



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.

On June 18, November 22, November 29, and December 23, 1996, FRA published in the Federal Register various final rule amendments to the accident reporting regulations. See 61 Fed. Reg. 30940, 61 Fed. Reg. 59368, 61 Fed. Reg. 60632, and 61 Fed. Reg. 67477, respectively. These revisions, which become effective on January 1, 1997, were made for the following principal reasons:

- To increase confidence that all qualifying events and information are being accurately reported.
- To raise employee awareness concerning hazards that may exist in the work environment and to provide opportunities for greater participation by workers in the reporting process.
- To simplify recordkeeping and filing requirements through alternative methods for maintaining records and filing reports.
- To collect additional information about accidents/incidents necessary for safety and regulatory analysis.
- To provide further clarification of definitions and requirements, with the goal of increasing uniformity and consistency of reporting among railroads.

The definition of what constitutes a reportable accident/incident has remained largely unchanged since its adoption in 1975. Similarly, the various codes found on the report forms and contained in the appendices have remained essentially unchanged as a result of the 1996 revisions, with one exception. Prior to 1997, railroads recorded an "occurrence" code for each injury or illness reported on Form FRA F 6180.55a. This code was intended to provide general information about the activities the affected person was engaged in at the time of the accident/incident. Although 16 pages of codes were contained in the previous Guide, they were often inadequate for describing key information associated with the event. This caused a large number of cases to be recorded with codes that represented "other" or "miscellaneous." The "occurrence" codes previously found in Appendix F have been replaced with a new set of "circumstance" codes.

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These, along with a narrative description, will provide a better understanding of the activity, location, tools, causes, and other factors associated with injuries and illnesses.

The Guide is organized into sections corresponding to the different reporting requirements and retains the same general format as the previous edition. New sections have been added that describe the requirements for recording accountable accidents/incidents. Questions and answers to commonly asked reporting questions have been added to the sections to which they pertain.

The instructions in the Guide are limited to issues associated with reporting and recordkeeping. Railroads may now transmit their monthly reports to the FRA by alternative means, e.g., magnetic media and electronically via telephone lines. 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 registered copy of this software free of charge upon request by the reporting officer.

Please note that in the Guide the ordinary convention on placement of quotation marks is not followed. In order to avoid confusion about what should be entered in a block on a form, quotation marks are placed inside periods and commas in a sentence.

Finally, the FRA thanks all those individuals and organizations that have provided assistance and guidance in drafting the regulation and revising the reporting guide.

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 hours of service law (49 U.S.C. §§ 21101-21107) and
2. Railroads that operate or own track exclusively off the general system.

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

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 10 of the Internal Control Plan

Accident/Incident Reporting and Recordkeeping Requirements - Continued

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.

A railroad in either of these two categories is also exempted from the requirements in § 225.25(a)-(g) to record accountable injuries and illnesses and accountable rail equipment accidents. (See Chapter 2 for definition of accountable events.) You must also, 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 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. The following is a list of your major recordkeeping and reporting requirements for all railroads subject to Part 225 at all:

- A monthly report must be made to the 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).

Accident/Incident Reporting and Recordkeeping Requirements - Continued

- 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 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:

- You must have an **INTERNAL CONTROL PLAN** containing ten 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.

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 the 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

Accident/Incident Reporting and Recordkeeping Requirements - Continued

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.

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 that prior to making such a filing, that you contact the FRA by telephone (FRA telephone numbers are listed in Appendix G) to discuss the overall merits of the case.

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Accident/Incident Reporting and Recordkeeping Requirements - Continued

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.

The 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 the FRA. In arriving at this decision, the 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; destroys, mutilates, changes, or falsifies such a record or report; does not enter required specified facts in a such record or report; 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.

Accident/Incident Reporting and Recordkeeping Requirements - Continued

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 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 the 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 ten components (unless the railroad is excepted from having components three through ten--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 1. Each railroad shall have procedures to process complaints from any person about the policy stated in paragraph 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.

Accident/Incident Reporting and Recordkeeping Requirements - Continued

7. A description of applicable internal procedures for ensuring adequate communication between the railroad department responsible for 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 (ii), (iii), and (iv).

C. MONTHLY FORMS AND FILING REQUIREMENTS

You must make a report each month to the 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 6180.98 (or acceptable alternative), FRA F 6180.55a, FRA F 6180.97 (or acceptable alternative), 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 6180.56 is an annual summary and must be included in the reports sent for the month of December.

Accident/Incident Reporting and Recordkeeping Requirements - Continued

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
818 Roeder Road, Suite 500
Silver Spring, MD 20910

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
3. Form FRA F 6180.54 (Attach Form FRA F 6180.81 when applicable)

Accident/Incident Reporting and Recordkeeping Requirements - Continued

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 be 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 is 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.

Corrections to Reports. If it is discovered that an accident/incident has been improperly reported, then a corrected report must be provided. The report should have the notation "Corrected 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 nonreportable event, a copy of the report is to be submitted with the notation "DELETE - Nonreportable" 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 corrections to existing reports after this filing.

The 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 corrected 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 a corrected report by April 15 of the following year and provide a "good faith" estimate of the final expected consequences. After this date it will not be necessary to file further adjustments for these accidents/incidents. However, you must maintain a record of the current status of each case. This file is to contain sufficient documentation to demonstrate that any unreported change to an accident/incident reported for the previous calendar year occurred after the April 15 filing.

Accident/Incident Reporting and Recordkeeping Requirements - Continued

Computer Submission of Reports. Railroads may now transmit their monthly reports to the 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 who 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, the 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, providing that the data is organized in a format that parallels the order of the items on the standard form. In addition, each data element must have a descriptive identifier attached to it that clearly identifies the data item.

Additionally, in order 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 registered 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

Accident/Incident Reporting and Recordkeeping Requirements - Continued

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: for a railroad without divisions or diverse departmental headquarters, an "establishment" may be the system headquarters or 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. See § 225.25(h)(15).

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;

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Accident/Incident Reporting and Recordkeeping Requirements - Continued

6. Regular job title of employee injured or ill;
7. Description of the injury or condition;
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--enter 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.)
13. Date the report was completed.
14. 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

Accident/Incident Reporting and Recordkeeping Requirements - Continued

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.”)

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. See § 225.25(b).

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, 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 § 225.25(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 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. 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

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Accident/Incident Reporting and Recordkeeping Requirements - Continued

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 provide the requested documentation provided the railroad made a reasonable effort to correct the problem. See § 225.25(g).

Telephonic Reports of Certain Accidents/Incidents. Under § 225.9, you must make an immediate report by toll-free telephone (800-424-0201) whenever an accident/incident results in:

1. death of a rail passenger;
2. death of a railroad employee; or
3. death or injury of five or more persons.

The report must state the:

1. Name of the reporting railroad;
2. Name, title, and telephone number of person making the report;
3. Time, date, and location of the accident;
4. Circumstances of the accident/incident;
5. Number of persons killed or injured.

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

Accident/Incident Reporting and Recordkeeping Requirements - Continued

§§ 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.

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 (800-424-0201) for any highway-rail grade crossing accident/incident involving grade crossing warning activation failure. This report must state the:

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 - Association of American Railroads (U.S. DOT - AAR) 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.

Accident/Incident Reporting and Recordkeeping Requirements - Continued

The National Transportation Safety Board (NTSB) has separate telephonic notification requirements that are based, in most instances, on accidents/incidents reported to the FRA. The following NTSB requirements are provided for information purposes.

NTSB defines an "Accident" as *any collision, derailment, or explosion involving railroad trains, locomotives, and cars, or any other loss-causing event involving the operation of such railroad equipment that results in a fatality to a passenger or in the emergency evacuation of persons.*

Notify the National Response Center (NRC) within 2 hours if the accident results in:

1. A passenger or employee fatality, or a serious injury to two or more crewmembers or passengers requiring admission to a hospital;
2. The evacuation of a passenger train;
3. Damage to a tank car or container resulting in the release of hazardous materials or involving evacuation of the general public;
or,
4. A fatality at a grade crossing.

Notify the NRC within 4 hours if the accident does not meet the above criteria, but results in:

1. Damage estimated at \$150,000 or more in repairs (or current replacement cost) to railroad or nonrailroad property; or,
2. Damage of \$25,000 or more to a passenger train including railroad and nonrailroad property.

Notification Procedure. Telephone the NRC duty officer toll free at 800-424-0201 and provide the following information:

1. Name and title of person making report.
2. Name of the railroad.
3. Description of the accident.
4. Casualties--number of fatalities and injuries.
5. Name and telephone number of person from whom additional information may be obtained.

Further guidance can be obtained by contacting NTSB on 202-314-6435.

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Accident/Incident Reporting and Recordkeeping Requirements - Continued

See 49 CFR Part 840 for relevant NTSB regulations.

Record Retention. See § 225.27. Each railroad shall retain the Railroad Employee Injury and/or Illness Record [or alternative log as specified in § 225.25] and the Monthly List of Injuries and Illnesses required by § 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. The 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 Officer
Office of Chief Counsel
Federal Railroad Administration
400 Seventh Street, S.W.
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. The Federal Railroad Administration may not conduct or sponsor, and the respondent is not required to respond to, an information collection that has been extended, revised, or implemented on or after October 1, 1995, unless it displays a currently valid OMB control number. In accordance with the Paperwork Reduction Act, the information collection requirements contained in 49 CFR Part 225 have been approved by the Office of Management and Budget (OMB) and assigned OMB approval number 2130-0500. The latest paperwork notice was published December 24, 1996, in the Federal Register. 61 Fed. Reg. 67868. The information collection requirement contained in § 225.25(h)(15) has not yet been approved by OMB. Once OMB approval is received, the OMB control number for this requirement will be published in the Federal Register.

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Accident/Incident Reporting and Recordkeeping Requirements - Continued

The time needed to complete and file the information collection requirements will vary by size of the railroads involved and the number of accidents experienced by each railroad. The sections that contain the new and/or revised information collection requirements and the estimated average time to fulfill each requirement are as follows:

49 CFR 225		Estimated
Section	Brief Description	Average Time
225.9	Telephone Reports of Certain Accidents/Incidents	15 min. per call
225.12 225.21 (f)	Form FRA F 6180.81 - Employee Human Factor Attachment	15 min. per report
225.12(g)(2)	Railroad Review of Employee Statement	5.5 hrs. per review
225.12(g)(3)	Employee Confidential Letter	2 hrs. per letter
225.17	Doubtful cases and Refusals to be Tested; Alcohol or Drug Involvement	15 min. per report
225.19(b) 225.21(e)	Form FRA F 6180.57 - Highway-Rail Grade Crossing Accident/Incident Report	4 hrs. per report
225.19(c) 225.21(a)	Form FRA F 6180.54 - Rail Equipment Accident/Incident Report	2 hrs. per report
225.19(d) 225.21(c)	Form FRA F 6180.55a - Railroad Injury and Illness Summary (Continuation Sheet)	10 min. per casualty
225.21(b)	Form FRA F 6180.55 - Railroad Injury and Illness Summary	45 min. per report
225.21(d)	Form FRA F 6180.56 - Annual Railroad Report of Manhours and Casualties by State	3 hrs. per report
225.21(g)	Part I - Form FRA F 6180.78 - Notice to Railroad Employee Involved in Rail Equipment Accident/Incident Attributed to Employee Human Factor	15 min. per report
	Part II - Employee Statement Supplementing Railroad Accident Report	2 hrs. per report
225.21(h) 225.25(a)	Form FRA F 6180.98 - Railroad Employee Injury and/or Illness Record	30 min. per casualty
225.21(i) 225.25(b)	Form FRA F 6180.97 - Initial Rail Equipment Accident/Incident Record	30 min. per record

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Accident/Incident Reporting and Recordkeeping Requirements - Continued

225.23	Railroad Consultation in Joint Operations Accidents/Incidents	1 hr. per accident
225.25(c)	Copy of Railroad Worker Injury and Illness Log to Worker	2 min.
225.25(h)	Monthly List of Injuries and Illnesses	5 hrs (Class I RR) per monthly list 45 min. (RR with 400,000 manhours or more excluding Class I RR) per monthly list 10 min. (RR with less than 400,000 manhours) per monthly list
225.25(h)(15)	Written Request that the Injury or Illness not be Posted	1 hr. per request (30 min. employee/30 min. Railroad)
225.33(a)	Internal Control Plans	32 hrs. (Class I RR) per plan 54 hrs. (2 RR's) per plan 14 hrs. (48 RR's) per plan .5 hr. (433 RR's) less than 15 employees 20 hrs. (RR with 400,000 manhours or more excluding Class I RR) per plan 1.75 hrs. (RR with less than 400,000 manhours) per plan
225.33	Amendments to Internal Control Plans	1 hr. per amendment
225.37(b)(2)	FRA F Form 6180.99 - Batch Control Form	10 min. per form
225.37(c)(1)		

These estimates include time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding these burden estimates or any other aspect of this collection of information, including suggestions for reducing burdens, to the Office of Safety, Federal Railroad Administration, 400 Seventh Street, S.W., Washington D.C. 20590; and to the Office of Management and Budget, Attention: Desk Officer for the Federal Railroad Administration (OMB No. 2130-0500), Office of Information and Regulatory Affairs, Washington, D. C. 20503.

Accident/Incident Reporting and Recordkeeping Requirements - Continued

E. QUESTIONS AND ANSWERS

- Q1. Did the revisions that become effective on January 1, 1997, other than an adjustment for reporting rail equipment accidents/incidents, change any of the criteria that make an accident/incident reportable to the FRA? Are there any new situations that we need to report, or have any events been excepted from reporting?
- A1. No. In order to accurately display accident/incident trends, it is critical to retain a constant definition of the events to be reported. These basic criteria have remained unchanged since the inception of the current reporting rules in 1975. For example, occupational illnesses of additional classes of persons are still not reportable, specifically, persons classified as Worker on Duty--Contractor and Worker on Duty--Volunteer. See §225.19(d).
- Q2. Why were the changes made?
- A2. They were initiated primarily to increase confidence that a complete and accurate record of reportable accidents/incidents is being maintained and to address other concerns. The forms designed in 1975 remained unchanged for 22 years and needed some minor updating to capture data on current needs. In order to reduce recordkeeping burdens, we have authorized the transmittal of accident/incident reports by alternate media, e.g., tapes, diskettes, electronic transfer. We have provided better access to accident/incident data to employees that will allow them to more actively participate in the reporting process, and thereby, assist in improving reporting accuracy. Similarly, we have made it a corporate responsibility that an Internal Control Plan (ICP) be in place that will enable the reporting officer to have access to information in other departments that are necessary for making reporting decisions.
- Q3. 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 displaying in such a fashion. Are there any exceptions to this requirement?
- A3. 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. New

Accident/Incident Reporting and Recordkeeping Requirements - Continued

§ 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 injured or ill employee that the information not be posted.

Q4. 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?

A4. 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, 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 the Federal Railroad Administration 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.

Q5. Are there any particular forms that must be used to record this information?

A5. 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

Accident/Incident Reporting and Recordkeeping Requirements - Continued

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).

- Q6. 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 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.
- A6. 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 of 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.

- Q7. Does this mean we can maintain this information in a computer file? If so, what are the requirements for centralized processing of this data?
- A7. 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

Accident/Incident Reporting and Recordkeeping Requirements - Continued

illnesses that occurred at that establishment that is current to within 35 days of the month to which it applies. See § 225.25(g).

- Q8. We are the contract carrier for a number of commuter operations. In the past, we have included accidents/incidents that occurred in connection with these operations in the counts for our own railroad. Can you briefly describe what the reporting requirements are in these situations?
- A8. As a railroad subject to Part 225, each commuter 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, employee hours, passengers transported, passenger train miles. All accountable and reportable accidents/incidents that occur in connection with this operation are to be recorded under the initials assigned to that operation. In order to identify when your employees are hurt while engaged in these operations, the reporting initials of your railroad must appear as the first portion of the incident number for the commuter railroad. For example, the commuter railroad is assigned the code AAAA, and your railroad initials are XXXX. One of your employees is hurt while operating train for AAAA. Railroad AAAA will submit a report that contains an entry on Form FRA F 6180.55a that has an accident/incident number beginning with XXXX and followed by additional numbers or letters that make the incident number unique for the month, e.g., XXXX12345A.

When submitting the accident/incident report for your railroad, you must exclude all operational data and accidents/incidents that have been reported for the entity that you are under contract to. Using the example above, you would omit this injury on your railroad's report, since it was included on the report for the commuter railroad.

Accident/Incident Reporting and Recordkeeping Requirements - Continued

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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, as interpreted by FRA, means any condition, not otherwise reportable, of a railroad employee that is associated with an event, exposure, or activity in the work environment that causes or requires the employee to be examined or treated by a qualified health care professional. Such treatment would usually occur at a location other than the work environment; however, it may be provided at any location, including the work site. The

DEFINITIONS - Continued

following is an example of an accountable illness. Employee A is diagnosed with tuberculosis (TB). While at work, employee B came into frequent close contact with employee A. Fearing he may have contracted TB, employee B is tested for TB by a qualified health care professional (QHCP). The TB test for employee B is negative. Employee B's case would be an accountable illness because 1) employee B alleged that he had an illness that was 2) work related and 3) employee B was exposed at work (frequent close contact with employee A) and 4) employee B was examined by a QHCP. The fact that the TB test was negative is irrelevant for purposes of logging an accountable illness.

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, as interpreted by FRA, means any abnormal condition or disorder, of any person who falls under the definition for the classification of Worker on Duty--Employee, other than one resulting from injury, caused by environmental factors 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.

DEFINITIONS - Continued

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.

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

DEFINITIONS - Continued

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:

- (a) Railroad employees who are assigned to perform service subject to the Hours of Service Act (45 U.S.C. 61-64b) 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.

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

DEFINITIONS - Continued

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.

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-

DEFINITIONS - Continued

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 question Q8 and answer A8 in Chapter 1 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).

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.

DEFINITIONS - Continued

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 that occur in calendar year 1997, the reporting threshold is \$6,500. 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.

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.

DEFINITIONS - Continued

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 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.

DEFINITIONS - Continued

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.

Day away from work is any day subsequent to the day of the injury or diagnosis of occupational illness that a railroad employee does not report to work for reasons associated with his or her condition.

Day of restricted work activity is any day that an employee is restricted (as defined in "Lost Workdays and Type of Lost Workdays") in his or her job following the day of the injury or diagnosis of occupational illness.

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

DEFINITIONS - Continued

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 health, safety, and property when transported in commerce, and which has been so designated.

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.

Lost Workdays and Type of Lost Workdays.

Day away from work. Any day (consecutive or not) following the date of injury or diagnosis of occupational illness that a railroad employee does not report to work for reasons connected with a reportable injury or occupational illness.

DEFINITIONS - Continued

Restriction of Work. The inability of a railroad employee to perform all normally assigned duties of his or her regular job following an injury or occupational illness. It includes the temporary assignment to another job, being placed on restricted duties, or when the employee worked less than full time at a regular job.

Day of Restricted Activity. Any day or part of a day (consecutive or not) that a railroad employee is restricted (as defined above) at work for reasons connected with a reportable injury or occupational illness.

Lost Workday. Any full day or part of a day (consecutive or not) that a railroad employee is either absent from work or is restricted while at work as a result of a reportable injury or illness.

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.

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.

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

DEFINITIONS - Continued

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.

Preventive treatment. A treatment is considered preventive only when there is no work-related injury or illness prior to its use. A treatment may not be defined as preventive and is instead defined as precautionary when given to stop an existing work-related condition from becoming worse. See Ch. 6, P. 9, of Guide.

Qualified 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 "qualified 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

DEFINITIONS - Continued

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.

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.

DEFINITIONS - Continued

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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).

Note that the injury of a railroad employee (a Worker on Duty-Employee (Class A) or an Employee not on Duty (Class B)), is reportable if it results in death, requires medical treatment, or results in a day away from work, restricted work activity or job transfer, termination (as interpreted by FRA), or loss of consciousness. See § 225.19(d). Note that the injury of a contractor or a volunteer (whether classified as Worker on Duty or not) is reportable only if it meets the general criteria for reportability of the injury to a person--that is, if the injury causes death or requires medical treatment.

Note that, as FRA interprets the regulation, illnesses are reportable only for the following classification of persons: Worker on Duty--Employee.

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.

FORM FRA F 6180.55 - Continued

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
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

FORM FRA F 6180.55 - Continued

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.

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

FORM FRA F 6180.55 - Continued

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),
- 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

FORM FRA F 6180.55 - Continued

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

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".

FORM FRA F 6180.55 - Continued

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.

FORM FRA F 6180.98 - Continued

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 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;

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4. Date of birth of railroad employee;
5. Gender of railroad employee;
6. Social Security 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. 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;

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21. Description of all factors associated with the case that are pertinent to an understanding of how it occurred. Include a discussion of the 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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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.

FORM FRA F 6180.98 - Continued

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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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7. Division;
8. Nearest city or town;
9. State;
10. Milepost (to the nearest tenth);
11. Specific site;
12. Speed (indicate if actual or estimate);
13. Train number or job number;
14. Type of equipment (freight, passenger, yard switching, etc.);
15. Type of track (main, yard, siding, industry);
16. Total number of locomotives in train;
17. Total number of locomotives that derailed;
18. Total number of cars in train;
19. Total number of cars that derailed;
20. Total amount of damage in dollars to equipment based on computations as described in this Guide;
21. Total amount of damage in dollars to track, signal, way, and structures based on computations as described in this Guide;
22. Primary cause;
23. Contributing cause;
24. Number of persons injured and persons killed, broken down into the following classifications: worker on duty--employee; employee not on duty; passenger on train; nontrespasser--on railroad property; trespasser;

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worker on duty--contractor; contractor--other; worker on duty--volunteer; volunteer--other; and nontrespasser--off railroad property;

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

FORM FRA F 6180.97 - Continued

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

A. REQUIREMENT

Any event connected with the operation of a railroad that results in one or more of the following consequences must be reported on Form FRA F 6180.55a:

1. Death of a person within 365 calendar days of the accident/ incident;
2. Injury to a person, other than a railroad employee, that requires medical treatment;
3. Injury to a railroad employee that requires medical treatment or results in restriction of work for one or more work days, the loss of one or more work days, termination of employment (as interpreted by FRA), transfer to another job, or loss of consciousness; or
4. Any occupational illness of a railroad employee.

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

See § 225.15.

B. EMPLOYEE INJURY/ILLNESS REPORTING

The 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

FORM FRA F 6180.55a - Continued

property. There are no stated exclusions of place or circumstance. All activities of a Worker on Duty--Employee (Class A) while in the work environment are presumed to be work-related for accident/incident reporting purposes.

An employee is in the work environment:

1. While engaged in work activity or apprenticeship/vocational training required by the employer.
2. While on break, in the rest room, or in storage areas when located on the employer's premises.
3. While performing work for pay or compensation at home, pursuant to the employer's instructions, if the injury or illness is directly related to the performance of work rather than the general home environment or setting.
4. While traveling on business, including to and from customer contacts. Employees in travel status (i.e., traveling on company business) should be considered engaged in work-related activities during all of their time spent in the "interest of their company". This includes, but is not limited to, travel to and from customer contacts, conducting job tasks, and entertaining or being entertained for the purpose of transacting, discussing, or promoting business.
5. While employee is engaged in work activity where a vehicle is considered the work environment (e.g., truck, taxi).
6. While at conferences where attendance is expected or required by the employer.
7. Some workplaces provide living quarters for employees on their premises. In these workplaces, injuries or illnesses are presumed to be work-related if the employee is on-duty or engaged in a work activity. The injury or illness is also considered work-related if the employee was harmed as a result of a serious workplace accident such as a chemical release, fire, explosion, derailment, collision, or building collapse. All other injuries and illnesses occurring during off-duty hours while in living quarters are considered non-work-related.

FORM FRA F 6180.55a - Continued

Employees present in the work environment, but for reasons unconnected with their employment, generally are not reportable as Worker on Duty--Employee (Class A) should they be injured. These individuals are more appropriately classified as employees not on duty, nontrespassers on railroad property, passengers on train, etc., and if hurt should be identified as such. The following are examples:

1. Injuries or illnesses that occur to employees present at their employer's establishment as a member of the general public rather than as a worker.
2. Injuries or illnesses that are solely the result of employees doing personal tasks (unrelated to their employment) at the establishment outside of normal working hours.
3. Injuries or illnesses occurring on company parking lots and access roads while employees are arriving at or leaving work.
4. An injury or illness solely associated with participation in voluntary community or civic projects, e.g., Operation Lifesaver presentations; unless the employee was under pay status.

Injury/Illness Distinction. The distinction between occupational illnesses and injuries is based primarily on the event or exposure that precipitated the employee's condition. Injuries are generally the result of instantaneous events; for example, an employee is struck by an object and sustains a cut or a bruise. Illnesses, on the other hand, are usually the result of an exposure that occurs over time; such as hearing impairment caused by working in a noisy environment. Exceptions to this general rule are muscular sprains, strains, or soreness, occurring after work activity for which no single movement or event can be isolated as the primary causal factor. Physical conditions of this type are to be recorded as injuries when the condition is attributable to activity of limited duration--typically no more than a single work shift.

Another major difference between reportable injuries and illnesses is that injuries must result in at least one of a group of consequences. These include: medical treatment; absence from work; restriction at work, loss of consciousness, etc. Occupational illnesses of on-duty railroad employees are recordable upon diagnosis by a qualified health care professional and verification of work-relatedness.

A "qualified health care professional" (QHCP) 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,

FORM FRA F 6180.55a - Continued

but may not be qualified to diagnose a case of repetitive motion injuries. See § 225.5. A railroad will generally choose to designate a physician as the QHCP since the diagnosis of many potential occupational illnesses requires specialized training. Some conditions, however, may not require the skills of a physician; e.g., a reaction to a known exposure at work to poison ivy can generally be diagnosed by a QHCP other than a physician. When considering what type of professional to use as the QHCP, you should choose an individual who has qualifications commensurate with properly diagnosing the condition and determining its causal relationship to factors within the work environment.

The reason for this difference is that occupational illnesses often cause impairment of the normal physiological functioning of body systems, or other abnormal health conditions, which may have long-term or permanent physiological effects. However, this may not cause any of the consequences required for injury reporting. Work-related hearing impairment caused by prolonged exposure to noise is an example of this.

Some subjective symptoms that an employee experiences at work may not be reportable. These are typically described as headache, nausea, general malaise, etc. Frequently, they are associated with an alleged exposure to fumes or smoke. Complaints of this type are generally reportable when work relationship is established and:

1. there are objective findings by a QHCP following a positive lab test; or,
2. the symptoms are not transient in nature, i.e., they continue beyond 24 hours from initial onset; or,
3. any of the following consequences resulted:
 - a. medical treatment,
 - b. a missed work shift,
 - c. restriction while at work,
 - d. loss of consciousness,
 - e. hospitalization.

Employee Injuries. Two questions will generally determine whether or not a report of employee injury should be made; these are:

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1. Is there any information indicating the employee was harmed while in the work environment?
2. Did this condition result in any of the following consequences?
 - a. Medical treatment other than first aid;
 - b. A day away from work;
 - c. Restriction of work on the day of injury or any subsequent day;
 - d. Transfer to another job;
 - e. Termination of the employee due to injury (as interpreted by FRA);
 - f. Loss of consciousness.

If the answer to both questions is in the affirmative, the case will be, in almost every instance, reportable.

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 injury.
4. The injury was the result of an employee's error.
5. The injury was caused by outside factors, e.g., an assault on an employee.
6. The injury did not meet all the necessary conditions for reporting at the time of the initial event, activity, etc.
7. The injury was the culmination of a series of activities.

FORM FRA F 6180.55a - Continued

Medical Treatment (Reportable) versus First Aid. The distinction between medical treatment and first aid depends not only on the treatment provided, but also on the severity of the injury being treated. First aid is:

1. Limited to one-time treatment and subsequent observation; and
2. Involves treatment of only minor injuries, not emergency treatment of serious injuries. An injury is not minor if:
 - a. It must be treated only by a physician or licensed medical personnel;
 - b. It impairs bodily function (i.e., normal use of senses, limbs, etc.);
 - c. It results in damage to the physical structure of a nonsuperficial nature (e.g. fractures); or
 - d. It involves complications requiring follow-up medical treatment.

One-time treatment of an injury should not be used as the sole basis for classifying a treatment or procedure as first aid. Medical treatment can, and often is, given on a one-time basis, e.g., the suturing of a wound. The procedures used and the skills required to treat an injury, as well as the seriousness of the injury, are all factors that must be considered when determining the type of treatment rendered.

Likewise, medical treatment cannot be determined solely on the basis of who treats a case. First aid treatment can be given by a physician, and medical treatment, by someone other than a physician.

While it is not possible to identify every procedure or treatment and classify it as either medical or first aid treatment, examples of common medical, first aid, and other treatments are described below and on following pages.

TREATMENTS THAT ARE CONSIDERED TO BE MEDICAL TREATMENT

1. Closure of a wound with suture (stitch), staple, Steristrip, butterfly, or the like.

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2. The application of a cast or other professional means of immobilizing an injured part of the body, regardless of how long the cast, sling, splint, or the like, is actually worn.
3. Injection. Any application of medication through the use of a syringe, except a tetanus shot.
4. Bruise. The treatment of a bruise by drainage of blood.
5. Debridement. Surgical debridement, that is, the removal of dead or damaged skin.
6. Treatment of a burn. The treatment of a second-or third-degree burn is almost always medical treatment if the size of the affected area cannot be covered with a quarter.
7. Prescription medication. Any prescription medication prescribed or provided for a condition that is intended for subsequent use. A single dose taken orally or applied externally on the initial visit is considered to be first aid and is not reportable. (See definition of prescription medication.)
8. Eye Injury. Removal of any object embedded in the eye, or the application of a patch or a bandage.
9. X-Ray. An X-Ray that is positive.
10. Whirlpool treatment. Any injury that requires more than one whirlpool treatment.
11. Multiple treatments. Any injury that results in additional treatment by a physician or other medical professional on a second or subsequent visit. This does not include a routine examination of the progress of an injury or instances where bandages or other dressings are replaced.

TREATMENTS THAT ARE ALMOST ALWAYS FIRST AID

1. The application of an antiseptic during the first visit to a physician or nurse.

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2. The use of a nonprescription or "over-the-counter" medication.
3. The use of a hot or cold compress on the first visit to a physician or nurse.
4. The treatment of a first degree burn.
5. The observation of an injury on a second or subsequent visit.
6. The bandaging of a wound is normally considered to be first aid treatment. However, if the bandage restricts the motion of a railroad employee to the extent that it prevents the employee from performing all normally assigned duties, the case would be reportable because it resulted in restriction of work activity.
7. The application of an ointment to an abrasion to prevent skin from drying or cracking.
8. The removal of a foreign object that is not embedded in the eye by irrigating or other simple technique that does not normally require the skill of a medical professional.
9. The removal of an embedded object from a part of the body other than the eye by tweezers or other simple technique.
10. The administration of oxygen (other than forced breathing, e.g., IPPB) for less than one hour.
11. The use of a protective cover on a finger or thumb that does not extend beyond one joint.

OTHER TREATMENTS AND PROCEDURES

1. Hospitalization for observation, when only first aid is rendered, is not considered medical treatment. However, most injuries resulting in hospitalization will result in lost workdays and be reportable for that reason.
2. X-ray examinations that are negative are not medical treatment. If an employee loses workdays while awaiting the results of X-rays that are

FORM FRA F 6180.55a - Continued

negative, the case would not be reportable unless the injury would have otherwise resulted in lost workdays or satisfied any of the other criteria for reporting.

3. Preventive measures not associated with accidents/incidents are not reportable, e.g., influenza vaccinations made available to employees prior to the flu season. When there are no complications arising from the flu shot, then the administration of prescription medication by injection would not be reportable. However, if the individual has an adverse reaction, the consequences of such a reaction may be reportable. Treatments given in response to work-related conditions/symptoms are not considered preventive for reporting purposes.
4. A visit to a physician or nurse, and simple diagnostic procedures, such as drawing blood for testing, typing, etc., are not by themselves considered to be medical treatment.
5. Chiropractic treatments for a work-related condition are reportable if treatments are given beyond the date of the initial visit.
6. Precautionary treatments. Treatment provided in response to an event such as a dog bite may be precautionary. For example, a rabies shot following a dog bite is precautionary treatment, so the injury would be reportable. The single stated exclusion to reporting injuries which require precautionary treatment is a tetanus shot, since the decision to give this shot is generally based on the date of the last injection rather than the severity of the injury.

Under certain circumstances some treatments occurring prior to a diagnosis may not, by themselves, make a case reportable. For example, 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 injury reportable.

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Days Absent and Restricted Work Activity. A report must be made whenever an injury to an employee results in:

1. A day absent from work;
2. Restriction while at work, or both.

A day absent from work occurs when an employee does not report for the next scheduled work assignment following the date of the injury, or for any subsequent workday, for reasons related to his or her injury.

Restriction while at work occurs when a work-related condition results in:

1. Temporary assignment to another job;
2. Working less than a regular shift;
3. Being given limited or restricted duties; or,
4. Inability to perform all normally assigned duties of the regular job.

A day of restriction occurs when an employee is restricted (as defined above) on the next schedule work shift, or any subsequent workday, following the date of the injury.

An injury that results in restriction of work on the day of the injury/illness may be reportable on that basis alone. Restriction of work on the day of injury occurs when a qualified health care professional instructs an employee to remain off work for the remainder of the day for reasons directly related to the injury, and the employee does so.

Occupational Illness. The following are major categories of occupational illnesses. A description of specific conditions found in these groupings appears in Appendix E.

1. Skin Diseases or Disorders.
2. Dust Diseases of the Lungs
3. Respiratory Conditions Due to Toxic Agents
4. Poisoning (Systemic Effects of Toxic Materials)

FORM FRA F 6180.55a - Continued

5. Disorders Due to Physical Agents (Other than Toxic Materials)
6. Disorders Caused by Repeated Trauma

Only occupational illnesses of on-duty railroad employees are reportable to FRA; these occupational illnesses are reportable only upon diagnosis and the establishment of work-relatedness. See §§ 225.5 and 225.19(d). In some cases, such as contact dermatitis, this relationship can be readily determined. For other cases, where the occupational cause is not direct and apparent, it may be difficult to accurately determine whether or not an employee's illness is occupational in nature. The following questions may help to establish this relationship.

1. Has an illness/condition been clearly identified?
2. Is it likely that the illness resulted from, or was aggravated by, suspected agents or other conditions in the work environment?
3. Are the suspected agents present (or have they been present) in the work environment?
4. Was the ill employee exposed to the agents in the work environment?
5. Was the degree or duration of exposure sufficient to result in the illness/condition?
6. Is the illness attributable solely to a nonoccupational exposure?

Employee Reporting (Miscellaneous).

Emotional Trauma resulting from a work-related event is reportable upon diagnosis by a qualified health care professional and when it results in multiple treatments (i.e., therapy sessions), requires medical treatment, or causes days to be lost or restricted. An example of a reportable case would be an engineer, involved in a highway-rail collision with multiple fatalities. The engineer is unable to work following the accident even though he or she was not physically injured. The condition is diagnosed by a psychiatrist as being work-related, and the engineer subsequently receives professional therapy over a period of days.

A case involving emotional trauma is to be recorded using illness code "119E - Emotional trauma/nervous shock".

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The aggravation of a pre-existing physical condition within the work environment becomes reportable whenever an activity, a specific event, an exposure, or the like is identified as the likely cause of the aggravation. If the reporting officer, after reviewing all information associated with the case, is able to determine that the consequences arising from the aggravation were in no way connected with the performance of the employee's work, then the incident should not be reported.

Note: For purposes of accident/incident reporting the term "aggravation of a pre-existing physical condition" does not imply that there is a measurable worsening of the underlying condition. A case becomes reportable when a work-related activity, movement, event, exposure or the like, causes the employee to receive medical treatment, to lose time from work, or causes any of the other consequences required for employee injury/illness reporting.

Recurring Conditions. There may be instances when an employee, after returning to work following a reportable condition, experiences a problem or complication that appears to be attributable to the previously reported injury/illness. If the employee's difficulty was neither caused nor aggravated by a work-related activity, motion, exposure, or the like, then a new incident has not occurred. Additional days lost or restricted in these instances are to be added to the count of the days lost for the original case.

However, if the employee relates his current problem to a work-related event, activity, motion, exposure, or the like, then a new incident has occurred for which a report must be made. As a general rule, after 30 days from the date of the injury/illness, and provided the employee has not experienced symptoms or complications related to the reported condition, then any new episodes of pain or trauma would normally require the filing of a separate report.

Loss of consciousness of a railroad employee resulting from an injury or an exposure within the work environment is reportable. See § 225.19(d)(3)(iii). Loss of consciousness that is a result of a physical condition, such as epilepsy, that was not brought on by an event, activity, or exposure in the work environment is not reportable. Injuries normally associated with such a seizure would not be reportable; however, additional injuries that occur may be reportable. For example, if a railroad employee has a history of seizures that typically result in muscle strains, the strains would not be reportable. However, if the seizure occurred in an environment where an additional risk of sustaining severe injury existed, then the injury should be reported. For example, if a railroad employee breaks his or her leg because of a fall from a scaffolding during a seizure, the broken leg would be reportable since a broken leg is not an injury that is normally the result of a seizure.

FORM FRA F 6180.55a - Continued

C. GENERAL INTERPRETATIONS

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 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 6180.55a to report each injury. A form 6180.57 must also be completed. The same accident/incident identification number must be the same for all records.

The carrier is required to monitor an employee case for 365 calendar days following the date of the event or exposure causing the injury or illness.

Counting Days Absent from Work and Days of Restriction.

FRA needs accurate counts of the days an employee was absent from work and/or restricted while at work because of an injury or occupational illness. 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. A record of the actual count of these days must be maintained for the

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affected employee. After the employee returns to work at full capacity, 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 estimated and final total.

Updates are to be made in accordance with the provisions for filing corrected reports and/or submitting computer updates to existing records.

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. Regularly assigned rest days and holidays are not counted.
3. For an employee on an irregular assignment, all days away from work or days of restriction are to be counted from the time the employee marked off until the time he or she marked up. The fact that an employee's name remained on the "extra board" or some other duty roster following the injury/illness is not to be used as the basis for ceasing the counting of such days, unless the employee was actually available and capable of performing all the duties of the job if called upon to do so.
4. Vacation days scheduled prior to the accident/incident are not to be included in the counts.
5. The count of days for a fatality is to be left blank.
6. Days away from work, days of restriction, or a combination of the two, are limited to a maximum of 365 calendar days following the date of injury or initial diagnosis of occupational illness. Regularly assigned rest days, holidays, and vacation days that were scheduled before the accident/incident occurred are to be subtracted from the 365 day maximum. If an employee permanently disabled as a result of an accident/incident is subsequently rehabilitated and assigned to another job within this period, then the count of days may cease upon such reassignment.
7. If an employee, while accumulating days away from work or days of restriction, is terminated, furloughed, or otherwise dismissed from service

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for reasons entirely unrelated to the accident/incident, then the count of such days ceases upon termination or dismissal. If the employee should later return to work, the count of days need not be resumed.

8. 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.
9. 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 accident/incident.
10. Each work day that a patch or a bandage is worn over an eye as a result of the accident/incident is a day of restriction.
11. The application of a splint, finger guard, cast, or similar device, constitutes medical treatment and makes a case reportable. However, if the employee is not restricted in work upon returning to duty, a day of restriction is not to be charged.
12. 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.

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.

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3. Report Month
Enter the month covered by this report.
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.

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5g. Age

Enter the age of person whose injury or illness is being reported.

5h. Drug/Alcohol Test

If any employee was tested for alcohol use in connection with this accident, enter "A-" followed by the number of positive tests. If any employee was tested for drug use in connection with this accident, enter "D-" followed by the number of positive tests. 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 the 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.

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?

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Identify the appropriate category of 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

If the person reported is an employee of the reporting railroad, enter the number of days that the employee was away from work because of the injury or illness. 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".

5p. Number of Days Restricted

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If the person being reported is an employee of the reporting railroad, enter the number of days that the employee was restricted from work due to the injury or illness. 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. Termination or Permanent Transfer

If the employee was suspended from employment or permanently transferred to a new position, enter "Y"; otherwise, enter "N". For non-employees, the block is to be left blank.

5s. Narrative

The railroad can 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.**

E. **QUESTIONS AND ANSWERS**

Q1. What are the basic questions that must be answered in deciding whether or not to report an employee's injury?

A1. (1) Does information exist that indicates that the employee sustained harm/trauma while in the work environment? The work environment is primarily composed of: (a) the employer's premises, and (b) other locations where the employee is engaged in work-related activities or is present as a condition of his or her employment. When an employee is off the employer's premises, a work relationship must be established; when on the premises, this relationship is presumed.

(2) Did the injury result in any of the following consequences?

- a. Require medical treatment beyond first aid.
- b. Cause the employee to be absent for one or more days/shifts.
- c. Cause the employee to be restricted at work.
- d. Cause transfer to another job.

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- e. Cause termination because of the injury.
- f. Cause loss of consciousness.

If the answer to these two questions is “yes”, then the injury is almost always reportable. Note: Injuries of contractors or volunteers are reportable only if they require medical treatment or result in death.

Q2. Other industries report worker injuries and occupational illnesses to the Occupational Safety and Health Administration (OSHA). Are the reporting requirements for railroads significantly different than those that OSHA has in place for other industries?

A2. No. Railroads have been required to make accident reports to the Federal Government since at least 1910. When the Occupational Safety and Health Act was enacted in 1970 (see 29 U.S.C. § 651 and 29 CFR Part 1904), the 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. The purpose was to avoid imposing two separate reporting requirements for one industry, and to collect statistics that could be included in DOL's national accounting of workplace injuries and illnesses. The FRA has a close working relationship with OSHA and meets routinely with their staff to ensure that FRA's requirements and interpretations are consistent with OSHA's. The definitions and language used in this Guide in regard to employee reporting were, for the most part, obtained from OSHA.

Q3. I understand that OSHA is considering some changes in the future. Will FRA amend its own guidelines in anticipation of this?

A3. The FRA will not change its guidelines in anticipation of a possible modification in OSHA's requirements. OSHA has conducted extensive rulemaking and is reviewing testimony and other documentation provided in response to their proposed changes. They have not reached a final decision as to what changes may eventually be implemented. Because FRA is committed to collecting data that are comparable to those reported by other industries; if, and when, OSHA publishes its final rule and announces an implementation date, then the FRA will seriously consider whether to modify its requirements accordingly.

Q4. What if the injury was caused by negligence on the part of the employee or was a result of events beyond the railroad's control, e.g., an employee was assaulted by a trespasser; would this make a difference in terms of whether the injury must be reported?

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A4. No. Responsibility or fault is not a consideration when deciding whether or not to report.

Q5. Our railroad has a counseling and assistance program that is available to employees and their immediate family members. Workers are encouraged to use this service, since it provides an opportunity to discuss problems that may or may not be work-related, but can affect employee morale and work performance. Because of the need to maintain confidentiality, I may not be aware when an employee is being treated for a work-related emotional disorder.

Similar to this, we allow employees who have been involved in an accident to take a personal day 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 nor do they require professional counseling. How should we handle these cases?

A5. The regulation does not require an employee to disclose when, and for what reason, he or she is seeking counseling through company sponsored programs. This can present unique problems for the reporting officer, since the condition that an employee is being treated for may not be work-related. An effective internal control plan can help detect the more serious of these, e.g., there may be other sources within your organization that have documentation of the condition and its causes. If such documentation does not exist, then there may be insufficient information upon which to base a decision to report. (Also see question and answer 22 of this chapter.)

The second situation would not generally be reportable, since there are no injuries, nor has there been a diagnosis by a QHCP that a work-related emotional trauma condition exists. However, if an employee remains away from work for longer than a single shift, it may be an indication that the employee may have a more serious condition that requires evaluation by a professional.

Q6. Must an employee be involved in a specific job task for an injury or illness to be reportable?

A6. No. For a case to be reportable, the worker must have been an employee of the railroad at the time of the injury. Workers are considered employees while in pay status. In this context, "pay status", refers to the overall employment relationship whereby the worker is receiving wages or some other form of compensation from the railroad for services rendered. It does not mean that the worker must be involved in some specific job task at

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the time of the injury or illness exposure for the case to be reportable, or that cases are reportable only if they occur during hours for which wages are paid.

Q7. 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 of the injury be made to the FRA, and 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 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?

A7. No. The 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 the 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.

Q8. Are there any requirements if the decision is made to not report an injury?

A8. The decision cannot be an arbitrary one. It should be made in accordance with the requirements outlined in the regulation and in the guidance contained in this manual. 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.

The 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 the FRA. In arriving at this decision, the FRA will review all investigatory material associated with

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the case; including, the initial report filed by the affected person, witness statements, interviews, transcripts of hearings, medical records, time and attendance records, and the like.

- Q9. What is the time limit for reporting cases? Suppose a worker says he was injured two weeks ago but there was no record or report of it at that time. Is it subsequently reportable on Form FRA F 6180.55a?
- A9. Yes. If it is established that a reportable injury did occur, it must be included on the form FRA F 6180.55a, even though the determination was made several weeks after the injury occurred. The injury is reportable for the month in which the event or exposure occurred that subsequently resulted in a reportable injury. There is no time limit for reporting cases.
- Q10. Does going to a hospital for observation make a work-related injury reportable?
- A10. No, provided there was no independent basis for reportability, such as, medical treatment, loss of consciousness, restricted work activity, or job transfer.
- Q11. One of our employees who was a train crew member sustained a minor injury. He was sent to a medical facility for examination. The injury only required first aid treatment. However, before he could return to work, his assignment left. Since there was no other train assignment available to him, his supervisor sent him home. Would we need to report this incident on the basis of restriction on the day of the injury?
- A11. No. Time spent going to and coming from a medical examination is exempt from this particular requirement. The employee did not sustain a reportable injury in this example. He also had no authority to hold the train movement until his return. A report would not be required in situations such as this. It should be noted, however, that there may be instances when an employee is instructed by a medical professional to take the remainder of the day off because of his or her condition. If this occurs, the case should be evaluated on the basis of restriction on the day of the injury.
- Q12. How do you differentiate between a new incident and the recurrence or further complication of a previous injury or illness? What is the difference between these two situations for FRA reporting purposes?
- A12. Railroads are required to make new entries on their Form FRA F 6180.55a for each new reportable injury or illness. New entries should not be made for the recurrence of

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symptoms from previous cases. However, any additional days away from work or days of restricted activity should be added to the earlier case if they occur within 365 calendar days from the date the injury became reportable.

Injuries. The aggravation of a previous injury almost always results from some new incident involving the employee (such as a slip, trip, fall, sharp twist, or sudden movement.) Consequently, these new incidents should be reported as new cases on the Form FRA F 6180.55a, assuming they meet the criteria for reporting found in the guide.

Illnesses. Deciding whether the emergence of illness symptoms constitutes a new event or the recurrence of a previous illness is more complex. Generally, each occupational illness should be reported with a separate entry on the Form FRA F 6180.55a. However, certain illnesses, such as silicosis, may have prolonged effects which recur over time. The recurrence of these symptoms should not be reported as a new case on Form FRA F 6180.55a.

The recurrence of symptoms of previous illnesses may require adjustment of entries on the log for previously reported illnesses to reflect possible changes in the extent or outcome of the particular case.

Some occupational illnesses, such as certain dermatitis or respiratory conditions, may recur as the result of new exposures to sensitizing agents, and should be reported as new cases.

- Q13. When does an occupational illness become reportable? Some illness conditions are caused by an exposure that may have occurred in a previous year. Should we file a late report?
- A13. No. An occupational illness is reportable in the year in which the diagnosis was made and work relationship established.
- Q14. Your June 18, 1996, revision of Part 225 uses the term "worker on duty" which can include contractors, volunteers, etc. What will be used for the calculation of employee injury/illness rates?
- A14. We will continue to limit the calculation of railroad employee injury/illness ratios to those workers identified as Class A, "Worker on Duty--Employee", using the hours worked by these employees. Likewise, when we transmit the record of railroad employees injury and occupational illness to OSHA, only those individuals recorded as

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Class A will be included. Note that only the occupational illness of a Worker on Duty-Employee (Class A) is reportable. Also note the different criteria for reporting injuries of railroad employees as opposed to other persons, such as contractors and volunteers.

Q15. Why did you adopt the term "worker on duty"?

A15. The FRA adopted the term "worker on duty" in order to better identify individuals who are on the premises for work related purposes connected with the operation of the railroad. Since the initial rule went into effect in 1975, there has been a trend to contract out certain activities that were previously performed almost exclusively by railroad employees. Prior to 1997, when these individuals were hurt in the workplace, they were recorded as nontrespassers or contractors. For the contractor classification, there was no distinction between those contractors involved in safety-sensitive functions (e.g., track maintenance) and those involved in other functions.

Worker protection is a key element of FRA's safety programs. This change was needed to obtain a better accounting of the total number of workers hurt while engaged in the operation or maintenance of a railroad, regardless of who their employer was, or if they were volunteering their services.

Q16. Are there any additional requirements related to this reclassification? For instance, will we need to collect hours for these individuals?

A16. In order to obtain a better understanding of the services that these individuals provide, the railroad is required to assign a job code that best describes the volunteer or contractor's responsibilities at the time he or she was injured to the extent of being killed or requiring medical treatment. However, occupational illnesses of persons classified as Worker on Duty--Volunteer or Worker on Duty--Contractor are not reportable. Also, the hours worked by volunteers and contractors are not to be reported.

Q17. Should an employee's preexisting condition be taken into account when making FRA reporting determinations?

A17. A preexisting condition usually does not affect the determination of reportability except for the recurrence of symptoms of work-related illnesses discussed above. A railroad should report each case resulting from a new event (e.g., a slip, trip, fall, or overexertion) and each exposure that results in a reportable work injury or illness regardless of the employee's preexisting condition. This is essential to the maintenance of a workable

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system that produces statistics that accurately reflect the incidence (not prevalence) of work injuries and illness.

Q18. Since preexisting conditions usually do not affect a determination of reportability, does this mean that if an employee is hired with a known physical defect, a work accident partially attributable to this defect would usually result in a reportable case?

A18. Yes. An employee's physical defect or preexisting physical condition usually does not affect the determination of reportability. If such a case results from an event or exposure in the work environment and meets the other criteria for reportability, the railroad must enter it on the Form FRA F 6180.55a without regard to the employee's preexisting physical condition. If on the other hand, an injury results solely from physical defect (i.e., employee falls while standing when trick knee gives way and there is no environmental factor), it is not occupational. However, if the work environment or a work event contributes in any way (e.g., employee steps on a stone or slips, trick knee gives way, and he falls), any resulting injury is occupational. In order for an aggravation of a preexisting condition to be nonreportable, it must be clearly demonstrated that the work environment was not a primary or contributing factor. For example, an employee experiences severe pain in his jaw. He is taken to a dentist where it is determined that there is an abscessed tooth which has become infected. A root canal is performed, and antibiotics are prescribed.

Q19. If an employee's back goes out while performing routine activity at work and the employee was not involved in any stressful activity, such as lifting a heavy object, is the case reportable?

A19. Stressful activity is not required to make a case reportable. If an event (such as a slip, trip, fall, sharp twist) occurred in the work environment that caused or contributed to the injury, the case would be reportable. This assumes it meets the other requirements for reportability.

If the backache is known to result from some nonwork-related activity outside the work environment and merely surfaces at work, then the railroad need not report the case. In these situations, railroads should fully document the reasons they feel the case is not work-related.

Q20. Must there be an identifiable event or exposure in the work environment for a case to be reportable? What if someone experiences a backache, but cannot identify the particular movement which caused the injury?

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- A20. Usually, there will be an identifiable event or exposure to which the railroad or employee can attribute the injury or illness. However, this is not necessary for reporting purposes. If it seems more likely than not that an event, activity, exposure, motion, etc. in the work environment either caused or contributed to the injury, the case is reportable, even though the exact time or location of the particular event or exposure cannot be identified.
- Q21. 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?
- A21. 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.
- Q22. Is an injury of an employee in a company rest room, hallway, or cafeteria considered to be work-related?
- A22. Yes. These areas are generally all considered to be part of the railroad's premises and constitute part of the work environment. Injuries occurring in the work environment are considered work-related. The specific activity the employee was engaged in at the time of the injury is not the controlling factor.
- Q23. We are the contract carrier for a number of commuter operations. In the past, we have included accidents/incidents that occurred in connection with these operations in the counts for our own railroad. Can you briefly describe what the reporting requirements are in these situations?
- A23. Each commuter 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 railroad. This includes all operational data, e.g., train miles, employee hours, passengers transported, passenger train miles. All accountable and reportable accidents/incidents that occur in connection with this operation are to be recorded under the initials assigned to that operation. In order to identify when your employees are hurt while engaged in these operations, the reporting initials of your railroad must appear as the first portion of the incident number for the commuter railroad. For example, the

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commuter railroad is assigned the code AAAA, and your railroad initials are XXXX. One of your employees is hurt while operating train for AAAA. Railroad AAAA will submit a report that contains an entry on Form FRA F 6180.55a that has an accident/incident number beginning with XXXX and followed by additional numbers or letters that make the incident number unique for the month, e.g., XXXX12345A.

When submitting the accident/incident report for your railroad, you must exclude all operational data and accidents/incidents that have been reported for the entity to which your railroad is under contract. Using the example above, you would omit this injury on your railroad's report, since it was included on the report for the commuter railroad.

Q24. Is every injury or illness that occurs on the railroad's premises considered to be work-related?

A24. No. The general rule is that all injuries and illnesses that result from events or exposures occurring on the railroad's premises are probably work-related. The nature of the activity which the employee is engaged in at the time of the event or exposure, the degree of railroad control over the employee's activity, the preventability of the incident, or the concept of fault do not necessarily affect this determination.

There are cases which occur on the railroad's premises that do not seem to have anything to do with the work, but must still be reported to maintain the simplicity of the reporting criteria. (Some examples are an employee choking while eating lunch in company cafeteria; and an employee being injured as a result of an assault.) These are included to keep relatively simple reporting boundaries necessary for maintaining a workable system. Note, however, that § 225.15 provides that a railroad need not report the following four types of accidents/incidents: (i) casualties at grade crossings that do not involve the presence or operation of on-track equipment or the presence of railroad employees then engaged in the operation of a railroad; (ii) casualties in or about living quarters not arising from the operation of a railroad; (iii) suicides as determined by a coroner or other public authority; or (iv) attempted suicides.

Q25. Does a railroad have to report an injury on the railroad's premises that occurs to an employee as a result of horseplay? Would the railroad have to report an injury if it resulted from robbery?

A25. Yes. Both would be reportable. Activities on the railroad's premises are presumed to be work-related. The basis for determining work relationship for FRA reporting purposes is that the event occurred in the work environment.

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Q26. What about injuries and illnesses resulting from events or exposures off premises?

A26. When an employee is off the railroad's premises and suffers an injury or an illness exposure, a work relationship must be established. To be engaged in a work-related activity off premises, the employee must have been performing some job, task, or service for the railroad, or must have been present at the off-premises location in connection with his or her employment. If the employee is off the railroad's premises, and leaves the normal area of operations entirely for his or her own purpose, then these activities would not be considered work-related.

Q27. Would an injury be reportable that took place after a person checked into work, but occurred while he or she was off the company premises on an errand?

A27. The case is reportable if the employee was engaged in a work-related activity or if the person's presence at the location of the injury was required by his or her job. If the errand was solely personal in nature, the injury should not be reported. However, if there is any work relationship, e.g., employee was instructed to pick up meals for members of work crew, then the case would be reportable.

Q28. Are employees in travel status treated differently?

A28. An employee who travels in connection with his or her employment shall be considered to be engaged in work-related activities during the time he or she spends in the interest of the company, including, but not limited to, travel to and from work sites, attending training seminars and the like. However, an injury/illness would not be reportable if it occurred during normal living activities (e.g., eating, sleeping, recreation); or if the employee deviates from a reasonably direct route of travel (e.g., side trip for vacation or other personal reasons). He or she would again be considered to be engaged in work-related activities upon returning to the normal route of travel.

When a traveling employee checks into a hotel or motel, the employee establishes a home away from home. Therefore, injuries that occur while in these living quarters would not be reportable if a work relationship did not exist. If an employee is provided transportation to and from work sites, any reportable injury during such transit is to be recorded as an employee "not on duty" (Class B person).

Q29. One of our employees was sent by our railroad to a convention sponsored by various equipment manufacturers and suppliers. While there, he suffered an injury that required medical treatment. Do we have to report this case?

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A29. Yes. A report for an injury to an employee on duty must be prepared even if the railroad did not sponsor the event, since the employee's attendance at this function was required by his employer.

Q30. Is one-time treatment the same as first aid treatment?

A30. No. First aid is limited to one-time treatment and subsequent observations and involves treatment of only minor injuries, not emergency treatment of serious injuries.

It is important to remember that physicians and other medical professionals often treat minor injuries. If the treatment is limited to first aid, and none of the other criteria is satisfied, then a report is not required. Conversely, medical treatment can be administered by persons other than a physician or medical professional.

Medical treatment is often given on a one-time basis. For this reason one-time treatment cannot be equated to first aid treatment. It is impossible to give a complete list of those treatments that are considered to be reportable and those that represent first aid only; however, a compilation of common types of treatment and the category they fall into can be found in the reporting guide.

Q31. It is not uncommon for a medical professional to apply a butterfly adhesive or steri-strip to close a cut or laceration. Would this be considered first aid or medical treatment?

A31. The use of these items constitutes medical treatment since they are used to treat more serious cuts and are often used in lieu of sutures.

Q32. One of our employees got an object in his eye. He was taken to the medical center where the eye was irrigated. An eye patch was placed over the affected eye. After leaving the medical center the employee removed the eye patch and threw it away. Do we need to report this?

A32. Yes. The medical professional who applied the patch thought that it was a necessary treatment for the type of injury sustained. In order to keep the reporting decision consistent, any application of an eye patch by a medical professional is medical treatment and therefore the object in the employees eye is a reportable injury.

Q33. Is an injury that results in a chipped or broken tooth reportable?

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- A33. These injuries would normally be reportable, since they usually require medical treatment.
- Q34. One of our employees sustained a serious injury. Later, it was established during a hearing that the injury was the result of a rules violation on the part of the employee. The employee was terminated because of the rules violation. When do we discontinue the counting of days away from work.
- A34. The purpose of counting days away from work is to provide an additional measure of the severity of an injury. If the employee was unable to return to work because of the termination, you must provide an estimate of the additional time the employee would have been absent because of the injury. If the days away from work were entirely unconnected with the injury (e.g., plant closing or scheduled seasonal layoff), then the count can cease at this time. However, discipline assessed following an injury cannot be used to stop the counting of days if the employee would have been unable to return to work had the discipline had not been imposed.
- Q35. 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?
- A35. A tetanus shot should not be regarded as medical treatment. Consequently, the case would not be reportable unless other treatment that constituted medical treatment was provided. However, if the employee suffered some reaction or complication from the injection, requiring medical treatment, then the case would be reportable.
- Q36. Does a rabies vaccination constitute medical treatment?
- A36. Yes. A rabies vaccination constitutes medical treatment since it is usually given only when considered absolutely necessary. If the rabies vaccination involves a series of injections, then it is medical treatment on the additional ground that a series of injections is far more extensive than first aid.
- Q37. One of our security personnel punctured his finger on a syringe while searching a trespasser. As a result, he was given an injection of medication to prevent hepatitis. Would this be reportable?
- A37. Yes. Under these circumstances, the employee was at significant risk of contracting hepatitis if this injection was not given. With the exception of a tetanus shot, FRA

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considers all injections in response to a condition or possible exposure to be medical treatment.

Q38. What is the difference between the terms "preventive" and "precautionary" measures?

A38. "Preventive" measures are treatments that are given prior to the occurrence of an injury or illness. An example of a preventive measure would be an influenza shot administered prior to the flu season. "Precautionary" measures, on the other hand, generally involve additional diagnostic tests that are ordered to determine if an injury occurred.

Q39. Is a series of treatments given by a chiropractor considered medical treatment?

A39. Yes. When required to treat a work-related injury, this is considered medical treatment since it requires specialized skills beyond first aid.

Q40. Sometimes an employee may choose not to obtain or take a prescribed medication. How should we handle these cases?

A40. Issuance of a prescription medication is reportable if the instructions direct the employee to take multiple doses of the medication over a period of time, even if the employee chooses not to obtain or take the prescription.

Q41. What are the requirements for reporting injuries to persons other than railroad employees?

A41. Employee injuries become reportable when any of a number of consequences result. Among these are instances when the injury interferes with the employee's ability to perform all aspects of his or her job, e.g., being absent from work or restricted while at work. Injuries to nonemployees such as volunteers and contractors do not include this criteria, and become reportable only when medical treatment (beyond first aid) is administered or death results from the injury.

Q42. A passenger is hurt and receives only first aid treatment. After the report for that month has been prepared it is discovered that the claims department has processed additional bills showing that medical treatment was subsequently provided; however, the reporting officer was not advised of this. The railroad was cited for failure to report the case during an audit by a FRA inspector. How can these types of occurrences be avoided?

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A42. There must be ongoing communication and coordination with other departments to ensure that all qualifying events are properly reported. The lack of adequate internal control procedures to prevent such an occurrence cannot be used to avoid the imposition of penalties for failure to report.

Q43. 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.

A43. No. Both situations are reportable.

Q44. 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?

A44. 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.

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

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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.

- Q45. 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. If the worker's condition is not otherwise reportable, must we make a report because of the days the employee was held out of service while awaiting test results?
- A45. These cases are to be evaluated solely on the basis of the injury 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. The same rule 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. (Also see questions Q12 and Q34.)

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- Q46. We have a company physician who participates in the reporting process. This individual believes that sometimes the initial treatment given by other medical professionals (e.g., in an emergency room, in a private clinic, or by the employee's family doctor) is "inappropriate". An example is the use of prescription medication for the relief of pain when "over-the-counter" could have been used. May we omit a case, or request that a previously reported incident be deleted, based on this determination?
- A46. The decision to report the case to the FRA should be based on the treatment given by the initial qualified health care professional in situations such as this.
- Q47. One of our employees sustained a minor injury and was taken to a medical facility for evaluation and treatment. The injury only required first-aid treatment, which was administered by the examining physician. The doctor did recommend that the worker take a day or so off. The employee determined that this was not necessary and returned to work without any restriction. He recorded this in his signed incident report. You indicated previously that if instructions are given to obtain "prescription" medication to be taken in multiple dosages, that these cases are to be reported even if the medication is not used. Does this same type of guidance apply in situations involving recommendation that time be taken off, but the employee did not do so?
- A47. No. The employee has an integral role in the reporting process. Since the employee has documented that he was able to return to work without restriction, the case cannot be reportable based on days away from work. Requiring a report under these circumstances would result in erroneous data being submitted. It appears that the only information used in making such a decision is the physician's recommendation. But, since the employee did return to work, it would be incorrect to record a count of days away from work that did not occur. None of the consequences that make an injury reportable have been met in this example.

We rely on the treating physician medical expertise in deciding which medical treatment is appropriate for the condition. However, the employee does have a say in his or her ability to return to work. Conversely, there may be injuries where an employee received reportable medical treatment, but the doctor did not initially feel that days absent from work would be needed. Later, the employee finds it necessary to call in and request a day off because of the injury. If this occurs, then a count of these days must be maintained, even though the initial examination did not indicate that this may be necessary.

- Q48. Many of our employees bring their own lunches onto the premises. I understand why you chose to include incidents where employees are hurt or become ill as a result of eating

FORM FRA F 6180.55a - Continued

food prepared in a cafeteria, or otherwise made available, on our property. However, is it necessary to report conditions that occur when an employee is eating or drinking food that was brought from home?

- A48. If the condition is solely the result of eating or drinking food that the employee brought into the work environment from an outside source, and provided there are no contributing environmental or occupational factors, then a report would not be required. For example, the employee was eating a chicken salad sandwich that was made at home and broke a tooth on a bone fragment embedded in the sandwich.

F. COMMON REPORTING ERRORS

All casualties resulting from a single event must be assigned the same accident/incident (injury) number, and all forms used to report the event must use this number.

The current report month submission is only to contain casualties being reported for that month. Late reports or updates to a previously reported event must not be included in your current month package. These must be filed separately and have an attached letter of explanation. See § 225.13.

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 years 1991-1996 is \$6,300. The reporting threshold for calendar year 1997 is \$6,500. See §§ 225.11, 225.19; 61 Fed. Reg. 60632 (Nov. 29, 1996).

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 50). 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

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reporting threshold, you must make a report even though your railroad's damages were below the threshold.

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

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such cars are placed into a moving consist and as a result of this damage, a reportable rail equipment accident results.

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.

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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 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-AAR Grade Crossing Identification Number
If the event being reported is a highway-rail crossing impact, enter the DOT-AAR 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.) If an identification number has not been assigned to the crossing, enter "Not assigned".
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.

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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]
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.

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13. Nearest City/Town
Enter the name of the nearest City/Town.
14. Milepost
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".

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Track Class	Maximum Speed	
	Freight Trains	Passenger Trains
X	10	Prohibited
1	10	15
2	25	30
3	40	60
4	60	80
5	80	90
6	110	110

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

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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 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, 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.

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.

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

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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 "A-", followed by the number of positive tests, in the first block. If any employee was tested for drug usage in connection with this accident, enter "D-", followed by the number of positive tests, in the second block. **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.**

33. Was this consist transporting passengers?

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

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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.

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

FORM FRA F 6180.54 - Continued

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

From the cause descriptions found in Appendix C, enter the code number which best describes the cause of the accident. If none of the available causes is appropriate, enter "M599" and fully describe the circumstances in the narrative. If the cause of the accident is still under investigation when the report is due, enter "M505". When the final determination is made, a corrected report must be forwarded.

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.

39. Contributing Cause Code

If there were one or more contributing causes, enter the code for the foremost contributing cause. Otherwise, enter "N/A".

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.

FORM FRA F 6180.54 - Continued

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. 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 50. 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:

FORM FRA F 6180.54 - Continued

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.?)

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.

51. Typed/Printed Name and Title of Preparer
Type or print the name and title of the person responsible for preparing this report form.
52. Signature
Signature of the person shown in item 51.

FORM FRA F 6180.54 - Continued

53. Date
Date the signature was made in item 52.

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 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 arching 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.

FORM FRA F 6180.54 - Continued

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 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.

FORM FRA F 6180.54 - Continued

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.

FORM FRA F 6180.54 - Continued

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 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.

FORM FRA F 6180.54 - Continued

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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.

FORM FRA F 6180.81 - Continued

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 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 "Brief 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 Involved in Rail Equipment Accident/Incident Attributed to Employee Human Factor," 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

FORM FRA F 6180.78 - Continued

FRA F 6180.78 and for purposes of the definition of “employee human factor”, “employee” includes the following classifications:

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

FORM FRA F 6180.78 - Continued

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).

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).

FORM FRA F 6180.78 - Continued

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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 year 1997 is \$6,500.

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

FORM FRA F 6180.57 - Continued

first highway user involved in the accident. Briefly describe the accident and note any additional 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".

FORM FRA F 6180.57 - Continued

C. INSTRUCTIONS FOR COMPLETING FORM FRA F 6180.57

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

FORM FRA F 6180.57 - Continued

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 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 U.S. DOT-AAR National Highway-Rail Crossing Inventory Identification Number assigned to the crossing involved. This number must be provided by the reporting railroad, regardless of who actually maintains the track or the crossing site. If an identification number has not been assigned to the crossing, enter "Not assigned".
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.
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".

FORM FRA F 6180.57 - Continued

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.

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".

FORM FRA F 6180.57 - Continued

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 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".

FORM FRA F 6180.57 - Continued

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 fusees 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 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.

FORM FRA F 6180.57 - Continued

- 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
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.

Track Class	Maximum Speed	
	Freight Trains	Passenger Trains
X	10	Prohibited
1	10	15
2	25	30
3	40	60
4	60	80
5	80	90
6	110	110

- 28. Number of Locomotive Units

FORM FRA F 6180.57 - Continued

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

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.

FORM FRA F 6180.57 - Continued

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).
- 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.

FORM FRA F 6180.57 - Continued

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".

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.

FORM FRA F 6180.57 - Continued

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
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".

FORM FRA F 6180.57 - Continued

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).
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

FORM FRA F 6180.57 - Continued

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.

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

FORM FRA F 6180.57 - Continued

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.

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").

FORM FRA F 6180.57 - Continued

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.

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.

FORM FRA F 6180.56 - Continued

4. Establishments Included in this Report
List the number of establishments operated during the year.

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.

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.

APPENDIX A
Railroad Codes

ARE	A & R Line Inc.
AGRD	A&G Railroad, L.L.C. (formerly Abbeville-Grimes - AG) Abbeville-Grimes Rwy Co (Use Code AGRD - A&G RR, L.L.C.)
ACWR	Aberdeen, Carolina & Western Railroad
AR	Aberdeen & Rockfish Railroad Company
AKDN	Acadiana Railway Company
ADCX	Adirondack Scenic Railroad (Previously Adir. Centennial)
ADBF	Adrian & Blissfield Railroad
AB	Akron Barberton Cluster Railway Company
ABB	Akron & Barberton Belt Railroad Company
ALAB	Alabama Railroad Company, Incorporated
AF	Alabama & Florida Railway Company
AGS	Alabama Great Southern Railroad, The (NS)
ABL	Alameda Belt Line
AGCR	Alamo Gulf Coast Railroad Company
ARR	Alaska Railroad Corporation
APRR	Albany Port Railroad
ARC	Alexander Railroad Company
AWW	Algers, Winslow & Western Railway Company
ALQS	Aliquippa & Southern Railroad Company
AVR	Allegheny Valley Railroad Company
ALC	Allegheny Central Railroad
ALY	Allegheny And Eastern Railroad
AL	Almanor Railroad Company
ALS	Alton & Southern Railroad
AMC	Amador Central Railroad Company
AMHR	Amhearth Railroad Industries, Incorporated/Landisville RR
ATK	Amtrak (National Railroad Passenger Corporation)
ACRC	Andalusia & Conecuh Railroad Company, Incorporated
ANR	Angelina & Neches River Railroad Company
AA	Ann Arbor Railroad
APA	Apache Railway Company
AN	Apalachicola Northern Railroad Company
APNC	Appanoose County Community Railroad Company
ARA	Arcade & Attica Railroad Corporation
AZCR	Arizona Central Railroad, Incorporated
ARZC	Arizona & California Railroad Company
AZER	Arizona Eastern Railroad
AKMD	Arkansas Midland Railroad Company, Incorporated
ALM	Arkansas Louisiana & Mississippi Railroad Company
AM	Arkansas & Missouri Railroad Company
AOK	Arkansas-Oklahoma Railroad Inc.
ACRY	Arkansas Central Railway Company
AVL	Aroostook Valley Railroad Company
ASRY	Ashland Railway Incorporated
ADN	Ashley, Drew & Northern Railway Company

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APPENDIX A - Continued

ACJR Ashtubula, Carson & Jefferson Railroad
ATSF Atchison, Topeka & Santa Fe Railway Company, The
ASML Atlanta, Stone Mountain & Lithonia
ATW Atlantic & Western Railway, L.P.
AGLF Atlantic & Gulf Railroad
ATCX Austin & Texas Central Railroad
AUNW Austin & Northwestern Railroad
ATLT Austin, Todd & Ladd Railroad Company
ATC Autotrain Corporation

BLA Baltimore & Annapolis Railroad Company
BOCT Baltimore & Ohio Chicago Terminal Railroad Company
BAR Bangor & Aroostook Railroad
BKRR Batten Kill Railroad
BXN Bauxite & Northern Railway Company
BCLR Bay Colony Railroad
BAYL Bay Line Railroad, L.L.C.
BMH Beaufort & Morehead Railway Incorporated
BEEM Beech Mountain Railroad Company
BML Belfast & Moosehead Lake Railroad Company
BHRX Bellefonte Historical Railroad Society
BRC Belt Railway Company Of Chicago, The
BMS Berlin Mills Railway
BLE Bessemer & Lake Erie Railroad Company
BSDA Bi-State Development Agency, St. Louis (Operated By RSM)
BSFX Big South Fork Scenic Railway
BS Birmingham Southern Railroad Company
BHC Black Hills Central Railroad
BRW Black River & Western Railroad
BLOL Bloomer Shippers Connecting Railroad Company
BMRG Blue Mountain & Reading Railroad
BRTR Blue Rock Transportation Company
BRRX Blue Rapids Railway
BLMR Blue Mountain Railroad, Incorporated
BRMI Bluegrass Railroad Museum, Incorporated
BSV Boone Scenic Valley
BOP Border Pacific Railroad
BM Boston & Maine Corporation
BRAN Brandon Corporation
BSRX Brandywine Scenic Railroad Company
BVRY Brandywine Valley Railroad Company
BITY Bristol Industrial Terminal Railway
BWDX Broadway Dinner Train
BRG Brownsville & Rio Grande International Railroad
BCRR Buckeye Central Scenic Railroad
BB Buckingham Branch Railroad Company

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APPENDIX A - Continued

BSOR Buffalo Southern Railroad, Incorporated
BPRR Buffalo & Pittsburgh Railroad, Incorporated
BJRY Burlington Junction Railway
BN Burlington Northern Railroad Company

CSKR C&S Railroad Corporation
CALX Caddo, Antonine And Little Missouri
CTML Cairo Terminal Railroad Company
CWCY Caldwell County Railroad Co.
CWR California Western Railroad
CFNR California Northern Railroad Company
CSRM California State Railroad Museum
CSP Camas Prairie Railroad Company
CCRA Camp Chase Industrial Railroad Corp
CN Canadian National - North America
Canadian Atlantic Railroad (Use Code CDAC)
CDAC Canadian American Railroad Company
CPVM Canadian Pacific Railway (Vermont & Michigan)
CP Canadian Pacific Railway Company
CFWR Caney Fork & Western Railroad
CTN Canton Railroad Company
CCRX Cape Cod Railroad
CF Cape Fear Railways, Incorporated
CMSX Cape May Seashore Lines, Inc.
CHSX Carbon Schuykill
CALA Carolina Southern Railroad Company
CLNA Carolina Coastal Railway, Incorporated
CRIJ Carolina Rail Services Company
CPDR Carolina Piedmont Division-South Carolina Central Railroad
CARR Carrollton Railroad (CSX)
CKSI Carthage, Knightstown & Shirley Railroad
CASS Cass Scenic
CMRR Catskill Mountain Railroad
CBRX CBEC Railway, Inc.
CVAR Cedar Valley Railroad
CEDR Cedar River Railroad Company
CIC Cedar Rapids & Iowa City Railway Company
CRLX Centex Rail Link, Limited
CERA Central Railroad Company Of Indianapolis
CEIW Central Indiana & Western Railroad Company
CGA Central Of Georgia Railroad Company (NS)
CCT Central California Traction Company
CTRN Central Of Tennessee Railway & Navigation Company
CORP Central Oregon & Pacific Railroad, Inc.
CV Central Vermont Railway (Out Of Operation)
CM Central Montana Railroad

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APPENDIX A - Continued

CNYK	Central New York Railroad Corporation
CIND	Central Railroad Company Of Indiana
CKRY	Central Kansas Railway, Incorporated
CMGN	Central Michigan Railway Company
CGNE	Champagne Railroad, Incorporated
CIRR	Chattahoochee Industrial Railroad
CCKY	Chattooga & Chickamauga Railroad
CHNY	Cheney Railroad Company, Incorporated
CHRR	Chesapeake Railroad Company
CHW	Chesapeake Western Railway
CA	Chesapeake & Albemarle Railroad Company
CHR	Chestnut Ridge Railway Company
CWP	Chicago, West Pullman & Southern Railroad Company
CRI	Chicago River And Indiana Railroad Company
CHTT	Chicago Heights Terminal Transfer Railroad Company
CIW	Chicago & Illinois Western Railroad
CCUO	Chicago-Chemung Railroad Corporation
CSS	Chicago Southshore & South Bend Railroad
CRL	Chicago Rail Link
CNW	Chicago And North Western Railway Company
CIM	Chicago & Illinois Midland Railway Company
CC	Chicago, Central & Pacific Railroad Company
CSL	Chicago Short Line Railway Company
CBRM	Chillicothe-Brunswick Rail Maintenance Authority
CVR	Cimarron Valley Railroad L C
CNTP	Cincinnati, New Orleans & Texas Pacific Railway Co., The (NS)
CTER	Cincinnati Terminal Railway Company
COP	City Of Prineville Railway
CCRR	Claremont Concord Railroad Corporation
CLP	Clarendon & Pittsford Railroad Company
CTR	Clinton Terminal Railroad Company
CRLE	Coe Rail Incorporated
CISD	Colonel's Island Railroad Company
CW	Colorado & Wyoming Railway Company
CS	Colorado And Southern Railway
CT	Columbia Terminal Railroad Company
CBCX	Columbia Business Center
CLC	Columbia & Cowlitz Railway Company
CNOW	Columbia & Northern Railway Company
CUOH	Columbus & Ohio River Railroad
CAGY	Columbus & Greenville Railway Company
CWRY	Commonwealth Railway, Incorporated
CBL	Conemaugh & Black Lick Railroad Company
CDT	Conn. Dept. Of Transportation
CCCL	Connecticut Central Railroad
CTV	Connecticut Valley
GBX	Consolidated Grain & Barge Company

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APPENDIX A - Continued

CR Consolidated Rail Corporation
CONW Conway Scenic Railroad
CACV Cooperstown & Charlotte Valley Railway Corporation
CMRX Coopersville & Marne Railroad
CBRY Copper Basin Railway, Incorporated
CRCX Cornhusker Rail Car Services, Inc.
CCTA Corpus Christi Terminal Association
CSRX Corydon 1883 Scenic Railroad
CBGR Council Bluffs Railway Company
CPRS CP Rail System/CP Tarrif, Inc.
COER Crab Orchard & Egyptian Railroad
CYCY Crystal City Railroad, Incorporated
CSX CSX Transportation, Inc.
CTSR Cumbres & Toltec Scenic Railroad
CVSX Cuyahoga Valley Scenic Railway
CUVA Cuyahoga Valley Railway Company

DAIR D & I Railroad Company
DME Dakota, Minnesota & Eastern Railroad
DAKR Dakota Railroad
DI Dakota & Iowa Railroad
DMVW Dakota, Missouri Valley & Western Railroad, Incorporated
DSRC Dakota Southern Railway Company
DGNO Dallas, Garland & Northeastern Railroad
DTRR Danbury Terminal Railroad Company
DMM Dansville & Mount Morris Railroad Company
DR Dardanelle & Russellville Railroad
DRI Davenport, Rock Island & North Western Railway Company
DQE De Queen & Eastern Railroad Company
DCRX Deadwood Central Railroad Company
DT Decatur Junction Railway Company
DH Delaware & Hudson Railway Company
DL Delaware Lackawanna Railroad (replaces LVAL,IRWY)
DURR Delaware & Ulster Rail Ride
DV Delaware Valley Railroad Company, Inc.
DC Delray Connecting Railroad Company
DVS Delta Valley & Southern Railway Company
DSRR Delta Southern Railroad Company
DRGW Denver & Rio Grande Western Railroad Company, The
DRIR Denver Rock Island Railroad
DUT Denver Union Terminal Railway
DOE Department Of Energy
DOD Department Of Defense - Other
DLWR Depew, Lancaster & Western Railroad Company, Incorporated
DKS Doniphan, Kensett & Searcy Railway
DCRR Dubois County Railroad

FRA Guide for Preparing Accident/Incident Reports

APPENDIX A - Continued

DMIR Duluth, Missabe & Iron Range Railway Company
DNE Duluth & Northeastern Railroad Company
DWP Duluth, Winnipeg & Pacific Railway
DSNG Durango & Silverton Narrow Gauge Railroad Company
DS Durham And Southern Railway Company
DRHY Durham Transport Incorporated

EPRY East Penn Railways, Inc.
EACH East Camden & Highland Railroad Company
EJR East Jersey Railroad & Terminal Company
ECBR East Cooper & Berkeley Railroad
ENTRY East Tennessee Railway, L.P.
EEC East Erie Commercial Railroad
EPTC East Portland Traction Company
EIRC Eastern Illinois Railroad Company
EIRR Eastern Idaho Railroad
ESHR Eastern Shore Railroad Incorporated
EARY Eastern Alabama Railway Company
EMRX Eastern Maine Railroad
EMRY Eastern Maine Railroad Company
TXTX Econo Rail Corporation
EDW El Dorado & Wesson Railway Company
EJE Elgin, Joliet & Eastern Railway Company
ELKR Elk River Railroad, Incorporated
EE Ellis & Eastern Company
ETMX Entertainment Line
ELS Escanaba & Lake Superior Railroad Company
EKNA Eureka Springs & North Arkansas Railroad
EV Everett Railroad Company

FMRC Farmrail Corporation
FRA Federal Railroad Administration
FMWX Fillmore And Western
FGLK Finger Lakes Railway Corporation
FIR Flats Industrial Railroad Company
FGC Florida Gulf Coast Railroad Museum, Incorporated
FWCR Florida West Coast Railway
FMID Florida Midland Railroad Company, Incorporated
FCEN Florida Central Railroad Company
FEC Florida East Coast Railway Company
FNOR Florida Northern Railroad Company, Incorporated
FAPR Floydada & Plainview Railroad Company
FP Fordyce & Princeton Railroad Company
FSR Fort Smith Railroad Company
FWWR Fort Worth & Western Railroad

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APPENDIX A - Continued

FVW Fox Valley & Western Ltd.
FEVR Fremont & Elkhorn Valley Railroad
FWHS Ft. Wayne Historical Society

GVSR Galveston Railroad, L.P.
GCW Garden City Western Railway Company
GWWR Gateway Western Railway
GWWE Gateway Eastern Railroad Company
GNWR Genesee & Wyoming Railroad Company
GRR Georgetown Railroad Company
GC Georgia Central Railroad
GAAB Georgia & Alabama Division
GFRR Georgia & Florida Railroad Co., Inc.
GNRR Georgia Northeastern Railroad Company
GGS Georgia Great Southern Division-South Carolina
GSWR Georgia Southwestern Railroad Division
GMA Georgia Marble
GSF Georgia Southern & Florida Company (NS)
GWRC Georgia Woodlands Railroad
GPSX Gettysburg Passenger Service
GETY Gettysburg Railroad Company
GRC Glasgow Railway Company
GLSR Gloster Southern Railroad
GCR Gold Coast Railroad
GGMX Golden Gate Railroad Museum
GTRA Golden Triangle Railroad Company
GCRC Golden Cat Railroad Corporation
GU Grafton & Upton Railroad Company
GNBC Grainbelt Corporation
GR Grand Rapids Eastern Railroad Incorporated
GTW Grand Trunk Western Railroad Incorporated
GCRX Grand Canyon Railway
GSM Great Smokey Mountain Railroad
GRWR Great Walton Railroad Company
GWR Great Western Railway Company
GTR Great River Railroad
GMRY Great Miami & Scioto Railway Company
GRMX Great Miami & Western Railway
GMRC Green Mountain Railroad Corporation
GRN Greenville & Northern Railway Company
GRS Guilford Rail System (formerly code GUIL)
GORX Gulf And Ohio Railways
GCSR Gulf, Colorado San Saba Railway Corporation
GSSZ Gulf State Steel, Inc.
GWSW Gwi Switching Services L.P. (Formerly Genessee & Wyoming Switching Svcs)

APPENDIX A - Continued

HS	H & S Railroad Company, Incorporated
HB	Hampton & Branchville Railroad Company
HBL	Harbor Belt Line Railroad
HSRR	Hardin Southern Railroad, Incorporated
HRT	Hartwell Railroad Company
HVRX	Heber Valley Railroad Utah
HPTD	High Point, Thomasville & Denton Railroad Company
HVSR	Hocking Valley Scenic Railroad
HRS	Hollidaysburg And Roaring Spring Railroad Company
HE	Hollis & Eastern Railroad Company
HCRR	Honey Creek Railroad, Incorporated
HOS	Hoosier Southern Railroad
HRRC	Housatonic Railroad Company, Incorporated
HBT	Houston Belt & Terminal Railway Company
HRR	Huckleberry Railroad
HMCR	Huntsville & Madison County Railroad Authority
HESR	Huron & Eastern Railway
HN	Hutchinson & Northern Railway Company
INPR	Idaho Northern & Pacific Railroad Company
IRYM	Illinois Railway Museum
IMRR	Illinois & Midland Railroad Inc.
IC	Illinois Central Railroad Company
IHB	Indiana Harbor Belt Railroad Company
IHRC	Indiana Hi-rail Corporation
ISRR	Indiana Southern Railroad Company, Incorporated
IN	Indiana Northeastern Railroad Company, Incorporated
INOH	Indiana & Ohio Railroad, Incorporated
ITMZ	Indiana Transportation Museum
INRD	Indiana Rail Road Company
IOCR	Indiana & Ohio Central Railroad, Incorporated
IORY	Indiana & Ohio Railway
IOSX	Indiana & Ohio Scenic Rail Corporation
IRM	Indiana Railway Museum
ISSX	Interchange Specialty Service Inc
IATR	Iowa Traction Railroad Company
IANR	Iowa Northern Railway Company
IAIS	Iowa Interstate Railroad
ISSR	Iss Rail, Inc.
JKL	J. K. Line Incorporated (TIPP)
JGDX	Jackson Gordonville & Delta Railroad
JPA	Jacksonville Port Authority
JXPT	Jaxport Terminal Railway Company
JEFW	Jefferson Warrior Railroad
JJRX	Joliet Junction Railroad

APPENDIX A - Continued

- JERX** Joppa & Eastern Railroad Company
- KWT** K. W. T. Railway, Incorporated
KLSC Kalamazoo, Lake Shore & Chicago Rwy (Reinstated 2/14/94)
KRTX Kanawha River Terminal
KBSR Kankakee, Beaverville & Southern Railroad Company
KCT Kansas City Terminal Railway Company
KCS Kansas City Southern Railway Company
KGEZ Kansas Gas & Electric
KSW Kansas Southwestern Railway
KRM Kentucky Railway Museum
KT Kentucky & Tennessee Railway
KJRY Keokuk Junction Railway
KMRY Kettle Moraine Railway
KRR Kiamichi Railroad Company LLC
KKRR Knox & Kane Railroad Company
KYLE Kyle Railroad Company
- LKWR** Lackland Western Railroad Company
LT Lake Terminal Railroad Company
LWAT Lake Whatcom Railway
LSMR Lake Superior & Mississippi Railroad
LSI Lake Superior & Ishpeming Railroad Company
LSRC Lake State Railway Company
LSMT Lake Superior Museum Of Transportation
LSRX Lake Shore Railway
LVRC Lamoille Valley Railroad Company
LC Lancaster & Chester Railway Company
Landisville Railroad ** Use Code AMHR **
- LNO** Laona & Northern Railway
LRS Laurinburg & Southern Railroad Company
LCSR Leadville, Colorado & Southern Railroad, Company
LSR Leelanau Scenic Railroad
LINC Lewis & Clark Railroad Company
LBCX Lewisburg & Buffalo Creek Railroad
LXOH Lexington & Ohio Railroad Company Incorporated
LFIZ Litchfield Industrial Railroad
LRWN Little Rock & Western Railway, L.P.
LRR Little River Railroad
LKRR Little Kanawha River Rail
LRPA Little Rock Port Railroad Company
LPSG Live Oak, Perry, South Georgia Railway Company
LAL Livonia, Avon & Lakeville Railroad Corporation
LER Logansport & Eel River Short Line Company, Incorporated
LI Long Island Rail Road Company, The

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APPENDIX A - Continued

LHRR	Longhorn Railway Company
LS	Longview Switching
LPN	Longview, Portland & Northern Railway Company
LAJ	Los Angeles Junction Railway Company
LNW	Louisiana & North West Railroad Company
LDRR	Louisiana & Delta Railroad
LA	Louisiana & Arkansas Railway Company
LW	Louisville & Wadley Railway Company
LIRC	Louisville & Indiana Railroad Company
LNAL	Louisville, New Albany & Corydon Railroad
LBR	Lowville & Beaver River Railroad Company
LUN	Ludington & Northern Railway
LSX	Luzerene & Susquehanna Rwy Co.
MGRI	M. G. Rail, Incorporated
CMPA	Madison Railroad Division
MAA	Magma Arizona Railroad Company
MVRY	Mahoning Valley Railroad Company
MEC	Maine Central Railroad Company
MDTT	Maine Department Of Transportation
MC	Maine Coast Railroad Corporation
MCPA	Manatee County Port Authority
MPP	Manitou & Pike's Peak Railroad Company
MJ	Manufacturers' Junction Railway Company
MRS	Manufacturers' Railway Company
MACZ	Maryland Association Of Rail Commuters
MMID	Maryland Midland Railway, Incorporated
MDT	Maryland Dept. Of Transportation
MPAD	Maryland Port Authority
MPA	Maryland & Pennsylvania Railroad Company
MDDE	Maryland & Delaware Railroad Company
MCCL	Mason City & Clear Lake Electric Railway Historical Society
MTAX	Mass Transit Administration
MCER	Massachusetts Central Railroad Corporation
MSTR	Massena Terminal Railroad Company
MCR	Mccloud Railway Company
MKC	Mckeessport Connecting Railroad Company
MCLR	Mclaughlin Line Railroad
MBRR	Meridian & Bigbee Railroad Company
MNCW	Metro North Commuter Railroad Company
MS	Michigan Shore Railroad
MSTP	Michigan State Trust For Railway Preservation
MSO	Michigan Southern Railroad Company, Incorporated
MCRY	Mid-Continent Railway
MRR	Mid-Atlantic Railroad Company, Inc.
MMRR	Mid-Michigan Railroad Company

APPENDIX A - Continued

- MIDH** Middletown & Hummelstown Railroad Company
- MNJ** Middletown & New Jersey Railway Company, Incorporated
- MDLR** Midland Terminal Company
- MDRY** Midlands Railway
- MWCL** Midwest Coal Handling, Incorporated
- MBRX** Milford-Bennington Railroad Company
- MRSX** Military Ocean Terminal Railroad At Sunny Point
- MNNR** Minnesota Commercial Railway
- MNTM** Minnesota Transportation Museum
- MDW** Minnesota, Dakota & Western Railway Company
- MCTA** Minnesota Central Railroad Company
- MZL** Minnesota Zephyr, Limited
- MMR** Minnesota & Manitoba Railroad
- MSV** Mississippi & Skuna Valley Railroad Company
- MSCI** Mississippi Central Railroad Company
- MSE** Mississippi Export Railroad Company
- MSDR** Mississippi Delta Railroad
- MSRW** Mississippian Railway Cooperative, Incorporated
- MNA** Missouri & Northern Arkansas Railroad Company, Inc.
- MP** Missouri Pacific Railroad Company
- MET** Modesto & Empire Traction Company
- MHWA** Mohawk, Adirondack & Northern Railroad Corporation
- MWRL** Molalla Western Railway Company
- MCRR** Monongahela Connecting Railroad Company
- MRL** Montana Rail Link
- MWRR** Montana Western Railway Company
- MRMZ** Monticello Railway Museum
Montpelier And Barre Railroad Company Former Code MN, Now WACR
- ME** Morristown & Erie Railway, Incorporated
- MCSA** Moscow, Camden & San Augustine Railroad
- MVT** Mount Vernon Terminal Railway, Incorporated
- MH** Mount Hood Railway Company
- MRSR** Mount Rainier Scenic Railroad
- MNL** Mountain Laurel Railroad Company
- MWR** Muncie & Western Railroad Company
- METW** Municipality Of East Troy

- NCMX** N C Transportation Museum
- NJT** N. J. Dept. Of Transportation
- NVRR** Napa Valley Railroad
- NCYR** Nash County Railroad
- NERR** Nashville & Eastern Railroad
- NRI** Nebkota Railway, Incorporated
- NCRC** Nebraska Central Railroad
- NNRX** Nevada Northern Railway
- NSWX** Neversweat & Washoe Railroad

APPENDIX A - Continued

NEGS New England Southern Railroad Company, Incorporated
NECR New England Central Railroad
NYLE New York & Lake Erie
NEWG New Georgia Railroad
NYCH New York Cross Harbor Railroad Terminal Corporation
NHCR New Hampshire Central Railroad, Incorporated
NHIR New Hope & Ivyland Railroad Company
NHN New Hampshire North Coast Railroad
NHRR New Hope & Ivyland Rail Road
NHVT New Hampshire & Vermont Railroad Company
NYSW New York, Susquehanna & Western Railroad Company
NOT New Orleans Terminal Company
NOLR New Orleans Lower Coast Railroad, Incorporated
NOPB New Orleans Public Belt Railroad
NJTR New Jersey Transit Rail Operations
NSR Newburgh & South Shore Railroad
NPSX Newport Star Clipper Dinner Train
NICX Niles Canyon Railway
NTRY Nimishillen & Tuscarawas Railway Company
NBER Nittany & Bald Eagle
NRR Nobles Rock Railroad (Former Code NRRX)
NPB Norfolk & Portsmouth Belt Line Railroad Company
NFD Norfolk, Franklin And Danville Railroad Company
NW Norfolk & Western Railway Company
NS Norfolk Southern Corporation
NSHR North Shore Railroad
NCDX North County Transit District
NCCR North Coast Railroad
NSSR North Shore Scenic Railroad
NCVA North Carolina & Virginia Railroad Company
NIRC Northeast Illinois Regional Comuter Rail Corp. (METRA)
NEKM Northeast Kansas & Missouri
NICD Northern Indiana Commuter Transportation District
NN Northern Nevada Railroad Corporation
NOW Northern Ohio & Western Railway, Ltd.
NCR Northern Central Railway Co.
NOKL Northwestern Oklahoma Railroad Company

OTR Oakland Terminal Railway
OGEE Ogeechee Railway Company
OHIC Ohi Rail Corporation
OSRR Ohio Southern Railroad Company
ORY Ohio Railway Museum
OHCR Ohio Central Railroad Company
OHPA Ohio & Pennsylvania Railroad Company
OCTL Oil Creek & Titusville Lines

APPENDIX A - Continued

OAR Old Augusta Railroad Company
OCN Olde Colony & New Port
OLB Omaha, Lincoln & Beatrice Railway Company
ONCT Ontario Central Railroad Corporation
OMID Ontario Midland Railroad Corporation
OERR Oregon Eastern Railroad
ORR Osage Railroad
OTVR Otter Tail Valley Railroad Company, Incorporated
OUCH Ouachita Railroad
OHRY Owego & Harford Railway, Incorporated

PLW P L & W Railroad Company
PSRM Pacific SW Railway Museum (San Diego RR Museum)
PARN Pacific & Arctic Railroad & Navigation Company
PRSX Pacific Rail Services
PI Paducah & Illinois Railroad Company
PAL Paducah & Louisville Railway Company
Palouse River Railroad Company **Use Code BLMR**
PNR Panhandle Northern Railroad Company
PRT Parr Terminal Railroad
PBR Patapsco & Back Rivers Railroad Company
PRV Pearl River Valley Railroad Company
PVS Pecos Valley Southern Railway Company
POVA Pend Oreille Valley Railroad, Incorporated
PT Peninsula Terminal Company
PC Penn Central Transportation Company
PPHW Peoria, Peoria Heights & Western Railroad
PPU Peoria & Pekin Union Railway Company
PBNE Philadelphia, Bethlehem & New England Railroad
PICK Pickens Railway Company
PBRR Pine Belt Southern RR
PVRR Pioneer Valley Railroad Company, Incorporated
PWJ Pioneer Railroad Company, Incorporated
PS Pittsburg & Shawmut Railroad Company
PAM Pittsburgh, Allegheny & McKees Rocks Railroad
PCY Pittsburgh, Chartiers & Youghioghney Railway
PCDX Pittsburgh & Conneaut Dock Company
PTC Plainview Terminal Company
PCIX Plant City Industrial Park
PLL Plymouth & Lincoln
PCN Point Comfort & Northern Railway Company
PATH Port Authority Trans Hudson
PPBD Port Of Palm Beach Terminal
POCA Port Of Catoosa
POTB Port Of Tillamook Bay Railroad
PRI Port Railroads, Incorporated

APPENDIX A - Continued

POBR Port Of Royal Slope Railroad
POAK Port Of Oakland
PRYL Port Royal Railroad
PLCX Port Of Lake Charles
PBVR Port Bienville Railroad
MAUP Port Of Manatee
PUCC Port Utilities Commission Of Charleston, S.C.
PTRA Port Terminal Railroad Association
PTR Port Terminal Railroad Of South Carolina (Former Code PTRS)
PTO Portland Terminal (Oregon)
PNWR Portland & Western Railroad, Inc.
PDCZ Portland Development Commission
PEX Potomac Eagle Scenic Rail Excursion
PNW Prescott & Northwestern Railroad Company
PGCX Proctor & Gamble Cellulose
PW Providence & Worcester Railroad Company
PSHX Puget Sound Railway Historical Association

QARX Queen Anne Railroad
QRR Quincy Railroad Company
QBT Quincy Bay Terminal Company

RJCM R. J. Corman Railroad Company/Memphis Line
RJCW R. J. Corman, Western Ohio Line
RJCR R. J. Corman Railroad
RJCP R. J. Corman Railroad Company/Pennsylvania Lines, Inc.
RJCL R. J. Corman Railroad Company/Cleveland Line
RSIX Rail Switching L.L.C.
RTI Rail Tours, Incorporated
RSM Railroad Switching Service Of Missouri, Incorporated
RARW Rarus Railway Company
RERX Reader Railroad
RBMN Reading Blue Mountain & Northern Railroad Commission
RRVW Red River Valley & Western Railroad
RBKR Red Bank Railroad Company
RSNR Red Spring & Northern Railroad
RRC Redmont Railway Company, Inc.
RBX Ringling Brothers, Barnum & Bailey Circus
RVSC Rio Valley Switching Company
RT River Terminal Railway Company
RS Roberval & Saguenay Railway Company
RRCO Rochelle Railroad Company
RSR Rochester Southern Railroad, Incorporated
RSS Rockdale, Sandow & Southern Railroad Company
RSP Roscoe, Snyder & Pacific Railway Company

APPENDIX A - Continued

SRN Sabine River & Northern Railroad Company
SCRT Sacramento County Regional Transit District
SGVY Saginaw Valley Railway Company, Incorporated
SL Salt Lake City Southern Railroad Company, Incorporated
SLGW Salt Lake, Garfield & Western Railway Company
SMA San Manuel Arizona Railroad Company
SLC San Luis Central Railroad Company
SWKR San Pedro & Southwestern Railway Company
SJVR San Joaquin Valley Railroad Company
SDNX San Diego Northern Railway
SDIY San Diego & Imperial Valley
SFBR San Francisco Belt Railroad
SDTI San Diego Trolley Incorporated
SS Sand Springs Railway Company
SAN Sandersville Railroad Company
SCBG Santa Cruz, Big Tree & Pacific Railroad
SMV Santa Maria Valley Railroad Company
SFS Santa Fe Southern Railway, Incorporated
SBNX Saracuse Binghampton And New York Railroad
SSDK Savannah State Docks Railroad Company
SCRX Schuylkill Country Rail Authority
SWGR Seagraves, Whiteface & Lubbock Railroad Company
SVTX Seaview Transportation Co., Inc.
SGLR Seminole Gulf Railroad
SE Semo Port Railroad, Inc.
SQVR Sequatchie Valley Railroad
SVRR Shamokin Valley Railroad Company
SVIZ Shelbyville Industrial Railroad
SV Shenandoah Valley Railroad
SMSX Shortline Marketing Services
SLGG Sidney & Lowe Railroad Incorporated
SRYC Sierra Railway Company Of California Limited
SERA Sierra Railroad Company
SMRR Sisseton Milbank Railroad
SSL Skaneateles Short Line RR
SHRX Smokey Hill Railway
SLRS SMS Rail Service, Inc.
SOM Somerset Railroad Company
SOO Soo Line Railroad Company
SKJA Soo KCS Joint Agency
SLAL South Plains Lamesa Railroad, Ltd.
SKOL South Kansas & Oklahoma Railroad Company
SCRF South Carolina Central Railroad Company, Incorporated
SCFE South Central Florida Railroad
SCTR South Central Tennessee Railroad Corporation
SCXF South Central Florida Express, Inc.

APPENDIX A - Continued

SBK	South Brooklyn Railway Company
SO	South Orient Railroad Company, Ltd.
SB	South Buffalo Railway Company
SBVR	South Branch Valley Railroad
SEKR	Southeast Kansas Railroad
SEPA	Southeastern Pennsylvania Transportation Authority
SEI	Southeastern International Railroad
SMRS	Southern Michigan Railroad Society
SCAX	Southern California Regional Rail Authority
SUAB	Southern Alabama Railroad Company, Incorporated
SSC	Southern Switching Company
SSWN	Southern Pacific, Chicago-St. Louis Corporation
SERX	Southern Electric Railroad
SOU	Southern Railway Company (NS)
SP	Southern Pacific Transportation Company
SEGX	Southern Electric Generating Company
SIND	Southern Indiana Railway, Incorporated
SIM	Southern Illinois & Missouri Bridge Line
SRNJ	Southern Railroad Company Of New Jersey
SWP	Southwest Pennsylvania Railroad Company
SW	Southwestern Railroad Company, Incorporated
ST	Springfield Terminal Railway Company (Vermont)
SLR	St. Lawrence & Atlantic Railroad Company
SM	St. Marys Railroad Company
SJRT	St. John's River Terminal Company
SSW	St. Louis Southwestern Railway Company
SLCR	St. Louis & Chain Of Rocks Railroad
SLOI	St. Louis, Iron Mountain, & Southern
SLST	St. Louis Steam Train Association
STLH	St. Lawrence & Hudson Railway Company Limited
STMA	St. Maries River Railroad Company
SLRR	St. Lawrence & Raquette River Railroad Steamtown Foundation (Use Code SNCX)
SNCX	Steamtown National Historic Site (Former Code SF)
SH	Steelton & Highspire Railroad
STRT	Stewartstown Railroad Company
STE	Stockton Terminal & Eastern Railroad
SPBR	Stockton Public Belt Railroad
SMPX	Stone Mountain Park
SMRX	Stone Mountain Railroad
SBRR	Stourbridge Railroad Company
SRC	Strasburg Railroad Company
TE	Tacoma Eastern Railway Company
TMBL	Tacoma Municipal Belt Line Railway
TSRR	Tennessee Southern Railroad Company, Incorporated

APPENDIX A - Continued

TVRM	Tennessee Valley Railroad
TENN	Tennessee Railroad Company (NS)
TKEN	Tennken Railroad Company Incorporated
TASD	Terminal Railway Alabama State Docks
TRRA	Terminal Railroad Association Of St. Louis
TCT	Texas City Terminal Railway Company
TELX	Texas Limited (excursion Train, Incorporated)
TXTC	Texas Transportation Company
TXOR	Texas & Oklahoma Railroad Company
TXNW	Texas Northwestern Railway Company
TXGN	Texas, Gonzales & Northern Railway Company
TSR	Texas State Railroad
TM	Texas Mexican Railway Company
TSE	Texas South-Eastern Railroad Company
TOE	Texas, Oklahoma & Eastern Railroad Company
TN	Texas & Northern Railway Company
TNER	Texas Northeastern Division--Mid-Michigan Railroad
TNMR	Texas & New Mexico Railroad Company (Austin & Northwestern Div)
TNOX	Texas North Orient Railroad
TBRY	Thermal Belt Railway Three County Commuter Rail Organ. (Use Code TCCX)
TTR	Tijuana And Tecate Railway Company
TIOC	Tioga Central Railroad
TPW	Toledo, Peoria & Western Railway Corporation
TLEW	Toledo Lake Erie & Western Railroad
TR	Tomahawk Railway, L.P.
TIRL	Tonawanda Island Railroad Incorporated
TSWR	Toppenish Simcoe & Western
TMSS	Towanda Monroeton Shippers Lifeline, Incorporated
TULX	Trains Unlimited
TCSX	Trancisco Rail Services Company
TTIS	Transkentucky Transportation Railroad, Incorporated
TCCX	Tri-County Commuter Rail Authority
TRC	Trona Railway Company
TCG	Tucson, Cornelia & Gila Bend Railroad Company
TVRR	Tulare Valley Railroad Company
TSU	Tulsa-Sapulpa Union Railway Company LLC
TCKR	Turtle Creek Industrial Railroad, Incorporated
TSBY	Tuscola & Saginaw Bay Railroad Company, Incorporated
TWIN	Twin State Railroad Corporation
TSRD	Twin State Railroad Company
TCWR	Twin City & Western Railroad
TYBR	Tyburn Railroad Company
UCIR	Union County Industrial Railroad Company
UT	Union Term. Railway Co. "St. Joseph, Mo."

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APPENDIX A - Continued

URR	Union Railroad Company (Pittsburgh)
UP	Union Pacific Railroad Company
USA	United States Army
UMP	Upper Merion & Plymouth Railroad Company
UCRY	Utah Central Railway Company
UTAH	Utah Railway Company
VS	V&S Railway, Incorporated
VRCX	Vaughan Railroad Company
VR	Valdosta Railway, L.P.
VALE	Valley Railroad Company
VRRC	Vandalia Railroad Company
VCY	Ventura County Railway Company
VTR	Vermont Railway, Incorporated
VSRR	Virginia Southern Railroad
VREX	Virginia Railway Express
VTRR	Virginia & Truckee Railroad Company, Incorporated
WOHO	Wabash & Ohio Railroad (Out Of Operation)
WAER	Wabash & Erie Railroad (Out Of Operation)
WCLR	Waccamaw Coast Line Railroad Company
WS	Walkersville Southern Railroad, Incorporated
WHOE	Walking Horse & Eastern Railroad Company
WSR	Warren & Saline River Railroad Company
WTRM	Warren & Trumbull Railroad Company
WCRC	Washington Central Railroad Company
WACR	Washington County Railroad Corporation
WCTR	WCTU Railway Company
WCOR	Wellsboro & Corning Railroad Company
WTSE	West Shore Railroad
WTNN	West Tennessee Railroad Corporation
WTLR	West Texas And Lubbock Railroad Company Incorporated
WVN	West Virginia Northern Railroad, Limited
	West Jersey Short Line ** Now Code PWJ **
WJ	West Jersey Railroad Company
WRRC	Western Railroad Company
WKRL	Western Kentucky Railway, LLC
WMSR	Western Maryland Scenic Railroad
WPSX	Western Plant Services, Incorporated (Ca)
WRM	Western Railway Museum
WCTX	Weyerhaeuder Woods Railroads
WTCX	Weyerheuser Company
WE	Wheeling & Lake Erie Railway Company

APPENDIX A - Continued

WVRR Whitewater Valley Railroad
WTA Wichita Terminal Association
WTJR Wichita, Tillman & Jackson Railway Company, Incorporated
WBC Wilkes-Barre Connecting Railroad Company
WPRR Willamette & Pacific Railroad, Inc.
WVR Willamette Valley Railway Company
WGR Willamina & Grand Ronde Railway Company
WWRC Wilmington & Western Railroad Company (Former Code WAW)
WTRY Wilmington Terminal Railroad Incorporated
WSRY Winamac Southern Railway Company
WW Winchester & Western Railroad Company
WSS Winston-Salem Southbound Railway
WGCR Wiregrass Central Railroad Company
WICT Wisconsin Calumet Railroad
WSOR Wisconsin & Southern Railroad Company
WC Wisconsin Central Ltd.
WYCO Wyoming & Colorado Railroad

YVRR Yadkin Valley Railroad Company
YVRX Yakima Valley Rail & Steam Museum
YSLR Yolo Shortline Railroad Company
YKR Yorkrail, Incorporated
YARR Youngstown & Austintown Railroad
YW Yreka Western Railroad Company

APPENDIX A - Continued

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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** Bolt hole crack or break
- T202** Broken base of rail
- T203** Broken weld (plant)
- T204** Broken 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** Detail fracture from shelling or head check
- T208** Engine burn fracture
- T210** Head and web separation (outside joint bar limits)
- T211** Head and web separation (within joint bar limits)
- T212** 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** Piped rail
- T219** Rail defect with joint bar repair

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APPENDIX C - Continued

- T220 Transverse/compound fissure
- T221 Vertical split head
- T222 Worn 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
- 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)
- S009 Interlocking signal displayed false proceed

APPENDIX C - Continued

- S010** Power device interlocking failure
- S011** Power switch failure
- S012** Radio communication equipment failure
- S013** Other communication equipment failure
- S099** Other signal failures (Provide detailed description in narrative)

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)

Trailer Or Container On Flatcar

- E11C** Broken or defective tiedown equipment
- E12C** Broken or defective container
- E13C** Broken or defective trailer
- 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

APPENDIX C - Continued

- 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 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

- 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

APPENDIX C - Continued

- E44L Truck bolster broken (LOCOMOTIVE)
- E45C Side frame broken
- E45L Side frame broken (LOCOMOTIVE)
- E46C Truck bolster stiff, improper lateral or improper swiveling
- E46L Truck bolster stiff, improper lateral or improper swiveling(LOCOMOTIVE)
- E47C Defective snubbing
- E47L Defective snubbing (LOCOMOTIVE)
- E48C Broken, missing, or otherwise defective springs
- E48L Broken, missing, or otherwise defective springs (LOCOMOTIVE)
- E4TC Truck hunting
- E4TL Truck hunting (LOCOMOTIVE)
- E49C Other truck component defects, (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
- 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)

APPENDIX C - Continued

- 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)
- 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

- 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)

APPENDIX C - Continued

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** Absence of fixed signal (Blue Signal)
- H202** Fixed signal improperly displayed (Blue Signal)
- H203** Fixed signal improperly displayed
- H204** Fixed signal, failure to comply
- 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
- H215** Block signal, failure to comply
- H216** Interlocking signal, failure to comply
- H217** Failure to observe hand signals given during a wayside inspection of moving train
- H299** Other signal causes (Provide detailed description in narrative)

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
- H313** Retarder, improper manual operation
- H314** Retarder yard skate improperly applied
- H315** Portable derail, improperly applied
- H399** Other general switching rules (Provide detailed description in narrative)

APPENDIX C - Continued

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
- 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

APPENDIX C - Continued

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 inside yard limits, excessive speed
- H604 Train outside yard limits under clear block, excessive speed
- H605 Failure to comply with restricted speed
- H606 Train outside yard limits in nonblock territory, excessive speed
- H699 Speed, other (Provide detailed description in narrative)

Switches, Use of

- H701 Spring Switch not cleared before reversing
- H702 Switch improperly lined
- H703 Switch not latched or locked
- H704 Switch previously run through
- H705 Moveable point switch frog improperly lined
- 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.

- H994 Human Factor - signal

Example: A signal maintainer was servicing the signal cabinet. It was later determined, during an investigation of a rear-end collision, that the repairs were improperly performed causing a clear signal to be incorrectly displayed.

- H995 Human Factor - motive power and equipment

APPENDIX C - Continued

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.

H999 Other train operation/human factors (Provide detailed description in narrative)

MISCELLANEOUS CAUSES NOT OTHERWISE LISTED

Environmental Conditions

- M101** Snow, ice, mud, gravel, coal, 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
- M205** Oversized load, misrouted
- M206** Trailer or container tiedown equipment improperly applied
- M207** Overloaded/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
- 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)

APPENDIX C - Continued

- M406** Fire, other than vandalism, involving on-track equipment
- 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

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 investigation (Corrected report will be forwarded at later date)
- M599** Other miscellaneous causes (Provide detailed description in narrative)

APPENDIX C - Continued

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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,

APPENDIX D - Continued

		Porter.
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.

APPENDIX D - Continued

312	Extra Gang Laborers	Trackman, Fence Laborer
313	Section Laborers	Track, Track and Roadway Section Laborer.
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.

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407	Blacksmith	Blacksmith.
408	Boilermakers	Boilermaker.
409	Carmen (Freight)	Car Repairman, Car Inspector, Carman, Painter.
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	Chief Train Dispatcher, Supervisor Train Operations,
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	Dispatcher	Transportation Supervisor, Supervisor Train Operations, Supervisor Locomotive & Car Distribution, Asst. Chief Train Dispatcher.
502	Train Dispatchers	Train Dispatcher.
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	Chef, Cook.

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	Car)	
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.
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).

APPENDIX D - Continued

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).
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.
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 | 91 Foreign object in eye |
| 20 Sprain or strain | 92 Hernia |
| 30 Cut/laceration or abrasion | 93 Concussion |
| 35 Puncture wound | 94 Nervous shock (injury related) |
| 40 Electrical shock or burn | 95 Internal injury |
| 50 Other burns | 96 Loss of eye |
| 60 Dislocation | 97 Reaction from one-time external exposure to chemicals |
| 70 Fracture | 98 One-time exposure to loud noise, e.g., an explosion |
| 75 Dental related | 9A One-time exposure to fumes that does not exceed a single duty tour and without long term or permanent consequences |
| 80 Amputation | 99 All other injuries |
| 90 FATALLY INJURED | |

LOCATION OF INJURY CODES

- | | |
|-----------------------|------------------------|
| 1 Arm or hand: | 5 Head or face: |
| A - upper arm | A - eye |
| B - elbow | B - ear |
| C - lower arm | C - nose |
| D - wrist | D - mouth/teeth |
| E - hand (general) | E - skull/scalp |
| F - thumb/fingers | F - neck/throat |

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 (muscular)
- C - lower back (muscular)
- D - shoulder
- E - collar bone
- F - ribs/sternum
- G - internal injuries
- H - external injuries - other
- I - hips/buttocks
- J - genitalia

8 Injuries to various 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

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)

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 threshold relative to a baseline audiogram that averages 10 dB or more at 2000, 3000, and 4000 hertz in either ear.

Documentation of a 10 dB shift is not, of and by itself, reportable. There must be a determination by a physician (or a railroad may choose to delegate decision authority to another qualified health care professional) that environmental factors at work were a significant cause of the STS.

However, if an employee has an overall shift of 25 dB or more above the original baseline audiogram, then an evaluation must be made to determine to what extent it resulted from exposure at work. Any conclusion that the shift was not significantly caused by factors at work must be supported by an evaluation/diagnosis of either a QHCP or a physician.

Note: The change in hearing may be adjusted for aging. A case does not need to be reported if a retest conducted within 30 days does not confirm the original STS. Once a reportable STS has occurred, the current baseline should be adjusted to reflect this test result. A subsequent test revealing an additional STS from this baseline value is a new case.

Additional information concerning occupational noise exposure, monitoring, age corrections, etc., can be found in 29 CFR 1910: Occupational Noise Exposure; Hearing Conservation Amendment; Final Rule, as published in the Federal Register, Vol. 48, No. 46, on March 8, 1983.

- 1152 Synovitis - inflammation of the membrane around a joint or other musculoskeletal element
- 1153 Tenosynovitis - inflammation of the tendon (fibrous tissue that connects the muscle to a bone) or the membrane that surrounds it

APPENDIX E - Continued

- 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. **Note: Back cases are always considered to be injuries and are to be recorded as such.**
- 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.

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 | 39 - Installing |
| 02 - Adjusting drawbar | 40 - Jumping from |
| 03 - Adjusting, other | 41 - Jumping onto |
| 04 - Applying rail anchor/fastener | 42 - Laying |
| 05 - Bending, stooping | 43 - Lifting other material |
| 06 - Carrying | 44 - Lifting equipment (tools, parts, etc.) |
| 07 - Chaining, cabling car or locomotive | 45 - Lining switches |
| 08 - Cleaning | 46 - Lining, other |
| 09 - Climbing over/on | 47 - Loading/unloading |
| 10 - Closing | 48 - Maintaining |
| 11 - Coupling electric cables | 49 - Opening |
| 12 - Coupling steam hose | 50 - Opening/closing angle cock |
| 13 - Coupling air hose | 51 - Operating |
| 14 - Crossing over | 52 - Pulling pin lifter/operating uncoupling lever |
| 15 - Crossing or crawling under | 53 - Pulling |
| 16 - Crossing between | 54 - Pushing |
| 17 - Cutting rail | 55 - Reaching |
| 18 - Cutting vegetation | 56 - Removing rail anchors/fasteners |
| 19 - Cutting, other | 57 - Repairing |
| 20 - Digging, excavating | 58 - Riding |
| 21 - Driving (motor vehicle, forklift, etc.) | 59 - Running |
| 22 - Flagging | 60 - Sitting |
| 23 - Fueling | 61 - Spiking (installation/removal) |
| 24 - Getting on | 62 - Standing |
| 25 - Getting off | 63 - Stepping up |
| 26 - Grinding | 64 - Stepping down |
| 27 - Handling baggage | 65 - Stepping over |
| 28 - Handling car parts | 66 - Uncoupling air hose |
| 29 - Handling material, general | 67 - Uncoupling steam hose |
| 30 - Handling locomotive parts | 68 - Uncoupling electric cables |
| 31 - Handling wheels/trucks | 69 - Using hand signals |
| 32 - Handling, other | 70 - Using hand tool |
| 33 - Handling other track material/supplies | 71 - Using, other |
| 34 - Handling poles | 72 - Walking |
| 35 - Handling tie plates | 73 - Welding (includes field welding) |
| 36 - Handling ties | 99 - Other (Narrative must be provided) |
| 37 - Handling rail | |
| 38 - Inspecting | |

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

(Where was the person?)

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 (explain in narrative) |

If A/I did not occur on or near rail right of way, select code that best describes the location of the A/I:

- | | |
|------------------------|--------------------------------------------|
| 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 on-track rail equipment, select code that best describes type of on-track equipment involved.

- | | |
|---------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------|
| 01 - Camp car - moving | Other self-propelled equipment, or equipment used in transportation |
| 02 - Camp car - standing | |
| 03 - Freight train - moving | |
| 04 - Freight train - standing | |
| 05 - Freight car(s) - standing | 51 - Automobile |
| 06 - Freight car(s) - moving | 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) - standing | 55 - Loaders, forklifts, etc |
| 10 - Locomotive(s) - moving | 56 - Off road vehicle - industrial |
| 11 - Maintenance of way equipment - standing | 57 - Off road vehicle - recreational |
| 12 - Maintenance of way equipment - moving | 58 - Other construction type equipment |
| 13 - Passenger train - standing | 59 - Taxi/commercial vehicle |
| 14 - Passenger train - moving | 60 - Truck |
| 15 - Passenger car(s) - moving | 61 - Van (utility) |
| 16 - Passenger car(s) - standing | 62 - Van (passenger) |
| 49 - Other on-track equipment - moving
(describe in narrative) | 63 - Water vehicle, ship, boat, barge, etc. |
| 50 - Other on-track equipment - standing
(describe in narrative) | 97 - Other operated equipment (explain in narrative) |
| | 98 - Other equipment (explain in narrative) |
| | 99 - The A/I was not associated with either on-track
equipment or any of the vehicle types listed above. |

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
- A2 - At work station
- A3 - Beside track
- A4 - Between tracks
- A5 - Between cars/locomotives
- A6 - In cab or on walkways of locomotive
- A7 - In car
- A8 - In elevator
- A9 - In/operating vehicle
- B1 - In tower
- B2 - In tunnel
- B3 - On bridge/trestle
- B4 - On highway-rail crossing
- B5 - On other rail crossing

- B6 - On side of car
- B7 - On track
- B8 - On end of car
- B9 - On pole/signal mast
- C1 - On scaffold
- C2 - On platform
- C3 - On escalator
- C4 - On stairs
- C5 - On ladder
- C6 - Other location on locomotive
- C7 - Under car
- C8 - Under locomotive
- X9 - Other location (describe in narrative)

APPENDIX F - Continued

EVENT CIRCUMSTANCE CODES

Select one of these codes and enter in Form F6180.55a, 5l. Event

- | | |
|-----------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------|
| 01 - Aggravated pre-existing condition | 35 - Missed handhold, grabiron, step, etc. |
| 02 - Apprehending/removing from property | 36 - Needle puncture/prick/stick |
| 03 - Assaulted by other | 37 - Other impacts - on track equipment |
| 04 - Assaulted by coworker | 38 - Overexertion |
| 05 - Bitten/stung by bee, spider, other insect | 39 - Pushed/shoved into/against |
| 06 - Bitten by animal | 40 - Pushed/shoved onto |
| 07 - Bodily function/sudden movement, e.g.,
sneezing,
twisting | 41 - Pushed/shoved from |
| 08 - Caught in or compressed by hand tools | 42 - Ran into on-track equipment |
| 09 - Caught in or compressed by other machinery | 43 - Ran into object/equipment |
| 10 - Caught in or crushed by materials | 44 - Repetitive motion - work processes |
| 11 - Caught in or crushed in excavation, land slide,
cave-in, etc. | 45 - Repetitive motion - typing, keyboard, etc. |
| 12 - Caught in or compressed by powered hand tools | 46 - Repetitive motion - tools |
| 13 - Cave in, slide, etc. | 47 - Repetitive motion - other (describe in narrative) |
| 14 - Climatic conditions, other (e.g., high winds) | 48 - Rubbed, abraded, etc. |
| 15 - Climatic condition, exposure to environmental
heat | 49 - Shot |
| 16 - Climatic condition, exposure to environmental
cold | 50 - Slack action, draft, compressive buff/coupling |
| 17 - Collision - between on track equipment | 51 - Slipped, fell, stumbled, etc. due to irregular
surface, e.g., depression, slope, etc. |
| 18 - Collision/impact - auto, truck, bus, van, etc. | 52 - Slipped, fell, stumbled, etc. due to climatic
condition (rain, snow, ice, etc.) |
| 19 - Committing vandalism/theft | 53 - Slipped, fell, stumbled, etc. on oil, grease,
other slippery substance |
| 20 - Defective/malfunctioning equipment | 54 - Slipped, fell, stumbled, etc. due to object, e.g.,
ballast, spike, material, etc. |
| 21 - Derailment | 55 - Stabbing, knifing, etc. |
| 22 - Electrical shock while operating welding
equipment | 56 - Stepped on object |
| 23 - Electrical shock due to contact with 3rd rail,
catenary, pantograph | 57 - Struck by thrown or propelled object |
| 24 - Electrical shock, other (explain in narrative) | 58 - Struck by object |
| 25 - Electrical shock from hand tool | 59 - Struck by on-track equipment |
| 26 - Exposure to fumes - inhalation | 60 - Struck by falling object |
| 27 - Exposure to chemicals - external | 61 - Struck against object |
| 28 - Exposure to poisonous plants | 62 - Sudden release of air |
| 29 - Exposure to noise over time | 63 - Sudden/unexpected movement of material |
| 30 - Exposure to noise - single incident | 64 - Sudden/unexpected movement of on-track
equipment |
| 31 - Exposure to welding light | 65 - Sudden/unexpected movement of vehicle |
| 32 - Highway-rail collision/impact | 66 - Sustained viewing |
| 33 - Horseplay, practical joke, etc. | 67 - Thrill seeking |
| 34 - Lost balance | 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

- | | |
|--------------------------------------------------------------|-------------------------------------------------|
| 01 - Baggage | 18 - Highway, street, road |
| 02 - Ballast | 19 - Hose |
| 03 - Boring tools | 20 - Inspection Pit |
| 04 - Bridge/trestle | 21 - Jack |
| 05 - Caboose | 22 - Ladder |
| 06 - Coupler | 23 - Office equipment |
| 07 - Cutting tools | 24 - Power tools |
| 08 - Derail | 25 - Pry bar |
| 09 - Door | 26 - Rail bike |
| 10 - End of train device | 27 - Stair |
| 11 - Floor | 28 - Switch |
| 12 - Fusees/torpedoes | 29 - Tie |
| 13 - Grabiron | 30 - Torch, acetylene, gas, etc. |
| 14 - Ground | 31 - Trailer/container on flat car (TOFC, COFC) |
| 15 - Hand tools, digging, e.g., shovels, picks, etc. | 32 - Welder - electric |
| 16 - Hand tools, gripping, e.g., pliers, tongs, clamps | 33 - Window |
| 17 - Hand tools, striking & nailing, e.g., hammers, mallets, | 99 - Other (describe in narrative) |

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 | 06 - Track |
| 02 - Safety equipment not worn or in place | 07 - Impairment, substance use |
| 03 - Procedures for operating/using equipment not followed | 08 - Impairment, physical condition, e.g., fatigue |
| 04 - Equipment | 09 - Human factor |
| 05 - Signal | 10 - Trespassing |
| | 99 - Undetermined |

APPENDIX F - Continued

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APPENDIX G
FRA Regional Offices and Headquarters

<u>REGION</u>	<u>OFFICE</u>	<u>PHONE</u>
I	Mark McKeon Regional Administrator Federal Railroad Administration 55 Broadway St., Room 1077 Cambridge, MA 02142	(617) 494-2302
II	Dave Myers Regional Administrator Federal Railroad Administration Scott Plaza II, Suite 550 Lester, PA 19113	(610) 521-8210
III	L. Fred Dennin, Jr. Regional Administrator Federal Railroad Administration 100 Alabama Street, S.W. Suite 16T20 Atlanta, GA 30303-3104	(404) 562-3800
IV	Mark McKeon, Acting Regional Administrator Federal Railroad Administration 111 N. Canal Street, Suite 655 Chicago, IL 60606	(312) 353-6203
V	John Megary Regional Administrator Federal Railroad Administration 8701 Bedford Eules Road, Suite 425 Hurst, TX 76053	(817) 284-8142
VI	Darrell J. Tisor Regional Administrator Federal Railroad Administration 1100 Main St., Suite 1130 Kansas, MO 64105	(816) 426-2497

APPENDIX G - Continued

<u>REGION</u>	<u>OFFICE</u>	<u>PHONE</u>
VII	James T. Schultz Regional Administrator Federal Railroad Administration 801 I Street, Suite 466 Sacramento, CA 95814	(916) 498-6540
VIII	Dick L. Clairmont Regional Administrator Federal Railroad Administration 703 Broadway, Suite 650 Murdock Building Vancouver, WA 98660	(360) 696-7536

FRA HEADQUARTERS

Office of Safety (RRS-22)
Federal Railroad Administration
400 Seventh St., S.W.
Washington, D.C. 20590

STAN.ELLIS@FRA.DOT.GOV

(202) 632-3317

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**

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. Total 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. Actual days absent from work: _____ as of: _____ | |
| <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

DEPARTMENT OF TRANSPORTATION
FEDERAL RAILROAD ADMINISTRATION (FRA)

(Continuation Sheet)

SHEET ____ OF ____
OMB Approval No.: 2130-0300

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. Termination or Permanent Transfer? (y/n)

5s. 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. Termination or Permanent Transfer? (y/n)

5s. 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. Termination or Permanent Transfer? (y/n)

5s. Narrative (Up to 250 Characters)	

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-AAR 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 Code Abbr.		16. County					
17. Temperature (F) (specify if minus) ° F		18. Visibility (single entry) Code 1. Dawn 3. Duak 2. Day 4. Dark		19. Weather (single entry) Code 1. Clear 3. Rain 5. Sleet 2. Cloudy 4. Fog 6. Snow			20. Type of Track Code 1. Main 3. Siding 2. Yard 4. Industry					
21. Track Name/ Number			22. FRA Track Class (1-6, X) Code		23. Annual Track Density (gross tons in millions)		24. Time Table Direction Code 1. North 3. East 2. South 4. West					
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		26. Was Equipment Attended? Code 1. Yes 2. No		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		o. Other (specify in narrative) Code(s)		
29. Trailing Tons (gross tonnage, excluding power units)			31. Principal Car/Unit a. Initial and Number b. Position in Train c. Loaded (yes/no)			32. If any railroad employees tested for drug or alcohol impairment, enter codes from reporting manual. Code(s)						
			(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. Truck, 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. Narrative Description (Be specific, and continue on separate sheet if												
51. Typed/Printed Name & Title of Preparer				52. Signature				53. Date				

EMPLOYEE HUMAN FACTOR ATTACHMENT

OMB No. 2130-0500

Name of Reporting Railroad	Railroad Accident/Incident No. (Block 1b, FRA F 6180.54)	Date of Accident/Incident (mo/day/year)
----------------------------	-------------------------------------------------------------	-----------------------------------------

The railroad has determined that (check only one)

- a. One or more railroad employees committed an act or omission or were in a physical condition that was a primary or a contributing cause of the accident/incident.

- b. Either no railroad employee committed an act or omission or was in a physical condition that was a primary or a contributing cause of the accident/incident or it is uncertain whether any person who was a railroad employee committed an act or omission or was in a physical condition that was a primary or a contributing cause of the accident/incident.

If Item "b" above was checked, go to last line of form. If Item "a" above was checked, complete the following:

The railroad has identified: (check only one)

- 1. All of the railroad employees who committed an act or omission or were in a physical condition that was a primary or contributing cause of the accident/incident.

- 2. Some, but not all, of the railroad employees who committed an act or omission or were in a physical condition that was a primary or contributing cause of the accident/incident.

- 3. None of the railroad employees who committed an act or omission or was in a physical condition that was a primary or contributing cause of the accident/incident.

If Item "3" above was checked, go to last line of form.

If Item "1" or "2" above was checked, complete the following for each employee whom the railroad has identified as having committed an act or omission or having been in a physical condition that was a primary or contributing cause of the accident/incident: (Attach additional pages if more room is needed.)

Name of Railroad Employee (last, first, middle)	Job Title	Railroad Code of Employing Railroad	Cause Code(s) Applicable to this Employee

Briefly describe the employee's act, omission or physical condition that was a primary or a contributing cause of this accident/incident. The meanings of most cause codes are already stated in the "FRA Guide for Preparing Accident/Incident Reports." Briefly expand further, if information is not already stated in the narrative section of the Rail Equipment Accident/Incident Report.

Did this employee die as a result of the accident? Yes No

Typed Name and Title	Signature	Date
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**Instructions on Completing Form FRA F 6180.81,
"Employee Human Factor Attachment"**

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" in the "FRA Guide for Preparing Accident/Incident Reports." except Cause Code 506, as the primary cause or a contributing cause of the rail equipment accident/incident.

Note on Notices to Railroad Employees Involved in Rail Equipment Accidents/Incidents:

Part I of FRA's Form FRA F 6180.78, "Notice to Railroad Employee Involved in Rail Equipment Accident/Incident Attributed to Employee Human Factor" ("Notice"), must be completed and the entire form (Parts I and II) forwarded to each employee listed in the Employee Human Factor Attachment as causing or contributing to the accident, with certain exceptions. The railroad's Rail Equipment Accident/Incident Report and Employee Human Factor Attachment must not be delayed in order to complete the Notice.

A Notice for an employee must not be sent if that employee has died as a result of the accident. A Notice for an employee is not required (and is not recommended) if the employee has died of whatever causes by the time that the Notice is ready to be sent.

A Notice for an employee must be sent within 45 days from the end of the month in which the accident/incident occurred, unless (i) the employee has died by the time that the Notice is ready to be sent or (ii) the reporting railroad, in its reasonable discretion, believes that notification of the employee should be deferred for a time on medical grounds.

PAPERWORK REDUCTION ACT STATEMENT

Public reporting burden for this collection of information is estimated to average 15 minutes 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. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Office of Safety Analysis, RRS-20, Federal Railroad Administration, 400 7th Street, S.W., Washington, D.C. 20590; and to the Regulatory Policy Branch (OMB No. 2130-0500), Office of Management and Budget, New Executive Office Bldg., 726 Jackson Place, N.W., Washington, D.C. 20530.

**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 INVOLVED IN RAIL EQUIPMENT ACCIDENT (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 F 6180.54		
	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 on Date of Accident	Name of Employing Railroad on Date of Accident/Incident	

Employee's Home Address or RFD No. _____

Notice to Recipient. An accident occurred on the above date which the railroad alleges was at least partially caused by an action, lack of action, or the physical condition of a railroad employee. The railroad is sending you this notice because it believes that you had a role, but may not necessarily be the primary or only person responsible for the accident's occurrence. The railroad has reported to FRA that the primary and/or major contributing cause(s) of this accident are those listed above. Other causal factors related to this event may be described in the narrative portion of the railroad's report, a copy of which is attached.

You may submit a statement to FRA with a copy to this railroad and comment on any aspect of the railroad's report. The decision whether to submit such a statement is entirely optional on your part. If you choose to do so, please see the additional notices and instructions on the reverse of this form.

Name of Railroad Representative	Signature of Railroad Representative	Date Signed	Date Mailed/Hand Delivered
---------------------------------	--------------------------------------	-------------	----------------------------

Name and address of railroad representative to whom form is to be returned: _____

PART II - EMPLOYEE STATEMENT SUPPLEMENTING RAILROAD ACCIDENT REPORT (To be completed by notified person)

Willful false statements can result in imposition of civil penalties.

(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.

Date Mailed/Hand Delivered to FRA: _____

Date Mailed/Hand Delivered to Railroad: _____

Signature _____ Date Signed _____

Your Telephone Number Home: () _____ Work: () _____	Home address, if different from address in Part I _____
-------------------------------------------------------------	------------------------------------------------------------

NOTE: This Notice and Employee Supplement under 49 CFR 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 USC 20903. See 49 CFR 225.7 (b).

INSTRUCTIONS TO NOTIFIED RAILROAD EMPLOYEE

If you wish to provide a statement supplementing the railroad's report of the accident described in Part I, you must complete Part II of this form. Failure to provide a supplement does not constitute consent to any of the railroad's allegations.

If you choose to submit a supplement, you must also send a copy to the reporting railroad shown in Part I. This railroad is required to review your supplement and determine whether the railroad's report to the Federal Railroad Administration (FRA) needs to be revised. Supplements become part of the railroad's accident report to FRA and are available to others through the Freedom of Information Act. If you wish to submit confidential information to the FRA, do not use this form. Instead, you should use another means of communications, such as, a confidential letter addressed to your collective bargaining representative, or to the FRA, Office of Safety Assurance and Compliance, 400 Seventh Street, S.W., Washington, DC 20590.

Please print or type. If more room is needed, you may continue on additional pieces of paper.

You may attach any relevant supporting documents and photographs.

You may comment on the accuracy of any aspect of the railroad's report of this accident.

You have 35 days from the date that the notice was mailed or hand delivered to you. If you are unable to meet this deadline, you must provide an explanation of the reasons for the delay.

The original copy of this form, attachments, and supporting documents are to be mailed to:

Federal Railroad Administration
Office of Safety Analysis (RRS-22)
400 Seventh Street, S.W.
Washington, DC 20590

You must also provide a copy to the notifying railroad and retain one copy for your records..

Be sure to sign and date the supplement.

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-AAR 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		Code		17. Equipment		Code			
A. Auto	C. Truck-trailer	F. Bus	J. Other motor vehicle	1. Train (units pulling)	3. Train (standing)	6. Light loco(s) (moving)			
B. Truck	D. Pick-up truck	G. School bus	K. Pedestrian	2. Train (units pushing)	4. Car(s) (moving)	7. Light loco(s) (standing)			
	E. Van	H. Motorcycle	M. Other (specify)	5. Car(s) (standing)	8. Other (specify)				
14. Vehicle Speed (est. mph at impact)		15. Direction (geographical) Code		18. Position of Car Unit in Train					
		1. North 2. South 3. East 4. West							
16. Position Code		19. Circumstance Code							
1. Stalled on crossing 2. Stopped on crossing 3. Moving over crossing 4. Trapped		1. Rail equipment struck highway user 2. Rail equipment struck by highway user							
20a. Was the highway user and/or rail equipment involved in the impact transporting hazardous materials? Code		20b. Was there a hazardous materials release by Code							
1. Highway user 2. Rail equipment 3. Both 4. Neither		1. Highway user 2. Rail equipment 3. Both 4. Neither							
20c. State here the name and quantity of the hazardous material released, if any.									
21. Temperature (specify if minus) ° F		22. Visibility (single entry) Code		23. Weather (single entry) Code					
		1. Dawn 2. Day 3. Dusk 4. Dark		1. Clear 2. Cloudy 3. Rain 4. Fog 5. Sleet 6. Snow					
24. Type of Equipment Consist (single entry) Code		25. Track Type Used by Rail Equipment Involved Code		26. Track Number or Name					
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		1. Main 2. Yard 3. Siding 4. Industry							
27. FRA Track Class (1-6, X)		28. Number of Locomotive Units		29. Number of Cars		30. Consist Speed (Recorded if available) Code R - Recorded E - Estimated MPH		31. Time Table Direction Code 1. North 2. South 3. East 4. West	
32. Type of Crossing Warning Code(s)		33. Signaled Crossing Warning Code		34. Whistle Ban Code					
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		(See reverse side for)		1. Yes 2. No 3. Unknown	
35. Location of Warning Code		36. Crossing Warning Interconnected with Highway Signals Code		37. Crossing Illuminated by Street Lights or Special Lights Code					
1. Both sides 2. Side of vehicle approach 3. Opposite side of vehicle approach		1. Yes 2. No 3. Unknown		1. Yes 2. No 3. Unknown					
38. Driver's Age		39. Driver's Gender Code		40. Driver Drove Behind or in Front of Train and Struck or was Struck by Second Train Code		41. Driver Code			
		1. Male 2. Female		1. Yes 2. No 3. Unknown		1. Drove around or thru the gate 2. Stopped and then proceeded 3. Did not stop 4. Stopped on crossing 5. Other (specify)			
42. Driver Passed Standing Highway Vehicle Code		43. View of Track Obscured by (primary obstruction) Code							
1. Yes 2. No 3. Unknown		1. Permanent structure 2. Standing railroad equipment 3. Passing train 4. Topography 5. Vegetation 6. Highway vehicles 7. Other (specify) 8. Not obstructed							
Casualties to:		Killed		Injured		44. Driver was Code		45. Was Driver in the Vehicle? Code	
						1. Killed 2. Injured 3. Uninjured		1. Yes 2. No	
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? Code					
				1. Yes 2. No					
52. Passengers on Train		53a. Special Study Block		53b. Special Study Block					
54. Narrative Description (Be specific, and continue on)									
55. Typed Name and Title				56. Signature				57. Date	

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

EMPLOYEE HOURS AND CASUALTIES, BY STATE

DEPARTMENT OF TRANSPORTATION
FEDERAL RAILROAD ADMINISTRATION (FRA)

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

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 TOTOC) 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		

Accident Incident Report Generator (AIRG)

The Federal Railroad Administration (FRA) has developed the Accident Incident Report Generator (AIRG), a "Windows-based" computer program which will facilitate the production of all monthly reports and logs required under 49 CFR part 225. With AIRG, railroads will be able to record and maintain their accident/incident data, and submit their FRA-required monthly reports electronically. Fully-installable copies of the program can be provided, free of charge, to interested railroads who regularly submit accident/incident reports to FRA.

Please read the following and complete the Request Form below to receive a registered copy of AIRG.

- In order to install and use AIRG, you will need an IBM PC or compatible with at least a '486 processor, 8 MB of RAM, 30 MB of available hard disk space and Windows 3.1x or Windows '95 operating system. A modem (28.8 kbps or higher preferred) is needed to submit reports to FRA electronically.
- The current version of AIRG is a stand-alone, single-user application which requires no external data base product in order to run. This turnkey system, designed primarily for railroads that do not currently have a computerized accident/incident reporting system, allows users to enter, edit and maintain the required FRA reports and logs. AIRG will NOT permit accident/incident data prepared externally to be loaded into it.
- AIRG incorporates data security and system integrity checks which will block access by the user when any of the principal data bases or program files are tampered with or when extraneous data is introduced into the system.
- FRA will set up a toll-free, electronic bulletin board system (BBS) dedicated to AIRG. Registered users will be provided with the Wildcat Navigator (or equivalent) communications software to connect to the AIRG BBS and upload their year-to-date FRA accident/incident reports. Users will also be able to download AIRG system and reference table updates from the BBS.
- AIRG is provided to qualified users at no cost and its use is purely voluntary on the part of the railroad. Neither FRA nor AMB Associates, Inc. assumes any liability for hardware damage or data loss resulting from improper use of this product.

Complete the form below and fax back to AMB Associates, Inc. at (301) 587-9442

AIRG REQUEST FORM

Requestor's Name: _____
Title: _____

Tel: _____
Fax: _____
e-mail: _____

Mailing Address: _____

Media Preference (check one):

___ CD-ROM ___ Diskettes

Railroad Name(s): _____

Operating System (check one):

___ Windows 3.1x

___ Windows 95

I have read the requirements and conditions above and would like to receive a complete AIRG Installation Set.

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:** _____

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:

APPENDIX I - Continued

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:

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.