



FRA Guide for Preparing Accident/Incident Reports

**U.S. Department of Transportation
Federal Railroad Administration**

Office of Safety

FRA Guide for Preparing Accident/Incident Reports

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INTRODUCTION

A railroad is required by Federal Railroad Administration (FRA) regulations at Title 49, Part 225 of the Code of Federal Regulations to use the current FRA Guide for Preparing Accident/Incident Reports (“Guide” or “reporting guide”) when preparing its monthly report. The instructions and interpretations contained in this publication are provided to assist railroads in meeting this obligation.

The Occupational Safety and Health Act of 1970 requires all employers, including railroads, to “maintain accurate records of, and to make periodic reports on, work-related deaths, injuries and illnesses.” At the time of its issuance, railroads were subject to the Accident Reports Act of 1910, which states that: “It shall be the duty of every common carrier engaged in interstate or foreign commerce by railroad to make to the Secretary of Transportation a monthly report, under oath, of all collisions, derailments, or other accidents resulting in death or injury to any person or damage to equipment or roadbed, arising from the operation of such railroad. These reports shall state the nature and causes thereof and the circumstances connected therewith.”

Because of this earlier and continuing requirement, an agreement was reached between the Department of Labor (DOL) and the Department of Transportation (DOT) that railroads should continue to report to DOT, but under modified recordkeeping rules. These new rules would conform to the extent practicable to those issued by the Occupational Safety and Health Administration (OSHA) and would be administered by the Federal Railroad Administration (FRA) under 49 CFR Part 225. These new rules went into effect on January 1, 1975.

The Occupational Safety and Health Act of 1970 also requires that the Secretary of Labor must issue rules to develop and maintain an effective program of collection, compilation, and analysis of occupational safety and health statistics. These data are used to chart the magnitude and nature of the occupational injury and illness problem across the country. Congress, OSHA, and safety and health policy makers in Federal, State and local governments use these statistics to make decisions concerning safety and health legislation, programs, and standards. Employers and employees use them to compare their own injury and illness experiences with the performance of other establishments within their industry and in other industries.

The injury and illness records required by FRA’s accident/incident reporting rule contribute to the national database on workplace safety, maintained by DOL. In order to have a database that allows accurate comparison between industries, the rules that FRA uses must be modified whenever OSHA makes significant changes that affect the number and types of work related deaths, injuries, and illnesses for which records are to be maintained, and the manner in which these are to be classified. Such a change occurred on January 1, 2002, when revised OSHA recordkeeping requirements became effective, and is the first revision since the original requirements were implemented in 1971. In response to this change, FRA began the process of amending its own rule to conform with OSHA’s new rules.

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In recent years FRA has adopted a more participatory approach to rulemaking by using what is known as Railroad Safety Advisory Committee (RSAC). RSAC was established to provide advice and recommendations to the FRA on railroad safety matters. The Committee consists of 48 individual representatives, drawn from 27 organizations representing various railroad industry interests, two associate representatives from the agencies with railroad safety regulatory responsibility in Canada, and Mexico, and other associate representatives from organizations representing industry personnel with diverse backgrounds.

On April 23, 2001, FRA tasked RSAC with developing recommendations on Accident/Incident Reporting Conformity. The purpose of the task was to:

[C]onform FRA's regulations for accident/incident reporting (49 CFR part 225) to revised regulations of the Occupational Safety and Health Administration (OSHA), U.S. Department of Labor, and to make appropriate revisions to the FRA Guide for Preparing Accident/Incident Reports (Reporting Guide).

RSAC accepted this task and assigned it to the already formed Accident/Incident Reporting Working Group comprised of 26 entities in addition to FRA. RSAC tasked this Working Group to report on “(1) Recommended changes to the regulations and Reporting Guide to achieve conformity with revised OSHA regulations and guidance, including consideration of codes, narratives and forms.” RSAC also tasked the Working Group to report on “(2) Any appropriate perfecting changes to the regulations or Reporting Guide responsive to issues identified by FRA in its administration of the current accident incident recordkeeping and reporting program.”

Because of the need to conform with OSHA's new rule it was necessary to completely revise Chapter 6, where the casualty recordkeeping requirements are found. The majority of criteria previously used to determine which cases to report carry forward to the new rule, e.g., medical treatment, day away from work; some with minor modification. Each major reporting issue is addressed in separate sections, e.g., how to determine work-relatedness, how to determine if a condition is a new case. Each of these sections contains a series of questions and answers pertinent to that issue, and will aid the reporting officer in making reporting decisions.

The majority of cases reportable under the previous requirements will continue to be reportable under the new rules. Although FRA's previous rules and guidelines closely paralleled OSHA's prior requirements, there were some areas where FRA's guidelines differed from those of OSHA. Because of the need to conform as closely as possible to OSHA's requirements, FRA has corrected these differences in the rule and the Guide.

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Now certain cases which were not reportable under FRA's old rule, will now be reportable, e.g., use of over the counter medication at prescription strength. The addition of these new cases will make comparison of data collected under the new requirements inconsistent with data collected under the previous guidelines, and may give the impression that safety has declined. These cases are being collected because they are covered by OSHA's requirements. They will be identified on the report form as "covered data" cases. Although "covered data" cases will be retained in our files, and be accessible on our web site, these cases will not be included in the casualty counts found in our regular publications, e.g., Annual Report of Railroad Safety Statistics, but may be used for other purposes.

The following is a summary of significant changes to the rule and Chapter 6 pertaining to the reporting of employee on duty cases:

- Clarified the meaning of event or exposure arising from the operation of a railroad
- Clarified how work-relationship is determined, i.e., is the injury or illness work-related?
- Additional exceptions have been added to the geographic presumption of work relationship; cases arising from eating and drinking of food and beverages, blood donations, exercise programs, etc. no longer need to be recorded. Common cold and flu cases also no longer need to be recorded.
- Criteria for deciding when mental illnesses are considered work-related have been added.
- Different criteria for recording work-related injuries and work-related illnesses are eliminated; one set of criteria is used for both.
- Clarified when a condition is to be treated as a new case versus updating an existing case.
- New definitions are included for medical treatment and first aid. First aid is defined by treatments on a finite list. All treatment not on this list is medical treatment.
- Medical treatment now includes all non-prescription drugs at prescription strength and at any dose for a prescription drug.
- First aid (not reportable) now includes hot or cold therapy, regardless of how often applied.
- Medical treatment now includes any physical therapy/chiropractic treatment.
- First aid (not reportable) now includes use of butterfly bandages and Steri-Strips™ for any purpose.
- Medical treatment now includes any use of oxygen.
- Second degree burns are now not automatically recordable.
- The recording of "light duty" or restricted work cases is clarified. Employers are now required to record cases as restricted work cases when the injured or ill employee only works partial days or is restricted from performing their "routine job functions" (defined as work activities the employee regularly performs at least once weekly).
- Cases are reportable based on the recommendation of a physician or other health care professional that days away from work or days of restriction are needed.

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- The count of days away from work are based on total calendar days, rather than days the employee would have actually worked.
- Employers are required to record all needlestick and sharps injuries involving contamination by another person's blood or other potentially infectious material.
- Musculoskeletal disorders (MSDs) are treated like all other injuries or illnesses: they must be recorded if they result in days away, restricted work, transfer to another job, or medical treatment beyond first aid.
- Special recording criteria are included for cases involving the work-related transmission of tuberculosis or medical removal under OSHA standards. (§1904.9 and §1904.11)

The second task of the Accident/Incident Reporting Working Group was to make any appropriate perfecting changes to the regulations or Reporting Guide responsive to issues identified by FRA in its administration of the current accident incident recordkeeping and reporting program.

Among the more significant of these are the following:

- Revised Part 225 pertaining to telephonic reporting of certain accidents/incidents;
- Revised Appendix C, pertaining to train accident cause codes, including the addition, deletion or modification of codes;
- Revised Appendix E, pertaining to injury and illness codes, including the addition or modification of codes;
- Revised Appendix F, pertaining to circumstance codes, including the addition, deletion or modification of codes;
- Extended the period that FRA will keep its databases open to accept late or corrected reports from the April 15 calendar closeout through December 1;
- Revised appropriate section of Part 225 so as to clarify the provisions which pertain to reporting death or an injury to any person or railroad employee;
- Added additional codes pertaining to the use of remotely controlled locomotive(s) for use on forms FRA F 6180.55a, 6180.54, and 6180.57; and added new item on Form FRA F 6180.54.
- Revised Forms FRA F 6180.81 (Employee Human Factor Attachment) and 6180.78 (Notice to Railroad Employee Involved in Rail Equipment Accident/Incident Attributed to Employee Human Factor and Employee Statement Supplementing Railroad Accident Report) to improve how the forms read and simplify the instructions for the forms;
- Added Chapter 13 for instances where there is a claimed occupational illness, but the work relationship is under dispute or the illness has been determined not to be work related;
- Added Chapter 12, pertaining to commuter railroads;

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- Revised instructions in the *Guide* to clarify that the “function” of the employee would be used to determine the employee’s job title, when the railroad uses a job title other than engineer, fireman, conductor or brakeman;
- Revised Forms FRA F 6180.54 and 6180.55a to add a block to permit railroads to voluntarily report latitude and longitude of railroad equipment accidents and injuries.

A more complete discussion of the various changes can be found in the preamble of the rule. Assistance in complying with these guidelines can be obtained from the offices located in Appendix G.

The instructions in the Guide are limited to issues associated with recordkeeping and reporting. Railroads may transmit their monthly reports to the FRA by alternative means, e.g., on magnetic media or as an electronic data file that can be submitted as an e-mail attachment. The technical information needed for doing this is not described in the Guide, since it is not necessary for reporting decisions. A separate manual is available upon request that contains the specifications for doing this and is titled *Guidelines for Submitting Accident/Incident Reports by Alternative Methods*.

To assist railroads in maintaining and submitting records and reports required by this rule, the FRA developed the software package Accident/Incident Report Generator (AIRG) for the personal computer (PC) that runs in a Windows-based environment. See 61 Fed. Reg. 59485 (Nov. 22, 1996). The FRA will provide you with a copy of this software free of charge upon request by the reporting officer.

CHAPTER 1
**Overview of Railroad Accident/Incident Reporting and
Recordkeeping Requirements**

A. GENERAL

The Federal Railroad Administration's (FRA) regulations on reporting railroad accidents/incidents are found primarily in Title 49 of the Code of Federal Regulations (CFR), Part 225 (49 CFR Part 225).

Purpose. The purpose of the regulations in Part 225 is to provide FRA with accurate information concerning the hazards and risks that exist on the Nation's railroads. See 49 CFR § 225.1.¹ FRA needs this information to effectively carry out its regulatory and enforcement responsibilities under the Federal railroad safety statutes.² FRA also uses this information for determining comparative trends of railroad safety and to develop hazard elimination and risk reduction programs that focus on preventing railroad injuries and accidents. Issuance of these regulations preempts States from prescribing accident/incident reporting requirements. Any State may, however, require railroads to submit to it copies of reports filed with FRA under Part 225 for accidents/incidents that occur in that State.

Applicability. Except as discussed under the heading "Partial relief to certain small railroads," these FRA accident/incident reporting requirements apply to all railroads except--

1. A railroad that operates freight trains only on track inside an installation which is not part of the general railroad system of transportation or that owns no track except for track that is inside an installation that is not part of the general railroad system of transportation and used for freight operations.
2. Rail mass transit operations in an urban area that are not connected with the general railroad system of transportation.
3. A railroad that exclusively hauls passengers inside an installation that is insular or that owns no track except for track used exclusively for the hauling of passengers inside an installation that is insular. An operation is not considered insular if one or more of the following exists on its line:

¹ For brevity, further references in the Guide to sections in 49 CFR Part 225 will omit "49 CFR" and include only the section, e.g., § 225.9.

² Title 49, United States Code (U.S.C.) Chapters 51, 201-213.

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- a. A public highway-rail grade crossing that is in use;
- b. An at-grade rail crossing that is in use;
- c. A bridge over a public road or waters used for commercial navigation; or
- d. A common corridor with a railroad, i.e., its operations are within 30 feet of those of any railroad.

See § 225.3.

Part 225 covers any and all activities of a railroad related to the performance of its rail transportation business. “Railroad transportation” means any form of non-highway ground transportation that run on rails or electro-magnetic guideways, including (1) commuter or other short-haul railroad passenger service in a metropolitan or suburban area, as well as any commuter railroad service that was operated by the Consolidated Rail Corporation as of January 1, 1979, and (2) high speed ground transportation systems that connect metropolitan areas, without regard to whether they use new technologies not associated with traditional railroads. Such term does not include rapid transit operations within an urban area that are not connected to the general railroad system of transportation. See § 225.5.

Partial relief to certain small railroads generally covered by Part 225. FRA recognizes that small operations are concerned with the burdens, both in terms of time and expense, associated with full implementation of the amendments to Part 225 issued in 1996. Based on additional analyses, FRA concludes that it can grant partial relief to certain small operations without compromising the accuracy of its accident reporting data base. See § 225.3. These operations are:

1. Railroads that operate or own track on the general railroad system of transportation that have 15 or fewer employees covered by the Federal hours of service laws (49 U.S.C. §§ 21101-21108) and
2. Railroads that operate or own track exclusively off the general system.

(See 49 CFR Part 228, Appendix A for a discussion of employees covered by the Federal hours of service law.)

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If your railroad is subject to Part 225 at all and falls in either of the above categories, then you need not adopt and comply with components 3 through 11 of the Internal Control Plan requirements in § 225.33. See § 225.33(a)(3)-(11). However, you must fulfill the requirements of components 1 and 2, which require a stated policy dealing with harassment and intimidation. See § 225.33(a)(1)-(2). To assist railroads in developing this policy, FRA has provided suggested language, found in Appendix I to this Guide, that may be used.

A railroad in either of these two categories is also exempted from the requirements in § 225.25(a)-(i) to record accountable injuries and illnesses and accountable rail equipment accidents. (See Chapter 2 for definition of “accountable events.”) You must, however, maintain a Railroad Employee Injury and/or Illness Record of any reportable condition of one of your employees. (See Chapter 4.)

Additionally, a railroad that is generally subject to Part 225 but that operates exclusively off the general system (including off-the-general-system museum and tourist railroads) is not required to report or record an injury or illness of any person that results from a “non-train incident,” unless the non-train incident involves in-service railroad equipment. See definition of “non-train incident” in Chapter 2. Railroads that are subject to Part 225 in the first place and that operate exclusively off the general system must, however, continue to comply with Part 225 requirements regarding reporting and recording injuries and illnesses incurred by any person that result from a “train accident,” “train incident,” or a small subset of “non-train incidents” that involve railroad equipment in operation but not moving.

Example 1: A visitor to, or an employee of, a non-insular, off-the-general-system museum railroad falls off a railroad car that is on fixed display in the museum building and breaks his or her ankle. This injury is classified as an injury from a “non-train incident” with equipment not in railroad service and would, therefore, not be reported to FRA.

Example 2: A volunteer, while collecting tickets on a railroad car for an excursion ride on a non-insular, off-the-general-system tourist railroad, cuts his or her leg. This injury requires stitches even though the car is not moving. This injury is classified as an injury from a “non-train incident” with equipment that is in railroad service and would, therefore, be reported to FRA.

Major reporting and recordkeeping requirements under Part 225. There are many recordkeeping and reporting requirements arising from Part 225. A more complete discussion of all requirements can be found later in this chapter.

Recordkeeping is a critical part of railroad’s safety and health efforts for several reasons:

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Accident/Incident Reporting and Recordkeeping Requirements - Continued

Keeping track of accidents, injuries, and illnesses can help prevent them in the future.

Using accident, injury, and illness data helps identify problem areas. The more that is known, the better to identify and correct hazardous workplace conditions.

Accurate record keeping will allow a railroad to better administer safety and health programs.

As employee awareness about accidents, injuries, illnesses, and hazards in the workplace improves, workers are more likely to follow safe work practices and report workplace hazards. Railroad and FRA compliance officers can rely on the data to help them properly identify and focus on accidents, injuries and illnesses in a particular area.

FRA collects data from over 600 railroads each year which is used by the Occupational Safety And Health Administration (OSHA) for the railroad industry. The Bureau of Labor Statistics (BLS) also uses injury and illness records as the source data for the Annual Survey of Occupational Injuries and Illnesses that shows safety and health trends nationwide and industry wide.

The following is a list of the major recordkeeping and reporting requirements for all railroads subject to Part 225 at all:

- ! A monthly report must be made to FRA even if there were no reportable events during the report month. This form is titled **RAILROAD INJURY AND ILLNESS SUMMARY** (Form FRA F 6180.55). See § 225.21(b).
- ! Any **reportable accident/incident** during the month must be sent to FRA on the **appropriate standardized form, or** by means of an **acceptable alternative format**, and be part of your regular monthly submission. See § 225.11.
- ! You must make **immediate telephonic notification** of certain accidents/incidents. See § 225.9.
- ! You must **post a listing** of the reportable injuries and illnesses that occur to employees of each establishment. See § 225.25(h).
- ! **Employees must, upon request, be provided access** to records required to be kept by Part 225 regarding their own injury or occupational illness. See § 225.25(c).

In addition, except for railroads completely excepted from Part 225 and except for certain small railroads discussed earlier in the “Applicability” section of this chapter, railroads must also comply with the following major requirements:

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- ! You must have an **INTERNAL CONTROL PLAN** containing eleven specified components that describes how your railroad achieves compliance with the regulation. See § 225.33.
- ! You must maintain a **log of each accountable and each reportable** injury and occupational illness of your employees. See § 225.25.
- ! You must maintain a **log of each accountable and each reportable** on-track accident/incident on your railroad. See § 225.25.
- ! You must maintain a **log of each illness claimed to be work-related when reported outside the railroad's standard procedures**. See § 225.25(i) and § 225.21(j).

Assistance and guidance in deciding the reportability of an accident/incident or otherwise fulfilling your reporting obligation may be obtained by contacting any of the regional offices listed in Appendix G or by writing to FRA at the address shown in Section C of this chapter.

Access to records and reports. Under § 225.35, each railroad shall have at least one location, and shall identify each location, where any representative of FRA, or of a State agency participating in investigative and surveillance activities or any other authorized representative, has centralized access to a copy of any record and report required under Part 225, for examination and photocopying in a reasonable manner during normal business hours. Each railroad shall also provide FRA and participating State agency representatives with access to relevant medical and claims records for examination and photocopying in a reasonable manner during normal business hours. Such representatives shall display proper credentials when requested. Each railroad shall identify the locations where a copy of any record and report required under this part is accessible for inspection and photocopying by maintaining a list of such establishment locations at the office where the railroad's reporting officer conducts his or her official business. A copy of any record and report required under this part shall be accessible within four business hours after the request. FRA will not assess a monetary penalty against the railroad for its failure to provide the requested documentation when circumstances outside the railroad's control preclude it from fulfilling the four-business-hour time limit and the railroad has made a reasonable effort to correct the problem. The Form FRA F 6180.107 or the alternate railroad-designed form need not be provided at any railroad establishment within 4 hours of a request. Rather, the Form FRA F 6180.107 or the alternate railroad-designed form must be provided upon request, within five business days, and may be kept at a central location, in either paper or electronic format.

Accident/Incident Reporting and Recordkeeping Requirements - Continued

Should a railroad assert a legal privilege with respect to certain relevant claims and medical records, failure to provide FRA access to such records would not constitute a violation of § 225.35. FRA retains the right to issue a subpoena to obtain such records under 49 U.S.C. §§ 20107 and 20902 and 49 CFR §§ 209.7(a) and 225.31(b), and the railroad may contest that subpoena.

Copies of the Regulations. Copies of other Federal regulations referenced in this Guide may be obtained by contacting the Superintendent of Documents, Government Printing Office, Washington, DC 20402-9328 (telephone 202-512-1803).

Reporting Decisions. See § 225.17. The reporting officer will ordinarily decide whether or not an incident is accountable or reportable. This decision cannot be an arbitrary one, but must be based on a thorough review of all evidence, as opposed to speculation, related to the incident in question and be in accordance with the requirements of the accident reports statute (49 U.S.C. §§ 20901-20903), 49 CFR Part 225, and the guidelines provided in this Guide. If you are certain that a particular situation is outside the scope of the reporting requirements, then the basis on which this determination was made must be thoroughly documented before the case may be omitted from the monthly submission. If there is any uncertainty as to whether or not to report an incident, it is recommended that a report be made. Later, as additional information is developed, or following consultation with FRA Office of Safety Assurance and Compliance personnel, a request may be made to delete the incident from your file.

When facts affecting the reportability of a case are in dispute, a report may be filed as "Claimed But Not Admitted". An accident/incident reported under this provision must still be recorded on the appropriate form and be included as part of the report package for that month. A copy of all evidence relating to the event and a letter summarizing the reasons why it should be excluded from the file must be provided. FRA will examine all documentation. If the facts are sufficient to support the railroad's position, the case will not be charged against the railroad; otherwise, it will be added to the file. In either case, FRA will advise the railroad of the agency's determination. It is suggested prior to making such a filing that you contact FRA by telephone (FRA telephone numbers are listed in Appendix G) to discuss the overall merits of the case.

Neither the fact that there were no witnesses to an accident/incident nor the refusal of the railroad to accept responsibility for an event is grounds for failing to report. A report must be made whenever there is credible information that a reportable situation may have occurred. Later, if you determine that the event was not reportable, a request to delete it from FRA's files is to be made.

Accident/Incident Reporting and Recordkeeping Requirements - Continued

FRA, however, cannot delegate authority to decide matters of judgment when facts are in dispute. In such cases the final decision as to reportability shall be that of FRA. In arriving at this decision, FRA will review all investigatory material associated with the case, including, but not limited to, the following: the initial report filed by the affected person, witness statements, transcripts of hearings, medical records, time and attendance records, the purpose of payouts made in connection with the accident/incident.

Penalties. Any person (including a railroad and any manager, supervisor, official, or other employee or agent of a railroad) who violates any requirement of Part 225 or causes the violation of any such requirement is subject to a civil penalty. A person may also be subject to criminal penalties.

FRA may issue these civil penalties pursuant to 49 U.S.C. §§ 21301, 21302, and 21304. Also see Appendix A to Part 209 of the Code of Federal Regulations for other sanctions. Criminal penalties and/or imprisonment provided for in 49 U.S.C. § 21311 may also be imposed on any individual who knowingly and willfully makes a false entry in a record or report required by the accident reporting regulations or other regulations issued under 49 U.S.C. Chapter 201; who destroys, mutilates, changes, or falsifies such a record or report; does not enter required specified facts in a such record or report; who makes or preserves such a record or report in violation of such a regulation or order; or who files a false record or report with FRA. FRA wants to make it clear to all railroads that it will be diligent in its efforts to ensure that all parties adhere to and comply with the intimidation and harassment policy in the Internal Control Plan. It should be noted that FRA will be aggressive in pursuing enforcement sanctions against any person found to be in violation of the railroad's harassment and intimidation policy.

B. INTERNAL CONTROL PLAN

FRA believes that an Internal Control Plan (ICP) as prescribed by § 225.33 best provides the procedures necessary to ensure that complete, reliable, and accurate data is obtained, maintained, and disclosed by the railroads. See Appendix I to this Guide for model ICPs. FRA investigations have repeatedly found instances in which departments within the same railroad failed to provide to the railroad reporting officer information critical to determining reportability or information necessary for filing an accurate and complete report.

The ICP is not a "command and control" system; it is a type of performance standard which ensures the accuracy of a process and, in this case, the process is accident/incident reporting. This ICP requirement does not tell the railroad how to develop the internal control procedures; how the lines of communication should be established; the type of correspondence to be used; the forms that should be used; which executives in the

Accident/Incident Reporting and Recordkeeping Requirements - Continued

company are responsible for reportability decisions; nor the periods of time necessary for information exchange. The ICP is a performance standard that dictates the necessity for communication within each railroad to ensure that proper reporting will be accomplished. The ICP requirements allow each railroad, regardless of size, the flexibility to design an ICP suitable to the needs and circumstances of the particular railroad. The ICP, therefore, may vary in size from one that is a few pages for smaller railroads and short lines to one of considerable size for the major carriers.

In general, the ICP challenges the railroads to develop a Total Quality Management (TQM) system to ensure that there are no errors in reporting. "No errors" means that all reportable accidents and incidents are reported to FRA and that each report is accurately completed prior to submission to FRA, in other words, a "zero tolerance" policy with respect to inaccurate reporting. TQM focuses on continuous and incremental improvements of process performance.

The ICP also addresses intimidation and harassment of any person calculated to prevent or discourage such person from either receiving proper medical treatment for an injury or illness or from reporting an accident, incident, illness, or injury. FRA has become increasingly aware that many railroad employees fail to disclose their injuries to the railroad or fail to accept reportable treatment from a physician because they wish to avoid potential harassment from management or possible discipline that is sometimes associated with the reporting of such injuries. FRA is also aware that in some instances supervisory personnel and mid-level managers are urged to engage in practices which may undermine or circumvent the reporting of injuries and illnesses. Railroads must remain proactive in accurate reporting of all reportable accidents, injuries, and illnesses and must not engage in practices that could manipulate reportability of these incidents. In some instances, railroads report an injury or illness to FRA only after FRA inspectors make management aware that a particular injury or illness was not reported. Many times FRA inspectors conduct an investigation pursuant to a complaint from an employee alleging that his or her injury/illness was not properly reported or was not reported at all. Again, the railroad usually reports this injury/illness to FRA only after FRA informs management of the situation.

Each railroad shall adopt and comply with a written ICP that shall be maintained at the office where the railroad's reporting officer conducts his or her official business. Each railroad shall amend its ICP, as necessary, to reflect any significant changes to the railroad's internal reporting procedures. The ICP shall be designed to maintain absolute accuracy and shall include, at a minimum, each of the following 11 components (unless the railroad is excepted from having components 3 through 11--see § 225.3 and the "Applicability" section of this chapter):

Accident/Incident Reporting and Recordkeeping Requirements - Continued

1. A policy statement declaring the railroad's commitment to complete and accurate reporting of all accidents, incidents, injuries, and occupational illnesses arising from the operation of the railroad, to full compliance with the letter and spirit of FRA's accident reporting regulations, and to the principle, in absolute terms, that harassment or intimidation of any person that is calculated to discourage or prevent such person from receiving proper medical treatment or from reporting such accident, incident, injury or illness will not be permitted or tolerated and will result in some stated disciplinary action against any employee, supervisor, manager, or officer of the railroad committing such harassment or intimidation.
2. The dissemination of the policy statement; complaint procedures. Each railroad shall provide to all employees, supervisory personnel, and management the policy statement described in paragraph (a)(1). Each railroad shall have procedures to process complaints from any person about the policy stated in paragraph (a)(1) being violated, and to impose the appropriate prescribed disciplinary actions on each employee, supervisor, manager, or officer of the railroad found to have violated the policy. These procedures shall be disclosed to railroad employees, supervisors, managers, and officers. The railroad shall provide "whistle blower" protection to any person subject to this policy, and such policy shall be disclosed to all railroad employees, supervisors and management.
3. Copies of internal forms and/or a description of the internal computer reporting system used for the collection and internal recording of accident and incident information.
4. A description of the internal procedures used by the railroad for the processing of forms and/or computerized data regarding accident and incident information.
5. A description of the internal review procedures applicable to accident and incident information collected, and reports prepared, by the railroad's safety, claims, medical and/or other departments engaged in collecting and reporting accident and incident information.
6. A description of the internal procedures used for collecting cost data and compiling costs with respect to accident and incident information.
7. A description of applicable internal procedures for ensuring adequate communication between the railroad department responsible for

Accident/Incident Reporting and Recordkeeping Requirements - Continued

submitting accident and incident reports to FRA and any other department within the railroad responsible for collecting, receiving, processing and reporting accidents and incidents.

8. A statement of applicable procedures providing for the updating of accident and incident information prior to reporting to FRA and a statement of applicable procedures providing for the amendment of accident and incident information as specified in this Guide.
9. A statement that specifies the name and title of the railroad officer responsible for auditing the performance of the reporting function; a statement of the frequency (not less than once per calendar year) with which audits are conducted; and identification of the site where the most recent audit report may be found for inspection and photocopying.
10. A brief description of the railroad organization, including identification of (i) all components that regularly come into possession of information pertinent to the preparation of reports under this part (e.g., medical, claims, and legal departments; operating, mechanical, and track and structures departments; payroll, accounting, and personnel departments); (ii) the title of each railroad reporting officer; (iii) the title of each manager of such components, by component; and (iv) all officers to whom managers of such components are responsible, by component. A current organization chart satisfies items (iii), and (iv).
11. In the case of Form FRA F 6180.107 or the alternate railroad-designed form, a statement that specifies the name, title, address of the custodian of these records, all supporting documentation such as medical records, and where the documents are located.

C. MONTHLY FORMS AND FILING REQUIREMENTS

You must make a report each month to FRA. Your report must be submitted within 30 days following the month to which it applies. The report shall be made on the forms prescribed or by means of magnetic media or electronic submission approved by FRA. See §§ 225.11, 225.19.

A Form FRA F 6180.55 (Railroad Injury and Illness Summary) must be sent each month even though there were no reportable accidents/incidents during the month. Forms FRA F 6180.55a, FRA F 6180.54, FRA F 6180.81, and FRA F 6180.57 are prepared whenever the accidents/incidents they describe occurred during the report month. Form FRA F

FRA Guide for Preparing Accident/Incident Reports

Accident/Incident Reporting and Recordkeeping Requirements - Continued

6180.56 is an annual summary and must be included in the reports sent for the month of December.

Monthly reports of accidents/incidents (which are being submitted as hard copies) and related correspondence, and magnetic media are to be addressed to:

Federal Railroad Administration
4601 North Fairfax Drive, Suite 1100
Arlington, VA 22203

Primary Groups of Reportable Accidents/Incidents. Accidents/incidents are divided into three major groups for reporting purposes. See § 225.19. These correspond to different FRA forms and are:

1. Death, injury or occupational illness (Form FRA F 6180.55a)
2. Rail equipment accident/incident (Form FRA F 6180.54)

Note: Accident reports citing an employee human factor as a cause must be accompanied by an Employee Human Factor Attachment (Form FRA F 6180.81). In addition, each implicated employee must be provided with a Notice to Railroad Employee Involved in Rail Equipment Accident/Incident Attributed to Employee Human Factor (Form FRA F 6180.78).

3. Highway-rail grade crossing accident/incident (Form FRA F 6180.57)

The specific requirements for the various types of accidents/incidents are described in the chapters for completing the individual forms. A single form is usually sufficient to report most events; however, there are situations when multiple report forms are necessary. An example is a highway-rail crossing collision resulting in reportable injuries. An accident of this type would require the completion of both a Form FRA F 6180.57 and a Form FRA F 6180.55a. In addition, if reportable on-track equipment and track damage in this accident exceeds the current monetary threshold for train accidents, then a Form FRA F 6180.54 must also be prepared.

Reports are to be arranged as follows:

1. Form FRA F 6180.55
2. Form FRA F 6180.55a

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Accident/Incident Reporting and Recordkeeping Requirements - Continued

3. Form FRA F 6180.54 (Attach Form FRA F 6180.81 when applicable)
4. Form FRA F 6180.57
5. Form FRA F 6180.56 (December report only)

Late Reports. When it is found that an accident/incident was omitted from a previous month's submission, a completed report and a letter explaining the reason for the late filing are to be sent. The late report and letter are to be forwarded no later than the next monthly filing. See § 225.13.

Late reports are not to be attached to, nor included in counts of, reports prepared for the current month. Any late report is to be filed for the year and month in which the original event occurred. For example, an employee sustains a minor injury in June, but none of the reporting criteria are satisfied. He is re-examined in July because of complications and is instructed to take prescription medication and remain off work for three days. In this instance a late report for the month of June must be prepared.

Amended Reports. If it is discovered that an accident/incident has been improperly reported, then an amended report must be submitted. The report should have the notation "Amended Report" at the top of the form, and items being changed are to be circled in red. If you discover that a report has been erroneously submitted for a non-reportable event, a copy of the report is to be submitted with the notation "DELETE – Non-reportable" in red.

Close of the Calendar Year. A continual review process is necessary to ensure complete and accurate reporting. Although the submission of the December report normally completes a calendar year file, you must continue to provide both late reports of accidents/incidents and amendments to existing reports after this filing.

FRA publishes final accident/incident counts following the conclusion of a reporting year. Files will remain open until April 15 of the next calendar year to accept additional late and amended reports. If after this date an unreported accident/incident is discovered, then a late report must be submitted. A review of your files prior to this date should be made to determine whether any active cases are still outstanding that require additional updating, e.g., an employee who is expected to remain off work longer than originally anticipated.

For each such accident/incident you are to file an amended report by April 15 of the following year and provide a "good faith" estimate of the final expected consequences.

Accident/Incident Reporting and Recordkeeping Requirements - Continued

Railroads should make every attempt to close out their records by April 15 of the following year.

The data bases will be closed December 1 of the following year. All reports must continue to be updated using the established rules for amended reports. After December, railroads must continue to file late reports for five years (after the end of the calendar year to which they relate) with FRA for all unreported Rail-Equipment Accident/Incident Reports, Highway-Rail Crossing Accidents/Incidents, and Casualty reports.

Amended reports should continue to be filed after December 1 of the following year for the following changes:

Casualty Form (F6180-55a): Change from Injury to Fatality (only if the injured person dies within 180 days from the date of the injury).

Highway-Rail Crossing Accident/Incident (F6180.57): Change from Injury to Fatality, change in Grade Crossing ID, change in the "Rail Equipment Involved."

Rail-Equipment Accident/Incident (F6180.54): Change from Injury to Fatality, change in Grade Crossing ID, Rail Equipment Involved, primary cause code, contributing cause code, method of operation, number of cars releasing or evacuation.

Late Reporting must follow the provisions of 49 CFR 225.12.

Computer Submission of Reports. Railroads may now transmit their monthly reports to FRA by alternative means, e.g., magnetic media, electronically via telephone lines, etc. The technical information needed for doing this is not described in the Guide, since it is not necessary for reporting decisions. A separate manual is available upon request that contains the specifications for doing this and is titled *Guidelines for Submitting Accident/Incident Reports by Alternative Methods*.

Railroads that are initially submitting reports electronically or on magnetic media must also provide printed copies of these reports. FRA will review the submissions and when the electronic (or magnetic) submissions are in total agreement with the hard copies for three consecutive reporting months, FRA will notify the railroad, in writing, that submission of the hard copy reports, except for the notarized Railroad Injury and Illness Summary, is no longer required. In order to minimize the time necessary to develop software to accomplish this, FRA will not require that the computer generated hard copy be an exact facsimile of the standardized form. In lieu of this, an alternate form designed by the railroad will be accepted, provided that the data is organized in a format that parallels the

Accident/Incident Reporting and Recordkeeping Requirements - Continued

order of the items on the standard form. In addition, each data element must have a descriptive identifier attached to it that clearly distinguishes the data item.

Additionally, in order to assist railroads in maintaining and submitting records and reports required by this rule, FRA developed the software package Accident/Incident Report Generator (AIRG) for the personal computer (PC) that runs in a Windows-based environment. See 61 Fed. Reg. 59485 (Nov. 22, 1996). FRA will provide you with a copy of this software free of charge upon request by the reporting officer.

D. OTHER RECORDKEEPING AND REPORTING REQUIREMENTS

Posting of Logs. See § 225.25(h). A listing of all injuries and occupational illnesses reported to FRA as having occurred to employees of an establishment shall be posted in a conspicuous location at that establishment, within 30 days after the expiration of the month during which the injuries and illnesses occurred, if the establishment has been in continual operation for a minimum of 90 calendar days. If the establishment has not been in continual operation for a minimum of 90 calendar days, the listing of all injuries and occupational illnesses reported to FRA as having occurred to employees of the establishment shall be posted, within 30 days after the expiration of the month during which the injuries and illnesses occurred, in a conspicuous location at the next higher organizational level establishment, such as one of the following: an operating division headquarters; a major classification yard or terminal headquarters; a major equipment maintenance or repair installation, *e.g.*, a locomotive or rail car repair or construction facility; a railroad signal and maintenance-of-way division headquarters; or a central location where track or signal maintenance employees are assigned as a headquarters or receive work assignments. These examples include facilities that are generally major facilities of a permanent nature where the railroad generally posts or disseminates company informational notices and policies, *e.g.*, the policy statement in the internal control plan required by § 225.33 concerning harassment and intimidation; notices of changes to its operating, general, or safety rules; and where informational notices, such as job advertisements or local special instructions, are posted; near or adjacent to postings required by other government agencies, such as the federal minimum wage notice; or where the time-clock for the establishment is located. At a minimum, “establishment” posting is required and shall include locations where a railroad reasonably expects its employees to report during a 12-month period and to have the opportunity to observe the posted list containing any reportable injuries or illnesses they have suffered during the applicable period.

There are endless examples of the types of locations that may qualify as an establishment for purposes of § 225.25(h). Some illustrations are: for a railroad without divisions or diverse departmental headquarters, an “establishment” may be the system headquarters or

Accident/Incident Reporting and Recordkeeping Requirements - Continued

general office which is accessible to all employees; for train service employees and crews, an “establishment” is a home terminal (as commonly defined in collective bargaining agreements) but is not a layover terminal, outlying support yard, or their away-from-home terminal; for employees who are engaged in dispersed operations, such as signal or track maintenance workers, the “establishment” is the location where these employees regularly report for work assignments; for railroad system track or signal maintenance or construction work groups who perform duties at various locations throughout a railroad system, the “establishment” may be at the transient group’s mobile headquarters or it may be the location where job assignments and postings are made (if the location is reasonably accessible to employees).

The railroad is permitted not to post information on an injury or illness only if the employee who incurred the injury or illness makes a request in writing to the railroad’s reporting officer that his or her particular injury or illness not be posted, or if an occupational injury or illness is a privacy concern case. See § 225.5 and 225.25(h)(15).

Privacy concern case is any occupational injury or illness in the following list:

- (1) Any injury or illness to an intimate body part or the reproductive system;
- (2) An injury or illness resulting from a sexual assault;
- (3) Mental illnesses;
- (4) HIV infection, hepatitis, or tuberculosis;
- (5) Needlestick and sharps injuries; and
- (6) Other injuries or illnesses, if the employee independently and voluntarily requests in writing to the railroad reporting officer that his or her injury or illness not be posted.

The posting shall contain, at a minimum, the following information:

1. Name and address of the establishment;
2. Calendar year of the cases being displayed;
3. Incident number used to report case;
4. Date of the injury or illness;
5. Location of incident;
6. Regular job title of employee injured or ill;
7. Description of the injury or condition;

Accident/Incident Reporting and Recordkeeping Requirements - Continued

8. Number of days employee absent from work at time of posting;
9. Number of days of work restriction for employee at time of posting;
10. If fatality, the date of death;
11. Annual average number of railroad employees reporting to this establishment;
12. Preparer's name, title, telephone number with area code, and signature (or, in lieu of signing each establishment's list of reportable injuries and illnesses, the railroad's preparer of this monthly list may sign a cover sheet or memorandum which contains a list of each railroad establishment for which a monthly list of reportable injuries and illnesses has been prepared. This cover memorandum shall be signed by the preparer and shall have attached to it a duplicate copy of each establishment's list of monthly reportable injuries and illnesses. The preparer of the monthly lists of reportable injuries and illnesses shall mail or send by facsimile each establishment's list to the establishment in the time frame prescribed.); and
13. Date the report was completed;.

When there are no reportable injuries or occupational illnesses associated with an establishment for that month, the listing shall make reference to this fact.

Providing Copy of the Injury/Illness Record (Log) to Employee. Each railroad shall provide the employee, upon request, a copy of either the completed Railroad Employee Injury and/or Illness Record (Form FRA F 6180.98) or the alternative railroad-designed record as described in the section below, as well as a copy of forms or reports required to be maintained or filed under Part 225 pertaining to that employee's own work-related injury or illness. See § 225.25(c).

Record (Log) of Employee Injuries and Occupational Illness. Under § 225.25, each railroad shall maintain either the Railroad Employee Injury and/or Illness Record (Form FRA F 6180.98) or an alternative railroad-designed record of all reportable and all accountable injuries and illnesses of its employees that arise from the operation of the railroad for each railroad establishment where such employees report to work, including, but not limited to, an operating division, general office, and major installation such as a locomotive or car repair or construction facility. (Note: see § 225.3 and "Applicability" section of this chapter regarding certain small railroads excepted from requirements regarding "accountables.")

Accident/Incident Reporting and Recordkeeping Requirements - Continued

The alternative railroad-designed record may be used in lieu of the Railroad Employee Injury and/or Illness Record (Form FRA F 6180.98). Any such alternative record shall contain all of the information required on the Railroad Employee Injury and/or Illness Record. Although this information may be displayed in a different order from that on the Railroad Employee Injury and/or Illness Record, the order of the information shall be consistent from one such record to another. The order chosen by the railroad shall be consistent for each of the railroad's reporting establishments. Railroads may list additional information on the alternative record beyond the information required on the Railroad Employee Injury and/or Illness Record. See § 225.25(b).

Each railroad shall maintain either the Alternative Record for Illnesses Claimed to Be Work-Related (Form FRA F 6180.107) or an alternative railroad-designed record for each illness of a railroad employee that is claimed to be work-related, regardless of how the information was received. Include only claimed occupational illnesses of railroad employees (that is, Worker on Duty--Employee (Class A)). Do not include any injuries. Do not include any illnesses of Workers on Duty--Employee that have already been reported on Form FRA F 6180.98 or Form FRA F 6180.55a. This form is to be used only for a railroad employee claimed occupational illness where the work relationship is under dispute or the illness has been determined not to be work related. See Chapter 13 for further information.

Initial Rail Equipment Accident/Incident Record. Each railroad shall maintain the Initial Rail Equipment Accident/Incident Record (Form FRA F 6180.97) or an alternative railroad-designed record of reportable and accountable collisions, derailments, fires, explosions, acts of God, or other events involving the operation of railroad on-track equipment (standing or moving) that result in damages to railroad on-track equipment, signals, tracks, track structures, or roadbed, including labor costs and all other costs for repairs or replacement in kind for each railroad establishment where workers report to work, including, but not limited to, an operating division, general office, and major installation such as a locomotive or car repair or construction facility. See § 225.25(d)-(e). (Note: see § 225.3 and “Applicability” section of this chapter regarding certain small railroads excepted from requirements regarding “accountables.”)

The alternative railroad-designed record may be used in lieu of the Initial Rail Equipment Accident/Incident Record (Form FRA F 6180.97). Any such alternative record shall contain all of the information required on the Initial Rail Equipment Accident/Incident Record. Although this information may be displayed in a different order from that on the Initial Rail Equipment Accident/Incident Record, the order of the information shall be consistent from one such record to another. The order chosen by the railroad shall be consistent for each of the railroad's reporting establishments. Railroads may list

Accident/Incident Reporting and Recordkeeping Requirements - Continued

additional information in the alternative record beyond the information required on the Initial Rail Equipment Accident/Incident Record. See § 225.25(e).

When to Prepare Injury/Illness Log and Initial Rail Equipment Report. Each railroad shall enter each reportable and accountable injury and illness and each reportable and accountable rail equipment accident/incident on the appropriate record as early as practicable, but no later than seven working days after receiving information or acquiring knowledge that an injury or illness or rail equipment accident/incident has occurred. See § 225.25(f).

Maintaining the Injury/Illness Log and Initial Rail Equipment Report. The records described above may be maintained at the local establishment or, alternatively, at a centralized location. If the records are maintained at a centralized location, but not through electronic means, then a paper copy of the records that is current within 35 days of the month to which it applies shall be available for that establishment. If the records are maintained at a centralized location through electronic means, then the records for that establishment shall be available for review in a hard copy format within four business hours of FRA's request. FRA recognizes that circumstances outside the railroad's control may preclude it from fulfilling the four-business-hour time limit. In these circumstances, FRA will not assess a monetary penalty against the railroad for its failure to furnish the requested documentation, provided the railroad made a reasonable effort to correct the problem. See § 225.25(g).

Telephonic Reports of Certain Accidents/Incidents. Each railroad must report immediately, as prescribed in paragraphs (b) through (d) of this section, whenever it learns of the occurrence of an accident/incident arising from the operation of the railroad, or an event or exposure that may have arisen from the operation of the railroad, that results in the—

- (i) Death of a rail passenger or a railroad employee;
- (ii) Death of an employee of a contractor to a railroad performing work for the railroad on property owned, leased, or maintained by the contracting railroad; or
- (iii) Death or injury of five or more persons.

Certain train accidents or train incidents. Each railroad must report immediately, as prescribed in paragraphs (b) through (d) of this section, whenever it learns of the occurrence of any of the following events that arose from the operation of the railroad:

- (i) A train accident that results in serious injury to two or more train crewmembers or passengers requiring their admission to a hospital;
- (ii) A train accident resulting in evacuation of a passenger train;

Accident/Incident Reporting and Recordkeeping Requirements - Continued

- (iii) A fatality at a highway-rail grade crossing as a result of a train accident or train incident;
- (iv) A train accident resulting in damage (based on a preliminary gross estimate) of \$150,000, to railroad and nonrailroad property; or
- (v) A train accident resulting in damage of \$25,000 or more to a passenger train, including railroad and nonrailroad property.

Train accidents on or fouling passenger service main lines. The dispatching railroad must report immediately, as prescribed in paragraphs (b) through (d) of this section, whenever it learns of the occurrence of any train accident reportable as a rail equipment accident/incident under §§ 225.11 and 225.19(c)--

- (i) that involves a collision or derailment on a main line that is used for scheduled passenger service; or
- (ii) that fouls a main line used for scheduled passenger service.

(b) Method of reporting. (1) Telephonic reports required by this section shall be made by toll-free telephone to the National Response Center, Area Code 800-424-8802 or 800-424-0201.

(2) Through one of the same telephone numbers (800-424-0201), the National Response Center (NRC) also receives notifications of rail accidents for the National Transportation Safety Board (49 CFR part 840) and the Research and Special Programs Administration of the U.S. Department of Transportation (Hazardous Materials Regulations, 49 CFR 171.15). FRA Locomotive Safety Standards require certain locomotive accidents to be reported by telephone to the NRC at the same toll-free number (800-424-0201). 49 CFR 229.17.

(c) Contents of report. Each report must state the:

- (1) Name of the railroad;
- (2) Name, title, and telephone number of the individual making the report;
- (3) Time, date, and location of the accident/incident;
- (4) Circumstances of the accident/incident;
- (5) Number of persons killed or injured; and
- (6) Available estimates of railroad and non-railroad property damage.

(d) Timing of report. (1) To the extent that the necessity to report an accident/incident depends upon a determination of fact or an estimate of property damage, a report will be considered immediate if made as soon as possible following the time that the determination or estimate is made, or could reasonably have been made, whichever comes

Accident/Incident Reporting and Recordkeeping Requirements - Continued

first, taking into consideration the health and safety of those affected by the accident/incident, including actions to protect the environment.

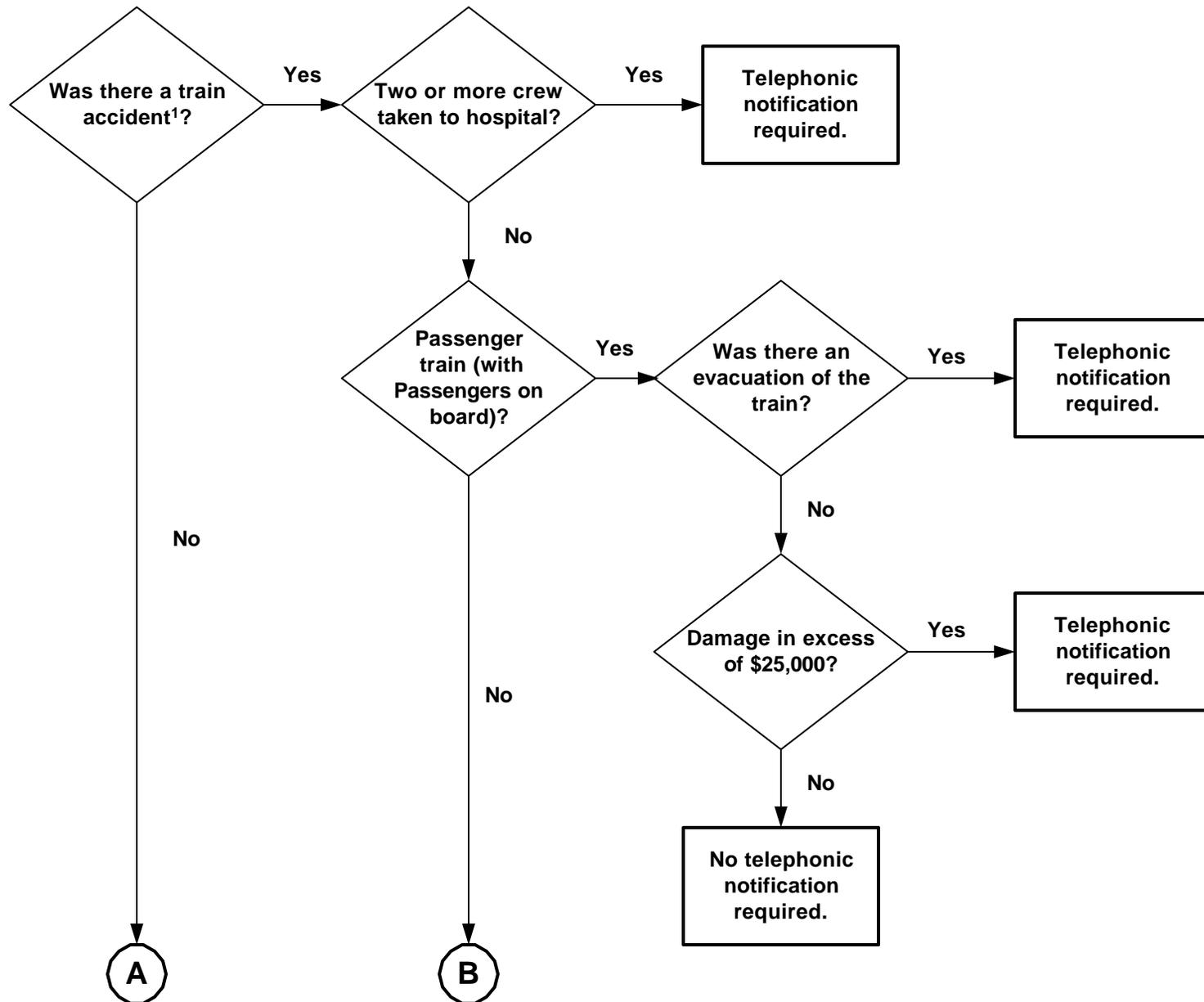
NOTE: FRA's Locomotive Safety Standards require certain locomotive accidents resulting in death or serious injury to be reported by telephone at the same toll-free number. See 49 CFR §§ 229.3, 229.5 (definition of "serious injury"), and 229.17. In addition, FRA's regulations on grade crossing signal system safety require certain railroads to make telephonic reports to the same toll-free number. See 49 CFR § 234.3 for applicability section and § 234.7 for substantive section. The latter is discussed below.

NTSB has other specific requirements regarding the timeliness of reporting. See 49 CFR part 840.

Telephone Reports of Certain Highway-Rail Warning System Failures. Under other FRA regulations (49 CFR § 234.7), a railroad must provide notification within 24 hours by toll-free telephone (800-424-8802) for any highway-rail grade crossing accident/incident on the railroad involving grade crossing warning activation failure. This report must state the following:

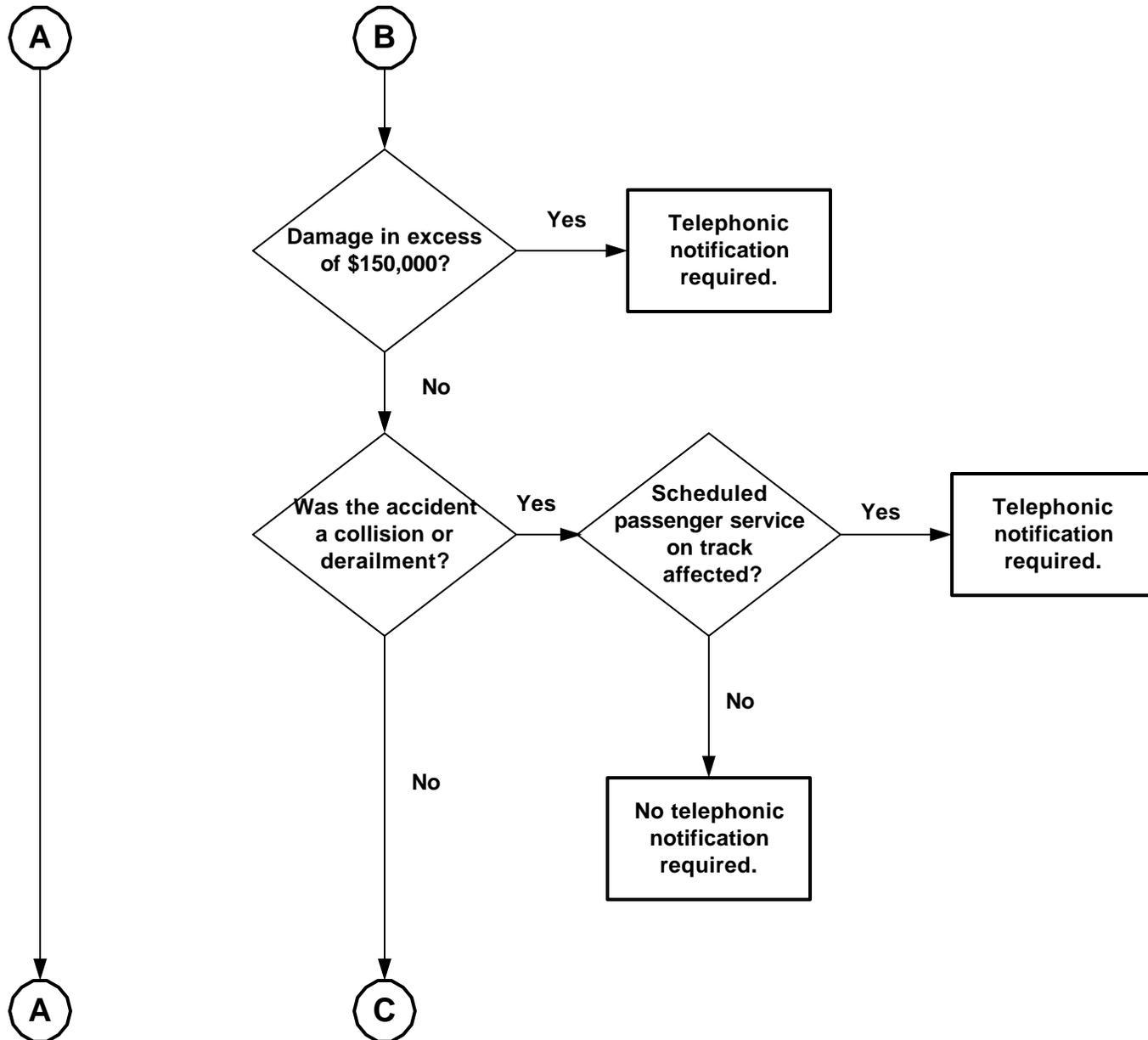
1. Name of the railroad;
2. Name, title, and telephone number of person making the report;
3. Time, date, and location of the accident;
4. United States Department of Transportation (U.S. DOT) Grade Crossing Identification Number;
5. Circumstances of the accident, including operating details of the grade crossing warning device;
6. Number of persons killed or injured, if any;
7. Maximum authorized train speed; and
8. Posted highway speed limit, if known.

Is Telephone Notification Required?



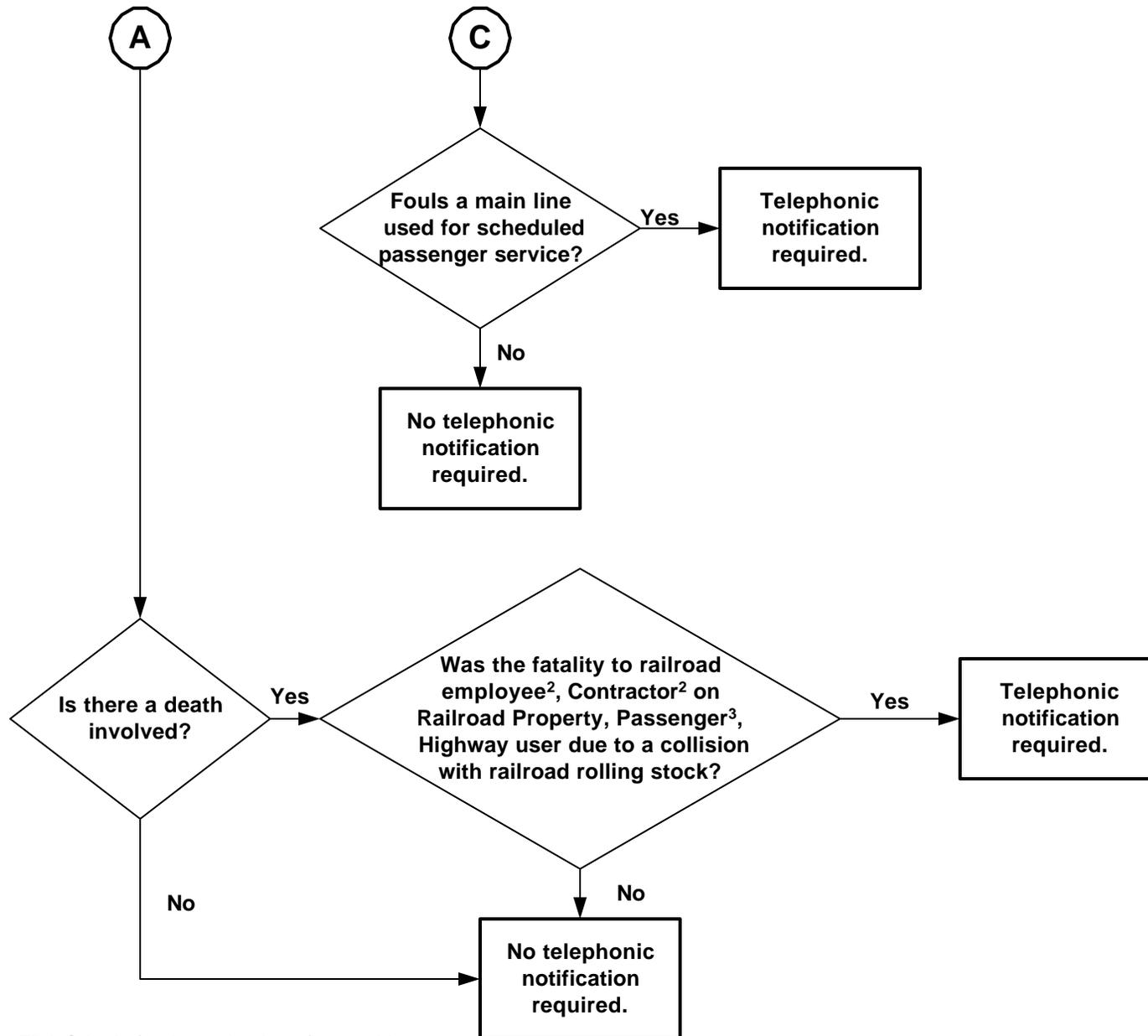
Is Telephone Notification Required?

(Continued from Previous Page)



Is Telephone Notification Required?

(Continued from Previous Page)



1. Using the FRA Criteria for determination of an accident.

2. Even due to natural causes not related to rail operations, later the railroad may deem the fatality is not reportable to the FRA .

3. See FRA Definition.

FRA Guide for Preparing Accident/Incident Reports

Accident/Incident Reporting and Recordkeeping Requirements - Continued

Record Retention. See 49 CFR § 225.27. Each railroad shall retain the Railroad Employee Injury and/or Illness Record [or alternative log as specified in 49 CFR § 225.25] and the Monthly List of Injuries and Illnesses required by 49 CFR § 225.25 for at least five years after the end of the calendar year to which they relate.

Each railroad shall retain the Initial Rail Equipment Accident/Incident Record [or alternative record as specified in 49 CFR § 225.25] for at least two years after the end of the calendar year to which it relates.

A copy of all monthly accident/incident reports forwarded to FRA and employee statements received by the railroad in connection with human factor caused train accidents must be retained for at least two years following the calendar year to which they apply.

Public Examination and Use of Reports. See § 225.7. FRA, on a written request basis, will provide copies, generate computer printouts of reports on file, or provide data on magnetic media. A fee may be charged to cover expenses. Requests are to be mailed to:

Freedom of Information Act Coordinator
Office of Chief Counsel
Federal Railroad Administration
1120 Vermont Avenue, N.W., Stop 10
Washington, D.C. 20590

Note: Under 49 U.S.C. § 20903, monthly reports filed by railroads under the accident/incident reporting requirement may not be admitted as evidence or used for any purpose in any action for damages growing out of any matters mentioned in these monthly reports.

Paperwork Reduction Act Statement. This collection of information is mandatory under 49 CFR Part 225, and will be used to monitor the safety and operational practices of the nation's railroads. Public reporting burden is estimated to average the times shown below per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The information collected is not of a sensitive nature, and no assurances of confidentiality are provided. Please note that an agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid OMB control number. The OMB control number for this collection of information is **OMB No. 2130-0500**.

FRA F 6180.54 -- 2 hours

FRA F 6180.55 -- 10 minutes

FRA F 6180.55a (Continuation Sheet) -- 20 minutes

Accident/Incident Reporting and Recordkeeping Requirements - Continued

FRA F 6180.56 -- 15 minutes

FRA F 6180.57 -- 2 hours

FRA F 6180.78 (Part I) -- 10 minutes

FRA F 6180.78 (Part II) -- 1.5 hours

FRA F 6180.81 -- 15 minutes

FRA F 6180.97 -- 30 minutes

FRA F 6180.98 -- 1 hour

FRA F 6180.99 -- 3 minutes

FRA F 6180.107 -- 15 minutes

E. QUESTIONS AND ANSWERS

Q1. We are required to post a listing of all reported injuries and occupational illnesses to employees at that establishment. Although this listing does not contain personal identifiers, e.g., names, Social Security Numbers, it may be possible to ascertain the identity of the person, particularly in small establishments based on the information listed. There may be conditions that are reportable, for which the employee, or the railroad, is especially sensitive about the information being displayed in such a fashion. Are there any exceptions to this requirement?

A1. Yes. The purpose of this listing is to raise the awareness of employees at the establishment of the hazards that exist in the workplace, and to include the employees in the reporting process. It was not our intent, nor do we desire, to have conditions that an employee would prefer to keep confidential displayed on this listing. Section 225.25(h)(15) permits a railroad not to post any injury or illness reported to FRA if the railroad's reporting officer receives a written request from the affected employee the information not be posted.

Q2. Are we required to maintain the information required by this regulation at and for each individual location where employees report to work in a large facility, such as a major yard?

A2. No. We have always exercised a certain amount of flexibility concerning the locations where these records must be kept. We do not require that separate records be maintained for the various distinct activities that take place in a large facility. Work locations that are near each other can be treated as a single establishment when they are part of a larger facility at that location. Permanent work sites that are physically distant from each other,

Accident/Incident Reporting and Recordkeeping Requirements - Continued

e.g., in another city, are separate establishments and are covered by the term "single physical location" contained in the reporting guide.

These records may be maintained at the local establishment or, alternatively, at a centralized location. Under §§ 225.25(g) and 225.35, each railroad shall have at least one location, and shall identify each location, where any representative of FRA, or of a State agency participating in investigative and surveillance activities or any other authorized representative, has centralized access to a copy of any record and report required under Part 225, for examination and photocopying in a reasonable manner during normal business hours. In addition, railroads must provide such representatives with access to relevant medical and claims records for examination and photocopying in a reasonable manner during normal business hours. Such representatives shall display proper credentials when requested. Each railroad shall identify the locations where a copy of any record and report required under this part is accessible for inspection and photocopying by maintaining a list of such establishment locations at the office where the railroad's reporting officer conducts his or her official business. A copy of any record and report required under this part shall be accessible within four business hours after the request. FRA will not assess a monetary penalty against the railroad for its failure to provide the requested documentation when circumstances outside the railroad's control preclude it from fulfilling the four-business-hour time limit and the railroad has made a reasonable effort to correct the problem.

Q3. Are there any particular forms that must be used to record this information?

A3. For recording an injury or illness for a railroad employee, either the Railroad Employee Injury and/or Illness Record (Form FRA F 6180.98), or an alternative railroad record can be used. If the alternative record is used, the regulation states that it "shall contain all of the information required on the Railroad Employee Injury and/or Illness Record." See § 225.25(d)-(e).

For initially recording a rail equipment accident/incident, either the Initial Rail Equipment Accident/Incident Record (Form FRA F 6180.97) or an alternative railroad-designed record can be used. If the alternative record is used, the regulation states that it "shall contain all of the information required on the Initial Rail Equipment Accident/Incident Record." § 225.25(e).

Q4. I currently maintain a database of all conditions reported by employees, passengers and others, regardless of severity or consequences. A lot of these injuries require no treatment, or only need first aid. I document every potential case, just in case it later becomes reportable. Will the requirement to record entries involving employees on the

Accident/Incident Reporting and Recordkeeping Requirements - Continued

Form FRA F 6180.98, or an alternative railroad-designed form make it necessary for me to have two logs, one for "accountable" injuries to employees and a separate record for others? If possible, I would like to consolidate all of my records into a single file.

A4.No, the alternative railroad-designed record may be used to record the additional information described. The regulation only requires that you maintain certain information about your employees which FRA inspectors may ask to see in order to verify compliance. For example, the regulation does not require that Form F 6180.98 contain information about contractors or volunteers. You may include records for any class of person in your file, and you may also include additional information beyond that required. To avoid any confusion about those entries that are required by the regulation, and additional records you may choose to include in your file, there must be a means of identifying the two categories incorporated in your system design.

These same general guidelines also apply for alternative railroad-designed Initial Rail Equipment Accident/Incident Record described in Chapter 5.

Q5.Does this mean we can maintain this information in a computer file? If so, what are the requirements for centralized processing of this data?

A5.Yes, since the regulation allows these records to be maintained " at a centralized location." It is possible to prepare and maintain the information at an alternate location or by means of data processing equipment, or both.

Railroads that centralize the processing of this information (but not electronically) must, at a minimum, have a copy of records present at each establishment for the injuries and illnesses that occurred at that establishment that is current to within 35 days of the month to which it applies. See § 225.25(g).

Q6.Did any of the FRA forms change?

A6.There are some minor changes to forms FRA F 6180.54, FRA F 6180.55a, FRA F 6180.57, FRA F 6180.78, FRA F 6180.98 and FRA F 6180.97. A new form was added, FRA F 6180.107 - Alternative Record for Illnesses Claimed to Be Work-Related.

CHAPTER 2 - DEFINITIONS

Sections 225.5 and 225.19 contain definitions of various key terms used in FRA's accident/incident reporting regulations. This Guide repeats or elaborates on the definitions found in those sections and defines additional terms used in the FRA accident reporting context.

Accident/Incident. The term used to describe the entire list of reportable events. These include: fatalities, injuries, and illnesses; collisions, derailments, and similar accidents involving the operation of on-track equipment causing reportable damage above an established threshold; and impacts between railroad on-track equipment and highway users at crossings.

Accidents/incidents are further categorized as:

Train Accident. Any collision, derailment, fire, explosion, act of God, or other event involving the operation of on-track equipment (standing or moving) that results in total damages to all railroads involved in the event that is greater than the current reporting threshold to railroad on-track equipment, signals, track, track structures, and roadbed. (Refer to Chapter 7, which is about rail equipment accident/incident reporting--Form FRA F 6180.54.)

Note: The classification of a train accident by type (collision, derailment, other) is determined by the first reportable event in the accident sequence. All reports for a single accident are to use the same designation. For example, if following a derailment a train strikes a consist on an adjacent track, the report for this additional consist will indicate that the accident type was a derailment, not a collision.

Train Incident. An event involving the movement of on-track equipment that results in a reportable casualty but does not cause reportable damage above the threshold established for train accidents.

Non-train Incident. An event that results in a reportable casualty, but does not involve the movement of on-track equipment nor cause reportable damage above the threshold established for train accidents.

Accountable injury or illness. Any condition, not otherwise reportable, of a railroad employee that is discernably caused by an event, exposure, or activity in the work environment which condition causes or requires the railroad employee to be examined or treated by a physician or other qualified health care professional.

DEFINITIONS - Continued

Accountable rail equipment accident/incident means any event not otherwise reportable, involving the operation of on-track equipment that causes physical damage to either the on-track equipment or the track upon which such equipment was operated and that requires the removal or repair of rail equipment from the track before any rail operations over the track can continue. An accountable rail equipment accident/incident, if not tended to, thus would disrupt railroad service. Examples of "disruption of service" would include: loss of main track; one or more derailed wheels; any train failing to arrive or depart at its scheduled time; one or more cars or locomotives taken out of service; or rerouting trains due to a damaged car or locomotive. For purposes of recording accountable events, the "disruption of service" must be a consequence of an event, e.g., collision or derailment.

Arising from the operation of a railroad includes all activities of a railroad that are related to the performance of its rail transportation business.

Casualty. A reportable death, injury, or illness arising from the operation of a railroad. Casualties may be classified as either fatal or nonfatal.

Fatality. An event resulting in death of one or more persons. If death occurs subsequent to the filing of the monthly report, then the injury or illness must be reclassified as fatal. See § 225.13.

Injury. Harm to a person resulting from a single event, activity, occurrence, or exposure of short duration.

Occupational illness. Any abnormal condition or disorder, as diagnosed by a physician or other licensed health care professional, of any person who falls under the definition for the classification of Worker on Duty--Employee, other than one resulting from injury, discernably caused by an environmental factor associated with the person's railroad employment, including, but not limited to, acute or chronic illnesses or diseases that may be caused by inhalation, absorption, ingestion, or direct contact.

The term event includes occurrences which can be identified in terms of a specific time and those of a continuing or intermittent nature which can be identified only in terms of a probable time or activity.

Classification of Persons.

DEFINITIONS - Continued

Worker on Duty--Employee (Class A). An individual who receives direct monetary compensation from the railroad. Whether or not the worker is under pay will normally be the deciding factor for determining "on duty" status.

Note: An employee in deadhead transportation is considered an "employee on duty" regardless of the mode of transportation. Deadhead transportation occurs when an employee is traveling at the direction or authorization of the carrier to or from an assignment, or the employee is involved with a means of conveyance furnished by the carrier or compensated for by the carrier.

Exception:

If an employee is housed by the carrier in a facility such as a motel, and part of the service provided by the motel is the transportation of the employee to and from the work site, any reportable injury to the employee during such transit is to be recorded as that to an employee not on duty (Class B). Likewise, if the employee had decided upon other means of transportation that had not been authorized or provided, and for which he would not have been compensated by the railroad, the injury is not considered to be an on-duty injury.

Employee Not On Duty (Class B). An individual who receives direct monetary compensation from the railroad and who is on railroad property for purposes connected with his or her employment or with other railroad permission but is not "on duty".

Worker on Duty--Contractor (Class F) is an employee of a contractor for a railroad who does not receive direct monetary compensation from the railroad and who, while on railroad property, is engaged in either (i) the operation of on-track equipment or (ii) any other safety-sensitive function for the railroad as defined in § 209.303.

Section 209.303 of title 49 of the Code of Federal Regulations describes "safety-sensitive functions" as applying to the following individuals:

DEFINITIONS - Continued

- (a) Railroad employees who are assigned to perform service subject to the Hours of Service Act (45 U.S.C. 61-64b¹) during a duty tour, whether or not the person has performed or is currently performing such service, and any person who performs such service;
- (b) Railroad employees or agents who:
 - (1) Inspect, install, repair, or maintain track and roadbed;
 - (2) Inspect, repair, or maintain, locomotives, passenger cars, and freight cars;
 - (3) Conduct training and testing of employees when the training or testing is required by the FRA's safety regulations; or
- (c) Railroad managers, supervisors, or agents when they:
 - (1) Perform the safety-sensitive functions listed in paragraphs (a) and (b) of this section;
 - (2) Supervise and otherwise direct the performance of the safety-sensitive functions listed in paragraph (a) and (b) of this section; or
 - (3) Are in a position to direct the commission of violations of any of the requirements of parts 213 through 236 of this title.

¹In 1994, the Hours of Service Act was repealed by Congress as part of a broad recodification of the Federal transportation laws. See Act of July 5, 1994, Pub. L. No. 103-272, 108 Stat. 745. The Act, which had been in Title 45, was repealed and recodified primarily as chapter 211 of Title 49 of the U.S. Code. Congress made clear that the recodification was not intended to make substantive changes in the affected laws, even though it altered their arrangement and language in certain respects. See Pub. L. No. 103-272, § 6(a), 108 Stat. 1378; H.R. Rep. No. 180, 103d Cong., 1st Sess. 1-5 (1993), reprinted in 1994 U.S. CODE CONG. & ADMIN. NEWS 818-822.

DEFINITIONS - Continued

Note that there have been amendments and additions to the set of railroad safety regulations found in the Code of Federal Regulations; thus, "safety-sensitive functions" in § 209.303(c)(3) is interpreted to include railroad managers, supervisors, etc., when they are in a position to direct the commission of violations of any of the requirements of parts 213 through 240 of title 49 of the Code of Federal Regulations.

Hours worked by persons in the Class F, G, H and I categories are not reported on any FRA form.

Contractor--Other (Class G). A contractor employee for a railroad who does not receive direct monetary compensation from the railroad and who is not engaged in either (i) the operation of on-track equipment or (ii) any other safety-sensitive function for the railroad. Hours worked by this person are similarly not reported on any FRA form.

Worker on Duty--Volunteer (Class H) is a volunteer who does not receive direct monetary compensation from the railroad and who is engaged in either (i) the operation of on-track equipment or (ii) any other safety-sensitive function for the railroad as defined in § 209.303. (See this list under "Worker on Duty--Contractor".)

Hours worked by a "Worker on Duty--Volunteer" (Class H) are not reported on any form.

Volunteer--Other (Class I). A volunteer who does not receive direct monetary compensation from the railroad and who is not engaged in either (i) the operation of on-track equipment or (ii) any other safety-sensitive function for the railroad as defined in § 209.303. Hours worked by this person also are not reported on any FRA form.

Passengers On Trains (Class C). Persons who are on, boarding, or alighting from railroad cars for the purpose of travel.

Nontrespassers--On Railroad Property (Class D). Persons lawfully on that part of railroad property that is used in railroad operation (other than those herein defined as employees, passengers, trespassers, volunteers, or contractor employees), and persons adjacent to railroad premises when they are injured as the result of the operation of a railroad. This class also includes other persons on vessels or buses, whose use arises from the operation of a railroad.

DEFINITIONS - Continued

Nontrespassers--Off Railroad Property (Class J). An injury "off railroad property" includes an injury resulting from an event, such as a derailment or collision, that begins on railroad property but ends on public or private non-railroad property, so long as the injury is incurred while the person is physically located off railroad property. Similarly, if a derailment results in a release of hazardous materials onto public or private non-railroad property and the hazardous material injures a "Nontrespasser" located on public or private non-railroad property, the injury is reported as an injury to "Nontrespassers--Off Railroad Property" (Class J). Conversely, injuries to nontrespassers occurring while on public or private railroad property are reported as injuries to "Nontrespassers--On Railroad Property" (Class D).

Trespassers (Class E). Persons who are on that part of railroad property used in railroad operation and whose presence is prohibited, forbidden, or unlawful. Employees who are trespassing on railroad property are to be reported as "Trespassers" (Class E).

Note: A person on a highway-rail crossing should not be classified as a trespasser unless the crossing is protected by gates, or other similar barriers that were closed when the person went on the crossing, or unless the person attempted to pass over, under, or between cars or locomotives of a consist occupying the crossing.

Consist Responsibility. The railroad employing the crew members operating the consist at the time of the accident normally determines the consist owner for reporting purposes. An exception to this rule is when a railroad is under contract to operate another railroad on an ongoing basis. This situation often exists in connection with commuter operations where the entity is known to the general public as the commuter authority, not the railroad under contract (see Chapter 12 for additional guidance).

Collision. A collision is defined as an impact between on-track equipment consists while both are on rails and where one of the consists is operating under train movement rules or is subject to the protection afforded to trains. This definition includes instances where a portion of a consist occupying a siding is fouling the main line and is struck by an approaching train. It does not include impacts occurring while switching within yards, as in making up or breaking up trains, shifting or setting out cars, etc. Impacts of this type are to be classified as "Other Impacts" accidents (Code "12" in item 7 on form 6180.54) when all consists involved are part of the switching movement).

DEFINITIONS - Continued

The time table, or schedule direction, should govern the classification of collisions when either one of the trains or the locomotives is at rest, or when its incidental movement temporarily differs from the schedule direction.

Head-on collision. A collision in which the trains or locomotives involved are traveling in opposite directions on the same track.

Rear-end collision. A collision in which the trains or locomotives involved are traveling in the same direction on the same track.

Side collision. A collision at a turnout where one consist strikes the side of another consist.

Raking collision. A collision between parts or lading of a consist on an adjacent track, or with a structure such as a bridge.

Broken train collision. A collision in which a moving train breaks into parts and an impact occurs between these parts, or when a portion of the broken train collides with another consist.

Note: The several parts of a broken train are not to be treated as separate consists for reporting purposes. Information concerning such trains are to be reported on a single form.

Railroad crossing collision. A collision between on-track railroad equipment at a point where tracks intersect.

Costs and Reportable Damage.

Reporting Threshold. The amount of total reportable damage resulting from a train accident which, if exceeded, requires the preparation and forwarding of form FRA F 6180.54 by the railroads involved. For accidents occurring in calendar years 1991-1996, the reporting threshold is \$6,300. For accidents occurring in calendar year 1997, the reporting threshold is \$6,300. For accidents occurring in calendar years 1998-2001, the reporting threshold is \$6,500. For accidents that occur in calendar years 2002-2003, the reporting threshold was \$6,700. See 61 Fed. Reg. 60632 (Nov. 29, 1996). Pursuant to § 225.19(e), the reporting threshold will be revised annually according to the formula set forth in Appendix B to Part 225.

DEFINITIONS - Continued

Reportable Damage. Reportable damage includes labor costs and all other costs to repair or replace in kind damaged on-track equipment, signals, track, track structures, or roadbed. Reportable damage does not include the cost of clearing a wreck; however, additional damage to the above listed items caused while clearing the wreck is to be included in your damage estimate.

Examples of other costs included in reportable damage are: (1) rental and/or operation of machinery such as cranes, bulldozers, including the services of contractors, to replace or repair the track right-of-way and associated structures; and (2) costs associated with the repair or replacement of roller bearings on units that were derailed or submerged in water. (Replacement costs include the labor costs resulting from a wheel set change out.)

Equipment Damage. All costs, including labor and material, associated with the repair or replacement in kind of on-track rail equipment. Trailers/containers on flat cars are considered to be lading and damage to these is not to be included in on-track equipment damage. Damage to a flat car carrying a trailer/container is to be included in reportable damage.

When on-track equipment is damaged beyond repair, the total reproduction cost of the equipment, including betterments and additions, is to be calculated in accordance with Rule 107 of the current edition of the field manual of the AAR Interchange Rules. The total reproduction cost may be depreciated to reflect the amount of usage to which the equipment has been subjected. Depreciation percentages will be determined at 3% annually for a maximum of 30 years; equipment over 30 years old will be valued at 10% of the total reproduction cost. Replacement-in-kind cost for equipment damaged beyond repair is the result of these calculations.

Track Damage. All costs, including labor and material, associated with the repair or replacement in kind of signals, track, track structures (including bridges or tunnels) or roadbeds that were damaged in a collision, derailment or other reportable event.

When track, signals, structures, etc., are damaged beyond repair, the current cost of new materials is to be used. However, replacement of secondhand rail with secondhand rail, may be charged at the current cost of such rail.

When estimating damage costs, the labor costs to be reported are only the direct labor costs to the railroad, e.g., hourly wages, transportation costs, and hotel

DEFINITIONS - Continued

expenses. The cost of fringe benefits is excluded when calculating direct labor costs. Overhead is also excluded when calculating damage costs due to the unacceptable non-uniform treatment of overhead under the current process.

For services performed by a contractor, a direct hourly labor cost is calculated by multiplying the contractor's total labor hours charged to the railroad by the applicable direct hourly wage rate for a railroad worker in that particular craft. However, if a railroad cannot match the equivalent craft to the labor hours spent by a contractor, then the railroad must use the loaded rate, i.e., the cost by hour for labor, fringe benefits, and other costs and fees for services charged by the contractor for the tasks associated with the repair of the track, equipment, and structures due to the train accident.

Covered data means information that must be reported to FRA under this part concerning a railroad employee injury or illness case that is reportable exclusively because a physician or other licensed health care professional—

(1) Recommended in writing that—

(a) The employee take one or more days away from work when the employee instead reports to work (or would have reported had he or she been scheduled) and takes no days away from work in connection with the injury or illness,

(b) The employee work restricted duty for one or more days when the employee instead works unrestricted (or would have worked unrestricted had he or she been scheduled) and takes no days of restricted work activity in connection with the injury or illness, or

(c) The employee take over-the-counter medication at a dosage equal to or greater than the minimum prescription strength, whether or not the employee actually takes the medication; or

(2) Made a one-time topical application of a prescription-strength medication to the employee's injury.

Day away from work means a day away from work as described in paragraph (1) of this definition or, if paragraph (1) does not apply, a day away from work solely for reporting purposes as described in paragraph (2) of this definition. For purposes of this definition, the count of days includes all calendar days, regardless of whether the employee would normally be scheduled to work on those days (e.g., weekend days, holidays, rest days, and vacation days), and begins on the first calendar day after the railroad employee has been examined by a physician or other licensed health care professional (PLHCP) and diagnosed with a work-related injury or illness. In particular, the term means—

DEFINITIONS - Continued

- (1) Each calendar day that the employee, for reasons associated with his or her condition, does not report to work (or would have been unable to report had he or she been scheduled) if not reporting results from:
 - (a) A PLHCP's written recommendation not to work, or
 - (b) A railroad's instructions not to work, if the injury or illness is otherwise reportable; or
- (2) A minimum of one calendar day if a PLHCP, for reasons associated with the employee's condition, recommends in writing that the employee take one or more days away from work, but the employee instead reports to work (or would have reported had he or she been scheduled). This paragraph is intended to take into account "covered data" cases and also those non-covered data cases that are independently reportable for some other reason (e.g., "medical treatment" or "day of restricted work activity"). The requirement to report "a minimum of one calendar day" is intended to give a railroad the discretion to report up to the total number of days recommended by the PLHCP.

Day of restricted work activity means a day of restricted work activity as described in paragraph (1) of this definition or, if paragraph (1) does not apply, a day of restricted work activity solely for reporting purposes as described in paragraph (2) of this definition; in both cases, the work restriction must affect one or more of the employee's routine job functions (i.e., those work activities regularly performed at least once per week) or prevent the employee from working the full workday that he or she would otherwise have worked. For purposes of this definition, the count of days includes all calendar days, regardless of whether the employee would normally be scheduled to work on those days (e.g., weekend days, holidays, rest days, and vacation days), and begins on the first calendar day after the railroad employee has been examined by a physician or other licensed health care professional (PLHCP) and diagnosed with a work-related injury or illness. In particular, the term means—

- (1) Each calendar day that the employee, for reasons associated with his or her condition, works restricted duty (or would have worked restricted duty had he or she been scheduled) if the restriction results from:
 - (a) A PLHCP's written recommendation to work restricted duty, or
 - (b) A railroad's instructions to work restricted duty, if the injury or illness is otherwise reportable; or
- (2) A minimum of one calendar day if a PLHCP, for reasons associated with the employee's condition, recommends in writing that the employee work restricted duty for one or more days, but the employee instead works unrestricted (or would have worked unrestricted had he or she been scheduled). This paragraph is intended to take into account "covered data" cases and also those non-covered data cases that are independently reportable for some other reason (e.g., "medical treatment" or "day of restricted work activity"). The requirement to report "a

DEFINITIONS - Continued

minimum of one calendar day” is intended to give a railroad the discretion to report up to the total number of days recommended by the PLHCP.

Derailment. A derailment occurs when on-track equipment leaves the rail for a reason other than a collision, explosion, highway-rail crossing impact, etc.

Drug/Alcohol Test. A test is a physical or chemical reaction by which a substance may be detected or its properties ascertained, and includes both Federal and employer-authorized tests to determine alcohol or drug usage. A test performed under Federal (FRA) requirements is considered positive when the test result has been verified as positive by a Medical Review Officer and reported to the employer. A test performed under other authorization is considered positive when the employer will defend the results if legally challenged. (Refer to 49 CFR Part 219, Control of Alcohol and Drug Use, for additional information.)

Employee human factor includes any of the accident causes signified by the train accident cause codes listed under "Train Operation--Human Factors" in the current "FRA Guide for Preparing Accidents/Incidents Reports," except for those train accident cause codes pertaining to non-railroad workers. For purposes of this definition, "employee" includes the classifications of Worker on Duty--Employee, Employee not on Duty, Worker on Duty--Contractor, and Worker on Duty--Volunteer.

Establishment means a single physical location where employees report to work, where railroad business is conducted, or where services or operations are performed. Examples are: a division office, general office, repair or maintenance facility, major switching yard or terminal. For employees who are engaged in dispersed operations, such as signal or track maintenance employees, an "establishment" is typically a location where work assignments are initially made and oversight responsibility exists, e.g., the establishment where the signal supervisor or roadmaster is located.

First aid treatment means treatment limited to simple procedures used to treat minor conditions, such as abrasions, cuts, bruises, and splinters. First aid treatment is typically confined to a single treatment and does not require special skills or procedures.

FRA representative means the Associate Administrator for Safety, FRA; the Associate Administrator's delegate (including a qualified State inspector acting under 49 CFR Part 212); the Chief Counsel, FRA; or the Chief Counsel's delegate.

Hazardous Material. A substance or material, including a hazardous substance, which has been determined by the Secretary of Transportation to be capable of posing an unreasonable risk to

DEFINITIONS - Continued

health, safety, and property when transported in commerce, and which has been so designated; see 49 CFR. 171.8..

Hazardous Material Residue. The hazardous material remaining in a packaging, including a tank car, after its contents have been unloaded to the maximum extent practicable and before the packaging is either refilled or cleaned of hazardous material and purged to remove any hazardous vapors.

Additional guidance concerning Federal requirements as to the identification and shipment of hazardous material can be found in 49 CFR Parts 100 to 180.

Highway-rail grade crossing means a location where a public highway, road, street, or private roadway, including associated sidewalks and pathways, crosses one or more railroad tracks at grade.

Joint operations means rail operations conducted on a track used jointly or in common by two or more railroads subject to this part or operation of a train, locomotive, car, or other on-track equipment by one railroad over the track of another railroad.

Medical treatment includes any medical care or treatment beyond "first aid" regardless of who provides such treatment. Medical treatment does not include diagnostic procedures, such as X-rays and drawing blood samples. Medical treatment also does not include preventive emotional trauma counseling provided by the railroad's employee counseling and assistance officer **unless** the participating worker has been diagnosed as having a mental disorder that was significantly caused or aggravated by an accident/incident and this condition requires a regimen of treatment to correct. (See question and answer 50 in Chapter 6 for additional guidance.)

Miles Traveled.

Passenger-mile. The movement of a passenger for a distance of one mile.

Train-mile. The movement of a train for a distance of one mile. Mileage is not to be increased because of the presence of multiple locomotives in the train. (See definition of "train".)

Yard Switching Train-Mile. May be computed at the rate of 6 mph for the time actually engaged in yard switching service (or any other method that will yield a more accurate count) if actual mileage is not known.

DEFINITIONS - Continued

Operation of a railroad. Inclusive term used to describe all activities of a railroad related to the performance of its rail transportation business.

Other Accidents.

Highway-Rail Crossing Accident/Incident. An impact between on-track railroad equipment and a highway user (e.g., an automobile, bus, truck, motorcycle, bicycle, farm vehicle, pedestrian or other highway user) at a designated crossing site. Sidewalks, pathways, shoulders and ditches associated with the crossing are considered to be part of the crossing site. The term "highway user" includes pedestrians, cyclists, and all other modes of surface transportation.

Note: Casualties resulting from highway-rail crossing impacts may also be categorized as train accidents, train incidents, and non-train incidents.

Obstruction accident. An accident/incident in which a consist strikes: (1) a bumping post or a foreign object on the track right-of-way; (2) a highway vehicle at a location other than a highway-rail crossing site; (3) derailed equipment; or (4) a track motorcar or similar work equipment not equipped with AAR couplers, and not operating under train rules.

Explosion-Detonation. An accident/incident caused by the detonation of material carried by or transported by rail. A detonation occurs when a shock wave exceeds the speed of sound. Explosions-detonations resulting from mishaps during loading or unloading operations, and those caused by fire aboard on-track equipment are included in this definition.

Fire or violent rupture. An accident/incident caused by combustion or violent release of material carried by or transported by rail. Examples of this type include: fuel and electrical equipment fires; crankcase explosions; and violent release of liquefied petroleum gas or anhydrous ammonia.

Other impacts. An accident/incident, not classified as a collision, that involves contact between on-track equipment. Generally, these involve single cars or cuts of cars that are damaged during switching, train makeup, setting out, etc., operations. If both consists contain a locomotive, the event should be classified as a collision between trains.

Other accidents/incidents. Events not classified as one of the preceding types.

DEFINITIONS - Continued

On-Track Rail Equipment.

Equipment consist. An equipment consist is a train, locomotive(s), cut of cars, or a single car not coupled to another car or locomotive.

Car. A car is:

- (1) any unit of on-track equipment designed to be hauled by locomotives, or
- (2) any unit of on-track work equipment such as a track motorcar, highway-rail vehicle, push car, crane, or ballast tamping machine.

Locomotive. A locomotive is a piece of on-track equipment, other than hi-rail or specialized maintenance equipment,

- (1) With one or more propelling motors designed for moving other equipment;
- (2) With one or more propelling motors designed to carry freight or passenger traffic, or both; or
- (3) Without propelling motors but with one or more control stands.

Motorcar. A self-propelled unit of equipment, designed to carry freight or passenger traffic. (Does not include track motor cars or similar work equipment.)

Train. For purposes of accident/incident reporting, a train is a locomotive or locomotives coupled with or without cars, and with or without markers displayed. This definition includes trains consisting entirely of self-propelled units designed to carry passengers, freight traffic, or both.

Yard switching trains. Those trains operated primarily within yards for the purpose of switching other equipment. Examples include the making up or breaking up of trains, service industrial tracks within yard limits, storing or classifying cars, and other similar operations.

Note: Switching performed by a road crew that is incidental to the road operation is not included.

DEFINITIONS - Continued

Work train. Work trains are non-revenue trains used for the administration and upkeep service of the railroad. Examples are: official trains; inspection trains; special trains running with company fire apparatus to save the railroad's property from destruction; trains that transport the railroad's employees to and from work when no transportation charge is made; construction and upkeep trains run in connection with maintenance and improvement work; and material and supply trains run in connection with operations.

Person includes all categories of entities covered under 1 U.S.C. § 1, including, but not limited to, a railroad; any manager, supervisor, official, or other employee or agent of a railroad; any owner, manufacturer, lessor, or lessee of railroad equipment, track, or facilities; any passenger; any trespasser or nontrespasser; any independent contractor providing goods or services to a railroad; any volunteer providing goods or services to a railroad; and any employee of such owner, manufacturer, lessor, lessee, or independent contractor.

Prescription Medication. Those substances whose availability and distribution are controlled by registered medical professionals such as doctors, pharmacists, or nurses, and that are manufactured and packaged with the legend: "Caution--Federal Law Prohibits Dispensing Without Prescription:" or similar warning.

Physician or other licensed health care professional is a health care professional operating within the scope of his or her license, registration, or certification. For example, an otolaryngologist is qualified to diagnose a case of noise-induced hearing loss and identify potential causal factors, but may not be qualified to diagnose a case of repetitive motion injuries. In addition to licensed physicians, the term "other licensed health care professional" includes members of other occupations associated with patient care and treatment, such as, chiropractors, podiatrists, physician's assistants, psychologists, and dentists.

Railroad means a person providing railroad transportation.

Railroad transportation means any form of non-highway ground transportation that run on rails or electro-magnetic guideways, including (1) commuter or other short-haul railroad passenger service in a metropolitan or suburban area, as well as any commuter railroad service that was operated by the Consolidated Rail Corporation as of January 1, 1979, and (2) high speed ground transportation systems that connect metropolitan areas, without regard to whether they use new technologies not associated with traditional railroads. Such term does not include rapid transit operations within an urban area that are not connected to the general railroad system of transportation.

DEFINITIONS - Continued

Remote Controlled Locomotive (RCL). This term refers to on-track rail equipment that is controlled by an employee or contractor using a remote transmitter/receiver designed to control the locomotive, maintenance machine, or other type of self-propelled on-track rail equipment. Special coding instructions are to be used when casualties to persons, rail equipment accidents/incidents, and highway-rail grade crossing accidents/incidents occur when RCL is in use.

Tracks and Types of Tracks.

Main track. A track, other than an auxiliary track, extending through yards or between stations, upon which trains are operated by time table or train order or both, or the use of which is governed by a signal system.

Industry track. A switching track, or series of tracks, serving the needs of a commercial industry other than a railroad.

Siding. A track auxiliary to the main track used for meeting or passing trains.

Yard track. A system of tracks within defined limits used for the making up or breaking up of trains, for the storing of cars, and for other purposes over which movements not authorized by time table or by train order may be made, subject to prescribed signals, rules or other special instructions. Sidings and industry tracks are not included, nor is main line within yard limits.

Work environment is the physical location, equipment, materials processed or used, and activities of a railroad employee associated with his or her work, whether on or off the railroad's property. There are no stated exclusions of place or circumstance.

Work related means related to any incident, activity, exposure, or the like occurring within the work environment.

CHAPTER 3 - FORM FRA F 6180.55
Railroad Injury and Illness Summary

A. REQUIREMENT

Form FRA F 6180.55, entitled "Railroad Injury and Illness Summary", is used to summarize a railroad's accident/incident data for a given month. A report must be filed, even when no accidents/incidents occurred during the report month. See § 225.21(b).

B. GENERAL INSTRUCTIONS AND INTERPRETATIONS

If there were no accidents/incidents for the month being reported, this fact must be noted on the form.

If actual operational data (mileage, hours worked, etc.) are not available when the report is due, then an estimate must be provided. A corrected report must be sent when actual figures are known. See § 225.13.

If there are substantial fluctuations in month-to-month operational data, the reason for such variations (seasonal operation, strikes, consolidation, line abandonment, etc.) is to be explained.

A late or corrected report is not to be included in the counts for the current month. If such a report is forwarded with the regular submission, it must have a separate cover letter indicating that it is a corrected report or, for late submissions, explain why the report is being filed late. See § 225.13. Entries changed on corrected reports should be circled in red.

If an item such as "Passenger Miles Operated" does not apply to your railroad, enter "N/A".

Fractions and decimals are to be rounded to the nearest whole number.

C. INSTRUCTIONS FOR COMPLETING FORM FRA F 6180.55

Item Instruction

1. Name of Reporting Railroad
Enter the full name of the reporting railroad.

2. Alphabetic Code
Enter the reporting railroad's code, found in Appendix A.

3. Report Month & Year

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Enter the month and year covered by the report.

4. State Alphabetic Code
Enter the code for the State in which the report was notarized, found in Appendix B.
5. County
Enter the name of the county or parish in which the report was notarized.
6. Name of Reporting Officer
Enter the reporting officer's name.
7. Official Title
Enter the reporting officer's official title.
8. Address
Enter the reporting officer's address.
9. Telephone
Enter the reporting officer's telephone number.
10. Enter the required information and have the report notarized.

Operational Data and Accident/Incident Counts for Report Month (Items 11-17)

In items 11-14, do not duplicate mileage in more than one block. For example, do not include yard switching train miles in the total for either freight or passenger train-miles.

11. Freight Train Miles
Enter the number of train-miles run during the month in freight service.
12. Passenger Train Miles
Enter the number of train-miles run during the month in passenger service.
13. Yard Switching Train Miles
Enter the number of yard switching miles run during the month.
14. Other Train Miles
Enter any other train-miles run that are not included in freight, passenger, or yard switching train-miles.

FORM FRA F 6180.55 - Continued

15. Railroad Worker [Employee] Hours

Enter the number of hours worked by all railroad employees during the month. Include all employees in the occupation categories shown in Appendix D. Do not include time paid, but not actually worked: such as holidays or vacations. Only those hours worked by employees defined as "Class A" are to be counted. Hours worked by volunteers, contractors, etc., are excluded.

16. Passenger Miles Operated

If your railroad operated a rail passenger service enter the number of passenger-miles run during the month. If passenger-miles are shown, the number of passengers transported must be entered in item 17.

Please take special care when recording information on passenger service. Our data verification procedures examine the relationship among the number of passenger train miles reported in item 12, the number of passenger miles reported in item 16, and the number of passengers transported as reported in item 17. If any of these items contains an entry greater than 0, then it is generally assumed that all three items must have a count. A simple example of a single train movement can demonstrate this: A passenger train containing 250 passengers traveled from point A to point B, a distance of 100 miles. This would be recorded as 100 passenger train miles, 25,000 passenger miles (250 passengers x 100 miles), and 250 passengers transported.

17. Number of Passengers Transported

Enter the number of passengers transported by rail for the month being reported.

18. Reported Casualties

Reportable casualties to all types of persons are to be reported on this form and are to be categorized according to the type of person. All fatalities, including those due to illness, are to be recorded in the appropriate blocks under the "Fatal" column. All remaining cases, including nonfatal occupational illnesses, are to be shown under the "Nonfatal" column. If no reportable casualties occurred during the report month, enter the word "None" for the "Grand total". All casualties shown must also be reported individually on Form FRA F 6180.55a.

Each person is to be classified as one of the following:

- a. Worker on Duty--Employee (Class A),
- b. Employee not on Duty (Class B),

FORM FRA F 6180.55 - Continued

- c. Passengers on Trains (Class C),
- d. Nontrespassers--On Railroad Property (Class D),
- e. Trespassers (Class E),
- f. Worker on Duty--Contractor (Class F),
- g. Contractor--Other (Class G),
- h. Worker on Duty--Volunteer (Class H),
- i. Volunteer--Other (Class I), and
- j. Nontrespassers--Off Railroad Property (Class J).

19. Number of FRA Forms Attached

List the number of FRA report forms completed during the month:

- F 6180.54 Enter the number of forms used to report collisions, derailments, and similar events when a rail equipment accident/incident is being reported.
- F 6180.55a Enter the number of forms used to record reportable casualties. If, during the report month, a person is injured and dies on the following day, or on any day prior to the end of the month, this should be reported as a fatality on Form FRA F 6180.55a.
- F 6180.56 Enter the number of forms used to report employee hours and casualties. This is usually "0" for each month, except for December, where "1" is normally entered.
- F 6180.57 Enter the number of forms used to report impacts between railroad and highway users at crossings.
- F 6180.81 Enter the number of Employee Human Factor Attachments which are attached.

20. Remarks Section

FORM FRA F 6180.55 - Continued

Enter any remarks, including explanations for unusual fluctuations in train-miles operated, employee hours, passenger counts, etc., or operational characteristics that result in contradictory or confusing counts (for example, train miles are reported, but there are no railroad worker [employee] hours).

D. COMMON REPORTING ERRORS

Missing Data.

If the information required for an item is not available at the time a report is to be filed, an estimate should be used. Later, if it is determined that the actual value was substantially different from the estimated value, a corrected report must be forwarded.

Math Errors.

The total number and distribution of casualties reported must agree with the sum of the individual casualties on Form FRA F 6180.55a.

Contradictory Information.

If employee casualties are reported, the number of railroad worker hours cannot be "0".

If Rail Equipment Accident/Incident Reports (Form FRA F 6180.54) or Highway-Rail Grade Crossing Accident/Incident Reports (Form FRA F 6180.57) were prepared for accidents/incidents involving moving trains, the total number of miles run during the month cannot be "0".

If the entry in "Passenger Miles Operated" is greater than "0", the entry in "Number of Passengers Transported" cannot be "0", and vice versa.

If passenger casualties are reported, the entry in "Number of Passengers Transported" cannot be "0".

The number of passenger miles operated must be consistent with the number of passengers transported. Since a passenger mile is the movement of one passenger for a distance of one mile, this number will generally be much greater than the number of passengers transported. For example, if a train carried 300 passengers a distance of 50 miles, the number of passenger miles would be 15,000.

CHAPTER 4 - FORM FRA F 6180.98 **Railroad Employee Injury and/or Illness Record**

A. REQUIREMENT

Each railroad shall maintain either the Railroad Employee Injury and/or Illness Record (Form FRA F 6180.98) or an alternative railroad-designed record of all reportable and all accountable injuries and illnesses of its employees that arise from the operation of the railroad for each railroad establishment where such employees report to work, including, but not limited to, an operating division, general office, and major installation such as a locomotive or car repair or construction facility. Include only reportable and accountable injuries of railroad employees (that is, Worker on Duty--Employee (Class A) or Employee not on Duty (Class B)). Include only reportable and accountable illnesses of persons classified as Worker on Duty--Employee (Class A). See §§ 225.5, § 225.19(d). Do not include injuries or illnesses of volunteers or contractors. See § 225.25(a)-(b). See also § 225.3 regarding certain railroads exempted from the duty to record “accountables”.

The alternative railroad-designed record may be used in lieu of the Railroad Employee Injury and/or Illness Record (Form FRA F 6180.98). Any such alternative record shall contain all of the information required on the Railroad Employee Injury and/or Illness Record. Although this information may be displayed in a different order from that on the Railroad Employee Injury and/or Illness Record, the order of the information shall be consistent from one such record to another such record. The order chosen by the railroad shall be consistent for each of the railroad's reporting establishments. Railroads may list additional information on the alternative record beyond the information required on the Railroad Employee Injury and/or Illness Record. **Furthermore, you may use your alternative record to collect information on conditions that do not meet the "accountable" definition, or to make entries for individuals other than employees of the railroad. (See question Q6 and answer in Chapter 1 for additional guidance.)**

It would be difficult, if not impossible, for a railroad to monitor self-treatment of minor injuries. Thus, the type of injuries that are generally expected to be recorded on the "Railroad Employee Injury and/or Illness Record" (Form FRA F 6180.98) are those that create a "documentation trail." This documentation could include records such as: incident reports; health care provider records; or any other records that may identify the fact that an employee has sustained physical harm while in the work environment that required examination or treatment by a qualified health care professional. See § 225.5, definition of “accountable injury or illness”. This broad scope is necessary since all conditions, regardless of severity, must be evaluated to determine if the requirements necessary for reporting the injury/illness have been met.

A primary purpose for the recording of accountable cases is to establish a standardized set of data that the reporting officer will use in deciding whether or not to report a case. It also serves as a

FORM FRA F 6180.98 - Continued

tool for FRA safety assurance and compliance officers to use during reviews to determine if proper reporting decisions are being made. **Once it has been determined that a particular case is reportable and has been forwarded on Form FRA F 6180.55a, it is no longer necessary to continue to update this record.** Changes to counts of days absent or restricted, are to be made on the form 6180.55a, not form 6180.98.

Each railroad shall enter each reportable and each accountable injury and illness on the appropriate record as early as practicable, but no later than seven working days after receiving information or acquiring knowledge that an injury or illness has occurred. See § 225.25(f).

The records described above may be maintained at the local establishment or, alternatively, at a centralized location. If the records are maintained at a centralized location, but not through electronic means, then a paper copy of the records that is current within 35 days of the month to which it applies shall be available for that establishment. If the records are maintained at a centralized location through electronic means, then the records for that establishment shall be available for review in a hard copy format within four business hours of FRA's request. FRA recognizes that circumstances outside the railroad's control may preclude it from fulfilling the four-business-hour time limit. In these circumstances, FRA will not assess a monetary penalty against the railroad for its failure to provide the requested documentation provided the railroad made a reasonable effort to correct the problem. See § 225.25(g).

Do not submit this form or an alternate railroad-designed record. If a case is determined to be reportable, it must be recorded on Form FRA F 6180.55a and included with the reports filed for that month.

The information required to be recorded on Form FRA F 6180.98 is self-explanatory; therefore, specific instructions for completion are not needed. However, it is important to note that the "Case/Incident Number" identified in block 2 must be used on Form FRA F 6180.55a for any case determined to be reportable.

The alternative record shall contain, at a minimum, the following information:

1. Name of railroad;
2. Case/incident number;
3. Full name of railroad employee;
4. Date of birth of railroad employee;

FORM FRA F 6180.98 - Continued

5. Gender of railroad employee;
6. Social Security Number of railroad employee, or employee id number;
7. Date the railroad employee was hired;
8. Home address of railroad employee; include the street address, city, State, ZIP code, and home telephone number with area code;
9. Name of facility where railroad employee normally reports to work;
10. Address of facility where railroad employee normally reports to work; include the street address, city, State, and ZIP code;
11. Job title of railroad employee;
12. Department assigned;
13. Specific site where accident/incident/exposure occurred; include the city, county, State, and ZIP code;
14. Date and time of occurrence; military time or AM/PM;
15. Time employee's shift began; military time or AM/PM;
16. Whether employee was on premises when injury occurred;
17. Whether employee was on or off duty;
18. Date and time when employee notified company personnel of condition; military time or AM/PM;
19. Name and title of railroad official notified;
20. Description of the general activity this employee was engaged in prior to the injury/illness/condition;
21. Description of all factors associated with the case that are pertinent to an understanding of how it occurred. Include a discussion of the

FORM FRA F 6180.98 - Continued

sequence of events leading up to it; and the tools, machinery, processes, material, environmental conditions, etc., involved;

22. Description, in detail, of the injury/illness/condition that the employee sustained, including the body parts affected. If a recurrence, list the date of the last occurrence;
23. Identification of all persons and organizations used to evaluate or treat the condition, or both. Include the facility, provider and complete address;
24. Description of all procedures, medications, therapy, etc., used or recommended for the treatment of the condition;
25. Extent and outcome of injury or illness to show the following as applicable:
 - a. Fatality--enter date of death;
 - b. Restricted work; number of days; beginning date;
 - c. Occupational illness; date of initial diagnosis;
 - d. Instructions to obtain prescription medication, or receipt of prescription medication;
 - e. If missed one or more days of work or next shift, provide number of work days; and beginning date;
 - f. Medical treatment beyond "first aid";
 - g. Hospitalization for treatment as an inpatient;
 - h. Multiple treatments or therapy sessions;
 - i. Loss of consciousness;
 - j. Transfer to another job or termination of employment;

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- k. Was a significant injury/illness, one meeting specific case criteria, or a covered data case.

- 26. Each railroad shall indicate if the Railroad Injury and Illness Summary (Continuation Sheet) (FRA Form F 6180.55a) has been filed with FRA for the injury or illness. If FRA Form F 6180.55a was not filed with FRA, then the railroad shall provide an explanation of the basis for its decision.

- 27. The reporting railroad shall indicate if the injured or ill railroad employee was provided an opportunity to review his or her file; and

- 28. The reporting railroad shall identify the preparer's name; title; telephone number with area code; and the date the log entry was completed.

CHAPTER 5 - FORM FRA F 6180.97
Initial Rail Equipment Accident/Incident Record

A. REQUIREMENT

Each railroad shall maintain the Initial Rail Equipment Accident/Incident Record (Form FRA F 6180.97), or an alternative railroad-designed record as described in the following paragraph, of reportable and accountable collisions, derailments, fires, explosions, acts of God, or other events involving the operation of railroad on-track equipment, signals, track, or track equipment (standing or moving) that result in damages to railroad on-track equipment, signals, tracks, track structures, or roadbed, including labor costs and all other costs for repairs or replacement in kind for each railroad establishment where workers report to work, including, but not limited to, an operating division, general office, and major installation such as a locomotive or car repair or construction facility. See §§ 225.21(i), 225.25(d)-(e). See also § 225.3 regarding certain railroads exempted recording “accountables”.

The alternative railroad-designed record may be used in lieu of the Initial Rail Equipment Accident/Incident Record (Form FRA F 6180.97). Any such alternative record shall contain all of the information required on the Initial Rail Equipment Accident/Incident Record. Although this information may be displayed in a different order from that on the Initial Rail Equipment Accident/Incident Record, the order of the information shall be consistent from one such record to another such record. The order chosen by the railroad shall be consistent for each of the railroad's reporting establishments. Railroads may list additional information in the alternative record beyond the information required on the Initial Rail Equipment Accident/Incident Record.

The alternative record shall contain, at a minimum, the following information:

1. Date and time of accident;
2. Reporting railroad, and accident/incident number;
3. Other railroad, if applicable, and other railroad's accident/incident number;
4. Railroad responsible for track maintenance, and that railroad's incident number;
5. Type of accident/incident (derailment, collision, etc.);
6. Number of cars carrying hazardous materials that derailed or were damaged; and number of cars carrying hazardous materials that released product;

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FORM FRA F 6180.97 - Continued

7. Division;
8. Nearest city or town;
9. County; (added in 2003)
- 10.. State;
11. Milepost (to the nearest tenth);
12. Specific site;
13. Speed (indicate if actual or estimate);
14. Train number or job number;
15. Type of equipment (freight, passenger, yard switching, etc.);
16. Type of track (main, yard, siding, industry);
17. Total number of locomotives in train;
18. Total number of locomotives that derailed;
19. Total number of cars in train;
20. Total number of cars that derailed;
21. Total amount of damage in dollars to equipment based on computations as described in this Guide;
22. Total amount of damage in dollars to track, signal, way, and structures based on computations as described in this Guide;
23. Primary cause;
24. Contributing cause;
25. Number of persons injured and persons killed, broken down into the following classifications: worker on duty--employee; employee

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FORM FRA F 6180.97 - Continued

not on duty; passenger on train; nontrespasser--on railroad property; trespasser; worker on duty--contractor; contractor--other; worker on duty--volunteer; volunteer--other; and nontrespasser--off railroad property;

26. Narrative description of the accident;
27. Whether the accident/incident was reported to FRA;
28. Preparer's name, title, telephone number with area code, and signature; and
29. Date the report was completed.

Each railroad shall enter each reportable and accountable rail equipment accident/incident on the appropriate record, as early as practicable but no later than seven working days after receiving information or acquiring knowledge that a rail equipment accident/incident has occurred. See § 225.25(f).

The records described above may be maintained at the local establishment or, alternatively, at a centralized location. If the records are maintained at a centralized location, but not through electronic means, then a paper copy of the records that is current within 35 days of the month to which it applies shall be available for that establishment. If the records are maintained at a centralized location through electronic means, then the records for that establishment shall be available for review in a hard copy format within four business hours of FRA's request. FRA recognizes that circumstances outside the railroad's control may preclude it from fulfilling the four-business-hour time limit. In these circumstances, FRA will not assess a monetary penalty against the railroad for its failure to provide the requested documentation provided the railroad made a reasonable effort to correct the problem. See § 225.25(g).

Do not submit this form or an alternate railroad-designed record. If an incident is determined to be reportable, it must be recorded on Form FRA F 6180.54 and be included with the reports filed for that month. If there are any reportable casualties, they must be reported on the Form FRA F 6180.55a. Once a decision has been made that the rail equipment accident/incident is reportable, any further updating should be done on the Form FRA F 6180.54, and you need not update the Form FRA F 6180.97.

The information required to be recorded on Form FRA F 6180.97 is self-explanatory and generally narrative in nature; therefore, specific instructions for completion are not needed.

FORM FRA F 6180.97 - Continued

However, it is important to note that the "Case/Incident Number" identified in block 4 must be used on Form FRA F 6180.54 and/or 6180.57 for any case determined to be reportable.

CHAPTER 6 - FORM FRA F 6180.55a
Railroad Injury and Illness Summary (Continuation Sheet)

A. REQUIREMENT

Each event or exposure arising from the operation of a railroad shall be reported on Form FRA F 6180.55a if the event or exposure is a discernable cause of one or more of the following outcomes, and this outcome is a new case or a significant aggravation of a pre-existing injury or illness:

- (1) Death to any person;
- (2) Injury to any person that results in medical treatment;
- (3) Injury to a railroad employee that results in:
 - (i) A day away from work;
 - (ii) Restricted work activity or job transfer; or
 - (iii) Loss of consciousness;
- (4) Occupational illness of a railroad employee that results in any of the following:
 - (i) A day away from work;
 - (ii) Restricted work activity or job transfer;
 - (iii) Loss of consciousness; or
 - (iv) Medical treatment;
- (5) A significant injury to or significant illness of a railroad employee diagnosed by a physician or other licensed health care professional even if the injury or illness does not result in death, a day away from work, restricted work activity or job transfer, medical treatment, or loss of consciousness;
- (6) An illness or injury that meets the application of any of the following specific case criteria:
 - (i) A needlestick or sharps injury to a railroad employee;
 - (ii) Medical removal of a railroad employee;
 - (iii) Occupational hearing loss of a railroad employee;
 - (iv) Occupational tuberculosis of a railroad employee; or
 - (v) A musculoskeletal disorder of a railroad employee if this disorder is independently reportable under one or more of the general reporting criteria.

Event or exposure arising from the operation of a railroad includes—

FORM FRA 6180.55a - Continued

- (1) with respect to a person who is on property owned, leased, or maintained by the railroad, an activity of the railroad that is related to the performance of its rail transportation business or an exposure related to the activity;
- (2) with respect to an employee of the railroad (whether on or off property owned, leased or maintained by the railroad), an activity of the railroad that is related to the performance of its rail transportation business or an exposure related to the activity; and
- (3) with respect to a person who is not an employee of the railroad and not on property owned, leased, or maintained by the railroad—an event or exposure directly resulting from one or more of the following railroad operations:
 - (i) a train accident, a train incident, or a highway-rail crossing accident or incident involving the railroad; or
 - (ii) a release of a hazardous material from a railcar in the possession of the railroad or of another dangerous commodity that is related to the performance of the railroad's rail transportation business.

In the context of casualty reporting, the terms “event” and “exposure” include events of a specific nature, e.g., being struck by a train, and those conditions associated with work place activities, or exposures, that occur over a period of time, e.g., occupational illnesses. See § 225.19(d)

A railroad need not report the following:

1. Casualties at highway-rail crossing sites that do not involve the presence or operation of on-track rail equipment, or the presence of railroad employees engaged in the operation of a railroad;
2. Casualties in or about living quarters that do not arise from the operation of a railroad (Note: camp cars, and permanent facilities on the railroad's premises are a part of the work environment and casualties occurring in these are considered to have arisen from the operation of a railroad. Normally, injuries occurring in these facilities will be reported as occurring to an employee not on duty (Class B), but at other times the employee is more properly classified as being on duty (Class A). In these workplaces, if the employee is on-duty or engaged in a work activity at the time of injury or illness, then the employee is classified as on duty. In addition, an employee in living quarters on railroad property who is harmed as a result of a serious workplace accident such as a chemical release, fire, explosion, derailment, collision, or building collapse while

FORM FRA 6180.55a - Continued

off-duty is nevertheless to be classified as on duty. All other injuries and illnesses occurring during off-duty hours while in living quarters are to be classified as injuries or illnesses to employees not on duty.)

3. Suicides, as determined by a coroner or other public authority; or
4. Attempted suicides.

See § 225.15.

B. EMPLOYEE ON DUTY INJURY/ILLNESS REPORTING

BASIC REQUIREMENT.

A report must be made of each railroad employee fatality, injury and illness that:

1. Is work-related;
2. Is a new case, or a significant aggravation of a preexisting condition; and
3. Meets one or more of the general reporting criteria or the application to specific cases.

Injuries and Illnesses: An injury or illness is an abnormal condition or disorder. Injuries include cases such as, but not limited to, a cut, fracture, sprain, or amputation. Illnesses include both acute and chronic illnesses, such as, but not limited to, a skin disease, respiratory disorder, or poisoning. (Note: Injuries and illnesses are reportable only if they are new, work-related cases that meet one or more of the reporting criteria.)

Note: The distinction between injury and illness is no longer a factor for determining which cases are reportable.

Q1. The old rule required the reporting of all occupational illnesses, regardless of severity; all that was necessary was that there be a diagnosis/recognition that the condition existed and that an exposure in the work environment was a contributing factor. For example, a work-related skin rash was reported even if it didn't result in medical treatment. Does the rule still capture these minor illness cases?

A1. No. Under the new rule, injuries and illnesses are reported using the same criteria. As a result, some minor illness cases are no longer reportable. For example, a case of

FORM FRA 6180.55a - Continued

work-related skin rash is now reported only if it results in days away from work, restricted work, transfer to another job, or medical treatment beyond first aid.

Q2. What if the injury was caused by the employee's own negligence, or was a result of events beyond the railroad's control, e.g., an employee was assaulted by a trespasser, or two employees were engaged in horseplay; would this make a difference in terms of whether the injury or illness must be reported?

A2. No. Responsibility or fault is not a consideration when deciding whether or not to report. FRA notes that many circumstances that lead to a reportable work-related injury or illness are "beyond the employer's control," at least as that phrase is commonly interpreted. Nevertheless, because such an injury or illness was caused, contributed to, or significantly aggravated by an event or exposure at work, it must be reported (assuming that it meets one or more of the reporting criteria and does not qualify for an exemption to the geographic presumption). This approach is consistent with the no-fault reporting system FRA has adopted, which includes work-related injuries and illnesses, regardless of the level of employer control involved.

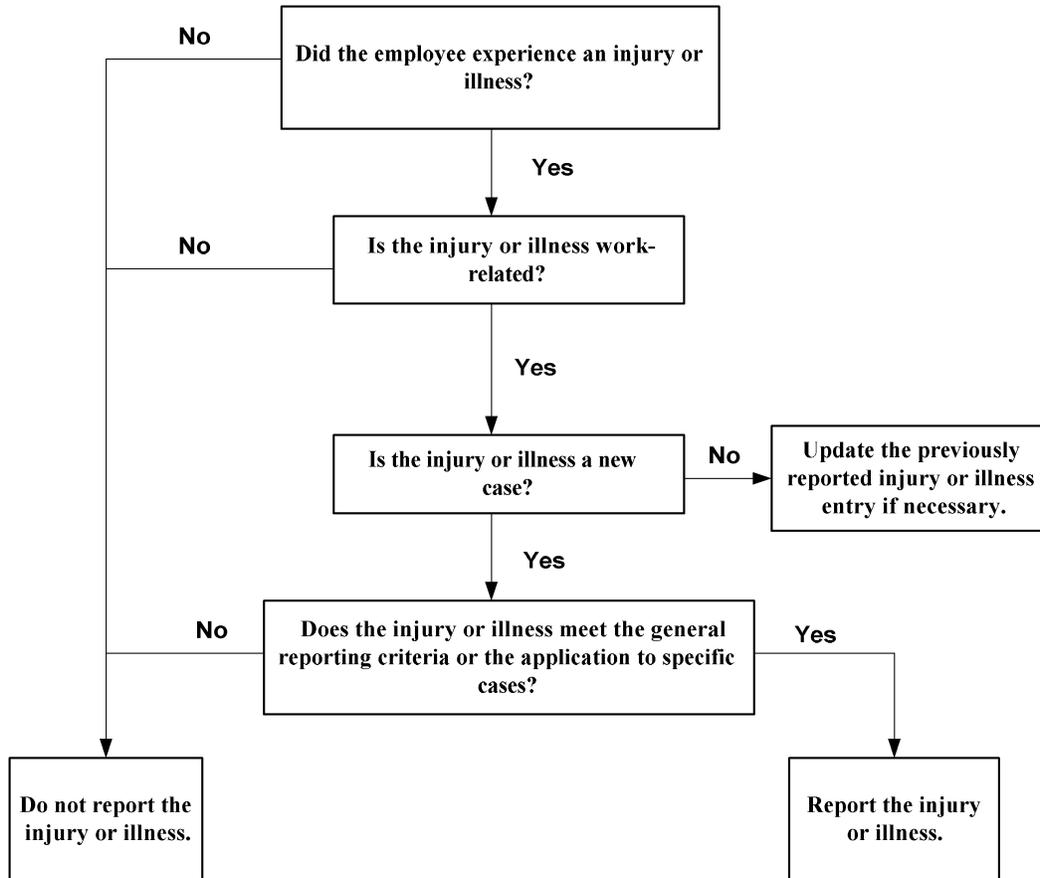
The following do not affect reportability if there is evidence an employee was harmed while in the work environment:

1. The event was not witnessed.
2. The employee did not immediately notify a supervisor.
3. The employee did not require medical treatment at the time of the condition.
4. The condition was the result of an employee's error.
5. The condition was caused by outside factors, e.g., an assault on an employee, insect or animal bites, struck by lightning, act of nature.
6. The condition did not meet all the necessary conditions for reporting at the time of the initial event, activity, or exposure.
7. The condition was the culmination of a series of activities.

FORM FRA 6180.55a - Continued

Q3. How do I decide whether a particular injury or illness of an employee on duty is reportable?

A3. The following decision tree shows the basic steps involved in making this determination.



FORM FRA 6180.55a - Continued

DETERMINATION OF WORK-RELATEDNESS.

You must consider an injury or illness to be work-related if an event or exposure in the work environment either discernibly caused or contributed to the resulting condition.

Work-relatedness is presumed for injuries and illnesses resulting from events or exposures occurring in the work environment, unless an exception specifically applies (see Q4 and A4). Under this language, a case is presumed work-related if, and only if, an event or exposure in the work environment is a discernable cause of the injury or illness or a significant aggravation to a pre-existing condition. The work event or exposure need only be one of the discernable causes; it need not be the sole or predominant cause.

A case is not reportable if it involves signs or symptoms that surface at work but result solely from a non-work-related event or exposure that occurs outside of the work environment. This language is intended as a restatement of the principle described above. Regardless of where signs or symptoms surface, a case is reportable only if a work event or exposure is a discernable cause of the injury or illness or a significant aggravation to a pre-existing condition.

If it is not obvious whether the precipitating event or exposure occurred in the work environment or elsewhere, the employer must evaluate the employee's work duties and environment to decide whether or not one or more events or exposures in the work environment caused or contributed to the resulting condition or significantly aggravated a pre-existing condition. This means that the employer must make a determination whether it is more likely than not that work events or exposures were a cause of the injury or illness, or of a significant aggravation to a pre-existing condition. If the employer decides the case is not work-related, and FRA subsequently issues a citation for failure to report, the Government would have the burden of proving that the injury or illness was work-related.

FRA defines the “work environment” as the establishment and other locations where one or more employees are working or are present as a condition of their employment. The work environment includes not only physical locations, but also the equipment or materials used by the employee during the course of his or her work. The term “event” includes occurrences which can be identified in terms of a specific time and those of a continuing or intermittent nature which can be identified only in terms of a probable time or activity, e.g., physical activity over a period of time.

Q4. Are there situations where an injury or illness occurs to an employee while in the work environment, but would not be reported as an injury to, or illness of, an employee on duty?

FORM FRA 6180.55a - Continued

A4. Yes. An injury or illness occurring in the work environment that falls under one of the following exceptions would not be reported as one to an employee on duty. These situations must be evaluated to determine if the employee's condition is reportable using the criteria for individuals who are not employees on duty, e.g., employee not on duty, nontrespasser.

- (1) At the time of the injury or illness, the employee was present in the work environment as a member of the general public rather than as an employee.
- (2) The injury or illness involves signs or symptoms that surface at work but result solely from a non-work-related event or exposure that occurs outside the work environment.
- (3) The injury or illness results solely from voluntary participation in a wellness program or in a medical, fitness, or recreational activity such as blood donation, physical examination, flu shot, exercise class, racquetball, or baseball.
- (4) The injury or illness is solely the result of an employee eating, drinking, or preparing food or drink for personal consumption (whether bought on the employer's premises or brought in). For example, if the employee is injured by choking on a sandwich while in the employer's establishment, the case would not be considered work-related.

Note: If however the employee is made ill by ingesting food contaminated by workplace contaminants (such as lead), or gets food poisoning from food supplied by the employer, the case would be considered work-related.

- (5) The injury or illness is solely the result of an employee doing personal tasks (unrelated to their employment) at the establishment outside of the employee's assigned working hours.
- (6) The injury or illness is solely the result of personal grooming, self-medication for a non-work-related condition, or is intentionally self-inflicted.
- (7) The injury or illness is caused by a motor vehicle accident and occurs on a company parking lot or company access road while the employee is commuting to or from work.

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- (8) The illness is the common cold or flu. **(Note: contagious diseases such as tuberculosis, brucellosis, hepatitis A, or plague are considered work-related if the employee is infected at work.)**
- (9) The illness is a mental illness. Mental illness will not be considered work-related unless the employee voluntarily provides the employer with an opinion from a physician or other licensed health care professional with appropriate training and experience (e.g., psychiatrist, psychologist, psychiatric nurse practitioner.) stating that the employee has a mental illness that is work-related and indicating the basis for this conclusion.

Q5. What activities are considered "personal grooming" for purposes of the exception to the geographic presumption of work-relatedness for employees on duty?

A5. Personal grooming activities are activities directly related to personal hygiene, such as combing and drying hair, brushing teeth, clipping fingernails and the like. Bathing or showering at the workplace when necessary because of an exposure to a substance at work is not within the personal grooming exception. Thus, if an employee slips and falls while showering at work to remove a contaminant to which he has been exposed at work, and sustains an injury that meets one of the general reporting criteria, the case is reportable.

Q6. What are "personal tasks" for purposes of the exception to the geographic presumption?

Q6. "Personal tasks" are tasks that are unrelated to the employee's job. For example, if an employee uses a company break to perform work on his or her personal automobile that is not part of his or her job duties, he or she is engaged in a personal task.

Q7. If an employee stays at work after normal work hours to prepare for the next day's tasks and is injured, is the worker considered to be an employee on duty? For example, if an employee stays after work to prepare equipment and is injured, is the case work-related?

A7. Yes. This individual is considered to be "on duty." A case is work-related any time an event or exposure in the work environment either causes or contributes to an injury or illness or significantly aggravates a pre-existing injury or illness, unless one of the specific exceptions in this section applies. The work environment includes the establishment and other locations where one or more employees are working or are present as a condition of their employment. The case in question would be work-related

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if the employee was injured as a result of an event or exposure at work, regardless of whether the injury occurred after normal work hours and regardless of whether the employee was in pay status.

Q8. How do I handle a case if it is not obvious whether the precipitating event or exposure occurred in the work environment or occurred away from work?

A8. You must evaluate the employee's work duties and environment to decide whether it is more likely than not that one or more events or exposures in the work environment either caused or contributed to the resulting condition or significantly aggravated a pre-existing condition.

Q9. How do I know if an event or exposure in the work environment "significantly aggravated" a preexisting injury or illness?

A9. A preexisting injury or illness has been significantly aggravated, for purposes of FRA injury and illness recordkeeping, when an event or exposure in the work environment results in any of the following:

- (1) Death, provided that the preexisting injury or illness would likely not have resulted in death but for the occupational event or exposure.
- (2) Loss of consciousness, provided that the preexisting injury or illness would likely not have resulted in loss of consciousness but for the occupational event or exposure.
- (3) One or more days away from work, or days of restricted work, or days of job transfer that otherwise would not have occurred but for the occupational event or exposure.
- (4) Medical treatment in a case where no medical treatment was needed for the injury or illness before the workplace event or exposure, or a change in medical treatment was necessitated by the workplace event or exposure.

Q10. Which injuries and illnesses are considered pre-existing conditions?

A10. An injury or illness is a preexisting condition if it resulted solely from a non-work-related event or exposure that occurred outside the work environment, e.g., diabetes.

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Q11. How do I decide whether an injury or illness is work-related if the employee is on travel status at the time the injury or illness occurs?

A11. Injuries and illnesses that occur while an employee is on travel status are work-related if, at the time of the injury or illness, the employee was engaged in work activities "in the interest of the employer." Examples of such activities include travel to and from customer contacts, conducting job tasks, and entertaining or being entertained to transact, discuss, or promote business (work-related entertainment includes only entertainment activities being engaged in at the direction of the employer).

Injuries or illnesses that occur when the employee is on travel status do not have to be reported if they meet one of the exceptions listed below.

- (1) An employee checks into a hotel or motel for one or more days. When a traveling employee checks into a hotel, motel, or other temporary residence, he or she establishes a "home away from home." You must evaluate the employee's activities after he or she checks into the hotel, motel, or other temporary residence for their work-relatedness in the same manner as you evaluate the activities of a non-traveling employee. When the employee checks into the temporary residence, he or she is considered to have left the work environment. When the employee begins work each day, he or she re-enters the work environment. If the employee has established a "home away from home" and is reporting to a fixed worksite each day, you also do not consider injuries or illnesses work-related if they occur while the employee is commuting between the temporary residence and the job location.

Note: An employee in deadhead transportation is considered an "employee on duty" regardless of the mode of transportation. Deadhead transportation occurs when an employee is traveling at the direction or authorization of the carrier to or from an assignment, or the employee is involved with a means of conveyance furnished by the carrier or compensated by the carrier.

Exception:

If an employee is housed by the carrier in a facility such as a motel, and part of the service provided by the motel is the transportation of the employee to and from the work site, any reportable injury to the employee during such transit is

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to be reported as that to an employee not on duty (Class B). Likewise, if the employee had decided upon other means of transportation that had not been authorized or provided, such as a ride from a friend, and for which he would not have been compensated by the railroad, the injury is not considered to be an on-duty injury.

- (2) An employee takes a detour for personal reasons. Injuries or illnesses are not considered work-related if they occur while the employee is on a personal detour from a reasonably direct route of travel (e.g., has taken a side trip for personal reasons).

Q12. This question involves the following sequence of events: Employee A drives to work, parks her car in the company parking lot and is walking across the lot when she is struck by a car driven by employee B, who is commuting to work. Both employees are seriously injured in the accident. Is either worker considered to be an employee on duty?

A12. Neither employee's injuries are reportable as to an employee on duty. While the employee parking lot is part of the work environment, injuries occurring there would be classified as injuries to employees not on duty.

Q13. How do I decide if a case is work-related when the employee is working at home or telecommuting from another location?

A13. Injuries and illnesses that occur while an employee is working at home, including work in a home office, will be considered work-related if the injury or illness occurs while the employee is performing work for pay or compensation in the home, and the injury or illness is directly related to the performance of work rather than to the general home environment or setting. For example, if an employee drops a box of work documents and injures his or her foot, the case is considered work-related. If an employee is injured because he or she trips on the family dog while rushing to answer a work phone call, the case is not considered work-related. If an employee working at home is electrocuted because of faulty home wiring, the injury is not considered work-related.

Q14. If an employee voluntarily takes work home and is injured while working at home, is the case reportable?

A14. No. Injuries and illnesses occurring in the home environment are only considered work-related if the employee is being paid or compensated for working at home and the

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injury or illness is directly related to the performance of the work rather than to the general home environment.

DETERMINATION OF NEW CASES.

You must consider an injury or illness to be a "new case" if:

1. The employee has not previously experienced a reported injury or illness of the same type that affects the same part of the body; or
2. The employee previously experienced a reported injury or illness of the same type that affected the same part of the body but had recovered completely (all signs and symptoms had disappeared) from the previous injury or illness and an event or exposure in the work environment caused the signs or symptoms to reappear.

One set of criteria is used for determining whether any injury or illness, including a musculoskeletal disorder, is to be treated as a new case or as the continuation of an "old" injury or illness. First, if the employee has never had a reported injury or illness of the same type and affecting the same part of the body, the case is automatically considered a new case and must be evaluated for reportability. This provision will handle the vast majority of injury and illness cases, which are new cases rather than recurrences or case continuations. Second, if the employee has previously had a reported injury or illness of the same type and affecting the same body part, but the employee has completely recovered from the previous injury or illness, and a new workplace event or exposure causes the injury or illness (or its signs or symptoms) to reappear, the case is a recurrence that the employer must evaluate for reportability.

Q15. How is an employer to determine whether an employee has "recovered completely" from a previous injury or illness such that a later injury or illness of the same type affecting the same part of the body resulting from an event or exposure at work is a "new case"? If an employee's signs and symptoms disappear for a day and then resurface the next day, should the employer conclude that the later signs and symptoms represent a new case?

A15. An employee has "recovered completely" from a previous injury or illness, for purposes of this section, when he or she is fully healed or cured. The employer must use his best judgment based on factors such as the passage of time since the symptoms last occurred and the physical appearance of the affected part of the body. If the signs and symptoms of a previous injury disappear for a day only to reappear the following day, that is strong

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evidence the injury has not properly healed. The employer may, but is not required to, consult a physician or other licensed health care provider (PLHCP). Where the employer does consult a PLHCP to determine whether an employee has recovered completely from a prior injury or illness, it must follow the PLHCP's recommendation. In the event the employer receives recommendations from two or more PLHCPs, the employer may decide which recommendation is the most authoritative and report the case based on that recommendation.

Q16. When an employee experiences the signs or symptoms of a chronic work-related illness, do I need to consider each recurrence of signs or symptoms to be a new case?

Q16. No. For occupational illnesses where the signs or symptoms may recur or continue in the absence of an exposure in the workplace, the case must only be reported once. Examples may include occupational cancer, asbestosis, byssinosis, and silicosis.

Q17. When an employee experiences the signs or symptoms of an injury or illness as a result of an event or exposure in the workplace, such as an episode of occupational asthma, must I treat the episode as a new case?

A17. Yes. Since the episode or recurrence was caused by an event or exposure in the workplace, the incident must be treated as a new case.

Q18. May I rely on a physician or other licensed health care professional to determine whether a case is a new case or a recurrence of an old case?

A18. You are not required to seek the advice of a physician or other licensed health care professional to determine whether a case is new or a recurrence of an old one. However, if you do seek such advice, you must follow the physician or other licensed health care professional's recommendation about whether the case is a new case or a recurrence. If you receive recommendations from two or more physicians or other licensed health care professionals, you must make a decision as to which recommendation is the most authoritative (best documented, best reasoned, or most persuasive), and report the case based upon that recommendation. If a subsequent physician determines that the condition does not exist or is not work-related following a review of the examining physician's tests, notes, diagnosis, etc., then it must be clearly documented why the subsequent physician's findings differ from the original physician.

GENERAL REPORTING CRITERIA.

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You must consider an injury or illness to meet the general reporting criteria, and therefore to be reportable, if it results in any of the following: death, day(s) away from work, restricted work or transfer to another job, medical treatment beyond first aid, or loss of consciousness. You must also consider a case to meet the general reporting criteria if it involves a significant injury or illness diagnosed by a physician or other licensed health care professional, even if it does not result in death, days away from work, restricted work or job transfer, medical treatment beyond first aid, or loss of consciousness.

Q19. How do I decide if a case meets one or more of the general reporting criteria?

A19. A work-related injury or illness must be reported if it results in one or more of the following:

- (1) Death,
- (2) Days away from work,
- (3) Restricted work or transfer to another job,
- (4) Medical treatment beyond first aid,
- (5) Loss of consciousness, or
- (6) A significant injury or illness diagnosed by a physician or other licensed health care professional.

Days Away From Work

Q20. How do I report a work-related injury or illness that results in day(s) away from work?

A20. When an injury or illness involves one or more days away from work, you must report the injury or illness on Form FRA F 6180.55a and report the number of calendar days away from work in column 5o. **(See definition of “day away from work” and section on counting days away from work and days of restriction.)** If the employee is out for an extended period of time, you must enter an estimate of the day(s) that the employee will be away, and update the day count when the actual number of days is known.

Q21. Do I count the day on which the injury occurred or the illness began?

A21. No. You begin counting days away from work on the day after the injury occurred or the illness began.

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Q22. How do I report an injury or illness when a physician or other licensed health care professional recommends that the worker stay at home but the employee comes to work anyway?

A22. You must report these injuries and illnesses on Form FRA F 6180.55a. If a physician or other licensed health care professional recommends days away, you should encourage your employee to follow that recommendation. However, a minimum of one day away from work must be reported when the injured or ill employee does not follow the physician or licensed health care professional's recommendation and returns to work. If you receive recommendations from two or more physicians or other licensed health care professionals, you may make a decision as to which recommendation is the most authoritative, and report the case based upon that recommendation.

Q23. How do I handle a case when a physician or other licensed health care professional recommends that the worker return to work but the employee stays at home for a day anyway?

A23. A decision by an employee concerning the care or treatment of his own condition is not to be considered when deciding to report. If an employee has an injury that meets none of the standard criteria for reporting, then an employee's action, e.g., taking OTC medication at prescription strength without proper authorization, would not make the injury reportable even if he informed his employer that this level of dosage was used.

In the situation you described, a report would not be made unless the day absent from work was approved by the employer as necessary for recovery from an otherwise reportable injury, e.g., prescription medication was recommended by a PLHCP. If the employee contacted the appropriate official in the company and this official authorized the time off because of the injury, then a day away from work is to be counted. Authorization may also come from a PLHCP, e.g., he sees his own physician the day after the injury and the employer is aware that the doctor recommends that the employee take time off to recover.

Q24. If an employee who sustains a work-related injury requiring days away from work is terminated for drug use based on the results of a post-accident drug test, how is the case reported? May the employer stop the day count upon termination of the employee for drug use?

For another injury it was later established during a hearing that the injury was the result of a rules violation on the part of the employee. The employee was terminated

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because of the rules violation. When do we discontinue the counting of days away from work?

- A24. The purpose of counting days away from work is to provide an additional measure of the severity of an injury. The employer may stop counting days away from work if an employee who is away from work because of an injury or illness leaves the company for some reason unrelated to the injury or illness, such as retirement or scheduled seasonal layoff. However, when the employer conducts a drug test based on the occurrence of an accident resulting in an injury at work and subsequently terminates the injured employee, the termination is related to the injury. The same is true for discipline involving suspension of duty for a rule violation that is imposed following an injury.

Therefore, you must estimate the number of days in cases such as these where the employee would have otherwise been away from work due to the injury, and enter that number on Form FRA F 6180.55a.

- Q25. Once I have reported a case involving days away from work, restricted work or medical treatment and the employee has returned to his or her regular work or has received the course of recommended medical treatment, is it permissible for the me to delete the case based on a company physician's recommendation that the days away from work, work restriction or medical treatment were not necessary?**

- A25. The initial decision about the need for days away from work, a work restriction, or medical treatment is based on the information available, including any recommendation by a physician or other licensed health care professional at the time the employee is examined or treated. At this time, if you receive contemporaneous recommendations from two or more physicians or other licensed health care professionals about the need for days away, a work restriction, or medical treatment, you may decide which recommendation is the most authoritative and report the case based on that recommendation. However, once the days away from work or work restriction has occurred or medical treatment has been given, you may not delete the case because of a later physician's conclusion that the days away, restriction or treatment was unnecessary.

- Q26. How long must a modification to a job last before it can be considered a permanent modification?**

- A26. You may stop counting days of restricted work or transfer to another job if the restriction or transfer is made permanent. A permanent restriction or transfer is one that is expected to last for the remainder of the employee's career. Where the restriction or transfer is determined to be permanent at the time it is ordered, you must count at least one day of

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the restriction and enter “Y” for termination or permanent transfer on Form FRA F 6180.55a in block 5r. If the employee whose work is restricted or who is transferred to another job is expected to return to his or her former job duties at a later date, the restriction or transfer is considered temporary rather than permanent.

Q27. If an employee loses his arm in a work-related accident and can never return to his job, how is the case reported? Is the day count capped at 180 days?

A27. If an employee never returns to work following a work-related injury, the employer must enter an estimate of the number of days the employee would have required to recuperate from the injury, up to 180 days.

Q28. How do I count weekends, holidays, or other days the employee would not have worked anyway?

A28. You must count the number of calendar days the employee was unable to work as a result of the injury or illness, regardless of whether or not the employee was scheduled to work on those day(s). Weekend days, holidays, vacation days or other days off are included in the total number of days reported if the employee would not have been able to work on those days because of a work-related injury or illness.

Q29. How do I report a case in which a worker is injured or becomes ill on a Friday and reports to work on a Monday, and was not scheduled to work on the weekend?

A29. You need to report this case only if you receive information from a physician or other licensed health care professional indicating that the employee should not have worked, or should have performed only restricted work, during the weekend. If so, you must report the injury or illness as a case with days away from work or restricted work, and enter the day counts, as appropriate.

Q30. How do I report a case in which a worker is injured or becomes ill on the day before scheduled time off such as a holiday, a planned vacation, or a temporary plant closing?

A30. You need to report a case of this type only if you receive information from a physician or other licensed health care professional indicating that the employee should not have worked, or should have performed only restricted work, during the scheduled time off. If so, you must report the injury or illness as a case with days away from work or restricted work, and enter the day counts, as appropriate.

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Q31. Is there a limit to the number of days away from work I must count?

A31. Yes. You may "cap" the total days away at 180 calendar days. You are not required to keep track of the number of calendar days away from work if the injury or illness resulted in more than 180 calendar days away from work and/or days of job transfer or restriction. In such a case, entering 180 in the total days away column will be considered adequate.

Q32. May I stop counting days if an employee who is away from work because of an injury or illness retires or leaves my company?

A32. Yes. If the employee leaves your company for some reason unrelated to the injury or illness, such as retirement, a plant closing, or to take another job, you may stop counting days away from work or days of restriction/job transfer. If the employee leaves your company because of the injury or illness, you must estimate the total number of days away or days of restriction/job transfer and enter the day count on Form FRA F 6180.55a.

Q33. If a case occurs in one year but results in days away during the next calendar year, do I report the case in both years?

A33. No. You only report the injury or illness once. You must enter the number of calendar days away for the injury or illness on Form FRA F 6180.55a for the year in which the injury or illness occurred. If the employee is still away from work because of the injury or illness at the time you are doing your initial closing out of the calendar year (by April 15), estimate the total number of calendar days you expect the employee to be away from work, and file a corrected copy of Form FRA F 6180.55a if the 180-day cap has not been reached.

Restricted Work

An employee's work is considered restricted when, as a result of a work related injury or illness, (A) a physician or other licensed health care professional recommends that the employee not perform one or more of the routine functions of his or her job (job functions that the employee regularly performs at least once per week), or not work the full workday that he or she would otherwise have been scheduled to work, or (B) the employer keeps the employee from performing one or more of the routine functions of his or her job, or from working the full workday that he or she would otherwise have been scheduled to work.

Q34. How do I report a work-related injury or illness that results in restricted work or job transfer?

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A34. When an injury or illness involves restriction of routine work functions as a described in (A) of the first paragraph of this section, the case is reportable as one resulting in restriction, and a count of restricted days must be maintained. If the injury or illness was not reportable under (A), but met any other reporting criteria, i.e., medical treatment, then any restricted days that result as described in (B) must be recorded, unless the count of these days is subject to other limitations, e.g., see Q & A 42. You must report the number of qualifying restricted or transferred days in the restricted workdays column, 5p.

Q35. How do I decide if the injury or illness resulted in restricted work?

A35. Restricted work occurs when, as the result of a work-related injury or illness:

- (1) You keep the employee from performing one or more of the routine functions of his or her job, or from working the full workday that he or she would otherwise have been scheduled to work; or
- (2) A physician or other licensed health care professional recommends that the employee not perform one or more of the routine functions of his or her job, or not work the full workday that he or she would otherwise have been scheduled to work.

An employee's routine functions are those work activities the employee regularly performs at least once per week.

Q36. An employee hurts his or her left arm and is told by the doctor not to use the left arm for one week. The employee is able to perform all of his or her routine job functions using only the right arm (though at a slower pace and the employee is never required to use both arms to perform his or her job functions). Would this be considered restricted work?

A36. No. If the employee is able to perform all of his or her routine job functions (activities the employee regularly performs at least once per week), the case does not involve restricted work. Loss of productivity is not considered restricted work for FRA's reporting purposes.

Q37. Do I have to report restricted work or job transfer if it applies only to the day on which the injury occurred or the illness began?

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- A37. No. You do not have to report restricted work or job transfers if you, or the physician or other licensed health care professional, imposes the restriction or transfer only for the day on which the injury occurred or the illness began.
- Q38. If you or a physician or other licensed health care professional recommends a work restriction, is the injury or illness automatically reportable as a "restricted work" case?**
- A38. No. A recommended work restriction is reportable only if it affects one or more of the employee's routine job functions. To determine whether this is the case, you must evaluate the restriction in light of the routine functions of the injured or ill employee's job. If the restriction from you or the physician or other licensed health care professional keeps the employee from performing one or more of his or her routine job functions, or from working the full workday the injured or ill employee would otherwise have worked, the employee's work has been restricted and you must report the case. For example, if the PLHCP restricts the employee from lifting heavy objects, but the employee's job never requires the lifting of heavy objects, then there has been no restriction imposed that involves the employee's routine job functions. (An employee's routine functions are those work activities the employee regularly performs at least once per week.)
- Q39. What do I do if a physician or other licensed health care professional recommends a job restriction meeting FRA's definition, i.e., limits routine job functions, but the employee does all of his or her routine job functions anyway?**
- A39. You must report the injury or illness on Form FRA F 6180.55a as a restricted work case. If a physician or other licensed health care professional recommends a job restriction, you should ensure that the employee complies with that restriction. (This language is purely advisory and does not impose an enforceable duty upon employers to ensure that employees comply with the recommended restriction.) If you receive recommendations from two or more physicians or other licensed health care professionals, you may make a decision as to which recommendation is the most authoritative, and report the case based upon that recommendation. In the absence of conflicting opinions from two or more health care professionals, the employer ordinarily must record the case if a health care professional recommends a work restriction involving the employee's routine job functions.
- Q40. One of our employees experienced minor musculoskeletal discomfort. The health care professional who examined the employee only provided first aid treatment. In addition, it was determined that the employee is fully able to perform all of her routine job functions. When the employee returned to work, we decided to limit the**

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duties of the employee for the purpose of preventing a more serious condition from developing. Is this a restricted work case?

A40. No. Since the minor musculoskeletal discomfort has not met any of the general criteria, e.g., medical treatment, the employer's decision to impose a work restriction following such minor musculoskeletal discomfort would not make this a restricted work case.

Q41. Will the determination of whether or not a case involves restriction always be made by the medical professional who examines an employee?

A41. No. Day(s) of restriction also occur if the employer restricts one or more of the employee's routine job functions in connection with an otherwise reportable case. For example, an employee sustains an injury and is given a prescription to take for a few days. The doctor tells the employee that he can return to work. The employee's routine job duties involves operating equipment. The employer does not allow the employee to operate the machinery he normally would because of concerns about the effects of the medication, and instead has the employee perform an inventory. This would be a restricted work case.

Q42. Do I have to report a day of restriction if an employee fails to follow a PLHCP's recommended work restriction?

A42. You should ensure that the employee complies with the recommended restriction. In the absence of conflicting opinions from two or more health care professionals, the employer must report one day of restriction if a professional recommends a work restriction involving the employee's routine job functions, and a day away from work has not already occurred.

Q43. How do I report a case where the worker works only for a partial work shift because of a work-related injury or illness?

A43. A partial day of work is reported as a day of job transfer or restriction for recordkeeping purposes, except for the day on which the injury occurred or the illness began.

Q44. If the injured or ill worker produces fewer goods or services than he or she would have produced prior to the injury or illness, but otherwise performs all of the routine functions of his or her work, is the case considered a restricted work case?

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A44. No. The case is considered restricted work only if the worker does not perform all of the routine functions of his or her job or does not work the full shift that he or she would otherwise have worked.

Q45. How do I handle vague restrictions from a physician or other licensed health care professional, such as that the employee engage only in "light duty" or "take it easy for a week"?

A45. If you are not clear about the physician or other licensed health care professional's recommendation, you may ask that person whether the employee can do all of his or her routine job functions and work all of his or her normally assigned work shift. If the answer to both of these questions is "Yes," then the case does not involve a work restriction and does not have to be reported as such. If the answer to one or both of these questions is "No," the case involves restricted work and must be reported as a restricted work case. If you are unable to obtain this additional information from the physician or other licensed health care professional who recommended the restriction, report the injury or illness as a case involving restricted work.

Q46. If an employee who routinely works 10 hours a day is restricted from working more than eight hours following a work-related injury, is the case reportable?

A46. Generally, the employer must report any case in which an employee's work is restricted because of a work-related injury. A work restriction occurs when the employer keeps the employee from performing one or more routine functions of the job, or from working the full workday the employee would otherwise have been scheduled to work. The case in question is reportable if the employee presumably would have worked 10 hours had he or she not been injured.

Q47. How do I decide if an injury or illness involved a transfer to another job?

A47. If you assign an injured or ill employee to a job other than his or her regular job for part of the day, the case involves transfer to another job.

Note: This does not include the day on which the injury or illness occurred.

Q48. Are transfers to another job reported in the same way as restricted work cases?

A48. Yes. Both job transfer and restricted work cases are reported on Form FRA F 6180.55a. For example, if you assign, or a physician or other licensed health care professional recommends that you assign, an injured or ill worker to his or her routine job duties for

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part of the day and to another job for the rest of the day, the injury or illness involves a job transfer. You must report an injury or illness that involves a job transfer by placing a “Y” (for yes) in the box for job transfer, 5r.

Q49. How do I count days of job transfer or restriction?

A49. You count days of job transfer or restriction in the same way you count days away from work. The only difference is that, if you permanently assign the injured or ill employee to a job that has been modified or permanently changed in a manner that eliminates the routine functions the employee was restricted from performing, you may stop the day count when the modification or change is made permanent. You must count at least one day of restricted work or job transfer for such cases.

Counting Days Away from Work and Days of Restriction.

FRA needs a count of the days an employee is away from work and/or restricted while at work because of an injury or occupational illness for classification of the severity of the injury/illness and for other purposes.

Day away from work means a day away from work as described in paragraph (1) of this definition or, if paragraph (1) does not apply, a day away from work solely for reporting purposes as described in paragraph (2) of this definition. For purposes of this definition, the count of days includes all calendar days, regardless of whether the employee would normally be scheduled to work on those days (e.g., weekend days, holidays, rest days, and vacation days), and begins on the first calendar day after the railroad employee has been examined by a physician or other licensed health care professional (PLHCP) and diagnosed with a work-related injury or illness. In particular, the term means—

- (1) Each calendar day that the employee, for reasons associated with his or her condition, does not report to work (or would have been unable to report had he or she been scheduled) if not reporting results from:
 - (a) A PLHCP’s written recommendation not to work, or
 - (b) A railroad’s instructions not to work, if the injury or illness is otherwise reportable; or
- (2) A minimum of one calendar day if a PLHCP, for reasons associated with the employee’s condition, recommends in writing that the employee take one or more days away from work, but the employee instead reports to work (or would have reported had he or she been scheduled). This paragraph is intended to take into account “covered data” cases and also those non-covered data cases that are independently reportable for some other reason (e.g., “medical treatment” or “day of restricted work activity”). The

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requirement to report “a minimum of one calendar day” is intended to give a railroad the discretion to report up to the total number of days recommended by the PLHCP.

Day of restricted work activity means a day of restricted work activity as described in paragraph (1) of this definition or, if paragraph (1) does not apply, a day of restricted work activity solely for reporting purposes as described in paragraph (2) of this definition; in both cases, the work restriction must affect one or more of the employee’s routine job functions (*i.e.*, those work activities regularly performed at least once per week) or prevent the employee from working the full workday that he or she would otherwise have worked. For purposes of this definition, the count of days includes all calendar days, regardless of whether the employee would normally be scheduled to work on those days (*e.g.*, weekend days, holidays, rest days, and vacation days), and begins on the first calendar day after the railroad employee has been examined by a physician or other licensed health care professional (PLHCP) and diagnosed with a work-related injury or illness. In particular, the term means—

- (1) Each calendar day that the employee, for reasons associated with his or her condition, works restricted duty (or would have worked restricted duty had he or she been scheduled) if the restriction results from:
 - (a) A PLHCP’s written recommendation to work restricted duty, or
 - (b) A railroad’s instructions to work restricted duty, if the injury or illness is otherwise reportable; or
- (2) A minimum of one calendar day if a PLHCP, for reasons associated with the employee’s condition, recommends in writing that the employee work restricted duty for one or more days, but the employee instead works unrestricted (or would have worked unrestricted had he or she been scheduled). This paragraph is intended to take into account “covered data” cases and also those non-covered data cases that are independently reportable for some other reason (*e.g.*, “medical treatment” or “day of restricted work activity”). The requirement to report “a minimum of one calendar day” is intended to give a railroad the discretion to report up to the total number of days recommended by the PLHCP.

Frequently, an employee's condition is such that it will result in lost/restricted days extending beyond the 30 day filing deadline. If this occurs, you must make a good faith estimate of the additional number of days that may accrue for the case and record this on the initial Form FRA F 6180.55a. A record of the actual count of these days must be maintained for the affected employee. After the employee returns to work at full capacity, or the actual days exceeds the original estimate, a corrected report must be submitted that shows the actual count of days if these are significantly different from the original estimate. A significant difference in this context is a variance of 10 percent or more between the number of days that has been reported and the count that you maintain in your records.

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When reporting the count of days, the following guidelines are to be followed:

1. The day of the accident/incident is not to be included in either count.
2. If it is necessary during a workday for an employee to have a follow-up examination, or receive additional medical care, etc., the time spent going to and coming from such an appointment is not considered restricted time. If the employee was not already on restricted duty prior to going to, or upon returning from such visits, a day of restriction need not be charged. If the employee does not report to work at all on such days, a day away from work has occurred.
3. If an employee lays off to see a physician for an initial evaluation after the day of an injury/illness, and provided that none of the reportability criteria is met, a day away from work is not to be charged, since there has not been a reportable condition.
4. Damage to an employee's personal effects, such as eye glasses, hearing aids, or dentures, is not by itself reportable. If a reportable injury did not also occur, the work days lost while awaiting repair or replacement of these articles are not to be charged.

First Aid And Medical Treatment

Q50. How do I report an injury or illness that involves medical treatment beyond first aid?

A50. If a work-related injury or illness results in medical treatment beyond first aid, you must report it on Form FRA F 6180.55a.

"Medical treatment" means the management and care of a patient to combat disease or a disorder. For the purposes of Part 225, medical treatment does not include:

- (1) Visits to a physician or other licensed health care professional solely for observation or counseling;

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- (2) The conduct of diagnostic procedures, such as x-rays and blood tests, including the administration of prescription medications used solely for diagnostic purposes (e.g., eye drops to dilate pupils); or
- (3) First aid treatment. The following is an all inclusive list of "First aid treatment." If the treatment given is not on this list, it is considered to be "Medical treatment." For the purposes of Part 225, "first aid" means the following:
 - (a) Using a nonprescription medication at nonprescription strength. **(For medications available in both prescription and non-prescription form, a recommendation by a physician or other licensed health care professional to use a non-prescription medication at prescription strength is considered medical treatment for recordkeeping purposes.)**
 - (b) Administering tetanus immunizations. **(Other immunizations, such as Hepatitis B vaccine or rabies vaccine, are considered medical treatment.)**
 - (c) Cleaning, flushing or soaking wounds on the surface of the skin.
 - (d) Using wound coverings such as bandages, Band-Aids™, gauze pads, etc.; or using butterfly bandages or Steri-Strips™. **(Other wound closing devices such as sutures, staples, or surgical glues are considered medical treatment.)**
 - (e) Using hot or cold therapy, e.g., heating pads or ice packs.
 - (f) Using any non-rigid means of support, such as elastic bandages, wraps, non-rigid back belts, etc. **(Devices with rigid stays or other systems designed to immobilize parts of the body are considered medical treatment for recordkeeping purposes.)**
 - (g) Using temporary immobilization devices while transporting an accident victim (e.g., splints, slings, neck collars, back boards, etc.).
 - (h) Drilling of a fingernail or toenail to relieve pressure, or draining fluid from a blister.
 - (i) Using eye patches.

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- (j) Removing foreign bodies from the eye using only irrigation or a cotton swab.
- (k) Removing splinters or foreign material from areas other than the eye by irrigation, tweezers, cotton swabs, or other simple means.
- (l) Using finger guards.
- (m) Using massages. **(Any other physical therapy, other than that identified as first aid, provided by a PLHCP or administered under the supervision of a PLHCP, and chiropractic treatment are considered medical treatment for recordkeeping purposes. Examples include acupuncture and electronic stimulation.)**
- (n) Drinking non-prescription fluids for relief of heat-related conditions.
- (o) Pre-hospital protocol. (During transport, the injured person may be restrained with a body board, neck brace, receive oxygen, or have an intravenous (IV) needle inserted. These pre-hospital protocol procedures are generally considered to be first aid as long as they are performed without symptoms being exhibited that would specifically require such treatment. See Q & A 59 and 60 for additional guidance.)

Note: A case involving first aid treatment must be further evaluated to determine if any of the other reporting criteria are met. For example, for some employees the application of an eye patch may restrict the employees' ability to perform their routine job functions. The case then becomes reportable on the basis of restriction of work or transfer to another job.

Q51. Is a physical therapist considered a "health care professional" under the definition of health care professional?

A51. Yes. A physical therapist's license allows him or her to independently perform, or be delegated the responsibility to perform, physical therapy.

Q52. Are any other procedures included in first aid?

A52. No. This is a complete list of all treatments considered first aid for Part 225 purposes.

Q53. Are surgical glues used to treat lacerations considered "first aid"?

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A53. No. Surgical glue is a wound closing device. All wound closing devices, except for butterfly bandages and Steri-Strips™, are by definition "medical treatment" because they are not included on the first aid list.

Q54. Is the use of a rigid finger guard considered first aid?

A54. Yes. The use of finger guards is always first aid.

Q55. If prescription medications are prescribed as "PRN" (per required need) is it reportable if the patient does not take or use the prescribed medicine?

A55. FRA has decided to retain its long-standing policy of requiring the reporting of cases in which a health care professional issues a prescription, regardless of whether that prescription is filled or actually taken by the employee. A patient's refusal of the medication does not alter the fact that, in the health care professional's judgment, the case warrants medical treatment. In addition, a rule that relied on whether a prescription is filled or taken, rather than on whether the medicine was prescribed, would create administrative difficulties for employers, because such a rule would mean that the employer would have to investigate whether a given prescription had been filled or whether the medicine had actually been used. Finally, many employers and employees may consider an employer's inquiry about the filling or taking of a prescription to be an invasion of the employee's privacy.

Q56. For medications such as Ibuprofen that are available in both prescription and non-prescription form, what is considered to be prescription strength? How is an employer to determine whether a non-prescription medication has been recommended at prescription strength?

A56. The prescription strength of such medications is determined by the measured quantity of the therapeutic agent to be taken at one time, i.e., a single dose. The single dosages that are considered prescription strength for four common over-the-counter drugs are:

- Ibuprofen (such as Advil™) - Greater than 467 mg
- Diphenhydramine (such as Benadryl™) - Greater than 50 mg
- Naproxen Sodium (such as Aleve™) - Greater than 220 mg
- Ketoprofen (such as Orudus KT™) - Greater than 25 mg

To determine the prescription-strength dosages for other drugs that are available in prescription and non-prescription formulations, the employer should contact the United States Food and Drug Administration, a local pharmacist, or a physician.

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Q57. “Removing splinters or foreign material from areas other than the eye by irrigation, tweezers, cotton swabs, or other simple means.” What are "other simple means" of removing splinters that are considered first aid?

A57. “Other simple means” of removing splinters, for purposes of the definition of “first aid”, means methods that are reasonably comparable to the listed methods. Using needles, pins, or small tools, e.g., nail clippers or manicure scissors, to extract splinters would generally be included.

Q58. Does the professional status of the person providing the treatment have any effect on what is considered first aid or medical treatment?

A58. No. FRA considers the treatments listed above to be first aid regardless of the professional status of the person providing the treatment. Even when these treatments are provided by a physician or other licensed health care professional, they are considered first aid for the purposes of Part 225. Similarly, FRA considers treatment beyond first aid to be medical treatment even when it is provided by someone other than a physician or other licensed health care professional.

Q59. If an employee is exposed to chlorine or some other substance at work and oxygen is administered as a precautionary measure, is the case reportable?

A59. It is often a standard procedure of emergency rescue teams to administer preventive treatment such as oxygen or apply an intravenous saline solution while a patient is being transported to a medical facility for further evaluation. Such preventive treatment does not make the incident reportable. If oxygen is administered as a purely precautionary measure to an employee who does not exhibit any signs or symptoms of an injury or illness, the case is not reportable. If the employee exposed to a substance exhibits symptoms of an injury or illness, the administration of oxygen makes the case reportable.

Q60. During transport to the hospital, the Emergency Medical Team may perform some precautionary procedures that could be considered beyond first aid. Is this reportable?

A60. Emergency transport is considered first aid. During transport, the injured person may be restrained with a body board, neck brace, receive oxygen, or have an intravenous (IV) needle inserted. These pre-hospital protocol procedures are generally considered to be first aid as long as they are performed without symptoms being exhibited that would specifically require such treatment. As in the previous question, if the person is not being

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treated for dehydration or some other condition that requires a saline IV, then simply receiving a saline IV as a precautionary measure is considered to be first aid.

The use of casts, splints, or orthopedic devices designed to immobilize an injured body part to permit it to rest and recover is considered medical treatment. The use of temporary immobilization devices while transporting an accident victim (e.g., splints, slings, neck collars, back boards) is precautionary in nature, and their use is to avoid exacerbation of a condition that may or may not exist. In these specific situations, a splint or other device is used as temporary first aid treatment, may be applied by non-licensed personnel using common materials at hand, and often does not reflect the severity of the injury. If following an examination it is determined that continued use of the immobilization device is warranted, then the case is reportable.

Q61. Item (n) on the first aid list is "drinking non-prescription fluids for relief of heat-related conditions." Does this include administering intravenous (IV) fluids?

A61. No. Intravenous administration of fluids to treat work-related heat-related conditions is medical treatment.

Q62. What if a physician or other licensed health care professional recommends medical treatment but the employee does not follow the recommendation?

A62. If a physician or other licensed health care professional recommends medical treatment, you should encourage the injured or ill employee to follow that recommendation. However, you must report the case even if the injured or ill employee does not follow the physician or other licensed health care professional's recommendation; the fact that there was a recommendation triggers the duty to report.

Q63. Is every work-related injury or illness case involving a loss of consciousness reportable?

A63. Yes. You must report a work-related injury or illness if the worker becomes unconscious, regardless of the length of time the employee remained unconscious.

Q64. What is a "significant" diagnosed injury or illness that is reportable under the general criteria even if it does not result in death, days away from work, restricted work or job transfer, medical treatment beyond first aid, or loss of consciousness?

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A64. Work-related cases involving cancer, chronic irreversible disease, a fractured or cracked bone, or a punctured eardrum must always be reported under the general criteria at the time of diagnosis by a physician or other licensed health care professional.

REPORTING REQUIREMENTS FOR SPECIFIC CASES.

FRA believes that most significant injuries and illnesses will result in one or more of the following:

1. Death;
2. Days away from work;
3. Restricted work or transfer to another job;
4. Medical treatment beyond first aid; or
5. Loss of consciousness.

However, there are some significant injuries, such as a punctured eardrum or a fractured toe or rib, for which neither medical treatment nor work restrictions may be recommended. In addition, there are some significant progressive diseases, such as byssinosis, silicosis, and some types of cancer, for which medical treatment or work restrictions may not be recommended at the time of diagnosis but are likely to be recommended as the disease progresses. FRA believes that cancer, chronic irreversible diseases, fractured or cracked bones, and punctured eardrums are generally considered significant injuries and illnesses, and must be reported at the initial diagnosis even if medical treatment or work restrictions are not recommended, or are postponed, in a particular case.

Reporting Criteria For Needlestick And Sharps injuries.

You must report all work-related needlestick injuries and cuts from sharp objects that are contaminated with another person's blood or other potentially infectious material (as defined by 29 CFR 1910.1030). "Sharps" means any contaminated object that can penetrate the skin including, but not limited to, needles, scalpels, broken glass, broken capillary tubes, and exposed ends of dental wires. You must report the case on FRA Form F 6180.55a as an injury.

Q65. What does "other potentially infectious material" mean?

A65. Other Potentially Infectious Material (OPIM): For purposes of employee injury illness reporting, this term has the same meaning as in OSHA's bloodborne pathogens standard at 29 CFR §1910.1030, as amended, which on the date of issuance of this Reporting Guide defines OPIM as:

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- (1) The following human body fluids: semen, vaginal secretions, cerebrospinal fluid, synovial fluid, pleural fluid, pericardial fluid, peritoneal fluid, amniotic fluid, saliva in dental procedures, any body fluid that is visibly contaminated with blood, and all body fluids in situations where it is difficult or impossible to differentiate between body fluids;
- (2) Any unfixed tissue or organ (other than intact skin) from a human (whether living or dead); and
- (3) HIV-containing cell or tissue cultures, organ cultures, and HIV- or HBV-containing culture medium or other solutions; and blood, organ, or other tissues from experimental animals infected with HIV or HBV.

Q66. Does this mean that I must report all cuts, lacerations, punctures, and scratches?

A66. No. You need to report cuts, lacerations, punctures, and scratches only if they are work-related and involve contamination with another person's blood or other potentially infectious material. If the cut, laceration, or scratch involves a clean object, or a contaminant other than blood or other potentially infectious material, you need to report the case only if it meets one or more of the general reporting criteria.

Q67. If I report an injury and the employee is later diagnosed with an infectious bloodborne disease, do I need to update Form FRA F 6180.55a report?

A67. Yes. You must update the classification of the case on a corrected Form FRA F 6180.55a if the case results in death, days away from work, restricted work, or job transfer. You must also update the description to identify the infectious disease and change the classification of the case from an injury to an illness.

Q68. What if one of my employees is splashed or exposed to blood or other potentially infectious material without being cut or scratched? Do I need to report this incident?

A68. You need to report such an incident on Form FRA F 6180.55a as an illness if:

- (1) It results in the diagnosis of a bloodborne illness, such as HIV, hepatitis B, or hepatitis C; or
- (2) It meets one or more of the general reporting criteria.

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Reporting Criteria For Cases Involving Medical Removal

If an employee is medically removed under the medical surveillance requirements of an OSHA standard, you must report the case.

You must report each medical removal case as either a case involving days away from work or a case involving restricted work activity, depending on how you decide to comply with the medical removal requirement. If the medical removal is the result of a chemical exposure, you must report the case as one involving "poisoning."

Q69. Do all of OSHA's standards have medical removal provisions?

A69. No. Some OSHA standards, such as the standards covering bloodborne pathogens and noise, do not have medical removal provisions. Many OSHA standards that cover specific chemical substances have medical removal provisions. These standards include, but are not limited to, lead, cadmium, methylene chloride, formaldehyde, and benzene.

Q70. Do I have to report a case where I voluntarily remove the employee from exposure before the medical removal criteria in an OSHA standard are met?

A70. No. If the case involves voluntary medical removal before the medical removal levels required by an OSHA standard are reached, you do not need to report the case.

Reporting Criteria for Cases Involving Occupational Hearing Loss

Basic requirement. If an employee's hearing test (audiogram) reveals that the employee has experienced a work-related Standard Threshold Shift (STS) in hearing in one or both ears, and the employee's total hearing level is 25 decibels (dB) or more above audiometric zero (averaged at 2000, 3000, and 4000 Hz) in the same ear(s) as the STS, you must report the case on form FRA F 6180.55a.

Q71. How do I determine whether an STS has occurred?

A71. A Standard Threshold Shift, or STS, is defined in the occupational noise exposure standard at 29 CFR 1910.95(g)(10)(i) as a change in hearing threshold, relative to the baseline audiogram for that employee, of an average of 10 decibels (dB) or more at 2000, 3000, and 4000 hertz (Hz) in one or both ears.

STS. If the employee has never previously experienced a reportable hearing loss, you must compare the employee's current audiogram with that employee's baseline

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audiogram. If the employee has previously experienced a reportable hearing loss, you must compare the employee's current audiogram with the employee's revised baseline audiogram (the audiogram reflecting the employee's previous reportable hearing loss case).

25-dB loss. Audiometric test results reflect the employee's overall hearing ability in comparison to audiometric zero. Therefore, using the employee's current audiogram, you must use the average hearing level at 2000, 3000, and 4000 Hz to determine whether or not the employee's total hearing level is 25 dB or more.

Q72. May I adjust the audiogram results to reflect the effects of aging on hearing?

A72. Yes. When you are determining whether an STS has occurred, you may age adjust the employee's current audiogram results by using Tables F-1 or F-2, as appropriate, in Appendix F of 29 CFR 1910.95. You may not use an age adjustment when determining whether the employee's total hearing level is 25 dB or more above audiometric zero.

Q73. Do I have to report the hearing loss if I am going to retest the employee's hearing?

A73. No. If you retest the employee's hearing within 30 days of the first test, and the retest does not confirm the reportable STS, you are not required to record the hearing loss case on the log. If the retest confirms the reportable STS, you must record the hearing loss illness on your log within seven (7) calendar days of the retest and include on your monthly report. If subsequent audiometric testing performed under the testing requirements of the § 1910.95 noise standard indicates that an STS is not persistent, you may delete the case from form FRA F 6180.55a.

Q74. Are there any special rules for determining whether a hearing loss case is work-related?

A74. No. It is possible for a worker who is exposed at or above the 8-hour 85-dBA action levels of the noise standard to experience a non-work-related hearing loss, and it is also possible for a worker to experience a work-related hearing loss and not be exposed above those levels. Therefore, there are no special rules for determining work- relationship. You should follow the overall approach to determining work-relatedness--that a case is work-related if one or more events or exposures in the work environment either caused or contributed to the hearing loss, or significantly aggravated a pre-existing hearing loss.

Q75. If a physician or other licensed health care professional determines the hearing loss is not work-related, do I still need to report the case?

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- A75. If a physician or other licensed health care professional determines that the hearing loss is not work-related or has not been significantly aggravated by occupational noise exposure, you are not required to consider the case work-related or to report the case on Form FRA F 6180.55a.

Reporting Criteria for Work-Related Tuberculosis Cases.

If any of your employees has been occupationally exposed to anyone with a known case of active tuberculosis (TB), and that employee subsequently develops a tuberculosis infection, as evidenced by a positive skin test or diagnosis by a physician or other licensed health care professional, you must report the case on Form FRA F 6180.55a.

Q76. Do I have to report a positive TB skin test result for an employee that was obtained at a pre-employment physical?

- A76. No. You do not have to report it because the employee was not occupationally exposed to a known case of active tuberculosis in your workplace.

Reporting Criteria For Cases Involving Work-Related Musculoskeletal Disorders

If any of your employees experiences a reportable work-related musculoskeletal disorder (MSD), you must report it on Form FRA F 6180.55a.

Q77. What is a "musculoskeletal disorder" or MSD?

- A77. Musculoskeletal disorders (MSDs) are disorders of the muscles, nerves, tendons, ligaments, joints, cartilage and spinal discs. MSDs do not include disorders caused by slips, trips, falls, motor vehicle accidents, or other similar accidents. Examples of MSDs include: Carpal tunnel syndrome, Rotator cuff syndrome, De Quervain's disease, Trigger finger, Tarsal tunnel syndrome, Sciatica, Epicondylitis, Tendinitis, Raynaud's phenomenon, Carpet layers knee, Herniated spinal disc, and Low back pain.

Q78. How do I decide which musculoskeletal disorders to report?

- A78. There are no special criteria for determining which musculoskeletal disorders to report. An MSD case is reported using the same process you would use for any other injury or illness. If a musculoskeletal disorder is work-related, and is a new case, and meets one or more of the general reporting criteria, you must report the musculoskeletal disorder.

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- Q79. Are there any special rules regarding injuries and illnesses to soft tissues?
- A79. No. Work-related injuries and illnesses involving muscles, nerves, tendons, ligaments, joints, cartilage and spinal discs are reportable under the same requirements applicable to any other type of injury or illness. There are no special rules for reporting these cases: if the case is work-related and involves medical treatment, days away, job transfer or restricted work, it is reportable.
- Q80. If a work-related MSD case involves only subjective symptoms like pain or tingling, do I have to report it as a musculoskeletal disorder?**
- A80. The symptoms of an MSD are treated the same as symptoms for any other injury or illness. If an employee has pain, tingling, burning, numbness or any other subjective symptom of an MSD, and the symptoms are work-related, and the case is a new case that meets the reporting criteria, you must report the case on Form FRA F 6180.55a as a musculoskeletal disorder.

Miscellaneous Questions

- Q81. Other industries report worker injuries and occupational illnesses to the Occupational Safety and Health Administration (OSHA). Are the criteria used to determine which cases railroads report to FRA different from those that OSHA has in place for other industries?**
- A81. FRA's criteria for reporting railroad occupational fatalities, injuries, and illnesses are almost identical to OSHA's. Beginning in 1975, FRA adopted the criteria that OSHA uses for all other industries. Differences will be addressed in a Memorandum of Understanding between FRA and OSHA.

Railroads have been required to make accident reports to the Federal Government since at least 1910 under a variety of guidelines. When the Occupational Safety and Health Act was enacted in 1970 (see 29 U.S.C. § 651 and 29 CFR Part 1904), FRA made a commitment to the Department of Labor (DOL) to revise our reporting definitions so that they would be comparable to those used by other industries. There were several reasons for this. One was to avoid imposing two separate reporting requirements upon one industry, one for FRA and one for OSHA. Section 8(c)(2) of the OSH Act requires the Secretary of Labor to issue regulations requiring employers to "maintain accurate records of, and to make periodic reports on, work-related deaths, injuries and illnesses other than minor injuries requiring only first aid treatment and which do not involve medical treatment, loss of consciousness, restriction of work or motion, or transfer to another job."

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A second reason is to maintain a national database of all workplace injuries and illnesses that is consistent and uniform across all industries so that valid comparisons of the relative safety of one industry to another may be made. After the completion of the reporting year, the files containing all reported cases are provided to DOL for inclusion in their database.

Because of FRA's agreement with DOL to collect workplace injuries and illness based on their definitions, railroads now report cases that were previously not covered by FRA's reporting requirements. These new cases are being classified as "covered data" cases with the following definition:

Covered data means information that must be reported to FRA under this part concerning a railroad employee injury or illness case that is reportable exclusively because a physician or other licensed health care professional—

(1) Recommends in writing that—

(a) The employee take one or more days away from work when the employee instead reports to work (or would have reported had he or she been scheduled) and takes no days away from work in connection with the injury or illness,

(b) The employee work restricted duty for one or more days when the employee instead works unrestricted (or would have worked unrestricted had he or she been scheduled) and takes no days of restricted work activity in connection with the injury or illness, or

(c) The employee take over-the-counter medication at a dosage equal to or greater than the minimum prescription strength, whether or not the employee actually takes the medication; or

(2) Makes a one-time topical application of a prescription-strength medication to the employee's injury.

The addition of this new category of cases will make comparison of data collected under the new requirements inconsistent with data collected under the previous guidelines, and may give the impression that safety has declined. Because of the need to track trends over extended periods of time, FRA has required that railroads identify the "covered data" cases using special codes (see instructions for completing block 5r.) Although "covered data" cases will be retained in the files, and will be accessible on our web site, these cases will not be included in the casualty counts found in our regular publications, e.g., Annual Report of Railroad Safety Statistics.

Q82. What should I do if an employee death occurs in the workplace and it is not immediately known if it is work-related?

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Q82. Under § 225.9, you must make an immediate report by toll-free telephone (800-424-0201 or 800-424-8802) whenever an employee dies while in the work environment. You do not need to prepare a Form FRA F 6180.55a if it is later established that the death is not work-related.

Q83. Does an employee report of an injury or illness establish the existence of the injury or illness for reporting purposes?

A83. No. In determining whether a case is reportable, the employer must first decide whether an injury or illness, as defined earlier, has occurred. If the employer is uncertain about whether an injury or illness has occurred, the employer may refer the employee to a physician or other health care professional for evaluation and may consider the health care professional's opinion in determining whether an injury or illness exists. [Note: If a physician or other licensed health care professional diagnoses a significant injury or illness within the meaning of this section, and the employer determines that the case is work-related, the case must be reported.]

Q84. Must a railroad report a case if an employee alleges that an injury or illness has occurred but refuses to release any medical records related to the alleged injury or illness?

A84. Medical verification is not required for reportability. However, a railroad has the responsibility to make good-faith reporting determinations, and these decisions must be based upon whatever documentation is available. If a railroad questions the validity of an employee's alleged injury or illness and there is no substantive or medical documentation to support the allegation, the railroad need not report the case. However, if at a later date the appropriate information is received that supports the employee's allegation of injury or illness, then a late report must be made.

Q85. If a maintenance employee is cleaning the parking lot or an access road and is injured as a result, is the case work-related?

A85. Yes. The case is work-related because the employee is injured as a result of conducting company business in the work environment. If the injury meets one or more the general reporting criteria (death, days away, etc.), the case must be reported.

Q86. Are cases of workplace violence considered work-related under the new reporting criteria?

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- A86. The new criteria contain no general exception, for purposes of determining work-relatedness, for cases involving acts of violence in the work environment.
- Q87. If an employee's pre-existing medical condition causes an incident which results in a subsequent injury, is the case work-related? For example, if an employee suffers an epileptic seizure, falls on the track, and breaks his arm, is the case reportable?**
- A87. Neither the seizure nor the broken arm is reportable. Injuries and illnesses that result solely from non-work-related events or exposures are not reportable. Epileptic seizures are a symptom of a disease of non-occupational origin, and the fact that they occur at work does not make them work-related. Because epileptic seizures are not work-related, injuries resulting solely from the seizures, such as the broken arm in the case in question, are not reportable.
- Q88. Does the size or degree of a burn determine reportability?**
- A88. No. The size or degree of a work-related burn does not determine reportability. If a work-related first, second, or third degree burn results in a day absent from work, work restriction, or medical treatment, etc., the case must be reported.
- Q89. If an employee dies during surgery made necessary by a work-related injury or illness, is the case reportable? What if the surgery occurs weeks or months after the date of the injury or illness?**
- A89. If an employee dies as a result of surgery or other complications following a work-related injury or illness, the case is reportable. If the underlying injury or illness was reported prior to the employee's death, the employer must submit a corrected Form FRA F 6180.55a to change the injury classification from nonfatal to fatal.
- Q90. Our railroad has a program that allows employees who have been involved in an accident to take a personal day(s) off if they indicate they were "shaken up," i.e., they expressed some need to have time off to recover from being involved in an accident. These employees often do not have physical injuries, but may have experienced emotional trauma. How should we handle these cases?**
- A90. The situation would not generally be reportable, especially if there are no injuries to be evaluated for reportability. You are not required to seek out information on mental illnesses from your employees. Mental illness cases are only to be considered when an employee voluntarily presents you with an opinion from the health care professional that the employee has a mental illness and that it is work-related. You are to record only those

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mental illnesses verified by a health care professional with appropriate training and experience in the treatment of mental illness, such as a psychiatrist, psychologist, or psychiatric nurse practitioner. In the event that the employer does not believe the reported mental illness is work-related, the employer may refer the case to a physician or other licensed health care professional for a second opinion.

Q91. How long should we monitor an injury of an employee on duty? What about situations where the initial determination following an incident is that injury is not reportable, e.g., first aid only, but the employee notifies you after an extensive amount of time has elapsed that later medical treatment received is connected to the initial incident? What about illnesses, where it is uncertain when the initial exposure took place?

A91. The carrier is required to monitor a reportable employee injury for at least 180 calendar days following the date of the event or exposure causing the injury. This will ensure that the most serious final result for the case is reported, e.g., a nonfatal condition is upgraded to a fatality if the employee dies subsequent to the filing of the initial report. The 180 day time frame is also necessary to determine if the cap for the sum of days absent and/or restricted has been met.

It has been our experience that a reportable injury will meet one or more of the reporting criteria, e.g., medical treatment, within 180 days following the employer's notification that a workplace incident has occurred. If an employee alleges that additional treatment was received following the conclusion of this 180-day period for a case that was not reportable, you are required to review any documentation you receive and evaluate if the later consequences are the result of a new incident. If it is determined that the later consequences are a result of new incident, then a report must be made.

Because illnesses may go undetected for extensive periods of time following a work place exposure, the 180 day tracking for these begins with the most recent diagnosis, or recognition that the condition exists.

The 180 monitoring period does not affect the requirement to submit a late report if it is determined that a qualifying condition was not reported to FRA.

Q92. Does going to a hospital for observation make a work-related injury reportable?

A92. Visits to a physician or other licensed health care professional solely for observation or counseling, and the conduct of diagnostic procedures, such as x-rays and blood tests,

FORM FRA 6180.55a - Continued

including the administration of prescription medications used solely for diagnostic purposes (e.g., eye drops to dilate pupils) is first aid, any by itself not reportable.

- Q93.** Is an injury that results in a chipped or broken tooth reportable?
- A93. FRA believes that fractured or cracked bones and broken teeth are generally considered significant injuries and must be reported at the initial diagnosis even if medical treatment or work restrictions are not recommended, or are postponed, in a particular case. (See section on reporting requirements for specific cases.)
- Q94.** If an employee has a minor scratch but the physician gives him a tetanus shot anyway, does this constitute medical treatment and make the case reportable?
- A94. A tetanus shot is first aid treatment and not reportable. If the employee suffered some reaction or complication from the injection, requiring medical treatment or resulting in other reporting criteria being met, then the case would be reportable. **(Other immunizations, such as Hepatitis B vaccine or rabies vaccine, are considered medical treatment.)**
- Q95.** Our employees are frequently tested for drug or alcohol use after an accident/incident. Company policy prohibits an employee from returning to work until the results of the tests are known and it is established that there is no risk factor due to impairment. Must we make a report because of the days the employee was held out of service while awaiting test results?
- A95. These cases are to be evaluated solely on the basis of the condition and its consequences. If the condition would have caused the employee to be absent from work had there been no testing, then a report must be made. This rule also applies when your company conducts random testing for which a similar policy is in effect. If an employee is randomly tested and is required to remain off duty until the results come back, an accountable condition has not occurred and a report is not necessary.
- Q96.** I was hurt on the job, and my supervisor accompanied me to the clinic. My supervisor gave the nurse a card to give to the doctor that would be examining me. Our railroad utilizes a card that describes various treatments or therapies that require a report be made to the FRA. The card appears to encourage or suggest that the doctor consider treatment of a nonreportable nature. I feel this may unduly influence the medical facility and could affect the treatment I would have otherwise received had the card not been presented. Since my employer pays for the medical expenses, I am concerned that employees will be taken to treatment centers where this practice exists. The intent seems more to reduce

FORM FRA 6180.55a - Continued

reportable cases, rather than ensuring that the health care professional provides treatment that he or she believes is appropriate for the injury. Does FRA authorize the use of such cards or other communications of this nature to health care providers?

- A96. No. FRA is extremely concerned that injured workers receive proper medical treatment. We do not condone the use of any form or medical card that could adversely influence treatment by encouraging the use of nonreportable treatment.

Such practices are not only discouraged by FRA, but also may in certain circumstances constitute a violation of Part 225 subject to a civil penalty against the carrier or supervisor who engages in such practices.

C. REPORTING OF PERSONS OTHER THAN RAILROAD EMPLOYEES

A report must be made of each fatality, and each injury requiring medical treatment beyond first aid, that may have some association with the operation of the railroad. There is a general presumption that any death or injury that occurs on a railroad's premises may have occurred in connection with the operation of the railroad. Other cases become reportable if they are connected to an event or exposure that occurred on the railroad's premises, but affected persons not on the premises, e.g., a plume from a hazardous material release.

A description of first aid treatments can be found in the earlier section describing the requirements for reporting railroad employee reporting.

- Q97. When you refer to “having some association with the operation of the railroad,” would this include a motor vehicle incident between one of our employees and another person, e.g., a motorist lost control, crossed median strip, and struck truck being driven by railroad employee?**

- A97. As a general rule, only those deaths and injuries that occur on the railroad premises must be reported, since there is a clear association with the operation of the railroad. However, there are exceptions. An example would be a hazardous material release from a railcar in the possession of the railroad where the fumes drifted to an adjacent community and caused death or other reportable conditions. Since these persons were harmed as a direct result of an event that occurred on the railroad's property, then you are responsible for reporting any casualties associated with this event. In the example of the motor vehicle incident occurring off the railroad's property, you would not need to make a report for any person other than an employee of the railroad. Passengers from trains that had been

FORM FRA 6180.55a - Continued

involved in an incident and are being transferred by bus or other means who are harmed while off the premises must also be reported.

Q98. Is there any difference in reporting requirements for the following cases?

A trespasser was walking over a trestle when a train suddenly came in sight. He jumped from the trestle to avoid being struck and broke a leg.

A child was trespassing on a railroad bridge and fell to his death. There was no evidence that a train or railroad employees were present at the time of the accident.

A98. No. Both situations are reportable since both the trestle and train are directly associated with the operation of the railroad.

Q99. A body was found along our right of way. It was determined that death was a result of being struck by a train; however, several railroads operate over this segment of track. Who is responsible for reporting?

A99. If known, the railroad operating the consist involved must report. If that railroad cannot be determined, then the railroad responsible for the track must report.

Q100. A car was driving on a public overpass when the driver, who was not a railroad employee, lost control and the vehicle fell to our property below. The driver was seriously injured. Do we need to report this incident?

A100 No. Unless there was some involvement of the railroad that was a discernible cause of the incident, then the injury to the driver would not be reportable.

Q101 Could you provide some examples of situations involving reportable injuries suffered by a "Worker on Duty--Volunteer", a "Volunteer--Other", a "Worker on Duty--Contractor", and a "Contractor--Other" in the course of different types of work performed?

A101 Example 1. A volunteer operates a locomotive for an excursion railroad. Operation of a locomotive clearly falls within the realm of "operation of on-track equipment". If the volunteer sustains a reportable injury (i.e., an injury resulting in death or requiring medical treatment) during operation of the locomotive, then the incident is reported as an injury to a "Worker on Duty--Volunteer" (Class H), with the applicable job code series.

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Example 2. A volunteer sits in a booth selling tickets for train rides on a tourist railroad that operates on the general system and also clears vegetation adjacent to its roadbed. Under 49 CFR § 213.37, vegetation is to be cleared from the roadbed for safe rail operations; vegetation clearing is thus an aspect of maintaining roadbed under § 209.303(b)(1) and, therefore, considered a "safety-sensitive function." Any injury sustained by the volunteer during the vegetation clearing is classified as one to a "Worker on Duty--Volunteer" (Class H). If any reportable injury is sustained by the volunteer during the process of selling tickets, then such injury is classified as one to a "Volunteer--Other" (Class I). If, however, the volunteer sells tickets and then clears vegetation during the same tour, then all injuries are considered as those attributable to a "Worker on Duty--Volunteer" (Class H). Therefore, when a volunteer is engaged in "mixed service", the railroad must report all reportable injuries for that volunteer as those to a "Worker on Duty--Volunteer" (Class H) on Form FRA F 6180.55a. Conversely, when a contractor employee is engaged in such "mixed service" on railroad property, the railroad must report all reportable injuries for that contractor employee as those to a "Worker on Duty--Contractor" (Class F) on Form FRA F 6180.55a, with the applicable job code series of the service performed. Also note that if the volunteer in this example is working for a tourist railroad that operates exclusively off the general system, and if the incident that causes his injury is classified as a non-train incident that doesn't involve operational on-track equipment, then Part 225 does not require the tourist railroad to report the injury at all. See § 225.3.

Example 3. The employee of a contractor performs payroll as well as time-and-attendance functions for a railroad on railroad property. Such functions are not considered "safety-sensitive" because they are not related to the continued safety of the railroad and do not fall under the definition of any "safety-sensitive function" as defined in § 209.303. Thus, an injury sustained by this contractor performing those tasks is reported as that to a "Contractor--Other" (Class G).

Example 4. A contractor employee inspects and replaces roller bearings for the reporting railroad on the railroad's property. Injuries sustained by this contractor are reported as those to a "Worker on Duty--Contractor" (Class F) on Form FRA F 6180.55a. Under 49 CFR § 215.113, cars with defective roller bearings should not be in service, thus any injury associated with replacement of roller bearings is a "safety-sensitive function" qualifying as an injury attributable to a "Worker on Duty--Contractor" (Class F). In contrast, if this same injury was sustained by a contractor employee at the contractor's facility off railroad property, then such injury would not be reported to FRA.

D. GENERAL INTERPRETATIONS

FRA Guide for Preparing Accident/Incident Reports

FORM FRA 6180.55a - Continued

Casualties to persons on trains or other on-track equipment, except for employees of another railroad, are to be reported by the railroad responsible for the consist at the time of the accident/incident.

Casualties to persons not on trains or other on-track equipment are to be reported by the railroad whose consist or operation was most directly involved, e.g., casualties away from railroad property resulting from a release of hazardous material.

Any person found unconscious or dead on or adjacent to a railroad's premises or right-of-way is reportable by the railroad responsible for track maintenance if it is determined that the casualty resulted from the operation of a railroad and the identity of the railroad causing the accident/incident cannot be established in areas of joint operation.

When a person dies as a result of an accident/incident after the month in which the case was initially reported, the case will be reclassified as a fatality. Any death occurring under these circumstances is to be identified by correcting the original casualty record to change the casualty from nonfatal to fatal and the corrected report must be submitted with changes circled in red.

A separate line entry must be made for each casualty.

Each accident/incident must have an identifying number that is unique for the report month. All forms used by a railroad to report a single event must use the same accident/incident number. For example, if a highway-rail crossing accident injures more than one person, a separate line entry is used on Form FRA F 6180.55a to report each injury. A Form FRA F 6180.57 must also be completed. The same accident/incident identification number must be the same for all records.

D. INSTRUCTIONS FOR COMPLETING FORM FRA F 6180.55A (Continuation)

Item Instruction

1. Name of Reporting Railroad
Enter the full name of the reporting railroad.
2. Alphabetic Code
Enter the reporting railroad's code found in Appendix A.
3. Report Month
Enter the month covered by this report.

FORM FRA 6180.55a - Continued

4. Report Year
Enter the year covered by this report.
- 5a. Accident/Injury Number
Enter the identifying number assigned to the accident/incident causing the casualty. If multiple casualties resulted from a single event, each casualty must have exactly the same report number. If the casualty was a result of a rail equipment accident/incident or a highway-rail crossing impact, the entry must be the same as that shown on the other forms completed for the accident/incident.
- 5b. Day
Enter the day of the accident/incident. Use number day of the month, e.g., 01-31.
- 5c. Time of Day
Enter the time of the accident/incident including "am" or "pm". Do not use military time.
- 5d. County
Enter the County/Parish in which the accident/incident occurred.
- 5e. State
Identify the State in which the casualty occurred using the appropriate code found in Appendix B.
- 5f. Type Person/Job Code
Identify the type of person whose injury or illness is being reported by using the following codes (refer to classification of persons found in the definitions in Chapter 2): A - Worker on Duty--Employee; B - Employee not on Duty; C -Passengers on Trains; D - Nontrespassers--On Railroad Property; E - Trespassers; F - Worker on Duty--Contractor; G - Contractor--Other; H - Worker on Duty--Volunteer; I - Volunteer--Other; and J - Nontrespassers--Off Railroad Property.
- If the report is for a "Worker On Duty", i.e., type person/job codes "A", "F", or "H", or the person is an "Employee not on duty", type person code "B", you must enter the code from Appendix D that best identifies the individual's occupation/responsibilities.
- 5g. Age
Enter the age of person whose injury or illness is being reported.
- 5h. Drug/Alcohol Test

FORM FRA 6180.55a - Continued

If any employee was tested for alcohol use in connection with this accident, enter the number of positive tests in the box titled "A". If any employee was tested for drug use in connection with this accident, enter the number of positive tests in the box titled "D". A test is a physical or chemical reaction by which a substance may be detected or its properties ascertained, and includes both Federal and employer-authorized tests to determine alcohol or drug usage. A test performed under Federal (FRA) requirements is considered positive when the test result has been verified as positive by a Medical Review Officer and reported to the employer. A test performed under other authorization is considered positive when the employer will defend the results if legally challenged. (Refer to 49 CFR Part 219, Control of Alcohol and Drug Use, for additional information.)

If there were positive tests, but impairment is not reported as a cause of the accident, then provide a brief explanation in the narrative of the basis for this determination. The narrative is to be used to provide additional clarification, particularly in instances where there are positive test results, but impairment was not determined to have been causal.

You are required to identify all accidents/incidents where testing was performed. The recording of this data on a record does not mean that the injured person was the individual tested. This situation could occur when the employee(s) tested for the use of these substances was not harmed in the accident/incident. Under these circumstances, since there was no injury to the tested employee, there would be no entry for this employee on Form FRA F 6180.55a. Therefore, it is critical to record the information concerning tests on all reports filed in connection with the accident/incident.

This situation could arise, for example, when a non-employee, e.g., a passenger, sustains the only reportable injury in an incident that resulted in testing of employee(s). In order to identify the connection between the injury being reported and possible alcohol or drug use by an employee, it is mandatory that the information concerning the alcohol or drug use be recorded on the reports made in connection with the accident/incident.

5i. Injury/Illness Code

Select from the codes in Appendix E the combination that best describes the condition being reported.

5j. Physical Act

From Appendix F, select the code which best describes what the injured person was doing just before the injury occurred. If the code you have selected does not sufficiently describe the "Physical Act", provide further description in the Narrative.

FORM FRA 6180.55a - Continued

5k. Location The location is comprised of three sets of codes as described below.

PART I: Was the person on the right-of-way, off the right-of-way, or on on-track equipment?

Identify the appropriate category describing where the casualty occurred, and enter the appropriate code listed in Appendix F. When using "Other", a narrative must be provided in item 5s.

PART II: If the casualty involved on-track equipment, select the code that best describes the type of on-track equipment involved, and enter appropriate code listed in Appendix F. When using "Other", a narrative must be provided in item 5s.

PART III: Select the appropriate code that best identifies the location of the casualty being reported listed in Appendix F. When using "Other" a narrative must be provided in item 5s.

5l. Event

From Appendix F, select the code which best describes the event that caused the injury. If the code selected does not sufficiently describe the "Event", provide further description in the Narrative.

5m. Result

From Appendix F, select the code which best describes additional information about the tools, machinery, appliances, structures, surfaces, etc., associated with the injury. You should try to use codes that provide additional information. For example, if the event code identified using "hand tools", the entry in this block could be used to identify that the tool was a "gripping" type tool. If the code selected does not sufficiently describe the "Result", provide further description in the Narrative.

5n. Cause

From Appendix F, select the code which best describes what caused the event entered in item 5l. If the code you have selected does not sufficiently describe the "Cause", provide further description in the Narrative.

5o. Number of Days Away From Work **See questions and answers 20-33 and section on counting days absent from work and days of restriction.**

FORM FRA 6180.55a - Continued

If the person reported is an employee of the reporting railroad, enter the number of days subsequent to the day of the injury or the diagnosis of the illness that a railroad employee does not report to work, or was recommended by a physician or other licensed health care professional not to return to work, as applicable, for reasons associated with the employee's condition even if the employee was not scheduled to work on that day. If there were no such days, or a fatality is being reported, enter "0". If the person is not a railroad employee, enter "N/A". See

5p. Number of Days Restricted **See questions and answers 34-49 and section on counting days absent from work and days of restriction.**

If the person being reported is an employee of the reporting railroad, enter the number of days that an employee is restricted in his or her routine job functions following the day of the injury or the diagnosis of the illness, or was recommended by a physician or other licensed health care professional not to return to full time work, as applicable. An employee's routine job functions are those work activities that the employee regularly performs at least once per week. If there were no such days, or a fatality is being reported, enter "0". If the person is not a railroad employee, enter "N/A".

5q. Exposure to Hazmat

Enter "Y" (for "yes") if an exposure to hazardous material caused, or was a contributing factor to, the condition being reported for this individual.

5r. Special Case Codes (Classification of Certain Injuries and Illnesses for FRA and OSHA Purposes)

FRA's agreement with OSHA to conform with the new criteria (see Q & A 81) that went into effect in calendar year 2002 means that some nonfatal cases that were not previously reportable to FRA will now be reportable. Prior to calendar year 2003, only those nonfatal conditions that resulted in **actual** days away from work, **actual** work restriction, medical treatment beyond first aid, or loss of consciousness were to be reported. These cases that are now reportable, have been defined as "covered data" cases (see question and answer 81.)

Because of the need to track trends that determine if the safety record for railroad employees is changing, it is necessary to have a means to identify these previously unreported cases so that the data collected under the new requirements can be accurately compared with earlier years.

If the **only** reason that a nonfatal condition is being reported is because 1) a physician or other licensed health care professional (PLHCP) prescribed time off, but no days were

FORM FRA 6180.55a - Continued

actually taken, 2) a PLHCP prescribed restriction of routine work duties, but restriction of routine work did not occur, or 3) the PLHCP prescribed OTC medication to be taken at prescription strength, then one of the following codes is to be entered in item 5r on Form FRA F 6180.55a.

A - PLHCP prescribed time off, but no days were actually taken

R - PLHCP prescribed restriction of routine work duties, but restriction of routine work did not occur

P - PLHCP prescribed over the counter medication to be taken at prescription strength, or there was a **single external** application of prescription medication, e.g., antibiotic ointments or eye drops. Conditions that result in a single dose of medication that is injected or ingested are not “covered data” cases.

When deciding which code to use when a case involves more than one of the situations above, **A** take precedence over **R** and **P**, and **R** takes precedence over **P**. For example, if the PLHCP recommended days absent from work and restriction of work after returning to the job, then code **A** is to be used.

If code **A** or **R** is used, you must record, at a minimum, a count of one (1) in either block 5o or 5p that are used for the counting of days.

Termination or Permanent Transfer

If an employee is terminated or permanently transferred because of physical, medical, or other reasons associated with the reported injury or illness, then enter **Y** in block 5r.

Do not enter code **Y** if the employee is terminated transferred solely for other reasons, e.g., disciplinary, unless the employee’s condition was such, e.g., leg amputated, that it would have resulted in termination or transfer regardless of whether disciplinary action was taken.

5s,5t **Latitude and Longitude (optional).**

Block 5s and block 5t are for recording the latitude and longitude of the location where the incident occurred. These two blocks are optional, and the information to be collected is for Trespasser (Class E) injuries and fatalities not at Highway-Rail Crossings, and for Worker on duty – Employee (Class A) fatalities only.

FORM FRA 6180.55a - Continued

FRA is using the World Geodetic System (WGS) 84 standard for recording the event's latitude and longitude. Even though this information is optional, it is requested that the information follow the WGS 84 standard.

Although FRA would prefer decimal degrees (on hard copy only, please follow value with ° to specify decimal degrees), FRA will accept latitude and longitude in degrees, minutes, and seconds (with °, ', " to indicate units used are degrees, minutes, seconds) if submitted on hard copy (electronic submissions should be in decimal degrees).

The latitude should use the following format +xx.xxxxxx. The longitude should use the following format -xxx.xxxxxx in decimal degrees. Use an explicit plus or minus sign and an explicit decimal point followed by six decimal places for both latitude and longitude.

Latitude, in decimal degrees: explicit decimal, explicit +/- (WGS 84) (e.g., +35.301486)

Longitude, explicit decimal, explicit +/- (WGS 84) (e.g., -085.280201)

5u. Narrative

The railroad may further explain unusual circumstances surrounding a worker's injury or illness using up to 250 characters. Completion of this narrative is mandatory for the reporting railroad unless the injury or illness can be adequately described using all other entries (information blocks) on the form. **Do not record personal identifiers, e.g., names, Social Security Numbers, or payroll identifications.**

CHAPTER 7 - FORM FRA F 6180.54
Rail Equipment Accident/Incident Report

A. REQUIREMENT

Collisions, derailments, fires, explosions, acts of God, or other events involving the operation of railroad on-track equipment (standing or moving) and causing reportable damages greater than the reporting threshold for the year in which the accident/incident occurred must be reported using Form FRA F 6180.54. The reporting threshold for calendar year 2003 is \$6,700.

Note: Additional form(s) must be completed whenever an employee's act, omission, or physical condition is identified as the primary or contributing cause of a rail equipment accident; see instructions for employee notification (forms 6180.81 and 6180.78). Here, "employee" includes persons classified as Worker on Duty--Employee, Employee not on Duty, Worker on Duty--Contractor, or Worker on Duty--Volunteer. See § 225.5 ("Employee human factor").

B. GENERAL INSTRUCTIONS AND INTERPRETATIONS

An accident is frequently the culmination of a sequence of related events, and a variety of conditions or circumstances may contribute to its occurrence. A complete record of all of these would be beneficial in accident prevention analysis. However, it is not practical, even if it were possible, to develop forms and codes that would capture every detail that may be associated with the causes and resulting consequences of each accident. Therefore, the most appropriate combination of available codes that best identifies the likely primary and any contributing cause, and other factors, is to be used.

The limitations imposed by standardized reporting forms make it critical that the narrative portion of the report provide additional information concerning those items that cannot be adequately described on the coded portions of the form. The wide variation in the causes and circumstances of accidents limits our ability to prepare a comprehensive list of items to include in your discussion. We have attempted to identify some of these in the instruction for completing the narrative portion of the report (item 52). In addition to these, you should include any information that increases our knowledge of the underlying reasons why the accident occurred and its consequences.

If the property of more than one railroad is involved in an accident/incident, the reporting threshold is calculated by including the damages suffered by all of the railroads involved. When total reportable damage to all railroads directly involved in an accident/incident exceeds the reporting threshold, you must make a report even though your railroad's damages were below the threshold.

FORM FRA F 6180.54 - Continued

A form must be completed for each consist (see Chapter 2 for definition) involved in an accident. The railroad responsible for the on-track equipment at the time of the accident, and only that railroad, will report the consist. See § 225.23(c).

In joint operations, if the railroad having track maintenance responsibility did not also have on-track rail equipment involved, a report containing the track information must be forwarded. The items concerning the equipment consist are to be marked "N/A". See § 225.23(c).

Any railroad indicating the involvement of another railroad in the accident on its report must promptly notify the other carrier (FRA may be contacted to obtain telephone numbers). You must exchange information concerning the accident and verify, at a minimum, that:

1. the other railroad has a reporting responsibility;
2. total reportable damage exceeded the threshold; and,
3. information contained in both reports is consistent.

When there is disagreement concerning the items being reported, particularly the cause of the accident, each railroad will include a discussion of these in the narrative portion of its report. The back of the form or a separate sheet of paper is to be used when the front of the form is not adequate for this purpose.

Track information for accidents occurring on industry track of a non-reporting company is to be reported by the railroad operating the on-track equipment. Damages to industry track and on-track equipment are included in reportable damage. The word "Industry" is to be entered in item 3b to identify an accident of this type.

A railroad need not report the following:

1. Cars derailed on industry tracks by non-railroad employees or non-railroad employee vandalism, providing there is no involvement of railroad employees;
2. Damage to out-of-service cars resulting from high water or flooding, e.g., empties placed on storage or repair track. This exclusion does not apply if such cars are placed into a moving consist and as a result of this damage, a reportable rail equipment accident results.

FRA Guide for Preparing Accident/Incident Reports

FORM FRA F 6180.54 - Continued

When final cost figures are not available, estimated values are to be used. If an estimated value was significantly in error, a corrected report must be forwarded. A significant difference is a 10% variance between the damage amount reported to FRA and current cost figures.

Enter "N/A" for those items that do not apply to an accident, or for those items describing on-track equipment that is the reporting responsibility of another railroad. All items must have an entry; do not leave items blank. If "none" is the proper response to an item (for example, the number of cars releasing hazardous material), then enter "0", not "N/A".

All casualties resulting from a rail equipment accident, in addition to being recorded on Form FRA F 6180.54, must be reported individually on Form FRA F 6180.55a. If the accident was a highway-rail crossing impact, a Form FRA F 6180.57 must also be completed by the railroad responsible for the consist.

Each accident/incident must have an identifying number unique within the reporting month. All forms used by a carrier to report a single event must use the same accident/incident number. Do not append additional numbers or letters on different forms for the same accident/incident. For example, if a railroad has two consists involved in an accident, do not report one consist using the reporting number "12345", and the other consist using the reporting number "12345-A". The reporting number must be exactly the same on both reports.

C. INSTRUCTIONS FOR COMPLETING FORM FRA F 6180.54

Item Instruction

1. Name of Reporting Railroad
Enter the full name of the reporting railroad.

- 1a. Alphabetic Code
Enter the reporting railroad's alphabetic code found in Appendix A.

- 1b. Railroad Accident/Incident No.
Enter a unique identifying number for the accident/incident being reported. All reports prepared in connection with this accident/incident must use the same reporting number. The report number may contain up to 10 numbers or alphabetic characters.

2. Name of Other Railroad Involved in Train Accident/Incident
If an equipment consist operated by another railroad was involved in the accident, enter the full name of that railroad. If more than one other railroad had a consist involved, list only one name; include in the narrative portion of the form a reference to all railroads and

FORM FRA F 6180.54 - Continued

the extent of their involvement. Be sure that any other railroad identified in the report is notified.

- 2a. Alphabetic Code
Enter the alphabetic code of the railroad identified in item 2, as found in Appendix A..
- 2b. Railroad Accident/Incident No.
Enter the reporting number used by the railroad shown in item 2 to identify this accident/incident.
3. Name of Railroad Responsible for Track Maintenance
Enter the name of the railroad responsible for maintaining the track on which the accident/incident occurred.
- 3a. Alphabetic Code
Enter the alphabetic code of the railroad identified in item 3.
- 3b. Railroad Accident/Incident Number
Enter the reporting number used by the railroad shown in item 3 to identify this accident/incident.
4. U.S. DOT Grade Crossing Identification Number
If the event being reported is a highway-rail crossing impact, enter the DOT crossing identification number. (Note: the railroad responsible for the on-track equipment involved in the impact must also complete a Form FRA F 6180.57. This report must have the same report number as that used on Form FRA F 6180.54.)
5. Date of Accident/Incident
Enter the date of the accident/incident.
6. Time of Accident/Incident
Enter the time the accident/incident occurred and check the appropriate ("am" or "pm") box. Do not use military time.
7. Type of Accident/Incident
Identify the first event in the accident/incident from the list of codes on the form. The same code is used for all reports filed for the accident.
8. Cars Carrying HAZMAT [Hazardous Material]

FORM FRA F 6180.54 - Continued

If the equipment consist for which this report is being prepared contained cars which are designated as transporting hazardous material, enter the total number of these cars, including residue cars. If there were no such cars in the consist, enter a "0". If the report is for track involvement only, enter "N/A". The entry in this item cannot be greater than the total number of freight cars shown on line 1 of item 35.

9. HAZMAT Cars Damaged/Derailed

If the entry in item 8 is greater than or equal to 1, enter the total number of hazardous material cars that were damaged or derailed. If none, enter "0"; otherwise, enter "N/A". The number of cars in item 9 cannot exceed the number of cars listed in item 8.

10. Cars Releasing HAZMAT [Hazardous Material]

If any of the hazardous material cars counted in item 8 released any portion of its contents, including fumes, enter the count of these cars. If none, enter "0"; otherwise, enter "N/A". This number cannot be greater than that shown in item 8. Describe the hazardous material released in the narrative by name or the Standard Transportation Commodity Code (STCC). (Note: Any release of hazardous material must also be reported on DOT form F 5800.1--see 49 CFR 171.15 and 171.16 for requirements.)

11. People Evacuated

If the accident/incident resulted in an evacuation of the area because of an actual or a potential exposure to hazardous material, enter the number of persons evacuated. This number is to be reported only by the railroad responsible for the equipment consist involved.

If there were multiple consists involved in the accident, the total number of people evacuated is to be shown on the report for the consist most directly responsible for the evacuation. Precautionary evacuations and instances where it was later established that a release of hazardous material did not occur are to be reported.

12. Division

Enter the full name of the division on which the accident occurred. If the railroad is not so divided, enter the word "System". In the event of a joint accident involving AMTRAK, the host railroad's division will apply.

13. Nearest City/Town

Enter the name of the nearest City/Town.

14. Milepost

FORM FRA F 6180.54 - Continued

If the accident occurred on a main line, branch line, or siding, enter the milepost number, to the nearest tenth of a mile, at the location of the accident. If mileposts are not used, enter "N/A".

15. State Abbr.
Enter the appropriate State abbreviation and code, from Appendix B.
16. County
Enter the full name of the county or parish in which the accident occurred.
17. Temperature
Enter the temperature (Fahrenheit) at the accident site at the time of the accident. If the temperature was below zero, preface the temperature number with a minus (-) symbol.
18. Visibility
Select the most appropriate entry, and place in the code box. Make sure this entry does not contradict the time given in item 6. For example, if the time of the accident was 1:30 pm, it would be incorrect to code the visibility as "Dawn".
19. Weather
Select the most appropriate weather condition at the time and location of the accident, and enter the code in the box provided.
20. Type of Track
Select the code that identifies the type of track on which the accident occurred, and enter it in the box provided. Branch lines should be reported as main line, code "1".
21. Track Name/Number
Enter the name or number used to identify the track on which the accident occurred. If it is a main track of a single-track line, enter "single main track".
22. FRA Track Class
Enter the class of track on which the reported consist was located at the time of the accident. Classes of track are defined in the Federal Track Safety Standards (49 CFR Part 213). Excepted track should be entered as Class "X".

	<u>Maximum Speed</u>	
<u>Track</u>	<u>Freight</u>	<u>Passenger</u>
<u>Class</u>	<u>Trains</u>	<u>Trains</u>

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X	10	Prohibited
1	10	15
2	25	30
3	40	60
4	60	80
5	80	90
6	110	110
7	125	125
8	160	160
9	200	200

23. Annual Track Density

If an accident occurred on a main track, enter the annual gross tonnage (in millions) over this track; otherwise, enter "N/A".

24. Time Table Direction

If the consist identified on this report was either moving or temporarily stopped, enter the code which describes the time table or schedule direction. If the equipment consist was a car or a cut of cars standing on the track, enter "N/A".

25. Type of Equipment Consist

Select the code that best identifies the consist for which this report is being prepared, and enter in the box provided. Be sure that this entry is consistent with the values given in items 34 and 35.

For example: the codes "1", "2", "3", "7", and "8" are used for consists that contain a locomotive unit. Therefore, line 1 of item 34 must show at least one locomotive in a box. If the code for a freight train is used, then line 1 of item 35 must show loaded and/or empty freight cars. If the consist is a single car or cut of cars, there cannot be locomotives shown in item 34, and there must be a car count shown in item 35. Many such comparisons exist; be sure to check the interrelationship of information contained in all items related to the equipment consist.

26. Was Equipment Attended?

If the equipment consist was attended by an employee enter "1"; otherwise, enter "2".

27. Train Number/Symbol

If the equipment consist can be identified by means of a train number, enter that train number. Otherwise, enter the number of the locomotive unit from which the engineer

FORM FRA F 6180.54 - Continued

was controlling the consist. If the consist for which this report is being prepared did not contain a locomotive, enter "N/A".

28. Speed

List the speed (mph) at which the consist was travelling at the time of its involvement in the accident. Enter "E" in the code box to indicate if this is estimated; or enter "R" for a recorded speed. If this consist was stopped, enter a speed of "0".

29. Trailing Tons

If the equipment consist reported on this form is a freight train, work train, etc., enter the gross tonnage, excluding locomotives, of the train. Enter "N/A" if the consist was a passenger train, light locomotive(s), car(s), or a locomotive handling cars in switching operations.

30. Method(s) of Operation

Identify the method(s) of railroad operation at the accident location by entering the appropriate code(s) in the boxes. If an entry cannot be made using codes a through n, or p, put an "o" in the first code box and specify the operational method used in the narrative. The back of the form may be used if necessary.

30a. If this consist is NOT a part of a remote controlled operation or is NOT being controlled by a remote control locomotive (RCL), enter code "0". For accidents involving consists controlled by RCL, enter one of the following three available codes that best describes the type of remotely controlled operation involved:

- 1 - Remote control portable transmitter
- 2 - Remote control tower operation
- 3 - Remote control portable transmitter - more than one remote control transmitter.

The use of codes "1", "2" or "3" is not dependent upon whether the RCL operation caused or contributed to the accident, only that the RCL was in use. Further explanation can be provided in the narrative.

31. Principal Car/Unit

31a. Initial and Number

In the upper box ("First Involved"), list the initial and number of the first locomotive or car in the consist being reported.

FORM FRA F 6180.54 - Continued

If the consist was moving at the time of the accident, and the accident was caused by a mechanical or an electrical failure on this consist (cause codes beginning with "E"), enter the initial and number of the car or locomotive having the defective equipment in the lower box ("Causing"). If a mechanical or electrical failure on a locomotive or car in this consist did not cause the accident, enter "N/A".

The same entry will frequently appear in both upper and lower boxes, since the locomotive or car with the mechanical or electrical failure will also be the first involved. If the locomotive or car that caused the accident was contained in a different consist than the one described in this report, do not identify it on the report for this consist. A reference to the unit causing the accident may be made in the narrative portion of the report.

31b. Position in Train

In the upper box, enter the position within the consist of the locomotive unit or car identified in the upper box of item 31a. When the consist contains a locomotive, count from and include the first locomotive unit. If the consist was a moving cut of cars, count from the leading end of the consist. If the consist was a single locomotive or moving car, enter "1". If the consist was a standing car or a standing cut of cars, enter "N/A".

If a locomotive unit or a car is identified in the lower box of item 31a, enter its position in the lower box. Use the procedure described above.

Note: When entering the position of the car or locomotive in either box, be sure that this value does not exceed the total length of the consist. This is determined by adding the total number of locomotives in line 1 of item 34 to the total number of cars shown in line 1 of item 35.

31c. Loaded

When the entry in the upper box of item 31a identifies a car, indicate if this car was loaded or unloaded by entering "Yes" or "No" in the upper box. If a car is not identified in item 31a, enter "N/A".

If a car is identified in the lower box of item 31a, indicate if this car was loaded or unloaded by entering "Yes" or "No" in the lower box. Otherwise, enter "N/A".

32. Railroad employees tested for drug or alcohol impairment. If any employee was tested for alcohol usage in connection with this accident, enter the number of positive tests, in the first block. If any employee was tested for drug usage in connection with this

FORM FRA F 6180.54 - Continued

accident, enter the number of positive tests, in the second block. If testing was performed and the results were negative, enter "0." **If there were positive tests, but impairment is not reported as a cause of the accident, then provide a brief explanation in the narrative of the basis for this determination.** You are required to identify all accidents/incidents where either Federal or employer-authorized tests were performed.

33. Was this consist transporting passengers?

Enter "y" (for "yes") if the consist being reported on was transporting passengers; otherwise enter "n" (for "no").

34. Locomotive Units [Number of]

On line 1 ("Total in Train"), enter in the appropriate box(es) the number of locomotive units in this consist. If there were no locomotives in this consist, enter "0" in each of the boxes.

For the locomotives shown in line 1, list on line 2 ("Total Derailed") the number of these that were derailed in the accident. Include locomotives that derailed following a collision, explosion-detonation, etc., as well as those accidents identified as derailments in item 7.

35. Cars [Number of]

On line 1 ("Total in Equipment Consist"), enter in the appropriate box(es) the number of cars contained in the consist. A passenger car is considered loaded if it contains one or more passengers. Enter "0" in all boxes if the consist did not contain cars.

For the cars shown in line 1, list on line 2 ("Total Derailed") the number of these that were derailed in the accident.

Special Instruction:

When the consist contains articulated car(s), the count for these is to be the number of platforms/units in such a car. This is necessary in order to maintain comparability of train lengths. The narrative is to contain a reference that articulated cars were included in the consist.

36. Equipment Damage This Consist

Enter the amount of reportable damage sustained by the equipment consist for which this report is being prepared. If this consist did not have reportable damage, enter "0". When multiple forms are being used, do not show the damage to this consist on other reports.

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When estimating damage costs, the labor costs to be reported are only the direct labor costs to the railroad, e.g., hourly wages, transportation costs, and hotel expenses. The cost of fringe benefits is excluded when calculating direct labor costs. Overhead is also excluded when calculating damage costs due to the unacceptable non-uniform treatment of overhead under the current process.

For services performed by a contractor, a direct hourly labor cost is calculated by multiplying the contractor's total labor hours charged to the railroad by the applicable direct hourly wage rate for a railroad worker in that particular craft. However, if a railroad cannot match the equivalent craft to the labor hours spent by a contractor, then the railroad must use the loaded rate, i.e., the cost by hour for labor, fringe benefits, and other costs and fees for services charged by the contractor for the tasks associated with the repair of the track, equipment, and structures due to the train accident.

The current method used to calculate material costs, i.e., depreciated value estimates, will continue to be used by all railroads.

37. Track, Signal, Way & Structure Damage

The railroad responsible for maintaining the track on which the accident/incident occurred will enter the cost of damages to the track, signals, roadbed, track structures, etc. (A report must be provided even when the track damage is zero (0).) Other railroads will enter "N/A". If the railroad responsible for the track maintenance is filing reports for multiple consists involved in the accident, only one of these reports will contain the total damage incurred.

38. Primary Cause Code

Proper entry of the correct primary cause code is of critical importance, not only for the accident being reported, but also for FRA's analyses conducted for accident prevention purposes. Because of the extensive use made of primary cause code entries, careful attention must be given to making correct entry for all accidents.

From the cause descriptions found in Appendix C, enter the cause code that best describes the primary cause of the accident. All reports by a single railroad for a single accident must use the same cause code. When multiple railroads are reporting the same accident, they should attempt to resolve any differences concerning the cause prior to reporting. When this cannot be accomplished, each railroad will identify what it considers to be the primary cause of the accident.

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If none of the more specific available cause codes are appropriate, you may enter cause code M599, “Other Miscellaneous Causes,” and fully describe the circumstances in the narrative. By its very nature, M599 is a vague cause code that is intended to allow for a cause code entry for accidents that involve extremely unusual circumstances, and thus are not described elsewhere in Appendix C. Railroads should avoid unnecessary usage of this vague cause code as it detracts from FRA’s ability to accomplish proper train accident cause trend analysis for accident prevention purposes. Often, the use of cause code M599 can be avoided by using both the primary and contributing cause fields to enter the most appropriate specific available cause codes. (Example: For an accident caused by a worn flange (E64C) and a worn switch point (T314), rather than using M599, the railroad should make a determination which was the primary cause, and which was the contributing cause, and make entry of these specific cause codes.)

If the cause of the accident is still under active investigation by the railroad when the report is due, you may enter M505. Active investigation by the railroad means that the railroad’s investigation of the accident is still ongoing, and the cause has not been fully determined. An example of an accident still under active investigation by the railroad would be that the railroad is still awaiting metallurgical results for a suspected broken rail. Often, FRA and/or the National Transportation Safety Board (NTSB) may also be performing their own independent investigations of this same accident, and their final reports may not be published for a considerable time period after the accident. The railroad must not wait for either the FRA or the NTSB to publish their findings and their assessment as to cause(s) of the accident to amend cause code M505. Once the railroad has completed its active investigation and determined the probable cause(s), the best available appropriate cause code(s) must be provided to FRA on an amended report for the accident. This must be accomplished in all cases no later than April 15 of the year following the year in which the accident occurred, unless the railroad’s investigation of the accident is still active. The fact that NTSB or any other governmental agency has not released their findings as to probable cause is not a valid reason for railroads to allow cause code M505 to remain assigned to an accident.

Cause code M507 is used to denote accidents/incidents in which the investigation is complete but the cause of the accident/incident could not be determined. If a railroad uses this code, the railroad is required to include in the narrative block an explanation for why the cause of the accident/incident could not be determined.

There is a five year limit on the railroads to send in an amended report to change a cause code. See “Close of the Calendar Year” in Chapter 1. Once the FRA or NTSB has

FORM FRA F 6180.54 - Continued

published their findings on an accident, the railroad may choose to send in another amended report to reflect the primary cause code as determined by FRA or NTSB. The railroad is not bound by the findings of either FRA or NTSB, as long as the railroad has made a “good faith” determination that the results of their investigation and analysis are accurate.

39. Contributing Cause Code

If there were one or more contributing causes, enter the code for the foremost contributing cause. Otherwise, enter "N/A". An accident is frequently the culmination of a sequence of related events, and a variety of conditions or circumstances may contribute to its occurrence. A complete record of all of these would be beneficial in accident prevention analysis. However, it is not practical, even if it were possible, to develop forms and codes that would capture every detail that may be associated with the causes and resulting consequences of each accident. Therefore, the most appropriate combination of available codes that best identifies the likely primary and any contributing cause, and other factors, is to be used. Railroads are encouraged to use the Contributing Cause Code. When the events cannot be adequately describe using the Primary and Contributing Cause the railroad must use the Narrative Block to complete the causes of the accident.

40-43. Number of Crew Members

Enter in the appropriate boxes the total number of crew members on the consist for which this report is being filed. If the item does not apply, enter "N/A".

The operator of on-track maintenance machines is to be included in the "Engineer" count.

A switch foreman is to be included in the “Conductor” count.

Switch helpers are to be included in the “Brakeman” count.

Utility employees who were attached to the crew at the time of the accident are to be included in the count for the most appropriate type of crew member (normally brakeman.)

If through contractual agreements, a railroad has eliminated the job title of conductor, and those responsibilities previously discharged by a conductor are being fulfilled by another job title on the consist, then an entry is to be included in the “Conductor” count.

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44-45. Length of Time on Duty

Show the length of time that the engineer/operator and conductor in charge of the equipment consist had been on duty at the time the accident/incident occurred.

46-48. Casualties to:

Enter the total number of reportable casualties (fatalities and nonfatalities) on this consist. If none, enter "0".

Enter the total number of persons who sustained reportable injuries while on board, or as a result of striking, being struck by, or who are otherwise hurt in connection with the operation of this consist. This would include injuries to individuals who have jumped from the consist prior to the accident. Do not report employees of another railroad.

Note: All nonfatal casualties, including those being reported as occupational illnesses, in the case of hazardous material releases, are to be included.

Each casualty reported on this form, regardless of whether fatal or nonfatal, must be reported individually on Form FRA F 6180.55a using the same accident/incident report number in item 1b. Enter the number of fatal and nonfatal casualties to the railroad employees, train passengers, and others.

49. Special Study Block

A "Special Study Block" (SSB) is for collection of information on specific accident issues over a specified time period in response to particular hazards or associated railroad risks that are of safety concern. FRA will notify the railroads in writing or, if appropriate, through publication in the Federal Register, of the purpose and the type of information that is to be collected.

50-51. Latitude and Longitude

Block 50 and block 51 are for recording the latitude and longitude of the location where the accident occurred. These two blocks are optional.

FRA is using the World Geodetic System (WGS) 84 standard for recording the event's latitude and longitude. Even though this information is optional, it is requested that the information follow the WGS 84 standard.

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Although FRA would prefer decimal degrees (on hard copy only, please follow value with ° to specify decimal degrees), FRA will accept latitude and longitude in degrees, minutes, and seconds (with °, ', " to indicate units used are degrees, minutes, seconds) if submitted on hard copy (electronic submissions should be in decimal degrees).

The latitude should use the following format +xx.xxxxxx. The longitude should use the following format -xxx.xxxxxx in decimal degrees. Use an explicit plus or minus sign and an explicit decimal point followed by six decimal places for both latitude and longitude.

Latitude, in decimal degrees: explicit decimal, explicit +/- (WGS 84) (e.g., +35.301486)

Longitude, explicit decimal, explicit +/- (WGS 84) (e.g., -085.280201)

52. Narrative Description

A detailed narrative is basic to FRA's understanding of the factors leading to, and the consequences arising from, an accident. While many minor accidents can be described in a few brief comments, others are more complicated and require further clarification.

An adequate description of most accidents cannot be made in the limited space available in block 52. The narrative can be continued on a separate sheet of paper attached to the report. Because of the variety of factors associated with accidents, it is not possible to give a comprehensive list of items you should include in your discussion. However, the following are to be covered when appropriate:

Drug/alcohol involvement - Include a discussion of any drug/alcohol use connected with this accident. If positive tests were made, but usage/impairment was not determined to be a causal factor, explain the basis of this determination.

Cause - Discuss any event(s) or circumstance(s) occurring prior to the accident that has relevance to the accident. Provide additional information concerning the reasons(s) for the accident when the causes found in Appendix C do not sufficiently explain why the accident occurred.

Diesel Fuel Tank - Identify any leakage of locomotive diesel fuel resulting from the accident. Identify the unit(s) by initial and number, the manufacturer and model designation, the capacity of the fuel tank, the quantity of fuel released, and any consequence of the release. (Were there a fire, environmental consequences, etc.?)

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Hazardous Materials - Identify the initial and number of any car releasing hazardous material. List the name and indicate the quantity of hazardous material released. Report the number of fatalities and injuries resulting from a direct exposure to the released substance. If there was an evacuation, estimate the size of the affected area and the length of the evacuation.

Train Information - Identify any special characteristics of the consist being reported, e.g., unit coal train, comprised of articulated cars.

Other Railroads - Describe how and to what extent the on-track equipment of other railroads became involved in the accident.

Do not record personal identifiers, e.g., names, Social Security Numbers, payroll identifications.

53. Typed/Printed Name and Title of Preparer
Type or print the name and title of the person responsible for preparing this report form.
54. Signature
Signature of the person shown in item 53.
53. Date
Date the signature was made in item 54.

D. QUESTIONS AND ANSWERS

- Q1. Another railroad derailed some cars on our track. The damage to our track did not exceed the threshold; however, their cars had extensive damage and the cost to repair/replace these exceeded the threshold. Does our railroad need to complete a report since we did not have significant damage to the track?
- A1. Yes. The criterion for reporting is whether or not the total reportable damages for all railroads having on-track equipment, track, signals, etc. involved in the accident exceeded the threshold. You indicated that the equipment damage by itself exceeded this amount. Therefore, you must complete a report, but limit the damage you record to the amount required to repair/replace your damaged track. The FRA uses the information

FORM FRA F 6180.54 - Continued

received from all railroads to obtain a clearer picture of what caused the accidents and what the consequences were.

Q2. A passenger train was en route between stations. A component failure and the resulting electrical arcing between the third rail and a collector plate caused a traction motor to burn out. The train came to a stop as smoke and fumes entered the passenger compartment. The passengers were evacuated; however, there were no reports of injury. The repair and replacement of damaged components will exceed the threshold. Is this a reportable train accident?

A2. Yes. The regulation requires that any event involving the operation of on-track equipment and resulting in damage above the reporting threshold is to be reported. However, a component failure is not reportable when the physical damage is confined to the component and there are no other consequences of a reportable nature. For example, a traction motor problem is detected by the engineer. She is able to cut out that motor and proceeds to the next terminal where the unit is removed from service and the traction motor replaced at a cost exceeding the threshold.

Crankcase explosions, turbo charger failures, and incidents involving catenaries must meet this same general criterion to be reportable. For example, a crankcase explosion extensively damages the block, crankshaft, and oil pan. A subsequent fire causes additional damage to other components in the engine compartment. The train is unable to proceed, and crew members suffer from smoke inhalation. An event such as this, or a turbo charger explosion with similar consequences, will generally be reportable. Incidents involving catenaries are generally accountable, since they result in a disruption of service. Because of this, and the fact that the pantograph is frequently damaged, many of these are also reportable.

Q3. Sometimes damage to equipment is discovered during an inspection, but it cannot be determined how the damage occurred, or it may simply be the result of routine wear and tear. If the cost of repairing or replacing the component(s) exceeds the threshold, do we need to make a report?

A3. No. The equipment in this example was not in operation when the damage was detected. In addition, it is unlikely that a factual report could be prepared that would adequately describe how the damage occurred. Such a report, missing vital information, would be of little use in accident analysis.

Q4. A shipment of cars was dropped off and secured at an industry siding. Employees of the industry were attempting to move one of the cars when it got away from them, struck a

FORM FRA F 6180.54 - Continued

derail, rolled over on its side, and sustained substantial damage. The industry's railroad operations are confined to its own installation, which is completely off general system. The car did not leave the industry's property or foul the track maintained by my railroad. Do we need to report this event?

- A4. No. The event described was not caused by, nor did it involve, the operation of your railroad. The industry does not have to report the event to FRA because the industry is considered a plant railroad that operates entirely off the general system. Part 225 does not apply to plant railroads that operate entirely off the general system. See § 225.3.
- Q5. A unit coal train was returning with 115 empties when it was delayed due to a heavy downpour that stopped all rail operations. The crew was removed from the train because of the extreme weather conditions. Heavy flooding from the rain washed out a portion of the main line track that the train was occupying. The next morning 28 cars were on their side. The preliminary estimate of equipment damage alone is over \$100,000. Is this a reportable train accident?
- A5. Yes. The regulation requires that any event, including acts of God, involving the operation of on-track equipment (standing or moving), and causing damage above the threshold for train accidents must be reported.
- Q6. Our switch crew was switching an industry when the wind blew the industry gate into the side of a car being shoved. The industry gate was destroyed. Would this be considered as a track structure? Please elaborate more specifically concerning what structures would, or would not be included in railroad track damage?
- A6. The damages to an industry-owned gate would not be considered as railroad track damage. Additionally, if an accident resulted in damages to the door of a roundhouse, diesel shop, or repair shop, none of these would be considered as track structures, and thus would not be considered as track damage. Should a train strike and damage a platform used for loading and unloading passengers, this type of structure is not an integral part of the track structure, and also would not be considered as track damage.

On the other hand, should a derailment result in damages to a signal bungalow located adjacent to a track, this would be considered as track damage as it is an adjunct to the track. For this same reason, damage to tunnels, bridges, snowsheds, or other track-related structures would be considered as track damage.

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E. COMMON REPORTING ERRORS

Duplication of Information.

A railroad whose involvement in an accident is limited to track maintenance responsibility, should mark all items relating to the equipment consist "N/A". These items are 8, 9, 10, 11, 24, 25, 26, 27, 28, 29, 31, 33, 34, 35, 36, 40, 41, 42, 43, 44, 45, and 47. This information will be reported by the railroad responsible for the individual consist(s). A railroad that did not have track involved in the accident must not list the damage to the track.

Do not send in reports concerning a consist for which another railroad has reporting responsibility.

Missing or Incomplete Reports.

Do not leave blank items on the form. If the value is unknown, an estimate should be used. If the item does not apply, "N/A" should be entered. If the correct response is "none", a "0" should be inserted in the item.

An accident report must be made by all railroads involved, regardless of the extent of damage sustained by individual railroads.

When filing multiple reports for a single accident/incident be sure to verify that the information contained on the various reports does not contradict itself. Of particular importance are such items as:

<u>Item</u>	<u>Contents</u>
5.	Date of Accident/Incident
6.	Time of Accident/Incident
7.	Type of Accident/Incident
15.	State Abbr. [where the accident occurred]
16.	County [where the accident occurred]
38.	Primary Cause Code

If a Form FRA F 6180.55a or Form FRA F 6180.57 is also required for the accident, be sure to compare similar items between these additional forms.

If there were reportable casualties resulting from the accident, a line entry must be made on Form FRA F 6180.55a for each casualty. In highway-rail crossing accidents, the railroad responsible

FORM FRA F 6180.54 - Continued

for the equipment consist that struck or was struck by the highway user must file a Form FRA F 6180.57.

Avoid contradictions on a single form by comparing related items. For example, it would be incorrect for a report to show more locomotives or cars derailed in a consist than were actually contained in that consist, as shown in items 34 and 35. Similarly, if the report showed no conductors in item 42, it would be inconsistent to show the conductor's time on duty in item 45.

CHAPTER 8 - FORM FRA F 6180.81
Employee Human Factor Attachment

A. REQUIREMENT

If, in reporting a rail equipment accident/incident on Form FRA F 6180.54, a railroad cites an employee human factor as the primary cause or a contributing cause of the accident; then the railroad that cited such employee human factor must complete the Form FRA F 6180.81, which is entitled, "Employee Human Factor Attachment". The Employee Human Factor Attachment is to be attached to the Rail Equipment Accident/Incident Report to which it pertains. For purposes of completing this form, "employee" is defined as a Worker on Duty--Employee (Class A), Employee not on Duty (Class B), Worker on Duty--Contractor (Class F), and Worker on Duty--Volunteer (Class H). See §§ 225.5, 225.12.

This form is only used in connection with a **reportable** rail equipment accident/incident where the Form FRA F 6180.54 submitted to the FRA identifies an employee human factor as either the primary or contributing cause of the accident.

B. GENERAL INSTRUCTIONS AND INTERPRETATIONS

Each employee identified on form 6180.81 must be notified according to the instructions found in the section for preparing form 6180.78 and on the back of that form.

If a reporting railroad makes allegations concerning the employee of another railroad, the employing railroad must promptly provide the name, job title, address, and medical status of any employee reasonably identified by the alleging railroad, if requested.

If a railroad is initially unable to identify a particular railroad employee responsible for causing the accident, but subsequently makes such identification, the railroad shall prepare a revised form 6180.81 and forward it to FRA. In addition, a notification (form 6180.78) must be sent to the identified employee within 15 days of the date the revised Employee Human Factor Attachment was prepared.

A railroad has reasonable discretion to defer notification of implicated employees on medical grounds.

If an implicated employee has died as a result of the accident, a Notice addressed to that employee must not be sent to any person. If an implicated employee has died of whatever causes by the time that the Notice is ready to be sent, no Notice addressed to that employee is required.

If the reporting railroad has scheduled, or is conducting, a formal investigation of a rail equipment accident/incident to determine whether it was caused by an employee human factor

FORM FRA F 6180.81 - Continued

and if the investigation is not concluded prior to the filing of the regular monthly report, the railroad must nonetheless attach a form 6180.81 to the form 6180.54 to which it pertains. The following instructions apply in these situations:

1. In the " Description" area of Form FRA F 6180.81, you are to explain that employee(s) have not been named because the railroad is awaiting results of the formal investigation. Indicate whether the formal investigation is currently in progress or the date that it is scheduled to begin.
2. After transmittal of such Form FRA F 6180.81, and when the formal investigation has been concluded for that rail equipment accident, the reporting railroad must promptly provide a "corrected copy" of FRA Form F 6180.81 for each implicated employee. Implicated employees are to be notified in accordance with instructions found in Section B of this Chapter.

The above provisions apply only when a formal investigation is scheduled or in progress and where the naming of an employee(s) on FRA forms prior to a railroad's formal inquiry may give the appearance of "pre-judging" the guilt or innocence of the affected employee(s). If a railroad does not schedule a formal inquiry for a rail equipment accident/incident caused by an employee human factor, the standard provisions described in this Chapter apply.

CHAPTER 9 - FORM FRA F 6180.78
Notice to Railroad Employee Involved in Rail Equipment
Accident/Incident Attributed to Employee Human Factor

Employee Statement Supplementing Railroad Accident Report

A. REQUIREMENT

For each employee whose act, omission, or physical condition was alleged by the railroad as the employee human factor that was the primary cause or a contributing cause of a reportable rail equipment accident/incident (as reported on form 6180.54) and whose name was listed in the Employee Human Factor Attachment (form 6180.81) for the accident and for each such railroad employee of whose identity the railroad has actual knowledge, the alleging railroad shall:

1. Complete part I, "Notice to Railroad Employee," of Form FRA F 6180.78 with information regarding the accident, in accordance with the following instructions and those on the form; and
2. Hand deliver or send by first class mail (postage prepaid) the following to that employee, within 45 days after the end of the month in which the rail equipment accident/incident occurred:
 - a. A copy of Form FRA F 6180.78, "Notice to Railroad Employee Involved in Rail Equipment Accident/Incident Attributed to Employee Human Factor: Employee Statement Supplementing Railroad Accident Report," with part I completed as to the applicable employee and accident.
 - b. A copy of the railroad's Rail Equipment Accident/Incident Report and Employee Human Factor Attachment on the rail equipment accident/incident involved; and
 - c. If the accident was also reportable as a highway-rail grade crossing accident/incident, a copy of the railroad's Highway-Rail Grade Crossing Accident/Incident Report on that accident.

See § 225.12.

An "employee human factor" includes any of the accident causes signified by the train accident cause codes listed under "Train Operation--Human Factors" in the current FRA Guide , except for those train accident cause codes pertaining to non-railroad workers. For purposes of Form FRA F 6180.78 and for purposes of the definition of "employee human factor", "employee" includes the following classifications:

FORM FRA F 6180.78 - Continued

Worker on Duty--Employee,
Employee not on Duty,
Worker on Duty--Contractor, and
Worker on Duty--Volunteer.

See § 225.5 for definition of “employee human factor” and § 225.12 for definition of “employee” and for substantive requirements.

This form is only used in connection with a **reportable** rail equipment accident/incident where the Form FRA F 6180.54 submitted to the FRA identifies an employee human factor as either the primary or contributing cause of the accident.

Employee Action upon Receipt of Notification.

Employee Statements Supplementing Railroad Accident Reports are voluntary, not mandatory. The nonsubmission of a Supplement does not imply that the employee admits or endorses the railroad's conclusions as to cause or any other allegations. See § 225.12(g)(1).

Although a Supplement is completely optional and not required, if an employee wishes to submit a Supplement and assure that, after receipt, it will be properly placed by FRA in a file with the railroad's Rail Equipment Accident/Incident Report and that it will be required to be reviewed by the railroad that issued the Notice, the Supplement must be made on part II of Form FRA F 6180.78 (entitled "Notice to Railroad Employee Involved in Rail Equipment Accident/Incident Attributed to Employee Human Factor; Employee Statement Supplementing Railroad Accident Report"), following the instructions printed on the form. These instructions require that, within 35 days of the date that the Notice was hand delivered or sent by first class mail to the employee (except for good cause shown), the original of the Supplement be filed with FRA and a copy be hand delivered or sent by first class mail to the railroad that issued the Notice. The railroad will have to reassess its conclusions as to the cause of the accident and other circumstances and file corrected reports with FRA concerning the accident when appropriate. See § 225.12(g)(2).

Information that the employee wishes to withhold from the railroad must not be included in this Supplement. If an employee wishes to provide confidential information to FRA, the employee should not use the Supplement form (part II of Form FRA F 6180.78), but rather provide such confidential information by other means, such as a letter to the employee's collective bargaining representative, or to the Federal Railroad Administration, Office of Safety Assurance and Compliance, RRS-11, 400 Seventh Street, S.W., Washington, D.C. 20590. The letter should include the name of the railroad making the allegations, the date and place of the accident, and the rail equipment accident/incident number. See § 225.12(g)(3).

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If an employee chooses to submit a Supplement to FRA, all of the employee's assertions in the Supplement must be true and correct to the best of the employee's knowledge and belief. See § 225.12(h).

CHAPTER 10 - FORM FRA F 6180.57
Highway-Rail Grade Crossing Accident/Incident Report

A. REQUIREMENT

Any impact, regardless of severity, between a railroad on-track equipment consist and any user of a public or private crossing site, is to be reported on Form FRA F 6180.57. The crossing site includes sidewalks and pathways at, or associated with, the crossing.

In addition, whenever a highway-rail grade crossing accident/incident results in reportable damages greater than the current reporting threshold used for Rail Equipment Accident/Incident reporting, you must also submit a Form FRA F 6180.54. The reporting threshold for accidents that occur during calendar years 2002-2003 is \$6,700.

B. GENERAL INSTRUCTIONS AND INTERPRETATIONS

Highway users include but are not limited to: automobiles, buses, trucks, motorcycles, bicycles, recreational vehicles, farm vehicles, construction vehicles, roadway maintenance vehicles, and pedestrians.

Suicides or attempted suicides, as determined by a coroner or other public authority, at highway-rail crossing sites are not reportable. See § 225.15. However, the event may be reportable under other criteria. See §§ 225.11 and 225.19. Reportable conditions to others must be recorded on Form FRA F 6180.55a. See § 225.19(d). (E.g., the engineer sustained a fractured arm.) Likewise, if the event caused reportable damage above the current monetary threshold for Rail Equipment Accidents/Incidents, then a Form FRA F 6180.54 must be prepared. See § 225.19(c). In these situations, the type of accident is to be coded as an "Obstruction" in block 7.

Incidents involving highway users who have unsuccessfully attempted to avoid striking or being struck by a railroad consist at a crossing site are to be reported, regardless of where the actual impact between the consist and the highway user occurred.

The U.S. DOT-AAR grade crossing identification number recorded in block 4 of the form is a key element of this report and must be provided. If you are unable to obtain this number from your track or signal departments, or through your State coordinator, then assistance may be obtained by contacting an FRA highway grade crossing manager at any of the regional offices found in Appendix G or by calling 202-632-3305. The same procedures are to be followed when an accident occurs at a crossing that is not a part of the U.S. DOT-AAR Crossing Inventory.

It is not necessary to complete additional reports for other highway users that become subsequently involved in an accident when they are on the same crossing approach. Report the first highway user involved in the accident. Briefly describe the accident and note any additional

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casualties or other vehicle damage in the narrative. A new incident must be reported for another vehicle approaching from the opposite side that strikes or is struck by on-track equipment.

A Form FRA F 6180.57 must be completed for collisions/impacts between on-track equipment and users of designated crossing sites within industries or railroad yards.

Each reportable casualty resulting from a highway-rail crossing impact must also be reported on Form FRA F 6180.55a.

A railroad whose involvement in the accident/incident is limited to track maintenance responsibility is not to complete Form FRA F 6180.57. When the reporting railroad is different than the railroad maintaining the track, the railroad responsible for the track must be identified in item 3a. Report number "XXX" is to be entered in item 3b in these instances.

Note: If the accident/incident satisfies the reporting requirements for rail equipment accidents (e.g., reportable railroad damage exceeds threshold), Form FRA F 6180.54 must also be completed by all railroads involved, including the railroad with track maintenance responsibility. See § 225.19(c).

Each accident/incident must have an identifying number that is unique for the report month. All forms used by a carrier to report a single event must use the same accident/incident number. Do not append additional characters on different forms for the same accident/incident. For example, if a railroad has two casualties resulting from an accident, do not report one casualty using the reporting number 12345, and the number 12345-A for the second. The reporting number must be exactly the same for both reports.

If actual data are not available when the report is due, estimated values are to be used. If it is later determined that an estimated value was significantly in error, a corrected report must be forwarded. See § 225.13.

All items must be filled in; do not leave items blank. Enter "N/A" in those items that do not apply to an accident. If "none" is the proper response for an item, for example, the number of cars in a consist, enter "0"; do not enter "N/A".

C. INSTRUCTIONS FOR COMPLETING FORM FRA F 6180.57

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Item Instruction

1. Name of Reporting Railroad
Enter the full name of the reporting railroad.

- 1a. Alphabetic Code
Enter the reporting railroad's code, found in Appendix A. (Railroads whose involvement in the accident/incident is limited to track maintenance responsibility are not to complete a Form FRA F 6180.57.)

- 1b. Railroad Accident/Incident [Number]
Enter a unique identifying number for the accident/incident being reported. All reports connected with this accident/incident must use the same reporting number. The report number may contain up to 10 numeric or alphabetic characters.

2. Name of Other Railroad Involved in Train Accident/Incident
If an equipment consist operated by another railroad was involved in the accident, enter the full name of that railroad. If more than one other railroad had a consist involved, list only one name.

- 2a. Alphabetic Code
Enter the code of the railroad identified in item 2.

- 2b. Railroad Accident/Incident No.
Enter the reporting number used by the railroad shown in item 2 to identify this accident/incident.

3. Name of Railroad Responsible for Track Maintenance
Enter the name of the railroad responsible for maintaining the track on which the accident/incident occurred.

- 3a. Alphabetic Code
Enter the code of the railroad identified in item 3.

- 3b. Railroad Accident/Incident No.
Enter the reporting number used by the railroad shown in item 3 to identify this accident/incident. If the railroad shown in item 3 differs from the reporting railroad, and if the accident does not require that a Form FRA F 6180.54 be filed, then enter "XXX" as the accident/incident number. However, if the accident also requires that Form FRA F

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6180.54 be completed, enter the number used on the rail equipment form by the railroad responsible for track maintenance.

4. U.S. DOT-AAR Grade Crossing Identification Number

Enter the US DOT-AAR Inventory Number assigned to the crossing involved. This field must contain this number before submitting the incident report. This Number must be provided by the reporting railroad, regardless of who actually owns or maintains the track or crossing site. This is also required for a crossing that is on private property such as in a plant area owned by a private corporation. Contact the operating railroad to obtain the number. (It is strongly recommended that the Accident/Incident Report be compared with the Inventory Report to insure that the correct crossing number has been identified and that the other data elements match.) Entering the term "NOT ASSIGNED" is not acceptable and the Form will be returned for completion with the correct information.

In the event that the subject crossing was never assigned a number, a new valid crossing number must be obtained from FRA, assigned to the crossing, and a completed Inventory Report Form filed with the incident report. The new U.S. DOT Crossing Inventory Form can be obtained from FRA's Office of Safety Website (<http://safetydata.fra.dot.gov/officeofsafety/>) or by calling 202-493-6290. Existing crossing numbers can be obtained by contacting the FRA Washington Headquarters or searching web site.

There are only two exceptions where an incident report will be accepted without an assigned number in this field. These exceptions are where the crossing was (1) created to serve specific temporary activities for less than six months (such as for construction), and (2) those crossings used only by railroad employees within a railroad yard, on railroad property, and not available for use by the general public. In these cases, enter either "TEMP" or "RRYARD" respectively.

5. Date of Accident/Incident

Enter the date the accident/incident occurred.

6. Time of Accident/Incident

Enter the time the accident/incident occurred and check the appropriate "AM" or "PM" box. Do not use military time.

7. Nearest Railroad Station

Enter the name of the nearest time table station. In event of accidents involving AMTRAK, the host railroad's nearest station will apply.

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8. Division
Enter the full name of the division on which the accident occurred. If the railroad is not so divided, enter the word "System". In the event of a joint accident involving AMTRAK, the host railroad's division will apply.
9. County
Enter the full name of the county or parish in which the accident/incident occurred.
10. State Abbr., Code
Enter the appropriate State code, found in Appendix B, for the State in which the accident occurred.
11. City
If the accident occurred within the jurisdiction of a city, town or hamlet, enter the full name of this location; otherwise, enter "N/A".
12. Highway Name or Number
Enter the name or number of the highway or street involved. If the impact occurred at a public crossing, place an "X" or checkmark in the block titled "Public". If at a private crossing, place an "X" or checkmark in the block titled "Private".
13. Type [of Highway User Involved]
Select the code that best identifies the type of highway user involved in the accident/incident.
- Note: If a pedestrian is identified in this item, then items 14, 40, 41, 42, 44, 45, and 47 are to be coded "N/A".
14. Vehicle Speed [of Highway User Involved]
List the estimated speed (mph) that the highway user was traveling at the time of impact. If the highway user was not a vehicle, enter "N/A". If the vehicle was stopped on the crossing at the time of impact, enter "0".
15. Direction [of Highway User Involved]
Select the code that best describes the geographical direction in which the highway user was moving, and enter it in the box provided. If the highway user was stopped, identify the intended direction of travel.

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Note: It is possible in some circumstances for the geographical direction of the highway user to be the same as the time table direction of the railroad consist given in item 31.

16. Position [of the Highway User Involved]

Select the code that best describes the position of the highway user at the time of impact, and enter in the code box.

Note: If the highway vehicle was stopped or stalled on the crossing at the time of impact, the speed given in item 14 must be "0".

17. Equipment [Rail Equipment Involved]

Select the code that best identifies the railroad equipment consist involved in the accident/incident and enter it in the box provided. (See definitions of types of rail equipment given in Chapter 2.) Note that on-track work equipment such as ballast tampers are classified as cars and therefore, should be identified by using code "4" or "5".

When completing this item, pay particular attention to its relationship to other items on the form to avoid contradictions. Some examples of contradictory responses are as follows:

- a. If the description of a railroad equipment includes a reference to "pulling", "pushing", or "moving", then train speed ("Consist Speed") in item 30 cannot be "0".
- b. If the description states that the consist was "standing", then speed in item 30 must be "0", and item 19 cannot indicate that the consist struck the highway user.
- c. If a train is identified, there must be a count of the number of locomotives given in item 28. If the equipment consist was a single car or cut of cars, then item 28 must be "0", and the count of cars must be entered in item 29.

18. Position of Car Unit in Train [Rail Equipment Involved]

Identify the position within the consist of the first locomotive unit or car that struck or was struck by the highway user. The position is determined by counting from (and

FORM FRA F 6180.57 - Continued

including) the leading locomotive unit or car to the position of the first car or locomotive involved in the accident. The leading unit is the first car or locomotive to enter the crossing, regardless of the location of the locomotive(s). For example, in a pushing movement involving a cut of cars and a single locomotive, the count would begin from the car that first entered the crossing.

Special Instruction:

When the consist contains articulated car(s), the count for these is to be the number of platforms/units in such a car. This is necessary in order to maintain comparability of train lengths. The narrative is to contain a reference that articulated cars were included in the consist.

Note: If a single railroad car or locomotive was involved, or if the railroad consist struck the highway user (as shown in item 19), then the entry in this item must be "1".

19. Circumstance [Rail Equipment Involved]

Specify whether the railroad consist struck the highway user or was struck by the highway user. If the railroad equipment struck the highway user, be sure that item 17 does not refer to "standing" equipment, and that the speed of the on-track equipment is given in item 30. If the highway user struck the railroad consist, be sure that the estimated speed of the highway vehicle given in item 14 is greater than "0" and that the position of the highway user was coded "3" in item 16.

20a. Was the highway user and/or rail equipment involved in the impact transporting hazardous materials?

Enter the code that identifies whether or not the rail equipment and/or the highway user was transporting hazardous material as cargo at the time of the impact. For the rail equipment, this includes any car containing hazardous material cargo within the consist, regardless of location, but not generally the locomotive because diesel fuel used by the locomotive and fuses carried by the locomotive are not considered to be cargo. Highway users are to be identified only when the hazardous material is being transported as cargo; the gasoline or diesel fuel used by the vehicle's engine is not considered to be cargo.

20b. Was there a hazardous materials (HAZMAT) release by

Enter the code into the box that shows if there was a HAZMAT release by the highway user and/or rail equipment. If there was no HAZMAT release by either of these, enter the

FORM FRA F 6180.57 - Continued

code for "neither". A release of gasoline or diesel fuel used by the vehicle's engine is not considered a HAZMAT release for the purposes of this item. (Please describe such occurrences in the narrative.)

- 20c. State here the name and quantity of the hazardous material released, if any
Enter the name of the hazardous material released, followed by the quantity released. State the measure, for example, 50 gal[lons], 20 tons.) Describe the hazardous material released in the narrative by name or the Standard Transportation Commodity Code (STCC). (Note: Any release of hazardous material must also be reported on DOT form F 5800.1--see 49 CFR 171.15 and 171.16 for requirements.)
21. Temperature
Enter the temperature (Fahrenheit) at the accident site at the time of the accident. If the temperature was below zero, preface the temperature number with a minus (-) sign.
22. Visibility
Select the most appropriate entry, and place it in the code box. Make sure that the entry does not contradict the time given in item 6; for example, if the time of the accident was 1:30 p.m., it would be inappropriate to code the visibility as "Dawn".
23. Weather
Select the most appropriate weather condition at the time and location of the accident, and enter the code in the box provided.
24. Type of Equipment Consist
Select the code that best identifies the consist for which this report is being prepared, and enter it in the box provided. Make sure that this entry is consistent with the values given in items 17, 28, and 29.
25. Track Type Used by Rail Equipment Involved
Select the code that identifies the type of track on which the accident occurred, and enter it in the box provided. Branch lines should be reported as main line, code "1".
26. Track Number or Name
Enter the number or name used to identify the track on which the accident occurred. If it is main track of a single-track line, enter "single main track".
27. FRA Track Class

FORM FRA F 6180.57 - Continued

Enter the class of track on which the reported consist was located at the time of the accident. Classes of track are defined in the Federal Track Safety Standards (49 CFR Part 213). See 49 CFR 213.4 and 213.9. Excepted track should be entered as Class X.

<u>Track Class</u>	<u>Maximum Speed</u>	
	<u>Freight Trains</u>	<u>Passenger Trains</u>
X	10	Prohibited
1	10	15
2	25	30
3	40	60
4	60	80
5	80	90
6	110	110
7	125	125
8	160	160
9	200	200

28. Number of Locomotive Units

Enter the total number of locomotive units in the consist involved in the accident; if none, enter "0".

29. Number of Cars

Enter the total number of cars in the equipment consist involved in the accident; if none, enter "0". Be sure to include any caboose(s) in the consist in this count.

See special instruction for item 18 on counting articulated cars.

30. Consist Speed

List the speed (mph) at which the consist was traveling when the impact occurred. Enter "E" in the code box to indicate if this is estimated; or enter "R" for a recorded speed. If the consist was not moving, enter "0".

31. Time Table Direction

If the consist was either moving or temporarily stopped, enter the code that describes the time table or schedule direction in the box provided. If this equipment consist was a car or a cut of cars standing on the track, enter "N/A".

32. Type of Crossing Warning

FORM FRA F 6180.57 - Continued

Identify the warning devices by entering the appropriate code(s) in the box(es). For codes "2" and "3", "FLS" means "flashing light signal". Enter a code of "5" ("Highway Traffic Signals") whenever such a signal is present at the crossing site and is used for controlling highway traffic over the crossing.

33. Signaled Crossing Warning

Only if Codes 1-6 in item 32 (Type of Crossing Warning) are selected, enter in this item the status of the warning devices at the crossing at the time of impact, using the following:

1. Provided minimum 20-second warning.
2. Alleged warning time greater than 60 seconds.
3. Alleged warning time less than 20 seconds.
4. Alleged no warning.
5. Confirmed warning time greater than 60 seconds.
6. Confirmed warning time less than 20 seconds.
7. Confirmed no warning.

If status code 5, 6 or 7 was entered, you must append a code from the following:

- A. Insulated rail vehicle.
- B. Storm/lightning damage.
- C. Vandalism.
- D. No power/batteries dead.
- E. Devices down for repair.
- F. Devices out of service.
- G. Warning time greater than 60 seconds attributed to accident-involved train stopping short of the crossing, but within track circuit limits, while warning devices remain continuously active with no other in-motion train present.
- H. Warning time greater than 60 seconds attributed to track circuit failure (e.g., insulated rail joint or rail bonding failure, track or ballast fouled).

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- J. Warning time greater than 60 seconds attributed to other train/equipment within track circuit limits.
- K. Warning time less than 20 seconds attributed to signals timing out before train's arrival at the crossing/island circuit.
- L. Warning time less than 20 seconds attributed to train operating counter to track circuit design direction.
- M. Warning time less than 20 seconds attributed to train speed in excess of track circuit's design speed.
- N. Warning time less than 20 seconds attributed to signal system's failure to detect train approach.
- P. Warning time less than 20 seconds attributed to violation of special train operating instructions.
- R. No warning attributed to signal system's failure to detect the train.
- S. Other cause(s). Explain in Narrative Description.

Note: If the crossing site was not protected by train-activated warning devices, enter "N/A".

34. Whistle Ban

Enter the code which indicates whether or not there was a whistle ban in effect and observed at the time of the accident/incident.

35. Location of Warning

Select the code that identifies the location of the crossing warnings shown in item 32, and enter it in the code box. If there was no protection at the crossing, enter "N/A"; and enter a code of "12" in item 32 for "None" (i.e., no warning).

36. Crossing Warning Interconnected with Highway Signals

If highway traffic signals within 500 feet of the crossing site are interconnected with the train detection circuitry, such that they restrict highway users from the crossing whenever a rail consist occupies or is about to occupy the crossing, enter "1". If the highway traffic signals on the approach to the crossing are within 500 feet of the crossing but are not interconnected with the train detection circuitry, enter "2". Enter "3" in the code box when it is not known whether the highway traffic signals are interconnected. If highway signals are not present within 500 feet of the crossing, enter "N/A".

FORM FRA F 6180.57 - Continued

Note: Item 32 identifies warning devices actually present at, or in the near vicinity of, the crossing. Therefore, it is possible to show highway traffic signals interconnected with train detection circuitry in this item, but not to enter a code of "5" in item 32.

37. Crossing Illuminated by Street Lights or Special Lights

If street lights or other special lights used to illuminate the crossing site were on at the time of the accident/incident, enter "1". If there were no such lights or if they were not illuminated at the time of the accident, enter "2".

38. Driver's Age

Enter the age of the driver. This block is optional; however, the railroad is encouraged to be as diligent as possible when completing this block. If the highway user was a pedestrian, please provide age, if known.

39. Driver's Gender

Enter "1" if the driver was a male, or "2" if the driver was a female. This block is optional; however, the railroad is encouraged to be as diligent as possible when completing this block. If the highway user was a pedestrian, please identify gender.

40. Driver Drove Behind or in Front of Train and Struck or was Struck by Second Train

Enter the appropriate entry in the code box.

Note: If a pedestrian is identified in item 13, then enter "N/A".

41. Driver

Enter the appropriate entry in the code box. If code "3" ("Did not stop") is used, the vehicle must be shown as moving over the crossing in item 16, and traveling at a speed greater than "0" in item 14.

Note: If a pedestrian is identified in item 13, then enter "N/A".

42. Driver Passed Standing Highway Vehicle

Identify whether the highway user, immediately before the accident, had passed another vehicle that had stopped short of the crossing.

Note: If a pedestrian is identified in item 13, then enter "N/A".

43. View of Track Obscured by

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If the highway user's view approaching the crossing was obstructed to the extent that he or she may have been unaware that a rail consist was about to occupy or was occupying the crossing, enter the code that identifies the primary obstruction. If the highway user had a clear view of an approaching consist which had not yet occupied the crossing, enter code "8".

44. Driver was [Condition After Accident/Incident]
Select the code that describes the extent of harm to the driver. If the driver was fatally injured or injured to the extent of requiring medical treatment, a line entry on Form FRA F 6180.55a must also be completed for this accident/incident. See § 225.19(d).
45. Was Driver in the Vehicle?
If the driver of the highway vehicle was in the vehicle at the time of impact, enter "1" in the code box. If the driver had left the vehicle prior to the impact, enter "2".
46. [Casualties to] Highway-Rail Crossing Users
Enter the total number of reportable deaths and injuries. All deaths and injuries must also be reported individually on Form FRA F 6180.55a.
47. Highway Vehicle Property Damage
Enter the estimated cost of damages sustained by the highway vehicle involved. The amount given should reflect the cost of repairs. If the vehicle is beyond repair, the cost is the replacement value of the vehicle. If there was no damage to the vehicle, enter "0". Do not make entries such as "totalled".
48. Total Number of Highway-Rail Crossing Users
Enter the total number of highway-rail crossing users involved in the incident (including the driver, if applicable). The term "Highway-Rail Crossing Users" includes those individuals directly involved in the impact and others at the crossing location who were killed or injured as result of the accident/incident.
49. [Casualties to] Railroad Employees
See instructions for block 46. For purposes of this form, "Railroad Employees" includes only those persons classified as Worker on Duty--Employee (Class A).
50. Total Number of People on the Train
Enter the total number of people on the train at the time of the incident (including passengers and train crew).

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51. Is a Rail Equipment Accident/Incident Report Being Filed?
If the accident resulted in reportable railroad damage above the threshold established for reporting rail equipment accidents/incidents, enter "1" in code box, and complete Form FRA F 6180.54.
52. [Casualties to] Passengers on Train
See instructions for block 46. Passengers on trains are those identified as Class C.
- 53a.-b. Special Study Block
The "Special Study Blocks" (SSB) in this item are for collection of essential data as the need arises. The FRA will notify the railroads in writing, or if appropriate, through publication in the Federal Register, of the purpose and the type of information that is to be collected. In conjunction with the Federal Highway Administration (FHWA), FRA will publish in the Federal Register any announcement affecting highway users, thus allowing motor carriers the opportunity to provide FRA pertinent special study information.
54. Narrative Description
An accident is frequently the culmination of a sequence of related events, and a variety of conditions or circumstances may contribute to its occurrence. A complete record of all of these would be beneficial in accident prevention analysis. However, it is not practical, even if were possible, to develop forms and codes that would capture every detail that may be associated with the causes and resulting consequences of each accident. Therefore, the most appropriate combination of available codes that best identifies the likely primary and any contributing cause and other factors, is to be used when completing your report.

The limitations imposed by standardized reporting forms make it critical that the narrative portion of the report provide additional information concerning those items that cannot be adequately described on the coded portions of the form. The wide variation in the causes and circumstances of accidents makes it impractical to prepare a comprehensive list of items to include in your discussion. You should include any information that increases our knowledge of the underlying reasons why the accident occurred and its consequences.
55. Typed Name and Title
Type or print the name and title of the person responsible for preparing this report form.
56. Signature
Signature of the person shown in item 55.

FORM FRA F 6180.57 - Continued

57. Date
Date the signature was made in item 56.

D. QUESTIONS AND ANSWERS

- Q1. A man driving a truck did not see a train occupying a highway-rail crossing and lost control of his vehicle when he slammed on the brakes to avoid a collision. His truck ended up in the ditch with considerable damage, and he broke his arm. What reports do we need to prepare?
- A1. Since an impact did not occur between a highway and a rail user, you do not need to prepare a highway-rail accident/incident report (form 6180.57). However, the motorist did sustain a reportable injury arising from the operation of a railroad. Therefore, an injury report (form 6180.55a) must be completed. If the motorist had struck the consist in this example, a form 6180.57 would be required even though the impact did not occur on the crossing site.
- Q2. Say that a highway user struck a signal stand at a highway crossing and was injured, but there was no on-track equipment present, nor were employees of the railroad in the vicinity. Is this reportable?
- A2. No. Section 225.15(a) exempts the reporting of motor vehicle accidents at highway-rail crossing sites when they do not involve the presence of on-track equipment or railroad employees.
- Q3. A motorist in an off-road vehicle was waiting behind several automobiles at a crossing site where the gates were down and a standing train was occupying the track. He apparently became impatient and drove his vehicle off the highway and parallel to the track to a point where he could cross over the track behind the train. His vehicle stalled on a parallel set of tracks, and he was unable to start it. He exited his truck just before a train on the adjacent track hit it. Should this be reported as a highway-rail accident/incident or any other type?
- A3. An event such as this would not qualify as a highway-rail crossing collision since the motor vehicle operator had left the highway of his own choosing and his vehicle was struck at a location other than a designated crossing site. The event would be reportable as an obstruction accident on form 6180.54 if reportable damage was in excess of the threshold. If the motorist had been hurt in connection with this event, then an injury report (form 6180.55a) would need to be completed.

FORM FRA F 6180.57 - Continued

E. COMMON REPORTING ERRORS

Contradictory Information.

The following is a partial listing of some of common errors resulting from contradictory information.

If a highway vehicle was moving at the time of the impact, vehicle speed in item 14 cannot be "0", and the vehicle's position on the crossing shown in item 16 must be "3" ("Moving over crossing").

If the highway vehicle was not moving, the vehicle speed must be "0"; the position code in item 16 cannot be "3" ("Moving over crossing"), and item 19 must be "1", indicating that the rail consist struck the highway user.

If the rail consist was moving at the time of the impact, item 17 must be either "1", "2", "4", "6", or "8", and the speed in item 30 cannot be "0". If the rail consist was not moving, then item 17 must contain "3", "5", "7", or "8"; the consist speed in item 30 must be "0"; and item 19 must be coded "2", indicating that the highway user struck the rail consist.

If the rail consist struck the highway user, code "1" must be entered in item 19, and the position of the car/unit in the consist given in item 18 must be "1". This position is determined by counting from the leading car/unit in the consist, identified as the first car/unit to enter the crossing. Therefore, whenever a rail consist strikes the highway user, it will always be the leading unit that makes the initial contact.

Item 41 cannot indicate that a motorist was driving around or through gates if gates were not present at the crossing, as shown in item 32.

Failure to File Other Accident/Incident Forms or Filing Contradictory Data On Different Reports.

When Part 225 requires that a single accident be reported on more than one kind of form, be sure to verify that similar information contained on the various reports is consistent. The following are a few of the items which should be reviewed prior to forwarding the monthly reports.

If reportable casualties occurred in the accident, these must be reported individually on Form FRA F 6180.55a.

FORM FRA F 6180.57 - Continued

If reportable damage (rail equipment and track) exceeded the threshold for train accidents, Form FRA F 6180.54 must be completed. Carefully compare all related information between these forms to ensure consistency.

The casualties reported on Form FRA F 6180.55a must have the same State code as that shown on Form FRA F 6180.57.

CHAPTER 11 - FORM FRA F 6180.56
Annual Railroad Report of Employee Hours and Casualties, by State

A. REQUIREMENT

A summary of all hours worked by railroad employees, and employee casualties, during the report year must be made on Form FRA F 6180.56 and be included with the December submission.

B. GENERAL INSTRUCTIONS AND INTERPRETATIONS

To alleviate the recordkeeping problems caused when certain employees, such as train crews, work in more than one State, the hours worked may be computed based on the location of such persons' home terminals or the locations where they normally reside. This includes instances when railroad employees operate trains into Canada or Mexico.

The sum of the hours worked shown on this form must equal the total number of hours reported on the monthly reports (form 6180.55). If not, then updates to the monthly reports must be made. The hours worked by all employees of the railroad, regardless of occupation, are to be included. Non-work time, such as sick leave, is to be omitted even though it is paid. **Do not include hours of volunteers, the employees of railroad contractors, or other classifications of persons.**

The total casualties reported for the year on this form must not differ from the total casualties for the year as reported on form 6180.55a for Worker on Duty--Employees (Class A). **Do not include casualties of volunteers, the employees of railroad contractors, or other classifications of persons.**

C. INSTRUCTIONS FOR COMPLETING FORM FRA F 6180.56

Item Instruction

1. Reporting Railroad
Enter the full name of the reporting railroad in the box provided.
2. Alphabetic Code
Enter the alphabetic code of the reporting railroad in the box provided. See Appendix A.
3. Report Year
Enter the calendar year covered by this report.
4. Establishments Included in this Report
List the number of establishments operated during the year.

FORM FRA F 6180.56 - Continued

5. Average Employment in Report Year
Enter the average number of workers employed during the report year. Count all railroad employees. Include railroad employees who are seasonal, temporary, part-time, office and clerical staff, maintenance, etc. This number may be calculated by adding the employment count from all payroll periods during the year and then dividing that figure by the number of payroll periods.

6. [Untitled]
Enter the number of hours worked for the report year in each State by employees of the reporting railroad. Also enter the total count of casualties for Worker on Duty--Employees (Class A) (both fatal and nonfatal) for the reporting railroad, for the year, by State.

Do not include time paid, but not actually worked, such as holidays and vacations.

7. Total Employee Hours for the Year
Enter the total number of combined hours worked for the report year, for all of the States, by employees of the reporting railroad. Include hours of any employee whose job required temporary absence from the United States.

8. Total Casualties During the Year
Enter the total number of casualties to persons classified as Worker on Duty--Employee (Class A). Please attach a brief explanation for those States where employee casualties occurred but no hours are reported. All casualties, including covered data cases are to be included.

9. Typed Name and Title
Enter the name and title of the person responsible for preparing this report.

10. Signature
Signature of the person shown in item 9.

11. Date of Signature
Date that the signature in item 10 was made.

CHAPTER 12
Railroad Accident/Incident Reporting and Recordkeeping
Requirements for Commuter and Other Passenger Rail Operations

A. GENERAL

The Federal Railroad Administration's (FRA) regulations on reporting railroad accidents/incidents are found primarily in Title 49 of the Code of Federal Regulations (CFR), Part 225 (49 CFR Part 225).

Purpose. The FRA has a special need to determine the safety record of railroads carrying passengers.

Many passenger railroads perform their own train operations; these railroads should report their train miles, injuries, accident and highway-rail crossing accidents using the normal procedures in this Guide.

However, there are occasions when a Commuter and Other Passenger¹ Railroads do not perform the rail operations. In those rare cases the following would apply to FRA Reporting: Accidents/incidents by the Commuter Railroad or Other Railroad Transporting Passengers who contracts their operations out to another railroad or transportation company. **Each passenger railroad must report their own train miles, railroad worker hours, passenger train miles, and other applicable information on the FRA Form 6180.55 even if another company performs the service for that railroad in a contractual manner. Any injuries, accidents or highway-rail crossing accidents must also be reported by the commuter/passenger railroad.**

Part 225 covers any and all activities of a railroad related to the performance of its rail transportation business. "Railroad transportation" means any form of non-highway ground transportation that run on rails or electro-magnetic guideways, including (1) commuter or other short-haul railroad passenger service in a metropolitan or suburban area, as well as any commuter railroad service that was operated by the Consolidated Rail Corporation as of January 1, 1979, and (2) high speed ground transportation systems that connect metropolitan areas, without regard to whether they use new technologies not associated with traditional railroads. Such terms do not include rapid transit operations within an urban area that are not connected to the general railroad system of transportation. See § 225.5.

Care should be taken not to report the same accident/injury twice.

Partial relief to certain small railroads generally covered by Part 225. For Commuter Passenger Operations, employees of a contracted railroad and contract employees will not be

¹Passenger includes excursion, tourist, or any other form of railroad transporting passengers.

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included in the commuters count to determine if they that have 15 or fewer employees covered by the hours of service law.

If your railroad is subject to Part 225 and has fewer than 15 employees then you need not adopt and comply with components 3 through 10 of the Internal Control Plan requirements in § 225.33. See §225.33(a)(3)-(10). However, you must fulfill the requirements of components 1 and 2, which require a stated policy dealing with harassment and intimidation. See § 225.33(a)(1)-(2). To assist railroads in developing this policy, the FRA has provided suggested language, found in Appendix I to this Guide that may be used.

Exceptions

The FRA Office of Safety has already worked with railroads to make accommodations to assist commuter railroads in reporting.

Examples:

A commuter railroad has another company perform all of its train operations over the other railroad's track. The commuter railroad has requested that the other railroads perform all FRA record keeping, including those required by 49 CFR 225. The contracting railroad, with explicit written permission, files with the FRA, all the required forms under 49 CFR 225, using the commuter railroad code and name. This is acceptable to the FRA; however, if there are exceptions taken for improper reporting, it is the **responsibility of the commuter railroad to insure correct reporting, and enforcement actions will be applied to the commuter railroad.**

Form 6180.55

As a railroad subject to Part 225, each commuter/passenger railroad must report individually using an identifier unique to that operation. If you are operating a commuter service under contract, all accident/incident information associated with that operation must be reported under the reporting marks of that commuter railroad. This includes all operational data, e.g., train miles, railroad worker hours, passengers transported, passenger train miles. The railroad worker hours are associated with the train operations. These employee hours must include the hours of the train crew that is under contract if the employees are covered by the Railroad Retirement System, even though they are contractors from another railroad. If the trackage is owned and maintained by a freight railroad then the maintenance of the track is not required to be kept by the commuter/passenger railroad. If the track is owned and maintained by the commuter railroad and used by freight operators then the repair and maintenance of the track is required to be kept by the commuter/passenger railroad. If the repair and maintenance of the track are done by railroad employees then the "Employee Hours" will be included under the commuter railroad. If

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the repairs are done by contract employees² then no “Employee Hours” are kept. If the track is solely for the purpose of the commuter/passenger system then all hours associated with the repair and maintenance must also be included under the “Employee Hours” category.

Form 6180.55a

All accountable and reportable injuries that occur in connection with this operation are to be recorded under the initials assigned to that operation. All injuries to railroad employees that are subject to the Railroad Retirement System will be recorded as Class A or Class B, even though they are contractors from another railroad. It is the reporting railroad’s responsibility to insure that the other railroad notifies the operating railroad of all reportable and accountable injuries. *See the discussion on Contractors* Chapter 12, Page 4.

Form 6180.54

All accountable and reportable train accidents occur in connection with this operation are to be recorded under the initials assigned to that operation. It is the reporting railroad’s responsibility to insure that the other railroad notifies the operating railroad of all reportable and accountable accidents.

Form 6180.57

All reportable Highway-Rail Crossing Accidents that occur in connection with this operation are to be recorded under the initials assigned to that operation. It is the reporting railroad’s responsibility to insure that the other railroad notifies the operating railroad of all reportable Highway-Rail Crossing Accidents.

Hypothetical Commuter Case

A commuter railroad owns part of the railroad that they operate on and contracts-out operating services to a railroad company (Part A of their operation). The commuter railroad also has operating rights on a different section of railroad that is owned by a freight carrier (Part B of their operation). They contract-out track and signal maintenance to a non-railroad contractor for the section of railroad that they own (Part A), but do their own maintenance of their passenger railroad cars. It is the responsibility of the commuter railroad to ensure that they acquire all the accident/incident information from the various parties and report all reportable accident/incidents to the FRA. The commuter railroad will not report those employees’ injuries and man-hours that occur to the freight railroad employees unless they are the contract-operating employees of the commuter railroad. The commuter railroad will be responsible for the collection and reporting of contract³ employee injuries and all railroad incidents. The contract-operating employees’ hours

²See discussion of Contractors - Chapter 12, Page 4

³ See discussion on Contractors, Chapter 12, Page 4

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(Part B) are aggregated with the commuter railroad's employees' hours and injuries (including the employees maintaining the passenger cars). The track and signal maintenance contracts (Part A) are reported as Contractor - Work-On-Duty for any injuries sustained on the commuter's railroad property, but their hours are not reported.

Hypothetical Excursion Case

A railroad owns several antique passenger cars and a steam engine, and promotes excursion trips at various times during the year. Members of the general public had purchased sufficient tickets to warrant the operation of an excursion train on a specific day. The route for operating the excursion train was over the tracks of a freight railroad. The railroad entered into a contract with the freight railroad to provide a train and engine crew to operate the excursion train. During this trip, it was necessary for the freight railroad crew to detach the locomotive from the excursion train, run around the train, and place the locomotives on the other end. When the crew was intending to couple into the standing train, the locomotive struck the standing train at 10 mph. The collision caused damage in excess of the current threshold limit, and resulted in seven injuries to passengers that met FRA's criteria for reporting.

In this example, both the excursion railroad and the freight railroad would be required to complete FRA Forms F6180.54, "Rail Equipment Accident/Incident Report." The excursion railroad would be considered the "consist owner" for reason that it had entered into a contract with the freight railroad to operate their train, and would report the consist damage. The freight railroad would also be required to complete a report for their track damage involved.

Concerning the seven reportable injuries to passengers, the excursion railroad would be required to file reports for all seven cases on FRA Forms F6180.55a, as they would be considered as the "consist owner" for reason that it had entered into a contract with the freight railroad to operate their train.

Contractors

FRA has two definitions of Contractor: Worker-On-Duty - Contractor, Contractor - Other. Both of these categories are for persons not employed by any railroad and do not contribute to the Railroad Retirement System. If a contractor is injured performing Safety Sensitive functions that day, then the contractor will be reported as a Worker-On-Duty - Contractor; Class F. Railroad employees (e.g., being reported to the Railroad Retirement System) performing service to a commuter or other passenger railroad are considered Employee-On-Duty to the passenger railroad for the purpose of Accident/Incident reporting. As such, hours worked by these individuals for the passenger service railroad will be recorded in Block 15 "Railroad Worker Hours" on the Form 6180.55, injuries to these individuals will be reported by the passenger railroad as an Employee-On-Duty (Class A), the hours worked and any injury will not be reported by the employing railroad.

CHAPTER 13 - FORM FRA F 6180.107
Alternative Record for Illnesses Claimed to Be Work-Related

A. REQUIREMENT

This form is to be used only for a railroad employee claimed occupational illness where the work relationship is under dispute or the illness has been determined not to be work related.

Each railroad shall maintain either the Alternative Record for Illnesses Claimed to Be Work-Related (Form FRA F 6180.107) or an alternative railroad-designed record for each illness of a railroad employee that is claimed to be work-related, regardless of how the information was received. Include only claimed occupational illnesses of railroad employees (that is, Worker on Duty--Employee (Class A)). Do not include any injuries. Do not include any illnesses of Workers on Duty--Employee that have already been reported on Form FRA F 6180.98 or Form FRA F 6180.55a.

1. Each railroad shall maintain either the Form FRA F 6180.107, or an alternate railroad-designed record containing the same information as called for on the Form FRA F 6180.107, to the extent that the information is reasonably available, for all employee claimed occupational illnesses-
 - i for which there is insufficient information to determine whether the illness is work-related;
 - ii for which the railroad has made a preliminary determination that the illness is not work-related; or
 - iii for which the railroad has made a final determination that the illness is not work-related.

Note: In the event the narrative block (similar to Form FRA F 6180.98, block 39) indicates that the case is not reportable, the explanation contained on that block shall record the reasons the railroad determined that the case is not reportable, making reference to the most authoritative information relied upon.

2. In the event the railroad must amend the record with new or additional information, the railroad shall have up until December 1 of the next calendar year for reporting accidents/incidents (following when the railroad employee claims that an illness is work related) to make the update.

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3. Each railroad shall create an appropriate Alternative Record for Illnesses Claimed to Be Work-Related as early as practicable, but no later than seven working days after receiving information or acquiring knowledge that an employee occupational illness has been claimed.
4. Although the Alternative Record for Illnesses Claimed to Be Work-Related (or the alternate railroad-designed form) may not include all supporting documentation, such as medical records, the alternative record shall note the location of supporting documents so that they are readily accessible to FRA upon request.

The alternative railroad-designed record may be used in lieu of the Alternative Record for Illnesses Claimed to Be Work-Related (Form FRA F 6180.107). Any such alternative record shall contain all of the information required on the Alternative Record for Illnesses Claimed to Be Work-Related. Although this information may be displayed in a different order from that on the Alternative Record for Illnesses Claimed to Be Work-Related, the order of the information shall be consistent from one such record to another, and the order chosen by the railroad shall be consistent for each of the railroad's reporting establishments. Railroads may list additional information on the alternative record beyond the information required on the Alternative Record for Illnesses Claimed to Be Work-Related.

A primary purpose for the recording of these special cases is to establish a standardized set of data that the reporting officer will use in deciding whether or not to report a case. It also serves as a tool for FRA safety assurance and compliance officers to use during reviews to determine if proper reporting decisions are being made. **Once it has been determined that a particular case is accountable, then the information must recorded on Form FRA F 6180.98; furthermore, if the case becomes reportable and has been reported on Form FRA F 6180.55a, it is no longer necessary to continue to update the Form FRA F 6180.107 or the Form FRA 6180.98.** If the case is reported, changes to counts of days absent or restricted are to be made on Form FRA F 6180.55a, not on Form FRA F 6180.107 or Form FRA F 6180.98.

The records described above may be maintained at the local establishment or, alternatively, at a centralized location. If the records are maintained at a centralized location, but not through electronic means, then a paper copy of the records that are current within 35 calendar days of the month to which they apply shall be available for that establishment. If the records are maintained at a centralized location through electronic means, then the records for that establishment shall be available for review in a hard copy format within five business days of FRA's request. FRA recognizes that circumstances outside the railroad's control may preclude it from fulfilling the five-business-day time limit. In these circumstances, FRA will not assess a monetary penalty against the railroad for its failure to provide the requested documentation, provided that the railroad made a reasonable effort to correct the problem. See § 225.35.

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Do not submit this form or an alternate railroad-designed record if a case is determined to be reportable; it must be recorded on Form FRA F 6180.55a and included with the reports filed for that month.

The Form FRA F 6180.107 or the alternate railroad-designed form must be provided to FRA upon request, within five business days, and may be kept at a central location, in either paper or electronic format. The railroad need not continue to monitor this case or supply additional information on the Alternative Record for Illnesses Claimed to Be Work-Related (Form FRA F 6180.107) after December 1 of the year following the claimed illness. If the record is kept at a central location then a list of all Form FRA f 6180.107 cases must be made available to FRA upon request.

The information required to be recorded on Form FRA F 6180.107 is self-explanatory; therefore, specific instructions for completion are not needed. However, it is important to note that the "Case/Incident Number" identified in block 2 must be used on Form FRA F 6180.98 and Form FRA F 6180.55a for any case determined to be accountable or reportable.

The alternative record shall contain the following information, to the extent that it is reasonably available:

1. Name of railroad;
2. Case/incident number;
3. Full name of railroad employee;
4. Date of birth of railroad employee;
5. Gender of railroad employee;
6. Social security number or employee number of railroad employee;
7. Date the railroad employee was hired;
8. Home address of railroad employee; include the street address, city, State, ZIP code, and home telephone number with area code;
9. Name of facility where railroad employee normally reports to work;
10. Location, or last known facility, where employee reports to work;

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11. Job title of railroad employee;
12. Department to which employee is assigned;
13. Date on which employee or representative (e.g., legal counsel) notified company personnel of condition;
14. Name and title of railroad official notified;
15. Nature of claimed illness;
16. Supporting documentation: Custodian's name, title, and address, and location of supporting documentation;
17. Narrative; and
18. The preparer's name; title; telephone number with area code; and the date the log entry was completed.

B. QUESTIONS AND ANSWERS

- Q1. The only information provided to the railroad was the employee's name and social security number. Further attempts to complete the other data elements were rejected by the employee and/or his or her attorney. Does this meet FRA requirements?
- A1. Yes. The railroad should continue to complete all the data elements when the information becomes available and should make a good faith effort to obtain the information. However, the railroad is not expected to continue this effort past December 1 of the year that follows the date on which the railroad first received a claim of the illness.

APPENDIX A **Railroad Codes**

AR Aberdeen & Rockfish RR Co.
ACWR Aberdeen, Carolina & Western RR
AVSX Abilene & Smokey Valley RR
AKDN Acadiana Rwy Co.
ADCX Adirondack Scenic RR
ADBF Adrian & Blissfield RR
AB Akron Barberton Cluster Rwy Co.
AF Alabama & Florida Rwy Co.
AGR Alabama & Gulf Coast Rwy LLC
ALAB Alabama RR Co., Inc.
ABL Alameda Belt Line
AGCR Alamo Gulf Coast RR Co.
ARR Alaska RR Corp.
AERC Albany & Eastern RR Co.
APRR Albany Port RR
ARC Alexander RR Co.
AWW Algers, Winslow & Western Rwy Co.
ALQS Aliquippa & Southern RR Co.
ALY Allegheny And Eastern RR
AVR Allegheny Valley RR Co.
AL Almanor RR Co.
ACEX Altamont Commuter Express Authority
ALS Alton & Southern Rwy
AFR Amador Foothills RR
AMTZ Ameritrac Rail Services
AMIX Amicor Switching Operation
ATK Amtrak
ANR Angelina & Neches River RR Co.
AA Ann Arbor RR
APA Apache Rwy Co.
AN Apalachicola Northern RR Co.
APNC Appanoose County Community RR Co.
ARA Arcade & Attica RR Corp.
ARZC Arizona & California RR Co.
AZCR Arizona Central RR, Inc.
AZER Arizona Eastern RR
AM Arkansas & Missouri RR Co.
ALM Arkansas Louisiana & Mississippi RR Co.
AKMD Arkansas Midland RR Co., Inc.
AOK Arkansas-Oklahoma RR Inc.
ASRY Ashland Rwy Inc.
ACJR Ashtubula, Carson & Jefferson RR
ABR Athens Line LLC, The
ATW Atlantic & Western Rwy, L.P.
ATCX Austin & Texas Central RR
AUAR Austin Area Term. RR
ATLT Austin, Todd & Ladd RR Co.

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APPENDIX A - Continued

BHX B&H Rail Corp
BDTL Ballard Term. RR Co LLC
BOCT Baltimore & Ohio Chicago Term. RR Co.
* Part of CSX Transportation [CSX]
BAR Bangor & Aroostook RR
BKRR Batten Kill RR
BYCX Battleground, Yacolt & Chelatchie Prarie RR
BXN Bauxite & Northern Rwy Co.
BCLR Bay Colony RR
BAYL Bay Line RR, L.L.C.
BMH Beaufort & Morehead Rwy Inc.
BML Belfast & Moosehead Lake RR Co.
BHRX Bellefonte Historical RR Society
BRC Belt Rwy Co. Of Chicago
BLE Bessemer & Lake Erie RR Co.
BSFX Big South Fork Scenic Rwy
BDW Bighorn Divide & Wyoming RR, Inc.
BS Birmingham Southern RR Co.
BHC Black Hills Central RR
BRW Black River & Western RR
BLR Blacklands RR
BLOL Bloomer Shippers Connecting RR Co.
BRTR Blue Rock Transportation Co.
BRMI Bluegrass RR Museum, Inc.
BSV Boone Scenic Valley
BOP Border Pacific RR
BM Boston & Maine Corp.
* Part of Guilford RR System [GRS]
BRAN Brandon Corp.
BVRV Brandywine Valley RR Co.
BRG Brownsville & Rio Grande International RR
BCRR Buckeye Central Scenic RR
BB Buckingham Branch RR Co.
BPRR Buffalo & Pittsburgh RR, Inc.
BSOR Buffalo Southern RR, Inc.
BJRY Burlington Junction Rwy
BN Burlington Northern RR Co.
* Part of Burlington Northern Santa Fe Corp. [BNSF]
BNSF Burlington Northern Santa Fe Corp.
BNSO Burlington Northern Santa Fe Suburban Operations SRR
* Part of Northeast IL Regional Comm. Rail Corp. [NIRC]

CNUR C & NC RR Corp.
CSKR C&S RR Corp.
CMC CMC RR Inc.
CSX CSX Transportation

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APPENDIX A - Continued

CVYR Caddo Valley RR Co.
CWCY Caldwell County RR Co.
CFNR California Northern RR Co.
CSRM California State RR Museum
CWR California Western RR
CSP Camas Prairie Railnet Inc
CCRA Camp Chase Industrial RR Corp
CDAC Canadian American RR Co.
CN Canadian National - North America
CNIC Canadian National Illinois Central
CPRS Canadian Pacific Rwy
CP Canadian Pacific Rwy Co.
CFWR Caney Fork & Western RR
CRRX Canon City And Royal Gorge RR, LLC
CTN Canton RR Co.
CCCX Cape Cod Central
CF Cape Fear Rwys, Inc.
CMSX Cape May Seashore Lines, Inc.
CLNA Carolina Coastal Rwy, Inc.
CPDR Carolina Piedmont Division-South Carolina Central RR
CRIJ Carolina Rail Services Co.
CALA Carolina Southern RR Co.
CZRY Carrizo Gorge Rwy Inc.
CARR Carrollton RR
* Part of CSX Transportation [CSX]
CKSI Carthage, Knightstown & Shirley RR
CSCD Cascade & Columbia River RR
CASS Cass Scenic
CMRR Catskill Mountain RR
CIC Cedar Rapids & Iowa City Rwy Co.
CEDR Cedar River RR Co.
* Part of Illinois Central RR Co. [IC]
CCT Central California Traction Co.
CQPA Central Columbiana & Pennsylvania Rwy Inc.
CEIW Central Indiana & Western RR Co.
CKRY Central Kansas Rwy, Inc.
CMGN Central Michigan Rwy Co.
CM Central Montana RR
CNYK Central New York RR Corp.
* Part of New York, Susquehanna & Western RR Co. [NYSW]
CGA Central Of Georgia RR Co.
* Part of Norfolk Southern Corp. [NS]
CORP Central Oregon & Pacific RR, Inc.
CIND Central RR Co. Of Indiana
CERA Central RR Co. Of Indianapolis
CIRR Chattahoochee Industrial RR
CCKY Chattooga & Chickamauga RR
CHCX Chehalis & Centralia RR Association

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APPENDIX A - Continued

CA Chesapeake & Albemarle RR Co.
CHR Chestnut Ridge Rwy Co.
CRL Chicago Rail Link
CSL Chicago Short Line Rwy Co.
CSS Chicago Southshore & South Bend RR
* Part of Northern Indiana Comm. Trans. District [NICD]
CC Chicago, Central & Pacific RR Co.
* Part of Illinois Central RR Co. [IC]
CCUO Chicago-Chemung RR Corp.
CBRM Chillicothe-Brunswick Rail Maintenance Authority
CVR Cimarron Valley RR L C
CNRX Cincinnati Rwy Co., The
COP City Of Prineville Rwy
CCRR Claremont Concord RR Corp.
CLP Clarendon & Pittsford RR Co.
CWRO Cleveland Works Rwy Co.
CTR Clinton Term. RR Co.
CTRR Cloquet Term. RR Co., Inc.
CTRR Cloquet Term. RR Co., Inc.
CRLE Coe Rail Inc.
CW Colorado & Wyoming Rwy Co.
CCEX Colorado Central RR
CKP Colorado Kansas and Pacific
CLC Columbia & Cowlitz Rwy Co.
CBRW Columbia Basin RR Co. Inc.
CBCX Columbia Business Center
CT Columbia Term. RR Co.
CAGY Columbus & Greenville Rwy Co.
CUOH Columbus & Ohio River RR
CWRY Commonwealth Rwy, Inc.
COEH Conecuh Valley RR
CBL Conemaugh & Black Lick RR Co.
CDOT Connecticut Department Of Transportation
CSO Connecticut Southern RR Inc.
CRSH Conrail Shared Assets
CGBX Consolidated Grain & Barge Co.
CR Consolidated Rail Corp.
CONW Conway Scenic RR
CACV Cooperstown & Charlotte Valley Rwy Corp
* Part of New York, Susquehanna & Western RR Co. [NYSW]
CMRX Coopersville & Marne RR
CBRY Copper Basin Rwy, Inc.
CRCX Cornhusker Rail Car Services, Inc.
CCPN Corpus Christi Term. RR Inc.
CSRX Corydon 1883 Scenic RR
CBGR Council Bluffs Rwy Co.
COER Crab Orchard & Egyptian RR
CTSR Cumbres & Toltec Scenic RR

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APPENDIX A - Continued

CUVA Cuyahoga Valley Rwy Co.
CVSX Cuyahoga Valley Scenic Rwy

DAIR D & I RR Co.
DSRC Dakota Southern Rwy Co.
DME Dakota, Minnesota & Eastern RR
DMVW Dakota, Missouri Valley & Western RR, Inc.
DGNO Dallas, Garland & Northeastern RR
DR Dardanelle & Russellville RR
DQE DeQueen & Eastern RR Co.
DT Decatur Junction Rwy Co.
DH Delaware & Hudson Rwy Co.
DURR Delaware & Ulster Rail Ride
DL Delaware Lackawanna RR
DC Delray Connecting RR Co.
DSRR Delta Southern RR Co.
DVS Delta Valley & Southern Rwy Co.
DRIR Denver Rock Island RR
DUT Denver Union Term. Rwy
DOD Department Of Defense - Other
DLWR Depew, Lancaster & Western RR Co., Inc.
DCRR Dubois County RR
DNE Duluth & Northeastern RR Co.
DMIR Duluth, Missabe & Iron Range Rwy Co.
DWP Duluth, Winnipeg & Pacific Rwy
DSNG Durango & Silverton Narrow Gauge RR Co.

EACH East Camden & Highland RR Co.
ECBR East Cooper & Berkeley RR
EEC East Erie Commercial RR
EJR East Jersey RR & Term. Co.
EPRY East Penn Rwys, Inc.
ETRY East Tennessee Rwy, L.P.
EARY Eastern Alabama Rwy Co.
EIRR Eastern Idaho RR
EIRC Eastern Illinois RR Co.
EMRX Eastern Maine RR Co.
* Part of Eastern Maine RR Co. [EMRY]
EMRY Eastern Maine RR Co.
ESHR Eastern Shore RR Inc.
TXTX Econo Rail Corp.
EFRR Effingham RR Co.
EDW El Dorado & Wesson Rwy Co.
EJE Elgin, Joliet & Eastern Rwy Co.
ELKR Elk River RR, Inc.
EERZ Ellis & Eastern Co.

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APPENDIX A - Continued

EWR Erie Western Rwy
ESWR Escalanta Western Rwy
ELS Escanaba & Lake Superior RR Co.
EKNA Eureka Springs & North Arkansas RR
EV Everett RR Co.

FRR Falls Road RR Co. Inc.
FMRC Farmrail Corp.
FMWX Fillmore And Western
FGLK Finger Lakes Rwy Corp.
FIR Flats Industrial RR
FCEN Florida Central RR Co.
FEC Florida East Coast Rwy Co.
FMID Florida Midland RR Co., Inc.
FNOR Florida Northern RR Co., Inc.
FWCR Florida West Coast Rwy
FP Fordyce & Princeton RR Co.
FRVT Fore River Transportation Corp.
FSR Fort Smith RR Co.
FWWR Fort Worth & Western RR
FEVR Freemont & Elkhorn Valley RR
FWPP Fremont, West Point & Pacific Rwy
FC Fulton County RR Co.

GVSR Galveston RR, L.P.
GCW Garden City Western Rwy Co.
GWWE Gateway Eastern RR Co.
GWWR Gateway Western Rwy
GRR Georgetown RR Co.
GFRR Georgia & Florida Railnet
GC Georgia Central Rwy, L.P.
GNRR Georgia Northeastern RR Co.
GSWR Georgia Southwestern RR Division
GWRC Georgia Woodlands RR
GBRY Gettysburg RR Co.
GSRX Gettysburg Scenic Rail Tour
GET Gettysburg and Northern RR
GLSR Gloster Southern RR
GITM Golden Isles Term. RR, Inc.
GTRA Golden Triangle RR Co.
GU Grafton & Upton RR Co.
GNBC Grainbelt Corp.
GCRX Grand Canyon Rwy
GR Grand Rapids Eastern RR Inc.
GTW Grand Trunk Western RR Inc.
GMRY Great Miami & Scioto Rwy Co.

APPENDIX A - Continued

GTR Great River RR
GSM Great Smoky Mountains Rwy
GRWR Great Walton RR Co.
GWR Great Western Rwy Co.
GMRC Green Mountain RR Corp.
GRS Guilford RR System
GUIL Guilford Transportation Industries, Inc
* Part of Guilford RR System [GRS]
GCSR Gulf, Colorado San Saba Rwy Corp.

HS H & S RR Co., Inc.
HB Hampton & Branchville RR Co.
HSRR Hardin Southern RR, Inc.
HRT Hartwell RR Co.
HRSX Hawaiian Rwy Society
HOG Heart of Georgia RR, Inc.
HVRX Heber Valley RR Utah
HPTD High Point, Thomasville & Denton RR Co.
HE Hollis & Eastern RR Co.
HCRR Honey Creek RR, Inc.
HOS Hoosier Southern RR
HRRC Housatonic RR Co., Inc.
HMCR Huntsville & Madison county RR Authority
HESR Huron & Eastern Rwy
HN Hutchinson & Northern Rwy Co.

INPR Idaho Northern & Pacific RR Co.
IMRR Illinois & Midland RR Inc.
IC Illinois Central RR Co.
IR Illinois Railnet Inc.
IRYM Illinois Rwy Museum
ILW Illinois Western RR Co.
ISCZ In-Term. Services Corp.
ICRK Indian Creek RR Co.
IOCR Indiana & Ohio Central RR, Inc.
IORX Indiana & Ohio Rail Passenger
IORY Indiana & Ohio Rwy
IHB Indiana Harbor Belt RR Co.
IN Indiana Northeastern RR Co., Incorporated
INRD Indiana Rail Road Co.
IRM Indiana Rwy Museum
ISRR Indiana Southern RR Co., Inc.
ISW Indiana Southwestern Rwy Co.
ITMZ Indiana Transportation Museum
RSIX Intermodal Transfer, LLC
ICE Iowa Chicago and Eastern RR Corp.

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APPENDIX A - Continued

ICE Iowa Chicago and Eastern RR Corp.
IMRL Iowa Chicago and Eastern RR Corp.
IAIS Iowa Interstate RR
IANR Iowa Northern Rwy Co.
IATR Iowa Traction RR Co.
ISSR Iss Rail, Inc.

JEFW Jefferson Warrior RR
JERX Joppa & Eastern RR Co.
JVRR Juniata Valley RR Co.

KWT K.W.T. Rwy, Inc.
KRTX Kanawha River Term.
KBSR Kankakee, Beaverville & Southern RR Co.
KCS Kansas City Southern Rwy Co.
KCT Kansas City Term. Rwy Co.
KO Kansas and Oklahoma RR
KTR Kendallville Term. Rwy Co.
KT Kentucky & Tennessee Rwy
KRM Kentucky Rwy Museum
KJRY Keokuk Junction Rwy
KMRY Kettle Moraine Rwy
KRR Kiamichi RR Co. LLC
KJR Kiski Junction RR
KNOR Klamath Northern Rwy Co.
KKRR Knox & Kane RR Co.
KXHR Knoxville & Holston River RR Co., Inc.
KYLE Kyle RR Co.

LKP Lahaina Kaanapoli And Pacific
LCR Lake County RR
LSRX Lake Shore Rwy
LSRC Lake State Rwy Co.
LSI Lake Superior & Ishpeming RR Co.
LSMR Lake Superior & Mississippi RR
LSMT Lake Superior Museum Of Transportation
LT Lake Term. RR Co.
LWAT Lake Whatcom Rwy
LC Lancaster & Chester Rwy Co.
LNVT Landisville Term. & Transfer Co.
LNO Laona & Northern Rwy
LRS Laurinburg & Southern RR Co.
LCSR Leadville, Colorado & Southern RR, Co.
LINC Lewis & Clark RR Co.
LXOH Lexington & Ohio RR Co. Inc.

APPENDIX A - Continued

LFIZ Litchfield Industrial RR
LKRR Little Kanawha River Rail
LRR Little River RR
LRWN Little Rock & Western Rwy, L.P.
LRPA Little Rock Port RR Co.
LAL Livonia, Avon & Lakeville RR Corp.
LER Logansport & Eel River Short Line Co., Inc.
LI Long Island Rail Road
LS Longview Switching
LAJ Los Angeles Junction Rwy Co.
LDRR Louisiana & Delta RR
LNW Louisiana & North West RR Co.
LIRC Louisville & Indiana RR Co.
LW Louisville & Wadley Rwy Co.
LNAL Louisville, New Albany & Corydon RR
LNAC Louisville, New Albany And Corydon RR Co.
* Part of Louisville, New Albany & Corydon RR [LNAL]
LBR Lowville & Beaver River RR Co.
LXVR Luxapalila Valley RR Inc.
LSX Luzerene & Susquehanna Rwy Co.
LVRR Lycoming Valley RR Co.

MNBR M & B RR LLC
MACZ MARC Train Service
CMPA Madison RR Division
MAA Magma Arizona RR Co.
MVRV Mahoning Valley RR Co.
MEC Maine Central RR Co.
* Part of Guilford RR System [GRS]
MPP Manitou & Pike's Peak RR Co.
MJ Manufacturers' Junction Rwy Co.
MRS Manufacturers' Rwy Co.
MDDE Maryland & Delaware RR Co.
MMID Maryland Midland Rwy, Inc.
MBTA Massachusetts Bay Transit Authority
MCER Massachusetts Central RR Corp.
MSTR Massena Term. RR Co.
MAW Maumee & Western RR Corp.
MCR Mccloud Rwy Co.
MKC Mckeesport Connecting RR Co.
MSN Meeker Southern RR
MDS Meridian Southern Rwy LLC
MNCW Metro North Commuter RR Co.
MS Michigan Shore RR
MSO Michigan Southern RR Co., Inc.
MSTP Michigan State Trust For Rwy Preservation
MCRY Mid-Continent Rwy

APPENDIX A - Continued

MMRR Mid-Michigan RR Co.
MIDH Middletown & Hummelstown RR Co.
MNJ Middletown & New Jersey Rwy Co., Inc.
MDLR Midland Term. Co.
MDRY Midlands Rwy
MRSX Military Ocean Term. RR At Sunny Point
MMR Minnesota & Manitoba RR
MNNR Minnesota Commercial Rwy
MNN Minnesota Northern RR Inc.
MSWY Minnesota Southern Rwy, Inc.
MNTM Minnesota Transportation Museum
MZL Minnesota Zephyr, Limited
MDW Minnesota, Dakota & Western Rwy Co.
MSV Mississippi & Skuna Valley RR Co.
MT Mississippi & Tennessee Railnet RR
MSCI Mississippi Central RR Co.
MSDR Mississippi Delta RR
MSE Mississippi Export RR Co.
MSRW Mississippian Rwy Cooperative, Inc.
MNA Missouri & Northern Arkansas RR Co., Inc.
MOC Missouri Central RR
MET Modesto & Empire Traction Co.
MHWA Mohawk, Adirondack & Northern RR Corp.
MCRR Monongahela Connecting RR Co.
MRL Montana Rail Link
MWRR Montana Western Rwy Co.
MRMZ Monticello Rwy Museum
ME Morristown & Erie Rwy, Inc.
MCSA Moscow, Camden & San Augustine RR
MDTX Mount Dora, Tavares, Eustis RR
MH Mount Hood Rwy Co.
MRSR Mount Rainier Scenic RR
MVT Mount Vernon Term. Rwy, Inc.
METW Municipality Of East Troy

NCMX N C Transportation Museum Foundation
NJT N. J. Dept. Of Transportation
NVRN Napa Valley RR
NCYR Nash County RR
NERR Nashville & Eastern RR
NWR Nashville & Western RR Corp.
NRI Nebkota Rwy, Inc.
NCRC Nebraska Central RR
NENE Nebraska Northeastern Rwy Co.
NKCR Nebraska, Kansas, Colorado Railnet
NNRX Nevada Northern Rwy
NECR New England Central RR

APPENDIX A - Continued

NEGS New England Southern RR Co., Inc.
NHCR New Hampshire Central RR, Inc.
NHN New Hampshire North Coast RR
NHRR New Hope & Ivyland Rail Road
NJTR New Jersey Transit Rail Operations
NOGC New Orleans & Gulf Coast Rwy Co. Inc.
NOPB New Orleans Public Belt RR
NYA New York & Atlantic Rwy Co.
NYLE New York & Lake Erie
NYOG New York & Ogdensburg Rwy Co. Inc.
NYCH New York Cross Harbor RR Term. Corp.
NYSW New York, Susquehanna & Western RR Co.
NSR Newburgh & South Shore RR
NICX Niles Canyon Rwy
NTRY Nimishillen & Tuscarawas, LLC
NBER Nittany & Bald Eagle
NPB Norfolk & Portsmouth Belt Line RR Co.
NS Norfolk Southern Corp.
NCVA North Carolina & Virginia RR Co.
NSHR North Shore RR
NSSR North Shore Scenic RR
NIRC Northeast Illinois Regional Commuter Rail Corp.
NCRY Northern Central Rwy Inc.
NICD Northern Indiana Commuter Transportation District
NOW Northern Ohio & Western Rwy, LTD.
NPR Northern Plains RR, Inc.
NOKL Northwestern Oklahoma RR Co.

OTR Oakland Term. Rwy
OGEE Ogeechee Rwy Co.
OHIC Ohi Rail Corp.
OHPA Ohio & Pennsylvania RR Co.
OHCR Ohio Central RR Co.
ORY Ohio Rwy Museum
OSRR Ohio Southern RR Co.
OCTL Oil Creek & Titusville Lines
OAR Old Augusta RR Co.
OLB Omaha, Lincoln & Beatrice Rwy Co.
OMTX OmniTrax Switching Services
ONCT Ontario Central RR Corp.
OMID Ontario Midland RR Corp.
OERY Orange Empire Rwy Museum
OERR Oregon Eastern RR
OPR Oregon Pacific RR Co.
OMDX Orlando & Mount Dora Rwy Co.
OTVR Otter Tail Valley RR Co., Inc.
OUCH Ouachita RR

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APPENDIX A - Continued

OHRY Owego & Harford Rwy, Inc.

PARN Pacific & Arctic RR & Navigation Co.
PHL Pacific Harbor Line Inc.
PSRM Pacific SW Rwy Museum
PI Paducah & Illinois RR Co.
PAL Paducah & Louisville Rwy Co.
PCC Palouse River & Coulee City RR Inc.
PNR Panhandle Northern RR Co.
PRT Parr Term. RR
* Part of Richmond Pacific RR Corp. [RPRC]
PBR Patapsco & Back Rivers RR Co.
PRV Pearl River Valley RR Co.
PVS Pecos Valley Southern Rwy Co.
POVA Pend Oreille Valley RR, Inc.
PT Peninsula Term. Co.
PCMZ Peninsular Commuter
PRL Penn Eastern Rail Lines Inc.
PJRL Penn Jersey Rail Lines Inc.
PPU Peoria & Pekin Union Rwy Co.
PPHW Peoria, Peoria Heights & Western RR
PBNE Philadelphia, Bethlehem & New England RR
PICK Pickens Rwy Co.
PBRR Pine Belt Southern RR
PRY Pioneer Industrial Rwy Co.
PVRP Pioneer Valley RR Co., Inc.
PS Pittsburg & Shawmut RR Co.
PCDX Pittsburg & Conneaut Dock Co.
POHC Pittsburg & Ohio Central RR Co., The
PAM Pittsburg, Allegheny & McKees Rocks RR
PLL Plymouth & Lincoln
PCN Point Comfort & Northern Rwy Co.
PATH Port Authority Trans Hudson
PBVR Port Bienville RR
POCA Port Of Catoosa Term. RR
MAUP Port Of Manatee
PPBD Port Of Palm Beach Term.
POTB Port Of Tillamook Bay RR
PRYL Port Royal RR
PTRA Port Term. RR Association
PTR Port Term. RR Of South Carolina
PUCC Port Utilities Commission Of Charleston, S.C.
PNWR Portland & Western RR, Inc.
PTO Portland Term.
PEX Potomac Eagle Scenic Rail Excursion
PNW Prescott & Northwestern RR Co.
PGR Progressive Rail Inc

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APPENDIX A - Continued

PW Providence & Worcester RR Co.
PSAP Puget Sound & Pacific RR Co.

QRR Quincy RR Co.

RJCL R. J. Corman RR Co./Cleveland Line
RJCM R. J. Corman RR Co./Memphis Line
RJCP R. J. Corman RR Co./Pennsylvania Lines, Inc.
RJCR R. J. Corman RR Corp./Bardstown Line
RJCW R. J. Corman, Western Ohio Line
RLIX Rail Link Inc.
RASX Rail Serve
RTI Rail Tours, Inc.
RSM Railroad Switching Service Of Missouri, Inc.
RTRX Railtown 1897 RR
RCRY Raritan Central Rwy LLC
RARW Rarus Rwy Co.
RBMN Reading Blue Mountain & Northern RR Commision
RRVW Red River Valley & Western RR
RRC Redmont Rwy Co., Inc.
RPRC Richmond Pacific RR Corp.
RVSC Rio Valley Switching Co.
RT River Term. Rwy Co.
RSR Rochester Southern RR, Inc.
RRRR Rock & Rail Inc
RSS Rockdale, Sandow & Southern RR Co.

SCTR SCTR, LLC
SFLR SF&L Rwy, Inc.
SLRS SMS Rail Service, Inc.
SOO SOO Line RR Co.
SRN Sabine River & Northern RR Co.
SRP Safe Handling Rail Inc.
SGVY Saginaw Valley Rwy Co., Inc.
SL Salt Lake City Southern RR Co., Inc.
SLGW Salt Lake, Garfield & Western Rwy Co.
SBEX San Bernardino Rwy Historical Society
SDIY San Diego & Imperial Valley
SDNX San Diego Northern Rwy
SDMX San Diego RR Museum
SFBR San Francisco Belt RR
SJVR San Joaquin Valley RR Co.
SLC San Luis Central RR Co.
SMA San Manuel Arizona RR Co.
SWKR San Pedro & Southwestern Rwy Co.

APPENDIX A - Continued

SS Sand Springs Rwy Co.
SAN Sandersville RR Co.
SCBG Santa Cruz, Big Tree & Pacific RR
SFS Santa Fe Southern Rwy, Inc.
SMV Santa Maria Valley RR Co.
SBNX Saracuse Binghamton And New York RR
SAPT Savannah Port Term. RR, Inc.
SGLR Seminole Gulf RR
SE Semo Port RR, Inc.
SQVR Sequatchie Valley RR
SVRR Shamokin Valley RR Co.
STR Shawnee Term. Rwy Co.
SVIZ Shelbyville Industrial RR
SLGG Sidney & Lowe RR Inc.
SERA Sierra RR Co.
SMRR Sisseton Milbank RR
SKTX Ski Train RR
SHRX Smokey Hill Rwy
SNVX Snoqualmie Valley RR
SOM Somerset RR Co.
SCR Sounder Commuter Rail
SBVR South Branch Valley RR
SB South Buffalo Rwy Co.
SCRF South Carolina Central RR Co., Inc.
SCMZ South Carolina RR Museum, The
SCXF South Central Florida Express, Inc.
SCIH South Chicago & Indiana Harbor Rwy Co.
SKOL South Kansas & Oklahoma RR Co.
SO South Orient RR Co., Ltd.
SLAL South Plains Lamesa RR, Ltd.
XSPT Southeastern Penn. Trans. Authority
SEPA Southeastern Pennsylvania Transportation Authority
SUAB Southern Alabama RR Co., Inc.
SCAX Southern California Regional Rail Authority
SERX Southern Electric RR
SFLX Southern Freight Logistics, Inc.
SIND Southern Indiana Rwy, Inc.
SMRS Southern Michigan RR Society
SNJX Southern New Jersey Lite Rail System
SRNJ Southern RR Co. Of New Jersey
SOU Southern Rwy Co.
* Part of Norfolk Southern Corp. [NS]
SSC Southern Switching Co.
SWP Southwest Pennsylvania RR Co.
SWRR Southwestern RR
SW Southwestern RR Co., Inc.
ST Springfield Term. Rwy Co.

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APPENDIX A - Continued

* Part of Guilford RR System [GRS]
SCXY St. Croix Valley RR Co.
SLR St. Lawrence & Atlantic RR Co.
SLST St. Louis Steam Train Association
SLOI St. Louis, Iron Mountain, & Southern
STMA St. Maries River RR Co.
SM St. Marys RR Co.
SNCX Steamtown National Historic Site
SH Steelton & Highspire RR
SLWC Stillwater Central RR Co., Inc.
STE Stockton Term. & Eastern RR
SMPX Stone Mountain Park
SBRR Stourbridge RR Co.
SRC Strasburg RR Co.
SUVX Sumpter Valley RR
SNR Sunflour RR, Inc.
SWCX Sweetwater Central RR

TMBL Tacoma Municipal Belt Line Rwy
TRMW Tacoma Rail Mountain Division
TTR Talley Rand Term. RR
TRTX Tallyrand Term. RR
* Part of Talley Rand Term. RR [TTR]
TSRR Tennessee Southern RR Co., Inc.
TVRM Tennessee Valley RR
TKEN Tennken RR Co. Inc.
TRRA Terminal RR Association Of St. Louis
TASD Terminal Rwy Alabama State Docks
TNMR Texas & New Mexico RR Co.
TN Texas & Northern Rwy Co.
TCT Texas City Term. Rwy Co.
TM Texas Mexican Rwy Co.
TXNW Texas Northwestern Rwy Co.
TXPF Texas Pacifico Transportation Limited
TXR Texas Rock Crusher Rwy Co.
TSE Texas South-Eastern RR Co.
TSR Texas State RR
TXGN Texas, Gonzales & Northern Rwy Co.
TOE Texas, Oklahoma & Eastern RR Co
TBRY Thermal Belt Rwy
TNHR Three Notch RR
TIBR Timberrock RR Co., Inc.
TIOC Tioga Central RR
TISH Tishomingo RR Co., Inc.
TLEW Toledo Lake Erie & Western RR
TPW Toledo, Peoria & Western Rwy Corp.
TR Tomahawk Rwy, L.P.

APPENDIX A - Continued

TSWR Toppenish Simcoe & Western
TMSS Towanda Monroeton Shippers Lifeline, Inc.
TTIS Transkentucky Transportation RR, Inc.
TCRY Tri-City RR Co.
TCCX Tri-county Commuter Rail Authority
TIIX Trinity Industries, Inc./Trinity Rail Svcs
TRE Trinity Rwy Express
TRC Trona Rwy Co.
TSU Tulsa-Sapulpa Union Rwy Co. LLC
TCKR Turtle Creek Industrial RR, Inc.
TSBY Tuscola & Saginaw Bay RR Co., Inc.
TCWR Twin City & Western RR

UCIR Union County Industrial RR Co.
UPME Union Pacific Metra
* Part of Northeast Ill. Reg. Commuter Rail Corp. [NIRC]
UP Union Pacific RR Co.
URR Union RR Co.
UMP Upper Merion & Plymouth RR Co.
UCRY Utah Central Rwy Co.
UTAH Utah Rwy Co.
UTAX Utah Transit Authority

VSR V and S Rwy, Inc.
VS V&S Rwy, Inc.
VR Valdosta Rwy, L.P.
VALE Valley RR Co.
VRRV Vandavia RR Co.
VCRR Ventura County RR Co.
VTR Vermont Rwy, Inc.
VREX Virginia Rwy Express
VSRR Virginia Southern RR

WFRX WFEC RR Co.
WBCR Wabash Central RR Corp.
WCLR Waccamaw Coast Line RR Co.
WS Walkersville Southern RR, Inc.
WHOE Walking Horse & Eastern RR Co.
WSR Warren & Saline River RR Co.
WTRM Warren & Trumbull RR Co.
WACR Washington County RR Corp.
WI Watco Switch Indiana
WCTR Wctu Rwy Co.
WCOR Wellsboro & Corning RR Co.
WFS West Isle Line Inc.

APPENDIX A - Continued

WMI West Michigan RR Co.
WTNN West Tennessee RR Corp.
WTLR West Texas And Lubbock RR Co. Inc.
WTLC West Texas and Lubbock Rwy Co.
WVC West Virginia Central RR
WVCX West Virginia Central RR
* Part of West Virginia Central RR [WVC]
WKRL Western Kentucky Rwy, LLC
WMSR Western Maryland Scenic RR
WNYP Western New York & Pennsylvania RR LLC
WPSX Western Plant Services, Inc.
WRRC Western RR Co.
WRAX Western Rail Switching
WRM Western Rwy Museum
WTCX Weyerheuser Co.
WE Wheeling & Lake Erie Rwy Co.
WVRR Whitewater Valley RR
WTA Wichita Term. Association
WTJR Wichita, Tillman & Jackson Rwy Co., Inc.
WBC Wilkes-Barre Connecting RR Co.
WPRR Willamette & Pacific RR, Inc.
WVR Willamette Valley Rwy Co.
WWRC Wilmington & Western RR Co.
WTRY Wilmington Term. RR Inc.
WSRY Winamac Southern Rwy Co.
WW Winchester & Western RR Co.
WSS Winston-Salem Southbound Rwy
WGCR Wiregrass Central RR Co.
WSOR Wisconsin & Southern RR Co.
WC Wisconsin Central Ltd.
WYCO Wyoming & Colorado RR

YVRR Yadkin Valley RR Co.
YSLR Yolo Shortline RR Co.
YRC York Rwy Co.
YARR Youngstown & Austintown RR
YB Youngstown Belt RR Co.
YW Yreka Western RR Co.

APPENDIX B
State Codes

AL	Alabama	MT	Montana
AK	Alaska	NE	Nebraska
AZ	Arizona	NV	Nevada
AR	Arkansas	NH	New Hampshire
CA	California	NJ	New Jersey
CO	Colorado	NM	New Mexico
CT	Connecticut	NY	New York
DE	Delaware	NC	North Carolina
DC	District of Columbia	ND	North Dakota
FL	Florida	OH	Ohio
GA	Georgia	OK	Oklahoma
ID	Idaho	OR	Oregon
IL	Illinois	PA	Pennsylvania
IN	Indiana	RI	Rhode Island
IA	Iowa	SC	South Carolina
KS	Kansas	SD	South Dakota
KY	Kentucky	TN	Tennessee
LA	Louisiana	TX	Texas
ME	Maine	UT	Utah
MD	Maryland	VT	Vermont
MA	Massachusetts	VA	Virginia
MI	Michigan	WA	Washington
MN	Minnesota	WV	West Virginia
MS	Mississippi	WI	Wisconsin
MO	Missouri	WY	Wyoming

APPENDIX B - Continued

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APPENDIX C **Train Accident Cause Codes**

TRACK, ROADBED AND STRUCTURES

Roadbed

- T001** Roadbed settled or soft
- T002** Washout/rain/slide/flood/snow/ice damage to track
- T099** Other roadbed defects (Provide detailed description in narrative)

Track Geometry

- T101** Cross level of track irregular (at joints)
- T102** Cross level of track irregular (not at joints)
- T103** Deviation from uniform top of rail profile
- T104** Disturbed ballast section
- T105** Insufficient ballast section
- T106** Superelevation improper, excessive, or insufficient
- T107** Superelevation runoff improper
- T108** Track alignment irregular (other than buckled/sunkink)
- T109** Track alignment irregular (buckled/sunkink)
- T110** Wide gage (due to defective or missing crossties)
- T111** Wide gage (due to defective or missing spikes or other rail fasteners)
- T112** Wide gage (due to loose, broken, or defective gage rods)
- T113** Wide gage (due to worn rails)
- T199** Other track geometry defects (Provide detailed description in narrative)

Rail, Joint Bar and Rail Anchoring

- T201** Broken Rail - Bolt hole crack or break
- T202** Broken Rail - Base
- T203** Broken Rail - Weld (plant)
- T204** Broken Rail - Weld (field)
- T205** Defective or missing crossties (use code T110 if results in wide gage)
- T206** Defective spikes or missing spikes or other rail fasteners (use code T111 if results in wide gage)
- T207** Broken Rail - Detail fracture from shelling or head check
- T208** Broken Rail - Engine burn fracture
- T210** Broken Rail - Head and web separation (outside joint bar limits)
- T211** Broken Rail - Head and web separation (within joint bar limits)
- T212** Broken Rail - Horizontal split head
- T213** Joint bar broken (compromise)
- T214** Joint bar broken (insulated)
- T215** Joint bar broken (noninsulated)
- T216** Joint bolts, broken, or missing
- T217** Mismatched rail-head contour
- T218** Broken Rail - Piped rail
- T219** Rail defect with joint bar repair

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APPENDIX C - Continued

- T220 Broken Rail - Transverse/compound fissure
- T221 Broken Rail - Vertical split head
- T222 Worn rail
- T223 Rail Condition - Dry rail, freshly ground rail.
- T299 Other rail and joint bar defects (Provide detailed description in narrative)

Frogs, Switches and Track Appliances

- T301 Derail, defective
- T302 Expansion joint failed or malfunctioned
- T303 Guard rail loose/broken or mislocated
- T304 Railroad crossing frog, worn or broken
- T305 Retarder worn, broken, or malfunctioning
- T306 Retarder yard skate defective
- T307 Spring/power switch mechanism malfunction
- T308 Stock rail worn, broken or disconnected
- T309 Switch (hand operated) stand mechanism broken, loose, or worn
- T310 Switch connecting or operating rod is broken or defective
- T311 Switch damaged or out of adjustment
- T312 Switch lug/crank broken
- T313 Switch out of adjustment because of insufficient rail anchoring
- T314 Switch point worn or broken
- T315 Switch rod worn, bent, broken, or disconnected
- T316 Turnout frog (rigid) worn, or broken
- T317 Turnout frog (self guarded), worn or broken
- T318 Turnout frog (spring) worn, or broken
- T319 Switch point gapped (between switch point and stock rail)
- T399 Other frog, switch and track appliance defects (Provide detailed description in narrative)

Other Way and Structure

- T401 Bridge misalignment or failure
- T402 Flangeway clogged
- T403 Engineering design or construction
- T404 Catenary system defect
- T499 Other way and structure defect (Provide detailed description in narrative)

SIGNAL AND COMMUNICATION

- S001 Automatic cab signal displayed false proceed
- S002 Automatic cab signal inoperative
- S003 Automatic train control system inoperative
- S004 Automatic train-stop device inoperative
- S005 Block signal displayed false proceed
- S006 Classification yard automatic control system switch failure
- S007 Classification yard automatic control system retarder failure
- S008 Fixed signal improperly displayed (defective)

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APPENDIX C - Continued

- S009 Interlocking signal displayed false proceed
- S010 Power device interlocking failure
- S011 Power switch failure
- S012 Radio communication equipment failure
- S013 Other communication equipment failure
- S014 Computer system design error (vendor)
- S015 Computer system configuration/management error (vendor)
- S016 Classification yard automatic control system - Inadequate or insufficient control (e.g., automatic cycling, other software/programming deficiencies, etc.)
- S099 Other signal failures (Provide detailed description in narrative)
- S101 Remote control transmitter defective
- S102 Remote control transmitter, loss of communication.
- S103 Radio controlled switch communication failure
- S104 Radio controlled switch not locked effectively

MECHANICAL AND ELECTRICAL FAILURES

Brakes

- E00C Air hose uncoupled or burst
- E00L Air hose uncoupled or burst (LOCOMOTIVE)
- E01C Hydraulic hose uncoupled or burst
- E01L Hydraulic hose uncoupled or burst (LOCOMOTIVE)
- E02C Broken brake pipe or connections
- E02L Broken brake pipe or connections (LOCOMOTIVE)
- E03C Obstructed brake pipe (closed angle cock, ice, etc.)
- E03L Obstructed brake pipe (closed angle cock, ice, etc.) (LOCOMOTIVE)
- E04C Other brake components damaged, worn, broken, or disconnected
- E04L Other brake components damaged, worn, broken, or disconnected (LOCOMOTIVE)
- E05C Brake valve malfunction (undesired emergency)
- E05L Brake valve malfunction (undesired emergency) (LOCOMOTIVE)
- E06C Brake valve malfunction (stuck brake, etc.)
- E06L Brake valve malfunction (stuck brake, etc.) (LOCOMOTIVE)
- E07C Rigging down or dragging
- E07L Rigging down or dragging (LOCOMOTIVE)
- E08C Hand brake (including gear) broken or defective
- E08L Hand brake (including gear) broken or defective (LOCOMOTIVE)
- E0HC Hand brake linkage and/or connections broken or defective
- E0HL Hand brake linkage/Connections broken/defective (LOCOMOTIVE)
- E09C Other brake defects, cars (Provide detailed description in narrative)
- E09L Other brake defects, (Provide detailed description in narrative) (LOCOMOTIVE)
- E10L Computer controlled brake communication failure (LOCOMOTIVE)

Trailer Or Container On Flatcar

- E11C Broken or defective tiedown equipment
- E12C Broken or defective container
- E13C Broken or defective trailer

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APPENDIX C - Continued

E19C Other trailer or container on flat car defects (Provide detailed description in narrative)

Body

E20C Body bolster broken or defective

E20L Body bolster broken or defective (LOCOMOTIVE)

E21C Center sill broken or bent

E21L Center sill broken or bent (LOCOMOTIVE)

E22C Draft sill broken or bent

E22L Draft sill broken or bent (LOCOMOTIVE)

E23C Center plate broken or defective

E23L Center plate broken or defective (LOCOMOTIVE)

E24C Center plate disengaged from truck (car off center)

E24L Center plate disengaged from truck unit/off center (LOCOMOTIVE)

E25C Center pin broken or missing

E25L Center pin broken or missing (LOCOMOTIVE)

E26C Center plate attachment defective

E26L Center plate attachment defective (LOCOMOTIVE)

E27C Side sill broken

E27L Side sill broken (LOCOMOTIVE)

E29C Other body defects, (CAR) (Provide detailed description in narrative)

E29L Other body defects, (LOCOMOTIVE) (Provide detailed description in narrative)

Coupler and Draft System

E30C Knuckle broken or defective

E30L Knuckle broken or defective (LOCOMOTIVE)

E31C Coupler mismatch, high/low

E31L Coupler mismatch, high/low (LOCOMOTIVE)

E32C Coupler drawhead broken or defective

E32L Coupler drawhead broken or defective (LOCOMOTIVE)

E33C Coupler retainer pin/cross key missing

E33L Coupler retainer pin/cross key missing (LOCOMOTIVE)

E34C Draft gear/mechanism broken or defective (including yoke)

E34L Draft gear/mechanism broken/defective (including yoke) (LOCOMOTIVE)

E35C Coupler carrier broken or defective

E35L Coupler carrier broken or defective (LOCOMOTIVE)

E36C Coupler shank broken or defective (includes defective alignment control)

E36L Coupler shank broken or defective (includes defective alignment control)
(LOCOMOTIVE)

E37C Failure of articulated connectors

E37L Failure of articulated connectors (LOCOMOTIVE)

E39C Other coupler and draft system defects, (CAR) (Provide detailed description in narrative)

E39L Other coupler and draft system defects, (LOCOMOTIVE) (Provide detailed description in narrative)

Truck Components

APPENDIX C - Continued

- E40C Side bearing clearance insufficient
- E40L Side bearing clearance insufficient (LOCOMOTIVE)
- E41C Side bearing clearance excessive
- E41L Side bearing clearance excessive (LOCOMOTIVE)
- E42C Side bearing(s) broken
- E42L Side bearing(s) broken (LOCOMOTIVE)
- E43C Side bearing(s) missing
- E43L Side bearing(s) missing (LOCOMOTIVE)
- E44C Truck bolster broken
- E44L Truck bolster broken (LOCOMOTIVE)
- E45C Side frame broken
- E45L Side frame broken (LOCOMOTIVE)
- E46C Truck bolster stiff, improper swiveling
- E4AC Gib Clearance (lateral motion excessive)
- E4BC Truck bolster stiff (failure to slew)
- E46L Truck bolster stiff, improper lateral or improper swiveling(LOCOMOTIVE)
- E47C Defective snubbing (including friction and hydraulic)
- E47L Defective snubbing (LOCOMOTIVE)
- E48C Broken, missing, or otherwise defective springs (including incorrect repair and/or installation)
- E48L Broken, missing, or otherwise defective springs (LOCOMOTIVE)
- E4TC Truck hunting
- E4TL Truck hunting (LOCOMOTIVE)
- E49C Other truck component defects, including mismatched side frames (CAR) (Provide detailed description in narrative)
- E49L Other truck component defects, (LOCOMOTIVE) (Provide detailed description in narrative)

Axles and Journal Bearings

- E51C Broken or bent axle between wheel seats
- E51L Broken or bent axle between wheel seats (LOCOMOTIVE)
- E52C Journal (plain) failure from overheating
- E52L Journal (plain) failure from overheating (LOCOMOTIVE)
- E53C Journal (roller bearing) failure from overheating
- E53L Journal (roller bearing) failure from overheating- LOCOMOTIVE
- E54C Journal fractured, new cold break
- E54L Journal fractured, new cold break (LOCOMOTIVE)
- E55C Journal fractured, cold break, previously overheated
- E55L Journal fractured, cold break, previously overheated (LOCOMOTIVE)
- E59C Other axle and journal bearing defects (CAR) (Provide detailed description in narrative)
- E59L Other axle and journal bearing defects (LOCOMOTIVE) (Provide detailed description in narrative)

Wheels

- E60C Broken flange
- E60L Broken flange (LOCOMOTIVE)
- E61C Broken rim

APPENDIX C - Continued

- E61L Broken rim (LOCOMOTIVE)
- E62C Broken plate
- E62L Broken plate (LOCOMOTIVE)
- E63C Broken hub
- E63L Broken hub (LOCOMOTIVE)
- E64C Worn flange
- E64L Worn flange (LOCOMOTIVE)
- E65C Worn tread
- E65L Worn tread (LOCOMOTIVE)
- E66C Damaged flange or tread (flat)
- E66L Damaged flange or tread (flat) (LOCOMOTIVE)
- E67C Damaged flange or tread (build up)
- E67L Damaged flange or tread (build up) (LOCOMOTIVE)
- E68C Loose wheel
- E68L Loose wheel (LOCOMOTIVE)
- E6AC Thermal crack, flange or tread
- E6AL Thermal crack, flange or tread (LOCOMOTIVE)
- E69C Other wheel defects (CAR) (Provide detailed description in narrative)
- E69L Other wheel defects (LOCOMOTIVE) (Provide detailed description in narrative)

Locomotives

- E70L Running gear failure (LOCOMOTIVE)
- E71L Traction motor failure (LOCOMOTIVE)
- E72L Crank case or air box explosion (LOCOMOTIVE)
- E73L Oil or fuel fire (LOCOMOTIVE)
- E74L Electrically caused fire (LOCOMOTIVE)
- E75L Current collector system (LOCOMOTIVE)
- E76L Remote control equipment inoperative (LOCOMOTIVE)
- E77L Broken or defective swing hanger or spring plank (LOCOMOTIVE)
- E78L Pantograph defect (LOCOMOTIVE)
- E7AL On-board computer - failure to respond (LOCOMOTIVE)
- E7BL Third rail shoe or shoe beam (LOCOMOTIVE)
- E79L Other locomotive defects (Provide detail description in narrative)

Doors

- E80C Box car plug door open
- E81C Box car plug door, attachment defective
- E82C Box car plug door, locking lever not in place
- E83C Box car door, other than plug, open
- E84C Box car door, other than plug, attachment defective
- E85C Bottom outlet car door open
- E86C Bottom outlet car door attachment defective
- E89C Other car door defects (Provide detail description in narrative)

General Mechanical and Electrical Failures

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APPENDIX C - Continued

- E99C** Other mechanical and electrical failures, (CAR) (Provide detailed description in narrative)
E99L Other mechanical and electrical failures, (LOCOMOTIVE) (Provide detailed description in narrative)

TRAIN OPERATION - HUMAN FACTORS

Brakes, Use of

- H008** Improper operation of train line air connections (bottling the air)
H017 Failure to properly secure engine(s) (railroad employee)
H018 Failure to properly secure hand brake on car(s) (railroad employee)
H019 Failure to release hand brakes on car(s) (railroad employee)
H020 Failure to apply sufficient number of hand brakes on car(s) (railroad employee)
H021 Failure to apply hand brakes on car(s) (railroad employee)
H022 Failure to properly secure engine(s) or car(s) (non railroad employee)
H025 Failure to control speed of car using hand brake (railroad employee)
H099 Use of brakes, other (Provide detailed description in narrative)

Employee Physical Condition

- H101** Impairment of efficiency or judgment because of drugs or alcohol
H102 Incapacitation due to injury or illness
H103 Employee restricted in work or motion
H104 Employee asleep
H199 Employee physical condition, other (Provide detailed description in narrative)

Flagging, Fixed, Hand and Radio Signals

- H201** Blue Signal, absence of
H202 Blue Signal, imperfectly displayed
H205 Flagging, improper or failure to flag
H206 Flagging signal, failure to comply
H207 Hand signal, failure to comply
H208 Hand signal improper
H209 Hand signal, failure to give/receive
H210 Radio communication, failure to comply
H211 Radio communication, improper
H212 Radio communication, failure to give/receive
H217 Failure to observe hand signals given during a wayside inspection of moving train
H218 Failure to comply with failed equipment detector warning or with applicable train inspection rules.
H219 Fixed signal (other than automatic block or interlocking signal), improperly displayed.
H220 Fixed signal (other than automatic block or interlocking signal), failure to comply.
H221 Automatic block or interlocking signal displaying a stop indication - failure to comply.*
H222 Automatic block or interlocking signal displaying other than a stop indication - failure to comply.*
H299 Other signal causes (Provide detailed description in narrative)

Note for Codes H221, H222, and H605 - For accidents involving non-compliance by crew members with the indication of block or interlocking signals, the appropriate human factor cause relating to

APPENDIX C - Continued

failure to comply with the signal should always be used as the primary cause. Code H605, “Failure to comply with restricted speed in connection with the restrictive indication of a block or interlocking signal,” should be shown as the contributing cause in those accidents arising from noncompliance with block or interlocking signal conveying a restrictive indication. Code H607 may be used as the primary cause code when the accident did not involve block or interlocking signals, but arose due to non-compliance by crew members with timetable special instructions, equipment restrictions, and/or operating rules or procedures.

General Switching Rules

- H301 Car(s) shoved out and left out of clear
- H302 Cars left foul
- H303 Derail, failure to apply or remove
- H304 Hazardous materials regulations, failure to comply
- H305 Instruction to train/yard crew improper
- H306 Shoving movement, absence of man on or at leading end of movement
- H307 Shoving movement, man on or at leading end of movement, failure to control
- H308 Skate, failure to remove or place
- H309 Failure to stretch cars before shoving
- H310 Failure to couple
- H311 Moving cars while loading ramp/hose/chute/cables/bridge plate, etc., not in proper position
- H312 Passed couplers (other than automated classification yard)
- H313 Retarder, improper manual operation
- H314 Retarder yard skate improperly applied
- H315 Portable derail, improperly applied
- H316 Manual intervention of classification yard automatic control system modes by operator
- H317 Humping or cutting off in motion equipment susceptible to damage, or to cause damage to other equipment
- H318 Kicking or dropping cars, inadequate precautions
- H399 Other general switching rules (Provide detailed description in narrative)

Main Track Authority

- H401 Failure to stop train in clear
- H402 Motor car or on-track equipment rules, failure to comply
- H403 Movement of engine(s) or car(s) without authority (railroad employee)
- H404 Train order, track warrant, track bulletin, or timetable authority, failure to comply
- H405 Train orders, track warrants, direct traffic control, track bulletins, radio, error in preparation, transmission or delivery
- H406 Train orders, track warrants, direct traffic control, track bulletins, written, error in preparation, transmission or delivery
- H499 Other main track authority causes (Provide detailed description in narrative)

Train Handling/Train Make-Up

- H501 Improper train make-up at initial terminal
- H502 Improper placement of cars in train between terminals
- H503 Buffing or slack action excessive, train handling

APPENDIX C - Continued

H504	Buffing or slack action excessive, train make-up
H505	Lateral drawbar force on curve excessive, train handling
H506	Lateral drawbar force on curve excessive, train make-up
H507	Lateral drawbar force on curve excessive, car geometry (short car/long car combination)
H508	Improper train make-up
H509	Improper train inspection
H510	Automatic brake, insufficient (H001) -- see note after cause H599
H511	Automatic brake, excessive (H002)
H512	Automatic brake, failure to use split reduction (H003)
H513	Automatic brake, other improper use (H004)
H514	Failure to allow air brakes to fully release before proceeding (H005)
H515	Failure to properly cut-out brake valves on locomotives (H006)
H516	Failure to properly cut-in brake valves on locomotives (H007)
H517	Dynamic brake, insufficient (H009)
H518	Dynamic brake, excessive (H010)
H519	Dynamic brake, too rapid adjustment (H011)
H520	Dynamic brake, excessive axles (H012)
H521	Dynamic brake, other improper use (H013)
H522	Throttle (power), improper use (H014)
H523	Throttle (power), too rapid adjustment (H015)
H524	Excessive horsepower (H016)
H525	Independent (engine) brake, improper use (except actuation) (H023)
H526	Failure to actuate off independent brake (H024)
H599	Other causes relating to train handling or makeup (Provide detailed description in narrative)

Note: The description of the causes for codes H510 through H526 were originally found in subgroup "Brakes, Use of". It has been decided that these causes are more appropriate to the "Train Handling/Train Makeup" subgroup. Consequently, it was necessary to assign new codes in order to maintain the coding convention and to simplify grouping of causes by computer. The original code has been appended to the description to aid in data conversion.

Speed

H601	Coupling speed excessive
H602	Switching movement, excessive speed
H603	Train <u>on main track</u> inside yard limits, excessive speed
H604	Train outside yard limits, in block signal or interlocking territory, excessive speed
H605	Failure to comply with restricted speed in connection with the restrictive indication of a block or interlocking signal.
H606	Train outside yard limits in nonblock territory, excessive speed
H607	Failure to comply with restricted speed or its equivalent not in connection with a block or interlocking signal.
H699	Speed, other (Provide detailed description in narrative)

Switches, Use of

H701	Spring Switch not cleared before reversing
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APPENDIX C - Continued

- H702** Switch improperly lined
- H703** Switch not latched or locked
- H704** Switch previously run through
- H705** Moveable point switch frog improperly lined
- H706** Switch improperly lined, radio controlled
- H707** Radio controlled switch not locked effectively
- H799** Use of switches, other (Provide detailed description in narrative)

Cab Signals

- H821** Automatic cab signal, failure to comply
- H822** Automatic cab signal cut out
- H823** Automatic train-stop device cut out
- H824** Automatic train control device cut out
- H899** Other causes relating to cab signals (provide detailed description in narrative)

Miscellaneous

- H991** Tampering with safety/protective device(s)
- H992** Operation of locomotive by uncertified/unqualified person
- H993** Human Factor - track

Example: Track is inspected and an FRA defect is found; however, the track supervisor decides to delay repairs and does not slow order that location. A derailment occurs which is attributable to the defective track condition.

Example: A railroad employee (or a contracted employee), while using a bulldozer to rerail cars, caused damage to the rail on an adjacent main track. A train passing on this adjacent main track derailed due to the damage caused by the bulldozer operated by the railroad employee (or an employee contracted by the railroad.)

- H994** Human Factor - Signal installation or maintenance error (field)

Example: A signal maintainer was servicing the signal system. It was later determined during the investigation of a rear-end collision that the signal maintainer made an installation/maintenance error resulting in an incorrect aspect being displayed in the wayside signal or cab signal.

- H99A** Human Factor - Signal - Train Control - Installation or maintenance error (shop).
- H99B** Human Factor - Signal - Train Control - Operator Input On-board computer incorrect data entry.
- H99C** Human Factor - Signal - Train Control - Operator Input On-board computer incorrect data provided
- H99D** Computer system design error (non vendor)
- H99E** Computer system configuration/management error (non vendor)
- H995** Human Factor - motive power and equipment

Example: A car inspector observes an obvious thin flange wheel that normally requires the car to be removed from service. However, because the train is ready to leave, he elects to leave in service. The wheel splits the next switch point and the car derails.

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APPENDIX C - Continued

- H996** Oversized loads or Excess Height/Width cars, mis-routed or switched.
- H997** Motor car or other on-track equipment rules (other than main track authority) - Failure to Comply.
- H999** Other train operation/human factors (Provide detailed description in narrative)

MISCELLANEOUS CAUSES NOT OTHERWISE LISTED

Environmental Conditions

- M101** Snow, ice, mud, gravel, coal, sand, etc. on track
- M102** Extreme environmental condition - TORNADO
- M103** Extreme environmental condition - FLOOD
- M104** Extreme environmental condition - DENSE FOG
- M105** Extreme environmental condition - EXTREME WIND VELOCITY
- M199** Other extreme environmental conditions (Provide detailed description in narrative)

Loading Procedures

- M201** Load shifted
- M202** Load fell from car
- M203** Overloaded car
- M204** Improperly loaded car
- M206** Trailer or container tiedown equipment improperly applied
- M207** Overloaded container/trailer on flat car
- M208** Improperly loaded container/trailer on flat car
- M299** Miscellaneous loading procedures (Provide detailed description in narrative)

Highway-Rail Grade Crossing Accidents

- M301** Highway user impairment because of drug or alcohol usage (as determined by local authorities, e.g., police)
- M302** Highway user inattentiveness
- M303** Highway user misjudgment under normal weather and traffic conditions
- M304** Highway user cited for violation of highway-rail grade crossing traffic laws
- M305** Highway user unawareness due to environmental factors (angle of sun, etc.)
- M306** Highway user inability to stop due to extreme weather conditions (dense fog, ice or snow packed road, etc.)
- M307** Malfunction, improper operation of train activated warning devices
- M308** Highway user deliberately disregarded crossing warning devices
- M399** Other causes (Provide detailed description in narrative)

Unusual Operational Situations

- M401** Emergency brake application to avoid accident
- M402** Object or equipment on or fouling track (motor vehicle - other than highway-rail crossing)
- M403** Object or equipment on or fouling track (livestock)
- M404** Object or equipment on or fouling track - other than above (for vandalism, see code M503)
- M405** Interaction of lateral/vertical forces (includes harmonic rock off)
- M406** Fire, other than vandalism, involving on-track equipment

APPENDIX C - Continued

- M407** Automatic hump retarder failed to sufficiently slow car due to foreign material on wheels of car being humped
- M408** Yard skate slid and failed to stop cars
- M409** Objects such as lading chains or straps fouling switches
- M410** Objects such as lading chains or straps fouling wheels
- M411** Passed couplers (automated classification yard)

Other Miscellaneous

- M501** Interference (other than vandalism) with railroad operations by nonrailroad employee
- M502** Vandalism of on-track equipment, e.g., brakes released
- M503** Vandalism of track or track appliances, e.g., objects placed on track, switch thrown, etc.
- M504** Failure by nonrailroad employee, e.g., industry employee, to control speed of car using hand brake
- M505** Cause under active investigation by reporting railroad (Amended report will be forwarded when reporting railroad's active investigation has been completed.)
- M506** Track damage caused by non-railroad interference with track structure
- M507** Investigation complete, cause could not be determined (When using this code, the narrative must include the reason(s) why the cause of the accident/incident could not be determined.)
- M599** Other miscellaneous causes (Provide detailed description in narrative)

APPENDIX C - Continued

Definitions and Guidelines to support Train Accident Cause Codes:

1. “Fixed Signal” - A signal of fixed location indicating a condition affecting the movement of a train or engine. Note: The definition of a “Fixed Signal” covers such signals as switch, train order, block, interlocking, semaphore, disc, stop board, yard limit boards, direct traffic control signs, or other means for displaying indications that govern the movement of a train or engine.

Codes H219 and H220 have been designed to capture accidents/incidents that result from fixed signals other than automatic block or interlocking signals. Events of this type would result from the improper display of, or failure to comply with, switch targets; train order signals that are not a part of the automatic block or interlocking signal system; semaphore signals; discs; stop boards at railroad crossings or other locations; and/or yard limit boards. Code H219 is to be used for improper display, and Code 220 for failure to comply.

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APPENDIX D **Employee Job Codes**

EXECUTIVES, OFFICIALS, AND STAFF ASSISTANTS

101	Executives and General Officers	President, Vice President, Asst. Vice President, Controller, General Counsel, Treasurer, Director (head of subdepartment), General Supt., (subdept. head), Chief Engineer, General Manager (department or subdepartment head), Chief Medical Officer.
102	Corporate Staff Managers	Director (other than subdepartment head), Asst. Director, Asst. General Manager (not regional), Manager, Asst. Manager, Asst. Chief Engineer, Purchasing Agent, Asst. General Counsel, Superintendent (not division), Asst. to (corporate, executive or general officer), Executive Asst. (to corporate executive) Budget Officer.
103	Regional & Division Officers Assistants and Staff Assistants	Asst. General Manager, Asst. Regional Manager, General Supt., Asst. to General Manager, Division Supt., Master Mechanic, District Engineer, Asst. Superintendent, Captain of Police, Division Engineer.
104	Transportation Officers/Managers	Trainmaster, Asst. Train Master, General Yardmaster, General Road Foreman, Road Foreman, Asst. Road Foreman, Chief Power Supervisor (motive).
100	Executives, Officials, and Staff Assistants (other)	Executives, Officials, and Staff Assistants not listed above.

PROFESSIONAL AND ADMINISTRATIVE

201	Professionals (other than those reported in 101 and 102)	General Attorney, Asst. General Attorney, Attorney, Commerce Counsel, Medical Officer, Surgeon, Company Surgeon, Engineer, Architect, Chief Chemist, Nurse, General Accountant, Corporate Accountant, Supervisor Programming, Senior Computer System Specialist, Senior System Analyst, Chief Draftsman.
202	Subprofessionals	Draftsman, Chemist, Asst. Chemist, X-ray Technician, Supervisor Estimating, Junior Engineer, Engineering Trainee, Photographer, Computer Programmer, Computer Analyst, Market Analyst, Pricing Analyst, Employment Supervisor, Research Analyst.
203	Auditors, Traveling Auditors	Traveling Auditor, Accounting Specialist Auditors, Operations Traveling Auditors, Station Auditors.

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204	General & Administrative Supervisors	General Supervisor, Supervisor, Chief Clerk, Office Supervisor, Supervisor Administration Office Manager, Supervising Clerk, Head Clerk, Asst. Chief Clerk, Supervising Cashier, Division Supervisor, Regional Supervisor, Budget Supervisor, Administrative Supervisor, Manager of Materials, Administrative Asst.
205	Sales & Traffic Representatives & Agents	Freight Traffic Agent, Coal Traffic Agent, Sales Representative, Freight Sales Representative, Freight Traffic Representative, Passenger Sales Representative.
206	Freight and Other Claims Agents and Investigators	Claim Agent, Claim Investigator, Freight Claim Agent, Freight Claim Investigator.
207	Supervising & Chief Claim Agents	Chief Claim Agent, Chief Freight Claim Agent, Asst. Chief Claim Agent, Chief District Claim Agent, District Freight Claim Agent, Chief Claim Investigator
208	Lieutenants & Sergeants of Police	Police Lieutenant, Police Sergeant
209	Police Officers, Watcher and Guards (Except Crossing and Bridge).	Police Officer, Patrolman, Watchman, Guard.
210	Inspectors (Except Maintenance of Way & Equipment), Other Investigators, Examiners, Instructors, and Other Agents (Except Station Agents).	Rules Examiner, Supervisor Rules, Safety Supervisor, Safety Inspector, Fire Marshall, Fire Chief, Instructor, Supervisor Procedures, Supervisor Yard Procedures, Real Estate Agent, Real Estate Supervisor, Tax Agent.
211	Buyers, and Sales Agents	Buyer, Asst. Buyer, Sales Agent, Asst. Sales Agent.
212	Clerical Technicians and Clerical Specialists	Lead Clerk, Staff Asst., (clerical, Statistician, Cashier, Teller, Asst. Statistician, Rate Clerk, Pricing Clerk, Computer Technician.
213	Office Machine and Data Equipment Operators	Machine Operator, Clerk, Computer Operator, Key punch Operator, Office Machine Technician.
214	Secretaries, Stenographers, and Typists.	Secretary, Stenographer, Typists, Clerk Typists, Steno-clerk.
215	General and Other Clerks (excluding yard clerk and crew dispatcher)	File Clerk, General Clerk, Bookkeeper, Ticket Clerk, Records Clerk, Trace Clerk, Assignment Clerk, Personnel Clerk, M O W Clerks, M of W Clerks.
216	Telephone & Switchboard Operators	Switchboard Operator, Chief Operator.
217	Building & Office Attendants	Elevator Operator, Elevator Starter, Janitor, Cleaner, Porter.

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218	Messengers & Office Persons	Messenger, Office Person.
219	Motor Vehicle Operators	Truck Driver, Bus Driver, Driver, Chauffeur.
200	Professional and Administrative (other)	Professional and Administrative not listed above.

MAINTENANCE OF WAY AND STRUCTURES

301	Supervisors, Maintenance of Way, Structures, Communication & Signals	Roadmaster, Division Roadmaster, Supervisor Track, Supervisor Bridge and Buildings, Supervisor Communications and Signals, Asst. Supervisor, General Foreman (MW&S), Asst., General Foreman (MW&S), Master Carpenter.
302	Maintenance of Way, Structures, Communication and Signals, and Scale Inspectors	Chief Bridge & Building Inspector, Chief Scale Inspector, Bridge & Building Inspector, Roadway Equipment Inspector, Track & Roadway Inspector, Instrument Man, Roadman, Chairman, Inspector Communications & Signals, Signal Inspector.
303	Bridge and Building Gang Foreman	Gang Foreman, Lead Workman.
304	Bridge and Building Carpenters	Carpenter.
305	Bridge and Building Ironworkers	Ironworker.
306	Bridge and Building Painters	Painter, Sign Painter.
307	Masons, Bricklayers, Plasterers, and Plumbers	Mason, Bricklayer, Plasterer, Plumber, Operator, Grinder, Welder (M of W).
308	Bridge and Building Helpers and Apprentices	Carpenter Helper, Ironworker Helper, Mason Helper, Plumber Helper, Painter Helper, Apprentice Carpenter, Apprentice Ironworker, Apprentice Mason, Plumber Apprentice, Apprentice Painter, Welder Helper.
309	Bridge and Building Gang and Bridge and Building Dept. Laborers	Bridge and Building Laborer.
310	Track Gang Foreman (Extra Gang work train laborers)	Gang Foreman, Asst. Foreman.
311	Gang or Section Foreman	Gang Foreman, Asst. Foreman, Section Foreman.
312	Extra Gang Laborers	Trackman, Fence Laborer
313	Section Laborers	Track, Track and Roadway Section Laborer.

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314	Machine Operators	Craneman, Portable Equipment Engineer, Portable Equipment Operator, Helper.
315	Gang Foreman, Communications	Gang Foreman, Asst. Gang Foreman, Lead Signal Maintainer.
316	Signalmen & Signal Maintainers	Signalman, Signal Maintainer.
317	Linemen, Groundmen, and Communications Craftsman	Electrical Worker (Lineman), Electrical Worker (Groundman Communications Maintainer).
318	Assistant Signalmen and Assistant Signal Maintainers	Asst. Signalman, Asst. Signal Maintainer.
319	Signal Helpers and Signal Maintainer Helpers	Signalman Helper, Signal Maintainer Helper.
320	Camp Car Cooks	Camp Car Cook, Camp Car Helpers.
300	Maintenance of Way and Structures	Maintenance of Way and Structures not listed above.

MAINTENANCE OF EQUIPMENT AND STORES

401	Supervisors and General Foremen, Maintenance of Equipment	General Foreman Shop, General Foreman Engine house, General Foreman Diesel Terminal, Asst. General Foreman (M of E).
402	Supervisors and General Foremen, Materials and Stores	Supervisor Materials, Asst. Supervisor, Materials, General Foreman Stores, General Foreman Reclamation Plant, Asst. General Foreman.
403	Equipment, Shop, Electrical Inspectors	Chief Electrical Inspector, Chip Shop & Equipment Inspector, Electrical Inspector, Inspector Diesel Locomotive, Fuel Inspector.
404	Materials and Supplies Inspectors	Materials & Supplies Inspector, Chief Materials & Supplies Inspector, Timber Inspector, Tie Inspector.
405	Storekeeper	Storekeeper, Assistant, Storekeeper, Materials Clerk, Store Clerk.
406	Gang Foremen, Maintenance of Equipment	Gang Foreman.
407	Blacksmith	Blacksmith.
408	Boilermakers	Boilermaker.
409	Carmen (Freight)	Car Repairman, Car Inspector, Carman, Painter.

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410	Carmen (Other)	Carman.
411	Electrical Workers (A)	Electrician, Electrical Worker.
412	Electrical Workers (B)	Crane Operator, Lead Dispatcher, Power Station Operator, Asst. Power Director.
413	Electrical Workers (C)	Coal and Ore Elevator Operator (electrical), Grain Elevator Operator (electrical).
414	Machinists	Machinist.
415	Sheet Metal Workers	Sheet Metal Worker.
416	Skilled Trades, Helpers, Maintenance of Equipment and Stores	Helper.
417	Apprentices, Maintenance of Equipment and Stores	Apprentice, Helper Apprentice.
418	Coach Cleaners	Coach Cleaner.
419	Laborers: Shops, Engine houses, and Power Plants	Laborer.
420	Gang Foreman, Materials and Stores	Gang Foreman
421	Equipment Operators and General Laborers, Materials and Stores	Laborer, Materials Handler, Equipment Operators, Machine Operators.
422	Stationary Engineers	Chief Engineer (Steam Plant), Engineer, Stationary Engineer.
423	Stationary Fireman	Stationary Fireman, Power Equipment Operator, Helper, Oiler.
400	Maintenance of Equipment and Stores (other)	Maintenance of Equipment and Stores not listed above.

TRANSPORTATION, OTHER THAN TRAIN AND ENGINE

501	Transportation Supervisor and Chief Train Dispatcher	Chief Train Dispatcher, Supervisor Train Operations, Transportation Supervisor, Supervisor Train Operations, Supervisor Locomotive & Car Distribution, Asst. Chief Train Dispatcher.
502	Train Dispatchers	Train Dispatcher.

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APPENDIX D - Continued

503	Station, Freight and Passenger Agents	Supervising Station Agent, Asst. Supervising Station Agent, Station Agent, Freight Agent, Passenger Agent, Ticket Agent, Traveling Agent, Agent Operators.
504	Chief Operators and Wire Chiefs	Supervising Operator, Chief Operator, Asst. Supervising Operator, Wire Chief.
505	Clerk Operators, Towermen, Train Directors	Clerk Operator, Block Operator, Operator, Towerman, Train Directors.
506	Station Masters and Asst., Supervising Baggage Agents, Baggage Agents and Asst.	Station Master, Asst. Station Master, Supervising Baggage Agent, Baggage Agent, Asst. Baggage Agent, Parcel Room Agent.
507	Baggage, Parcel Room and Station Attendants	Baggage Attendant, Parcel Room Attendant, Station Attendant, Gateman, Announcer, Station Usher, Red Cap, Information Bureau Attendant.
508	General and Assistant General Foremen, Stations, Warehouses, Grain Elevators, and Docks	General Foreman, Asst. General Foreman.
509	Gang Foremen, Stations, Warehouses, Grain Elevators and Docks	Gang Foreman.
510	Grain Elevator and Dock Laborers	Laborer
511	Station and Warehouse Laborers	Loader, Sealer
512	Truckers (Station, Warehouse & Platforms).	Trucker
513	Food and Lodging Manager, Supervisors	Manager Lodging House, Restaurant Manager, Dining Car Supervisor, Dining Car Steward.
514	Transportation and Dining Service Inspectors	Instructor Chef, Restaurant Inspectors, Freight Service Inspector, Baggage Inspector.
515	Waiters and Kitchen Helpers (Restaurant and Dining Car)	Waiter-in-charge, Waiter.
516	Chefs and Cooks (Restaurant and Dining Car)	Chef, Cook.
517	Marine Officers and Workers and Shore Workers	Captain, Engineer, Mate, Deckhand, Oiler Purser, Boat Master, Fireman, Wharf Master, Able Seaman, Baggage man, Boat Dispatcher.
518	Train Attendants	Porter, Buffet Lounge Attendant, Stewardess.

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APPENDIX D - Continued

519	Bridge Operators and Helpers	Bridge Operator.
520	Bridge and Crossing Flagman & Gateman	Bridge Flagman, Crossing Gateman.
521	Yard Clerks	Yard Clerk, Yard Clerk Caller, Yard Demurrage Clerk, Yard Dispatcher Clerk, Piggyback Clerk.
522	Crew Dispatchers	Crew Dispatcher, Crew Caller.
523	Yardmaster & Asst. Yardmasters	Yardmaster, Asst. Yardmaster.
500	Transportation, Other Than Train and Engine (others)	Transportation, Other Than Train and Engine not listed above.

TRANSPORTATION, TRAIN AND ENGINE

601	Switchtenders	Switchtender.
602	Car Retarder Operators and Ground Service Employees	Car Retarder Operator, Skatesman, Herder, Yard Pilot.
603	Outside Hostlers	Outside Hostler.
604	Outside Hostler Helpers	Outside Hostler Helper.
605	Inside Hostler	Inside Hostler.
606	Road Passenger Conductors	Passenger Conductor.
607	Asst. Road Passenger Conductors and Ticket Collectors	Asst. Passenger Conductor, Ticket Collector.
608	Road Freight Conductors (Through Freight).	Freight Conductor, Work Train Conductor, (paid through rate).
609	Road Freight Conductors (Local and Way Freight)	Freight Conductor, Work Train Conductor, (paid local rate).
610	Lead Passenger Baggageperson	Baggageperson.
611	Lead Passenger Brakemen and Flagmen	Passenger Brakeman, Passenger Flagmen.
612	Road Freight Brakemen and Flagmen (Through Freight)	Freight Brakeman, Freight Flagman, Work Train Brakeman (paid through rate).
613	Road Freight Brakemen and Flagmen (Local and Way Freight)	Freight Brakeman, Freight Flagman, Work Train Brakeman, (paid local rate).

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APPENDIX D - Continued

614	Yard Conductors and Yard Foremen	Yard Conductor, Yard Foreman.
615	Yard Brakemen and Yard Helpers	Yard Brakeman, Yard Helper.
616	Road Passenger Engineers and Motormen	Passenger Engineer, Motorman Operator.
617	Road Freight Engineers (Through Freight).	Freight Engineer, Work Train Engineer (paid through rate).
618	Road Freight Engineers (Local and Way Freight).	Freight Engineer, Work Train Engineer (paid local rate).
619	Yard Engineers	Yard Engineer.
620	Road Passenger Firemen and Helpers	Passenger Fireman.
621	Road Freight Firemen and Helpers, (Through Freight)	Freight Fireman.
622	Road Freight Fireman and Helpers, (Local and Way Freight).	Freight Fireman.
623	Yard Firemen and Helpers	Yard Fireman.
630	Remote Control Locomotive Operator - Operating	Person operating remote control locomotive at the time of the injury regardless of any other job title
631	Remote Control Locomotive Operator - Not Operating	Person carrying remote control locomotive device at the time of the injury regardless of any other job title
600	Transportation, Train and Engine (other)	Transportation, Train and Engine not listed above.

APPENDIX E
Injury and Illness Codes

INJURIES

Use the codes on this page to identify the nature and body part affected for both fatal and nonfatal injuries. For example, a broken collarbone would be recorded as "706E". When an individual has sustained multiple injuries, the most severe of these is to be identified. If the injuries are of equal severity, for example, cuts or abrasions on arms and legs, then the multiple location code "8" may be used.

NATURE OF INJURY

- 10 Bruise or contusion
- 13 Crushing injury
- 20 Sprain or strain
- 30 Cut/laceration or abrasion
- 35 Puncture wound (other than needle stick)
- 36 Needle stick
- 40 Electrical shock or burn
- 50 Other burns
- 60 Dislocation
- 70 Fracture (broken bone)
- 71 Rupture/tear, e.g., tendon, cartilage (for hernia, use code 92)
- 72 Gunshot/knife wounds
- 74 Animal/snake/insect bite
- 75 Dental related
- 80 Amputation

- 90 **FATALLY INJURED**
- 91 Foreign object in eye
- 92 Hernia
- 93 Concussion/closed head injury
- 94 Nervous shock (injury related)
- 95 Internal injury
- 96 Loss of eye
- 97 Reaction from one-time external exposure to chemicals, e.g., solvents, creosote.
- 98 Symptoms due to one-time exposure to loud noise, e.g., an explosion
- 9A Symptoms due to one-time inhalation exposure to airborne contamination that does not exceed a single duty tour and without long term or permanent consequences
- 9B Medical removal (under OSHA medical surveillance requirements)
- 99 All other injuries

LOCATION OF INJURY CODES

- 1 **Arm or hand:**
 - A - upper arm
 - B - elbow
 - C - lower arm
 - D - wrist
 - E - hand (general)
 - F - thumb/fingers
 - G - finger/thumb nail(s)

- 5 **Head or face:**
 - A - eye
 - G - eye area (not eyeball), e.g., eye lid
 - B - ear and surrounding area
 - C - nose
 - D - mouth/teeth
 - E - skull/scalp
 - F - neck/throat
 - H - jaw/chin
 - I - cheek
 - J - forehead
 - K - intracranial

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APPENDIX E - Continued

3 Leg or foot:

- A - upper leg
- B - knee
- C - lower leg
- D - ankle
- E - heel
- F - toes
- G - foot (general)

6 Torso:

- A - spine/spinal cord
- B - upper back
- C - lower back
- D - shoulder (includes rotator cuff)
- E - collar bone
- F - ribs/sternum
- G - internal injuries
- H - external injuries - other
- I - hips/buttocks/pelvis
- J - genitalia/groin area
- K - abdomen
- L - chest

8 Injuries to multiple body parts of relatively equal severity

9 Other body parts

OCCUPATIONAL ILLNESS CODES

Occupational Skin Diseases or Disorders

- 1101 Dermatitis (inflammation of the skin)
- 1102 Eczema - inflammation of the skin characterized by the formation of vesicles (blisters) which may be either acute or chronic
- 1103 Rash caused by primary irritants and sensitizers or poisonous plants
- 1104 Oil acne - sometimes known as oil folliculitis, it is an inflammation of the hair follicles caused by depositing of oil into them, resulting in inflammation, swelling, redness and pus formation
- 1105 Chrome ulcers - pitted sores of the skin that are slow or resistant to healing, caused by exposure to chromium salts
- 1107 Other occupational skin diseases or disorders
- 1109 **DEATH resulting from occupational skin diseases or disorders**

Dust Diseases of the Lungs (Pneumoconioses)

- 1111 Silicosis - caused by the depositing of dust containing free silica into the lung
- 1112 Asbestosis - caused by the presence of asbestos in the lung

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APPENDIX E - Continued

- 1113 Coal worker's pneumoconiosis (formerly known as black lung) - caused by the depositing of coal dust in the lung
- 1114 Byssinosis (formerly known as brown lung) - caused by the depositing of cotton dust in the lung
- 1115 Pneumoconioses, other. Other lung diseases characterized by the presence of dust in the lungs and the lungs reaction to that dust.
- 1119 **DEATH resulting from dust diseases of the lungs**

Respiratory Conditions Due to Toxic Agents

- 1121 Pneumonitis - inflammation of the lungs
- 1122 Pharyngitis - inflammation of the throat
- 1123 Rhinitis - inflammation of the nose
- 1124 Acute congestion due to chemicals, dust, gases, or fumes
- 1125 Farmers lung
- 1126 Other respiratory conditions due to toxic agents
- 1129 **DEATH resulting from respiratory conditions due to toxic agents**

Poisoning (Systemic Effects of Toxic Materials)

- 1131 Poisoning by lead, mercury, cadmium, arsenic, or other metals
- 1132 Poisoning by carbon monoxide, hydrogen sulfide or other gases
- 1133 Poisoning by benzol, carbon tetrachloride, or other organic solvents
- 1134 Poisoning by insecticide sprays such as parathion, lead arsenate
- 1135 Poisoning by chemicals such as formaldehyde, plastics and resins
- 1136 Other poisoning due to the systemic effects of toxic materials
- 1139 **DEATH resulting from poisoning**

Disorders Due to Physical Agents (Other than Toxic Materials)

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APPENDIX E - Continued

- 1141 Heat stroke/sun stroke - serious heat-related condition in which the patient often stops sweating and experiences a marked rise in core temperature
- 1142 Effects of ionizing radiation - refers to the various effects of ionizing radiation, e.g. gamma rays or x-rays
- 1143 Effects of non-ionizing radiation - refers to the effects of electro-magnetic radiation, e.g., radio waves, microwaves, welding flash, ultraviolet rays of the sun, etc.
- 1144 Heat exhaustion - heat-related condition of moderate degree which, if not treated, may lead to heat stroke.
- 1145 Freezing/frostbite - freezing of tissue with disruption of the blood supply
- 1146 Other disorders due to physical agents other than toxic materials
- 1149 **DEATH resulting from physical agents (other than toxic materials)**

Disorders Due to Repeated Trauma

- 1151 Noise induced hearing loss - a Standard Threshold Shift (STS). An STS is a change in hearing Noise induced hearing loss - If an employee's hearing test (audiogram) reveals that the employee has experienced a work-related Standard Threshold Shift (STS) in hearing in one or both ears, and the employee's total hearing level is 25 decibels (dB) or more above audiometric zero (averaged at 2000, 3000, and 4000 Hz) in the same ear(s) as the STS, you must report the case on form FRA F 6180.55a.

A Standard Threshold Shift, or STS, is defined in the occupational noise exposure standard at 29 CFR 1910.95(g)(10)(i) as a change in hearing threshold, relative to the baseline audiogram for that employee, of an average of 10 decibels (dB) or more at 2000, 3000, and 4000 hertz (Hz) in one or both ears.

STS. If the employee has never previously experienced a recordable hearing loss, you must compare the employee's current audiogram with that employee's baseline audiogram. If the employee has previously experienced a recordable hearing loss, you must compare the employee's current audiogram with the employee's revised baseline audiogram (the audiogram reflecting the employee's previous recordable hearing loss case).

25-dB loss. Audiometric test results reflect the employee's overall hearing ability in comparison to audiometric zero. Therefore, using the employee's current audiogram, you must use the average hearing level at 2000, 3000, and 4000 Hz to determine whether or not the employee's total hearing level is 25 dB or more.

See additional instructions in Chapter 6.

- 1152 Synovitis - inflammation of the membrane around a joint or other musculoskeletal element

FRA Guide for Preparing Accident/Incident Reports

APPENDIX E - Continued

- 1153 Tenosynovitis - inflammation of the tendon (fibrous tissue that connects the muscle to a bone) or the membrane that surrounds it, e.g., epicondylitis or tendinitis.
- 1154 Bursitis - inflammation of the bursa (a membranous pouch that is used for cushioning the joints)
- 1155 Raynaud's phenomena - a symptom complex usually related to poor circulation of an extremity characterized by loss of feeling, blanching (whitening) and coolness of the part, typically a finger, toe, hand, or foot
- 1156 Carpal tunnel syndrome
- 1157 Other conditions associated with repeated motion, vibration, pressure, or repeated trauma.
- 1159 **DEATH resulting from repeated trauma**

Other Occupational Illnesses Not Listed above

- 1191 Anthrax - bacterial disease, typically spread from infected animals to humans
- 1192 Brucellosis - an infectious bacterial disease spread by contact with the tissues, blood, urine or fetuses of contaminated animals
- 1193 Infectious hepatitis (also known as hepatitis A) - infection of the liver, characterized by fever, abdominal pain, loss of appetite and in severe cases, jaundice
- 1194 Malignant tumors - tumors which spread beyond their original boundaries to distant organs and will generally result in death if not treated
- 1195 Benign tumors - tumors that do not spread beyond the original tumor mass except through local growth and do not pose the same risk of distant spread, disease, and death as seen in malignant tumors
- 1196 Stress related (determined by a qualified health care professional)
- 1197 Histoplasmosis/Coccidiomycosis - fungal infectious diseases
- 119E Emotional Trauma/nervous shock
- 1198 All other occupational illnesses other than those classified above
- 1199 DEATH resulting from other occupational illnesses

APPENDIX E - Continued

APPENDIX F
Circumstance Codes

- 1. Physical Act**
- 2. Location - Parts I, II, and III**
- 3. Event**
- 4. Tools, Machinery, Appliances, Structures, Surfaces (etc.)**
- 5. Probable Reason for Injury/Illness**

A complete record of all of factors associated with an injury or illness would be beneficial in prevention analysis. However, it is not practical, even if it were possible, to develop forms and codes that would capture every detail that may be associated with each incident. When selecting circumstance codes, use a combination that best identifies the key factors without duplicating information identified by another code. The narrative portion of the report is to be used to provide additional information concerning those items that cannot be adequately described on the coded portions of the form.

FRA Guide for Preparing Accident/Incident Reports

APPENDIX F - Continued

PHYSICAL ACT CIRCUMSTANCE CODES

(What was the person doing when hurt?)

Select one of these codes and enter in Form F6180.55a, 5j. Physical Act

- | | |
|--|--|
| 01 Adjusting coupler | 34 Handling poles |
| 02 Adjusting drawbar | 37 Handling rail |
| 03 Adjusting, other | 35 Handling tie plates |
| 04 Applying rail anchor/fastener | 36 Handling ties |
| B3 Arresting/apprehending/subduing | 31 Handling wheels/trucks |
| A2 Ascending | 32 Handling, other |
| 05 Bending, stooping | A7 Hauling |
| 06 Carrying | 38 Inspecting |
| 07 Chaining, cabling car or locomotive | 39 Installing |
| 08 Cleaning/scrubbing | 40 Jumping from |
| 09 Climbing over/on | 41 Jumping onto |
| 10 Closing | 42 Laying |
| 13 Coupling air hose | 44 Lifting equipment (tools, parts, etc.) |
| 11 Coupling electric cables | 43 Lifting other material |
| 12 Coupling steam hose | 45 Lining switches |
| 16 Crossing between | 46 Lining, other |
| 15 Crossing or crawling under | 47 Loading/unloading |
| 14 Crossing over | B6 Lying down |
| 17 Cutting rail | 48 Maintaining/servicing |
| 18 Cutting vegetation | A8 Moving |
| 19 Cutting, other | 49 Opening |
| 77 Derail, applying | 50 Opening/closing angle cock |
| 79 Derail, other | 51 Operating |
| 78 Derail, removing | 53 Pulling |
| A3 Descending | 52 Pulling pin lifter/operating uncoupling lever |
| 20 Digging, excavating | 54 Pushing |
| 21 Driving (motor vehicle, forklift, etc.) | 55 Reaching |
| A4 Exercising | 56 Removing rail anchors/fasteners |
| 22 Flagging | 57 Repairing |
| 23 Fueling | A1 Replacing |
| A5 Getting in | 58 Riding |
| A6 Getting out | 59 Running |
| 25 Getting off | B2 Sanding |
| 24 Getting on | B1 Servicing |
| 26 Grinding | 60 Sitting |
| 74 Handbrakes, applying | B4 Sleeping |
| 75 Handbrakes, releasing | 61 Spiking (installation/removal) |
| 76 Handbrakes, other | 62 Standing |
| 27 Handling baggage | B5 Stepped on |
| 28 Handling car parts | |
| 30 Handling locomotive parts | |
| 29 Handling material, general | |
| 33 Handling other track material/supplies | |

APPENDIX F - Continued

PHYSICAL ACT CIRCUMSTANCE

CODES - Continued from previous page.

- 63** Stepping up
- 64** Stepping down
- 65** Stepping over
- 66** Uncoupling air hose
- 68** Uncoupling electric cables
- 67** Uncoupling steam hose
- 69** Using hand signals
- 70** Using hand tool
- 71** Using, other
- 72** Walking
- A9** Washing
- 73** Welding (includes field welding)
- 99** Other (**Narrative must be provided**)

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APPENDIX F - Continued

LOCATION CIRCUMSTANCE CODES

Select one code from each part and enter in Form F6180.55a, 5k. Location. Enter Part I followed by Part II, and then Part III.

Part I of Code

Did A/I occur on or near rail right of way? If so, select code that best describes the type of track.

- | | |
|---------------|--------------------------------------|
| A Main/branch | D Industry |
| B Yard | E Repair |
| C Siding | Y Other track (explain in narrative) |

If A/I did not occur on or near rail right of way, select code that best describes the location:

- | | |
|----------------------|--|
| G Break/lunch room | N Parking lot |
| H Freight terminal | P Passenger terminal |
| J Highway/roadway | Q Repair shop |
| K Loading dock | R Storage facility |
| L Lodging facility | S Sidewalk/walkway |
| M Office environment | T Other, (off site location) |
| | Z Other location (describe in narrative) |

Part II of Code

If A/I involved rail equipment, select code that best describes type of equipment involved.

- | | |
|--|--|
| 01 Camp car - moving | Other self-propelled equipment, or equipment used in transportation |
| 02 Camp car - standing | |
| 06 Freight car(s) - moving | |
| 05 Freight car(s) - standing | 51 Automobile |
| 03 Freight train - moving | 65 Bus |
| 04 Freight train - standing | 52 Crane, hoists, etc. |
| 07 Hy-rail/other inspection vehicle - moving | 53 Excavating machinery |
| 08 Hy-rail/other inspection vehicle - standing | 54 Grading/surfacing machinery |
| 09 Locomotive(s), not remote controlled - standing | 55 Loaders, forklifts, tractor, etc |
| 10 Locomotive(s), not remote controlled - moving | 64 Motorcycle |
| 18 Locomotive(s), remote control - moving | 56 Off road vehicle - industrial |
| 17 Locomotive(s), remote control - standing | 57 Off road vehicle - recreational |
| 12 Maintenance of way equipment - moving | 58 Other construction type equipment |
| 11 Maintenance of way equipment - standing | 98 Other equipment (explain in narrative) |
| 15 Passenger car(s) - moving | 97 Other operated equipment (explain in narrative) |
| 16 Passenger car(s) - standing | 59 Taxi/commercial vehicle |
| 14 Passenger train - moving | 66 Tractor |
| 13 Passenger train - standing | 60 Truck |
| 49 Other on-track equipment - moving | 62 Van (passenger) |
| 50 Other on-track equipment - standing | 61 Van (utility) |
| | 63 Water vehicle, ship, boat, barge, etc. |
| | 99 The A/I was not associated with on-track equipment or any listed vehicle type |

APPENDIX F - Continued

Part III of Code

Select the code that best identifies the location of the person whose injury/illness is being reported.

- | | |
|---|---|
| A1 Alongside of on-track equipment - on ground | C8 Locomotive, under |
| A2 At work station | B3 On bridge/trestle |
| A5 Between cars/locomotives | CD On elevated work station |
| A7 Car, in (rail car) | C3 On escalator |
| B8 Car, on end of (rail car) | B4 On highway-rail crossing |
| B6 Car, on side of (rail car) | C5 On ladder |
| CA Car, on top of (rail car) | B5 On other rail crossing |
| C7 Car, under (rail car) | C2 On platform |
| CC Depot | B9 On pole/signal mast |
| A8 In elevator | C1 On scaffold |
| B1 In tower | C4 On stairs |
| B2 In tunnel | CB On top of equipment, other than ontrack equipment |
| A9 In/operating vehicle | A3 Track, beside |
| A6 Locomotive, in cab or on walkways | A4 Track, between |
| C9 Locomotive, on top of | B7 Track, on |
| C6 Locomotive, other location | X9 Other location (describe in narrative) |

FRA Guide for Preparing Accident/Incident Reports

APPENDIX F - Continued

EVENT CIRCUMSTANCE CODES

Select one of these codes and enter in Form F6180.55a, 5l. Event

- | | |
|---|---|
| 01 Aggravated pre-existing condition | 33 Horseplay, practical joke, etc. |
| 02 Apprehending/removing from property | 34 Lost balance |
| 04 Assaulted by coworker | 35 Missed handhold, grabiron, step, etc. |
| 03 Assaulted by other | 36 Needle puncture/prick/stick |
| 06 Bitten by animal | 69 On track equipment, other incidents |
| 05 Bitten/stung by bee, spider, other insect | 37 Other impacts - on track equipment |
| 74 Blowing/falling debris | 38 Overexertion |
| 07 Bodily function/sudden movement, e.g.,
sneezing, twisting | 41 Pushed/shoved from |
| 72 Bumped | 39 Pushed/shoved into/against |
| 73 Burned | 40 Pushed/shoved onto |
| 81 Caught Between Equipment | 43 Ran into object/equipment |
| 79 Caught Between Machinery | 42 Ran into on-track equipment |
| 82 Caught Between Material | 46 Repetitive motion - tools |
| 08 Caught in or compressed by hand tools | 45 Repetitive motion - typing, keyboard, etc. |
| 09 Caught in or compressed by other machinery | 44 Repetitive motion - work processes |
| 12 Caught in or compressed by powered hand tools | 47 Repetitive motion - other |
| 10 Caught in or crushed by materials | 48 Rubbed, abraded, etc. |
| 11 Caught in or crushed in excavation, land slide,
cave-in, etc. | 49 Shot |
| 68 Caught, crushed, pinched, other. | 50 Slack action, draft, compressive buff/coupling |
| 13 Cave in, slide, etc. | 80 Slack adjustment during switching operation |
| 16 Climatic condition, exposure to environmental
cold | 52 Slipped, fell, stumbled, etc. due to climatic
condition (rain, snow, ice, etc.) |
| 15 Climatic condition, exposure to environmental
heat | 51 Slipped, fell, stumbled, etc. due to irregular
surface, e.g., depression, slope, etc. |
| 14 Climatic conditions, other (e.g., high winds) | 54 Slipped, fell, stumbled, etc. due to object,
e.g., ballast, spike, material, etc. |
| 17 Collision - between on track equipment | 53 Slipped, fell, stumbled, etc. on oil, grease, other
slippery substance |
| 18 Collision/impact - auto, truck, bus, van, etc. | 70 Slipped, fell, stumbled, other |
| 19 Committing vandalism/theft | 55 Stabbing, knifing, etc. |
| 20 Defective/malfunctioning equipment | 56 Stepped on object |
| 21 Derailment | 61 Struck against object |
| 23 Electrical shock due to contact with 3rd rail,
catenary, pantograph | 77 Struck by Other Remote Control Locomotive
Controlled Equipment |
| 25 Electrical shock from hand tool | 76 Struck by Own Remote Control Locomotive
Controlled Equipment |
| 22 Electrical shock while operating welding
equipment | 60 Struck by falling object |
| 24 Electrical shock, other | 58 Struck by object |
| 27 Exposure to chemicals - external | 59 Struck by on-track equipment |
| 26 Exposure to fumes - inhalation | 57 Struck by thrown or propelled object |
| 30 Exposure to noise - single incident | 62 Sudden release of air |
| 29 Exposure to noise over time | 75 Sudden/Unexpected Movement of tools |
| 28 Exposure to poisonous plants | 63 Sudden/unexpected movement of material |
| 31 Exposure to welding light | |
| 32 Highway-rail collision/impact | |

APPENDIX F - Continued

EVENT CIRCUMSTANCE CODES -
Continued from previous page.

- 64** Sudden/unexpected movement of on-track equipment
- 65** Sudden/unexpected movement of vehicle
- 71** Sudden, unexpected movement, other
- 66** Sustained viewing
- 67** Thrill seeking
- 99** Other (describe in narrative)

APPENDIX F - Continued

TOOLS, MACHINERY, APPLIANCES, STRUCTURES, SURFACES (etc.)
CIRCUMSTANCE CODES

Select one of these codes and enter in Form F6180.55a, 5m. Result

- | | |
|---|--|
| 59 Anchor | 89 Locomotive cab floor |
| 7F Animal, insect, reptile | 90 Locomotive cab seat |
| 01 Baggage | 52 Locomotive cab electric locker doors |
| 02 Ballast, stones, etc. | 53 Locomotive car-body doors |
| 61 Bed | 50 Locomotive fire extinguisher |
| 03 Boring tools | 47 Locomotive horn |
| 67 Box | 54 Locomotive radios |
| 80 Brakeshoe | 48 Locomotive refrigerator |
| 04 Bridge/trestle | 49 Locomotive toilet |
| 44 Cable | 82 Locomotive, other |
| 05 Caboose | 7A Luggage |
| 7E Chains, straps, tie down devices. | 84 MOW equipment |
| 34 Chair/seat | 66 Motor |
| 46 Chemicals, fumes, etc. | 7K Motor vehicle, non rail |
| 35 Chock | 7J Needle, syringe, sharps |
| 7H Compressor | 23 Office equipment |
| 7C Computer equipment | 7G Plants, trees, foliage, etc. |
| 06 Coupler | 43 Platform |
| 83 Crane | 24 Power tools |
| 07 Cutting tools | 25 Pry bar |
| 08 Derail | 26 Rail bike |
| 09 Door | 64 Refrigerator |
| 45 Electrical connections, wiring, etc. | 8N Remote control transmitter |
| 10 End of train device | 91 Repair shop-MOW |
| 11 Floor | 85 Repair shop-locomotive |
| 63 Food | 86 Repair shop-Car |
| 12 Fusees/torpedoes | 88 Rock, other than ballast |
| 13 Grabiron | 60 Signal equipment (gates, poles, gaffs, etc.) |
| 14 Ground | 57 Soap |
| 15 Hand tools, digging, e.g., shovels, picks, etc. | 38 Spike, tie plates, rail fasteners, etc |
| 16 Hand tools, gripping, e.g., pliers, tongs, clamps | 27 Stair step |
| 17 Hand tools, striking & nailing, e.g., hammers, mallets | 36 Step/stirrup, equipment |
| 8F Hand tools, other | 65 Stove |
| 37 Handbrake | 28 Switch |
| 18 Highway, street, road | 87 Switch machine |
| 19 Hose | 29 Tie |
| 56 Hose connections | 62 Toilet |
| 20 Inspection Pit | 30 Torch, acetylene, gas, etc. |
| 21 Jack | 81 Track (Rail) |
| 22 Ladder | 58 Traction motor |
| 40 Lever | 31 Trailer/container on flat car (TOFC, COFC) |
| 51 Locomotive cab Door(s) | TOOLS, MACHINERY, APPLIANCES,
STRUCTURES, SURFACES (etc.) |

APPENDIX F - Continued

**CIRCUMSTANCE CODES - Continued from
previous page.**

- 7L** Weapon
- 32** Welder - electric
- 7M** Welder/torch, other
- 33** Window
- 99** Other (describe in narrative)

FRA Guide for Preparing Accident/Incident Reports

APPENDIX F - Continued

PROBABLE REASON FOR INJURY/ILLNESS CIRCUMSTANCE CODES

Select one of these codes and enter in Form F6180.55a, 5n. Cause

- | | |
|---|--|
| 01 Environmental | 46 Track, unrelated to using RCL |
| 02 Safety equipment not worn or in place | 47 Impairment, substance use, unrelated to using RCL |
| 03 Procedures for operating/using equipment not followed | 48 Impairment, physical condition, e.g., fatigue, unrelated to using RCL |
| 04 Equipment | 49 Human factor, unrelated to using RCL |
| 05 Signal | 50 Trespassing, unrelated to using RCL |
| 06 Track | 59 Undetermined, unrelated to using RCL |
| 07 Impairment, substance use | |
| 08 Impairment, physical condition, e.g., fatigue | |
| 09 Human factor | |
| 10 Trespassing | |
| 11 Object fouling track | 99 Undetermined |
| 12 Outside caused (e.g., assaulted/attacked) | |
| 13 Lack of communication | |
| 14 Slack adjustment during switching operation | |
| 15 Insufficient training | |
| 16 Failure to provide adequate space between equipment during switching operation | |
| 17 Close or no clearance | |
| 19 Act of God | |

REMOTELY CONTROLLED LOCOMOTIVE(S)

- 21 Environmental, related to using RCL
- 22 Safety equipment not worn or in place, related to using RCL
- 23 Procedures for operating/using equipment not followed, related to using RCL
- 24 Equipment, related to using RCL
- 25 Signal, related to using RCL
- 26 Track, related to using RCL
- 27 Impairment, substance use, related to using RCL
- 28 Impairment, physical condition, e.g., fatigue, related to using RCL
- 29 Human factor, related to using RCL
- 31 Trespassing, related to using RCL
- 39 Undetermined, related to using RCL
- 41 Environmental, unrelated to using RCL
- 42 Safety equipment not worn or in place, unrelated to using RCL
- 43 Procedures for operating/using equipment not followed, unrelated to using RCL
- 44 Equipment, unrelated to using RCL
- 45 Signal, unrelated to using RCL

FRA Guide for Preparing Accident/Incident Reports

APPENDIX G **FRA Regional Offices and Headquarters**

<u>REGION</u>	<u>OFFICE</u>	<u>PHONE</u>
I	David Myers, Acting Regional Administrator Federal Railroad Administration 55 Broadway St., Room 1077 Cambridge, MA 02142	(617) 494-2302
II	Dave Myers Regional Administrator Federal Railroad Administration 2 International Plaza, Suite 550 Philadelphia, PA 19113	(610) 521-8200
III	L. Fred Dennin Regional Administrator Federal Railroad Administration 61 Forsyth Street, SW Suite 16T20 Atlanta, GA 30303-3104	(404) 562-3800
IV	Laurence Hasvold Regional Administrator Federal Railroad Administration 200 West Adams, Suite 310 Chicago, IL 60606	(312) 353-6203
V	Bonnie Murphy Regional Administrator Federal Railroad Administration 4100 International Plaza, Suite 450 Fort Worth, Texas 76109	(817) 862-2222
VI	Darrell J. Tisor Regional Administrator Federal Railroad Administration 901 Locust St., Suite 464 Kansas, MO 64106	(816) 329-3840

FRA Guide for Preparing Accident/Incident Reports

APPENDIX G - Continued

<u>REGION</u>	<u>OFFICE</u>	<u>PHONE</u>
VII	Al Settje Regional Administrator Federal Railroad Administration 801 I Street, Suite 466 Sacramento, CA 95814	(916) 498-6540
VIII	David Brooks Regional Administrator Federal Railroad Administration 703 Broadway, Suite 650 Murdock Building Vancouver, WA 98660	(360) 696-7536

FRA HEADQUARTERS

Office of Safety (RRS-22) (202) 493-6287
Federal Railroad Administration
1120 Vermont Ave, NW
Washington, D.C. 20590

SAFETEAM@FRA.DOT.GOV

APPENDIX H
Forms

Form FRA F 6180.55 -	Railroad Injury and Illness Summary
Form FRA F 6180.98 -	Railroad Employee Injury and/or Illness Record
Form FRA F 6180.97 -	Initial Rail Equipment Accident/Incident Record
Form FRA F 6180.55a -	Railroad Injury and Illness Summary (Continuation Sheet)
Form FRA F 6180.54 -	Rail Equipment Accident/Incident Report
Form FRA F 6180.81 -	Employee Human Factor Attachment
Form FRA F 6180.78 -	Notice to Railroad Employee Involved in Rail Equipment Accident/Incident Attributed to Employee Human Factor
	Employee Statement Supplementing Railroad Accident Report
Form FRA F 6180.57 -	Highway-Rail Grade Crossing Accident/Incident Report
Form FRA F 6180.56 -	Annual Railroad Report of Employee Hours and Casualties by State
Form FRA F 6180.99 -	FRA Batch Control for Magnetic Media
Form FRA F 6180.107 -	Alternative Record for Illnesses Claimed to be Work-Related

INJURY/CONDITION INFORMATION

35. Describe in detail the injury/condition that this person sustained. Include a discussion of the body parts affected. If this is a recurrence, list date of last occurrence.

36. Identify all persons and organizations used to evaluate and/or treat condition. (Include facility, provider, and address)

37. Describe all procedures, medications, therapy, etc., used/recommended for the treatment of condition:

38. Check any of the following consequences resulting from this injury/condition:

- | | |
|---|---|
| <input type="checkbox"/> Death. Date of: _____ | <input type="checkbox"/> Hospitalization for treatment as an inpatient. |
| <input type="checkbox"/> Restriction of work. Reportable days of restricted activity: _____ as of: _____ | <input type="checkbox"/> Multiple treatments or therapy sessions. |
| <input type="checkbox"/> Occupational illness. Date of initial diagnosis: _____ | <input type="checkbox"/> Loss of consciousness. |
| <input type="checkbox"/> Instructions to obtain prescription medication, or receipt of prescription medication. | |
| <input type="checkbox"/> Missed a day of work or next shift. Reportable days absent from work: _____ as of: _____ | |
| <input type="checkbox"/> Significant injury/illness, one meeting specific case criteria, or a covered data case. | |
| <input type="checkbox"/> Medical treatment. This includes any medical care or treatment beyond "first aid" that is given, or should have been given, regardless of who provided the treatment. "First Aid" treatment is limited to very simple procedures, e.g., application of a bandaid on minor scratches, cuts, abrasions, etc. | |
| <input type="checkbox"/> Transfer to another job or termination of employment. | |

39. If any of the above consequences occurred, the injury/condition is almost always reportable to FRA on Form FRA F 6180.55a. If you believe this case does not meet the reporting criteria, you must give a brief explanation below of the basis for this decision. Was the case reported? Yes No

40. Has this employee been provided an opportunity to review his or her file? Yes No

41. Preparer's Name	42. Preparer's Title	43. Telephone Number	44. Date
---------------------	----------------------	----------------------	----------

RAILROAD INJURY AND ILLNESS SUMMARY
(Continuation Sheet)

1. Name of Reporting Railroad	2. Alphabetic Code	3. Report Month	4. Report Year

5a. Accident/Injury Number	5b. Day	5c. Time of Day	5d. County				5e. State	5f. Type Person/ Job Code	5g. Age	
5h. Drug/ Alcohol Test	5i. Injury Illness Code	5j. Physical Act	5k. Location	5l. Event	5m. Result	5n. Cause	5o. Number of Days Away From Work	5p. Number of Days Restricted	5q. Exposure to Hazmat	5r. Special Case Codes
A	D									
5s. Latitude (optional)			5t. Longitude (optional)							
5u. Narrative (Up to 250 Characters)										

5a. Accident/Injury Number	5b. Day	5c. Time of Day	5d. County				5e. State	5f. Type Person/ Job Code	5g. Age	
5h. Drug/ Alcohol Test	5i. Injury Illness Code	5j. Physical Act	5k. Location	5l. Event	5m. Result	5n. Cause	5o. Number of Days Away From Work	5p. Number of Days Restricted	5q. Exposure to Hazmat	5r. Special Case Codes
A	D									
5s. Latitude (optional)			5t. Longitude (optional)							
5u. Narrative (Up to 250 Characters)										

5a. Accident/Injury Number	5b. Day	5c. Time of Day	5d. County				5e. State	5f. Type Person/ Job Code	5g. Age	
5h. Drug/ Alcohol Test	5i. Injury Illness Code	5j. Physical Act	5k. Location	5l. Event	5m. Result	5n. Cause	5o. Number of Days Away From Work	5p. Number of Days Restricted	5q. Exposure to Hazmat	5r. Special Case Codes
A	D									
5s. Latitude (optional)			5t. Longitude (optional)							
5u. Narrative (Up to 250 Characters)										

NOTE: This report is part of the reporting railroad's accident report pursuant to the accident reports statute and, as such shall not " be admitted as evidence or used for any purpose in any suit or action for damages growing out of any matter mentioned in said report" 49 U.S.C. 20903. See 49 C.F.R. 225.7 (b).

1. Name of Reporting Railroad				1a. Alphabetic Code				1b. Railroad Accident/Incident No.							
2. Name of Other Railroad Involved in Train Accident/Incident				2a. Alphabetic Code				2b. Railroad Accident/Incident No.							
3. Name of Railroad Responsible for Track Maintenance (single entry)				3a. Alphabetic Code				3b. Railroad Accident/Incident No.							
4. U. S. DOT Grade Crossing Identification Number				5. Date of Accident/Incident month day year				6. Time of Accident/Incident AM <input type="checkbox"/> PM <input type="checkbox"/>							
7. Type of Accident/ Incident (single entry in code box)		1. Derailment 2. Head on collision 3. Rear end collision		4. Side collision 5. Raking collision 6. Broken train collision		7. Hwy-rail crossing 8. RR grade crossing 9. Obstruction		10. Explosion-detonation 11. Fire/violent rupture 12. Other impacts		13. Other (describe in narrative)		Code			
8. Cars Carrying HAZMAT		9. HAZMAT Cars Damaged/ Derailed		10. Cars Releasing HAZMAT		11. People Evacuated		12. Division							
13. Nearest City/Town		14. Milepost (to nearest tenth)		15. State Abbr.		Code		16. County							
17. Temperature (F) (specify if minus)		18. Visibility (single entry) 1. Dawn 3. Dusk 2. Day 4. Dark		Code		19. Weather (single entry) 1. Clear 3. Rain 5. Sleet 2. Cloudy 4. Fog 6. Snow		Code		20. Type of Track 1. Main 3. Siding 2. Yard 4. Industry		Code			
21. Track Name/ Number		22. FRA Track Class (1-9, X)		Code		23. Annual Track Density (gross tons in millions)		Code		24. Time Table Direction 1. North 3. East 2. South 4. West		Code			
25. Type of Equipment Consist (single entry)		1. Freight train 2. Passenger train 3. Commuter train		4. Work train 5. Single car 6. Cut of cars		7. Yard/switching 8. Light loco(s). 9. Maint./inspect. car		A. Spec. MoW Equip. Code		26. Was Equipment Attended? 1. Yes 2. No		Code		27. Train Number/Symbol	
28. Speed (recorded speed, if available) R - Recorded E - Estimated MPH		Code		30. Method(s) of Operation (enter code(s) that apply) a. ATCS b. Auto train control c. Auto train stop d. Cab signals e. Traffic control f. Interlocking		g. Automatic block h. Current of traffic i. Time table/train orders j. Track warrant control k. Direct traffic control l. Yard limits		m. Special instructions n. Other than main track rules p. Positive train control o. Other (specify in narrative) Code(s)		30a. Remotely Controlled Locomotive? 0 = Not a remotely controlled operation 1 = Remote control portable transmitter 2 = Remote control tower operation 3 = Remote control portable transmitter - more than one remote control transmitter		Code			
29. Trailing Tons (gross tonnage, excluding power units)		a. Initial and Number		b. Position in Train		c. Loaded(yes/no)		32. If railroad employee(s) tested for drug/alcohol use, enter the number that were positive in the appropriate box.		Alcohol		Drugs			
(1) First Involved (derailed, struck, etc.)															
(2) Causing (if mechanical, cause reported)								33. Was this consist transporting passengers? (y/n)							
34. Locomotive Units		a. Head End		Mid Train b. Manual c. Remote		Rear End d. Manual e. Remote		35. Cars		Loaded a. Freight b. Pass.		Empty c. Freight d. Pass. e. Caboose			
(1) Total in Train								(1) Total in Equipment Consist							
(2) Total Derailed								(2) Total Derailed							
36. Equipment Damage This Consist		37. Track, Signal, Way, & Structure Damage		38. Primary Cause Code		39. Contributing Cause Code		Number of Crew Members		Length of Time on Duty					
40. Engineers/ Operators		41. Firemen		42. Conductors		43. Brakemen		44. Engineer/Operator Hrs: Mins:		45. Conductor Hrs: Mins:					
Casualties to:		46. Railroad Employees		47. Train Passengers		48. Others		49. Special Study Block							
Fatal															
Nonfatal															
50. Latitude (optional)				51. Longitude (optional)											
52. Narrative Description (Be specific, and continue on separate sheet if necessary)															
53. Typed/Printed Name & Title of Preparer				54. Signature				55. Date							

NOTE: This report is part of the reporting railroad's accident report pursuant to the accident reports statute and, as such "shall not" be admitted as evidence or used for any purpose in any suit or action for damages growing out of any matter mentioned in said report . . . " 49 U.S.C. 20903. See 49 C.F.R. 225.7 (b).

EMPLOYEE HUMAN FACTOR ATTACHMENT

DEPARTMENT OF TRANSPORTATION
FEDERAL RAILROAD ADMINISTRATION (FRA)

OMB Approval No.: 2130-0500

Name of Reporting Railroad	Railroad Accident/Incident No. (Block 1b, FRA F 6180.54)	Date of Accident/Incident (mo/day/year)
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The railroad has determined that (check only one)

- a. One or more railroad employees was the primary or a contributing cause of the accident.
- b. One or more railroad employees was not the primary or a contributing cause of the accident.
- c. It is uncertain whether one or more railroad employees was a primary or a contributing cause of the accident.

If item "b" or "c" was checked, go to the last line of the form. If item "a" was checked, complete the following:

The railroad has identified (check only one)

- 1. All the railroad employees who were the primary cause or a contributing cause of the accident/incident.
- 2. Some, but not all of the railroad employees who were the primary cause or a contributing cause of the accident/incident.
- 3. None of the railroad employees who were the primary cause or a contributing cause of the accident/incident.

If item "3" above was checked, go to the last line of this form.

If item "1" or "2" was checked, complete the following for each employee identified as the primary cause or a contributing cause of the accident/incident. Attach additional pages if needed.

Name of Railroad Employee (last, first, middle)	Job Title	Railroad Code of Employing Railroad	Cause Code(s) Applicable to this Employee

Describe why the employee was the primary cause or a contributing cause of the accident/incident.

Did the employee die as a result of the accident/incident? Yes No

Typed Name and Title	Signature	Date
----------------------	-----------	------

Note: This form under 49 C.F.R. 225.12 is part of the railroad's accident report to FRA pursuant to the accident reports statute and as such shall not "be admitted as evidence or used for any purpose in any suit or action for damages growing out of any matter mentioned in said report" 49 U.S.C. 20903. See 49 C.F.R. 225.7(b).

Note: Under 49 C.F.R. 225.29, any person who violates any requirement of 49 C.F.R. Part 225 or causes the violation of any such requirement is subject to a civil penalty. Penalties may be assessed against individuals only for willful violations. A person may also be subject to criminal penalties provided for in 49 U.S.C. 21311.

INSTRUCTIONS FOR COMPLETING FORM FRA F 6180.81 "EMPLOYEE HUMAN FACTOR ATTACHMENT"

Requirements

If, in reporting a rail equipment accident/incident on Form FRA F 6180.54, a railroad cites an employee human factor as the primary cause or a contributing cause of the accident, the railroad that cited such employee human factor must complete Form FRA F 6180.81, entitled "Employee Human Factor Attachment."

The Form FRA F 6180.81 must be attached to its related Rail Equipment Accident/Incident report.

This Form is only used in connection with a reportable rail equipment accident/incident where Form FRA F 6180.54 submitted to FRA identifies an employee human factor as either the primary cause or contributing cause of the accident.

General Instruction

Each employee identified on Form FRA F 6180.81 must be notified that he or she has been identified as a possible primary or a contributing cause of an accident. That notification is to be given on Form FRA F 6180.78. Instructions for completing Form FRA F 6180.78 are noted on the attachment to that form. You also may wish to refer to the [FRA Guide for Preparing Accident/Incident Reports](#), or FRA's website at www.FRA.DOT.GOV for completion of that form.

FREQUENTLY ASKED QUESTIONS

Q. Under what circumstances must the reporting railroad complete a Form FRA F 6180.81?

A. This form should be completed only when a railroad, in reporting a rail equipment accident/incident to FRA assigns any of the cause codes listed under "Train Operation"-Human Factors as listed in Appendix C to the [FRA Guide for Preparing Accident/Incident Reports](#) as the primary cause or a contributing cause of the rail equipment accident/incident.

Q. What is the **definition of a "railroad employee"** for purposes of completing this form?

A. "Railroad Employee" means Worker on Duty-Employee (Class A), Employee not on Duty (Class B), Worker on Duty-Contractor (Class F), and Worker on Duty-Volunteer (Class H). See 49 C.F.R. 225.5, 225.12.

Q. What is the definition of "the primary cause or a contributing cause"?

A. The "primary cause or a contributing cause" is an act, omission, or physical condition such as alcohol intoxication, fatigue, or legal or illegal drug use that was the main cause or a contributing cause of the accident/incident. If an employee was intoxicated or fatigued, but the accident would have happened anyway and with the same degree of severity, then the intoxication, fatigue is not the primary or a contributing cause. If the employee's act, omission, or physical condition only remotely contributed to the accident/incident, this is still a contributing cause of the accident.

Q. Should I send a Form FRA F 6180.78 to an employee's home **if the employee died** as a result of the accident?

A. No. A Notice for an employee must not be sent if that employee has died as a result of that accident. A Notice is not required and is not recommended for an employee who has died due to any cause by the time that Notice is ready to be sent.

Q. What should I do if the railroad alleges **an employee from another railroad is the primary cause or a contributing cause of the accident**?

A. You should notify the employee's railroad that the reporting railroad alleges that the primary or a contributing cause of the accident was that employee. The employee's railroad should then promptly provide to the reporting railroad the name, title, address, and medical status of that employee.

Q. What if the reporting railroad **cannot initially identify an employee** as the primary cause or a contributing cause of an accident but subsequently does identify such employee?

A. The reporting railroad should prepare a revised form FRA F 6180.81 and forward it to FRA. In addition, the reporting railroad, will have **15 days** from the date of the revised form to send an FRA F 6180.78 to that employee.

Q. May a reporting railroad ever **defer notice** to an employee?

A. Yes. Particularly if the employee was seriously injured, a railroad may defer notice to the employee.

Q. Must the reporting railroad attach a form FRA F 6180.81 to the form FRA F 6180.54 if the reporting railroad has scheduled or is **conducting a formal investigation** of the accident to determine if it was caused by human factor, but the investigation is not concluded before the filing of the regular monthly report?

A. Yes. The reporting railroad must nevertheless attach the FRA F 6180.81 to the form FRA F 6180.54. Moreover, when completing the 6180.81 in this situation, the reporting railroad should in the "Brief Description" block, explain that the employees have not been named because the railroad is still conducting a formal investigation. Indicate whether the formal investigation is currently in progress or the date that it is scheduled to begin. Once the investigation is completed, the reporting railroad must file a "corrected copy" of the form FRA F 6180.81 for each implicated employee.

Q. When must the reporting railroad notify the implicated employee?

A. A Notice for an employee must be sent within **45 days** from the end of the month in which the accident occurred, unless the employee has died, or in the reporting railroad's discretion, the reporting railroad should defer notice.

**NOTICE TO RAILROAD EMPLOYEE INVOLVED IN RAIL EQUIPMENT ACCIDENT/INCIDENT
ATTRIBUTED TO EMPLOYEE HUMAN FACTOR**

EMPLOYEE STATEMENT SUPPLEMENTING RAILROAD ACCIDENT REPORT

DEPARTMENT OF TRANSPORTATION
FEDERAL RAILROAD ADMINISTRATION (FRA)

OMB Approval No.: 2130-0500

PART I - NOTICE TO RAILROAD EMPLOYEE (To be completed by reporting railroad)

Name of Reporting Railroad	Date of Accident/Incident ____/____/____ mo day year	Accident/Incident No.	Location of Accident/Incident (State, nearest city/town)
----------------------------	--	-----------------------	---

Applicable to this person? <input type="checkbox"/> Yes <input type="checkbox"/> No	Causes reported on Form FRA F6180.54	
	Code	Description
<input type="checkbox"/> Yes <input type="checkbox"/> No		
<input type="checkbox"/> Yes <input type="checkbox"/> No		

Employee's Name (First, middle, last)	Job Title	Name of Employing Railroad
---------------------------------------	-----------	----------------------------

Employee's Home Address

PURPOSE OF THIS FORM A rail accident occurred that may have at least partly been caused by human error (human factor). The railroad involved with this accident is sending you this form because it is required by federal law to send this form to any railroad employee it believes may have at least been partly responsible for causing the accident/incident.

Since the railroad has named you as an employee who may have been involved in this accident, the railroad is required by federal law to complete **Part I** of this form and give you an opportunity **within 45 days** from the date that the notice was mailed or hand delivered to you to give in **Part II** of this form your version of events relating to this accident. If you would like to complete this form but are unable to do so within the time limit, you must provide an explanation to FRA and the railroad for the need for more time. While the railroad is required by federal law to send this form to you, **you are not legally required to complete this form.** If you decide to complete the form, the railroad may, upon reviewing your supplement, decide to revise its accident report.

In **Part II** of this form, you may submit a supplemental statement to FRA on any aspect of the railroad's report. If you decide that you would like to send the railroad and FRA a statement, **please follow the INSTRUCTIONS.**

Name of Railroad Representative	Signature of Railroad Representative	Date Signed	Date Mailed/Hand Delivered
---------------------------------	--------------------------------------	-------------	----------------------------

If the employee decides to return this form to the railroad, the form should be sent to: [name and address of railroad representative.]

PART II - SUPPLEMENT - EMPLOYEE STATEMENT REGARDING RAILROAD ACCIDENT REPORT

I would like to supplement the railroad's accident report with the following statement:

(Continue statement on separate sheet, if required, and mail with statement)

I have carefully read this statement and confirm that it is true to the best of my knowledge and belief.

Signature _____	Date Signed _____	Date Mailed/Hand Delivered to FRA: _____	Railroad: _____
-----------------	-------------------	--	-----------------

Your Telephone Number Home: (____) _____ Work: (____) _____	Your home or mailing address
---	------------------------------

NOTE: This Notice and Employee Supplement under 49 C.F.R. 225.12 are part of the reporting railroad's accident report to FRA pursuant to the accident reports statute and, as such, shall not "be admitted as evidence or used for any purpose in any suit or action for damages growing out of any matter mentioned in said report . . ." 49 U.S.C. 20903. See 49 C.F.R. 225.7 (b).

INSTRUCTIONS TO RAILROAD EMPLOYEE REGARDING COMPLETION OF PART II OF FORM FRA F 6180.78

If you decide to complete this form, please follow these instructions:

1. Complete only Part II of this form.
2. Print or type your statement.
3. You may attach any relevant supporting documents, diagrams, photographs, or other evidence.
4. Sign and date your statement.
5. Send your original statement to the Federal Railroad Administration (FRA) at the following address:
Federal Railroad Administration,
Office of Safety Analysis (RRS-22), Stop 25
1120 Vermont Ave., N.W., Washington, D.C. 20590
6. Send a copy of your statement to your railroad.
7. Keep a copy of your statement for your own records.
8. Additional information concerning completion of this form may be obtained at FRA's website at www.FRA.DOT.GOV.

FREQUENTLY ASKED QUESTIONS

Q. Who is a railroad employee?

A. FRA defines an employee for purposes of filling out this form as a Worker on Duty-Employee; Employee, Employee not on duty; Worker on Duty-Contractor; or Worker on Duty-Volunteer. If you fit into any of these categories, you are a railroad employee for purposes of filling out this form.

Q. Do I have to fill out the form?

A. No. Neither the railroad nor FRA requires you to fill out this form. Employee statements on this form are voluntary and optional, not mandatory, and deciding not to send this form to FRA and the railroad does not imply that the employee admits or endorses the railroad's conclusions as to the cause of the accident or any other allegations. See 49 C.F.R. 225.12(g).

Q. Will my statements remain confidential?

A. Information that the employee wishes to withhold from the railroad must not be included in this Supplement. If the employee wishes to provide confidential information to FRA, the employee should not use the Supplement form (part II of Form FRA F 6180.78), but rather provide such confidential information by other means, such as a letter to the employee's collective bargaining representative, or to the Federal Railroad Administration, Office of Safety Assurance and Compliance, RRS-11, 400 Seventh Street, SW., Washington, D.C. 20590. The letter should include the name of the railroad making the allegations, the date and place of the accident, and the rail equipment accident/incident number.

Q. Is this form part of the railroad's accident report to FRA, and as such, may it be used in private litigation?

A. No. This form under 49 C.F.R. 225.12 is part of the railroad's accident report to FRA pursuant to the accident reports statute and as such shall not "be admitted as evidence or used for any purpose in any suit or action for damages growing out of any matter mentioned in said report . . ." 49 U.S.C. 20903. See 49 C.F.R. 225.7(b).

Willful false statements can result in imposition of civil penalties.

HIGHWAY-RAIL GRADE CROSSING
ACCIDENT/INCIDENT REPORT

1. Name of Reporting Railroad			1a. Alphabetic Code			1b. Railroad Accident/Incident No.							
2. Name of Other Railroad Involved in Train Accident/Incident			2a. Alphabetic Code			2b. Railroad Accident/Incident No.							
3. Name of Railroad Responsible for Track Maintenance (single entry)			3a. Alphabetic Code			3b. Railroad Accident/Incident No.							
4. U. S. DOT Grade Crossing Identification Number			5. Date of Accident/Incident month day year			6. Time of Accident/Incident AM <input type="checkbox"/> PM <input type="checkbox"/>							
7. Nearest Railroad Station		8. Division		9. County		10. State Abbr.		Code					
11. City (if in a city)			12. Highway Name or Number Public <input type="checkbox"/> Private <input type="checkbox"/>										
Highway User Involved				Rail Equipment Involved									
13. Type A. Auto B. Truck C. Truck-trailer D. Pick-up truck E. Van F. Bus G. School bus H. Motorcycle J. Other motor vehicle K. Pedestrian M. Other (specify)		Code		17. Equipment 1. Train (units pulling) 2. Train (units pushing) 3. Train (standing)		4. Car(s) (moving) 5. Car(s) (standing) 6. Light loco(s) (moving) 7. Light loco(s) (standing)		8. Other (specify) A. Train pulling- RCL B. Train pushing- RCL C. Train standing- RCL		Code			
14. Vehicle Speed (est. mph at impact)		15. Direction (geographical) 1. North 2. South 3. East 4. West		Code		18. Position of Car Unit in Train							
16. Position 1. Stalled on crossing 2. Stopped on crossing 3. Moving over crossing 4. Trapped				Code		19. Circumstance 1. Rail equipment struck highway user 2. Rail equipment struck by highway user				Code			
20a. Was the highway user and/or rail equipment involved in the impact transporting hazardous materials? 1. Highway user 2. Rail equipment 3. Both 4. Neither				Code		20b. Was there a hazardous materials release by 1. Highway user 2. Rail equipment 3. Both 4. Neither				Code			
20c. State here the name and quantity of the hazardous material released, if any.													
21. Temperature (specify if minus) ° F		22. Visibility (single entry) 1. Dawn 2. Day 3. Dusk 4. Dark		Code		23. Weather (single entry) 1. Clear 2. Cloudy 3. Rain 4. Fog 5. Sleet 6. Snow				Code			
24. Type of Equipment Consist (single entry) 1. Freight train 2. Passenger train 3. Commuter train		4. Work train 5. Single car 6. Cut of cars		7. Yard/switching 8. Light loco(s) 9. Maint./inspect. car		A. Spec. MoW Equip. Code		25. Track Type Used by Rail Equipment Involved 1. Main 2. Yard 3. Siding 4. Industry		Code	26. Track Number or Name		
27. FRA Track Class (1-9, X)		28. Number of Locomotive Units		29. Number of Cars		30. Consist Speed (Recorded speed, if available) R - Recorded E - Estimated MPH		Code		31. Time Table Direction 1. North 2. South 3. East 4. West		Code	
32. Type of Crossing Warning 1. Gates 2. Cantilever FLS 3. Standard FLS		4. Wig wags 5. Hwy. traffic signals 6. Audible		7. Crossbucks 8. Stop signs 9. Watchman		10. Flagged by crew 11. Other (specify) 12. None		33. Signaled Crossing Warning (See reverse side for instructions and codes)		Code		34. Whistle Ban 1. Yes 2. No 3. Unknown	Code
Code(s)													
35. Location of Warning 1. Both sides 2. Side of vehicle approach 3. Opposite side of vehicle approach			Code			36. Crossing Warning Interconnected with Highway Signals 1. Yes 2. No 3. Unknown			Code			37. Crossing Illuminated by Street Lights or Special Lights 1. Yes 2. No 3. Unknown	Code
38. Driver's Age		39. Driver's Gender 1. Male 2. Female		Code		40. Driver Drove Behind or in Front of Train and Struck or was Struck by Second Train 1. Yes 2. No 3. Unknown			Code		41. Driver 1. Drove around or thru the gate 2. Stopped and then proceeded 3. Did not stop 4. Stopped on crossing 5. Other (specify)		Code
42. Driver Passed Standing Highway Vehicle 1. Yes 2. No 3. Unknown			Code			43. View of Track Obscured by (primary obstruction) 1. Permanent structure 2. Standing railroad equipment 3. Passing train 4. Topography 5. Vegetation 6. Highway vehicles 7. Other (specify) 8. Not obstructed			Code				
Casualties to:		Killed		Injured		44. Driver was 1. Killed 2. Injured 3. Uninjured		Code		45. Was Driver in the Vehicle? 1. Yes 2. No		Code	
46. Highway-Rail Crossing Users						47. Highway Vehicle Property Damage (est. dollar damage)			48. Total Number of Highway-Rail Crossing Users (include driver)				
49. Railroad Employees						50. Total Number of People on Train (include passengers and train crew)			51. Is a Rail Equipment Accident/ Incident Report Being Filed? 1. Yes 2. No			Code	
52. Passengers on Train													
53a. Special Study Block						53b. Special Study Block							
54. Narrative Description (Be specific, and continue on separate sheet if necessary)													
55. Typed Name and Title						56. Signature			57. Date				

NOTE: This report is part of the reporting railroad's accident report pursuant to the accident reports statute and, as such shall not "be admitted as evidence or used for any purpose in any suit or action for damages growing out of any matter mentioned in said report . . ." 49 U.S.C. 20903. See 49 C.F.R. 225.7 (b).

INSTRUCTIONS FOR COMPLETING BLOCK 33

Only if Types 1 - 6, Item 32 are indicated, mark in Block 33 the status of the warning devices at the crossing at the time of the accident, using the following codes:

1. Provided minimum 20-second warning.
2. Alleged warning time greater than 60 seconds.
3. Alleged warning time less than 20 seconds.
4. Alleged no warning.
5. Confirmed warning time greater than 60 seconds.
6. Confirmed warning time less than 20 seconds.
7. Confirmed no warning.

If status code 5, 6, or 7 was entered, also enter a letter code explanation from the list below:

- A. Insulated rail vehicle.
- B. Storm/lightning damage.
- C. Vandalism.
- D. No power/batteries dead.
- E. Devices down for repair.
- F. Devices out of service
- G. Warning time greater than 60 seconds attributed to accident-involved train stopping short of the crossing, but within track circuit limits, while warning devices remain continuously active with no other in-motion train present.
- H. Warning time greater than 60 seconds attributed to track circuit failure (e.g., insulated rail joint or rail bonding failure, track or ballast fouled, etc.).
- J. Warning time greater than 60 seconds attributed to other train/equipment within track circuit limits.
- K. Warning time less than 20 seconds attributed to signals timing out before train's arrival at the crossing/island circuit.
- L. Warning time less than 20 seconds attributed to train operating counter to track circuit design direction.
- M. Warning time less than 20 seconds attributed to train speed in excess of track circuit's design speed.
- N. Warning time less than 20 seconds attributed to signal system's failure to detect train approach.
- P. Warning time less than 20 seconds attributed to violation of special train operating instructions.
- R. No warning attributed to signal system's failure to detect the train.
- S. Other cause(s). Explain in Narrative Description.

**ANNUAL RAILROAD REPORT
OF**

DEPARTMENT OF TRANSPORTATION
FEDERAL RAILROAD ADMINISTRATION (FRA)

EMPLOYEE HOURS AND CASUALTIES, BY STATE

OMB Approval No.: 2130-0500

1. Reporting Railroad			2. Alphabetic Code		3. Report Year
4. Establishments Included in this Report			5. Average Employment in Report Year		
6.					
State	Employee Hours	Casualties	State	Employee Hours	Casualties
Alabama			Montana		
Alaska			Nebraska		
Arizona			Nevada		
Arkansas			New Hampshire		
California			New Jersey		
Colorado			New Mexico		
Connecticut			New York		
Delaware			North Carolina		
District of Columbia			North Dakota		
Florida			Ohio		
Georgia			Oklahoma		
Idaho			Oregon		
Illinois			Pennsylvania		
Indiana			Rhode Island		
Iowa			South Carolina		
Kansas			South Dakota		
Kentucky			Tennessee		
Louisiana			Texas		
Maine			Utah		
Maryland			Vermont		
Massachusetts			Virginia		
Michigan			Washington		
Minnesota			West Virginia		
Mississippi			Wisconsin		
Missouri			Wyoming		
7. Total Employee Hours for the Year			8. Total Casualties During the Year		
9. Typed Name and Title			10. Signature		11. Date
NOTE: This report is part of the reporting railroad's accident report pursuant to the accident reports statute and, as such shall not " be admitted as evidence or used for any purpose in any suit or action for damages growing out of any matter mentioned in said report . . ." 49 U.S.C. 20903. See 49 C.F.R. 225.7 (b).					

FRA BATCH CONTROL FOR MAGNETIC MEDIA

DEPARTMENT OF TRANSPORTATION
FEDERAL RAILROAD ADMINISTRATION (FRA)

OMB Approval No.: 2130-0500

1. Name of Reporting Railroad	2. Alphabetic Code	3. Report Month	4. Report Year
5. Rail Equipment Accident/Incident Report (Form FRA F 6180.54)			
a. Number of records on the tape or diskette	_____		
b. Total equipment damage (Field Number 65, Field Name EQPDMG) for all records submitted	_____		
c. Total track damage (Field Number 66, Field Name TRKDMG) for all records submitted	_____		
d. Total number of cars in the consist (the sum of the fields LOADF1, LOADP1, EMPTYF1, EMPTYP1, and CABOOSE1 - Field Numbers 55, 56, 57, 58, and 59, respectively) for all records submitted	_____		
6. Highway-Rail Grade Crossing Accident/Incident Report (Form FRA F 6180.57)			
a. Number of records on the tape or diskette	_____		
b. Total vehicle damage (Field Number 47, Field Name VEHDMG) for all records submitted	_____		
c. Total number of highway-rail crossing users, railroad employees, and passengers on train killed (the sum of fields HR_USER_KD, RR_EMP_KD, and PASS_KD - Field Numbers 62, 64, and 66) for all records submitted	_____		
d. Total number of highway-rail crossing users (Field Number 50, Field Name TOTOCC) for all records submitted	_____		
7. Railroad Injury and Illness Summary (Form FRA F 6180.55)			
a. Number of records on the tape or diskette	_____		
b. Total of all train miles (Freight, Passenger, Yard Switching, and Other)	_____		
c. Railroad worker hours	_____		
d. Passenger miles operated	_____		
8. Railroad Injury and Illness Summary (Continuation Sheet) (Form FRA F 6180.55a)			
a. Number of records on the tape or diskette	_____		
b. Total number of lost work days (Field Number 10, Field Name DAYSABS) for all records submitted	_____		
c. Total number of days of restricted activity (Field Number 11, Field Name DAYSRES) for all records submitted	_____		
9. Name of Reporting Officer (Type or Print)	10. Date		

ALTERNATIVE RECORD FOR ILLNESSES CLAIMED TO BE WORK-RELATED

DEPARTMENT OF TRANSPORTATION
FEDERAL RAILROAD ADMINISTRATION (FRA)

OMB Approval No.: 2130-0500

1. Name of Reporting Railroad		2. Case/Incident No.	
3. Employee's Name (First, middle, last)			
4. Employee's Date of Birth (mm/dd/yy)	5. Employee's Gender <input type="checkbox"/> Male <input type="checkbox"/> Female	6. Employee Number or Social Security Number	7. Date Employee was Hired (mm/dd/yy)
8. Employee's Home Address (include street address, city, State and ZIP code)			9. Employee's Home Telephone Number (with area code)
10. Name of Facility Where Railroad Employee Normally Reports to Work		11. Location, or Last Known Facility, Where Employee Reports to Work	
12. Job Title of Railroad Employee		13. Department to Which Employee is Assigned	
14. Date on Which Employee or Representative Notified Company Personnel of Condition (mm/dd/yy)	15. Name of Railroad Official Notified	16. Title of Railroad Official Notified	
17. Nature of Claimed Illness			
18. Supporting Documentation			
18.a. Custodian of Documents (Name, Title, and Address)		18.b. Location of Supporting Documentation	
19. Narrative			
20. Preparer's Name	21. Preparer's Title	22. Preparer's Telephone Number (with area code)	23. Date the Log Entry Was Completed (mm/dd/yy)

QUESTIONS AND ANSWERS

Q1. The only information provided to the railroad was the employee's name and social security number. Further attempts to complete the other data elements were rejected by the employee and/or his or her attorney. Does this meet FRA requirements?

A1. Yes. The railroad should continue to complete all the data elements when the information becomes available and should make a good faith effort to obtain the information. However, the railroad is not expected to continue this effort past December 1 of the year that follows the date on which the railroad first received a claim of the illness.

NOTE: This report is part of the reporting railroad's accident report pursuant to the accident reports statute and, as such shall not " be admitted as evidence or used for any purpose in any suit or action for damages growing out of any matter mentioned in said report" 49 U.S.C. 20903. See 49 C.F.R. 225.7 (b).

APPENDIX I

**Model Internal Control Plans,
including Model Statement of Policy against Harassment and Intimidation
and Model Complaint Procedures**

Explanatory Note

The Federal Railroad Administration's (FRA) safety regulations require railroads to adopt and comply with a written Internal Control Plan (ICP) on accident/incident reporting. (See Chapter 1 of Guide.) The intent of the ICP requirement is to ensure that the railroad's Reporting Officer has the required information to prepare accurate accident/incident reports to FRA and that employees are not afraid to provide relevant information.

Section 225.33(a) of title 49 of the Code of Federal Regulations (49 CFR § 225.33(a)) specifies the components to be included in an ICP. **All railroads subject to 49 CFR Part 225 must have an ICP with:**

either two components (corresponding to § 225.33(a)(1)-(2))

or ten components (corresponding to § 225.33(a)(1)-(10)).

Certain small railroads need have only a two-component ICP. In particular, railroads that operate or own track on the general railroad system of transportation that have 15 or fewer employees covered by the hours of service statute (title 49, U.S. Code, chapter 211) and non-insular tourist and historic railroads that operate or own track exclusively off the general system must have a two-component ICP. (See § 225.3(b), 61 Fed. Reg. 67490 (Dec. 23, 1996).) The first component involves adopting, disseminating, and complying with a policy statement against harassment and intimidation, including a statement of the disciplinary action to be imposed for violation of this policy. The second component entails (i) having a both procedure for processing complaints of violations and a policy not to retaliate against complainants and (ii) disclosing such procedure and policy.

Other railroads subject to Part 225 must have a full-scale ICP that includes all ten components specified in § 225.33(a)(1)-(10).

Primarily to assist small railroads in developing their ICPs, FRA is presenting in this appendix two model ICPs that could be used. Each contains blanks to be completed by the railroad.

For railroads required to have only a two-component ICP, Model 1 is a suggested two-component ICP.

APPENDIX I - Continued

For railroads required to have a ten-component ICP, Model 2 is a suggested ICP for such railroads with fewer than 200 employees.

These models are only suggestions. A railroad's trade organization may have its own model ICP. There is no definitive ICP. Large railroads, because of their complexity, may prefer to develop an ICP quite different from Model 2 and yet still be consistent with the regulation. Smaller railroads may also decide to depart from the suggested models. Details, such as the structure, forms, lines of communication, and instructions, are left to the railroad's discretion to design and implement. A railroad may develop some synthesis between plans and develop its own plan so long as it is consistent with the regulation. Railroads may follow any applicable model ICP provided in the Guide and are also encouraged to tailor their ICP based upon their particular operation, structure, or situation. After the ICP is put in place, if any significant changes to the railroad's internal reporting procedures occur, the ICP must be amended.

APPENDIX I - Continued

**Model 1 -
Model Statement of Policy against Harassment and Intimidation;
Model Complaint Procedures**

**Policy Statement of [Name of Railroad Company]
Concerning Complete and Accurate Reporting
of Accidents, Incidents, Injuries, and Occupational Illnesses
without Harassment or Intimidation**

This railroad is committed to complete and accurate reporting of all accidents, incidents, injuries, and occupational illnesses arising from the operation of the railroad, to full compliance with the letter and spirit of the Federal Railroad Administration's accident reporting regulations, and to the principle, in absolute terms, that harassment or intimidation of any person that is calculated to discourage or prevent such person from receiving proper medical treatment or from reporting such accident, incident, injury, or illness will not be permitted or tolerated and will result in disciplinary action in the form of _____ against any employee, supervisor, manager, or officer of this railroad committing such harassment or intimidation.

This policy statement is required by Federal regulation, 49 CFR § 225.33(a)(1)-(2), and all employees, supervisory personnel, and management have been provided a copy of this Policy Statement [when starting employment and/or by its remaining posted in a conspicuous location where they can reasonably be expected to see it].

[NOTE: Section 225.33(a)(2) requires disclosure to all railroad employees, supervisors, and management of the railroad's procedures for dealing with complaints of violations of the preceding policy and the railroad's guarantee of "whistle blower" protection to any person subject to the policy. Disclosure may be accomplished by combining the following paragraph with the preceding policy statement and disseminating the combination. Alternatively, the following information may be disclosed separately, by other means.]

[Complaint Procedures]

This railroad will investigate/implement the following procedure to process all complaints from any person about the policy stated above being violated: _____

APPENDIX I - Continued

_____. This railroad will implement the following procedure in order to impose the appropriate prescribed disciplinary actions on any employee, supervisor, manager, or officer of the railroad found to have violated the policy:

_____. This railroad shall provide “whistle blower” protection to any person subject to this policy. Any act of intimidation should be reported to our railroad president/operating officer/[title], _____.

APPENDIX I - Continued

Model 2 - Model Internal Control Plan for Smaller Railroads
(suggested size: fewer than 200 employees)

RAILROAD

NAME: _____

ADDRESS: _____ **TELEPHONE:** _____

_____ **FAX:** _____

**OTHER
ADDRESS,
if any:**

_____ **TELEPHONE:** _____

_____ **FAX:** _____

**FEDERAL RAILROAD ADMINISTRATION (FRA) ACCESS
TO INTERNAL CONTROL PLAN**

The Internal Control Plan shall be maintained at the office where the railroad's accident/incident Reporting Officer conducts his or her official business. The Plan shall be available for examination and copying by Federal Railroad Administration representatives (including participating State personnel) during normal business hours.

ACCIDENT/INCIDENT REPORTING OFFICER

NAME: _____ **TITLE:** _____

ADDRESS: _____ **TELEPHONE:** _____

(If different than above)

_____ **FAX:** _____

FRA Guide for Preparing Accident/Incident Reports

APPENDIX I - Continued

RAILROAD AUDITS

The railroad officer responsible for auditing the performance of the reporting function is:

(Name)

(Title)

A railroad audit will be conducted at least once each calendar year. For purposes of inspection and copying by the FRA, the most recent railroad audit report may be found at:

_____.

(Location)

RAILROAD ORGANIZATION

A. The specific departments within a railroad whose personnel regularly come into possession of information pertinent to the preparation of accident/incident reports to FRA are, for example, the medical, claims, legal, operating, mechanical, track, payroll, accounting, and personnel departments. In this railroad, the specific departments whose personnel regularly come into possession of information pertinent to the preparation of accident/incident reports to FRA are:

_____.

B. The following persons are all of the managers and officers of the specific departments within the railroad whose departments regularly come into possession of information pertinent to the preparation of reports under Part 225.

	<u>Name (optional)</u>	<u>Title</u>	<u>Department</u>	<u>Reports to</u>
1.	_____	_____	_____	_____
2.	_____	_____	_____	_____
3.	_____	_____	_____	_____
4.	_____	_____	_____	_____
5.	_____	_____	_____	_____
6.	_____	_____	_____	_____
7.	_____	_____	_____	_____

NOTE: A current organization chart satisfies the requirement for identification of titles and chain of command under heading B.

APPENDIX I - Continued

INTERNAL REPORTING FORMS AND PROCEDURES

The following internal forms or computer reporting system, or both, are used for the collection and internal recording of accident/incident information:

Forms (attached)

- | | |
|----------|----------|
| 1. _____ | 3. _____ |
| 2. _____ | 4. _____ |

Description of the internal procedures used by the railroad for the processing of forms or computerized data, or both, regarding accident/incident information:

INTERNAL REVIEW PROCEDURES

Description of the internal review procedures for accident/incident information collected and reports prepared by the railroad's safety, claims, medical, and other departments engaged in collecting and reporting accident/incident information:

Description of internal procedures for collecting cost data and compiling costs with respect to accident/incident information:

Description of internal procedures for ensuring adequate communication between the railroad department responsible for reporting accidents/incidents to FRA and any other railroad

FRA Guide for Preparing Accident/Incident Reports

APPENDIX I - Continued

department responsible for collecting, receiving, processing, and reporting information on accidents/incidents:

Procedures for updating accident/incident information prior to reporting to FRA: _____

After reporting to FRA, amendments to accident/incident reports are made as specified in the “FRA Guide for Preparing Accident/Incident Reports.”

ATTACHMENTS: Policy Statement
Complaint Procedures
Internal Reporting Forms

APPENDIX I - Continued

**Policy Statement of [Name of Railroad Company]
Concerning Complete and Accurate Reporting
of Accidents, Incidents, Injuries, and Occupational Illnesses
without Harassment or Intimidation**

This railroad is committed to complete and accurate reporting of all accidents, incidents, injuries, and occupational illnesses arising from the operation of the railroad, to full compliance with the letter and spirit of FRA's accident reporting regulations, and to the principle, in absolute terms, that harassment or intimidation of any person that is calculated to discourage or prevent such person from receiving proper medical treatment or from reporting such accident, incident, injury, or illness will not be permitted or tolerated and will result in the following disciplinary action against any employee, supervisor, manager, or officer of the railroad committing such harassment or intimidation.

Disciplinary Action: _____

The preceding Policy Statement has been disseminated to all employees, supervisory personnel, and management.

[NOTE: Section 225.33(a)(2) requires disclosure to all railroad employees, supervisors, and management of the railroad's procedures for dealing with complaints of violations of the preceding policy and the railroad's guarantee of "whistle blower" protection to any person subject to the policy. Disclosure may be accomplished by combining the following paragraph with the preceding policy statement and disseminating the combination. Alternatively, the following information may be disclosed separately, by other means.]

COMPLAINT PROCEDURES

Railroad procedures to process a complaint of violation of the Policy:

Railroad procedures to impose the appropriate prescribed disciplinary actions on each employee, supervisor, manager, or officer of the railroad found to have violated the Policy:

APPENDIX I - Continued

" These procedures have been disclosed to railroad employees, supervisors, managers, and officers, including the stipulation that “whistle blower” protection is provided to any person subject to the Policy.