



U.S. Department of Transportation  
Federal Transit Administration

# 2022 FTA JOINT STATE SAFETY OVERSIGHT AND RAIL TRANSIT AGENCY HYBRID WORKSHOP

OCTOBER 25-27, 2022      WASHINGTON, D.C



# Effective Practices for CAP Management – Part 2

## Ruth Lyons

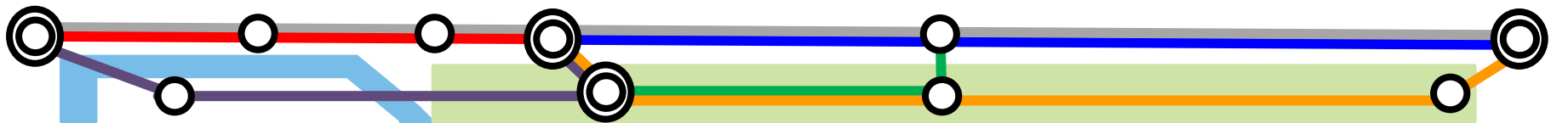
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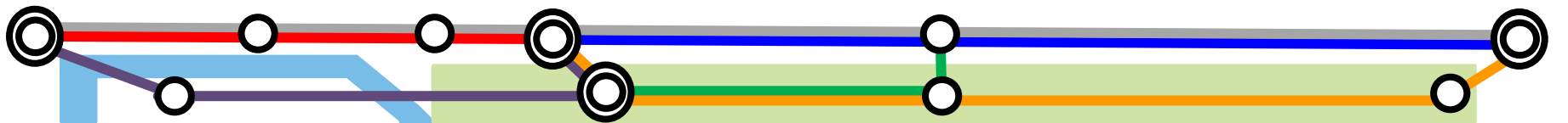
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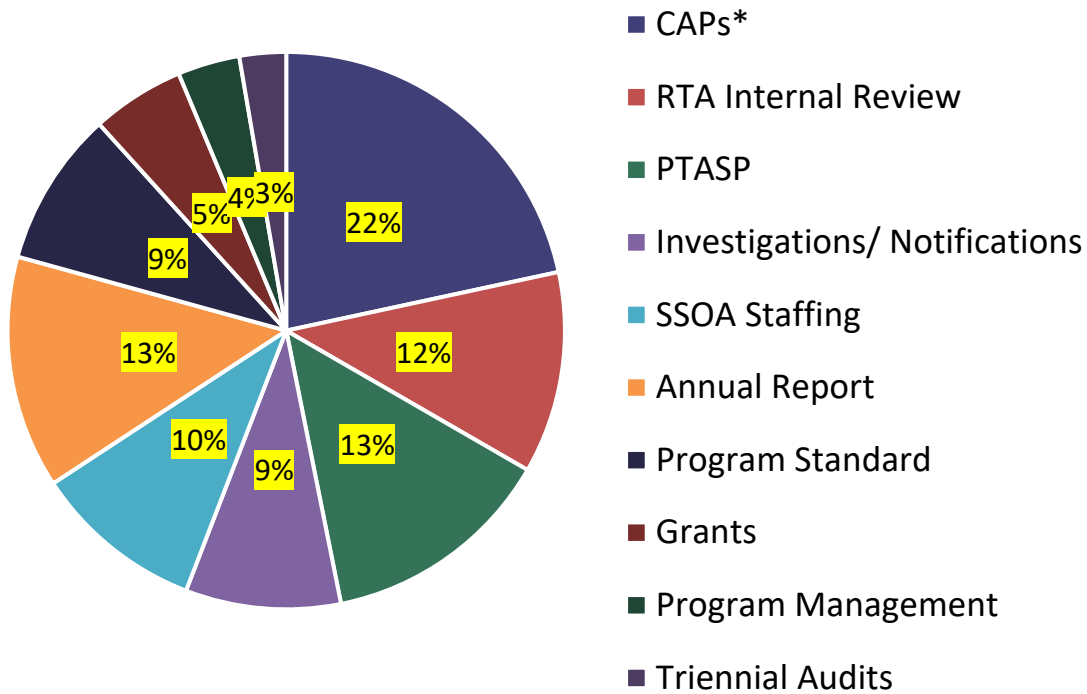
# CAP Management Agenda

- Review Effective Practices for CAP Management – Part 1
- CAP Development Exercise
- Questions



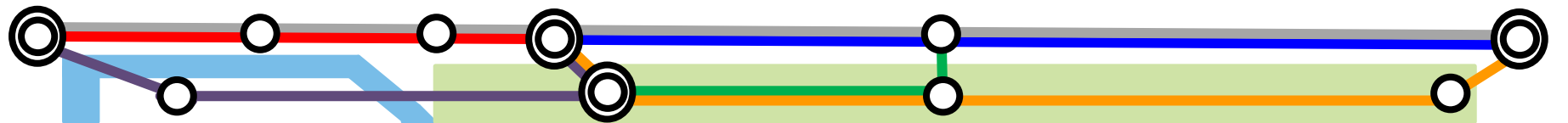
# SSOA Summary of 7 Cycles of Audits – Findings Part I - Review

## Total Audit Findings



## • Top 5 FTA Audit Findings – For SSOAs

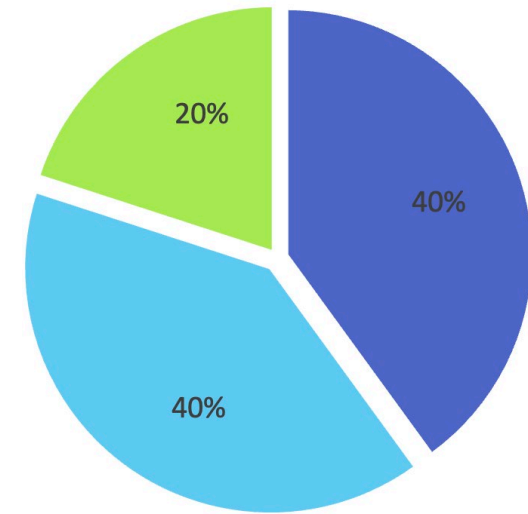
- CAPs
- PTASP Oversight
- Annual Report Submission
- RTA Internal Reviews
- SSOA Staffing



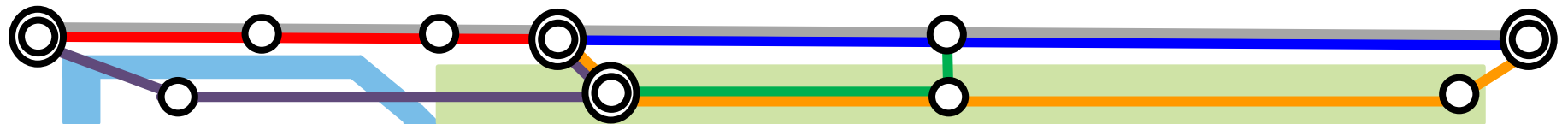
# CAP Management Part 1 - Review

- CAP Management is number 1 Finding from FTA's SSO Audits
  - CAPs not developed for risk, hazards or investigation reports
  - CAPs are not developed for other reasons (e.g., ISAs)
  - CAPs did not include an accurate schedule

Common CAP Findings



- SSOA did not ensure that RTA developed CAPs for risks, hazards or investigation reports.
- SSOA did not ensure that CAPs included an accurate schedule.
- SSOA did not ensure that the RTAs developed CAPS as required.

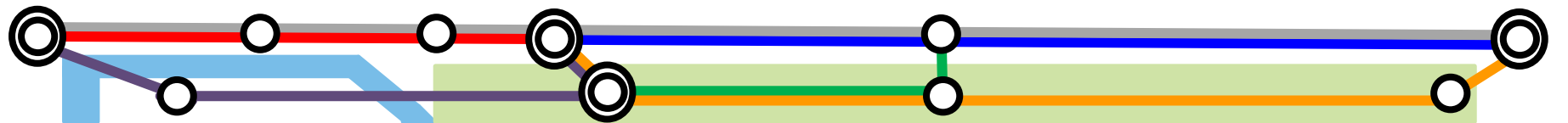




# CAP Development Exercise

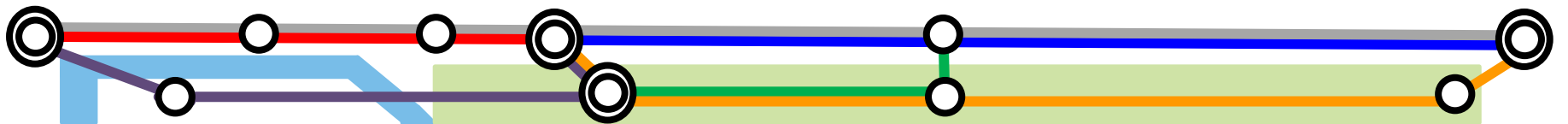
## Accident Scenario

- A 5:40 AM train traveling outbound entered a curve and derailed
- Derailment did not occur near special trackwork
- The train was traveling approximately 25mph at derailment and came to rest within the dynamic envelope of the inbound track
- It was the first train of the day so there were no passenger injuries, but the operator was transported to the hospital
- The Maintenance of Way (MOW) Supervisor dispatched to the scene inspect wear to wooden ties and missing spikes



# CAP Development Exercise

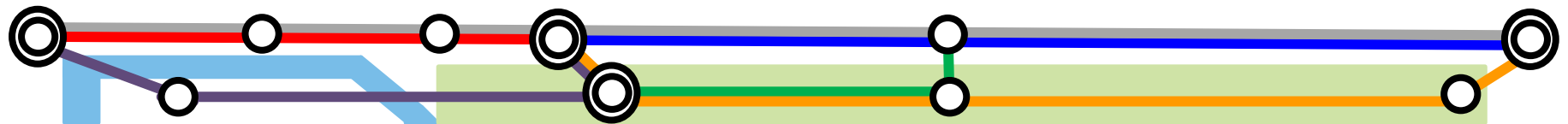
- Summary of Report Findings and Contributory Causes
  - The probable cause of the derailment was determined to be track out of gauge due to the deterioration of the wooden ties
  - A contributing factor identified was deferred inspection and maintenance due to staffing shortages caused by a retirement and employees out on disability
  - While not determined to be a cause for the derailment, the investigator learned that the operator was four months late for required recertification. A full review of operator training records uncovered that at least 40% of operators are late for recertification.



# CAP Development Exercise

- Discuss the potential CAPs resulting from the incident
- What timeframes would be expected for the CAPs
- Discuss any Emergency CAPs necessary to return service
- Discuss interim or temporary CAPs necessary while permanent CAPs are implemented

#	CAP Description





# Contact Information

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