

Ohio Department of Transportation (ODOT) Rail Transit State Safety Oversight (SSO) Program

Procedure SSO-003: Greater Cleveland Regional Transit Authority (GCRTA) Rail System and the Cincinnati Bell Connector Streetcar Reportable Safety Event (Accident/Incident) Notifications to the ODOT SSO Program and the Federal Transit Administration (FTA).

Current Version: January 28, 2019 [Note: all older versions of this procedure should be discarded]

Scope: This procedure provides the notification processes to be used by the Ohio Rail Transit Agencies (RTAs) – GCRTA and Cincinnati Bell Connector Streetcar, and ODOT SSO, for reportable safety events (accidents/incidents) that occur on the GCRTA or Cincinnati Bell Connector Streetcar rail systems and rail-related property.

Notification requirements are provided in federal and state regulations, and additional guidance has been provided by FTA, including the National Transit Database (NTD) reporting requirements.

- Federal Regulation – 49 CFR Part 674.7 and 674.33
- FTA Guidance – Two-Hour Accident Notification Guide, <https://www.transit.dot.gov/regulations-and-guidance/safety/two-hour-accident-notification-guide-0>
- NTD Safety & Security (S&S) Reporting Manual, <https://www.transit.dot.gov/sites/fta.dot.gov/files/docs/ntd/69096/2018-safety-and-security-policy-manual.pdf>

GCRTA and Cincinnati Bell Connector Streetcar Reportable Event Notification Process: As defined in 49 CFR Part 674.33(a), notification shall be made to the ODOT SSO program staff (contact information below in table), by telephone, **within two (2) hours** for any safety event.

If the safety event is reportable to the FTA (49 CFR Part 674), the **Ohio RTA** will notify **FTA** with initial information, as required by FTA and also **within the 2-hour time period**, at CMC-01@dot.gov (preferred) or telephone at (202) 366-1863. Include the ODOT SSO program contacts in the table below on any email with FTA and any response.

ODOT SSO Program and FTA Required Notifications and Safety Event Investigations

Notification Topics	FTA (2 hours)
Fatalities	One or more fatalities within 30 days of safety event
Injuries	One or more serious injuries
Collision between a rail transit vehicle and another rail transit vehicle	All, except normal coupling of rail cars in a yard
Collision of a rail transit vehicle at a grade crossing	Only those resulting in substantial damage, serious injury, or fatality
Collision of a rail transit vehicle with a person, motor vehicle, or object	Only those resulting in substantial damage, serious injury, or fatality
A runaway train	All
Evacuations	Due to life safety reasons, All
Derailments	All, Mainline or Yard
Property Damage	Substantial damage only for collisions with a person, object, or at a grade crossing

Significant Hazardous Conditions: Both GCRTA and Cincinnati Bell Connector Streetcar must notify the ODOT SSO program staff of the following state-defined events (these will be marked 'other' on the notification form). The ODOT SSO program has the authority to require these additional event types per 49 CFR Part 674.25(c) and (d).

1. Collision of a rail vehicle
 - a. With a motor vehicle, not at a grade crossing (excludes mirror strikes)
 - b. With a motor vehicle at a grade crossing, non-serious injuries and less than substantial damage
 - c. With a person, non-serious injury
 - d. With an object, non-serious injuries and less than substantial damage
2. Evacuation of a rail vehicle to the right-of-way or into street/traffic, not for a life safety reason
3. Substantial damage for all rail related assets or exceeds \$25,000, excludes collisions or derailments that are defined as accidents above.
4. Hard couple (less than substantial damage) in a yard
5. Split switch – rail revenue vehicle or work vehicle
6. Close calls
 - a. Rail vehicle to rail vehicle, including rail work equipment
 - b. Rail vehicle to motor vehicle or object
 - c. Rail vehicle to workers on the right of way
7. Damage to the OCS that disrupts service – includes significant OCS damage or pull downs and chipped/damaged pantographs
8. Two or more persons transported for at least medical assessment, no obvious serious injury
9. Any rail system related hazardous condition determined to be an Unacceptable Hazardous Condition.

Contact Person	Organization	Telephone Number	When Notified
John Fedikovich (first GCRTA)	Vital Assurance	216-402-5412	immediately
Josh Gearhardt (first Cincinnati Streetcar)	Vital Assurance	937-216-2772	immediately
Kevin Chandler	Vital Assurance	614-946-3845	immediately
Don Eldredge	Vital Assurance	614-205-1837	immediately
Jessyca Hayes	ODOT	706-799-6576 (cell) 614-644-0300 (office)	immediately
Dave Seech	ODOT	614-499-5427 (cell) 614-644-7362 (office)	immediately

* Vital Assurance is under contract with the Ohio Department of Transportation (ODOT) to serve as the contact for receiving safety event reports. Vital Assurance staff can be reached by cell phone numbers listed above.

The following information shall be provided to the ODOT SSO program staff (jessyca.hayes@dot.ohio.gov, Dave.Seech@dot.ohio.gov, gearhardt@vitalassurance.com, fedikovitch@vitalassurance.com and chandler@vitalassurance.com) at the earliest available opportunity after making the initial notification of the event via telephone. If the information is not pertinent to the event (accident/incident), the item should be identified as “non-applicable” (N/A).

RTA Notification Form Required Content

- Name of the Rail Transit Agency;
- Name and job title of person reporting;
- Event type (fatality, injuries, property damage, evacuation, derailment or other);
- Location, time, and date;
- Fatalities;
- Injuries;
- Rail transit vehicle(s) involved (type, vehicle numbers, rail line);
- Property damage estimate;
- Notified to NTSB, report number;
- If shared corridor with freight railroad, note if railroad contacted or has made contact;
- RTA primary person conducting the investigation (name, title, telephone and fax numbers, email address);
- Description of the event being notified.

Note: GCRTA or Cincinnati Bell Connector Streetcar must also notify the National Transportation Safety Board (NTSB) by telephone as appropriate and required.

Note: GCRTA or Cincinnati Bell Connector Streetcar must also notify the Transportation Security Administration (TSA) as appropriate and required.

Definitions: Definitions related to the notification criteria and thresholds.

- Safety **Event** means an Accident, Incident or Occurrence.
- **Accident** means an Event that involves any of the following: A loss of life; a report of a serious injury to a person; a collision involving a rail transit vehicle; a runaway train; an evacuation for life safety reasons; or any derailment of a rail transit vehicle, at any location, at any time, whatever the cause. An accident must be reported in accordance with the thresholds for notification and reporting set forth in Appendix A to this part. [Source: Part 674.7]
- **Incident** means an event that involves any of the following: A personal injury that is not a serious injury; one or more injuries requiring medical transport; or damage to facilities, equipment, rolling stock, or infrastructure that disrupts the operations of a rail transit agency. An incident must be reported to FTA’s National Transit Database in accordance with the thresholds for reporting set forth in Appendix A to this part. If a rail transit agency or State Safety Oversight Agency later determines that an Incident meets the definition of Accident in this section, that event must be reported to the SSOA in accordance with the thresholds for notification and reporting set forth in Appendix A to this part. [Source: Part 674.7]
- **Occurrence** means an Event without any personal injury in which any damage to facilities, equipment, rolling stock, or infrastructure does not disrupt the operations of a rail transit agency. [Source: Part 674.7]
- **Serious injury** means any injury which: [Source: Part 674.7]
 - (1) Requires hospitalization for more than 48 hours, commencing within 7 days from the date of the injury was received;
 - (2) Results in a fracture of any bone (except simple fractures of fingers, toes, or nose);
 - (3) Causes severe hemorrhages, nerve, muscle, or tendon damage;
 - (4) Involves any internal organ; or

- (5) Involves second- or third-degree burns, or any burns affecting more than 5 percent of the body surface.

Substantial damage [Source: NTD S&S Reporting Manual] is damage to any involved vehicles, facilities, equipment, rolling stock, or infrastructure that

- Disrupts the operations of the rail transit agency, and
- Adversely affects the structural strength, performance, or operating characteristics of the vehicle, facility, equipment, rolling stock, or infrastructure, requires towing, rescue, on-site maintenance, or immediate removal prior to safe operation.

Substantial damage **excludes** damage that is limited to

- Cracked windows;
- Dents, bends, or small puncture holes in the body;
- Broken lights, mirrors, catenaries, or third-rail equipment; or
- Removal from service for minor repair or maintenance, testing, or video and event recorder download.

Fatalities [Source: NTD S&S Reporting Manual]

Agencies must always report S&S events that result in fatalities. For NTD purposes, a fatality is a death due to

- Collision (including suicides);
- Derailment,
- Fire,
- Hazardous material spill,
- Acts of God,
- System or personal security event (including suicides), or
- Other safety event.

Fatalities that occur because of illnesses or other natural causes (including individuals who are found deceased) are not reportable. For example, if a passenger suffers a fatal heart attack in a transit facility or vehicle, the event is not reportable to the NTD.

An agency must report a fatality if it is confirmed within 30 days of an S&S event. If an agency receives confirmation within 30 days of an event that a person died due to a reportable event, the agency reports a fatality rather than an injury.

Evacuation [Source: NTD S&S Reporting Manual]

A reportable evacuation is a condition that occurs when persons depart from transit vehicles or facilities for life-safety reasons. This includes both transit-directed evacuations and self-evacuations. Self-evacuations occur when people vacate transit property independent of management or direction by transit personnel or other authority.

In addition, rail modes must report all evacuations to controlled rail right-of-way. Evacuations to the "right-of-way" refer to rail mode only. For example, if a bus breaks down during service, and passengers are removed to the sidewalk or highway shoulder lane, the event would be excluded from reporting.

Causes of evacuations that constitute an imminent danger to passengers, employees, contractors, or other persons may include

- Fires
- Presence of smoke or noxious fumes
- Hazardous material spills
- Vehicle fuel leaks
- Weapon fired on a vehicle
- Electrical hazards
- Bomb threats
- Suspicious items
- Security
- Power failure (if there is imminent danger to passengers)
- Mechanical failure (if there is imminent danger to passengers)
- Other events (Other Safety Events)

Evacuations of vehicles or facilities are reportable even if the event is off property – for example, called-in bomb threats, gas leaks, or fires on adjacent property that cause an agency to evacuate a nearby station.

Agencies should not report evacuations due to a mechanical failure or transfer of passengers to a rescue train or evacuation to a station platform unless there was an imminent danger to passengers.

Note: The removal of an injured person from a vehicle does not qualify as an evacuation.

Updates:

- February 25, 2016 – Updated to include Cincinnati Streetcar and to add State reportable events with definitions.
- September 12, 2016 – Updated to clarify the State reportable event definitions and to indicate that two of the State reportable events will be reportable accidents under Part 674.
- October 11, 2016 – Updated to clarify state reportable criteria and to change responsibility for telephone notification of the ODOT TMC to the ODOT SSO staff, except the initial notification form will continue to be delivered to the ODOT TMC via email by the RTAs.
- December 27, 2016 – Minor clarifications for notification and follow-up with ODOT TMC and FTA, as well as thresholds.
- April 12, 2017 – Removed any requirements for notifying or information to be provided to the ODOT TMC. Also, removed phone number for FTA notification, since FTA has not yet fully developed their notification process (information provided by FTA). ODOT SSO will continue to be the point of contact for any FTA notifications.
- September 11, 2017 – Change notification thresholds from Part 659 to Part 674, and fully remove reference to contacting the ODOT Transportation Management Center (TMC) from the notification forms.
- April 18, 2018 – Modify notification contacts, revise significant hazardous conditions, and change information about notifications to FTA based on guidance provided in February 2018. Changed state notification form ODOT email address.
- October 4, 2018 – Revised notification criteria and thresholds to address Part 674 and FTA's two-hour accident notification guidance.
- November 24, 2018 – Made minor clarifications to the notification criteria and thresholds. Added the FTA CMC email address to the notification forms.
- January 28, 2019 – Made minor edits, no substantial changes.

GCRTA Rail System Description:



GCRTA Heavy and Light Rail Service Map

The **heavy rail Red Line** consists of a single route 19 miles of double track in length, extending from the Cleveland Hopkins International Airport on the west and to Louis Stokes Station in East Cleveland on the east, generally alongside private railroad rights-of-way. The active, revenue service rolling stock consists of 40 cars built by Tokyu Car Corporation. Heavy rail schedules require 24 cars during morning and afternoon rush hours. Rail service operates approximately 21 hours per day, 7 days per week, all year.

The **light rail system (Blue and Green Lines)** of GCRTA, formerly known as Shaker Rapid is a two-track line between Shaker Heights and the Lakefront Municipal Parking Lot (South Harbor). The system has a fully grade-separated route for six miles between downtown Cleveland and Shaker Square. The line has two branches east of Shaker Square in the landscaped median strips of Van Aken Boulevard (Blue Line) and Shaker Boulevard (Green Line). West of Tower City the line turns north through the Flats (Waterfront Line). The total line length is 15.3 miles of double track. The equipment consists of 34 cars manufactured by Breda Costruzioni Ferroviarie. Light rail service operates approximately 21 hours per day, 7 days per week, all year.

Rail-related facilities: Integrated Communications Center (ICC) Main Office Building (1240 W. Sixth St.); Rail Headquarters Building (5400 Grand Ave); Rail Service Building (6000 Grand Ave); Central Rail Maintenance Facility (6200 Grand Ave); Main Yard at E. 55th as part of Grand Ave Buildings/Facilities; Brookpark Shop and yard (18305 Brookpark Road).



Greater Cleveland RTA/ODOT SSO Program
 Phone J. Fedikovich @ (216) 402-5412
 Email J. Fedikovich – fedikovich@vitalassurance.com
 Cc: D. Seech – Dave.Seech@dot.ohio.gov
 J. Hayes – Jessyca.Hayes@dot.ohio.gov

Date of Accident: _____ Time of Accident: _____

Location of Accident: _____

Reported by: _____ Title: _____

Phone: _____ Email: _____

Fax: (216)771-4118

Time ODOT notified via phone: _____

Time FTA notified: _____

CMC-01@dot.gov

NTSB Notified: _____ Report No. _____

- Yes
- No

Line: Red Green Blue Waterfront OOS

Train: Run No. _____ Block No. _____
 Heavy Rail: _____ Light Rail: _____

Car Number(s): _____

Work Train/Equipment: _____

Type of Accident:

- Fatality at the scene or where an individual is confirmed dead within 30 days of a rail transit related incident
- A report of a Serious Injury to a person
- A collision involving a rail transit vehicle with another rail transit vehicle or rail equipment
- A collision involving a rail transit vehicle with a person, motor vehicle, or with an object, requires substantial damage, serious injury, or fatality
- A runaway train
- An evacuation for life safety reason
- Any derailment of a rail transit vehicle, at any location, at any time, whatever the cause
- Other, State Reportable, explain as part of Narrative.

Narrative:

NTSB Number (800) 424-0201

Contact the NTSB:

Within 2 Hours:

- Passenger or employee fatality (except suicide and exclude trespassers)**
- Two or more passengers or crewmembers seriously injured or hospitalized**
- Accident requiring emergency evacuation of passengers from the train**
- Fatality at Grade Crossing**

Within 4 Hours:

- Accident damage of \$25,000 or more to a passenger train and railroad and non-railroad property**

***check appropriate box above and provide detail below**

Number of cars derailed: _____

Hazardous Materials: _____

Number of Fatalities: _____

Number of Injuries: _____

Estimated Damage: _____

Additional information available by RTA can be obtained from:

Name: _____

Phone: _____

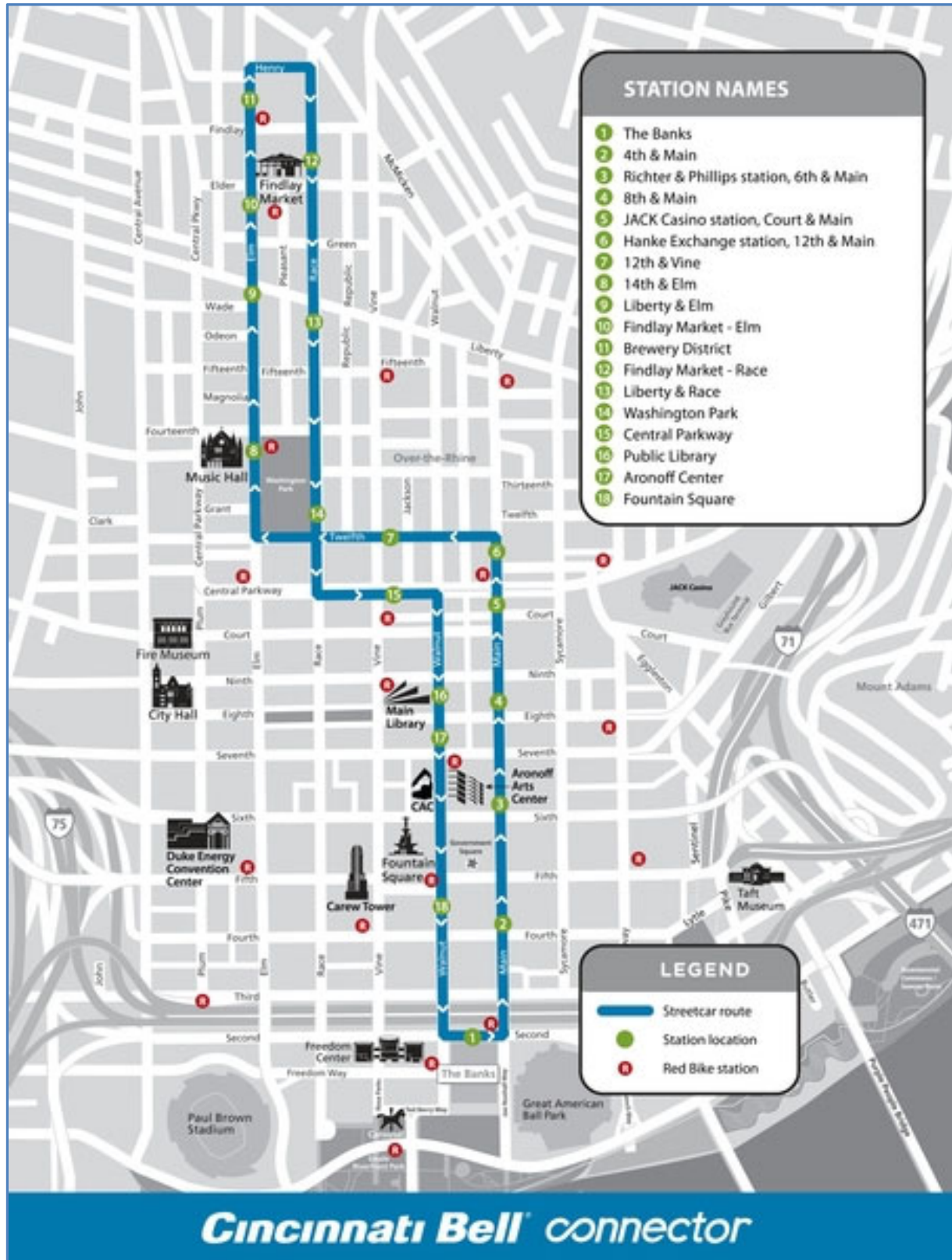
Call received at NTSB by:

Name: _____

Phone: _____

Official time report received by NTSB: _____

Cincinnati Bell Connector Streetcar System Description:



Cincinnati Bell Connector Streetcar Route Map

The Cincinnati Bell Connector Streetcar is a modern streetcar system designed to link major employment centers in Downtown and Uptown, connecting through Cincinnati's historic Over the Rhine (OTR) neighborhood, with revenue service starting on September 9, 2016. The Cincinnati Bell Connector Streetcar rail system includes 3.6 miles of one directional single track along a figure-eight route from Second Street (on the south) to Henry Street (on the north) and will have 18 stops. The City of Cincinnati is the owner of the rail system and vehicles. The Southwest Ohio Regional Transit Authority (SORTA) is responsible for operations and maintenance, and accomplishes those responsibilities through an operations and maintenance contractor (Transdev) for this rail system.

Hours of operation

Monday-Thursday 6:30 a.m. – midnight

Friday 6:30 a.m. – 1:00 a.m.

Saturday 8:00 a.m. – 1:00 a.m.

Sunday and holidays 9:00 a.m. – 11:00 p.m.

How often it will operate

Mon.-Fri. 11:00 a.m. - 7:00 p.m. Every 12 minutes

All other days/times Every 15 minutes

Rail-related facilities: The Maintenance and Operation Facility (MOF) is located on the route at the southwest corner of Race and Henry Streets.





**Cincinnati Bell Connector Streetcar
ODOT Notification Form**

ODOT SSO Program
 Phone J. Gearhardt @ (937) 216-2772
 Email J. Gearhardt - gearhardt@vitalassurance.com
 Cc: J. Hayes jessyca.hayes@dot.ohio.gov
 D. Seech- dave.seech@dot.ohio.gov

Date of Accident: _____ Time of Accident: _____

Location of Accident: _____

Reported by: _____ Title: _____

Phone: _____ Email: _____

Time ODOT notified via phone: _____

Time FTA notified: _____
CMC-01@dot.gov

NTSB Notified: _____ Report No. _____
 Yes
 No

Line: Cincinnati Bell Connector Streetcar

Streetcar Number: _____

Car Number(s): _____
 Work Train/Equipment: _____

Type of Accident:

- Fatality at the scene or where an individual is confirmed dead within 30 days of a rail transit related incident
- A report of a Serious Injury to a person
- A collision involving a rail transit vehicle with another rail transit vehicle or rail equipment
- A collision involving a rail transit vehicle with a person, motor vehicle, or with an object, requires substantial damage, serious injury, or fatality
- A runaway train
- An evacuation for life safety reason
- Any derailment of a rail transit vehicle, at any location, at any time, whatever the cause
- Other, State Reportable, explain as part of Narrative.

Narrative:

NTSB Number (800) 424-0201

Contact the NTSB:

Within 2 Hours:

- Passenger or employee fatality (except suicide and exclude trespassers)**
- Two or more passengers or crewmembers seriously injured or hospitalized**
- Accident requiring emergency evacuation of passengers from the train**
- Fatality at Grade Crossing**

Within 4 Hours:

- Accident damage of \$25,000 or more to a passenger train and railroad and non-railroad property**

***check appropriate box above and provide detail below**

Number of cars derailed: _____

Hazardous Materials: _____

Number of Fatalities: _____

Number of Injuries: _____

Estimated Damage: _____

Additional information available by RTA can be obtained from:

Name: _____

Phone: _____

Call received at NTSB by:

Name: _____

Phone: _____

Official time report received by NTSB: _____