



COLORADO

**Department of
Regulatory Agencies**

Public Utilities Commission

Eric Blank, Chairman
Megan M. Gilman, Commissioner
Tom Plant, Commissioner
Rebecca E. White, Director

Patty Salazar, Executive Director
Jared S. Polis, Governor

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

Date: March 8, 2024

Mr. 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 Regulations* (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 review of the Denver Regional Transportation District (RTD) in 2023 under the 49 CFR §673 and §674 rules. The three-year safety review will be completed in the spring of 2026. New checklists were 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 2023 audit with the Commission Decision approving the Staff semi-annual audit report;
3. Copy of CoPUC Fall 2023 audit with the Commission Decision approving the Staff semi-annual audit report;
4. Copy of RTD 2024 Public Transportation Safety Plan (PTASP);
5. Copy of CoPUC Decision No. C23-0575 and attached checklist approving RTD's 2024 PTASP;
6. Copy of CoPUC Program Standard - 4 *Code of Colorado Regulations* 723-7-7340 through 7355;
7. Copy of CoPUC Technical Training Plan revised 2/29/2024;
8. Copy of CoPUC Financial Plan CO FY24-25;
9. Copy of CoPUC Organizational Chart as of February 2024;
10. Copy of RTD Internal Safety Reviews for Winter 2023 and Summer 2023;
11. Copies of all Corrective Action Plans issued during calendar year 2023;
12. CoPUC additional information for accident events reported to FTA.



Joseph DeLorenzo
March 8, 2024

The CoPUC has reviewed and adopted all 2024 accident reports as outlined within the SSOR. The CoPUC has reviewed and approved all 2024 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 its own compliance with PTASP requirements of rule 7345 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.

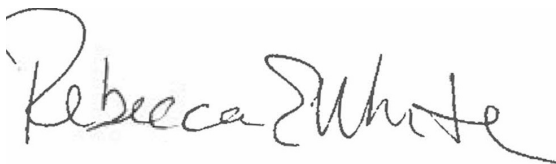
The CoPUC finds that RTD is substantially in compliance with the policies and procedures required under its PTASP.

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 Certification 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 of their required TSI classes, have completed all required transit agency training including RTD Operator Training, MOW Orientation, Signal and Traction Power Training, RTD Vehicle Maintenance Training, and RTD On-Track Training. They completed all required training on May 7, 2021, and were recertified in July 2023.

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,



Rebecca E. White
Director
Colorado Public Utilities Commission



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



**State Safety
Oversight
Program**

Annual Reporting Template

2023

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: 3/15/2024

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
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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
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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
SSOA Alternate	Ms.	Jessica	Sava	SSO Program Safety Specialist				
SSOA Alternate	Ms.	Cindy	Terry	SSO Program Engineer				
SSOA Alternate	Ms.	Julie	Whalen	SSO Program Safety Specialist				
SSOA Primary	Dr.	Pamela	Fischhaber	Deputy Director Public Safety/ Chief of Rail/Transit				

State Oversight Agency Contact Information

SSOA Primary This is the SSO Prog
SSOA Alternate This is the individual(
First Year in SSO Program This is the calendar y

Contact Type	Sal.	First Name	Last Name	Email	First Year in SSO Program
SSOA Alternate	Ms.	Jessica	Sava	jessica.sava@state.co.us	2017
SSOA Alternate	Ms.	Cindy	Terry	cindy.terry@state.co.us	2017
SSOA Alternate	Ms.	Julie	Whalen	julie.whalen@state.co.us	2017
SSOA Primary	Dr.	Pamela	Fischhaber	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
Denver Regional Trar CEO		Ms.	Debra	Johnson	General Manager/CEO	1600 Blake Street, Denver, CO 80202			
Denver Regional Trar Safety Primary		Mr.	Dan	McClain	Chief Safety Officer	1600 Blake Street, Denver, CO 80202			
Denver Regional Trar Security Primary		Dr.	Joel	Fitzgerald	Chief of Transit Police and	1600 Blake Street, Denver, CO 80202	(PRIMARY) 303-299-3491		

Rail Fixed Guideway Public Transportation System Contact Information

RFGPTS	Contact Type	Sal.	First Name	Last Name	Title	Email
Denver Regional Trar	CEO	Ms.	Debra	Johnson	General Manager/CEO	debra.johnson@rtd-denver.com
Denver Regional Trar	Safety Primary	Mr.	Dan	McClain	Chief Safety Officer	dan.mcclain@rtd-Denver.com
Denver Regional Trar	Security Primary	Dr.	Joel	Fitzgerald	Chief of Transit Police	anj.joel.fitzgerald@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."

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	Same
Jessica Sava	SSO Program Safety Specialist	2080	Same
Cindy Terry	SSO Program Engineer	2080	Same
Pamela Fischhaber	Deputy Director Public Safety/ C	216	Decreased

State Oversight Agency Program Management Activities

SOA Authority

	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)
Rail Fixed Guideway System								
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		2

Coordination with the RFGPTSS

	How many meetings did SOA personnel attend 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?
Rail Fixed Guideway Public Transportation System			
Denver Regional Transit District	48	68	2

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 Entity	3/8/2023	1/1/2023	Yes
Colorado Public Utilities Commis	Annual Safety Status Report to FTA	3/8/2023	1/1/2023	Yes
Colorado Public Utilities Commis	Annual Safety Status to Governor	3/8/2023	1/1/2023	Yes
Colorado Public Utilities Commis	Annual Spend Plan for the Reporting Year	2/28/2024	3/1/2024	Yes
Colorado Public Utilities Commis	Certificate of Compliance	3/8/2023	1/1/2023	Yes
Colorado Public Utilities Commis	Organizational Chart	2/1/2024	3/1/2024	Yes
Colorado Public Utilities Commis	Other	9/8/2023	9/8/2023	Yes
Colorado Public Utilities Commis	Program Standard	7/5/2022	3/1/2024	Yes
Colorado Public Utilities Commis	Request for Information	5/19/2023	6/27/2023	Yes
Colorado Public Utilities Commis	Technical Training Plan	2/29/2024	3/1/2024	Yes
Denver Regional Transit District	Public Transportation Agency Safety Plan (PTASP)	9/1/2023	3/1/2024	Yes
Denver Regional Transit District	Public Transportation Agency Safety Plan (PTASP) Approval Letter	9/1/2023	3/1/2024	Yes
Denver Regional Transit District	Request for Information	9/8/2023	9/8/2023	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)	Date (if FRA waiver)	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	RTD Fall 2022 Aud	8/15/2022	164	No	1/26/2023	4/24/2023	No	0
Denver Regional Transit District	Safety	2020-2022 RTD 3-y	3/14/2023	2	No	3/16/2023	4/24/2023	No	0
Denver Regional Transit District	Safety	RTD Spring 2023 A	6/6/2023	43	No	7/19/2023	11/22/2023	Yes	2
Denver Regional Transit District	Safety	RTD Fall 2023 Aud	11/21/2023	23	No	12/14/2023	4/1/2024	Yes	1

Event Investigation and Re

Rail Fixed Guideway Public Transportation System	SSO Internal Tracking No. (must be unique)			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))	Updated Probable Cause	Investigation Report Issued By (§674.35(b))	Did this Event require a Tow-Away
		Worker	Total							
Denver Regional Transit District	A1-01022023	0	0	RTD	Yes		Action of Motorist	n/a	RTA	Yes
Denver Regional Transit District	A1-01202023	0	0	RTD	Yes		Action of Motorist	n/a	RTA	Yes
Denver Regional Transit District	A1-02202023	0	1	RTD	Yes		Trespasser	n/a	RTA	No
Denver Regional Transit District	A1-03022023	0	0	RTD	Yes		Operating Rule Violation/Human Factors	n/a	RTA	No
Denver Regional Transit District	A1-03112023	0	0	RTD	Yes		Operating Rule	n/a	RTA	No
Denver Regional Transit District	A1-04062023	0	0	RTD	Yes		Operating Rule Violation/Human Factors	n/a	RTA	No
Denver Regional Transit District	A2-04062023	0	1	RTD	Yes		Action of Motorist	n/a	RTA	Yes
Denver Regional Transit District	A1-06012023	0	0	RTD	Yes		Action of Motorist	n/a	RTA	Yes
Denver Regional Transit District	A1-06082023	0	0	RTD	Yes		Operating Rule	n/a	RTA	No
Denver Regional Transit District	A1-06272023	0	0	RTD	Yes		Operating Rule Violation/Human Factors	n/a	RTA	No
Denver Regional Transit District	A1-08212023	0	0	RTD	Yes		Operating Rule	n/a	RTA	No
Denver Regional Transit District	A1-11162023	0	0	RTD	Yes		Trespasser	n/a	RTA	No
Denver Regional Transit District	A1-11182023	0	0	RTD	Yes		Action of Motorist	n/a	RTA	Yes
Denver Regional Transit District	A1-12302023	0	0	RTD	Yes		Action of Motorist	n/a	RTA	Yes

Event Investigation and Re

Rail Fixed Guideway Public Transportation System	SSO Internal Tracking No. (must be unique)	Description and Comments or Additional Info	Corrective Action Plan Developed?
Denver Regional Transit District	A1-01022023	Train #53/LRV #128 was struck by vehicle #2; driver of vehicle #2 attempted a prohibited left turn into the train.	No
Denver Regional Transit District	A1-01202023	Train #8/LRV #325 was struck by vehicle #2; driver of vehicle #2 attempted to pass between stopped automobiles on cross-street. Driver #2 contacted Train #8; collision sent vehicle #2 into two other parked vehicles.	No
Denver Regional Transit District	A1-02202023	Train #15/LRV #337 struck trespasser approximately 300 feet south of the station platform; the trespasser received a SBI to lower extremity. Trespasser could be	No
Denver Regional Transit District	A1-03022023	T-385 Hy-Rail derailed as it traversed the switch; no damage and no injuries. This was an MOW non-revenue vehicle; there were zero passenger trains involved in this event.	Yes
Denver Regional Transit District	A1-03112023	Train #72/LRV #201 was entering the end of line station at Jeffco; the operator failed to stop the train prior to colliding with the bump-post. This collision resulted	Yes
Denver Regional Transit District	A1-04062023	Train #82/LRV #299 lead truck set derailed at SW330A-SE	Yes
Denver Regional Transit District	A2-04062023	Train #7/LRV #109 struck by vehicle #2; driver of vehicle #2 failed to yield right of way. Driver #2 transported from scene with non-serious injuries.	No
Denver Regional Transit District	A1-06012023	Train #8/LRV #274 was struck by veh. #2; driver of veh. #2 attempted to exit parking garage failing to yield right of way.	No
Denver Regional Transit District	A1-06082023	Light Rail Vehicle Mechanic (LRVM-M) was moving two LRV's in south yard; immediately prior to the event, the LRVM had to couple the two LRV's together.	Yes
Denver Regional Transit District	A1-06272023	Service/Cleaning moving three-car consist south out of track 14 wash bay; all three LRV's had pantograph damage after movement. Determined that overhead door had drifted downward after opening and contacted the bridge-bar; the pantographs contacted the bridge-bar.	Yes
Denver Regional Transit District	A1-08212023	Train #51/LRV's #255 and #303 each traveled on different tracks across a switch; LRV #255 was on track 6 while LRV #303 was on track 4. The couplers from	Yes
Denver Regional Transit District	A1-11162023	Train #53/LRV #267 struck trespasser in exclusive right of way alignment; the contact resulted in a fatality. Denver Police Department assumed event investigation authority.	No
Denver Regional Transit District	A1-11182023	Train #35/LRV #298 struck vehicle #2; driver of vehicle #2 disregarded grade crossing devices and proceeded west-bound in the east-bound lanes into the path of	No
Denver Regional Transit District	A1-12302023	Train #53/LRV #240 was struck by vehicle #2; driver of vehicle #2 made prohibited left turn into path of train.	No

Corrective Action Plans (CAP)

Rail Fixed Guideway Public Transportation System	Source Type	Source ID	CAP Internal Tracking ID	Plan Available?	CAP Status	Identified Action
Denver Regional Transit District	Event	Spring 2020 Semiannual	CAP3-11132020	Yes	Closed	1) Develop agency risk registry; 2) develop procedure for GM/CSO approval and Board approval as needed; 3) Develop enterprise risk framework and provide risk register to Board for consideration and approval
Denver Regional Transit District	Event	3368158	CAP1-04012020	Yes	Closed - Overdue	1) Findings 1&3 - Recurring refresher Training of all LRT Operators and LRV employees will be conducted and documented, 2) Finding 2 - Review, update, and communicate SOP's 103.2, 104.4, 101.10, 102.4, 103.3, 103.6, 103.7, 103.12, 103.15, 103.16, and 105.7 3) Finding 4 & 5 - Incorporate oversight, enhanced investigation and report review processes into SOP's 103.2, 104.4, 101.10, 102.4, 103.3, 103.6, 103.7, 103.12, 103.15, 103.16, and 105.7
Denver Regional Transit District	Event	RTD Summer 2021 ISR	CAP1-10122020	Yes	Closed	Include in next revision of SOP 103.2 in June 2021 the process used by RTD in which RTD reviews investigation reports developed by the PUC and PUC submission of written dissent by: 1) documenting and developing training for requirements spelled out in PTASP; 2) SOP 103.2 Updated; 3) Implement event notification, reporting and investigation policy and process.
Denver Regional Transit District	Event	RTD Summer 2021 ISR	CAP2-10122020	Yes	Closed	Finalize process to ensure risk management plans and formal documents reflect risk, risk assessment, constraints, safety performance metric summary, improve opportunities at both operational level, enterprise level, and risk owner. Steps include: 1) develop risk registry; 2) procedure writing and implementation; 3) develop enterprise framework and present to board
Denver Regional Transit District	Event	Spring 2020 Semiannual	CAP6-11132020	Yes	Closed	1) Interim - document daily work/labor into Maximus; 2) Transition to final - complete gap analysis 3) final process and procedure documentation updates complete
Denver Regional Transit District	Event	Spring 2020 Semiannual	CAP7-11132020	Yes	Closed	1) Interim - document daily work/labor of all MOW employees to include capture of any unscheduled repairs in Maximus; 2) Documented procedure will be developed to capture all MOW unscheduled repairs to include detailed work performed and associated labor hours, daily
Denver Regional Transit District	Event	Spring 2020 Semiannual	CAP8-11132020	Yes	Closed	1) Interim: RTD will document the requirements included in the PTASP, Event Notification Policy and Procedure, and SOP 103.2 and train all Light Rail Controllers. Completion of training will be documented in employee training record. This includes ensuring their understanding of events requiring two-hour reporting to the PUC, how RTD will coordinate with PUC for investigations, Corrective Action Plan requirements, and how RTD will respond to PUC internal investigation requests. RTD will coordinate activities with the PUC during their independent investigations much like we coordinate internal safety reviews and PUC audits until a process is developed in the Cority software. RTD will continue to implement Event Notification, Reporting and Investigation Policy (RTD-SAF-PLY-4002) and the Event Notification, Reporting and Investigation Procedure (RTD-SAF-PRO-4001) that outlines the purpose of and requirements to notify, report, investigate and identify casual factors/mitigations of events. RTD will begin using Cority Software for reporting of all events, accidents, injuries, property damage, near misses, incidents, inspections, and audits in January 2021 2) Final: Standard Operating Procedure (SOP) 103.2 Accident Investigation will be revised to include the PUC and FTA required two-hour notification of events, procedures for coordinating and conducting investigations with the PUC or if PUC conducts its own investigation. 3) Final: RTD has implemented the Event Notification, Reporting and Investigation Policy (RTD-SAF-PLY-4002) and the Event Notification, Reporting and Investigation Process (RTD-SAF-PRO-4001) that outlines the requirements to notify, report, investigate and identify casual factors/mitigations of events. RTD will begin the development of workflows and use of the Cority Safety Management Software for reporting all events, accidents, injuries, property damage, near misses, incident investigations, inspections, and audits in January 2021.
Denver Regional Transit District	Event	Spring 2020 Semiannual	CAP9-11132020	Yes	Open	1) Continuation of SMS and OSHA recommended training; 2) Safety will conduct a gap analysis of safety curriculum and develop a Safety Training Matrix 3) Meet with each business unit to integrate into their existing training programs; 4) Document and track agency's Safety Training matrix, curriculum and program in WorkDay.
Denver Regional Transit District	Event	Spring 2020 Semiannual	CAP10-11132020	Yes	Closed	Update PTASP with requirements of 49 cfr 672 Completion of required training.
Denver Regional Transit District	Event	Light Rail Annual ISR	CAP1-12182020	Yes	Closed	RTD will develop and implement processes as identified in the gap analysis to comply with the requirement of integrating identified problems into the hazard management process.
Denver Regional Transit District	Event	RTD Summer 2021 ISR	CAP2-12182020	Yes	Closed	Light rail MOW will develop formalized documentation describing how to identify damage vs. wear and tear, to ensure all damage is captured and properly investigated to determine the cause and establish correction actions if necessary.
Denver Regional Transit District	Event	Spring 2022 Semiannual	CAP4-12182020	Yes	Closed	Develop and establish a timeframe (based on the risk matrix) to implement a process to determine what is or is not working based on mitigations put in place and that what is performed I provided expected results for Light Rail
Denver Regional Transit District	Event	RTD Summer 2021 ISR	CAP5-12182020	Yes	Closed	Develop and establish a plan to address issues of non-compliance for Light Rail
Denver Regional Transit District	Event	RTD Summer 2021 ISR	CAP12-12182020	Yes	Closed	Develop formal documentation describing how to identify damage vs. normal wear and tear, to ensure all damage is captured and properly investigated to determine the cause and establish correction actions if necessary.
Denver Regional Transit District	Event	RTD Summer 2021 ISR	CAP14-12182020	Yes	Closed - Overdue	Develop and establish an overarching Emergency Response Plan that includes all RTD divisions to provide consistency and alignment in a consolidated Emergency Response Plan for RTD. Determine and establish employee responsibilities and assignments and formally document in the overarching Emergency Response Plan. Develop and establish a formal after-action review process.
Denver Regional Transit District	Event	3348889	CAP1-12072020	Yes	Closed	LRVM completed refresher training on yard operations and shop safety for the LRV Maintenance Service & Cleaning employees. Operator to receive refresher training on SOP 104.4 Yard and Shop Operations and Rule 8.8 Review rules and SOPs related to proper flagging for updates needed and ensure refresher training of LRVM employees performing flagging in the yard is conducted and documented. Review of SOP 104.4 Yard & Shop Operations for updates needed and ensure refresher training of LRT Operator. Provide refresher training for all LRVM/LRT Supervisors on related SOPs. SOP and rule review during recertification training for Operators.
Denver Regional Transit District	Event	Fall 2020 Semiannual	CAP1-01282021	Yes	Closed	RTD will continue implementation of CORITY and the current event notification, reporting, and investigation process. RTD will perform a gap analysis of existing formal and informal processes to determine which need to be updated or created to comply. This will include a review of CORITY software RTD will re-communicate the employee protections for safety reporting to all employees via memo, team meetings and the RTD intranet also known as The HUB
Denver Regional Transit District	Event	Fall 2020 Semiannual	CAP03-01282021	Yes	Closed - Overdue	Perform a Gap analysis which considers the identified needs and review of all existing RTD emergency response plans and SOP's to provide consistency and alignment in a consolidated Emergency Response Plan for RTD
Denver Regional Transit District	Event	Fall 2020 Semiannual	CAP04-01282021	Yes	Closed	Finalize process to ensure risk management plans are formal documents that reflect risk, risk assessment, constraints, safety performance metric summary, improvement opportunities at both operational site level, enterprise level and the risk owner. A risk registry or risk network will be established. The process will also include risk monitoring at all levels at set intervals.
Denver Regional Transit District	Event	Fall 2020 Semiannual	CAP05-01282021	Yes	Closed	RTD will develop and implement processes as identified in gap analysis to comply with requirements
Denver Regional Transit District	Event	Fall 2020 Semiannual	CAP06-01282021	Yes	Closed	Finding 1 - Create Traction Power standards that address safety assurance - Motive Power Inspection and Maintenance Install Jumper Keeper Alarm system in Signal Maintainer vehicles
Denver Regional Transit District	Event	Fall 2020 Semiannual	CAP08-01282021	Yes	Closed	RTD will develop and implement processes and procedures for training as identified in the gap analysis to comply with requirements of 8-SA-14 Safety Assurance Performance and Safety Risk Mitigation and Measurement
Denver Regional Transit District	Event	3509811	CAP1-10272021	Yes	Open - Overdue	Apply a bright color to the Elati Maintenance Facility Doors for better visibility Implement a fatigue awareness program for employees
Denver Regional Transit District	Event	3614739	CAP1-01232022	Yes	Closed	LRV derailed due to bypassing the red signal over a misaligned switch 1) Memo to controller- Readback, as well as specific instructions Memo to controllers- avoid giving permissions to make multiple restrictive moves at one time Review training on unusual moves on the alignment Document all crossovers, tail track, and pocket track usage during revenue training
Denver Regional Transit District	Train on Train	n/a	CAP1-02152022	Yes	Closed	Evaluated mechanic for substance or alcohol influence

Corrective Action Plans (CAP)

Rail Fixed Guideway Public Transportation System	Source Type	Source ID	CAP Internal Tracking ID	Plan Available?	CAP Status	Identified Action
						Held staff meetings with the employees to go over the yard rules, particularly fouling points
						Enforce rules issuing discipline to effected employees
						Meet with the supervisors to ensure better communication and action when they are informed LRV is left parked in this manner
						Training Material Review
						Updated SOP 104.4 Yard Operations
						Documentation of communication of changes to LRV Maintenance
Denver Regional Transit District	LRV on LRV	n/a	CAP1-08052022	Yes	Closed	Review and retrain all third shift personnel, represented and salaried on SOP 105.10 and RWP Manual procedures
						Equipment Operator/Track Maintainer disciplined in accordance with the CBA
						Implement specific requirements in Internal Work Instruction (IWI) for crew on operation of equipment.
						Adjust equipment training to include more hands-on proficiency training specific to Light Rail system specifications, increased hours, and added documentation of completed training
						Refresher training for MOW Supervisors on scope of Event Notification and Reporting and RTD's drug and alcohol policy (1086 Training). Update SOP 103.2 and 103.3 for clarity.
Denver Regional Transit District	Event	RTD Winter 2021 ISR	CAP1-11112021	Yes	Open	Asset management does collect and analyze equipment inspection maintenance data at a high level for certain assets. RTD needs to formalize the process
Denver Regional Transit District	Event	RTD Summer 2021 ISR	CAP2-11112021	Yes	Closed	Develop a process documented in an Internal Work Instruction (IWI) that addresses the identified issue of substandard supervisor performance
Denver Regional Transit District	Event	RTD Spring 2021 Audit	CAP5-12282021	Yes	Closed	Processes and procedures for switch Turnout and Crossover Inspection and Maintenance are currently in place and approved and were provided to the PUC. A review of the Public Transportation Agency Safety Plan will take place to ensure that the necessary Safety Assurance Process Implementation is current and meets the needs of the Colorado Public Utilities Commission (PUC). According to the Public Transportation Agency Safety Plan (PTASP) the Safety Assurance Process states how the agency will comply with implementing safety assurance. The Internal Safety Review process will be reviewed to ensure that the necessary quality assurance checks are in place for switch turnout and crossover inspections.
Denver Regional Transit District	Event	RTD Spring 2021 Audit	CAP6-12282021	Yes	Closed	Develop written procedures or update current procedures for Light Rail Vehicle (LRV) inspections, Preventative Maintenance (PM), equipment deficiencies, how damage versus normal wear and tear is handled when discovered.
						Verify the individuals (by position) to be invited to each audit for each checklist in the 2022 Audit of the Audit with the PUC and LRV Operations/ Maintenance, Transit Police Integrated Technology/Intelligent Transportation Systems/Mobile Technologies Group/Trapeze EAM Administrators.
Denver Regional Transit District	Event	Spring 2022 Semiannual	CAP02-07272022	Yes	Open - Overdue	1) Question #1 - Implementation of Operational Risk Management (ORM) will include capturing risk on a risk register. Implementation of ORM was approved in May 2022 and implementation continues in 2022 through 2023.
						2) Question #4 -The non-infrastructure management of change process is being implemented in Cority. A review and update of the non-infrastructure management of change process will take place and be implemented agency wide.
						3) Question #5-Once Cority is implemented, the safety hazard identification process (close calls, near misses and hazards) will capture events. Current reporting is performed in Laserfiche and captures reports that are presented monthly to the Colorado Public Utilities Commission.
						4) Question #7-CAP01-07272022 has, as part of the CAP, a line item for incorporating National Transit Database (NTD) safety performance targets reporting. See CAP01-07272022 as it addresses this finding.
						5) Question #11- Develop a process for ensuring high potential investigations recommendations have been addressed and completed with oversight by the Leadership Safety Committee.
Denver Regional Transit District	Event	Spring 2022 Semiannual	CAP03-07272022	Yes	Open - Overdue	1) Question 7 in regard to infrastructure changes made that did not go through the Infrastructure Change Review Committee (ICRC) process, write into the revision of the ICRC policy how to capture items that examine changes that did not follow the formal ICRC process. Ensure training is provided on RTD's Management of Change process, e.g., facts and snacks, or structured formal training as to why the Management of Change process exists and what it is intended for.
						2) Question 13- note within the PTASP and Light Rail Design Criteria that any new rail lines or vehicles must have the design criteria reviewed to ensure new rail lines or vehicles meet or exceed the design criteria. Review the existing Light Rail Design Criteria and update sections if needed.
						3)Question 14- Review and update the ICRC procedure to validate it's effectiveness and determine if action needs to be taken to correct any deficiencies.
						4)Question 15- RTD will examine the Federal Transit Administration Safety and Security Certification handbook (2002 version) and the American Public Transportation Association (APTA) guidelines and incorporate those requirements in summary form into the RTD Management of Change procedure. RTD will take an integrated approach to look at what the FTA is requiring of the PUC and select issues identified and apply them to the Management of Change process
Denver Regional Transit District	Event	Spring 2022 Semiannual	CAP04-07272022	Yes	Open	Formalize the Safety Certification process and determine which items require safety certification.
Denver Regional Transit District	Event	Spring 2022 Semiannual	CAP05-07272022	Yes	Closed	1) Finding 1 - Develop a formalized and approved written process and procedure for relay inspection activities.
						2) Finding 2 -Within the formalized and approved written process and procedure, develop a schedule stating what the required interval for completing relay inspections and maintenance as required.
						3) Finding 3 - Within the formalized and approved written process and procedure that ties together the multiple activities for vital relay inspections and maintenance, write how data is to be entered into the EAM system for vital relay inspection and maintenance.
Denver Regional Transit District	Event	Spring 2022 Semiannual	CAP06-07272022	Yes	Closed - Overdue	1) Question 2 - update / revise SOP 104.11 to include the reference to the IWI process for verifying that train order logs are initialed / signed off as being accepted by the LRV operators. An IWI addressing Train Order sign off will be developed and referenced in the SOP.
						2) Question 4 - Update / revise SOP104.11 to ensure that train orders are reissued as special instructions if they exceed one day of being active.
Denver Regional Transit District	Event	Spring 2022 Semiannual	CAP07-07272022	Yes	Closed	Develop a written formalized process outlining the procedure for recertification. SOP 101.4 will reference an internal work instruction that will formalize the process to ensure recertification occurs before it expires.
Denver Regional Transit District	Event	Spring 2022 Semiannual	CAP08-07272022	Yes	Closed	Develop a formal written process (Internal Work Instruction (IWI)) to address substandard performance of field supervisors. SOP 101.9 will reference the IWI for information exchanged during relief transition period.
Denver Regional Transit District	Event	3726836	CAP1-09262022	Yes	Closed	Interim: New 2-hr & 24-hr reporting format instituted to eliminate reporting delays.
						Final #1: Leveraging the Job Hazard Analysis process to adjust work time scopes for inclusion of calculating enough time from beginning to end, estimates for mobilization/demobilization of equipment, and full completion of work.
						Final #2: Adjust equipment training to include more hands-on proficiency training specific to Light Rail system specifications, increased hours, and added documentation of completed training.
						Final #3: Operation Adjustment - Implement specific requirements in Internal Work Instruction (IWI) for crew on operation of equipment.
						Final #4: Complete assessment and possible addition of 2-hour reporting form.
Denver Regional Transit District	Hazard	n/a	23I-0047R CAP1-11	Yes	Closed	Continue rail operations under restrictions
						Final: Replace rail

Corrective Action Plans (CAP)

Rail Fixed Guideway Public Transportation System	Source Type	Source ID	CAP Internal Tracking ID	Plan Available?	CAP Status	Identified Action
Denver Regional Transit District	Event	3726833	221-0471R CAP1-09	Yes	Open - Overdue	Stop and proceed implementation prior to revenue service including TTI coordination between RTD and the city of Aurora Reduce speed on Track A approaching the Sable Boulevard and Exposition Avenue curve from 35 MPH to 25 MPH Add additional signage on Track A to warn of the Sable Boulevard and Exposition Avenue curve Relocation of radar sign further north to allow more advance warning Develop a formal plan for implementation of ATS to be installed north of curve on A Track
Denver Regional Transit District	Event	3726833	221-0471R CAP2-09	Yes	Open - Overdue	Strengthen safety assurance efforts for operator ride checks and ensure appropriate staff supervisory efforts in LRT 121-06-Operator Ride checks Create monthly report for lagging indicators and determine appropriate leading indicators for quality assurance and radar checks Evaluation of on-time performance metric and other metrics that may promote undesired behaviors Evaluation of schedule to reduce on-time performance pressure Light rail operations to develop a business case for supervisors; roles and responsibilities in determining appropriate staffing levels Evaluate supervisor assignments throughout the system
Denver Regional Transit District	Event	3726833	221-0471R CAP3-09	Yes	Open - Overdue	The LRV Maintenance division will wire all current 4C DVR surveillance systems directly to the power source via remote fuse to make tamper resistant. The LRV Maintenance division will update the existing surveillance system with new SSDs until the new Denver VIII style surveillance system is installed on all LRVs Update procedures for handling of cameras, hard drives, and DVRs, including hard drive installation, troubleshooting, recovery, and chain of custody Train all impacted employees on procedures above Conduct LRV operator education campaign on rule infraction for obstructing or tampering with onboard cameras (Rule 3.6 and Bulletin TR-22-05), including operator's signed acknowledgement of receipt of Bulletin Evaluate potential for alternative remote access to retrieve video files Develop a formal process to verify and monitor functional surveillance systems are in place, including daily checks to ensure camera functionality prior to revenue service.
Denver Regional Transit District	Hazard	n/a	231-0047R CAP2-11	Yes	Open - Overdue	Interim: 1) Utilize ORM assessments as part of the asset information (data) used to make prioritizations for asset renewals 2) Evaluate downtown rail replacement project, including revising conditional assessments of the remaining sections, to update the prioritization of replacements scheduled 3) Evaluate industry track standards, including Federal Railroad Administration (FRA) standards, to determine whether a more robust classification method exists to document wear 4) Conduct asset management by asset process training at the asset steward level, including assistant general managers, superintendents, senior managers, and managers Final: 1) Develop and implement an Asset Class Strategy (ACS) for light rail infrastructure including all asset types and subtypes 2) Enhance asset tracking and evaluation criteria to include areas in the light rail infrastructure that have known accelerated wear, deterioration, or corrosion. 3) Evaluate the cross-department coordination procedures for rail infrastructure replacement to ensure alignment and accountability with the approved TAMP and PTASP 4) Integrate Operational Risk Management (ORM) and Safety Assurance into the decision-making process for asset renewals.
Denver Regional Transit District	Event	3896724	CAP1-03022023	Yes	Closed	Interim: 1) Re-training on importance of event reporting prior to moving vehicles or other actions 2) Re-training on using Job Hazard Analyses for new work scopes or revisited for changes to previous Work Scopes Final: 1) Develop and train on written IWI for Rerailing 2) Develop and train on written IWI for Hy-Rail Vehicle Operations 3) Develop and train on written IWI for Switch Position Verification and Linino Procedures
Denver Regional Transit District	Event	3896726	231-0143R CAP1-03	Yes	Open	Interim: Update the Fit for Duty checklist to include an attestation from the Supervisor that they performed the check and from the employee that they are fit for duty. Consider further enhancements to the Fit for Duty process Conduct Fatigue Awareness Campaign, which includes information regarding the hazards of operating a vehicle while taking certain medications Final: 1) Include Fatigue Awareness in recertification training biennially. 3) Evaluate the starting time and duration of shifts for service. 2) Implement a comprehensive Fatigue Risk Management Program (FRMP) similar to Federal Railroad Administration (FRA) FRMP 3) Evaluate the starting time and duration of shifts for service.
Denver Regional Transit District	Hazard	n/a	CAP1-03202023	Yes	Open	Interim: 1) Bulletin to Controllers, all Supervisors, and Operators regarding movement through switches during switch inspections. Acknowledge and signed for by all transportation personnel. 2) Bulletin to MOW to include procedural change to switch inspections. Acknowledge and signed for by all MOW personnel. Final: Update MOW RWP training to include procedural changes to switch inspections. Create a recertification syllabus on movement through switches during switch inspections. Operators and Controllers will be trained in RWP.
Denver Regional Transit District	Event	3916474	CAP1-04062023	Yes	Open	Interim: 1) Job briefings will be updated to include details regarding employee roles and responsibilities to verify track alignment if the task is non-routine 2) Issue bulletin to all appropriate staff that all non-powered switches must be lined by hand and verified for each movement by qualified staff 3) The spring mechanism at spring and return switches will not be used during special operations or non-routine train movement; all non-powered switches will be hand-lined and verified 4) Safety stops will be made in advance of all switches within the block and verification of proper switch alignment, including switch point tight against the stock rail, will be obtained before proceeding over the switch when authorized to proceed past stop signals. Final: Modify the job briefing form to include a review of hazards associated with the job, such as electrical, equipment, modified procedures, and non-standard operating conditions
Denver Regional Transit District	Event	RTD Winter 2023 ISR F	CAP1-05042023	Yes	Open - Overdue	Update SOP 104.5 on switches to include more detailed inspection process on how to visually verify that a switch point is in proper alignment Train all appropriate staff on the procedure and refresh training on Light Rail SOP 104.5 and Light Rail Rules 6.1 and 6.2 Revise training to include for operators to look at each side of the rails when traveling through a switch point for initial training and refresher training INTERIM: Evaluate industry standards for bridge maintenance programs Integrate Operational Risk Management (ORM) process into the bridge management program Implement updated bridge maintenance strategy based on updated BMM, resourcing strategy, and roles and responsibilities Interim Update Bridge Maintenance Manual (BMM) with RTD bridge maintenance strategy, implementation plan, and roles and responsibilities. Continue Bridge maintenance based on defects identified in routine inspections Develop resourcing strategy and plan Improve method and system to track bridge defects to closure

Corrective Action Plans (CAP)

Rail Fixed Guideway Public Transportation System	Source Type	Source ID	CAP Internal Tracking ID	Plan Available?	CAP Status	Identified Action
Denver Regional Transit District	Event	RTD Winter 2023 ISR F	CAP2-05042023	Yes	Closed - Overdue	Incorporate SMS into Light Rail initial and refresher training and onboarding
Denver Regional Transit District	Event	3956131	CAP1-06082023	Yes	Open - Overdue	Interim: Implement yard safety refresher training that includes proper yard movement for light rail maintenance employees surrounding recent unsafe yard operation events. Employees off work more than 30 days will be required to be recertified in LRV Maintenance yard training with a passing score of 100%. Implement yard safety refresher training that includes proper yard movement for light rail transportation employees surrounding recent unsafe yard operation events.
						LRV Maintenance will update SOP and associated documents to include yard audit operations for proper switch throwing and verifying alignment, speed control and use of electronics while driving an LRV.
Denver Regional Transit District	Event	3975143	CAP01-06272023	Yes	Open - Overdue	Interim - Facility Maintenance to contact door manufacturer to determine possible solutions to prevent door drift Interim - Retrain operator on incident/accident reporting and Rule 8.8 to ensure rollup door is in fully open position prior to entering the bay Interim - General Superintendent will issue a bulletin regarding verifying bay door being fully open Interim - Review and update 103.200 Event Investigations to ensure personnel are aware of the correct steps of scene preservation and investigation including Lock out tag out and red flagging track procedures as they apply to event investigations. Final - Light Rail Transportation shall establish and assign dedicated personnel whose duties and responsibilities shall be to maintain yard operations Final - Safety Department to roll out training on policy and procedure 4001, Event Notification, Reporting, and Investigation to Light Rail Supervisor
Denver Regional Transit District	Event	RTD Summer 2023 ISR	CAP1-09292023	Yes	Open - Overdue	Interim - Update all site folders with recent inspection records Provide electronic access to all FM Managers and Supervisors for inspection records Final - Formalize procedure to conduct regular review of fire system records
Denver Regional Transit District	Hazard	n/a	CAP01-08162023	Yes	Open - Overdue	Issue Light Rail Bulletins Implement Safety Campaign to have field supervisors ride along to verify operators' understanding of switch alignments Assign one primary Controller to oversee complex events, with verbal turnover to prior to taking a break Conduct workload analysis for complex events
Denver Regional Transit District	Event	3988707	CAP01-08212023	Yes	Open - Overdue	Orchestrate and distribute a Bulletin regarding not coupling over switches and rulebook updates regarding not coupling over switches to all Operators. Review the rulebook, SOPs and training to ensure written processes are in place to address coupling over switches and update as needed Conduct an assessment of the feasibility of yard visual aids and indicators to assist operators in proper switch operations and coupling operations.
Denver Regional Transit District	HAZARD H1-11082	n/a	CAP01-11082023	Yes	Open - Overdue	When there are roadway workers, the Division office will change the train orders to have a highlighted area that notes "special instructions." Ensure Operator training includes that each student must go through work zones during their training. If there are no work zones, live simulations may be enacted. Documentation of the training and signed acknowledgement of the instructor and trainee must be kept on file. Train orders will be changed to reflect "special instructions" for scheduled roadway work. There will be specific instructions on the train orders indicating where the flagger will be located and that what directions they must follow e.g., after flagger allows you to pass through, follow normal signal indications.
Denver Regional Transit District	A1-10292023	n/a	CAP01-10292023	Yes	Open - Overdue	A bulletin covering cold weather operations regarding switch operations and location of switch brooms will be distributed to all operators. Cold weather operations campaign will be conducted to address issues that affect train operations when there is snow and ice Develop and implement cold weather operations training and recertification training in the yard and on the alignment for operators Evaluate the feasibility of installing switch heaters in the Elati yard

Corrective Action Plans (CAP)

Rail Fixed Guideway Public Transportation System	Source Type	Source ID	CAP Internal Tracking ID	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 Semiannual	CAP3-11132020	Yes	6/30/2023	11/1/2022	RTD CSO and AGM Safety,	RTD Safety, Security and As	Yes	none
					6/30/2023	2/27/2023	RTD CSO and AGM Safety,	RTD Safety, Security and As	Yes	none
					6/30/2023	4/13/2023	RTD CSO and AGM Safety,	RTD Safety, Security and As	Yes	none
Denver Regional Transit District	Event	3368158	CAP1-04012020	Yes	9/30/2023	10/2/2023	RTD Rail Operation Manage	Rail Operations, Safety	Yes	
Denver Regional Transit District	Event	RTD Summer 2021 ISR	CAP1-10122020	Yes	9/30/2023	6/26/2023	RTD Rail Operation Manage	Rail Operations, Safety	Yes	
					9/30/2023	3/31/2023	RTD Rail Operation Manage	Rail Operations, Safety	Yes	
					9/30/2023	6/26/2023	RTD Rail Operation Manage	Rail Operations, Safety	Yes	
Denver Regional Transit District	Event	RTD Summer 2021 ISR	CAP2-10122020	Yes	9/30/2023	2/27/2023	RTD Rail Operation Manage	Rail Operations, Safety	Yes	
					9/30/2023	4/13/2023	RTD Rail Operation Manage	Rail Operations, Safety	Yes	
Denver Regional Transit District	Event	Spring 2020 Semiannual	CAP6-11132020	Yes	9/30/2023	2/22/2023	RTD MOW General Superint	RTD MOW	Yes	
					9/30/2023	9/27/2023	RTD MOW General Superint	RTD MOW	Yes	
Denver Regional Transit District	Event	Spring 2020 Semiannual	CAP7-11132020	Yes	9/30/2023	9/27/2023	RTD MOW General Superint	RTD MOW	Yes	
Denver Regional Transit District	Event	Spring 2020 Semiannual	CAP8-11132020	Yes	9/30/2023	6/26/2023	RTD MOW General Superint	RTD MOW	No	
					9/30/2023	6/26/2023	RTD MOW General Superint	RTD MOW	No	
					9/30/2023	6/26/2023	RTD MOW General Superint	RTD MOW	No	
Denver Regional Transit District	Event	Spring 2020 Semiannual	CAP9-11132020	Yes	12/30/2024		Safety & Environmental, LRT	Rail Operations, Safety	No	
					12/30/2024		Safety & Environmental, LRT	Rail Operations, Safety	No	
					12/30/2024		RTD Rail Operation Manage	Rail Operations, Safety	No	
Denver Regional Transit District	Event	Spring 2020 Semiannual	CAP10-11132020	Yes	9/30/2023	11/1/2022	RTD CSO and AGM Safety,	Rail Operations, Safety	Yes	None
					9/30/2023	3/29/2023	RTD Manager of Training	RTD Training	Yes	None
Denver Regional Transit District	Event	Light Rail Annual ISR R	CAP1-12182020	Yes	6/30/2023	2/27/2023	RTD CSO and AGM Safety,	Rail Operations, Safety	No	
Denver Regional Transit District	Event	RTD Summer 2021 ISR								
Denver Regional Transit District	Event	RTD Summer 2021 ISR	CAP2-12182020	Yes	9/30/2023	9/27/2023	RTD MOW General Superint	RTD MOW	Yes	
Denver Regional Transit District	Event	Spring 2022 Semiannual	CAP4-12182020	Yes	6/30/2023	4/13/2023	RTD CSO and AGM Safety,	Rail Operations, Safety	No	
Denver Regional Transit District	Event	RTD Summer 2021 ISR	CAP5-12182020	Yes	6/30/2023	3/30/2023	RTD Rail Operation Manage	Rail Operations, Safety	No	
Denver Regional Transit District	Event	RTD Summer 2021 ISR	CAP12-12182020	Yes	9/30/2023	8/1/2023	RTD MOW General Superint	RTD MOW	Yes	
Denver Regional Transit District	Event	RTD Summer 2021 ISR	CAP14-12182020	Yes	9/30/2023	10/30/2023	RTD Rail Operation Manage	Rail Operations, Safety	Yes	
Denver Regional Transit District	Event	3348889	CAP1-12072020	Yes	9/30/2023	9/29/2023	RTD Training Manager	RTD Training	Yes	
Denver Regional Transit District	Event	Fall 2020 Semiannual A	CAP1-01282021	Yes	6/30/2023	4/13/2023	RTD CSO and AGM Safety,	Rail Operations, Safety	Yes	
					6/30/2023	4/13/2023	RTD CSO and AGM Safety,	Rail Operations, Safety	Yes	
					6/30/2023	4/13/2023	RTD CSO and AGM Safety,	Rail Operations, Safety	Yes	
Denver Regional Transit District	Event	Fall 2020 Semiannual A	CAP03-01282021	Yes	9/30/2023	10/30/2023	RTD CSO and AGM Safety,	Rail Operations, Safety	Yes	
Denver Regional Transit District	Event	Fall 2020 Semiannual A	CAP04-01282021	Yes	6/30/2023	4/13/2023	RTD CSO and AGM Safety,	Rail Operations, Safety	No	unknown
Denver Regional Transit District	Event	Fall 2020 Semiannual A	CAP05-01282021	Yes	9/30/2023	6/14/2023	RTD CSO and AGM Safety,	Rail Operations, Safety	Yes	
Denver Regional Transit District	Event	Fall 2020 Semiannual A	CAP06-01282021	Yes	9/30/2023	9/27/2023	RTD MOW General Superint	Rail Operations, Safety	Yes	
					9/30/2023	9/28/2023	RTD MOW General Superint	Rail Operations, Safety	Yes	Unknown
Denver Regional Transit District	Event	Fall 2020 Semiannual A	CAP08-01282021	Yes	9/30/2023	6/14/2023	RTD CSO and AGM Safety,	Rail Operations, Safety	Yes	
Denver Regional Transit District	Event	3509811	CAP1-10272021	Yes	12/30/2023		General Superintendent Rail	Rail Operations, Safety	No	
					7/1/2026		General Superintendent Rail	Rail Operations, Safety	No	
Denver Regional Transit District	Event	3614739	CAP1-01232022	Yes	6/30/2023	6/30/2023	RTD Transportation LRT Ma	RTD Transportation	Yes	
					6/30/2023	3/3/2022	RTD Transportation LRT Ma	RTD Transportation	Yes	
					6/30/2023	3/3/2022	RTD Transportation LRT Ma	RTD Transportation	Yes	
					6/30/2023	5/30/2023	RTD Transportation LRT Ma	RTD Training	Yes	
					6/30/2023	5/15/2023	RTD Transportation LRT Ma	RTD Training	Yes	
Denver Regional Transit District	Train on Train	n/a	CAP1-02152022	Yes	6/30/2023	2/15/2023	RTD Rail Operation Manage	RTD Facilities Management	Yes	

Corrective Action Plans (CAP)

Rail Fixed Guideway Public Transportation System	Source Type	Source ID	CAP Internal Tracking ID	SOA Approved?	Proposed Implementation Date	Actual Implementation Date	Individual Responsible for Implementation	Department Responsible for Implementation	Implementation Verified?	Issues Preventing Resolution
					6/30/2023	2/17/2023	RTD Manager of Training	RTD Facilities Management	Yes	
					6/30/2023	4/6/2022	RTD Rail Operation Manage	RTD Facilities Management	Yes	
					6/30/2023	2/17/2022	RTD Rail Operation Manage	RTD Facilities Management	Yes	
					6/30/2023	2/18/2022	RTD Manager of Training	RTD Training	Yes	
					6/30/2023	11/30/2022	RTD Manager of Training	RTD Training	Yes	
					6/30/2023	4/6/2022	RTD Rail Operation Manage	RTD Facilities Management	Yes	
Denver Regional Transit District	LRV on LRV	n/a	CAP1-08052022	Yes	8/20/2022	8/10/2022	RTD Manager of Training	RTD Training	Yes	none
					8/20/2022	8/18/2022	RTD MOW General Superint	RTD MOW	Yes	none
					3/31/2023	3/31/2023	RTD Manager of Training	RTD Training	Yes	
					3/31/2023	2/22/2023	RTD Substance Abuse Manag	RTD Training	Yes	
Denver Regional Transit District	Event	RTD Winter 2021 ISR	CAP1-11112021	Yes	12/31/2025		Supervisor Facility Maintena	RTD Vehicle Maintenance	No	
Denver Regional Transit District	Event	RTD Summer 2021 ISR	CAP2-11112021	Yes	9/30/2023	5/19/2023	RTD Rail Operation Manage	RTD Transportation	Yes	
Denver Regional Transit District	Event	RTD Spring 2021 Audit	CAP5-12282021	Yes	9/30/2023	9/27/2023	AGM Light Rail Dave Jensor	RTD Safety	Yes	
Denver Regional Transit District	Event	RTD Spring 2021 Audit	CAP6-12282021	Yes	9/30/2023	9/27/2023	AGM Light Rail Dave Jensor	RTD Vehicle Maintenance	Yes	
					9/30/2023	9/27/2023	AGM Light Rail Dave Jensor	RTD Safety	Yes	
Denver Regional Transit District	Event	Spring 2022 Semiannual	CAP02-07272022	Yes	6/30/2023		Safety & Environmental, LRT	RTD Leadership Committee	No	
					6/30/2023		Safety & Environmental, LRT	RTD Leadership Committee	No	
					6/30/2023		Safety & Environmental, LRT	RTD Leadership Committee	No	
					6/30/2023		Safety & Environmental, LRT	RTD Leadership Committee	No	
					6/30/2023		Safety & Environmental, LRT	RTD Leadership Committee	No	
Denver Regional Transit District	Event	Spring 2022 Semiannual	CAP03-07272022	Yes	12/31/2023		Safety & Environmental, LRT	Capitol Programs and Light F	No	
					12/31/2023		Safety & Environmental, LRT	Capitol Programs and Light F	No	
					12/31/2023		Safety & Environmental, LRT	Capitol Programs and Light F	No	
					6/30/2024		Safety & Environmental, LRT	Capitol Programs and Light F	No	
Denver Regional Transit District	Event	Spring 2022 Semiannual	CAP04-07272022	Yes	3/31/2024		Safety & Environmental, LRT	Capitol Programs and Light F	No	
Denver Regional Transit District	Event	Spring 2022 Semiannual	CAP05-07272022	Yes	6/30/2023	4/5/2023	RTD MOW General Superint	Rail Operations, Safety	Yes	
					6/30/2023	4/5/2023	RTD MOW General Superint	Rail Operations, Safety	Yes	
					6/30/2023	4/5/2023	RTD MOW General Superint	Rail Operations, Safety	Yes	
Denver Regional Transit District	Event	Spring 2022 Semiannual	CAP06-07272022	Yes	9/30/2023	10/2/2023	AGM Light Rail Dave Jensor	Rail Operations, Safety	Yes	
					9/30/2023	10/2/2023	AGM Light Rail Dave Jensor	Rail Operations, Safety	Yes	
Denver Regional Transit District	Event	Spring 2022 Semiannual	CAP07-07272022	Yes	9/30/2023	9/29/2023	AGM Light Rail Dave Jensor	Rail Operations, Safety	Yes	
Denver Regional Transit District	Event	Spring 2022 Semiannual	CAP08-07272022	Yes	9/30/2023	9/7/2023	AGM Light Rail Dave Jensor	Rail Operations, Safety	Yes	
Denver Regional Transit District	Event	3726836	CAP1-09262022	Yes	10/27/2022	10/27/2022	Safety & Environmental, LRT	Rail Operations, Safety	Yes	
					3/31/2023	12/18/2022	Safety & Environmental, LRT	Rail Operations, Safety	Yes	
					3/31/2023	3/31/2023	RTD MOW General Superint	RTD MOW	Yes	
					3/31/2023	3/31/2023	RTD MOW General Superint	RTD MOW	Yes	
					3/31/2023	10/27/2022	Safety & Environmental, LRT	Rail Operations, Safety	Yes	
Denver Regional Transit District	Hazard	n/a	23I-0047R CAP1-11	Yes	11/22/2022	11/22/2022	Safety & Environmental, LRT	Capitol Programs and Light F	Yes	
					12/23/2022	12/21/2022	Safety & Environmental, LRT	Capitol Programs and Light F	Yes	

Corrective Action Plans (CAP)

Rail Fixed Guideway Public Transportation System	Source Type	Source ID	CAP Internal Tracking ID	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	3726833	221-0471R CAP1-09	Yes	12/31/2022		AGM Light Rail Dave Jensor	Rail Operations, Safety	No	needs verification
					12/31/2022		AGM Light Rail Dave Jensor	Rail Operations, Safety	No	needs verification
					12/31/2022		AGM Light Rail Dave Jensor	Rail Operations, Safety	No	needs verification
					12/31/2022		AGM Light Rail Dave Jensor	Rail Operations, Safety	No	needs verification
					6/30/2023		AGM Light Rail Dave Jensor	Rail Operations, Safety	No	
Denver Regional Transit District	Event	3726833	221-0471R CAP2-09	Yes	12/31/2022		AGM Light Rail Dave Jensor	Rail Operations, Safety	No	needs verification
					3/21/2023		AGM Light Rail Dave Jensor	Rail Operations, Safety	No	
					3/21/2023		AGM Light Rail Dave Jensor	Rail Operations, Safety	No	
					3/21/2023		AGM Light Rail Dave Jensor	Rail Operations, Safety	No	
					3/21/2023		AGM Light Rail Dave Jensor	Rail Operations, Safety	No	
					3/21/2023		AGM Light Rail Dave Jensor	Rail Operations, Safety	No	
					3/21/2023		AGM Light Rail Dave Jensor	Rail Operations, Safety	No	
					3/21/2023		AGM Light Rail Dave Jensor	Rail Operations, Safety	No	
Denver Regional Transit District	Event	3726833	221-0471R CAP3-09	Yes	3/31/2024		AGM Light Rail Dave Jensor	RTD Vehicle Maintenance	No	
					3/31/2024		AGM Light Rail Dave Jensor	RTD Vehicle Maintenance	No	
					9/30/2023		AGM Light Rail Dave Jensor	RTD Vehicle Maintenance	No	
					12/31/2023		AGM Light Rail Dave Jensor	RTD Vehicle Maintenance	No	
					3/31/2023	3/31/2023	AGM Light Rail Dave Jensor	Rail Operations, Safety	Yes	
					9/30/2023		AGM Light Rail Dave Jensor	RTD Safety, Security and As	No	
					3/31/2024		AGM Light Rail Dave Jensor	RTD Training	No	
Denver Regional Transit District	Hazard	n/a	23I-0047R CAP2-11	Yes	6/30/2023		AGM Light Rail Dave Jensor	Rail Operations, Safety	No	
					6/30/2024		RTD CSO and AGM Safety,	Capitol Programs and Light f	No	
Denver Regional Transit District	Event	3896724	CAP1-03022023	Yes	7/30/2023	7/28/2023	Safety & Environmental, LRT	RTD Safety	Yes	
					10/31/2023	10/18/2023	RTD MOW General Superint	RTD MOW	Yes	
Denver Regional Transit District	Event	3896726	23I-0143R CAP1-03	Yes	6/30/2023	6/30/2023	AGM Light Rail Dave Jensor	Rail Operations, Safety	No	
					9/29/2023	9/21/2023	AGM Light Rail Dave Jensor	Rail Operations, Safety	No	
					4/30/2023	4/30/2023	AGM Light Rail Dave Jensor	Rail Operations, Safety	No	Needs verified at next monthly
					9/30/2023	9/21/2023	AGM Light Rail Dave Jensor	Rail Operations, Safety	No	
					7/1/2026		AGM Light Rail Dave Jensor	Rail Operations, Safety	No	
					9/30/2023	9/28/2023	AGM Light Rail Dave Jensor	Rail Operations, Safety	No	
Denver Regional Transit District	Hazard	n/a	CAP1-03202023	Yes	6/30/2023	5/5/2023	General Superintendent Rail	Rail Operations, Safety	No	
					6/30/2023	5/4/2023	RTD MOW General Superint	RTD MOW	No	
					6/30/2024		RTD MOW General Superint	RTD MOW	No	
					6/30/2026		AGM Light Rail Dave Jensor	RTD MOW	No	
Denver Regional Transit District	Event	3916474	CAP1-04062023	Yes	4/7/2023	4/7/2023	AGM Light Rail Dave Jensor	Rail Operations, Safety	No	
					7/31/2023	7/31/2023	AGM Light Rail Dave Jensor	Rail Operations, Safety	No	
					3/31/2024		AGM Light Rail Dave Jensor	Rail Operations, Safety	No	
Denver Regional Transit District	Event	RTD Winter 2023 ISR F	CAP1-05042023	Yes	12/29/2023		Henry Stoppolecamp	Capitol Programs and Light f	No	All CAP action items are not c
					3/29/2024		Henry Stoppolecamp	RTD Engineering, Safety, &	No	
					3/31/2025		Henry Stoppolecamp	RTD Engineering, Safety, &	No	
					3/29/2024		Henry Stoppolecamp	Capitol Programs and Light f	No	
					6/28/2024		Henry Stoppolecamp	Capitol Programs and Light f	No	
					3/29/2024		Henry Stoppolecamp	RTD Engineering, Safety, &	No	

Corrective Action Plans (CAP)

Rail Fixed Guideway Public Transportation System	Source Type	Source ID	CAP Internal Tracking ID	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	RTD Winter 2023 ISR F	CAP2-05042023	Yes	8/31/2023	9/30/2023	AGM Light Rail Dave Jensor	Rail Operations, Safety	Yes	
Denver Regional Transit District	Event	3956131	CAP1-06082023	Yes	6/30/2023	6/30/2023	RTD Facilities Management	RTD Vehicle Maintenance	No	not all action items complete
					8/30/2023		RTD Facilities Management	RTD Facilities Management	No	not all action items complete
					6/30/2024		RTD Facilities Management	RTD Facilities Management	No	
					12/31/2023		RTD Facilities Management	RTD Facilities Management	No	not all action items complete
Denver Regional Transit District	Event	3975143	CAP01-06272023	Yes	10/31/2023		RTD Rail Operation Manage	Rail Operations, Safety	No	
					9/30/2023		RTD Rail Operation Manage	Rail Operations, Safety	No	
					9/30/2023		RTD Rail Operation Manage	Rail Operations, Safety	No	
					10/31/2023		RTD Rail Operation Manage	Rail Operations, Safety	No	
					1/30/2024		RTD Rail Operation Manage	Rail Operations, Safety	No	
					12/31/2023		RTD Rail Operation Manage	Rail Operations, Safety	No	
Denver Regional Transit District	Event	RTD Summer 2023 ISR	CAP1-09292023	Yes	12/31/2023		Supervisor Facility Maintena	RTD Facilities Management	No	open action items
					6/30/2023		Supervisor Facility Maintena	RTD Facilities Management	No	open action items
Denver Regional Transit District	Hazard	n/a	CAP01-08162023	Yes	11/1/2023		RTD Vehicle General Superi	Rail Operations, Safety	No	Verification scheduled
					11/1/2023		RTD Vehicle General Superi	Rail Operations, Safety	No	Verification scheduled
					11/1/2023		RTD Vehicle General Superi	Rail Operations, Safety	No	Verification scheduled
					3/31/2024		RTD Vehicle General Superi	Rail Operations, Safety	No	
Denver Regional Transit District	Event	3988707	CAP01-08212023	Yes	1/15/2024		RTD Vehicle General Superi	Rail Operations, Safety	No	Verification scheduled
					1/15/2024		RTD Vehicle General Superi	Rail Operations, Safety	No	Verification scheduled
					3/31/2024		RTD Vehicle General Superi	Rail Operations, Safety	No	
Denver Regional Transit District	HAZARD H1-11082	n/a	CAP01-11082023	Yes	1/19/2024		AGM Light Rail Dave Jensor	Rail Operations, Safety	No	verification scheduled
					1/31/2024		AGM Light Rail Dave Jensor	Rail Operations, Safety	No	verification scheduled
					1/31/2024		AGM Light Rail Dave Jensor	Rail Operations, Safety	No	verification scheduled
Denver Regional Transit District	A1-10292023	n/a	CAP01-10292023	Yes	1/15/2023	1/11/2024	AGM Light Rail Dave Jensor	Rail Operations, Safety	No	
					1/31/2024		AGM Light Rail Dave Jensor	Rail Operations, Safety	No	Verification scheduled
					3/30/2024		AGM Light Rail Dave Jensor	Rail Operations, Safety	No	Verification scheduled
					3/30/2024		AGM Light Rail Dave Jensor	Rail Operations, Safety	No	Verification scheduled