



FEDERAL TRANSIT ADMINISTRATION

SSO Technical Assistance Webinar: Corrective Action Plans (CAPs)

Addressing Corrective Actions

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Corrective Action Plan Overview

- Corrective Action Plans
 - Definitions
 - Federal Requirements
 - SSOA and RTA Resolution
 - FTA Monitoring

Definitions: Corrective Action Plan

49 CFR Part 659.5

A plan developed by the RTA that describes the actions the rail transit agency will take to minimize, control, correct, or eliminate hazards, and the schedule for implementing those actions

49 CFR Part 674.7

A plan developed by a RTA that describes the actions the RTA will take to minimize, control, correct, or eliminate risks and hazards, and the schedule for taking those actions. Either a SSOA or FTA may require a RTA to develop and carry out a CAP.

Corrective Action Plans Requirements

49 CFR Part 659.37

- (a) The SSOA must require the development of a CAP for:
- (1) Results from investigations in which the SSOA or RTA requires a CAP
 - (2) Findings from SSOA safety and security reviews
- (c) The CAP must be reviewed and formally approved by the SSOA

49 CFR Part 674

674.27(a)(8) - The program standard must explain the process and criteria by which the SSOA may order an RTA to develop and carry out a CAP.

674.37(a) - The SSOA must review and approve the CAP before the RTA carries out the plan, an exception may be made for emergency CAPs to ensure immediate safety, provided the SSOA receives timely notification and provides subsequent review and approval

Corrective Action Plans Requirements

49 CFR Part 659.37

- (f) The RTA must provide the SSOA:
- (1) CAP verification as described in the CAP or implementation of alternate actions
 - (2) Periodic reports requested by the SSOA describing CAP status not completely implemented
- (g) The SSOA must monitor and track the implementation of each approved CAP

49 CFR Part 674.37(a)

The RTA must periodically report to the SSOA on its progress in carrying out the CAP. The SSOA may monitor the RTA's progress in carrying out the CAP through unannounced, on-site inspections, or any other means the SSOA deems necessary or appropriate

SSOA and RTA Challenges

- Reporting Process
- Record Keeping
- Communication

FTA Oversight

SSOA Monitoring of CAPS

- Status Calls with SSOA
- Annual Reports
- FTA Audits

Questions?

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