COLORADO

Department of Regulatory Agencies

Public Utilities Commission

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

Date: March 6, 2023

Ms. Joseph DeLorenzo
Associate Administrator
Chief Safety Officer
Office of Transit Safety and Oversight
Federal Transit Administration
1200 New Jersey Avenue SE,
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 Mr. DeLorenzo:

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 spring of 2023. 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. Copy of CoPUC Spring 2022 audit report with the Commission Decision approving the Staff semi-annual audit report attached (the Fall 2022 audit is still ongoing because of FTA December 2022 audit, and should be completed in Spring 2023);
3. Copy of RTD 2023 Public Transportation Safety Plan (PTASP)
4. Copy of CoPUC Decision No. C22-0713 and attached checklist approving RTD's 2023 Public Transportation Agency Safety Plan;
5. Copy of CoPUC Program Standard – 4 *Code of Colorado Regulations* 723-7-7340 through 7355;
6. Copy of SSOA TTP Template Colorado PUC Revised 3/1/2023;
7. Copy of Annual Spend Plan;
8. Copy of CoPUC Organizational Chart as of 3/1/2023;
9. Copy of RTD Internal Safety Reviews for Winter of 2002 (Summer ISR is still ongoing due to FTA audit in December 2022);
10. Copies of all Corrective Action Plans issued during calendar year 2022;
11. CoPUC additional information for accident events reported to FTA.

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The CoPUC has reviewed and adopted all accident reports as outlined within the SSOR. 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. 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 and was recertified on July 7, 2022. Ms. Cindy Terry, Ms. Jessica Sava, and Ms. Julie Whalen have completed all their required TSI classes. Jessica, Cindy, and Julie have completed all required transit agency training including RTD Operator Training, MOW Orientation, Signal and Traction Power Training and RTD Vehicle Maintenance Training, and RTD Track Training. They completed all required training on May 7, 2021 and are now certified. Their recertification is due this year.

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,

G. Harris Adams
Interim 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. Dan McClain, RTD
        Mr. Richard Lobato, RTD

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Mr. Mathew Cross, RTD
Mr. Jose Alverado, RTD
Mr. Nathan Marx, RTD
Mr. Dave Jensen, RTD
Ms. Mai Vigil, RTD
Mr. Jimmy Vigil, RTD
File

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

State Safety
Oversight
Program

Annual Reporting Template

2022

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: 3/15/2023**

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	303-299-6000

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 Specialist					jessica.sava@state.co.us	2017
SSOA Alternate	Ms.	Cindy	Terry	SSO Program Engineer					cindy.terry@state.co.us	2017
SSOA Alternate	Ms.	Julie	Whalen	SSO Program Safety Specialist					julie.whalen@state.co.us	2017
SSOA Primary	Dr.	Pamela	Fischhaber	Deputy Director Public Safety/ Chief of Rail/Transit					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	Ms.	Debra	Johnson	General Manager/CEO	1600 Blake Street, Denver, CO 80202				debra.johnson@rtd-denver.com
Denver Regional Tra	Safety Primary	Mr.	Dan	McClain	Chief Safety Officer	1600 Blake Street, Denver, CO 80202				dan.mcclain@rtd-Denver.com
Denver Regional Tra	Security Primary	Dr.	Joel	Fitzgerald	Chief of Transit Police and	1600 Blake Street, Denver, CO 80202	(PRIMARY) 303-299-3491			joel.fitzgerald@rtd-denver.com
Denver Regional Tra	Security Primary	Mr.	Robert	Grado	Chief of Police	1600 Blake Street, Denver, CO 80202				robert.grado@rtd-denver.com
Denver Regional Tra	Security Primary	Mr.	Steve	Martingano	Acting Chief of Police	1660 Blake Street,, Denver, CO 80202	(PRIMARY) 303-299-3323			steve.martingano@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			Has this staff member's annual hours devoted to the SSO program increased or decreased since last year?
SOA Employee Name	**Title**	**Hours Worked**	
Julie Whalen	SSO Program Safety Specialist	2080	Increased
Jessica Sava	SSO Program Safety Specialist	2080	Increased
Cindy Terry	SSO Program Engineer	2080	Increased
Pamela Fischhaber	Deputy Director Public Safety/ C	312	Decreased

Use and payment of Contractors in			Has your budget for this contractor increased or decreased since last year?
Contracted Duties	**Contractor Hours**	**Contractor Costs**	

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	72	16	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	Effective Date	Version Date	Submitted to FTA?
Colorado Public Utilities Commis	Annual Safety Status Report to Board of Directors or Equivalent Entit	3/6/2023	3/11/2022	Yes
Colorado Public Utilities Commis	Annual Safety Status Report to FTA	3/6/2023	3/11/2022	Yes
Colorado Public Utilities Commis	Annual Safety Status to Governor	3/6/2023	3/11/2022	Yes
Colorado Public Utilities Commis	Annual Spend Plan for the Reporting Year	3/1/2022	3/11/2022	Yes
Colorado Public Utilities Commis	Certificate of Compliance	3/6/2023	3/11/2022	Yes
Colorado Public Utilities Commis	Organizational Chart	3/1/2023	3/11/2022	Yes
Colorado Public Utilities Commis	Program Standard	6/30/2022	3/11/2022	Yes
Colorado Public Utilities Commis	Technical Training Plan	3/1/2023	3/11/2022	Yes
Denver Regional Transit District	Public Transportation Agency Safety Plan (PTASP)	11/18/2022	1/1/2022	Yes
Denver Regional Transit District	Public Transportation Agency Safety Plan (PTASP) Approval Letter	11/18/2022	1/1/2022	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	Safety	Fall 2021 Semiann	10/5/2021	56	No	3/2/2022	4/11/2022	Yes	5
Denver Regional Transit District	Safety	Spring 2022 Semia	4/11/2022	67	No	7/21/2022	9/14/2022	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(d))	Investigation Report Adopted by SSOA? (§674.35(b))	Reason Investigation was not Reviewed & Adopted	Probable Cause (§674.35(d))	Updated Probable Cause	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	A1-01022022	1/2/2022	5:10 PM	Light Rail	RGX Collision	Non Transit Motor Vehicle (POV)	Right-of-way: grade crossing	Yes		0	0	0	0	0	1	0	0	0	1	RTD	Yes		Action of Motorist	n/a	RTA	Yes	Train #71/LRV #122 was struck by vehicle #2; driver of vehicle #2 failed to obey stop sign taking the right of way from the train.	No
Denver Regional Transit District	A1-01082022	1/8/2022	9:58 AM	Light Rail	RGX Collision	Non Transit Motor Vehicle (POV)	Right-of-way: grade crossing	Yes		0	0	0	0	0	0	0	0	0	0	RTD	Yes		Action of Motorist	n/a	RTA	Yes	Train #8/LRV #325 was struck by vehicle #2; driver of vehicle #2 failed to obey traffic sign taking the right of way from the train.	No
Denver Regional Transit District	A1-01232022	1/23/2022	1:47 PM	Light Rail	Derailment		Revenue facility: transit station	Yes		0	0	0	0	0	0	0	0	0	0	RTD	Yes		Operating Rule	n/a	RTA	No.	Train #34/LRV #270 derailed center truck set on switch 195B.	Yes
Denver Regional Transit District	A1-01282022	1/28/2022	8:06 PM	Light Rail	RGX Collision	Non Transit Motor Vehicle (POV)	Right-of-way: grade crossing	Yes		0	0	0	0	0	0	0	0	0	0	RTD	Yes		Action of Motorist	n/a	RTA	Yes	Train #53/LRV #249 was struck by vehicle #2; driver of vehicle #2 failed to obey traffic signal taking right of way from train.	No
Denver Regional Transit District	A1-02082022	2/8/2022	6:58 PM	Light Rail	RGX Collision	Non Transit Motor Vehicle	Right-of-way: grade crossing	Yes		0	0	0	0	0	0	0	0	0	0	RTD	Yes		Action of Motorist	n/a	RTA	Yes	Train #13/LRV #295 was struck by vehicle #2; driver of vehicle #2 wrong way on one-way alley and struck train.	No
Denver Regional Transit District	A1-03272022	3/27/2022	1:56 AM	Light Rail	RGX Collision	Non Transit Motor Vehicle (POV)	Right-of-way: grade crossing	Yes		0	0	0	0	0	0	0	0	0	0	RTD	Yes		Action of Motorist	n/a	RTA	Yes	Train #11/LRV #202 was struck by vehicle #2; driver of vehicle #2 failed to obey traffic signal.	No
Denver Regional Transit District	A1-04052022	4/5/2022	9:57 PM	Light Rail	Collision (non-RGX)	Fixed Object	Non-revenue facility	No	35 minutes late	0	0	0	0	0	0	0	0	0	0	RTD	Yes		Operating Rule	n/a	RTA	No	LRV #288 was being moved into the rail facility wash bay on north side; LRV was on track 14N. During this time, the region was experiencing extremely high	Yes
Denver Regional Transit District	A2-04302022	4/30/2022	4:36 PM	Light Rail	Collision (non-RGX)	Person	Right-of-way: not a grade crossing	Yes		0	0	1	0	1	0	0	0	0	0	RTD	Yes		Trespasser	n/a	RTA	No	Train #71/LRV #232 was proceeding westbound from the Zuni St crossing when operator noticed an individual that was in adjacent parking lot running towards the alignment; the individual climbed/scaled the fence into the exclusive right of way and into the path of the train. The trespasser was a fatality at the scene.	No
Denver Regional Transit District	A1-06192022	6/19/2022	4:34 AM	Light Rail	Collision (non-RGX)	Person	Right-of-way: not a grade crossing	Yes		0	0	1	0	1	0	0	0	0	0	RTD	Yes		Trespasser	n/a	RTA	No	Train #14/LRV #127 struck a trespasser that was along exclusive right of way/alignment; operator initially believed contact was made with a metal object.	No
Denver Regional Transit District	A1-09172022	9/17/2022	9:52 PM	Light Rail	Other - Other		Right-of-way	Yes		0	0	0	0	0	0	0	1	0	1	RTD	Yes		Trespasser	n/a	RTA	No	Individual that was eluding Denver Police Department following a traffic accident on the adjacent interstate jumped the fence that surrounds the exclusive right of way east (south) of University Station; the trespasser jumped from the sound wall to the ballasted area below fracturing both ankles. At no time were transit vehicles involved in the event leading to the injuries sustained by individual.	No
Denver Regional Transit District	A1-09212022	9/21/2022	3:42 PM	Light Rail	Derailment		Right-of-way: grade crossing	Yes		0	0	0	0	0	3	0	0	0	3	RTD	Yes		Operating Rule	n/a	RTA	No	Operator of Train #21/LRV #316 derailed train consist (two LRV's)	Yes
Denver Regional Transit District	A1-09262022	9/26/2022	3:15 AM	Light Rail	Collision (non-RGX)	Fixed Object	Right-of-way: not a grade crossing	No	Reported Late from RTA	0	0	0	0	0	0	0	0	0	0	RTD	Yes		Operating Rule Violation/Human Factors	n/a	RTA	No	Ballast Regulator backing up contacted and bent Overhead Catenary Pole; some damage to Ballast Regulator	Yes
Denver Regional Transit District	A1-09292022	9/29/2022	5:39 AM	Light Rail	RGX Collision	Grade	Right-of-way: grade crossing	No	Reported late	0	0	0	0	0	0	0	0	0	0	RTD	Yes		Action of Motorist	n/a	RTA	No	Prior to the arrival of outbound train #71/LRV #309 arriving at the grade crossing, the crossing devices deployed as usual; just after deployment, two automobiles	No
Denver Regional Transit District	A1-10272022	10/27/2022	8:53 PM	Light Rail	Collision (non-RGX)	Person	Right-of-way: not a grade crossing	Yes		0	0	1	0	1	0	0	0	0	0	RTD	Yes		Suicides	n/a	RTA	No	Train #34/LRV #232 struck a trespasser that had laid down within the exclusive right of way; the trespasser laid head down on rail to watch approaching train. Operator went into emergency braking once LRV headlight illuminated the situation; operator was unable to avoid contact. Trespasser was pronounced by Douglas County medical examiner.	

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	Spring 2020 Semiannu	CAP3-11132020	Yes	Open	1) Develop agency risk registry;		6/30/2023		RTD CSO and AGM Safety,	RTD Safety, Security and As	No	
						2) develop procedure for GM/CSO approval and Board		6/30/2023		RTD CSO and AGM Safety,	RTD Safety, Security and As	No	
						3) Develop enterprise risk framework and provide risk re		6/30/2023		RTD CSO and AGM Safety,	RTD Safety, Security and As	No	
Denver Regional Transit District	Event	Spring 2020 Semiannu	CAP4-11132020	Yes	Open	1) Engineering to provide Safety with copies and finding		9/30/2023		RTD CSO and AGM Safety,	RTD Engineering, Safety, &	No	CoPUC has not been able to v
						Engineering and MOW will perform a GAP analysis of cu		9/30/2023		RTD CSO and AGM Safety,	RTD Engineering, Safety, &	No	
						Document process to evaluate and schedule correction		9/30/2023		RTD CSO and AGM Safety,	RTD Engineering, Safety, &	No	
						Document process for tracking unscheduled emergency		9/30/2023		RTD CSO and AGM Safety,	RTD Engineering, Safety, &	No	
						Safety and Engineering develop a process governing di		9/30/2023		RTD CSO and AGM Safety,	RTD Engineering, Safety, &	No	
						Produce a shared database to capture all bridge inspect		9/30/2023		RTD CSO and AGM Safety,	RTD Engineering, Safety, &	No	
						Produce written coordination procedures concerning ins		9/30/2023		RTD CSO and AGM Safety,	RTD Engineering, Safety, &	No	
						Test and Evaluate all documented procedures		9/30/2023		RTD CSO and AGM Safety,	RTD Engineering, Safety, &	No	
						Finalize and implement documented Bridge inspection a		9/30/2023		RTD CSO and AGM Safety,	RTD Engineering, Safety, &	No	
Denver Regional Transit District	Event	3368158	CAP1-04012020	Yes	Open	1) Findings 1&3 - Recurring refresher Training of all LRT		9/30/2023		RTD Rail Operation Manage	Rail Operations, Safety	No	
Denver Regional Transit District	Event	RTD Summer 2021 ISF	CAP1-10122020	Yes	Open	Include in next revision of SOP 103.2 in June 2021 the p		9/30/2023		RTD Rail Operation Manage	Rail Operations, Safety	No	CoPUC has not been able to v
						2) SOP 103.2 Updated;		9/30/2023		RTD Rail Operation Manage	Rail Operations, Safety	No	CoPUC has not been able to v
						3) Implement event notification, reporting and investigati		9/30/2023		RTD Rail Operation Manage	Rail Operations, Safety	No	
Denver Regional Transit District	Event	RTD Summer 2021 ISF	CAP2-10122020	Yes	Open	Finalize process to ensure risk management plans and f		9/30/2023		RTD Rail Operation Manage	Rail Operations, Safety	No	
						3) develop enterprise framework and present to board		9/30/2023		RTD Rail Operation Manage	Rail Operations, Safety	No	
Denver Regional Transit District	Event	Spring 2020 Semiannu	CAP5-11132020	Yes	Open	Engineering and Safety will collaborate to procure a writt		9/30/2023		RTD MOW General Superin	RTD Engineering, Safety, &	No	
						2) Engineering and MOW will perform a Gap Analysis of		9/30/2023		RTD MOW General Superin	RTD Engineering, Safety, &	No	
						3) Document process to evaluate and schedule correctic		9/30/2023		RTD MOW General Superin	RTD Engineering, Safety, &	No	
						6) Produce a shared database to capture all bridge insp		9/30/2023		RTD MOW General Superin	RTD Engineering, Safety, &	No	
						8) Test and Evaluate all documented procedures by Mar		9/30/2023		RTD MOW General Superin	RTD Engineering, Safety, &	No	
						Finalize and implement documented Bridge inspection a		9/30/2023		RTD MOW General Superin	RTD Engineering, Safety, &	No	
Denver Regional Transit District	Event	Spring 2020 Semiannu	CAP6-11132020	Yes	Open	1) Interim - document daily work/labor into Maximus; 2)T		9/30/2023		RTD MOW General Superin	RTD MOW	No	CoPUC has not yet verified im
						3) final process and procedure docuentation updates co		9/30/2023		RTD MOW General Superin	RTD MOW	No	CoPUC has not yet verified im
Denver Regional Transit District	Event	Spring 2020 Semiannu	CAP7-11132020	Yes	Open	1) Interim - document daily work/labor of all MOW emplo		9/30/2023		RTD MOW General Superin	RTD MOW	No	
Denver Regional Transit District	Event	Spring 2020 Semiannu	CAP8-11132020	Yes	Open	1) Interim: RTD will document the requirements included		9/30/2023		RTD MOW General Superin	RTD MOW	No	CoPUC has not been able to v
						2) Final: Standard Operating Procedure (SOP) 103.2 Ac		9/30/2023		RTD MOW General Superin	RTD MOW	No	CoPUC has not been able to v
						3)Final: RTD has implemented the Event Notification, Re		9/30/2023		RTD MOW General Superin	RTD MOW	No	
Denver Regional Transit District	Event	Spring 2020 Semiannu	CAP9-11132020	Yes	Open	1) Continuation of SMS and OSHA recommended trainin		9/30/2023		Safety & Environmental, LR	Rail Operations, Safety	No	
						3) Meet with each business unit to integrate into their ex		9/30/2023		Safety & Environmental, LR	Rail Operations, Safety	No	
						4) Document and track agency's Safety Training matrix,		9/30/2023		RTD Rail Operation Manage	Rail Operations, Safety	No	
Denver Regional Transit District	Event	Spring 2020 Semiannu	CAP10-11132020	Yes	Open	Update PTASP with requirements of 49 cfr 672		9/30/2023		RTD CSO and AGM Safety,	Rail Operations, Safety	No	
						Completion of required training.		9/30/2023		RTD Manager of Training	RTD Training	No	
Denver Regional Transit District	Event	RTD Summer 2021 ISF	CAP1-12182020	Yes	Open	RTD will develop and implement processes as identified		6/30/2023		RTD CSO and AGM Safety,	Rail Operations, Safety	No	
Denver Regional Transit District	Event	RTD Summer 2021 ISF	CAP2-12182020	Yes	Open	Light rail MOW will develop formalized documentation de		9/30/2023		RTD MOW General Superin	RTD MOW	No	
Denver Regional Transit District	Event	Spring 2022 Semiannu	CAP4-12182020	Yes	Open	Develop and establish a timeframe (based on the risk ma		6/30/2023		RTD CSO and AGM Safety,	Rail Operations, Safety	No	
Denver Regional Transit District	Event	RTD Summer 2021 ISF	CAP5-12182020	Yes	Open	Develop and establish a plan to address issues of non-c		6/30/2023		RTD CSO and AGM Safety,	Rail Operations, Safety	No	
Denver Regional Transit District	Event	RTD Summer 2021 ISF	CAP9-12182020	Yes	Open	Develop and establish formalized documentation on how		9/30/2023		RTD Rail Operation Manage	Rail Operations, Safety	No	
Denver Regional Transit District	Event	RTD Summer 2021 ISF	CAP12-12182020	Yes	Open	Develop formal documentation describing how to identify		9/30/2023		RTD MOW General Superin	RTD MOW	No	
Denver Regional Transit District	Event	RTD Summer 2021 ISF	CAP14-12182020	Yes	Open	Develop and establish an overarching Emergency Respo		9/30/2023		RTD Rail Operation Manage	Rail Operations, Safety	No	
Denver Regional Transit District	Event	3348889	CAP1-12072020	Yes	Open	LRVM completed refresher training on yard operations a		9/30/2023		RTD Training Manager	RTD Training	No	
Denver Regional Transit District	Event	Fall 2020 Semiannual /	CAP1-01282021	Yes	Open	RTD will continue implementation of CORITY and the cu		6/30/2023		RTD CSO and AGM Safety,	Rail Operations, Safety	No	
						RTD will perform a gap analysis of existing formal and ir		6/30/2023		RTD CSO and AGM Safety,	Rail Operations, Safety	No	
						RTD will re-communicate the employee protections for s		6/30/2023		RTD CSO and AGM Safety,	Rail Operations, Safety	No	
Denver Regional Transit District	Event	Fall 2020 Semiannual /	CAP03-01282021	Yes	Open	Perform a Gap analysis which considers the identified ne		9/30/2023		RTD CSO and AGM Safety,	Rail Operations, Safety	No	
Denver Regional Transit District	Event	Fall 2020 Semiannual /	CAP04-01282021	Yes	Open	Finalize process to ensure risk management plans are fc		6/30/2023		RTD CSO and AGM Safety,	Rail Operations, Safety	No	unknown
Denver Regional Transit District	Event	Fall 2020 Semiannual /	CAP05-01282021	Yes	Open	RTD will develop and implement processes as identified		9/30/2023		RTD CSO and AGM Safety,	Rail Operations, Safety	No	
Denver Regional Transit District	Event	Fall 2020 Semiannual /	CAP06-01282021	Yes	Open	Finding 1 - Create Traction Power standards that addres		9/30/2023		RTD MOW General Superin	Rail Operations, Safety	No	
						Install Jumper Keeper Alarm system in Signal Maintaine		9/30/2023		RTD MOW General Superin	Rail Operations, Safety	No	Unknown
Denver Regional Transit District	Event	Fall 2020 Semiannual /	CAP08-01282021	Yes	Open	RTD will develop and implement processes and procedu		9/30/2023		RTD CSO and AGM Safety,	Rail Operations, Safety	No	
Denver Regional Transit District	Event	Fall 2020 Semiannual /	CAP09-01282021	Yes	Open	Develop and establish formalized documentation on how		9/30/2023		RTD CSO and AGM Safety,	Rail Operations, Safety	No	Unknown
						As described in the RTD event notification, reporting and		9/30/2023		RTD CSO and AGM Safety,	Rail Operations, Safety	No	unknown
Denver Regional Transit District	Event	3509811	CAP1-10272021	Yes	Open	Apply a bright color to the Elati Maintenance Facility Doc		12/30/2023		General Superintendent Rai	Rail Operations, Safety	No	
						Implement a fatigue awareness program for employees		12/30/2023		General Superintendent Rai	Rail Operations, Safety	No	
Denver Regional Transit District	Event	3614739	CAP1-01232022	Yes	Open	LRV derailed due to bypassing the red signal over a mis		6/30/2023		RTD Transportation LRT Ma	RTD Transportation	No	
						1) Memo to controller- Readback, as well as specific inst		6/30/2023		RTD Transportation LRT Ma	RTD Transportation	No	
						Memo to controllers- avoid giving permissions to make n		6/30/2023		RTD Transportation LRT Ma	RTD Transportation	No	
						Review training on unusual moves on the alignment		6/30/2023		RTD Transportation LRT Ma	RTD Training	No	
						Document all crossovers, tail track, and pocket track usa		6/30/2023		RTD Transportation LRT Ma	RTD Training	No	
Denver Regional Transit District	Train on Train	n/a	CAP1-02152022	Yes	Open	Evaluated mechanic for substance or alcohol influence		6/30/2023		RTD Rail Operation Manage	RTD Facilities Management	Yes	
						Held staff meetings with the employees to go over the ya		6/30/2023		RTD Manager of Training	RTD Facilities Management	No	
						Enforce rules issuing discipline to effected employees		6/30/2023		RTD Rail Operation Manage	RTD Facilities Management	No	
						Meet with the supervisors to ensure better communicatic		6/30/2023		RTD Rail Operation Manage	RTD Facilities Management	No	
						Training Material Review		6/30/2023		RTD Manager of Training	RTD Training	No	
						Updated SOP 104.4 Yard Operations		6/30/2023		RTD Manager of Training	RTD Training	No	
						Documentation of communication of changes to LRV Ma		6/30/2023		RTD Rail Operation Manage	RTD Facilities Management	No	
Denver Regional Transit District	Event	3658699	CAP1-04052022	Yes	Open	Operator received refresher training on 104.4 Yard and S		4/13/2022	4/13/2022	RTD Training Manager	RTD Training	No	
						Obtain ICRC approval, if needed, and installation of long		5/31/2023		Supervisor Facility Maintena	RTD Facilities Management	No	
Denver Regional Transit District	LRV on LRV	n/a	CAP1-08052022	Yes	Open	Review and retrain all third shift personnel, represented		8/20/2022	8/10/2022	RTD Manager of Training	RTD Training	No	none

Agency	Type	Source	CAP ID	Open?	Status	Action	Due Date	Completed Date	Responsible	Department	Verified	Notes
						Equipment Operator/Track Maintainer disciplined in acco	8/20/2022	8/18/2022	RTD MOW General Superin	RTD MOW	No	none
						Implement specific requirements in Internal Work Instruc	3/31/2023		RTD Manager of Training	RTD Training	No	
						Refresher training for MOW Supervisors on scope of Eve	3/31/2023		RTD Substance Abuse Man	RTD Training	No	
Denver Regional Transit District	Event	RTD Summer 2021 ISF	CAP8-02112022	Yes	Open	Ultrasonic testing (UT) was done by contractor in 2022 a	9/30/2023		RTD MOW General Superin	RTD MOW	No	
Denver Regional Transit District	Event	RTD Winter 2021 ISR	CAP1-11112021	Yes	Open	Asset management does collect and analyze equipment	9/30/2023		Supervisor Facility Maintena	RTD Vehicle Maintenance	No	
Denver Regional Transit District	Event	RTD Summer 2021 ISF	CAP2-11112021	Yes	Open	Develop a process documented in an Internal Work Instr	9/30/2023		RTD Rail Operation Manage	RTD Transportation	No	none
Denver Regional Transit District	Event	RTD Spring 2021 Audit	CAP5-12282021	Yes	Open	Processes and procedures for switch Turnout and Cross	9/30/2023		AGM Light Rail Dave Jensor	RTD Safety	No	none
Denver Regional Transit District	Event	RTD Spring 2021 Audit	CAP6-12282021	Yes	Open	Develop written procedures or update current procedure	9/30/2023		AGM Light Rail Dave Jensor	RTD Vehicle Maintenance	No	
						Verify the individuals (by position) to be invited to each a	9/30/2023		AGM Light Rail Dave Jensor	RTD Safety	No	
Denver Regional Transit District	Event	Spring 2022 Semiannu	CAP01-07272022	Yes	Open	1) Form a group of subject matter experts (SME's) to de	3/31/2023		Safety & Environmental, LR	RTD Leadership Committee	No	
						2) Once a baseline is established, RTD will develop perf	3/31/2023		Safety & Environmental, LR	RTD Leadership Committee	No	
Denver Regional Transit District	Event	Spring 2022 Semiannu	CAP02-07272022	Yes	Open	1) Question #1 - Implementation of Operational Risk Ma	6/30/2023		Safety & Environmental, LR	RTD Leadership Committee	No	
						2) Question #4 -The non-infrastructure management of o	6/30/2023		Safety & Environmental, LR	RTD Leadership Committee	No	
						3) Question #5-Once Cority is implemented, the safety	6/30/2023		Safety & Environmental, LR	RTD Leadership Committee	No	
						4) Question #7-CAP01-07272022 has, as part of the CA	6/30/2023		Safety & Environmental, LR	RTD Leadership Committee	No	
						5) Question #11- Develop a process for ensuring high po	6/30/2023		Safety & Environmental, LR	RTD Leadership Committee	No	
Denver Regional Transit District	Event	Spring 2022 Semiannu	CAP03-07272022	Yes	Open	1) Question 7 in regard to infrastructure changes made t	12/31/2023		Safety & Environmental, LR	Capitol Programs and Light	No	
						2) Question 13- note within the PTASP and Light Raill D	12/31/2023		Safety & Environmental, LR	Capitol Programs and Light	No	
						3)Question 14- Review and update the ICRC procedure	12/31/2023		Safety & Environmental, LR	Capitol Programs and Light	No	
						4)Question 15- RTD will examine the Federal Transit Ad	12/31/2023		Safety & Environmental, LR	Capitol Programs and Light	No	
Denver Regional Transit District	Event	Spring 2022 Semiannu	CAP04-07272022	Yes	Open	Formalize the Safety Certification process and determine	6/30/2023		Safety & Environmental, LR	Capitol Programs and Light	No	
Denver Regional Transit District	Event	Spring 2022 Semiannu	CAP05-07272022	Yes	Open	1) Finding 1 - Develop a formalized and approved writter	6/30/2023		RTD MOW General Superin	Rail Operations, Safety	No	
						2) Finding 2 -Within the formalized and approved writter	6/30/2023		RTD MOW General Superin	Rail Operations, Safety	No	
						3) Finding 3 - Within the formalized and approved writter	6/30/2023		RTD MOW General Superin	Rail Operations, Safety	No	
Denver Regional Transit District	Event	Spring 2022 Semiannu	CAP06-07272022	Yes	Open	1) Question 2 - update / revise SOP 104.11 to include th	9/30/2023		AGM Light Rail Dave Jensor	Rail Operations, Safety	No	
						2) Question 4 - Update / revise SOP104.11 to ensure tha	9/30/2023		AGM Light Rail Dave Jensor	Rail Operations, Safety	No	
Denver Regional Transit District	Event	Spring 2022 Semiannu	CAP07-07272022	Yes	Open	Develop a written formalized process outlining the proce	9/30/2023		AGM Light Rail Dave Jensor	Rail Operations, Safety	No	
Denver Regional Transit District	Event	Spring 2022 Semiannu	CAP08-07272022	Yes	Open	Develop a formal written process (Internal Work Instructi	9/30/2023		AGM Light Rail Dave Jensor	Rail Operations, Safety	No	
Denver Regional Transit District	Event	3726836	CAP1-09262022	Yes	Open	Interim: New 2-hr & 24-hr reporting format instituted to e	10/27/2022	10/27/2022	Safety & Environmental, LR	Rail Operations, Safety	No	
						Final #1: Leveraging the Job Hazard Analysis process to	3/31/2023		Safety & Environmental, LR	Rail Operations, Safety	No	
						Final #2: Adjust equipment training to include more hand	3/31/2023		RTD MOW General Superin	RTD MOW	No	
						Final #3: Operation Adjustment - Implement specific req	3/31/2023		RTD MOW General Superin	RTD MOW	No	
						Final #4: Complete assessment and possible addition of	3/31/2023		Safety & Environmental, LR	Rail Operations, Safety	No	
Denver Regional Transit District	Event	3726833	221-0471R CAP1-09	Yes	Open - Overdue	Stop and proceed implementation prior to revenue servic	12/31/2022		AGM Light Rail Dave Jensor	Rail Operations, Safety	No	needs verification
						Reduce speed on Track A approaching the Sable Boule	12/31/2022		AGM Light Rail Dave Jensor	Rail Operations, Safety	No	needs verification
						Add additional signage on Track A to warn of the Sable	12/31/2022		AGM Light Rail Dave Jensor	Rail Operations, Safety	No	needs verification
						Relocation of radar sign further north to allow more adva	12/31/2022		AGM Light Rail Dave Jensor	Rail Operations, Safety	No	needs verification
						Develop a formal plan for implementation of ATS to be in	6/30/2023		AGM Light Rail Dave Jensor	Rail Operations, Safety	No	
Denver Regional Transit District	Event	3726833	221-0471R CAP2-09	Yes	Open - Overdue	Strengthen safety assurance efforts for operator ride che	12/31/2022		AGM Light Rail Dave Jensor	Rail Operations, Safety	No	needs verification
						Create monthly report for lagging indicators and determi	3/21/2023		AGM Light Rail Dave Jensor	Rail Operations, Safety	No	
						Evaluation of on-time performance metric and other met	3/21/2023		AGM Light Rail Dave Jensor	Rail Operations, Safety	No	
						Evaluation of schedule to reduce on-time performance p	3/21/2023		AGM Light Rail Dave Jensor	Rail Operations, Safety	No	
						Light rail operations to develop a business case for supe	3/21/2023		AGM Light Rail Dave Jensor	Rail Operations, Safety	No	
						Evaluate supervisor assignments throughout the system	3/21/2023		AGM Light Rail Dave Jensor	Rail Operations, Safety	No	
Denver Regional Transit District	Event	Fall 2021 Semiannual A	CAP11-03022022	Yes	Closed	1) Develop an Internal Work Instruction (IWI) to formali	12/31/2022	11/8/2022	AGM Light Rail Dave Jensor	Rail Operations, Safety	Yes	None
						2) Develop a tracking mechanism to identify and track	12/31/2022	12/30/2022	AGM Light Rail Dave Jensor	Rail Operations, Safety	Yes	None
Denver Regional Transit District	Event	Fall 2021 Semiannual A	CAP12-03022022	Yes	Closed	1) RTD 's permits need to show the requestor's acknow	9/7/2022	7/11/2022	AGM Light Rail Dave Jensor	Rail Operations, Safety	Yes	None
						2) RTD's existing SOP needs to be updated. Acknowled	9/7/2022	7/11/2022	AGM Light Rail Dave Jensor	Rail Operations, Safety	Yes	None
Denver Regional Transit District	Event	Spring 2020 Semiannu	CAP1-11132020	Yes	Closed - Overdue	1) Finalize the revision of the Record Retention Schedu	3/31/2021	1/5/2022	RTD CSO and AGM Safety,	RTD Safety, Security and As	No	
						2) Use RTD consultants to assist in development of SM	12/31/2021	12/31/2021	RTD CSO and AGM Safety,	RTD Safety, Security and As	No	
Denver Regional Transit District	Monthly PUC/RTD S	n/a	CAP1-02242020	Yes	Closed - Overdue	1) expand and upgrade the "spares" inventory to provide	12/31/2021	4/25/2022	RTD Rail Operation Manage	Rail Operations, Safety	Yes	CoPUC has not been able to v
						2) implement new security architecture – new configurati	6/30/2021	4/25/2022	RTD Rail Operation Manage	Rail Operations, Safety	Yes	CoPUC has not been able to v
						3) Safety department to develop an event notification pr	12/31/2021	4/25/2022	RTD Rail Operation Manage	Rail Operations, Safety	Yes	CoPUC has not been able to v
Denver Regional Transit District	Event	RTD Summer 2021 ISF	CAP3-12182020	Yes	Closed - Overdue	Develop a formalized process to establish safety perforn	12/31/2021	9/26/2022	RTD CSO and AGM Safety,	Rail Operations, Safety	No	
Denver Regional Transit District	Event	RTD Summer 2021 ISF	CAP8-12182020	Yes	Closed - Overdue	Develop and establish formalized documentation on who	12/31/2021	10/11/2022	RTD Rail Operation Manage	Rail Operations, Safety	No	
Denver Regional Transit District	Event	RTD Summer 2021 ISF	CAP7-02112022	Yes	Closed - Overdue	Develop training and work with RTD Human Resources t	8/30/2022	11/7/2022	RTD Manager of Training	RTD Training	Yes	
						Refreshed safety policy posters, and communicated thro	6/30/2023	11/7/2022	RTD Manager of Training	RTD Training	Yes	
Denver Regional Transit District	Event	RTD Winter 2021 ISR	CAP3-11112021	Yes	Closed - Overdue	Update the daily activity log to document that street supe	5/11/2022	6/30/2022	RTD Manager of LRT Trans	RTD Transportation	No	
Denver Regional Transit District	Event	RTD Spring 2021 Audit	CAP4-12282021	Yes	Closed - Overdue	Training on the requirements will be provided to the affe	7/31/2022	11/7/2022	Safety & Environmental, LR	RTD Safety	No	none
Denver Regional Transit District	Event	Fall 2021 Semiannual A	CAP09-03022022	Yes	Closed - Overdue	1) RTD need to establish a policy and procedure for prov	7/31/2022	11/4/2022	AGM Light Rail Dave Jensor	Rail Operations, Safety	Yes	None
						2) The list provided will need to be reviewed to ensure e	7/31/2022	11/4/2022	AGM Light Rail Dave Jensor	Rail Operations, Safety	Yes	None
						3) RTD will provide an alternate list to the CPUC for whe	7/31/2022	11/4/2022	AGM Light Rail Dave Jensor	Rail Operations, Safety	Yes	None
Denver Regional Transit District	Event	Fall 2021 Semiannual A	CAP10-03022022	Yes	Closed - Overdue	1) Establish documentation demonstrating that the plan	11/1/2022	6/30/2022	Safety & Environmental, LR	RTD Leadership Committee	Yes	None
						2) The PTASP will outline the process for how deficienci	11/1/2022	11/7/2022	Safety & Environmental, LR	RTD Leadership Committee	Yes	None