ODOT RAIL DIVISION

STATE SAFETY OVERSIGHT PROGRAM

ODOT Corrective Action Plan (CAP) Management and Resolution Program

CAP Identification & Development

- **<u>Triennial Reviews</u>** - Any problems are identified and CAPs are developed to address the issues found.

- **<u>SSO Audits</u>** - Various audits conducted throughout the year (e.g., track, hours of service, training compliance, etc.). The need for CAPs is developed through the review process.

- **<u>Incident Review</u>** – If an incident review determines the need for a corrective action, one will be developed.

CAP Identification & Development (continued)

- **RTA CAP Identification -** Through internal audits, efficiency testing, contracted audits, employee concerns, etc. Once developed, CAPs are submitted to SSO for review and approval.

- **FTA Audits -** The FTA Triennial Review of the SSO usually generates findings related to the RTAs that result in CAPs
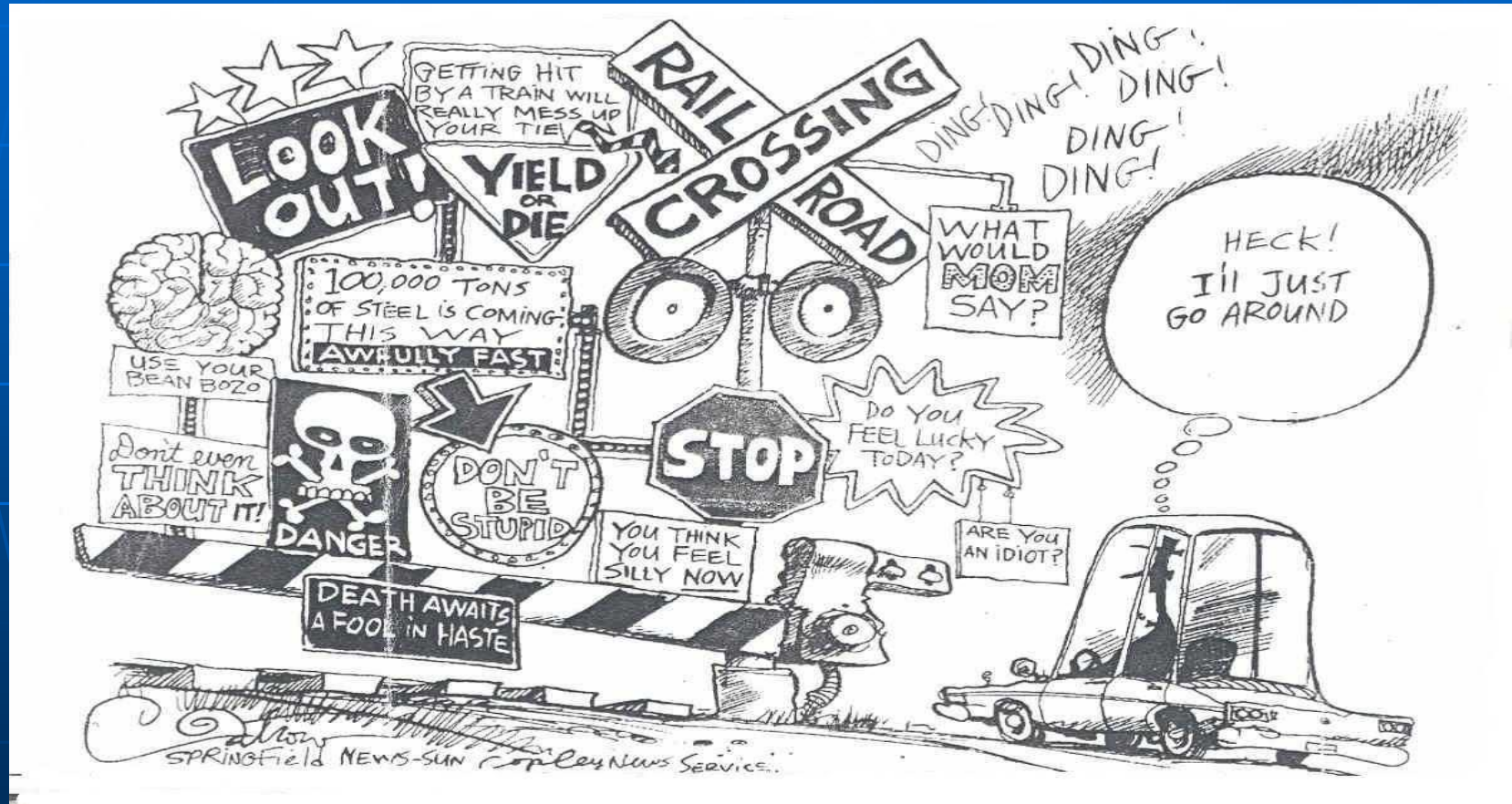
CAP Management Process

A cooperative effort between SSO and RTAs to ensure that CAPs are managed all the way through completion.

- **<u>CAP Approvals</u> -** CAPs are submitted and evaluated by SSO staff until approved. Once approved, a formal letter of approval describing the CAP is sent to the RTA.

- **<u>CAP Monitoring</u> -** Once approved, CAP is monitored by SSO until timely completion. Accomplished through monthly reporting and by accessing RTA internal CAP tracking systems, as well as in-person meetings.

CAP Management Process

- **<u>CAP Verification</u> – A** completed CAP must be verified. Done through various means, such as site visits, document review, photos, etc. Once verified, a letter is sent to the RTA officially closing the CAP.

- **<u>ODOT CAP Tracking</u> -** CAPs are tracked in a log managed by SSO staff. Separate log for each RTA, by calendar year. Closed CAPs must remain for the entire calendar year. CAPs not closed by SSO migrate to next year's CAP log.

Corrective Action Plan Needed!

The End!