street, Denver, CO 80202	(PRIMARY) 303-299-4038			mike.meader@rtd-denver.com

State Oversight Agency Program Management

Hours Devoted to the SSO Program:	Hours worked on the program by the State Oversight Agency (SOA) Program Manager and any other SOA employees. The total hours will allow FTA to calculate the number of full-time equivalents assigned to the program. Note: For employees dedicated full-time to the SSO program, report 2,000 hours. 1 Full-Time Equivalent (FTE) = 2,000 hours."	Use of Contractors	List of SSO tasks performed by contractors. For each task (three-year review, incident investigations, etc.) the contracted hours and the associated cost. For tasks not identified in the list, see description.

Hours Devoted to the SSO Program

SOA Employee Name	Title	Hours Worked	Has this staff member's annual hours devoted to the SSO program increased or decreased since last year?
Pamela Fischhaber	Deputy Director Public Safety/ (	567	Increased
Julie Whalen	SSO Program Safety Specialist	2080	Same
Jessica Sava	SSO Program Safety Specialist	2080	Same
Cindy Terry	SSO Program Engineer	2080	Same

Use and payment of Contractors in

Contracted Duties	Contractor Hours	Contractor Costs	Has your budget for this contractor increased or decreased since last year?

State Oversight Agency Program Management Activities

SOA Authority

Rail Fixed Guideway System	Does your State Oversight Agency have the authority to…						Has your agency secured any new authority since last year?	
	...conduct unannounced inspections?	...establish higher standards?	...conduct inspections?	...issue emergency orders?	...fine an RFGPTS?	...shutdown service?	Yes/No	Description (if Yes)
Denver Regional Transit District	Yes	Yes	Yes	Yes	No	Yes	No	

Internal SOA Coordination

Please identify how often the SOA Program Manager briefed his or her immediate supervisor regarding SSO program activities this year.	Frequency	Please describe how often the SOA Program Manager briefed Executive Leadership within the SSO agency in this year.	Frequency
	52		52

Coordination with the RFGPTSs

Rail Fixed Guideway Public Transportation System	How many meetings did SOA personnel attended on-site each rail transit agency this year?	How many other field visits did SOA personnel make to each RFGPTS this year? This includes observation of work practices, verification of CAP implementation, field assessment for hazard management program, etc.	How many times did the SOA Program Manager meet with Executive Leadership at each rail transit agency this year?
Denver Regional Transit District	68	60	2

SOA Authority
Agency's existing authority over each overseen RFGPTS. Also, please identify if your agency
has gained any additional authority from previous reporting year.

Internal SOA Coordination
How often the SSO Program Manager briefed his or her supervisor regarding the SSO Program in CY 2019. How often the SSO Program Manager briefed Executive
Management within the SSO Agency in CY 2019.

Coordination with RFGPTSs
For each overseen RFGPTS, 1) the number of on-site meetings SOA staff attended at the RFGPTS, 2) the number of other field visits made by SOA staff,
and 3) the number of meetings between SOA staff and RFGPTS Executive Leadership in CY 2019.

Program Documentation

Agency	Document	Version Date	Submitted to FTA?
Colorado Public Utilities Commis	Annual Safety Status Report to Board of Directors or Equivalent Entit	10/30/2020	Yes
Colorado Public Utilities Commis	Annual Safety Status Report to FTA	10/30/2020	Yes
Colorado Public Utilities Commis	Annual Safety Status to Governor	10/30/2020	Yes
Colorado Public Utilities Commis	Certificate of Compliance	10/30/2020	Yes
Colorado Public Utilities Commis	Financial Plan	10/30/2020	Yes
Colorado Public Utilities Commis	Organizational Chart	10/30/2020	Yes
Colorado Public Utilities Commis	Program Standard	10/30/2020	Yes
Colorado Public Utilities Commis	Technical Training Plan	4/3/2020	Yes
Denver Regional Transit District	Public Transportation Agency Safety Plan (PTASP)	10/30/2020	Yes
Denver Regional Transit District	Public Transportation Agency Safety Plan (PTASP) Approval Letter	10/30/2020	Yes

Federal Railroad Administration Waivers

FRA waiver(s) in place?	For each RFGPTS, indicates whether or not there is an FRA waiver in place for shared track or shared corridor arrangements by having value as "yes" or "no" .	
Has the SOA participated in an FRA inspection or review at this RFGPTS?	Whether or not the SOA has participated in an FRA review or inspection at this RFGPTS.	

Rail Fixed Guideway System	FRA waiver(s) in place?	Waiver Docket No. (if FRA waiver)	Expiration Date	Has the SOA participated in an FRA	
				Y/N (if FRA waiver)	Date (if <- Yes)
Denver Regional Transit District	No			No	

Three-Year Safety and Security Reviews

Date of Last Three-Year Review	Requires SOAs to conduct an onsite review of the RFGPTS's implementation of its SSPP and Security Plan at least every three years. Date of the last Three-Year review of each RFGPTS overseen.
Length of Review (days)	Number of days used to conduct the review.
Contractor Used?	Whether or not contractor services were procured to conduct the review.
Report Date	Requires the SOA to prepare a report documenting findings and recommendations from the review. It has the date of the report.
Date of Next Review	Date of the next SOA on-site review.

Rail Fixed Guideway Public Transportation System	Three Year Review Type	3-Year Internal Tracking ID	Date of Last Three-Year Review	Length of Review (days)	Contractor Used?	Report Date	Date of Next Review	Issues Found?	Count of Findings
Denver Regional Transit District	Combined Safety	616	4/17/2017	1030	No	3/6/2020	4/1/2020	Yes	8
Denver Regional Transit District	Safety	579	9/15/2019	116	No	2/11/2020	4/1/2020	No	0
Denver Regional Transit District	Safety	Spring 2020 Semia	7/7/2020	97	No	1/19/2021	11/17/2020	Yes	11
Denver Regional Transit District	Safety	Fall 2020 Semiann	11/17/2020	52	No	3/8/2021	4/5/2021	Yes	10

Event Investigation and Reporting

Rail Fixed Guideway Public Transportation System	SSO Internal Tracking No. (must be unique)	Date	Time (hh:mm AM/PM)	Mode	Event Type	Collision With (only if Collision)	Event Location	Received Notification Within 2 Hours? (§674.33(a))	Reason SSOA did not Receive Two Hour Notification	Fatalities (if none, report 0)					Injuries (if none, report 0)					Investigation Conducted By (§674.35(a))	Investigation Report Adopted by SSOA? (§674.35(b))	Reason Investigation was not Reviewed & Adopted	Probable Cause (§674.35(d))	Investigation Report Issued By (§674.35(b))	Did this Event require a Tow-Away	Description and Comments or Additional Info	Corrective Action Plan Developed?
										Passenger	Patron	Public	Worker	Total	Passenger	Patron	Public	Worker	Total								
Denver Regional Transit District	A1-02082020	02/08/2020	10:43 AM	Light Rail	Derailment		Right-of-way: track way	Yes		0	0	0	0	0	0	0	0	0	0	RTD	Yes		Equipment Failure	RTA	No	LRV #350 being moved by vehicle mechanic derailed over switch.	Yes
Denver Regional Transit District	A1-03012020	03/01/2020	05:40 PM	Light Rail	RGX Collision	Non Transit Motor Vehicle (RGV)	Right-of-way: grade crossing	Yes		0	0	0	0	0	1	0	0	0	1	RTD	Yes		Action of Motorist	RTA	Yes	Train #6/LRV #266 was struck by vehicle #2; driver of vehicle #2 cited by Denver Police Department for running red light/prohibited turn on red.	Yes
Denver Regional Transit District	A1-03262020	03/26/2020	11:15 AM	Light Rail	Derailment		Right-of-way: track way	No	Unforeseen circumstances resulting	0	0	0	0	0	0	0	0	0	0	RTD	Yes		Equipment Failure	RTA	No	Train #9/LRV #705 derailed at switch 318; on inspection of the switch, debris was found (a metal bolt) that prevented the switch from operating correctly. All three	Yes
Denver Regional Transit District	A1-03272020	03/27/2020	03:25 PM	Light Rail	EVT_OTHER		Revenue facility: platform / stop / waiting area	Yes		0	1	0	0	1	0	0	0	0	0	RTA	Yes		Death by natural causes	RTA	No	Light Rail patron approached train that was stopped in station (to board passengers); patron attempted to board train without success. On video, patron appears to have a syncopal episode and falls to the station platform parallel to the train (patron laying on the tactile strip) but with head over the edge of platform. As the train departs the station, the patron sustains impacts to their head by the LRV door frames and plow structures. Emergency Responders/EMS arrive and perform CPR (chest compressions only at first); once a defibrillator is available, one counter shock is delivered, with no change in necessity for CPR. Resuscitative efforts continue for approximately 30 minutes; EMS suspends efforts and medical examiner is contacted.	
Denver Regional Transit District	A1-04012020	04/01/2020	06:55 AM	Light Rail	Collision (non-RGX)	Rail Transit	Non-revenue facility	Yes		0	0	0	0	0	0	0	0	0	0	Staff of the	Yes		Operating Rule	SSOA	No	LRV #307 operated by S/C attempted to pass LRV's #312/121 that were operated by yard certified operator students; LRV 122 was beyond the foul marker. S/C	Yes
Denver Regional Transit District	A1-04042020	04/04/2020	06:13 PM	Light Rail	RGX Collision	Non Transit Motor Vehicle (RGV)	Right-of-way: grade crossing	Yes		0	0	0	0	0	0	0	0	0	0	RTD	Yes		Action of Motorist	RTA	Yes	Train #8 struck vehicle #2 when driver of vehicle #2 failed to yield right of way to train. Denver Police Department on scene but did not issue citations as the City and County of Denver are on accident alert due to COVID-19.	Yes
Denver Regional Transit District	A1-05102020	05/10/2020	06:11 PM	Light Rail	RGX Collision	Non Transit Motor Vehicle (RGV)	Right-of-way: grade crossing	Yes		0	0	0	0	0	1	0	0	0	1	RTD	Yes		Action of Motorist	RTA	Yes	Driver of vehicle #2 turned in front of Train #22/LRT #133; driver of vehicle #2 cited by Aurora Police Department for careless driving. Driver of vehicle #2	Yes
Denver Regional Transit District	A1-05262020	05/26/2020	02:15 PM	Light Rail	RGX Collision	Non Transit Motor Vehicle (RGV)	Right-of-way: grade crossing	Yes		0	0	0	0	0	0	0	0	0	0	RTD	Yes		Action of Motorist	RTA	Yes	Train #7/LRV #269 was struck by vehicle #2; vehicle #2 took right of way/failed to yield right of way to train. Denver Police Department cited driver of vehicle #2.	Yes
Denver Regional Transit District	A1-10262020	10/26/2020	01:25 AM	Light Rail	Derailment		Right-of-way: track way	No	Weather issues at the accident site;	0	0	0	0	0	0	0	0	0	0	RTD	Yes		Weather	RTA	No	Train #80/LRV #312 was operating into the Mariposa North Lead from the mainline; at switch #3, the lead truck set derailed over/off of rail system. Train traveled	Yes
Denver Regional Transit District	A1-11132020	11/13/2020	08:18 PM	Light Rail	RGX Collision	Non Transit Motor Vehicle (RGV)	Right-of-way: grade crossing	Yes		0	0	0	0	0	0	0	0	0	0	RTD	Yes		Action of Motorist	RTA	Yes	Train #8/LRV #113 was struck by vehicle #2; driver of vehicle #2 failed to yield right of way to train. Driver #2 went wrong way on one-way street.	Yes
Denver Regional Transit District	A1-12072020	12/07/2020	12:21 AM	Light Rail	Collision (non-RGX)	Movable	Non-revenue facility	No	The accident was not reported to the	0	0	0	0	0	0	0	0	0	0	RTD	Yes		Operating Rule	RTA	No	LRV 227 pantograph contacted the overhead door of the washbay; the overhead door and pantograph were both damaged.	Yes
Denver Regional Transit District	A1-12202020	12/29/2020	03:21 PM	Light Rail	RGX Collision	Non Transit Motor Vehicle (RGV)	Right-of-way: grade crossing	Yes		0	0	0	0	0	0	0	0	0	0	RTD	Yes		Action of Motorist	RTA	Yes	Train #57/LRV #269 struck by vehicle #2; driver of vehicle #2 attempted to turn in front of train against traffic signal. Denver Police cited driver #2.	Yes

Corrective Action Plans (CAP)

Rail Fixed Guideway Public Transportation System	Source Type	Source ID	CAP Internal Tracking ID	Plan Available?	CAP Status	Identified Action	SOA Approved?	Proposed Implementation Date	Actual Implementation Date	Individual Responsible for Implementation	Department Responsible for Implementation	Implementation Verified?	Issues Preventing Resolution
Denver Regional Transit District	Event	2866169	19I-0347R - CAP-01	Yes	Closed - Overdue	Evaluate return to work policies		7/1/2019	2/10/2020	RTD CSO and AGM Safety,	RTD Safety, Security and As	Yes	
						Investigate/Assess/Implement Psychological Fitness for D		7/1/2019	12/18/2019	RTD CSO and AGM Safety,	RTD Safety, Security and As	Yes	
						Development of means and methods for evaluating and tr		7/1/2019	2/10/2020	RTD Training Manager	RTD Training	Yes	
						Review and reassessment of training materials to include		12/31/2019	6/4/2019	RTD Training Manager	RTD Training	Yes	
						Confirm current placement an add permitted speed signs		7/1/2019	2/19/2020	RTD MOW General Superint	RTD MOW	Yes	
						Publish a bulletin that is signed for by Operators regardin		7/1/2019	7/1/2019	RTD Transportation LRT Ma	RTD Transportation	Yes	
						Implement a Field Supervisor campaign focused on spee		7/1/2019	4/1/2019	RTD Transportation LRT Ma	RTD Transportation	Yes	
						Analyze LRT alignment for locations where radar based s		12/31/2019	2/10/2020	RTD CSO and AGM Safety,	RTD Safety, Security and As	Yes	
						Analysis of LRV door design and LRV car design to deter		11/30/2019	2/14/2020	RTD Vehicle General Superi	RTD Vehicle Maintenance	Yes	
						Assess RTDs exploration of technologies and perform a t		4/30/2019	2/3/2021	RTD CSO and AGM Safety,	RTD Safety, Security and As	Yes	
						Analyze additional information on how obtaining and retai		10/30/2019	1/15/2020	RTD CSO and AGM Safety,	RTD Safety, Security and As	Yes	
Denver Regional Transit District	Event	2866167	CAP1-01152019	Yes	Closed - Overdue	RTD will update training and require all manufacturers em		10/15/2019	1/24/2020	RTD Training Manager	RTD Training	Yes	
						RTD will require shop safety training for all manufacturer		10/15/2019	1/24/2020	RTD Training Manager	RTD Training	Yes	
						MOW will be required to stay on the scene of rail vehicle		10/15/2019	1/24/2020	RTD MOW General Superint	RTD MOW	Yes	
						Transportation will report any issues with hand switches t		10/15/2019	1/24/2020	RTD Transportation LRT Ma	RTD Transportation	Yes	
Denver Regional Transit District	Event	14	CAP1-05302019	Yes	Closed - Overdue	RTD needs to clarify 2 hour reporting requirements and re		11/30/2019	1/17/2020	RTD CSO and AGM Safety,	RTD Safety, Security and As	Yes	
						SOP 103.2 accident reporting criteria does not match the		11/30/2019	2/27/2020	RTD CSO and AGM Safety,	RTD Safety, Security and As	Yes	
						RTD is not in compliance with the CPUC Program Standa		11/30/2019	1/17/2020	RTD CSO and AGM Safety,	RTD Safety, Security and As	Yes	
Denver Regional Transit District	Event	14	CAP2-05302019	Yes	Closed - Overdue	SOP 101.11 has not been updated since 2002 and needs		11/30/2019	2/27/2020	RTD CSO and AGM Safety,	RTD Safety, Security and As	Yes	
						RTD needs to review/revise its LRT System Change/Mod		11/30/2019	2/27/2020	RTD CSO and AGM Safety,	RTD Safety, Security and As	Yes	
						RTD needs to review/revise its Proposal for LRT System		11/30/2019	2/27/2020	RTD CSO and AGM Safety,	RTD Safety, Security and As	Yes	
						RTD needs to review its Document Control Process in lig		11/30/2019	2/27/2020	RTD CSO and AGM Safety,	RTD Safety, Security and As	Yes	
Denver Regional Transit District	Event	14	CAP3-05302019	Yes	Closed - Overdue	RTD is not in compliance with reviewing the Emergency R		11/30/2019	1/17/2020	RTD CSO and AGM Safety,	RTD Safety, Security and As	Yes	
Denver Regional Transit District	Event	2960137	CAP1-05212019	Yes	Closed - Overdue	Control and train operators instructed to perform on-groun		5/21/2019	1/24/2020	RTD Control	RTD Transportation	Yes	
						Control will instruct operator to exit cab to perform ground		5/21/2019	1/24/2020	RTD Control	RTD Transportation	Yes	
Denver Regional Transit District	Event	2960138	CAP1-05242019	Yes	Closed - Overdue	Replace all damaged wiring, breakers, plugs and panels		6/30/2019	1/24/2020	RTD Vehicle General Superi	RTD Vehicle Maintenance	Yes	
						A sampling of the SD160 fleet will be checked with an infr		6/30/2019	1/24/2020	RTD Vehicle General Superi	RTD Vehicle Maintenance	Yes	
Denver Regional Transit District	Event	2960167	CAP1-05262019	Yes	Closed - Overdue	LRV had the truck replaced and is having the failed truck		6/30/2019	1/24/2020	RTD Vehicle General Superi	RTD Vehicle Maintenance	Yes	
						Additional axle ground brushes and bearing assemblies a		6/30/2019	1/24/2020	RTD Vehicle General Superi	RTD Vehicle Maintenance	Yes	
						Fleet inspection shows Denver VII is creating the most ca		6/30/2019	1/24/2020	RTD Vehicle General Superi	RTD Vehicle Maintenance	Yes	
Denver Regional Transit District	Event	2960318	CAP1-05282019	Yes	Closed - Overdue	During Safety Stand-downs, review Rulebook, SOP's and		5/31/2019	1/24/2020	RTD MOW General Superint	RTD MOW	Yes	
Denver Regional Transit District	Occurred during SS	n/a	CAP1-10222019	Yes	Open	Rules and Procedures Development Committee for review		3/1/2020	3/2/2020	RTD Vehicle General Superi	RTD Vehicle Maintenance	Yes	
						Add a facilities equipment and grounds status on daily tur		3/1/2020	1/31/2020	RTD Vehicle General Superi	RTD Vehicle Maintenance	Yes	
						Facilities management will program new remote that has		4/30/2020		RTD Facilities Management	RTD Facilities Management	No	Waiting for new remote to be delivered and installed
						Update LRV Maintenance Controlled Documents (LRM-0		3/1/2020	2/14/2020	RTD Vehicle General Superi	RTD Vehicle Maintenance	Yes	
						Update/integrate training module for electrical safety for n		3/30/2020		RTD Vehicle General Superi	RTD Vehicle Maintenance	No	Training module will be updated once new remote has been delivered and installed.
Denver Regional Transit District	Event	n/a	CAP1-12122019	Yes	Closed	Retraining of the affected student operators; evaluation of		2/24/2020	2/24/2020	RTD Training Manager	RTD Training	Yes	
Denver Regional Transit District	Event	3164183	CAP1-02082020	Yes	Closed	Inspection/maintenance of TWC systems for yard switche		7/14/2020	2/20/2020	RTD MOW General Superint	RTD MOW	Yes	COVID-19
						LRV operator/user verification of point indication prior to r		7/14/2020	2/20/2020	RTD Training Manager	RTD Transportation	Yes	COVID-19
Denver Regional Transit District	Event	3175964	CAP1-03262020	Yes	Closed - Overdue	1) perform a fleet-wide replacement of all cone washers a		3/26/2020	1/13/2021	RTD Transportation LRT Ma	RTD Transportation	No	Verification of implementation has not been checked due to COVID-19 difficulties.
Denver Regional Transit District	Event	Spring 2020 Semiannua	CAP1-11132020	Yes	Open	1) Finalize the revision of the Record Retention Schedule		3/31/2021		RTD CSO and AGM Safety,	RTD Safety, Security and As	No	
						2) Use RTD consultants to assist in development of SMS		12/31/2021		RTD CSO and AGM Safety,	RTD Safety, Security and As	No	
Denver Regional Transit District	Event	Spring 2020 Semiannua	CAP2-11132020	Yes	Open	Amend D&A policy to include language that specifies whe		2/1/2021		RTD CSO and AGM Safety,	RTD Safety, Security and As	No	
Denver Regional Transit District	Event	Spring 2020 Semiannua	CAP3-11132020	Yes	Open - Overdue	1) Develop agency risk registry;		3/31/2021		RTD CSO and AGM Safety,	RTD Safety, Security and As	No	
						2) develop procedure for GM/CSO approval and Board a		12/21/2020		RTD CSO and AGM Safety,	RTD Safety, Security and As	No	
						3) Develop enterprise risk framework and provide risk reg		10/31/2021		RTD CSO and AGM Safety,	RTD Safety, Security and As	No	
Denver Regional Transit District	Event	Spring 2020 Semiannua	CAP4-11132020	Yes	Open - Overdue	1) Engineering to provide Safety with copies and findings		1/15/2021		RTD CSO and AGM Safety,	Rail Operations, Safety	No	CoPUC has not been able to verify implementation as of this date
Denver Regional Transit District	Monthly PUC/RTD S	n/a	CAP1-02242020	Yes	Open	1) expand and upgrade the "spares" inventory to provide		12/31/2021		RTD Rail Operation Manage	Rail Operations, Safety	No	
						2) implement new security architecture – new configuratic		6/30/2021		RTD Rail Operation Manage	Rail Operations, Safety	No	
						3) Safety department to develop an event notification pro		12/31/2021		RTD Rail Operation Manage	Rail Operations, Safety	No	
Denver Regional Transit District	Event	3368158	CAP1-04012020	Yes	Open	1) Findings 1&3 - Recurring refresher Training of all LRT		6/30/2022		RTD Rail Operation Manage	Rail Operations, Safety	No	
Denver Regional Transit District	RTD Internal Safety	n/a	CAP1-10122020	Yes	Open - Overdue	Include in next revision of SOP 103.2 in June 2021 the pr		1/31/2021		RTD Rail Operation Manage	Rail Operations, Safety	No	Covid19
						2) SOP 103.2 Updated;		6/30/2021		RTD Rail Operation Manage	Rail Operations, Safety	No	
						3) Implement event notification, reporting and investigatio		10/31/2021		RTD Rail Operation Manage	Rail Operations, Safety	No	
Denver Regional Transit District	RTD Internal Safety	n/a	CAP2-10122020	Yes	Open	Finalize process to ensure risk management plans and fo		3/1/2021		RTD Rail Operation Manage	Rail Operations, Safety	No	
						3) develop enterprise framework and present to board		10/31/2021		RTD Rail Operation Manage	Rail Operations, Safety	No	
Denver Regional Transit District	Event	Spring 2020 Semiannua	CAP5-11132020	Yes	Open - Overdue	Engineering and Safety will collaborate to procure a writte		1/15/2021		RTD MOW General Superint	RTD Engineering, Safety, &	No	COVID-19

|												
						2) Engineering and MOW will perform a Gap Analysis of	6/30/2021		RTD MOW General Superint	RTD Engineering, Safety, &	No	
						3) Document process to evaluate and schedule correctic	12/23/2021		RTD MOW General Superint	RTD Engineering, Safety, &	No	
						6) Produce a shared database to capture all bridge inspe	1/30/2022		RTD MOW General Superint	RTD Engineering, Safety, &	No	
						8) Test and Evaluate all documented procedures by Marc	3/31/2022		RTD MOW General Superint	RTD Engineering, Safety, &	No	
						Finalize and implement documented Bridge inspection an	5/31/2022		RTD MOW General Superint	RTD Engineering, Safety, &	No	
Denver Regional Transit District	Event	Spring 2020 Semiannua	CAP6-11132020	Yes	Open	1) Interim - document daily work/labor into Maximus; 2)Tr	9/15/2021		RTD MOW General Superint	RTD MOW	No	
						3) final process and procedure docuentation updates com	12/15/2021		RTD MOW General Superint	RTD MOW	No	
Denver Regional Transit District	Event	Spring 2020 Semiannua	CAP7-11132020	Yes	Open	1) Interim - document daily work/labor of all MOW employ	4/1/2021		RTD MOW General Superint	RTD MOW	No	
Denver Regional Transit District	Event	Spring 2020 Semiannua	CAP8-11132020	Yes	Open - Overdue	1) Interim: RTD will document the requirements i	1/31/2021		RTD MOW General Superint	RTD MOW	No	COVID19
						2) Final: Standard Operating Procedure (SOP) 103.2 Acc	6/30/2021		RTD MOW General Superint	RTD MOW	No	
						3)Final: RTD has implemented the Event Notification, Rep	10/31/2021		RTD MOW General Superint	RTD MOW	No	
Denver Regional Transit District	Event	Spring 2020 Semiannua	CAP9-11132020	Yes	Open	1) Continuation of SMS and OSHA recommended training	10/1/2021		Safety & Environmental, LRT	Rail Operations, Safety	No	
						3) Meet with each business unit to integrate into their exis	12/15/2021		Safety & Environmental, LRT	Rail Operations, Safety	No	
						4) Document and track agency's Safety Training matrix, c	4/15/2022		RTD Rail Operation Manage	Rail Operations, Safety	No	
Denver Regional Transit District	Event	Spring 2020 Semiannua	CAP11-11132020	Yes	Open	1) Formalize a procedure for Controller training and docu	6/30/2021		RTD Rail Operation Manage	Rail Operations, Safety	No	
Denver Regional Transit District	Event	Spring 2020 Semiannua	CAP10-11132020	Yes	Open	Update PTASP with requirements of 49 cfr 672	9/30/2021		RTD CSO and AGM Safety,	Rail Operations, Safety	No	
						Completion of required training.	12/31/2021		RTD Manager of Training	RTD Training	No	
Denver Regional Transit District	RTD Internal Safety	n/a	CAP1-12182020	Yes	Open	RTD will develop and implement processes as identified i	3/31/2022		RTD CSO and AGM Safety,	Rail Operations, Safety	No	
Denver Regional Transit District	RTD Internal Safety	n/a	CAP2-12182020	Yes	Open	Light rail MOW will develop formalized documentation des	6/30/2021		RTD MOW General Superint	RTD MOW	No	
Denver Regional Transit District	RTD Internal Safety	n/a	CAP3-12182020	Yes	Open	Develop a formalized process to establish safety perform	12/31/2021		RTD CSO and AGM Safety,	Rail Operations, Safety	No	
Denver Regional Transit District	RTD Internal Safety	n/a	CAP4-12182020	Yes	Open	Develop and establish a timeframe (based on the risk ma	12/31/2021		RTD CSO and AGM Safety,	Rail Operations, Safety	No	
Denver Regional Transit District	RTD Internal Safety	n/a	CAP5-12182020	Yes	Open	Develop and establish a plan to address issues of non-co	6/30/2022		RTD Rail Operation Manage	Rail Operations, Safety	No	
Denver Regional Transit District	RTD Internal Safety	n/a	CAP8-12182020	Yes	Open	Develop and establish formalized documentation on who	12/31/2021		RTD Rail Operation Manage	Rail Operations, Safety	No	
Denver Regional Transit District	RTD Internal Safety	n/a	CAP9-12182020	Yes	Open	Develop and establish formalized documentation on how	12/31/2021		RTD Rail Operation Manage	Rail Operations, Safety	No	
Denver Regional Transit District	RTD Internal Safety	n/a	CAP12-12182020	Yes	Open	Develop formal documentation describing how to identify	12/31/2021		RTD MOW General Superint	RTD MOW	No	
Denver Regional Transit District	RTD Internal Safety	n/a	CAP14-12182020	Yes	Open	Develop and establish an overarching Emergency Respo	6/30/2022		RTD Rail Operation Manage	Rail Operations, Safety	No	
Denver Regional Transit District	Event	3278337	CAP1-10262020	Yes	Open	The Training department will complete refresher training	9/30/2021		RTD Training Manager	RTD Training	No	
Denver Regional Transit District	Event	3348889	CAP1-12072020	Yes	Open	LRVM completed refresher training on yard operations an	5/30/2021		RTD Training Manager	RTD Training	No	

Hazard Management Process - Hazard Tracking

Rail Transit Agency	Hazard Internal Tracking ID	Hazard Reported	Identification Method	Date Identified	Mitigation Plan Available?	Mitigation	Department	Individual	Proposed Implementation Date	Actual Implementation Date
Denver Regional Transit District	RSV1-09302019	Red signal violation D. Mitchell	RTD Control center	9/30/2019	No	1st RSV - Street superviso	RTD Training	RTD Training N	11/14/2019	3/6/2020
Denver Regional Transit District	RSV1-10252019	Red signal violation R. Barows	RTD Control center	10/25/2019	No	2nd RSV - Street superviso	RTD Training	RTD Training N	12/9/2019	1/31/2020
Denver Regional Transit District	RSV1-10302019	T Signal violation C. Emerson	RTD Control center	10/30/2019	No	1st RSV - Street Superviso	RTD Training	RTD Training N	12/14/2019	3/6/2020
Denver Regional Transit District	RSV1-11112019	Red signal violation N. Feguson	RTD Control center	11/11/2019	No	2nd RSV - Street superviso	RTD Training	RTD Training N	12/26/2019	3/6/2020
Denver Regional Transit District	RSV1-11222019	Red signal violation J. Williams	RTD Control center	11/22/2019	No	1st RSV - street supervisor	RTD Training	RTD Training N	1/6/2020	3/1/2020
Denver Regional Transit District	RSV1-11232019	Red signal violation C. Ndayikengurukiye	RTD Control center	11/23/2019	No	Probationary 1st RSV - stre	RTD Training	RTD Training N	1/7/2020	3/4/2020
Denver Regional Transit District	RSV1-11292019	Red signal violation H. Hirpe	RTD Control Center	11/29/2019	No	Probationary 1st RSV - stre	RTD Training	RTD Training N	1/13/2020	1/9/2020
Denver Regional Transit District	RSV1-11302019	Red signal violation J. Bolden IV	RTD Control center	11/30/2019	No	1st RSV - street supervisor	RTD Training	RTD Training N	1/14/2020	1/9/2020
Denver Regional Transit District	RSV1-12122019	Red signal violation C. Emerson	RTD Control center	12/12/2019	No	1at RSV - street supervisor	RTD Training	RTD Training N	1/26/2020	3/6/2020
Denver Regional Transit District	RSV2-09012019	Red Signal Violation T. Dorovskikh	RTD Control center	9/1/2019	No	1st RSV - Street supervisor	RTD Training	RTD Training N	10/16/2019	3/6/2020
Denver Regional Transit District	RSV1-01032020	Red Signal Violation E. Aguilar	RTD Control Center	1/3/2020	No	1 RSV - Street Supervisor (	RTD Training	RTD Manager	2/17/2020	5/20/2020
Denver Regional Transit District	RSV1-01142020	Red Signal Violation - M. Tomaschoff	RTD Control Center	1/14/2020	No	1 RSV - Street Supervisor (	RTD Training	RTD Training N	2/28/2020	2/4/2020
Denver Regional Transit District	RSV1-01182020	Red Signal Violation - H. Dusseljee	RTD Control Center	1/18/2020	No	2nd RSV - Street Supervis	RTD Training	RTD Training N	3/3/2020	1/23/2020
Denver Regional Transit District	RSV1-01212020	Red Signal Violation G. Betterly	RTD Control Center	1/21/2020	No	1 RSV - Street Supervisor (	RTD Training	RTD Training N	3/6/2020	4/13/2020
Denver Regional Transit District	RSV1-01232020	Red Signal Violation - D Mitchell Employee	RTD Control Center	1/23/2020	No	1 RSV - Street Supervisor (	RTD Training	RTD Manager	3/8/2020	4/7/2020
Denver Regional Transit District	RSV1-01312020	Red Signal Violation - H. Boyd	RTD Control Center	1/31/2020	No	1 RSV - Street Supervisor (	RTD Training	RTD Manager	3/16/2020	4/9/2020
Denver Regional Transit District	RSV1-02072020	Red Signal Violation - S. Kent	RTD Control Center	2/7/2020	No	1 RSV - Street Supervisor (	RTD Training	RTD Training N	3/23/2020	4/8/2020
Denver Regional Transit District	RSV1-02082020	Red Signal Violation - J. Bowman	RTD Control Center	2/8/2020	No	1 RSV - Street Supervisor (	RTD Training	RTD Training N	3/24/2020	3/8/2020
Denver Regional Transit District	RSV1-02152020	Red Signal Violation - J. Carlson	RTD Control Center	2/15/2020	No	1 RSV - Street Supervisor (	RTD Training	RTD Training N	3/31/2020	4/14/2020
Denver Regional Transit District	RSV1-02252020	Red Signal Violation - P. Smith (Student)	RTD Control Center	2/25/2020	No	Probationary 1 RSV - Stre	RTD Training	RTD Manager	4/10/2020	3/5/2020
Denver Regional Transit District	RSV1-02262020	Red Signal Violation - J. Williams	RTD Control Center	2/26/2020	No	2nd RSV - Street Supervisc	RTD Training	RTD Training N	4/11/2020	4/7/2020
Denver Regional Transit District	RSV1-02272020	Red Signal Violation - J Gulliksen	RTD Control Center	2/27/2020	No	1 RSV - Street Supervisor (	RTD Training	RTD Training N	4/12/2020	
Denver Regional Transit District	RSV1-03062020	Red Signal Violation - N. Garcia	RTD Control Center	3/6/2020	No	Probationary 1 RSV - Stre	RTD Training	RTD Manager	4/20/2020	5/21/2020
Denver Regional Transit District	RSV1-03102020	Red Signal Violation - J. Brown	RTD Control Center	3/10/2020	No	Probationary 1 RSV - Stre	RTD Training	RTD Training N	4/24/2020	4/13/2020
Denver Regional Transit District	RSV1-03162020	Red Signal Violation - C. Avantis	RTD Control Center	3/16/2020	No	Probationary 1 RSV - Stre	RTD Training	RTD Manager	4/30/2020	5/22/2020
Denver Regional Transit District	RSV1-03202020	Red Signal Violation - M. Dearman	RTD Control Center	3/20/2020	No	1 RSV - Street Supervisor (	RTD Training	RTD Manager	5/4/2020	5/22/2020
Denver Regional Transit District	RSV1-03242020	Red Signal Violation - D. Gaston	RTD Control Center	3/24/2020	No	Probationary 1 RSV - Stre	RTD Training	RTD Manager	5/8/2020	4/13/2020
Denver Regional Transit District	RSV2-01032020	Red Signal Violation - K. Carey	RTD Control Center	1/3/2020	No	2nd RSV -Street Supervisc	RTD Training	RTD Manager	2/17/2020	8/3/2020
Denver Regional Transit District	RSV2-01212020	Red Signal Violation - D. Paiz	RTD Control Center	1/21/2020	No	1 RSV - Street Supervisor (	RTD Training	RTD Training N	3/6/2020	1/27/2020
Denver Regional Transit District	RSV2-03102020	Red Signal Violation - R. Rankin	RTD Control Center	3/10/2020	No	1 RSV - Street Supervisor (	RTD Training	RTD Training N	4/24/2020	4/9/2020
Denver Regional Transit District	RSV2-03202020	Red Signal Violation - M Archer	RTD Control Center-	3/20/2020	No	Probationary 1 RSV - Stre	RTD Training	RTD Manager	5/4/2020	5/22/2020
Denver Regional Transit District	RSV1-04032020	Red signal violation C. Aragon	RTD Control Center	4/3/2020	No	Probationary 1st RSV- Stre	RTD Training	RTD Training N	5/18/2020	4/21/2020
Denver Regional Transit District	RSV1-04102020	Red signal violation S. Smith	RTD Control Center	4/10/2020	No	Probationary 1st RSV- Stre	RTD Training	RTD Training N	5/25/2020	5/21/2020
Denver Regional Transit District	RSV1-04132020	Red signal violation F. Goshu	RTD Control Center	4/13/2020	No	Probationary 1st RSV -Stre	RTD Training	RTD Training N	5/28/2020	5/21/2020
Denver Regional Transit District	RSV1-04192020	Red board violation D. Kim	RTD Control Center	4/19/2020	No	Probationary 1st RSV- Stre	RTD Training	RTD Training N	6/3/2020	7/24/2020
Denver Regional Transit District	RSV1-04292020	Red signal violation J. Brown	RTD Control Center	4/29/2020	No	Probationary 2nd RSV- Stre	RTD Training	RTD Training N	6/13/2020	5/4/2020
Denver Regional Transit District	RSV1-05032020	Red signal violation B. Avery	RTD Control Center	5/3/2020	No	Probationary 1st RSV - Stre	RTD Training	RTD Training N	6/17/2020	7/14/2020
Denver Regional Transit District	RSV1-05152020	Red signal violation D. Baca	RTD Control Center	5/15/2020	No	Probationary 1st RSV - Stre	RTD Training	RTD Manager	6/29/2020	7/24/2020
Denver Regional Transit District	RSV2-05152020	Red Signal Violation K. Gerencser	RTD Control Center	5/15/2020	No	Probationary 1st RSV - Stre	RTD Training	RTD Training N	6/29/2020	5/28/2020
Denver Regional Transit District	RSV1-10132020	Red Signal Violation - K. Mason	RTD Control Center	10/13/2020	No	1st RSV - Street supervisor	RTD Training	RTD Training N	11/27/2020	11/3/2020
Denver Regional Transit District	RSV1-10172020	Red Signal Violation - R. Barows	RTD Control Center	10/17/2020	No	2nd RSV - Street Supervisc	RTD Training	RTD Training N	12/1/2020	11/3/2020
Denver Regional Transit District	RSV1-10182020	Red Signal Violation - R. Draves	RTD Control Center	10/18/2020	No	Probationary 1st RSV - Stre	RTD Training	RTD Training N	12/2/2020	11/3/2020
Denver Regional Transit District	RSV1-10212020	Red Signal Violation - R. Burtner	RTD Control Center	10/21/2020	No					
Denver Regional Transit District	RSV1-10282020	Red Signal Violation - G. Anderson	RTD Control Center	10/28/2020	No	Probationary 1st RSV - Stre	RTD Training	RTD Training N	12/12/2020	11/19/2020
Denver Regional Transit District	RSV1-11082020	T Signal Violation - G. Betterly	RTD Control Center	11/8/2020	No	3rd RSV - Street Supervisc	RTD Training	RTD Training N	12/23/2020	11/18/2020
Denver Regional Transit District	RSV1-11132020	Red Signal Violation - C. Lewis	RTD Control Center☐	11/13/2020	No	1st RSV - Street Superviso	RTD Training	RTD Training N	12/28/2020	11/19/2020
Denver Regional Transit District	RSV1-11222020	T Signal Violation - C. Sayles	RTD Control Center	11/22/2020	No					
Denver Regional Transit District	RSV1-12012020	Red Signal Violation - E. Michaels	RTD Control center	12/1/2020	No	Probationary 1st RSV - Stre	RTD Training	RTD Training N	1/15/2021	12/17/2020
Denver Regional Transit District	RSV1-12112020	Red Signal Violation - J. Hammersmark	RTD Control Center	12/11/2020	No					
Denver Regional Transit District	RSV1-12142020	Red Signal Violation - K. Carey	RTD Control Center	12/14/2020	No	2nd RSV - Street Supervisc	RTD Training	RTD Training N	1/28/2021	1/6/2021
Denver Regional Transit District	RSV1-12192020	Red Signal Violation - M. Tubis	RTD Control Center	12/19/2020	No					
Denver Regional Transit District	RSV1-12232020	Red Signal Violation - D. Montoya	RTD Control Center	12/23/2020	No					

Denver Regional Transit District	RSV1-12262020	Red Signal Violation - C. Avants	RTD Control Center	12/26/2020	No					
Denver Regional Transit District	RSV1-12312020	Red Signal Violation - M. Driscoll-Tillman	RTD Control Center	12/31/2020	No					
Denver Regional Transit District	RSV1-06222020	Red signal violation S. Deangelis	RTD Control Center	6/22/2020	No	1st RSV-Street Supervisor	RTD Training	RTD Training N	8/6/2020	9/28/2020
Denver Regional Transit District	RSV1-06022020	Red Signal Violation- D. Hawkins	RTD Control Center	6/2/2020	No					
Denver Regional Transit District	RSV1-07062020	Red Signal Violation- R. Jesse	RTD Control Center	7/6/2020	No	Probationary 1st RSV- Stre	RTD Training	RTD Training N	8/20/2020	7/24/2020
Denver Regional Transit District	RSV1-07072020	Red Signal Violation- R. Burtner	RTD Control Center	7/7/2020	No	Probationary 1st RSV - Stre	RTD Training	RTD Training N	8/21/2020	7/24/2020
Denver Regional Transit District	RSV1-07092020	Red Signal Violation- M. Sims	RTD Control Center	7/9/2020	No	Probationary 1st RSV- Stre	RTD Training	RTD Training N	8/23/2020	7/23/2020
Denver Regional Transit District	RSV1-07112020	Red Signal Violation- R. Heath	RTD Control Center	7/11/2020	No	Student 1st RSV- Street Su	RTD Training	RTD Training N	8/25/2020	7/21/2020
Denver Regional Transit District	RSV2-07112020	Red Signal Violation- M. Hayman	RTD Control Center	7/11/2020	No	Probationary 1st RSV- Stre	RTD Training	RTD Training N	8/25/2020	7/28/2020
Denver Regional Transit District	RSV1-07162020	Red Signal Violation- M. Sims	RTD Control Center	7/16/2020	No	Probationary 2nd RSV- Stre	RTD Training	RTD Training N	8/30/2020	7/23/2020
Denver Regional Transit District	RSV1-07242020	Red Signal Violation- D. Mills	RTD Control Center	7/24/2020	No	1st RSV- Street Supervisor	RTD Training	RTD Training N	9/7/2020	12/3/2020
Denver Regional Transit District	RSV1-08312020	Red Signal Violation- D. Harlan	RTD Control Center	8/31/2020	No	Probationary 1st RSV- Stre	RTD Training	RTD Training N	10/15/2020	9/28/2020
Denver Regional Transit District	RSV1-09082020	Red Signal Violation- G. Betterley	RTD Control Center	9/8/2020	No	2nd RSV- Street Superviso	RTD Training	RTD Training N	10/23/2020	9/28/2020
Denver Regional Transit District	RSV1-09262020	Red Signal Violation- S. Sesack	RTD Control Center	9/26/2020	No	1st RSV- Street Supervisor	RTD Training	RTD Training N	11/10/2020	11/3/2020
Denver Regional Transit District	RSV1-09302020	Red Signal Violation- S. Ryals	RTD Control Center	9/30/2020	No	Probationary 1st RSV- Stre	RTD Training	RTD Training N	11/14/2020	11/4/2020

PUBLIC UTILITIES COMMISSION
ORGANIZATIONAL CHART

Effective January 25, 2020

Doug Dean
Director

Mishael Hayes
Executive Support
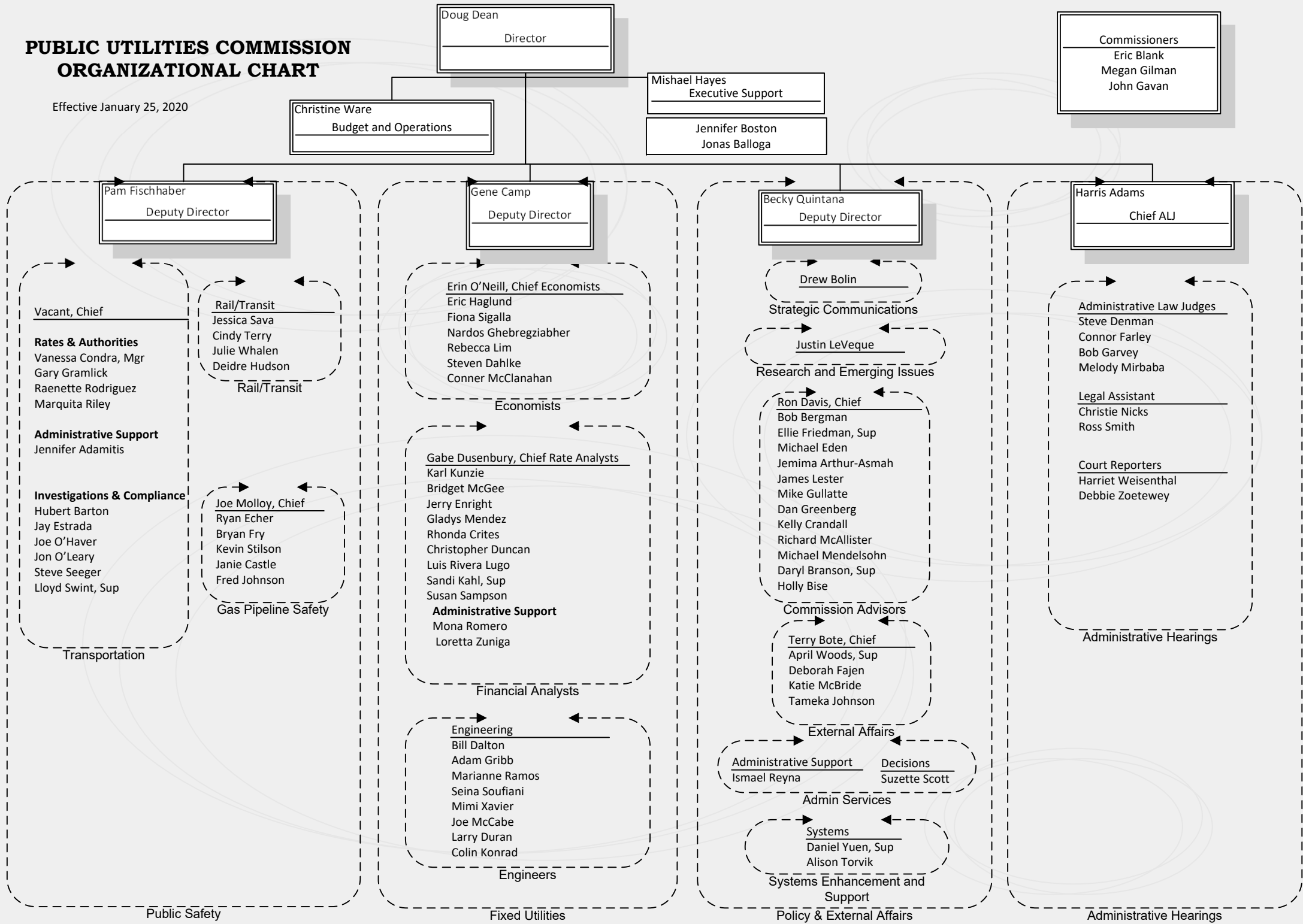
Jennifer Boston
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John Gavan

Christine Ware
Budget and Operations

Pam Fischhaber
Deputy Director

Gene Camp
Deputy Director

Becky Quintana
Deputy Director

Harris Adams
Chief ALJ

Vacant, Chief

Rates & Authorities
Vanessa Condra, Mgr
Gary Gramlick
Raenette Rodriguez
Marquita Riley

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Investigations & Compliance
Hubert Barton
Jay Estrada
Joe O'Haver
Jon O'Leary
Steve Seeger
Lloyd Swint, Sup

Rail/Transit
Jessica Sava
Cindy Terry
Julie Whalen
Deidre Hudson

Rail/Transit

Joe Molloy, Chief
Ryan Echer
Bryan Fry
Kevin Stilson
Janie Castle
Fred Johnson

Gas Pipeline Safety

Transportation

Public Safety

Erin O'Neill, Chief Economists
Eric Haglund
Fiona Sigalla
Nardos Ghebregziabher
Rebecca Lim
Steven Dahlke
Conner McClanahan

Economists

Gabe Dusenbury, Chief Rate Analysts
Karl Kunzie
Bridget McGee
Jerry Enright
Gladys Mendez
Rhonda Crites
Christopher Duncan
Luis Rivera Lugo
Sandi Kahl, Sup
Susan Sampson
Administrative Support
Mona Romero
Loretta Zuniga

Financial Analysts

Engineering
Bill Dalton
Adam Gribb
Marianne Ramos
Seina Soufiani
Mimi Xavier
Joe McCabe
Larry Duran
Colin Konrad

Engineers

Fixed Utilities

Drew Bolin

Strategic Communications

Justin LeVeque

Research and Emerging Issues

Ron Davis, Chief
Bob Bergman
Ellie Friedman, Sup
Michael Eden
Jemima Arthur-Asmah
James Lester
Mike Gullatte
Dan Greenberg
Kelly Crandall
Richard McAllister
Michael Mendelsohn
Daryl Branson, Sup
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Alison Torvik

Systems Enhancement and
Support

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Bob Garvey
Melody Mirbaba

Legal Assistant
Christie Nicks
Ross Smith

Court Reporters
Harriet Weisenthal
Debbie Zoetewey

Administrative Hearings

Administrative Hearings

CoPUC Financial Plan - CO FY 22 (July 2021-June 2022)

2017 Grant

Initial Grant Application including Federal FY15, FY16, and partial FY17 apportionments

Award Date - April 26, 2017 - Executed May 1, 2017

	Obligation	Disbursement	Deboligated
FY 15	$ 597,967.00	$ 597,967.00	$ -
FY 16	$ 610,355.00	$ 74,812.00	$ 535,543.00
Part FY 17	$ 337,297.00	$ -	$ 337,297.00
Fed Total	$ 1,545,619.00	$ 672,779.00	$ 872,840.00
State Match	$ 386,405.00		
Total	$ 1,932,024.00		

Initial CoPUC 3-Year budget

	Fed Total	Actual Spent
CO FY 18	$ 553,872.48	$ 208,184.00
CO FY 19	$ 548,592.48	$ 341,290.00
CO Partial FY 20	$ 443,154.11	$ 123,305.00
Totals	$ 1,545,619.07	$ 672,779.00

Initial 3-year budget estimated from CoPUC workload analysis

Started Grant Draw-down - September 2017
Last Draw-down - October 2019
Total Draw-down - 2yr 1mo

Total Disbursements	$ 672,779.00
Deobligated	$ 872,840.00

The initial CoPUC budget estimated hours based on an initial workload assessment. The initial budget also planned for two vehicles with lease, fuel, and parking expenses. This expense did not actually start until 2020 due to issues with ordering the vehicles through State Fleet. We also did not use all of the training, conferences, and travel because of the amount of time spent in technical training during the first three years of the grant. Last, our new employees did not start until the end of September and October of 2018, so the personal services and personal services operating expenses were overestimated for the first year.

2019 Grant

2nd Grant Application including partial FY 17, FY 18 (2019 Grant)

Award Date and Executed Date - December 10, 2018

	Obligation	Actual spent to date
Part FY 17	$ 262,374.00	$ 262,374.00
FY 18	$ 559,812.00	$ 281,559.00
Fed Total	$ 822,186.00	$ 543,933.00
		Remaining $ 278,253.00
State Match	$ 205,547.00	
Total	$ 1,027,733.00	

CoPUC 1.5-Year budget

	Fed Total	Actual Spent to date	
CO Partial FY 20	$ 241,819.12	$ 244,120.00	
CO FY 21	$ 580,366.81	$ 299,813.00	
Totals	$ 822,185.93	$ 543,933.00	$ 278,252.93
		Remaining	$ 278,253.00

Budget estimated from CoPUC workload analysis

      Started Grant Draw-down - October 2019

      Last Draw-down - In progress

      Total Draw-down - Ongoing

Total Disbursements to date per TrAMS 3/9/2021

Part FY 17	$ 262,374.00
FY 18	$ 281,559.00
Total to date	$ 543,933.00
Remaining FY 18	$ 278,253.00 through September 30, 2021

The CoPUC budget estimated hours based on an initial workload assessment. The budget also planned for two vehicles with lease, fuel, and parking expenses. This expense did not actually start until January 2020 due to issues with ordering the vehicles through State Fleet. The 2020 budget also included additional training, conferences, and travel, but due to COVID-19, there was no travel taken during 2020.

Colorado FY 21 will end on June 30, 2021. The remaining $278,253 in the current grant will be drawn-down until the balance is zero. We will be updating the workload assessment to better represent the personnel being paid by the grant. We will use this assessment and work with the FTA region to apply for the next grant and believe this next grant application will better represent costs CoPUC is occurring in its SSO program. We will also base the budget for the next application to tie to the needs during the Colorado FY as opposed to the Federal FY.

Henrika Buchanan
March 12, 2021

The CoPUC has reviewed and adopted all accident reports contained within the SSOR or has conducted its own accident investigation, with CoPUC adopting that accident investigation report. The CoPUC has reviewed and approved all Corrective Action Plans contained within the SSOR. Commission Decisions for these approvals are available upon request.

Under the requirements of the CoPUC Program Standard, the RTD must certify its compliance with its PTASP meeting requirements of rule 7345 and approved by the Commission to FTA using the FTA determined certification method. Therefore, CoPUC has not issued a certification of compliance of RTD with 49 CFR §674 to FTA as the RTA's are required to issue that certification to FTA themselves using the FTA determined PTASP certification method.

The CoPUC finds that RTD is substantially in compliance with the policies and procedures required under its Public Transportation Agency Safety Plan.

Additionally, as required under 49 CFR §674.39(a)(2), CoPUC provides the following evidence that each of its employees has completed the requirements of the Public Transportation Safety Certification and Training Program, or is in progress of completing the program and the anticipated completion date of training. Dr. Pamela Fischhaber was provided her Certificate of Completion showing successful completion of the Public Transportation Safety Certification Training Program for State Safety Oversight Agencies showing completion on October 24, 2018. Ms. Cindy Terry, Ms. Jessica Sava, and Ms. Julie Whalen have completed 5 of 7 of the required TSI classes. All three will be completing the final two classes before the recently extended training completion date of August 20, 2022 based on availability of classes at transit agencies or virtually online. Jessica, Cindy, and Julie have completed RTD Operator Training, MOW Orientation, Signal and Traction Power Training and RTD Vehicle Maintenance Training as part of the technical training program. They were scheduled to complete the last remaining technical training item, RTD Track Training by September 2020. However, due to the COVID-19 crisis, the current rules and restrictions have prohibited them from starting this training. They will complete this training before the recently extended training completion date of August 20, 2022.

This letter serves as certification that CoPUC is in compliance with the requirements of 49 CFR §674.39(a)(1-6).

If you have any questions regarding the information being submitted or need additional information or documentation, please contact Dr. Pam Fischhaber at 303-894-2529.

Sincerely,

Doug Dean
Director
Colorado Public Utilities Commission

Cc: Ms. Cindy Terwilliger, Regional Administrator, FTA Region 8, Denver, CO
        Mr. John Lynch, Regional Counsel, FRA Region 8, Denver, CO
        Ms. Tiffany Gallegos, Director Office of Ops. and Program Mgt., FTA Region 8, Denver, CO

Henrika Buchanan
March 12, 2021

Ms. Stephanie Minter, General Engineer, FTA Region 8, Denver, CO
Ms. Debra Johnson, RTD
Mr. Mike Meader, RTD
Mr. Dan McClain, RTD
Mr. Richard Lobato, RTD
Mr. Mathew Cross, RTD
Mr. Skylar Mott, RTD
Mr. Jose Alverado, RTD
Mr. Nathan Marx, RTD
Mr. Dave Jensen, RTD
File

March 12, 2021

Governor Jared Polis
136 State Capitol
Denver, CO 80203

Governor Polis:

Pursuant to the requirements of 49 CFR § 674.13(a)(7) and the Colorado Public Utilities Commission (CoPUC) State Safety Oversight (SSO) Program Standard 4 *Code of Colorado Regulations* 723-7-7343(d)(II), attached is a copy of the annual report outlining the safety activities undertaken by the CoPUC SSO program for calendar year 2020. Additional information regarding Staff summaries and analyses of accidents reported during calendar year 2020 is available in publicly available quarterly summary reports available through the CoPUC E-Filings system in Proceeding 20M-0109R.

If you have any questions, need additional information, or would like to discuss the attached information, please contact Dr. Pam Fischhaber, the CoPUC SSO Program Manager at 303-894-2529 or at pamela.fischhaber@state.co.us.

Sincerely,

Doug Dean
Director
Colorado Public Utilities Commission

Cc: File

Eric Blank , Chairman
John C. Gavan, Commissioner
Megan M. Gilman, Commissioner
Doug Dean, Director

Patty Salazar, Executive Director
Jared S. Polis, Governor

Rail/Transit Safety
1560 Broadway, Suite 250
Denver, CO 80202

Date: March 12, 2021

Ms. Henrika Buchanan
Associate Administrator
Chief Safety Officer
Office of Transit Safety and Oversight
Federal Transit Administration
1200 New Jersey Avenue SE, E46-338
Washington, D.C., 20590-0001

RE: Colorado Public Utilities Commission (CoPUC) Annual Submittal Pursuant to 49 *Code of Federal Regulation* (CFR) §674.39(a)(1-6) and Certification of Compliance

Dear Ms. Buchanan:

Today, the CoPUC submits its annual report in compliance with 49 CFR §674.39(a)(1-6) through the Federal Transit Administration's (FTA) State Safety Oversight Reporting (SSOR) tool. CoPUC began its three-year safety and security review of the Denver Regional Transportation District (RTD) in 2020 under the 49 CFR §673 and §674 rules. The three-year safety review will be completed in the fall of 2022. New checklists are being used based on 49 CFR §673 and §674 and based on Safety Management Systems (SMS).

Included with this submittal in the SSOR tool are the following documents:
1. CoPUC report summarizing oversight activities for the preceding twelve months;
2. Copies of CoPUC Spring 2020 and Fall 2020 audit reports with Commission Decisions approving the Staff semi-annual audit reports attached;
3. Copy of RTD 2020 Annual Audit Report with Commission Decision approving the annual report attached;
4. Copy of RTD 2021 Public Transportation Safety Plan (PTASP)
5. Copy of CoPUC Decision No. C20-0792 and attached checklist approving RTD's 2021 Public Transportation Agency Safety Plan;
6. Copy of CoPUC Program Standard – 4 *Code of Colorado Regulations* 723-7-7340 through 7355;
7. Copy of SSOA TTP Template Colorado PUC Revised 2/8/2021.

Henrika Buchanan
March 12, 2021

The CoPUC has reviewed and adopted all accident reports contained within the SSOR or has conducted its own accident investigation, with CoPUC adopting that accident investigation report. The CoPUC has reviewed and approved all Corrective Action Plans contained within the SSOR. Commission Decisions for these approvals are available upon request.

Under the requirements of the CoPUC Program Standard, the RTD must certify its compliance with its PTASP meeting requirements of rule 7345 and approved by the Commission to FTA using the FTA determined certification method. Therefore, CoPUC has not issued a certification of compliance of RTD with 49 CFR §674 to FTA as the RTA's are required to issue that certification to FTA themselves using the FTA determined PTASP certification method.

The CoPUC finds that RTD is substantially in compliance with the policies and procedures required under its Public Transportation Agency Safety Plan.

Additionally, as required under 49 CFR §674.39(a)(2), CoPUC provides the following evidence that each of its employees has completed the requirements of the Public Transportation Safety Certification and Training Program, or is in progress of completing the program and the anticipated completion date of training. Dr. Pamela Fischhaber was provided her Certificate of Completion showing successful completion of the Public Transportation Safety Certification Training Program for State Safety Oversight Agencies showing completion on October 24, 2018. Ms. Cindy Terry, Ms. Jessica Sava, and Ms. Julie Whalen have completed 5 of 7 of the required TSI classes. All three will be completing the final two classes before the recently extended training completion date of August 20, 2022 based on availability of classes at transit agencies or virtually online. Jessica, Cindy, and Julie have completed RTD Operator Training, MOW Orientation, Signal and Traction Power Training and RTD Vehicle Maintenance Training as part of the technical training program. They were scheduled to complete the last remaining technical training item, RTD Track Training by September 2020. However, due to the COVID-19 crisis, the current rules and restrictions have prohibited them from starting this training. They will complete this training before the recently extended training completion date of August 20, 2022.

This letter serves as certification that CoPUC is in compliance with the requirements of 49 CFR §674.39(a)(1-6).

If you have any questions regarding the information being submitted or need additional information or documentation, please contact Dr. Pam Fischhaber at 303-894-2529.

Sincerely,

Doug Dean
Director
Colorado Public Utilities Commission

Cc: Ms. Cindy Terwilliger, Regional Administrator, FTA Region 8, Denver, CO
        Mr. John Lynch, Regional Counsel, FRA Region 8, Denver, CO
        Ms. Tiffany Gallegos, Director Office of Ops. and Program Mgt., FTA Region 8, Denver, CO

Henrika Buchanan
March 12, 2021

Ms. Stephanie Minter, General Engineer, FTA Region 8, Denver, CO
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File

COLORADO
Department of
Regulatory Agencies

Public Utilities Commission

Eric Blank, Chairman
John C. Gavan, Commissioner
Megan M. Gilman, Commissioner
Doug Dean, Director

Patty Salazar, Executive Director
Jared Polis, Governor

Rail/Transit Safety
1560 Broadway, Suite 250
Denver, CO 80202

March 12, 2021

Ms. Barbara McManus
Executive Manager, Board Office
Regional Transportation District
1660 Blake Street, BLK-36
Denver, CO 80202

To the Board of Directors of the Regional Transportation District:

Pursuant to the requirements of 49 CFR § 674.13(a)(7) and the Colorado Public Utilities Commission (CoPUC) State Safety Oversight (SSO) Program Standard 4 *Code of Colorado Regulations* 723-7-7343(d)(II), attached is a copy of the annual report outlining the safety activities undertaken by the CoPUC SSO program for calendar year 2020. Additional information regarding Staff summaries and analyses of accidents reported during calendar year 2020 is available in publicly available quarterly summary reports available through the CoPUC E-Filings system in Proceeding 20M-0109R.

If you have any questions, need additional information, or would like to discuss the attached information, please contact Dr. Pam Fischhaber, the CoPUC SSO Program Manager at 303-894-2529 or at pamela.fischhaber@state.co.us.

Sincerely,

Doug Dean
Director
Colorado Public Utilities Commission

Cc: File

Summary

Purpose: The Federal Transit Administration (FTA) developed this template, to be used in conjunction with the Sample TTP workbook, to assist the 30 States with State Safety Oversight (SSO) programs in working through the development and submittal of a Technical Training Plan (TTP) to FTA by **June 26, 2015.**

FTA will conduct an instructional webinar to review FTA's initial response to State TTP submittals and to demonstrate the Training Website on **June 10, 2015**.

FTA is committed to providing technical assistance to each SSO Agency (SSOA) as needed.

Overview of Contents

Tab 1:	Tab 1 contains an overview of the contents for each subsequent tab.
Tab 2:	Tab 2 contains general instructions for completing the TTP template for your agency, including instructions for submitting your completed TTP to FTA for review. This tab provides the same instructional text as this document. It is provided within the workbook simply for ease of use.
Tab 3:	Tab 3 contains FTA's requirements for TTPs as specified in the Interim Safety Certification Training Provisions, published in the Federal Register on February 27, 2015. Please take time to review and familiarize yourself with these requirements and share with the other members of your agency.
Tab 4:	Tab 4 contains the TTP Template. This template can be used to develop your own agency's TTP by entering your agency's information. Examples of information that would be entered can be found in Tabs 1 and 2 "Sample TTP" workbook.
Tab 5:	Tab 5 contains the competency tracking sheet template for your agency as a whole. This sheet should be used to provide a summary of which competencies your agency currently fulfills or plans to fulfill within the next three years. Sample competency tracking sheet can be found in Tabs 3, 4, and 5 in the example TTP workbook provided by FTA. The samples FTA provides are as follows: • An SSOA that will rely solely on staff to meet technical requirements in all competency areas. Additionally, gaps have been identified and must be addressed in the "Competencies in Planning" section. • An SSOA that intends to meet technical requirements within limited staff and higher reliance on contractors • SSOA that uses a mix of staff, technical expert and contractors to meet technical requirements
	Note: FTA understands that an SSOA may rely on, and may continue to rely on technical experts from either within the SSOA office or from another department within the agency. These individuals are not required to sign-up for an ITP, nor would FTA require them to acquire a TSSP certificate. In addition, FTA understands that an SSOA may rely on, and may continue to rely on, contractors to fulfill the technical requirements for certain competency areas. In either of these cases, an SSOA would identify the technical expert or contractor by name and indicate the competency areas they are fulfilling for your agency with an "X." For contractors, in the TTP Template (tab 4), you would identify in the equivalency section that you are using a contractor and indicate how your agency validates that the contractor meets the technical requirements.
Tab 6:	Tab 6 contains a detailed training plan template for the SSOA Program Manager. This sheet should be used to track the specific courses and equivalencies that satisfy each requirement of the SSOA TTP. The courses and equivalencies listed on this sheet should correspond to and expand upon the competencies fulfilled on your agency's overall competencies tracking sheet. A completed sample detailed training plan can be found in Tab 6 in the "Sample TTP" workbook provided by FTA.
Tabs 7-9:	Tabs 7-9 contain detailed training plan templates for other SSOA staff. These sheets should be used, when appropriate, to track the specific courses and equivalencies that satisfy each requirement of the SSOA TTP. The courses and equivalencies listed on this sheet should correspond to and expand upon the competencies fulfilled on your agency's overall competencies tracking sheet. Each SSOA staff member should have their own competency tracking sheet that lists the courses and equivalencies they have completed. Completed sample detailed training plans can be found in Tabs 7-9 of the "Sample TTP" workbook provided by FTA.
Tab 10:	Tab 10 contains a detailed training plan template for a part time technical expert. This sheet should be used to track the specific courses and equivalencies that satisfy each requirement of the SSOA TTP. The courses and equivalencies listed on this sheet should correspond to and expand upon the competencies fulfilled on your agency's overall competencies tracking sheet. Unlike contractors which are required to submit their own TTPs, the SSOA must ensure that the technical expert has met the requirements for the TTP in their content area. A completed sample detailed training plan can be found in Tab 10 of the "Sample TTP" workbook provided by FTA.

Instructions

Note: This workbook uses red font to indicate "sample" data, which should be replaced in the submitted document. Step-by-step row instruction rows are shaded in blue and should not be altered.

Step 1: Review the "Overview" tab and these "General Instructions" to familiarize yourself with the tabs and information included in this Technical Training Plan Template.

Step 2: Review the "Requirements & Competencies" tab to familiarize your agency with FTA's requirements for Technical Training Plans (TTPs) as specified in the Interim Safety Certification Training Provisions, published in the Federal Register on February 27, 2015.

Step 3: Using the "Sample TTP workbook" as a guide, document your agency's TTP by providing information in each called out cell (in red font) of the "TTP Template" tab. (Please note, in the TTP Template you will find multiple rows for information, it is not necessary to use each row, only those required by your agency.) Tab 1 in the "Sample TTP" workbook provides several samples of possible inputs for your agency's TTP. You are not required to use this text; FTA provided these samples to help clarify the type of information that you may want to include in your agency's TTP. Tab 2 depicts a sample completed TTP. Tabs 3-4 provide Competency Tracking Sheet samples, and tabs 6-10 provide sample information related to SSOA staff.

Step 4: Using the "Sample TTP" workbook as a guide, review the "Competency Tracking Sheet" tab to identify which SSO program personnel and contractors support your agency in fulfilling required competencies. Upon completion, the table in this tab will identify if there are any competency gaps in an SSO program (through highlighted boxes in the summary row of the table). FTA anticipates that this may be the case for many States. The State and FTA will revisit any identified gaps over the period of the Interim Training Provisions. FTA expects that States will hire new personnel and/or enter into new contractual arrangements to close competency gaps. FTA will continue to follow-up with States through quarterly review processes established in the SSO certification program to address 49 U.S.C. 5329(e)(7).

Step 5: Using the "Sample TTP" workbook as a guide, use the Individual Tracking Sheets -- located in the "SSOA PM" tab, the "Staff 1 Example" tab, the "Staff 2 Example" tab, the "Staff 3 Example" tab, and the "PT Tech Expert Name" tab -- create specific TTP tracking matrices for each State employee and contractor who works on the State's SSO program. Completion of the individual tracking sheets will document the specific courses taken to satisfy competency requirements in the State's TTP, and also provide a list of those courses that will address competency gaps within the agency. FTA has provided sample content in the "Sample TT"P workbook to support completion.

Step 6: You can either 1) email the completed Excel sheet to Ruth.Lyons@dot.gov; Dakisha.Spratling@dot.gov; aboyd@bcgtrans.com; and rwenger@bcgtrans.com or 2) go to FTA's safety.fta.dot.gov website and upload it. For tracking purposes, FTA encourages each SSOA to upload the TTP via the website. Please keep in mind that only the SSOA Program Manager will have the ability to upload the agency's TTP. Please follow the steps below to use the website. Also, if the SSOA Program Manager has already registered and requested an ITP, the SSOA Program Manager will be able to skip to Step 3.

1: Register on the TSO Safety Training and Resource Site, making sure to select "SSOA" as your agency type and "Program Manager" as your agency role

2: Click the green "Request a Training Profile" button to request an ITP

3: Once your ITP has been approved (this may take 2-3 days), log into the site

4: Click the "My Training" tab

5: Click the "Technical Training Plan" navigation item on the left side of the dashboard

6: Click the "Upload Technical Training Plan" button

7: In the popup window, click the "Browse" button and select a document to upload

8 (optional): Enter a description of the document

9: Click the "Upload Technical Training Plan" button

Navigating the forms

Where applicable, FTA has provided step-by-step instructions to help you complete each form. You can access these instructions by clicking on the "+" to the left side of relevant rows (see the example below). This will unhide the group of rows so you can view the instructions. Conversely, you can click the button again "-" to close or "hide" the group of rows.
Note: These documents use red font to indicate "sample" data, which should be replaced in the submitted document. Step-by-step row instruction rows are shaded in blue and should not be altered.

Hide

Competency 1-Rail transit agency (RTA) organizational structure					
SSOA Technical Requirement Details				**Current Status**	**Means to meet Compe**
Step 1: Enter in your State's technical requirements for meeting this competency area. *Step 2:* Enter the status for your SSOA in meeting the technical requirement: "Completed" or "Planning." *Step 3:* identify how requirement for this competency area: "RTA Training" AND/OR "Equivalency." Once complete, you will move to the next section to enter in details regarding your selection in Step 3.					
RTA organizational structure; Maintain a working knowledge of the RTA organizational structure. Determine if organizational structure supports safety communication and the reporting and management of safety priorities and concerns; Determine if a direct reporting relationship exists between Safety Director and CEO/GM.				[Complete OR Planning]	[RTA Training AND/OR Equivalency]
Course Title or Equivalency		**Examination Requirement**	**Demonstration / Validation Method**	**Refresher Frequency**	**Refresher Validation Method**
Step 4: Enter the title of the RTA Training Course or the Equivalency your SSOA is using, or plans to use, in order to meet the technical requirement of the competency area. For equivalencies, you will need to provide details (e.g., course name, qualifications, experience, etc.).		*Step 5:* For the RTA course, enter in the exam requirement. Not required for equivalencies.	*Step 6:* Enter how the competency was, or will be, demonstrated and the method of validation used by your SSOA.	*Step 7:* Identify the frequency for refresher training. The requirement calls for a minimum of biennial refresher training.	*Step 8:* Identify how refresher training is validated by could be a recertification or observation and evaluati
Equivalency: 2 years experience at SSOA; conducted review and approval of RTA SSPP; performed at least 1 three-year		N/A	N/A	Biennial	Observation/Evaluation

Interim Safety Certification Training Program Provisions

The Notice Of Final Interim Safety Certification Training Provisions published 2/27/2015 states:

Pursuant to 49 U.S.C. 5329(c)(2), the interim safety certification training provisions will apply to the following covered personnel and will be effective until FTA issues a final rule for the Public Transportation Safety Certification Training Program (PTSCTP):
(1) FTA personnel and contractors who conduct safety audits and examinations of public transportation systems;
(2) SSOA personnel and contractors who conduct safety audits and examinations of rail fixed guideway public transportation systems not subject to FRA regulation. In accordance with 49 U.S.C. 5329(e)(3)(E), each SSOA will designate its covered personnel or positions responsible for conducting the applicable safety audits and examinations and identify them in its annual FTA certification reporting requirements;
(3) Designated employees of recipients with rail transit systems subject to 49 CFR part 659 who are directly responsible for safety oversight.
(a) Each recipient will designate its covered personnel who are directly responsible for safety oversight of its rail transit system.
(b) At a minimum, covered personnel should include the Chief Safety Officer and the primary staff directly responsible for safety oversight of the recipient's rail transit system. Directly responsible means safety staff who participate in the development, implementation or maintenance of the requirements of the oversight agency's program standard.
(4) The following personnel may voluntarily participate in the applicable interim safety certification training provisions:
(a) Personnel employed by recipients of Federal transit funds who are directly responsible for safety oversight of non- rail transit systems (e.g., passenger ferry, bus, bus rapid transit, and community transportation providers); and
(b) Personnel of State DOTs or other State entities that receive Federal transit funds, who are directly responsible for safety oversight of non-rail transit systems such as passenger ferry, bus, bus rapid transit, and community transportation providers.

Interim Safety Certification Training Requirements: Required Curriculum over Three-Year Period

FTA SMS and TSSP Training
FTA/SSOA personnel and contractor support, and rail transit agency personnel with direct responsibility for safety oversight of rail transit systems not subject to FRA regulation must complete the following training program over a 3-year period:
One (1) hour course on SMS Awareness—e-Learning delivery (all required participants)
Two (2) hour course on Safety Assurance—e-Learning delivery (all required participants)
Two (2) hour SMS Gap course (e- learning for existing TSSP Certificate holders)
SMS Principles for Rail Transit (2 days—all required participants)
SMS Principles for SSO Programs (2 days—FTA/SSOA/contractor support personnel only)
Revised TSSP with SMS Principles Integration (not required of current TSSP Certificate holders—17.5 days for all other covered personnel)
Rail System Safety
Effectively Managing Transit Emergencies
Transit System Security
Rail Incident Investigation

Technical Training Plans

FTA/SSOA/contractor support personnel (technical training component): Each SSOA shall develop a technical training plan for covered personnel and contractor support personnel who perform safety audits and examinations. The SSOA will submit its proposed technical training plan to FTA for review and evaluation as part of the SSOA certification program in accordance with 49 U.S.C. 5329(e)(7). This review and approval process will support the consultation required between FTA and SSOAs regarding the staffing and qualification of the SSOAs' employees and other designated personnel in accordance with 49 U.S.C. 5329(e)(3)(D).

Technical Training Plan Requirements

The SSOA will determine the length of time for the technical training based on the skill level of the covered personnel relative to the applicable rail transit agency(s).

At a minimum, the technical training plan will describe the process for receiving technical training from the rail transit agencies in the following competency areas appropriate to the specific rail fixed guideway system(s) for which safety audits and examinations are conducted (referred to as Competency Areas in this spreadsheet):

1 - Agency organizational structure
2 - System Safety Program Plan
3 - Security Program Plan
Knowledge of agency:
4 - Territory and revenue service schedules
5 - Current bulletins, general orders, and other associated directives that ensure safe operations
6 - Operations and maintenance rule books
7 - Safety rules
8 - Standard Operating Procedures
9 - Roadway Worker Protection
10 - Employee Hours of Service and Fatigue Management program
11 - Employee Observation and Testing Program (Efficiency Testing)
12 - Employee training and certification requirements
13 - Vehicle inspection and maintenance programs, schedules and records
14 - Track inspection and maintenance programs, schedules and records
15 - Tunnels, bridges, and other structures inspection and maintenance programs, schedules and records

16 - Traction power (substation, overhead catenary system, and third rail), load dispatching, inspection and maintenance programs, schedules and records

17 - Signal and train control inspection and maintenance programs, schedules and records

Each SSOA technical training plan that is submitted to FTA for review will require covered personnel to successfully:
1 - Complete training that covers the skills and knowledge the covered personnel will need to effectively perform his or her tasks.
2 - Pass a written and/or oral examination covering the skills and knowledge required for the covered personnel to effectively perform his or her tasks.
3 - Demonstrate hands-on capability to perform his or her tasks to the satisfaction of the appropriate SSOA supervisor or designated instructor.
4 - Establish equivalencies or written and oral examinations to allow covered personnel to demonstrate that they possess the skill and qualification required to perform their tasks.
5 - Require biennial refresher training to maintain technical skills and abilities which includes classroom and hands-on training, as well as testing. Observation and evaluation of actual performance of duties may be used to meet the hands-on portion of this requirement, provided that such testing is documented.
6 - Require that training records be maintained to demonstrate the current qualification status of covered personnel assigned to carry out the oversight program. Records may be maintained either electronically or in writing and must be provided to FTA upon request.

Records must include the following information concerning each covered personnel:
1 - Name;
2 - The title and date each training course was completed and the proficiency test score(s) where applicable;
3 - The content of each training course successfully completed;
4 - A description of the covered personnel's hands-on performance applying the skills and knowledge required to perform the tasks that the employee will be responsible for performing and the factual basis supporting the determination;
5 - The tasks the covered personnel is deemed qualified to perform;
6 - Provide the date that the covered personnel's status as qualified to perform the tasks expires, and the date in which biennial refresher training is due.
7 - Ensure the qualification of contractors performing oversight activities. SSOAs may use demonstrations, previous training and education, and written and oral examinations to determine if contractors possess the skill and qualification required to perform their tasks.
8 - Periodically assess the effectiveness of the technical training. One method of validation and assessment could be through the use of efficiency tests or periodic review of employee performance.

SSOA Name	Program Manager	Version Date
Colorado Public Utilities Commission	Pamela Fischhaber	10/31/2016

Competency 1-Rail transit agency (RTA) organizational structure

SSOA Technical Requirement Details			Current Status	Means to meet Competency Requirement	
Maintain knowledge of the transit agency organization structure through annual review of organizational charts contained within the System Safety Program Plan (SSPP); determine if the organizational structure supports safety communication and reporting and management of safety priorities and concerns; determine if a direct reporting relationship exists between the AGM involved with safety and the CEO/GM of the transit agency			Completed	SSO Program Manager - Equivalency Only New SSOA Employees - initial training as outlined below plus gaining equivalency through annual plan reviews and system audits.	

Course Title or Equivalency	Examination Requirement	Demonstration / Validation Method	Refresher Frequency	Refresher Validation Method	Competency Documentation
Equivalency: Annual review of transit agency SSPP	N/A	N/A	Annual	Review/observation/evaluation of analysis of SSPP compliance with requirements	CoPUC approval of SSPP
Equivalency: Semi-annual audits of transit agency SSPP implementation	N/A	N/A	Semi-annual	Review/observation/evaluation of SSPP during semi-annual audits	CoPUC approval of semi-annual reports
Training: 3-years SSOA OJT on annual review of transit agency SSPP and semi-annual audits of transit agency SSPP implementation	N/A	Review of work by supervisor	Annual	Review/observation/evaluation during audits	Supervisor review of analysis of SSPP and semi-annual reports

NOTE:*State Supervisors may establish additional equivalencies or may revise specific equivalencies based on the capabilities, experience and background of individual employees

Competency 2-RTA System Safety Program Plan

SSOA Technical Requirement Details			Current Status	Means to meet Competency Requirement	
Maintain knowledge of the transit agency System Safety Program Plan (SSPP); determine if the SSPP meets CoPUC and federal requirements			Completed	SSO Program Manager - Equivalency Only New SSOA Employees - initial training as outlined below plus gaining equivalency through annual plan reviews and system audits.	

Course Title or Equivalency	Examination Requirement	Demonstration / Validation Method	Refresher Frequency	Refresher Validation Method	Competency Documentation
Equivalency: Annual review of transit agency SSPP	N/A	N/A	Annual	Review and evaluation of SSPP compliance with requirements	CoPUC approval of SSPP
Equivalency: Semi-annual audits of transit agency SSPP implementation	N/A	N/A	Semi-annual	Review/observation/evaluation during audits	CoPUC approval of semi-annual audit reports
Training: 3-years SSOA OJT on annual review of transit agency SSPP and semi-annual audits of transit agency SSPP implementation	N/A	Review of work by supervisor	Annual	Review/observation/evaluation during audits	Supervisor review of analysis of SSPP and semi-annual reports
[Enter Course Title or Equivalency]	[Enter Examination Requirement]	[Enter Demonstration / Validation Method]	[Enter Refresher Frequency]	[Enter Refresher Validation Method]	[Enter Competency Documentation]

NOTE:*State Supervisors may establish additional equivalencies or may revise specific equivalencies based on the capabilities, experience and background of individual employees

Competency 3-RTA System Security Program Plan

SSOA Technical Requirement Details			Current Status	Means to meet Competency Requirement	
Maintain knowledge of the transit agency System Security Plan (SSP); determine if the SSP meets CoPUC and federal requirements until System Security oversight is no longer required of SSOA			Completed	SSO Program Manager - Equivalency Only New SSOA Employees - initial training as outlined below plus gaining equivalency through annual plan reviews and system audits.	

Course Title or Equivalency	Examination Requirement	Demonstration / Validation Method	Refresher Frequency	Refresher Validation Method	Competency Documentation
Equivalency: Annual review of transit agency SSP	N/A	N/A	Annual	Review and evaluation of SSP compliance with requirements	CoPUC approval of SSP
Equivalency: Semi-annual audits of transit agency SSP implementation	N/A	N/A	Semi-annual	Review/observation/evaluation during audits	CoPUC approval of semi-annual audit reports

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Training: 3-years SSOA OJT on annual review of transit agency SSP and semi-annual audits of transit agency SSP implementation	N/A	Review of work by supervisor	Annual	Review/observation/evaluation during audits	Supervisor review of analysis of SSP and semi-annual reports
[Enter Course Title or Equivalency]	[Enter Examination Requirement]	[Enter Demonstration / Validation Method]	[Enter Refresher Frequency]	[Enter Refresher Validation Method]	[Enter Competency Documentation]

NOTE:*State Supervisors may establish additional equivalencies or may revise specific equivalencies based on the capabilities, experience and background of individual employees

Competency 4-Knowledge of Territory and revenue service schedules

SSOA Technical Requirement Details			**Current Status**	**Means to meet Competency Requirement**	
Maintain knowledge of the transit agency territory including operational lines, service schedules and facilities			Completed	SSO Program Manager - Equivalency Only New SSOA Employees - initial training as outlined below plus gaining equivalency through annual plan reviews and system audits.	
Course Title or Equivalency	**Examination Requirement**	**Demonstration / Validation Method**	**Refresher Frequency**	**Refresher Validation Method**	**Competency Documentation**
Equivalency: Semi-annual audits of transit agency program implementation	N/A	N/A	Semi-annual	Review/observation/evaluation during audits	CoPUC approval of semi-annual audit reports
Training: 3-years SSOA OJT on semi-annual audits of transit agency	N/A	Review of work by supervisor	Annual	Review/observation/evaluation during audits	Supervisor review of analysis of SSP and semi-annual reports
RTA Courses: Either Maintenance of Way orientation and Vehicle operations training	RTA Test	Observation/evaluation	Biennial	Observation/evaluation	RTA training documentation
[Enter Course Title or Equivalency]	[Enter Examination Requirement]	[Enter Demonstration / Validation Method]	[Enter Refresher Frequency]	[Enter Refresher Validation Method]	[Enter Competency Documentation]

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Competency 5-Knowledge of Current Bulletins, general orders, and other associated directives that ensure safety operations

SSOA Technical Requirement Details			**Current Status**	**Means to meet Competency Requirement**	
Knowledge of RTA bulletins, general orders, and other directives and relation of these documents to currents rules; Review of bulletins, general orders and other directives to identify potential safety concerns			Completed	SSO Program Manager - Equivalency Only New SSOA Employees - initial training as outlined below plus gaining equivalency through annual plan reviews and system audits.	
Course Title or Equivalency	**Examination Requirement**	**Demonstration / Validation Method**	**Refresher Frequency**	**Refresher Validation Method**	**Competency Documentation**
Equivalency: Semi-annual audits of transit agency program implementation	N/A	N/A	Semi-annual	Review/observation/evaluation during audits	CoPUC approval of semi-annual audit reports
RTA Courses: Either Maintenance of Way orientation and Vehicle operations training	RTA Test	Observation/evaluation	Biennial	Observation/evaluation	RTA training documentation
[Enter Course Title or Equivalency]	[Enter Examination Requirement]	[Enter Demonstration / Validation Method]	[Enter Refresher Frequency]	[Enter Refresher Validation Method]	[Enter Competency Documentation]
[Enter Course Title or Equivalency]	[Enter Examination Requirement]	[Enter Demonstration / Validation Method]	[Enter Refresher Frequency]	[Enter Refresher Validation Method]	[Enter Competency Documentation]

NOTE:*State Supervisors may establish additional equivalencies or may revise specific equivalencies based on the capabilities, experience and background of individual employees

Competency 6-Knowledge of Operations and maintenance rule books

SSOA Technical Requirement Details			**Current Status**	**Means to meet Competency Requirement**	
Knowledge of operations and maintenance rule books; Observe practices and determine if practices are compliant with rule books; Assess quality of rule books			Completed	SSO Program Manager - Equivalency Only New SSOA Employees - initial training as outlined below plus gaining equivalency through annual plan reviews and system audits.	
Course Title or Equivalency	**Examination Requirement**	**Demonstration / Validation Method**	**Refresher Frequency**	**Refresher Validation Method**	**Competency Documentation**

SSOA Name	Program Manager		Version Date		
Colorado Public Utilities Commission	Pamela Fischhaber		10/31/2016		
Equivalency: Semi-annual audits of transit agency program implementation	N/A	N/A	Semi-annual	Review/observation/evaluation during audits	CoPUC approval of semi-annual audit reports
RTA Courses: Maintenance of Way orientation and Vehicle operations training	RTA Test	Observation/evaluation	Biennial	Observation/evaluation	RTA training documentation
[Enter Course Title or Equivalency]	[Enter Examination Requirement]	[Enter Demonstration / Validation Method]	[Enter Refresher Frequency]	[Enter Refresher Validation Method]	[Enter Competency Documentation]
[Enter Course Title or Equivalency]	[Enter Examination Requirement]	[Enter Demonstration / Validation Method]	[Enter Refresher Frequency]	[Enter Refresher Validation Method]	[Enter Competency Documentation]
[Enter Course Title or Equivalency]	[Enter Examination Requirement]	[Enter Demonstration / Validation Method]	[Enter Refresher Frequency]	[Enter Refresher Validation Method]	[Enter Competency Documentation]
NOTE:*State Supervisors may establish additional equivalencies or may revise specific equivalencies based on the capabilities, experience and background of individual employees					

Competency 7-Knowledge of Safety Rules

SSOA Technical Requirement Details			Current Status	Means to meet Competency Requirement	
Knowledge of safety rules within all operations and maintenance rule books; Observe practices and determine if practices are compliant with rule books; Assess quality of safety rules			Completed	SSO Program Manager - Equivalency Only　　　　　　　　　　New SSOA Employees - initial training as outlined below plus gaining equivalency through annual plan reviews and system audits.	
Course Title or Equivalency	Examination Requirement	Demonstration / Validation Method	Refresher Frequency	Refresher Validation Method	Competency Documentation
Equivalency: Semi-annual audits of transit agency program implementation	N/A	N/A	Semi-annual	Review/observation/evaluation during audits	CoPUC approval of semi-annual audit reports
RTA Courses: Maintenance of Way orientation and Vehicle operations training	RTA Test	Observation/evaluation	Biennial	Observation/evaluation	RTA training documentation
[Enter Course Title or Equivalency]	[Enter Examination Requirement]	[Enter Demonstration / Validation Method]	[Enter Refresher Frequency]	[Enter Refresher Validation Method]	[Enter Competency Documentation]
[Enter Course Title or Equivalency]	[Enter Examination Requirement]	[Enter Demonstration / Validation Method]	[Enter Refresher Frequency]	[Enter Refresher Validation Method]	[Enter Competency Documentation]
[Enter Course Title or Equivalency]	[Enter Examination Requirement]	[Enter Demonstration / Validation Method]	[Enter Refresher Frequency]	[Enter Refresher Validation Method]	[Enter Competency Documentation]
NOTE:*State Supervisors may establish additional equivalencies or may revise specific equivalencies based on the capabilities, experience and background of individual employees					

Competency 8-Knowledge of Standard Operating Procedures

SSOA Technical Requirement Details			Current Status	Means to meet Competency Requirement	
Knowledge of RTA standard operating procedures for all service delivery and maintenance activities; Observe practices and determine if standard operating procedures are adequate to support activities			Completed	SSO Program Manager - Equivalency Only　　　　　　　　　　New SSOA Employees - initial training as outlined below plus gaining equivalency through annual plan reviews and system audits.	
Course Title or Equivalency	Examination Requirement	Demonstration / Validation Method	Refresher Frequency	Refresher Validation Method	Competency Documentation
Equivalency: Semi-annual audits of transit agency program implementation	N/A	N/A	Semi-annual	Review/observation/evaluation during audits	CoPUC approval of semi-annual audit reports
RTA Courses: Maintenance of Way orientation and Vehicle operations training	RTA Test	Observation/evaluation	Biennial	Observation/evaluation	RTA training documentation
[Enter Course Title or Equivalency]	[Enter Examination Requirement]	[Enter Demonstration / Validation Method]	[Enter Refresher Frequency]	[Enter Refresher Validation Method]	[Enter Competency Documentation]

SSOA Name	Program Manager		Version Date		
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[Enter Course Title or Equivalency]	[Enter Examination Requirement]	[Enter Demonstration / Validation Method]	[Enter Refresher Frequency]	[Enter Refresher Validation Method]	[Enter Competency Documentation]
[Enter Course Title or Equivalency]	[Enter Examination Requirement]	[Enter Demonstration / Validation Method]	[Enter Refresher Frequency]	[Enter Refresher Validation Method]	[Enter Competency Documentation]
NOTE:*State Supervisors may establish additional equivalencies or may revise specific equivalencies based on the capabilities, experience and background of individual employees					

Competency 9-Knowledge of Roadway Worker Protection

SSOA Technical Requirement Details			Current Status	Means to meet Competency Requirement	
Knowledge of RTA RWP program; completion of RTA RWP training; Observe ROW personnel to determine compliance with RWP rules			Completed	SSO Program Manager - Equivalency Only New SSOA Employees - initial training as outlined below plus gaining equivalency through annual plan reviews and system audits.	
Course Title or Equivalency	**Examination Requirement**	**Demonstration / Validation Method**	**Refresher Frequency**	**Refresher Validation Method**	**Competency Documentation**
Equivalency: Semi-annual audits of transit agency program implementation and FTA RWP audit	N/A	N/A	Semi-annual	Review/observation/evaluation during audits	CoPUC approval of semi-annual audit reports
RTA Courses: Maintenance of Way Signal orientation and Vehicle operations training	RTA Test and necessary field demonstration	Observation/evaluation	Annual	Observation/evaluation	RTA training documentation
NOTE:*State Supervisors may establish additional equivalencies or may revise specific equivalencies based on the capabilities, experience and background of individual employees					

Competency 10-Knowledge of Employee Hours of Service and Fatigue Management Program

SSOA Technical Requirement Details			Current Status	Means to meet Competency Requirement	
Knowledge of RTA hours of service rules and policies and fatigue management program; Review worker schedules to determine compliance with rules or policies; Analyze worker schedules during accident investigation			Completed	SSO Program Manager - Equivalency Only New SSOA Employees - initial training as outlined below plus gaining equivalency through annual plan reviews and system audits.	
Course Title or Equivalency	**Examination Requirement**	**Demonstration / Validation Method**	**Refresher Frequency**	**Refresher Validation Method**	**Competency Documentation**
Equivalency: Semi-annual audits of transit agency program implementation	N/A	N/A	Semi-annual	Review/observation/evaluation during audits	CoPUC approval of semi-annual audit reports
RTA Courses: Maintenance of Way orientation and Vehicle operations training	RTA Test	Observation/evaluation	Biennial	Observation/evaluation	RTA training documentation
[Enter Course Title or Equivalency]	[Enter Examination Requirement]	[Enter Demonstration / Validation Method]	[Enter Refresher Frequency]	[Enter Refresher Validation Method]	[Enter Competency Documentation]
[Enter Course Title or Equivalency]	[Enter Examination Requirement]	[Enter Demonstration / Validation Method]	[Enter Refresher Frequency]	[Enter Refresher Validation Method]	[Enter Competency Documentation]
NOTE:*State Supervisors may establish additional equivalencies or may revise specific equivalencies based on the capabilities, experience and background of individual employees					

Competency 11-Knowledge of Employee Observation and Testing Program (Efficiency Testing)

SSOA Technical Requirement Details			Current Status	Means to meet Competency Requirement	
Knowledge of RTD employee observation and training program; Observe, review and testing practices to determine if procedures are adequate to ensure safety and efficient operations; Review employee records to determine compliance with procedures			Completed	SSO Program Manager - Equivalency Only New SSOA Employees - initial training as outlined below plus gaining equivalency through annual plan reviews and system audits.	
Course Title or Equivalency	**Examination Requirement**	**Demonstration / Validation Method**	**Refresher Frequency**	**Refresher Validation Method**	**Competency Documentation**
Equivalency: Semi-annual audits of transit agency program implementation	N/A	N/A	Semi-annual	Review/observation/evaluation during audits	CoPUC approval of semi-annual audit reports

Course Title or Equivalency	Examination Requirement	Demonstration / Validation Method	Refresher Frequency	Refresher Validation Method	Competency Documentation
RTA Courses: Maintenance of Way Signal and Power or Track or Vehicle Maintenance training and Vehicle operations training	RTA Test	Observation/evaluation	Biennial	Observation/evaluation	RTA training documentation
[Enter Course Title or Equivalency]	[Enter Examination Requirement]	[Enter Demonstration / Validation Method]	[Enter Refresher Frequency]	[Enter Refresher Validation Method]	[Enter Competency Documentation]
[Enter Course Title or Equivalency]	[Enter Examination Requirement]	[Enter Demonstration / Validation Method]	[Enter Refresher Frequency]	[Enter Refresher Validation Method]	[Enter Competency Documentation]
[Enter Course Title or Equivalency]	[Enter Examination Requirement]	[Enter Demonstration / Validation Method]	[Enter Refresher Frequency]	[Enter Refresher Validation Method]	[Enter Competency Documentation]

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Competency 12-Knowledge of Employee training and certification requirements

SSOA Technical Requirement Details	Current Status	Means to meet Competency Requirement	
Knowledge of the RTA employee training and certification requirements; Review and assess employee training and certification program to ensure it meets requirements of the RTA; Assess employee records to ensure training and certification program is being properly administered and documented	Completed	SSO Program Manager - Equivalency Only	New
		SSOA Employees - initial training as outlined below plus gaining equivalency through annual plan reviews and system audits.	

Course Title or Equivalency	Examination Requirement	Demonstration / Validation Method	Refresher Frequency	Refresher Validation Method	Competency Documentation
Equivalency: Semi-annual audits of transit agency program implementation	N/A	N/A	Semi-annual	Review/observation/evaluation during audits	CoPUC approval of semi-annual audit reports
RTA Courses: Maintenance of Way Signal and Power or Track or Vehicle Maintenance training and Vehicle operations training	RTA Test	Observation/evaluation	Biennial	Observation/evaluation	RTA training documentation
[Enter Course Title or Equivalency]	[Enter Examination Requirement]	[Enter Demonstration / Validation Method]	[Enter Refresher Frequency]	[Enter Refresher Validation Method]	[Enter Competency Documentation]
[Enter Course Title or Equivalency]	[Enter Examination Requirement]	[Enter Demonstration / Validation Method]	[Enter Refresher Frequency]	[Enter Refresher Validation Method]	[Enter Competency Documentation]
[Enter Course Title or Equivalency]	[Enter Examination Requirement]	[Enter Demonstration / Validation Method]	[Enter Refresher Frequency]	[Enter Refresher Validation Method]	[Enter Competency Documentation]

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Competency 13-Knowledge of Vehicle inspection and maintenance programs, schedules and records

SSOA Technical Requirement Details	Current Status	Means to meet Competency Requirement	
Knowledge of RTA vehicle inspection and maintenance programs, schedules, and records; Observe practices and determine if procedures are being adequately followed; Review records and assess if procedures are adequate to support activities; Participate in supervised inspections to identify potential safety concerns	Completed	SSO Program Manager - Equivalency Only	New
		SSOA Employees - initial training as outlined below plus gaining equivalency through annual plan reviews and system audits.	

Course Title or Equivalency	Examination Requirement	Demonstration / Validation Method	Refresher Frequency	Refresher Validation Method	Competency Documentation
Equivalency: Semi-annual audits of transit agency program implementation	N/A	N/A	Semi-annual	Review/observation/evaluation during audits	CoPUC approval of semi-annual audit reports
RTA Courses: Vehicle Maintenance training	RTA Test	Observation/evaluation	Biennial	Observation/evaluation	RTA training documentation
[Enter Course Title or Equivalency]	[Enter Examination Requirement]	[Enter Demonstration / Validation Method]	[Enter Refresher Frequency]	[Enter Refresher Validation Method]	[Enter Competency Documentation]

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[Enter Course Title or Equivalency]	[Enter Examination Requirement]	[Enter Demonstration / Validation Method]	[Enter Refresher Frequency]	[Enter Refresher Validation Method]	[Enter Competency Documentation]
[Enter Course Title or Equivalency]	[Enter Examination Requirement]	[Enter Demonstration / Validation Method]	[Enter Refresher Frequency]	[Enter Refresher Validation Method]	[Enter Competency Documentation]

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Competency 14-Knowledge of Track inspection and maintenance programs, schedules and records

SSOA Technical Requirement Details			Current Status	Means to meet Competency Requirement	
Knowledge of RTA track inspection and maintenance programs, schedules and records; Observe practices and determine if procedures are being adequately followed; Review records and assess if procedures are adequate to support activities and meet all federal and state standards and requirements; Participate in supervised inspections to identify potential safety concerns			Completed	SSO Program Manager - Equivalency Only New SSOA Employees - initial training as outlined below plus gaining equivalency through annual plan reviews and system audits.	

Course Title or Equivalency	Examination Requirement	Demonstration / Validation Method	Refresher Frequency	Refresher Validation Method	Competency Documentation
Equivalency: Semi-annual audits of transit agency program implementation	N/A	N/A	Semi-annual	Review/observation/evaluation during audits	CoPUC approval of semi-annual audit reports
RTA Courses: Maintenance of Way Track training	RTA Test	Observation/evaluation	Biennial	Observation/evaluation	RTA training documentation
[Enter Course Title or Equivalency]	[Enter Examination Requirement]	[Enter Demonstration / Validation Method]	[Enter Refresher Frequency]	[Enter Refresher Validation Method]	[Enter Competency Documentation]
[Enter Course Title or Equivalency]	[Enter Examination Requirement]	[Enter Demonstration / Validation Method]	[Enter Refresher Frequency]	[Enter Refresher Validation Method]	[Enter Competency Documentation]
[Enter Course Title or Equivalency]	[Enter Examination Requirement]	[Enter Demonstration / Validation Method]	[Enter Refresher Frequency]	[Enter Refresher Validation Method]	[Enter Competency Documentation]
[Enter Course Title or Equivalency]	[Enter Examination Requirement]	[Enter Demonstration / Validation Method]	[Enter Refresher Frequency]	[Enter Refresher Validation Method]	[Enter Competency Documentation]

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Competency 15-Knowledge of Tunnels, bridges, and other structures inspection and maintenance programs, schedules and records

SSOA Technical Requirement Details			Current Status	Means to meet Competency Requirement	
Knowledge of RTA tunnel, bridge, and other structure inspection and maintenance programs, schedules and records; Observe practices and determine if procedures are being adequately followed; Review records and assess if procedures are adequate to support activities and meet all federal, state and local standards and requirements; Participate in supervised inspections to identify potential safety concerns			Completed	SSO Program Manager - Equivalency Only New SSOA Employees - initial training as outlined below plus gaining equivalency through annual plan reviews and system audits.	

Course Title or Equivalency	Examination Requirement	Demonstration / Validation Method	Refresher Frequency	Refresher Validation Method	Competency Documentation
Equivalency: Semi-annual audits of transit agency program implementation	N/A	N/A	Semi-annual	Review/observation/evaluation during audits	CoPUC approval of semi-annual audit reports
RTA Courses: Maintenance of Way Track training	RTA Test	Observation/evaluation	Biennial	Observation/evaluation	RTA training documentation
[Enter Course Title or Equivalency]	[Enter Examination Requirement]	[Enter Demonstration / Validation Method]	[Enter Refresher Frequency]	[Enter Refresher Validation Method]	[Enter Competency Documentation]

SSOA Name	Program Manager		Version Date		
Colorado Public Utilities Commission	Pamela Fischhaber		10/31/2016		
[Enter Course Title or Equivalency]	[Enter Examination Requirement]	[Enter Demonstration / Validation Method]	[Enter Refresher Frequency]	[Enter Refresher Validation Method]	[Enter Competency Documentation]
[Enter Course Title or Equivalency]	[Enter Examination Requirement]	[Enter Demonstration / Validation Method]	[Enter Refresher Frequency]	[Enter Refresher Validation Method]	[Enter Competency Documentation]
NOTE:*State Supervisors may establish additional equivalencies or may revise specific equivalencies based on the capabilities, experience and background of individual employees					

Competency 16-Knowledge of Traction power (substation, overhead catenary system, and third rail), load dispatching, inspection and maintenance programs, schedules and records

SSOA Technical Requirement Details			Current Status	Means to meet Competency Requirement	
Knowledge of RTA traction power and load dispatching inspection and maintenance programs, schedules and records; Observe practices and determine if procedures are being adequately followed; Review records and assess if procedures are adequate to support activities and meet all federal, state and local standards and requirements; Participate in supervised inspections to identify potential safety concerns			Completed	SSO Program Manager - Equivalency Only　　　　　　　　　　　New SSOA Employees - initial training as outlined below plus gaining equivalency through annual plan reviews and system audits.	
Course Title or Equivalency	**Examination Requirement**	**Demonstration / Validation Method**	**Refresher Frequency**	**Refresher Validation Method**	**Competency Documentation**
Equivalency: Semi-annual audits of transit agency program implementation	N/A	N/A	Semi-annual	Review/observation/evaluation during audits	CoPUC approval of semi-annual audit reports
RTA Courses: Maintenance of Way Signal and Power Training	RTA Test	Observation/evaluation	Biennial	Observation/evaluation	RTA training documentation
[Enter Course Title or Equivalency]	[Enter Examination Requirement]	[Enter Demonstration / Validation Method]	[Enter Refresher Frequency]	[Enter Refresher Validation Method]	[Enter Competency Documentation]
[Enter Course Title or Equivalency]	[Enter Examination Requirement]	[Enter Demonstration / Validation Method]	[Enter Refresher Frequency]	[Enter Refresher Validation Method]	[Enter Competency Documentation]
[Enter Course Title or Equivalency]	[Enter Examination Requirement]	[Enter Demonstration / Validation Method]	[Enter Refresher Frequency]	[Enter Refresher Validation Method]	[Enter Competency Documentation]
NOTE:*State Supervisors may establish additional equivalencies or may revise specific equivalencies based on the capabilities, experience and background of individual employees					

Competency 17-Knowledge of Signal and train control inspection and maintenance programs, schedules and records

SSOA Technical Requirement Details			Current Status	Means to meet Competency Requirement	
Knowledge of RTS signal and train control inspection and maintenance programs, schedules, and records; Observe practices and determine if procedures are being adequately followed; Review records and assess if procedures are adequate to support activities and meet all federal, state and local standards and requirements; Participate in supervised inspections to identify potential safety concerns			Completed	SSO Program Manager - Equivalency Only　　　　　　　　　　　New SSOA Employees - initial training as outlined below plus gaining equivalency through annual plan reviews and system audits.	
Course Title or Equivalency	**Examination Requirement**	**Demonstration / Validation Method**	**Refresher Frequency**	**Refresher Validation Method**	**Competency Documentation**
Equivalency: Semi-annual audits of transit agency program implementation	N/A	N/A	Semi-annual	Review/observation/evaluation during audits	CoPUC approval of semi-annual audit reports
RTA Courses: Maintenance of Way Signal and Power Training	RTA Test	Observation/evaluation	Biennial	Observation/evaluation	RTA training documentation
[Enter Course Title or Equivalency]	[Enter Examination Requirement]	[Enter Demonstration / Validation Method]	[Enter Refresher Frequency]	[Enter Refresher Validation Method]	[Enter Competency Documentation]
[Enter Course Title or Equivalency]	[Enter Examination Requirement]	[Enter Demonstration / Validation Method]	[Enter Refresher Frequency]	[Enter Refresher Validation Method]	[Enter Competency Documentation]
[Enter Course Title or Equivalency]	[Enter Examination Requirement]	[Enter Demonstration / Validation Method]	[Enter Refresher Frequency]	[Enter Refresher Validation Method]	[Enter Competency Documentation]

SSOA Name	Program Manager		Version Date		
Colorado Public Utilities Commission	Pamela Fischhaber		10/31/2016		
[Enter Course Title or Equivalency]	[Enter Examination Requirement]	[Enter Demonstration / Validation Method]	[Enter Refresher Frequency]	[Enter Refresher Validation Method]	[Enter Competency Documentation]
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Example 1 SSOA Competency Tracking Table
Colorado Public Utilities Commission

Employee or Contractor Name	ITP Required?	FTA SMS Course(s) Required?	BSIP Required?	1 - Agency organizational structure	2 - System Safety Program Plan	3 - Security Program Plan	4 - Territory and revenue service schedules	5 - Current bulletins, general orders, and other associated directives that ensure safe operations	6 - Operations and maintenance rule books	7 - Safety rules	8 - Standard Operating Procedures	9 - Roadway Worker Protection	10 - Employee Hours of Service and Fatigue Management program	11 - Employee Observation and Testing Program (Efficiency testing)	12 - Employee training and certification requirements	13 - Vehicle inspection and maintenance programs, schedules and records	14 - Track inspection and maintenance programs, schedules and records	15 - Tunnels, bridges, and other structures inspection and maintenance programs, schedules and records	16 - Traction power substation, OH system, and third rail, load dispatching inspection and maintenance programs, schedules and records	17 - Signal and train control inspection and maintenance programs, schedules and records
Competencies Fulfilled																				
SSOA Program Manager																				
Pamela Fischhaber	Yes	Yes	Yes	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
SSOA Staff																				
Cindy Terry	Yes	Yes	Yes	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Jessica Sava	Yes	Yes	Yes	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Julie Whalen	Yes	Yes	Yes	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
[Enter SSOA Staff Name]	[Yes/No]	[Yes/No]	[Yes/No]																	
[Enter SSOA Staff Name]	[Yes/No]	[Yes/No]	[Yes/No]																	
SSOA Technical Expert																				
[Enter SSOA Tech Expert Name]	[Yes/No]	[Yes/No]	[Yes/No]																	
[Enter SSOA Tech Expert Name]	[Yes/No]	[Yes/No]	[Yes/No]																	
[Enter SSOA Tech Expert Name]	[Yes/No]	[Yes/No]	[Yes/No]																	
[Enter SSOA Tech Expert Name]	[Yes/No]	[Yes/No]	[Yes/No]																	
SSOA Contractor																				
[Enter SSOA Contractor Name]																				
[Enter SSOA Contractor Name]																				
Competencies in Planning																				
Pamela Fischhaber	Complete	Complete	Complete																	
Cindy Terry	In Progress	In Progress	In Progress																	
Jessica Sava	In Progress	In Progress	In Progress																	
Julie Whalen	In Progress	In Progress	In Progress																	
[Enter SSOA PM/Staff/Tech Expert Name]																				
Identified Gaps				4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4
Competencies Planned				0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0

Sample SSOA PM Training Plan

Pamela Fischhaber

Contact Information	Phone:	303-894-2529	Email:	pamela.fischhaber@state.co.us	Date Started:	April 1, 2005

RTA Training / Equivalency(ies)	Competency Area(s)	Course #	Type	Date Scheduled	Date Completed	Source	Verification Method	Test results, if applicable	Refresher Required?
RTA Training									
[Enter RTA Course Name]	[Enter Area(s)]	[Enter Course #]	[Enter Type]	[Enter Date]	[Enter Date]	[Enter Provider]	[Enter Verification]	[Enter Results]	[Enter Refresher]
[Enter RTA Course Name]	[Enter Area(s)]	[Enter Course #]	[Enter Type]	[Enter Date]	[Enter Date]	[Enter Provider]	[Enter Verification]	[Enter Results]	[Enter Refresher]
[Enter RTA Course Name]	[Enter Area(s)]	[Enter Course #]	[Enter Type]	[Enter Date]	[Enter Date]	[Enter Provider]	[Enter Verification]	[Enter Results]	[Enter Refresher]
[Enter RTA Course Name]	[Enter Area(s)]	[Enter Course #]	[Enter Type]	[Enter Date]	[Enter Date]	[Enter Provider]	[Enter Verification]	[Enter Results]	[Enter Refresher]
[Enter RTA Course Name]	[Enter Area(s)]	[Enter Course #]	[Enter Type]	[Enter Date]	[Enter Date]	[Enter Provider]	[Enter Verification]	[Enter Results]	[Enter Refresher]
[Enter RTA Course Name]	[Enter Area(s)]	[Enter Course #]	[Enter Type]	[Enter Date]	[Enter Date]	[Enter Provider]	[Enter Verification]	[Enter Results]	[Enter Refresher]
[Enter RTA Course Name]	[Enter Area(s)]	[Enter Course #]	[Enter Type]	[Enter Date]	[Enter Date]	[Enter Provider]	[Enter Verification]	[Enter Results]	[Enter Refresher]
Equivalencies									
Annual review of transit agency SSPP	1,2	N/A	OJT	N/A	November-05	CoPUC	CoPUC annual review approval orders	N/A	Annual review
Annual review of transit agency SSP	3	N/A	OJT	N/A	November-05	CoPUC	CoPUC annual review approval orders	N/A	Annual review
3-year semi-annual audits of transit agency program implementation	1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 15, 16, 17	N/A	OJT	N/A	March-08	CoPUC	CoPUC approval orders of semi-annual reports and 3-year report to FTA	N/A	Semi-annual review
Performance of FTA RWP audit	9	N/A	OJT	N/A	2/28/2014	CoPUC	CoPUC audit report	N/A	N/A
[Enter Equivalency Name]	[Enter Area(s)]	[Enter Course #]	[Enter Type]	[Enter Date]	[Enter Date]	[Enter Provider]	[Enter Verification]	[Enter Results]	[Enter Refresher]
[Enter Equivalency Name]	[Enter Area(s)]	[Enter Course #]	[Enter Type]	[Enter Date]	[Enter Date]	[Enter Provider]	[Enter Verification]	[Enter Results]	[Enter Refresher]
[Enter Equivalency Name]	[Enter Area(s)]	[Enter Course #]	[Enter Type]	[Enter Date]	[Enter Date]	[Enter Provider]	[Enter Verification]	[Enter Results]	[Enter Refresher]

Sample SSOA Staff Training Plan

Cindy Terry

Contact Information	Phone:	303-894-2849	Email:	cindy.terry@state.co.us	Date Started:	9/25/2017

RTA Training / Equivalency(ies)	Competency Area(s)	Course #	Type	Date Scheduled	Date Completed	Source	Verification Method	Test results, if applicable	Refresher Required?
RTA Training									
CoPUC OJT Training on annual SSPP and SSP review and semi-annual audits	1, 2, 3, 4	N/A	OJT	9/25/2017-3/15/2018	9/26/2017-12/22/2017 (semi-annual audit), 12/4/2017 (SSPP and SSP)	CoPUC	CoPUC approval orders of SSPP, SSP, semi-annual reports and 3-year report to FTA	N/A	Annual
RTD Maintenance of Way Orientation	4, 5, 6, 7, 8, 9, 10, 16	MOW Orientation	Classroom	9/17/2018-10/2/2018	10/2/2018	RTD	RTA training documentation	Training complete	Bi-annual
RTD MOW Track Maintainer Training	11, 12, 14, 15, 16	MOW TM Training	Classroom	[Enter Date]	[Enter Date]	[Enter Provider]	RTA training documentation	[Enter Results]	Bi-annual
RTD MOW Signal & Traction Power Maintenance Training	11, 12, 14, 15, 16, 17	MOW STPM Training	Classroom	10/8/2018-2/15/2019	2/15/2019	RTD	RTA training documentation	Training complete	Bi-annual
RTD LRT Vehicle Maintenance Training	11, 12, 13	LRT Veh Maintenance Training	Classroom	9/17/2019 - 1/10/2020	1/10/2020	RTD	RTA training documentation	Training complete	Bi-annual
RTD LRT Vehicle Operator Training	1, 4, 5, 6, 7, 8, 9, 10, 11, 12	LRT Operator Training	Classroom/Field	2/5/2018-3/29/2018	3/29/2018	RTD	RTA training documentation	Passed	Bi-annual
[Enter RTA Course Name]	[Enter Area(s)]	[Enter Course #]	[Enter Type]	[Enter Date]	[Enter Date]	[Enter Provider]	[Enter Verification]	[Enter Results]	[Enter Refresher]
Equivalencies									
[Enter Equivalency Name]	[Enter Area(s)]	[Enter Course #]	[Enter Type]	[Enter Date]	[Enter Date]	[Enter Provider]	[Enter Verification]	[Enter Results]	[Enter Refresher]
[Enter Equivalency Name]	[Enter Area(s)]	[Enter Course #]	[Enter Type]	[Enter Date]	[Enter Date]	[Enter Provider]	[Enter Verification]	[Enter Results]	[Enter Refresher]
[Enter Equivalency Name]	[Enter Area(s)]	[Enter Course #]	[Enter Type]	[Enter Date]	[Enter Date]	[Enter Provider]	[Enter Verification]	[Enter Results]	[Enter Refresher]
[Enter Equivalency Name]	[Enter Area(s)]	[Enter Course #]	[Enter Type]	[Enter Date]	[Enter Date]	[Enter Provider]	[Enter Verification]	[Enter Results]	[Enter Refresher]
[Enter Equivalency Name]	[Enter Area(s)]	[Enter Course #]	[Enter Type]	[Enter Date]	[Enter Date]	[Enter Provider]	[Enter Verification]	[Enter Results]	[Enter Refresher]
[Enter Equivalency Name]	[Enter Area(s)]	[Enter Course #]	[Enter Type]	[Enter Date]	[Enter Date]	[Enter Provider]	[Enter Verification]	[Enter Results]	[Enter Refresher]
[Enter Equivalency Name]	[Enter Area(s)]	[Enter Course #]	[Enter Type]	[Enter Date]	[Enter Date]	[Enter Provider]	[Enter Verification]	[Enter Results]	[Enter Refresher]

Sample SSOA Staff Training Plan

Jessica Sava

Contact Information	Phone:	303-894-2877	Email:	jessica.sava@state.co.us	Date Started:	9/25/2017

RTA Training / Equivalency(ies)	Competency Area(s)	Course #	Type	Date Scheduled	Date Completed	Source	Verification Method	Test results, if applicable	Refresher Required?
RTA Training									
CoPUC OJT Training on annual SSPP and SSP review and semi-annual audits	1, 2, 3, 4	N/A	OJT	9/25/2017-3/15/2018	9/26/2017-12/22/2017 (semi-annual audit), 12/4/2017 (SSPP and SSP)	CoPUC	CoPUC approval orders of SSPP, SSP, semi-annual reports and 3-year report to FTA	N/A	Annual
RTD Maintenance of Way Orientation	4, 5, 6, 7, 8, 9, 10, 16	MOW Orientation	Classroom	9/17/2018-10/2/2018	10/2/2018	RTD	RTA training documentation	Training complete	Bi-annual
RTD MOW Track Maintainer Training	11, 12, 14, 15, 16	MOW TM Training	Classroom	[Enter Date]	[Enter Date]	[Enter Provider]	RTA training documentation	[Enter Results]	Bi-annual
RTD MOW Signal & Traction Power Maintenance Training	11, 12, 14, 15, 16, 17	MOW STPM Training	Classroom	10/8/2018-2/15/2019	2/15/2019	RTD	RTA training documentation	Training complete	Bi-annual
RTD LRT Vehicle Maintenance Training	11, 12, 13	LRT Veh Maintenance Training	Classroom	9/17/2019 - 1/10/2020	1/10/2020	RTD	RTA training documentation	Training complete	Bi-annual
RTD LRT Vehicle Operator Training	1, 4, 5, 6, 7, 8, 9, 10, 11, 12	LRT Operator Training	Classroom/Field	2/5/2018-3/29/2018	3/29/2018	RTD	RTA training documentation	Passed	Bi-annual
[Enter RTA Course Name]	[Enter Area(s)]	[Enter Course #]	[Enter Type]	[Enter Date]	[Enter Date]	[Enter Provider]	[Enter Verification]	[Enter Results]	[Enter Refresher]
Equivalencies									
[Enter Equivalency Name]	[Enter Area(s)]	[Enter Course #]	[Enter Type]	[Enter Date]	[Enter Date]	[Enter Provider]	[Enter Verification]	[Enter Results]	[Enter Refresher]
[Enter Equivalency Name]	[Enter Area(s)]	[Enter Course #]	[Enter Type]	[Enter Date]	[Enter Date]	[Enter Provider]	[Enter Verification]	[Enter Results]	[Enter Refresher]
[Enter Equivalency Name]	[Enter Area(s)]	[Enter Course #]	[Enter Type]	[Enter Date]	[Enter Date]	[Enter Provider]	[Enter Verification]	[Enter Results]	[Enter Refresher]
[Enter Equivalency Name]	[Enter Area(s)]	[Enter Course #]	[Enter Type]	[Enter Date]	[Enter Date]	[Enter Provider]	[Enter Verification]	[Enter Results]	[Enter Refresher]
[Enter Equivalency Name]	[Enter Area(s)]	[Enter Course #]	[Enter Type]	[Enter Date]	[Enter Date]	[Enter Provider]	[Enter Verification]	[Enter Results]	[Enter Refresher]
[Enter Equivalency Name]	[Enter Area(s)]	[Enter Course #]	[Enter Type]	[Enter Date]	[Enter Date]	[Enter Provider]	[Enter Verification]	[Enter Results]	[Enter Refresher]
[Enter Equivalency Name]	[Enter Area(s)]	[Enter Course #]	[Enter Type]	[Enter Date]	[Enter Date]	[Enter Provider]	[Enter Verification]	[Enter Results]	[Enter Refresher]

Sample SSOA Staff Training Plan

Julie Whalen

Contact Information	Phone:	303-894-2863	Email:	julie.whalen@state.co.us	Date Started:	10/30/2017

RTA Training / Equivalency(ies)	Competency Area(s)	Course #	Type	Date Scheduled	Date Completed	Source	Verification Method	Test results, if applicable	Refresher Required?
RTA Training									
CoPUC OJT Training on annual SSPP and SSP review and semi-annual audits	1, 2, 3, 4	N/A	OJT	9/25/2017-3/15/2018	10/30/2017 (semi-annual audit), 12/4/2017 (SSPP and SSP)	CoPUC	CoPUC approval orders of SSPP, SSP, semi-annual reports and 3-year report to FTA	N/A	Annual
RTD Maintenance of Way Orientation	4, 5, 6, 7, 8, 9, 10, 16	MOW Orientation	Classroom	9/17/2018-10/2/2018	10/2/2018	RTD	RTA training documentation	Training complete	Bi-annual
RTD MOW Track Maintainer Training	11, 12, 14, 15, 16	MOW TM Training	Classroom	[Enter Date]	[Enter Date]	[Enter Provider]	RTA training documentation	[Enter Results]	Bi-annual
RTD MOW Signal & Traction Power Maintenance Training	11, 12, 14, 15, 16, 17	MOW STPM Training	Classroom	10/8/2018-2/15/2019	2/15/2019	RTD	RTA training documentation	Training complete	Bi-annual
RTD LRT Vehicle Maintenance Training	11, 12, 13	LRT Veh Maintenance Training	Classroom	9/17/2019 - 1/10/2020	1/10/2020	RTD	RTA training documentation	Training complete	Bi-annual
RTD LRT Vehicle Operator Training	1, 4, 5, 6, 7, 8, 9, 10, 11, 12	LRT Operator Training	Classroom/Field	2/5/2018-3/29/2018	3/29/2018	RTD	RTA training documentation	Passed	Bi-annual
[Enter RTA Course Name]	[Enter Area(s)]	[Enter Course #]	[Enter Type]	[Enter Date]	[Enter Date]	[Enter Provider]	[Enter Verification]	[Enter Results]	[Enter Refresher]
Equivalencies									
[Enter Equivalency Name]	[Enter Area(s)]	[Enter Course #]	[Enter Type]	[Enter Date]	[Enter Date]	[Enter Provider]	[Enter Verification]	[Enter Results]	[Enter Refresher]
[Enter Equivalency Name]	[Enter Area(s)]	[Enter Course #]	[Enter Type]	[Enter Date]	[Enter Date]	[Enter Provider]	[Enter Verification]	[Enter Results]	[Enter Refresher]
[Enter Equivalency Name]	[Enter Area(s)]	[Enter Course #]	[Enter Type]	[Enter Date]	[Enter Date]	[Enter Provider]	[Enter Verification]	[Enter Results]	[Enter Refresher]
[Enter Equivalency Name]	[Enter Area(s)]	[Enter Course #]	[Enter Type]	[Enter Date]	[Enter Date]	[Enter Provider]	[Enter Verification]	[Enter Results]	[Enter Refresher]
[Enter Equivalency Name]	[Enter Area(s)]	[Enter Course #]	[Enter Type]	[Enter Date]	[Enter Date]	[Enter Provider]	[Enter Verification]	[Enter Results]	[Enter Refresher]
[Enter Equivalency Name]	[Enter Area(s)]	[Enter Course #]	[Enter Type]	[Enter Date]	[Enter Date]	[Enter Provider]	[Enter Verification]	[Enter Results]	[Enter Refresher]
[Enter Equivalency Name]	[Enter Area(s)]	[Enter Course #]	[Enter Type]	[Enter Date]	[Enter Date]	[Enter Provider]	[Enter Verification]	[Enter Results]	[Enter Refresher]

Sample SSOA Tech Expert Training Plan

[Enter SSOA Tech Expert Name]

Contact Information		Phone:	[Enter Phone #]	Email:	[Enter Email]	Date Started:	[Enter Date]

Use the table below to document competencies that the SSOA PT Tech Expert has already achieved or plans to achieve through training, education, experience, etc.

RTA Training / Equivalency(ies)	Competency Area(s)	Course #	Type	Date Scheduled	Date Completed	Source	Verification Method	Test results, if applicable	Refresher Required?
Step 1: In the box below, enter the title of the RTA Training Course or the Equivalency your SSOA is using, or plans to use, in order to meet the technical requirement of the competency area.	*Step 2 : In the box below, e nter the competency area number. You may enter more than one competency as needed.*	*Step 3: In the box below, e nter the training course number. For equivalencies that did not require a specific course, use "NA."*	*Step 4: In the box below, e nter the type of training / equivalency: (classroom, e-Learning, OJT, Meeting, other).*	*Step 5: In the box below, e nter the date the RTA training / equivalency is scheduled or planned.*	*Step 6: In the box below, e nter the date the RTA training / equivalency was completed.*	*Step 7: In the box below, e nter the organization or agency that provided the training. Typical sources include the RTA, TSI, NTSB, Universities and On-Line Training Providers, the SSOA, industry associations, contractors/vendors and FTA.*	*Step 8: In the box below, i dentify the verification method that FTA can use to confirm completion of training.*	*Step 9: In the box below, e nter exam results by pass, not applicable (NA), or other. You do not have to enter in specific test scores.*	*Step 10: In the box below, i ndicate if refresher training is required to maintain the certification conferred by the RTA training course or equivalency.*
RTA Training									
[Enter RTA Course Name]	[Enter Area(s)]	[Enter Course #]	[Enter Type]	[Enter Date]	[Enter Date]	[Enter Provider]	[Enter Verification]	[Enter Results]	[Enter Refresher]
[Enter RTA Course Name]	[Enter Area(s)]	[Enter Course #]	[Enter Type]	[Enter Date]	[Enter Date]	[Enter Provider]	[Enter Verification]	[Enter Results]	[Enter Refresher]
[Enter RTA Course Name]	[Enter Area(s)]	[Enter Course #]	[Enter Type]	[Enter Date]	[Enter Date]	[Enter Provider]	[Enter Verification]	[Enter Results]	[Enter Refresher]
[Enter RTA Course Name]	[Enter Area(s)]	[Enter Course #]	[Enter Type]	[Enter Date]	[Enter Date]	[Enter Provider]	[Enter Verification]	[Enter Results]	[Enter Refresher]
[Enter RTA Course Name]	[Enter Area(s)]	[Enter Course #]	[Enter Type]	[Enter Date]	[Enter Date]	[Enter Provider]	[Enter Verification]	[Enter Results]	[Enter Refresher]
[Enter RTA Course Name]	[Enter Area(s)]	[Enter Course #]	[Enter Type]	[Enter Date]	[Enter Date]	[Enter Provider]	[Enter Verification]	[Enter Results]	[Enter Refresher]
[Enter RTA Course Name]	[Enter Area(s)]	[Enter Course #]	[Enter Type]	[Enter Date]	[Enter Date]	[Enter Provider]	[Enter Verification]	[Enter Results]	[Enter Refresher]
Equivalencies									
[Enter Equivalency Name]	[Enter Area(s)]	[Enter Course #]	[Enter Type]	[Enter Date]	[Enter Date]	[Enter Provider]	[Enter Verification]	[Enter Results]	[Enter Refresher]
[Enter Equivalency Name]	[Enter Area(s)]	[Enter Course #]	[Enter Type]	[Enter Date]	[Enter Date]	[Enter Provider]	[Enter Verification]	[Enter Results]	[Enter Refresher]
[Enter Equivalency Name]	[Enter Area(s)]	[Enter Course #]	[Enter Type]	[Enter Date]	[Enter Date]	[Enter Provider]	[Enter Verification]	[Enter Results]	[Enter Refresher]
[Enter Equivalency Name]	[Enter Area(s)]	[Enter Course #]	[Enter Type]	[Enter Date]	[Enter Date]	[Enter Provider]	[Enter Verification]	[Enter Results]	[Enter Refresher]
[Enter Equivalency Name]	[Enter Area(s)]	[Enter Course #]	[Enter Type]	[Enter Date]	[Enter Date]	[Enter Provider]	[Enter Verification]	[Enter Results]	[Enter Refresher]
[Enter Equivalency Name]	[Enter Area(s)]	[Enter Course #]	[Enter Type]	[Enter Date]	[Enter Date]	[Enter Provider]	[Enter Verification]	[Enter Results]	[Enter Refresher]
[Enter Equivalency Name]	[Enter Area(s)]	[Enter Course #]	[Enter Type]	[Enter Date]	[Enter Date]	[Enter Provider]	[Enter Verification]	[Enter Results]	[Enter Refresher]

List of Reports Available through Colorado Public Utilities Commission Website and E-Filings Website

Program Standard – 4 *Code of Colorado Regulations* 723-7- 7340-7355 available from the PUC website at: https://puc.colorado.gov/pucrules

E-Filings Website: https://www.dora.state.co.us/pls/efi/EFI.homepage

Public Transportation Agency Safety Plan - Proceeding No. 20A-0421R

PTASP Commission Order Approval – Proceeding No. 20A-0421R

Spring 2020 Semiannual Audit 1 – Proceeding No. 20M-0109R

Fall 2020 Semiannual Audit 2 – Proceeding No. 20M-0109R

RTD 2020 Annual Safety Report – Proceeding No. 21A-0077R