

**Appendix D**  
**Updated: January 31, 2019**

**ODOT SSO Program Description and General Procedures**

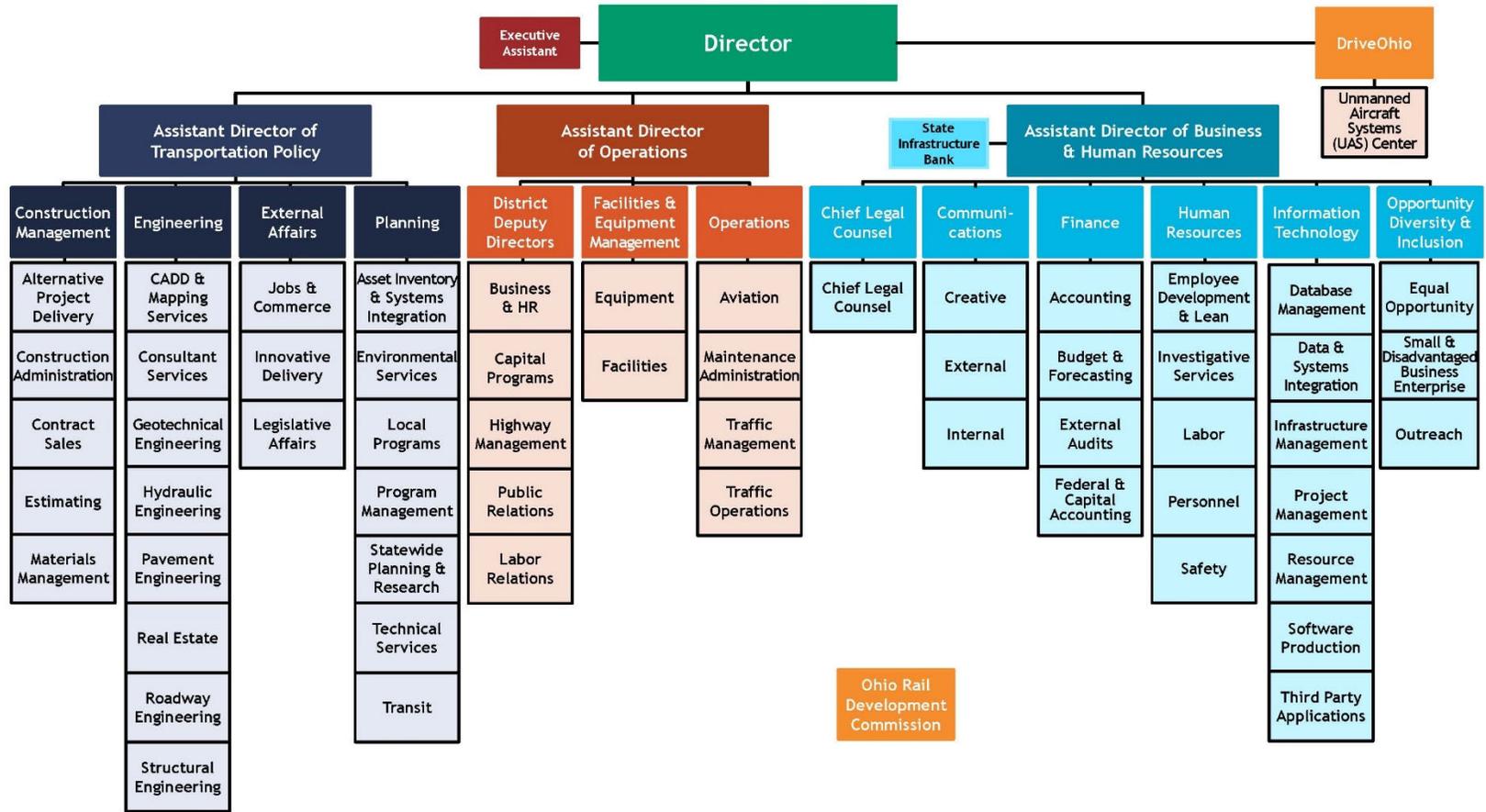


## **ODOT Office of Transit – Description**

The Ohio Department of Transportation (ODOT) is managed by the Director and four Assistant Directors. The Office of Transit reports through the Office of Planning and the Assistant Director of Transportation Policy, as shown in Figure D-1.

To accomplish its mission, the ODOT Office of Transit provides financial and technical assistance to public transit systems, local governments, and human service agencies throughout the state for the planning, establishment, and operation of public transportation systems.

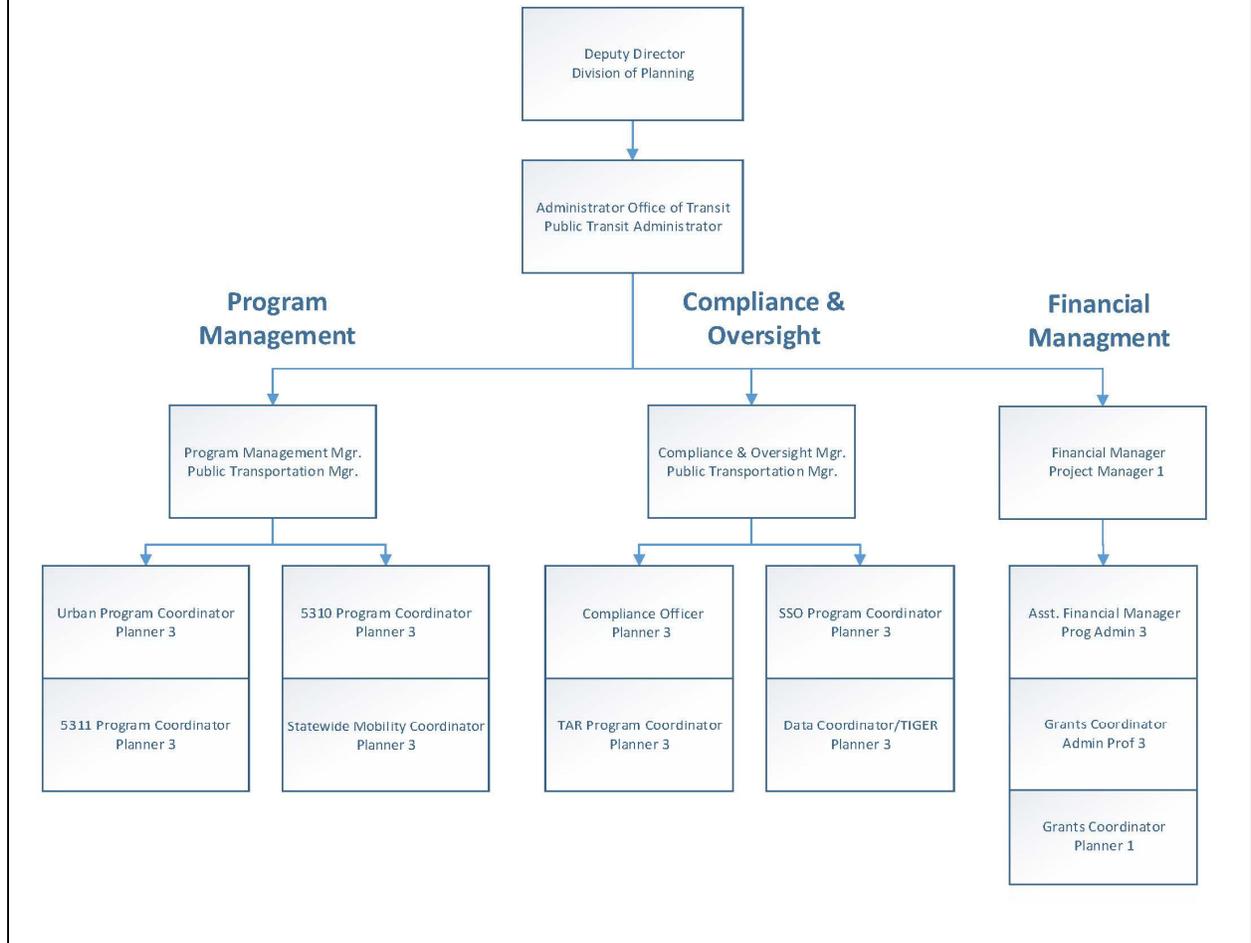
The Office of Transit is comprised of three sections to serve Ohio's transit systems, separated into Program Management, Financial Management, and Compliance & Oversight, as shown in Figure D-2. Program Management and Financial Management staff members handle primary responsibilities and activities for the Ohio Urban Transit Grant Program, Ohio Transit Preservation Partnership Program, the Rural Transit Grant Program, the Rural Intercity Bus, the Ohio Elderly and Disabled Transit Fare Assistance Program, the Ohio Specialized Program, and the Ohio Mobility Management Program. . Compliance & Oversight staff members handle primary responsibilities and activities for Technical Assistance Reviews; development of all office publications; administration of the Ohio Technical Assistance Program; administration of the Rail Transit State Safety Oversight program; and sub-recipient and ODOT compliance with federal and state regulations.



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Figure D-1. ODOT Organization Chart

## Ohio Department of Transportation Office of Transit – Table of Organization



**Figure D-2. ODOT Office of Transit Organization Chart**

## **ODOT SSO Program Team Contact Information**

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## ODOT SSO Program General Procedures

The General Procedures included as part of this appendix have been developed in addition to related processes and procedures described in the SSOPS and appendices. These procedures are intended to formalize existing activities and procedures in order to address expectations from FTA and the enhanced ODOT SSO program based on the new SSO rule (49 CFR Part 674). The following procedures are described here and then available in separate downloadable files.

- **SSO-001. Program Standard Update Procedure** – This procedure explains timing and philosophy of updates for the program standard. Updates of actual policy in the body of the SSOPS will require approval and sign-offs from all of the program participants. However, an administrative or minor change to the body of the SSOPS will be notified and no approvals will be necessary. In addition, appendices of the SSOPS will be updated at will, and only a simple review and concurrence process is required. The timing of these updates will be based on program need, changes to FTA regulations, and changes required based on external audits of the ODOT SSO program. Each December, a check for any needed updates of the SSOPS will be made, as required by FTA.
- **SSO-002. Conflict of Interest (COI) Review Procedure** – This procedure explains the identification of potential ODOT SSO program conflicts of interest (COIs), review of these potential COIs, and the determination and documentation of decision-making based on the review of the potential COIs. An example of the use of this potential COI process will be when ODOT is involved in providing grant funding to GCRTA or SORTA related to the rail systems. This procedure also includes a template form to capture the potential COI and any decisions and notes from the review of that potential COI. Completed template forms will become formal records to be tracked as part of the ODOT SSO program.
- **SSO-003. Safety Event Notification Procedure** – This procedure provides instructions to the Ohio RTAs for reportable safety events that occur at the RTAs and must be notified to the ODOT SSO program and possibly FTA. This procedure also includes a general description of each of the RTA's rail systems and vehicles as background information, as well as the notification form for each RTA.
- **SSO-004. Enforcement Escalation Procedure** – This procedure explains the process that the ODOT SSO program will use to track potential unmitigated safety (or security) risk at the Ohio RTAs and interactions with the RTAs to assure that these potential unmitigated safety (or security) risks are appropriately addressed. The focus for this procedure is on how the ODOT SSO program will escalate this type of situation if there are disagreements or a lack of responsiveness from the Ohio RTAs. This escalation of enforcement might provide a remedy through the Ohio Attorney General's office should an Ohio RTA be unresponsive to resolution of issues required by the ODOT SSO program.
- **SSO-005. Annual Program Status Report Development Procedure** – This procedure provides a process for developing and completing the annual program status report. The procedure includes a scope and outline for this annual report as well as the review and approval process to be followed. Ultimately, this report is required to be delivered

annually to the FTA, Governor of the State of Ohio, and the boards of directors (or equivalent) of each of the Ohio RTAs.

- **SSO-006. Annual Data Submission De-identification Procedure** – This procedure explains the process and requirements for the RTA safety event investigations, internal audits, and corrective action plans (CAPs) data and information to be de-identified, coded, and delivered to the FTA on an annual or as-needed/periodic basis. The focus of this procedure is assuring that the data and information provided to the FTA is both responsive to FTA’s requirements while at the same time not providing any sensitive or personally specific information that is not necessary to meet the FTA’s requirements.
- **SSO-007. Annual Hazard Data Reporting Procedure** – This procedure provides scope for collecting Hazard data from the Ohio RTAs as currently required by FTA. Hazard data are to be collected monthly from the Ohio RTAs. Data include state only reportable events (defined in SSO-003), hazard log data, and daily safety event logs (red signal violations, broken rail/kinks, railcar braking failures, near misses with automobiles/pedestrians, and door faults/doors opening wrong side). Additional hazard related data will continue to be collected from the Ohio RTAs to support risk monitoring. Hazard data submission will follow requirements in SSO-006.
- **SSO-008. Rail Transit Agency (RTA) Safety Oversight and Risk Monitoring Procedure** – This procedure explains the process and requirements for the activities that make up the ODOT SSO program risk monitoring of the Ohio RTAs. Risk Monitoring is a process used to address safety oversight of a transit agency’s Safety Management System (SMS) Safety Assurance (and some aspects of Safety Risk Management) activities.
- **SSO-009. Investigation for Allegations of Rail Transit Agency (RTA) Noncompliance with Agency Safety Plan (ASP) Procedure (including public input)** – This procedure addresses receipt of allegations of RTA noncompliance with their ASP from others such as the public, patrons, employees, Safety Department, SSO Program FTA, or others. The ODOT SSO program also uses this procedure for addition of investigations beyond those required by FTA for accidents as state reportable events.
- **SSO-010. Investigation Reporting Process** – This procedure describes the ODOT SSO Program process for safety event investigations at the Ohio RTAs. Each Ohio RTA has developed standard investigation procedures, and those procedures are adopted and approved by the ODOT SSO program to allow the RTA to complete these investigations for the state. The ODOT SSO program has the authority to join and/or lead any of these investigations, and is required to follow the local RTA investigation procedures and reporting requirements in Section 7 of the program standard.
- **SSO-011. Tracking, Closure, and Verification of Corrective Action Plans (CAPs) Procedure** – This procedure is focused on the procedure used to track, agree to closure, and verification of CAPs when they are closed. CAPs in the ODOT SSO program are tracked with updates provided by the Ohio RTAs on a monthly basis. As CAPs are completed, the departments within the RTA are required to provide evidence of that CAP completion or closure. This closure evidence is forwarded to the ODOT SSO program once the Safety Department concurs with the closure. After closure, the ODOT SSO

program is required to follow-up on the closure evidence to concur with closure via the records provided or by inspection or interviews at the RTAs.