



U.S. Department
of Transportation

**Federal Railroad
Administration**

FRA Guide for Preparing Accidents/Incidents Reports

Office of Safety

DOT/FRA/RRS-22

**Revised: October 1, 1992
Effective: January 1, 1993**

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Introduction

A railroad is required by 49 CFR Part 225 to use the current FRA Guide for Preparing Accident/Incident Reports when preparing its monthly report. The instructions contained in this publication are provided to assist railroads in meeting this obligation, and do not limit in any way those accidents/incidents that are to be reported.

The overall reporting requirements remain unchanged. However, this edition contains additional clarification and guidance, including instructions and changes previously distributed by letter. A primary objective of this revision is to improve uniformity in reporting between railroads. By doing this, we will obtain a better understanding of why accidents/incidents occur, leading to solutions for their prevention. Although there have been many refinements throughout the guide, some of the more significant areas are:

- 1) The addition of an appendix containing questions and answers about reporting.
- 2) A new definition section.
- 3) Reporting responsibilities when an accident is alleged to have been the result of an employee human factor cause.
- 4) Inclusion of revised cause codes, and injury and illness codes.
- 5) Instructions on closing out reporting for a calendar year.
- 6) Improved readability.

A vertical bar has been placed in the margin to identify areas of the guide where significant additions and modifications have occurred.

The guide is organized into sections corresponding to the different reporting requirements. The first section is a general overview of reporting and recordkeeping requirements. The next section contains definitions. The final eight sections contain instructions for completing individual forms. Lastly, there are various appendices that contain copies of the forms, codes used when completing these, and other information.

The Federal Railroad Administration would like to express its appreciation to the various groups and individuals who have provided material and comments for inclusion in the guide.

Accident/Incident Reporting

1. GENERAL

A. Purpose. The purpose of reporting accidents/incidents is to provide the Federal Railroad Administration (FRA) with information concerning hazardous conditions on the Nation's railroads. FRA needs this information to effectively carry out its regulatory responsibilities under various laws; chief among these are the Federal Railroad Safety Act of 1970, and the Accidents Reports Act of 1910.

The reporting rules are applicable to all railroads except those whose entire operations are confined within an industrial installation. They cover all activities of a railroad related to the performance of its rail transportation business.

The term "railroad" as used in these instructions means all forms of non-highway ground transportation that run on rails or electromagnetic guideways, including (1) commuter or other short-haul rail passenger service in a metropolitan or suburban area, 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.

B. Primary groups of accidents/incidents. Accidents/Incidents are divided into three major groups for reporting purposes. 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 crossing collisions (Form FRA F 6180-57)

The specific requirements for the various types of accidents/incidents are described in the sections 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.

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C. Doubtful cases. The reporting officer will ordinarily decide whether or not an incident is 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 event in question and be in accordance with the requirements of the Reports Act, 49 CFR 225, and the guidelines provided in this report.

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 documented and the case may be omitted from the monthly submission.

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 in writing of the agency's determination.

If you need assistance in determining whether an incident should be reported, guidance may be obtained by contacting one of the field offices found in Appendix I.

The fact that there were no witnesses to an accident/incident, or the refusal of the railroad to accept responsibility for an event, are not grounds for failing to report. A report must be made whenever there is 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.

D. Record Retention. The logs, supplementary records, and annual summaries described in Section 3, must be retained for at least 5 years following the calendar year to which they apply.

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 2 years following the calendar year to which they apply.

E. Public examination and use of reports. The Office of Safety, on a written request basis, will provide copies or generate computer printouts of reports on file. A fee may be charged to cover expenses. Requests are to be mailed to the address listed in section I 2(A).

Note: Section 4 of the Accidents Reports Act (36 Stat. 351, 45 U.S.C. 41) stipulates that 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.

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F. Penalties. Any person (including a railroad and any manager, supervisor, official, or other employee or agent of a railroad) who violates any requirement of this part or causes the violation of any such requirement is subject to a civil penalty. Monetary fines ranging from \$250 to \$5,000 may be assessed for each day a violation continues. A person may also be subject to the criminal penalties provided for in 45 U.S.C 39 and 438(e).

G. Assistance. 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 I, or by writing to FRA at the address shown in paragraph 2A of this section.

Copies of other Federal regulations referenced in this guide may be obtained by contacting the Superintendent of Documents, Government Printing Office, Washington, DC 20402 (telephone 202-783-3238).

2. MONTHLY FORMS AND FILING REQUIREMENTS

A. Where to file. Monthly reports of accidents/incidents and related correspondence are to be addressed to:

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

B. When to file. Reports must be forwarded within 30 days following the month to which they apply.

C. What to file. A Form FRA F 6180-55 (Railroad Injury and Illness Summary) must be sent each month even though there were no reportable accidents/incidents during the month. Forms FRA F 6180-55a, FRA F 6180-54, FRA F 6180-81, and FRA F 6180-57, are prepared whenever the accidents/incidents they describe occurred during the report month. Forms FRA F 6180-45 and FRA F 6180-56 are annual summaries and must be included in the reports sent for the month of December.

D. Arrangement of Forms. 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)

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4. Form FRA F 6180-57
5. Form FRA F 6180-56 (December report only)
6. Form FRA F 6180-45 (December report only)

E. 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.

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.

F. Corrected Reports. If it is discovered that an accident/incident has been improperly reported, then a corrected report must be provided. The report must 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. All corrected reports must be accompanied by a letter of explanation (also see paragraph 3F of section I).

G. Computer Updates to Accident/Incident Reports. The values for certain items required on forms 6180-55a and 6180-54 require frequent updating to reflect their current status. The count of days absent and days restricted for employee injuries, and damages resulting from train accidents are examples. In order to facilitate the filing of updates, you may provide corrections to certain items on magnetic media.

A letter must accompany any tape or diskette set to FRA and must state, at a minimum, the number and type of records in the file(s). Magnetic media updates may be forwarded with your regular monthly submission. Instructions for utilizing magnetic media are found in Appendix H.

3. OTHER RECORDKEEPING AND REPORTING REQUIREMENTS

A. Telephone reports of certain accidents/incidents. 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

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3) death or injury of five or more persons.

The 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. Circumstances of the accident/incident;
5. Number of persons killed or injured.

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.

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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 202-382-6600.

B. Telephone reports of certain highway-rail warning system failures. 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. 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.

C. Log of injuries and occupational illnesses. Each railroad must maintain a log of injuries and occupational illnesses at and for each establishment. Examples of railroad establishments include, but are not limited to: an operating division, general office, and major installations such as locomotive and car repair facilities.

The log is to be used to prepare the annual summary described in paragraph (E) of this section. It must contain, at a minimum, the following information:

1. Case or file number
2. Date of injury or initial diagnosis of illness;
3. Employee's name;
4. Occupation of the employee (regular job title, not the activity being performed when the accident/incident occurred);
5. Department in which the employee is regularly employed;

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6. Nature of the injury or occupational illness and the part of the body affected;
7. Extent and outcome of the injury or occupational illness to show the following as applicable:
 - a. Fatality--enter the date of death,
 - b. Days away from work or days of restriction--enter the number of each,
 - c. Identify if the injury or illness resulted in a transfer to another job or termination of employment;
8. Name of the railroad;
9. Name of the establishment; and,
10. Location of the establishment.

The log of injuries and occupational illnesses is used to maintain information concerning reportable deaths, injuries, occupational illnesses of employees while in the work environment. It may be utilized to record other cases provided that a means of distinguishing between reportable employee cases and others is present.

D. Supplementary record of employee injury and occupational illness. Each railroad must maintain a supplementary record of each reportable injury or occupational illness sustained by a railroad employee. It must contain, at a minimum, the following information:

1. Employee name, mailing address and location if different from the mailing address.
2. Employee name, home address, age, sex, occupation and department, and social security or employee number.
3. A description of the circumstances that led to the injury or occupational illness. This would include such things as: date, location, activity that the employee was engaged in, how the injury or illness occurred, and the name of object or substance that harmed the employee.
4. A description of the injury or occupational illness. This would include the part of the body affected, severity, and the date of the initial diagnosis of injury or illness.
5. Name and address of the attending physician. Name and address of hospital, if hospitalization was required. Name and title of the person preparing the report and the date it was prepared.

A copy of each log and supplemental record may be maintained at a central location. The log and supplementary record may be a combined document and contain additional information beyond the required items listed above. When the log and supplemental record is maintained electronically at a central

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location, the ability to retrieve historical as well as current information and provide in a hard copy format (paper printout) must exist at the establishment level.

E. Posting of annual summary. An annual summary of reportable employee injuries and occupational illnesses that occurred during the preceding calendar year must be posted before February 1 at each establishment. Only reportable cases for employees of that establishment are to be shown. This summary must remain continuously posted for at least thirty consecutive days at a location within the establishment where it may be observed by the employees. The information contained on this summary must contain the items found in Part VI on the reverse side of Form FRA F 6180-45, Annual Summary of Railroad Injury and Illness. It must also contain the name and address of the establishment, the date the summary was prepared, and the signature and title of the person who prepared it.

F. 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 figures 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.

The end of the year review must include a comparison of data reported under Part 225 with similar data provided FRA under other requirements. Of particular concern are train mile and employee hours reported in accordance with Part 245 - RAILROAD USER FEES. A final count of these must be submitted under Part 245 no later than March 1st for the previous calendar year. Any variance between the sum of the counts provided on the monthly accident/incident report and the final total provided on the user fee form requires the immediate submittal of corrected reports. Questions relating to user fees are to be directed to:

Federal Railroad Administration
User Fee Officer
RRS-22.1, Room 8301
400 7th Street, SW
Washington, D.C. 20590 (Phone 202-366-6569)

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5. REPORTING ALCOHOL AND DRUG INFORMATION

The Federal Railroad Administration issued 49 CFR Part 219 - CONTROL OF ALCOHOL AND DRUG USE in 1986. One of the primary purposes of this regulation is to prevent rail-related accidents and casualties caused by impairment of employees associated with the use of prohibited substances.

The regulation identifies the need to have improved reporting of the role that alcohol and drugs have in accidents/ incidents. This section provides general guidelines for recording this information on accident/incident report forms. Additional instructions are contained in the sections for completing forms 6180-54 and 6180-55a.

There are several provisions in this regulation that directly affect accident/incident reporting. One requires that post-accident testing (PAT) take place after an accident/incident where one or more of the consequences listed in 49 CFR Part 219. Another provision of this regulation grants railroads authority to perform "reasonable cause testing" (RCT) of employees. One situation where tests can be conducted is after any accident/incident where a supervisor determines that an employee's acts or omissions may have contributed to the accident/incident. Finally, the regulation requires that whenever a railroad is unable to obtain samples for testing purposes following an event for which testing is mandatory, then a concise narrative report of the reason for such failure and any action taken must be made. This report shall be appended to the accident/incident report prepared in connection with this event.

Following the release of this regulation, 225.17(d) was revised to require that a specific inquiry into the possible involvement of alcohol or drug use or impairment by an employee must be made for each event reported on a Rail Equipment Accident/Incident Report (Form FRA F 6180-54). If there is any information whatsoever, whether or not confirmed, concerning alleged use of impairment by an employee, the railroad must note this on the report form. If the railroad is in possession of such information, but does not believe that alcohol or drug impairment was the primary or contributing cause of the accident/incident, then a brief explanation of the basis of this determination is to be made in the narrative portion of the report.

Two accident/incident forms are used to record information concerning alcohol and drug use by railroad employees. These are the Rail Equipment Accident/Incident Report (Form FRA F 6180-54) and the Railroad Injury and Illness Summary - Continuation Sheet (Form FRA F 6180-55a).

These instructions were developed in order to meet the objective of improved reporting of the role of alcohol and drug use in accidents/incidents. They allow the reporting officer flexibility in describing the relationship of alcohol or drug use to the accident/incident. There may, however, be some situations involving unusual circumstances where the codes will not provide a complete understanding of all pertinent factors associated with the event. These could involve instances where an employee refuses to submit to testing in a reasonable cause situation, or when the results of tests performed were invalidated because proper procedures were not followed. For accident/incidents being reported on the Injury and Illness Summary, it will be necessary to prepare a brief description of these situations and attach it to the report form.

Definitions

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.

For classifying on Form 6180-55, 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 and resulting in reportable damage to track or on-track equipment above an established dollar threshold. (Refer to section on 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.

Nontrain 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.

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 in Section C of form 6180-55.

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

Occupational illness. Any abnormal condition or disorder of railroad employee, other than one resulting from injury, caused by environmental factors associated with his or her employment. Includes, but is not limited to, acute or chronic illnesses or diseases which may be caused by inhalation, absorption, ingestion, or direct contact.

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

Definitions

Classification of Persons

Employees on Duty (Class A). Those persons who are engaged in the operation of a railroad. Ordinarily the fact that the employee is or is not under pay will determine whether he or she is "on duty": However, employees on railroad property while on rest or meal periods, "training time", or doing work which they are expected to do, but actually perform before pay starts, must be considered as "employees on duty."

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.

Example: 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 on-duty. 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 as on-duty.

Employees Not On Duty (Class B). Those employees who are on railroad property for purposes connected with their employment or with other railroad permission, but who are not "on-duty" as defined above.

Note: Employees who are trespassing on railroad property are to be reported as trespassers, Class "E".

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

Non-Trespassers (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, 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.

Trespassers (Class E). Persons who are on that part of railroad property used in railroad operation and whose presence is prohibited, forbidden, or unlawful.

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.

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Contractor Employee (Class F). Persons who are employed by a contractor engaged by a railroad to perform normal maintenance work to railroad rolling stock, track and structure, bridges, buildings, etc.

Consist Responsibility. The railroad employing the crew members operating the consist at time of the accident determines the consist owner for reporting purposes only.

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" accidents (Code "12" in item 7 on form 6180-54) when all consists involved are part of the switching movement.)

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

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

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

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

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

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

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

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

Costs and Reportable Damage

Reporting Threshold. The amount of total reportable damage resulting from a train accident which, if exceeded, requires the preparation and forwarding of form FRA F 6180-54 by the railroads involved.

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

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listed items caused while clearing the wreck is to be included in your damage estimate.

Examples of other costs included in reportable damage are: (1) rental and/or operation of machinery such as cranes, bulldozers, etc., 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 means 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 second-hand rail with second-hand rail, may be charged at the current cost of such rail.

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

Employee Human Factor. Includes any of the accident causes signified by rail equipment accident/incident cause codes listed under "Train Operation - Human Factors" in Appendix C except cause code H022.

Establishment. A single physical location where business is conducted or where services or industrial operations are performed. Examples of railroad establishments include, but are not limited to: an operating division; general office; and a major installation such as a locomotive or car repair or construction facility. For employees who are engaged in dispersed operations, such as track maintenance workers, the "establishment" is the location where these employees report for work assignments.

First aid. One-time treatment and subsequent observation of minor scratches, cuts, burns, splinters, etc., which do not ordinarily require medical care.

Definitions

Joint operations. Railroad operations conducted on a track used jointly or in common by two or more railroads, or when on-track equipment of one carrier is operated over track of another carrier.

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 177.

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.

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 days (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.

Note: The term "Lost Workday" is used for classification purposes on annual report form 6180-45.

Medical Treatment. Includes treatment administered by a physician or by registered professional personnel under the standing orders of a physician. Medical treatment does not include first aid treatment (one-time treatment and subsequent observation of minor scratches, cuts, burns, splints, etc., which do not normally require medical care) or precautionary measures even when these service are performed by a physician or registered professional personnel.

Miles Traveled

Passenger-mile. The movement of a passenger for 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).

Definitions

Yard Switching Train-Mile. Computed at the rate of 6 mph for the time actually engaged in yard switching service 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.

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

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 nontrain 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 denotation 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 liquified petroleum or anhydrous ammonia.

Other accidents/incidents. Events not classified as one of the preceding types. This category includes switching collisions when all consists involved are part of the switching movement.

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 (see on-track rail equipment).

Definitions

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, ballast tamping machine, etc.

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 passenger, freight traffic, or both.

Mixed trains. Mixed trains are passenger-carrying trains consisting of both passenger and freight cars.

Note: Freight cars, such as baggage cars, that are equipped with passenger-type braking and suspension systems, are considered to be passenger cars when utilized in passenger service.

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.

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.

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 timetable or train order or both, or the use of which is governed by a signal system.

Definitions

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 timetable 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. The work environment is comprised of the physical location, equipment, materials processed or used, and the activities of an employee while engaged in the performance of his work, whether on or off the railroads property. There are no stated exclusions of place or circumstance.

Work-related. Any event, exposure, activity, etc., occurring within the work environment resulting in death, injury, illness to an employee is generally considered to be work-related, regardless who was responsible or at fault.

Railroad Injury and Illness Summary

1. REQUIREMENT

Form FRA F 6180-55 is used to summarize a railroad's accident/incident experience for a given month. A report must be filed, even when no accidents/incidents occurred during the report month.

2. GENERAL INSTRUCTIONS AND INTERPRETATIONS

If there were no accidents/incidents for the month being reported, this 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.

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. Entries changed on corrected reports must be circled in red.

If an item such as "Passenger-Miles Operated" does not apply to your railroad enter "N/A". Enter "0" in those items for which you have nothing to report.

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

3. INSTRUCTIONS FOR COMPLETING FORM F 6180-55.

ITEM

INSTRUCTION

1. Enter the full name of the reporting railroad.
2. Enter the reporting railroad's code: see Appendix A.
3. Enter the month and year covered by the report.
4. Enter the code for the state in which the report was notarized: see Appendix B.
5. Enter the name of the county or parish in which the report was notarized. Also enter the reporting officers name, official title, address and telephone number.
6. Enter the required information and have the report notarized.

Form FRA F 6180-55

7. Miles run during month. Do not duplicate mileage in more than one block. For example, do not include yard-switching miles in the total for locomotive train-miles.
- 7a. Enter the number of locomotive train miles run during the month in freight and passenger service.
- 7b. Enter the number of motor train-miles run during the month. Motor trains are trains made up of motorcars or moved by motorcars.
- 7c. Enter the number of yard switching-miles run during the month.
- 7d. Add the number of miles shown in Items 7a, 7b, and 7c, and enter the total.
- 8a. 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, vacations, etc. For railroads that complete the ICC Wage Statistics Form, the value in 8a must equal the sum of line 700 (columns 4 and 6).
- 8b. 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 8c.
- 8c. Enter the number of passengers transported by rail for the month being reported.

Total Train Accidents. Enter the total number of train accidents that occurred during the month (accidents reported on Form FRA F 6180-54). When multiple forms are used to report an accident, this is to be shown as a single accident. A separate block is provided to list the number of FRA F 6180-54 report forms completed during the month.

Total FRA Forms Used:

- F 6180-55a. Enter the number of forms used to record reportable casualties.
- F 6180-54. Enter the number of forms used to report collisions, derailments and similar events.
- F 6180-57. Enter the number of forms used to report impacts between railroad and highway users at crossings.

Recapitulation of Casualties. All fatalities, including those due to illness, are to be recorded in the appropriate blocks under the "Kld" column. All remaining cases, including nonfatal occupational illnesses, are to be shown under the "Inj" column. If no reportable casualties occurred during the report month, enter the word "None" on line 7 under the column titled "Total".

Railroad Injury and Illness Summary

Casualties are to be categorized according to the type of accident/incident and the type of person. The fourth position of the occurrence code used on Form FRA F 6180-55a, identifies if the casualty was the result of a train accident, a train incident, or a nontrain incident. For train accidents, this value will be "C", "D" or "X"; for train incidents, it will be "T"; and, for nontrain incidents it is left blank.

Note: All casualties shown in the recapitulation must also be reported individually on Form FRA F 6180-55a.

Section A. Summarize all reportable casualties for the month, including those resulting from rail-highway crossing impacts.

Section B. Summarize all reportable casualties resulting from a highway-rail crossing impact including those occurring at private crossings. A highway-rail crossing casualty report will have an occurrence code on Form FRA F 6180-55a that begins with "609" if the impact took place at a public crossing, or "610" if it occurred at a private crossing.

Section C. If a person who was reported in a previous month as a nonfatal case dies within 365 calendar days of the initial accident/incident and the death was due to injuries sustained or complications arising from this event, then the information requested in this section must be provided. FRA will use this information to update the original report.

4. 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 sum of the miles entered in items 7a, 7b and 7c must equal the total in 7d.

The total number and distribution of casualties in Section A must agree with the sum of the individual casualties on Form FRA F 6180-55a.

Contradictory information.

If the recapitulation shows employee casualties, the number of employee hours cannot be "0".

If Rail Equipment Accident/Incident reports (Form FRA F 6180-54) or Highway-Rail Crossing Accident/Incident reports (Form FRA F 6180-57) were prepared for accidents/incidents involving moving trains, the total number of miles run during the month cannot be "0".

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

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If passenger casualties are shown in Section A, 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.

Other errors.

The entry in "Total Train Accidents" is the count of those accidents that are reported on Form FRA F 6180-54.

"Section C" is not used to identify a fatality that occurred in the current report month. If, during the report month, a person is injured and dies on the following day, or on any day prior to the end of the month, this should be reported as a fatality on Form FRA F 6180-55a. Section C is completed only when a death occurred after the month in which the initial casualty report was made.

Railroad Injury and Illness Summary (Continuation Sheet)

1. 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:

- a. Death of a person within 365 calendar days of the accident/incident;
- b. Injury to a person, other than a railroad employee, that requires medical treatment;
- c. Injury to a railroad employee that requires medical treatment; results in restriction of work or motion for one or more work days; the loss of one or more work days; termination of employment; transfer to another job, or loss of consciousness.
- d. Any occupational illness of a railroad employee is reportable when it is diagnosed as being worked-related by a physician or other qualified health care professional.

2. EXCEPTIONS.

A railroad need not report the following:

- a. 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;
- b. Casualties in or about living quarters that do not arise from the operation of a railroad.
- c. Suicides, as determined by a coroner or other public authority.
- d. Attempted suicides.

3. EMPLOYEE INJURY/ILLNESS REPORTING

A. 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. An exception 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

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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, are recordable upon diagnosis by a qualified health care professional and verification of work-relatedness.

A "qualified health care professional" (QHCP) is a person, who through appropriate education and experience, has developed sufficient expertise to diagnose the causal factors of an occupational injury or illness. 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 an exposure at work to poisonous plants 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.

B. Injury to employee. Two questions generally determine whether or not a report of employee injury should be made; these are:

1. Is there any information indicating the employee was harmed while in the work environment?

Railroad Injury and Illness Summary (Continuation Sheet)

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 or motion on the day of injury or any subsequent day;
- d. Transfer to another job;
- e. Termination of the employee due to injury;
- 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 supervision.
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.

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 followup 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.

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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 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 wounds with suture (stitch), staple, Steristrip, butterfly, etc.
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, etc., is actually worn.
3. Infections. Any application of medication through the use of syringes.
4. Injections. Any application of medication through the use of syringes, except tetanus shots.
5. Bruises. The treatment of a bruise by drainage of blood.
6. Debridement. Surgical debridement, that is, the removal of dead or damaged skin.
7. Burns. The treatment of second or third degree burns is almost always medical treatment if the size of the affected area cannot be covered with a quarter.
8. 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)
9. Eye Injuries. Removal of any object embedded in the eye or the application of a patch or a bandage.
11. X-Ray. An X-Ray that is positive.
12. Whirlpool treatment. Any injury requiring more than one whirlpool treatment.
13. Multiple treatments. Any injury resulting in additional treatment by a doctor or other medical professional on a second or subsequent visit. This does not include routine examination of the progress of an injury or instances where bandages or other dressings are replaced after they become soiled.

Railroad Injury and Illness Summary (Continuation Sheet)

TREATMENTS THAT ARE ALMOST ALWAYS FIRST AID

1. The application of antiseptics on the first visit to a doctor or nurse.
2. The use of nonprescription or "over-the-counter" medications.
3. Hot or cold compresses on the first visit to a doctor or nurse.
4. Treatment of first degree burns.
5. Observation of an injury on a second or subsequent visit.
6. Bandaging of wounds 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 work activity.
7. Ointments applied to abrasions to prevent drying or cracking.
8. The removal of a foreign body that is not embedded in the eye by irrigating or other simple techniques that do not normally require the skills 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 techniques.
10. The administration of oxygen (other than forced breathing, e.g. IPPB) for periods of less than one hour.

OTHER TREATMENTS AND PROCEDURES

1. Hospitalization for observation, when no treatment other than 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 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

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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. Visits to a doctor or nurse, and simple diagnostic procedures, such as drawing blood for testing, typing, etc., are not of and 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 a diagnosis of an employee's condition cannot be considered precautionary. The single stated exclusion 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, of and by themselves, make a case reportable. For example, it is often a standard operating procedure of emergency rescue teams to administer oxygen or apply an intravenous saline solution while the patient is being transported to a medical facility for further evaluation.

If it is determined that the employee did not otherwise have a reportable injury, nor did the current condition normally require such treatment, then a reportable case has not occurred.

C. 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)
5. Disorders Due to Physical Agents (Other than toxic materials)
6. Disorders Caused by Repeated Trauma

Illnesses are reportable upon diagnosis and the establishment of work-relatedness. In some cases, such as contact dermatitis, this relationship can

Railroad Injury and Illness Summary (Continuation Sheet)

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 exposure to a sufficient degree and/or duration to result in the illness condition?
6. Is the illness attributable solely to a nonoccupational exposure?

D. 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 whenever an employee does not report for the next scheduled work assignment following the date of the injury, or for any subsequent workday, for reasons connected with his or her injury.

Restriction while at work occurs whenever 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 whenever an employee is restricted (as defined above) on the next scheduled 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 connected with the injury, and the employee does so.

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Counting days absent from work and days of restriction

FRA needs accurate counts of the days employees were 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. When this occurs, you must make a "good faith" estimate of additional days that may accrue for the case. A record of the actual count of these days must be maintained on your log of occupational injuries and illnesses for the affected employee. After the employee returns to work at full capacity, a corrected report must be submitted showing 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 employees on 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 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 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.

Railroad Injury and Illness Summary (Continuation Sheet)

8. Your December report requires the preparation of a final summary for the calendar year of employee on-duty deaths, injuries, and occupational illness (Form 6180-45). The final count of days absent and days restricted appearing on this report must not vary by more than 10 percent from the sum of these days reported on the monthly form. If it does, you are to file corrections to the monthly reports to bring the counts into agreement.
9. If it is necessary during a workday for an employee to have follow-up examinations, receive additional medical care, etc., the time spent going to, at, and coming from such appointments 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.
10. If an employee lays off to see a doctor 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.
11. Each workday that a patch or a bandage is worn over an eye as a result of the accident/incident is a day of restriction.
12. 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.
13. Damage to an employees personal effects, such as eye glasses, hearing aids, dentures, etc., is not of and by itself reportable. If a reportable injury did not also occur, the workdays lost while awaiting repair or replacement of these articles are not to be charged.

E. 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 was not physically injured. His condition is diagnosed by a psychiatrist as being work-related and he subsequently receives professional therapy over a period of days.

Cases involving emotional trauma are to be recorded using illness code 119E - Emotional trauma/nervous shock

The aggravation of a pre-existing physical condition within the work environment becomes reportable whenever a specific event,

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activity, or exposure is identified as the likely cause of the aggravation. Aggravations occurring under other circumstances should be carefully evaluated to determine whether any work-related activity, motion, etc., appears to be the reason for the aggravation. If the reporting officer, after reviewing all information associated with the case is positive that the aggravation was entirely unconnected to the performance of the employee's work, but was simply an instance of a flare-up occurring at work, then the incident should not be reported.

Recurring Conditions. There may be instances when an employee, after returning to work following a reportable condition, experiences problems or complications that appear to be attributable to the previously reported injury/illness. If the employee's difficulties were not caused nor aggravated by a work-related activity, motion, exposure, etc., then a new incident has not occurred. Additional days lost or restricted in these instances are to be added to the count for the original case.

However, if the employee relates his current problem to a work-related event, activity, motion, exposure, etc., then a new incident has occurred for which a report must be made. As a general rule, when 30 days have elapsed 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/trauma would normally require the filing of a separate report.

Loss of consciousness resulting from an injury or an exposure within the work environment is reportable. 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. Similarly, any injury occurring as a result of such a seizure would not be reportable.

Joint Operations. Any reportable casualty to a railroad employee arising from an accident/incident involving joint operations, or when an employee of railroad is providing service to another railroad, is to be reported by the employing railroad.

4. 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

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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 in Section C of Form FRA F 6180-55 for the month in which death resulted. FRA will locate the original casualty record and change the injury code from nonfatal to fatal.

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 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 the event or exposure causing the injury or illness.

5. INSTRUCTIONS FOR COMPLETING FORM 6180-55A (Continuation)

| <u>Item</u> | <u>Instruction</u> |
|-------------|--|
| 1. | <u>Name of Reporting Railroad</u> Enter the full name of the reporting railroad. |
| 2. | <u>Alphabetic Code</u> Enter the reporting railroad's code found in Appendix A. |
| 3. | <u>Report Month</u> Enter the month and year covered by this report. |
| 9a. | <u>Railroad Accident/Incident Number</u> 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. |
| 9b. | <u>Type Person and/or Job Code</u> Identify the type of person being reported by using the following codes: (refer to classification of persons found |

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in definition section) A - railroad employee on duty; B - railroad employee not on duty; C - passenger on train; D - non-trespasser; E - trespasser; F - contractor employee.

If the report is for an employee of the railroad, enter an occupation code from Appendix D following type person code.

- 9c. Injury or Illness Code
Select from the codes in Appendix E the combination that best describes the condition being reported.
- 9d. Casualty Occurrence Code
Enter the occurrence code from Appendix F that best describes the event or activity that caused the casualty.

Special Instructions - Drug/Alcohol Code

Construct the Drug/Alcohol Code from the instructions contained in section 5, "Reporting Alcohol or Drug Involvement on Form FRA 6180-55a (Continuation Sheet)", and enter the code into this column.

- 9e. Age of Casualty
Enter the age of person being reported.
- 9f. 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".
- 9g. Number of Days of Restricted Activity
If the person being reported is an employee of the reporting railroad, enter the number of days that the employee was restricted in his or her 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".
- 9h. Cases without Lost Workdays
When prescription medication is the sole basis for reporting a nonfatal injury, enter "P". If the injured person is an employee of the railroad and restriction on the days of the injury is the only reporting condition met, enter an "R" in this column.
- Leave this item blank whenever the casualty reported is a fatality, an occupational illness, or a nonfatal injury that is reportable for a reason other than prescription medication, or restriction of work on the day of the injury of an employee.
- 9i. State Code
Identify the State in which the casualty occurred using the appropriate code found in Appendix B.

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6. REPORTING ALCOHOL OR DRUG INVOLVEMENT ON FORM FRA 6180-55A

See Part 5 of section I for additional instructions.

In some accidents/incidents, the employee(s) tested for the use of these substances may not have been harmed in the accident/incident. Under these circumstances, there would be no entry on the report for the employee, since a reportable condition did not exist.

This situation could arise, for example, when a non-employee 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 any report made in connection with the accident/incident.

In those accidents/incidents where tests were given or where it was otherwise established that usage occurred, a code is to be constructed according to the following instructions and entered adjacent to the occurrence code listed in column 9d of the report.

- 1) Position 1 of code. Identify the relationship between the occurrence of the accident/incident and alcohol or drug use by an employee associated with the event.

| <u>Code</u> | <u>Explanation</u> |
|-------------|--|
| 1 | Impairment was determined to have been the primary cause. |
| 2 | Impairment was determined to have been a contributory factor. |
| 3 | Use of the substances was not a casual factor. |
| 4 | The relationship between alcohol or drug use of the accident/incident could not be determined. |
| N | Not applicable, i.e., all test results were negative. |

- 2) Position 2 of code. Identify source of alcohol or drug data.

| <u>Code</u> | <u>Explanation</u> |
|-------------|---|
| M | Mandatory post-accident testing (using FRA authority) |
| R | Reasonable cause testing (using FRA authority) |
| X | Testing done using other authority |
| A | Admitted usage |

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- 3) Position 3 of code. Indicate the results of tests. The following codes are arranged according to levels of potential impairment, going from the least to the greatest degree of risk. It is important to remember that information concerning the results of all individuals tested cannot be recorded on the form. Therefore, in those instances where the results of employees tested varied, the test result of the employee whose impairment was determined to have been a casual factor is to be recorded. In all other situations, the highest numeric code applicable to test results for the accident/incident is to be recorded. If it is necessary to further clarify the results of tests given, or other factors associated with the accident/incident, a short narrative description may be appended to the report form.

| <u>Code</u> | <u>Explanation</u> |
|-------------|---|
| 0 | All test results were negative. |
| 1 | Substance was unknown or is not listed below. |
| 2 | Medication, other than a controlled substance. |
| 3 | Controlled substance that is being used in accordance with a doctors instructions. |
| 4 | Controlled substance used under circumstances different than those described above. |
| 5 | Blood alcohol content below .04. |
| 6 | Blood alcohol from .04 to .1. |
| 7 | Blood alcohol content of more than .1. |
| 8 | Illicit drugs (marijuana, cocaine, LSD, heroin, etc.). |
| 9 | Combination of alcohol and drug use. |
| N | Not applicable - normally used when usage was admitted, but confirming tests not performed. |
| C | Test canceled (e.g., Broken chain of custody) |

NOTE: In those instances where an employee has admitted to consuming alcohol, but was not tested to determine blood alcohol content, the code "X" is to be entered.

Hypothetical Case Example

The engineer on a passenger train violated an operating rule. His error made it necessary to perform a severe brake application. This caused a passenger standing in the aisle to be thrown forward and strike his head, resulting in a laceration that required several stitches to close. The railroad decided to perform reasonable cause testing of the

Railroad Injury and Illness Summary (Continuation Sheet)

employees involved. The engineer tested positive for alcohol, and it was established that his impairment was a primary cause of the incident.

The information regarding the employees impairment would be recorded on the report form as follows.

| a. Accident/ Incident Number | b. Type Person Or Job Code | c. Injury or Illness Code | d. Occurrence Code |
|---------------------------------------|-------------------------------------|------------------------------------|--------------------------|
| 12345 | C | 305E | 977T/1R6 |

It should be noted that the engineer was not hurt in this example. However, in order to identify that alcohol use was associated with this incident, it is necessary to record this information in the report for the injured passenger. If the incident being reported resulted from a train accident, also see section describing reporting requirements for rail equipment accidents/incidents.

6. COMMON REPORTING ERRORS

All casualties resulting from a single event must be assigned the same incident number, and all forms used to report the event must use this number. If the casualty is a result of a rail equipment accident/incident, the occurrence code must be either a "601C", "602D", "603X", "609X", or "610X". If the casualty resulted from a highway-rail accident/incident, the occurrence code must begin with a "609" or a "610".

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.

An occurrence code must be provided for each casualty. If the description for a particular code does not exactly fit the circumstances, you may provide additional information on the back of the form or a separate sheet of paper. FRA will review these comments to identify possible future changes the list of occurrence codes.

Rail Equipment Accident/Incident Report

1. REQUIREMENT

Collisions, derailments, fires, explosions, acts of God, and other events involving the operation of on-track equipment (standing or moving) and causing more than \$6,300 of reportable damage must be reported using Form FRA F 6180-54.

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).

2. 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 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, are 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.

When total reportable damage to all railroads directly involved in an accident/incident exceeds the reporting threshold, you must make a report even though your railroad's damages were below the threshold.

A form must be completed for each consist 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.

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".

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

Form FRA F 6180-54

obtain telephone numbers). You must exchange information concerning the accident and verify, at a minimum, that:

- a. the other railroad has a reporting responsibility;
- b. total reportable damage exceeded the threshold; and,
- c. 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 to provide details not described on the form and to otherwise

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 is 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:

- a. Cars derailed on industry tracks by non-railroad employees or non-railroad employee vandalism, providing there is no involvement of railroad employees nor railroad track maintenance responsibility;
- b. Damage to out-of-service cars resulting from high water or flooding, e.g., empties placed on storage or repair track. This exclusion does not apply if such cars are placed into a moving consist and as a result of this damage, a reportable rail equipment accident results.

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 number 12345-A. The reporting number must be exactly the same on both reports.

Rail Equipment Accident/Incident Report

3. 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 code found in Appendix A.
- 1b. Railroad Accident/Incident Number
Enter a unique identifying number for the accident/incident being reported. All reports prepared in connection with this accident/incident must use the same reporting number. The report number may contain up to 10 numbers or alphabetic characters.
2. Name of Other Railroad Involved in Train Accident/Incident
If an equipment consist operated by another railroad was involved in the accident, enter the full name of that railroad. If more than one other railroad had a consist involved, list only one name; include in the narrative portion of the form a reference to all railroads and the extent of their involvement. Be sure that any other railroad identified in the report is notified.
- 2a. Alphabetic Code
Enter the reporting code of the railroad identified in item 2.
- 2b. Railroad Accident/Incident Number
Enter the reporting number use 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 reporting 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.)
5. Date of Accident/Incident
Enter the date of the accident/incident.

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6. Time of Accident/Incident
Enter the time the accident/incident occurred and check the appropriate "am" or "pm" box. Do not use military time.
7. Type of 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 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 32.
9. Cars Damaged or 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 Which Released 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 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 guidance.)
11. People Evacuated
If the accident/incident resulted in an evacuation of the area because of an actual or a potential exposure to hazardous material, enter the number of persons evacuated. This number is to be reported only by the railroad responsible for the equipment consist involved.

If there were multiple consists involved in the accident, the total number of people evacuated is to be shown on the report for the consist most directly responsible for the evacuation. Precautionary evacuations and instances where it was later established that a release of hazardous material did not occur are to be reported.
12. Division
Enter the full name of the division on which the accident occurred. If the railroad is not so divided, enter the word "System". In the event of a joint accident involving AMTRAK, the host railroad's division will apply.
13. Nearest Station
Enter the name of the nearest timetable station. In event of a joint accident involving AMTRAK, the host railroad's nearest station will apply.

Rail Equipment Accident/Incident Report

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 the distance to the station shown in item 13. If on a Yard Track, enter YARD. If on Industry Track, enter IND.

15. State - County/Parish
Special Instruction: Enter the full name of the county or parish in which the accident occurred in left portion of block below heading "STATE". Enter the appropriate State code, from Appendix B, in the code box.

| | |
|-----------------------------|------|
| 15. STATE (two letter code) | CODE |
| Labette | KS |

16. 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.

17. 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".

18. Weather
 Select the most appropriate weather condition at the time and location of the accident, and enter code in the box provided.

19. Method of Operation
 Identify the method of railroad operation at the accident location by placing "X" in the appropriate boxes. If an entry cannot be made in blocks 1 through 12, put an "X" in block 13 and specify the operational method used in the narrative. The back of the form may be used if necessary.

20. Speed
 List the speed (mph) at which the consist was traveling at the time of its involvement in the accident. Enter "X" in the block provided to estimate if this is an estimated or a recorded speed. If this consist was stopped, enter "0".

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

22. Time Table Direction
 If the consist identified on this report was either moving or temporarily stopped, enter the code which describes the timetable or

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schedule direction. If the equipment consist was a car or a cut of cars standing on the track, enter "N/A".

23. Trailing Tons
If the equipment consist reported on this form is a freight, mixed work, transfer 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.

24. 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 31 and 32.

For example: the codes 1, 2, 3, 7 and 8 are used for consists that contain a locomotive unit. Therefore, line 1 of item 31 must show at least one locomotive in a box. If the code for a freight train is used, then line 1 of item 32 must show loaded and/or unloaded freight cars. If the consist is a single car or cut of cars, there cannot be locomotives shown in item 31, and there must be a car count shown in item 32. Many such comparisons exist; be sure to check the interrelationship of information contained in all items related to the equipment consist.

25. Was the Equipment Attended or Unattended?
If the equipment consist was not being attended by an employee enter "1" in the code box. If it was attended, enter "2".

26. Track Number or Name
Enter the number or name 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."

27. FRA Track Classification
Enter the class of track on which the reported consist was located at the time of the accident. Classes of track are defined in the Federal Track Safety Standards (49 CFR Part 213). Excepted track should be entered as Class X.

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

28. 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".

Rail Equipment Accident/Incident Report

29. 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".

30. No entry necessary

30a. Initial and Number, First Involved

In the upper box, 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. If a mechanical or electrical failure on a locomotive or car in this consist did not cause the accident, enter "N/A".

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

30b. 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 30a. 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 30a, 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 31 to the total number of cars shown in line 1 of item 2.

30c. Loaded

When the entry in the upper box of item 30a 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 30a, enter "N/A".

If a car is identified in the lower box of item 30a, indicate if this car was loaded or unloaded by entering "Yes" or "No" in the lower box. Otherwise, enter "N/A".

31. Locomotive Units (Number Of)

On line 1, 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.

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For the locomotives shown in line 1, list on line 2 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.

32. Cars (Number of)

On line 1, 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 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.

33. Equipment Damage

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.

34. Track, Signal, Way and Structure Damage

The railroad responsible for maintaining the track on which the accident/incident occurred will enter the cost of damages to this track, signals, roadbed, track structures, etc. (A report must be provided even when the track damage is 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.

35. Primary Cause Code

From the cause descriptions found in Appendix C, enter the code number which best described the cause of the accident. If none of the available causes are 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 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.

36. Contributing Cause Code

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

37. (Special Instruction) Drug/Alcohol Code

Construct the Drug/Alcohol Code from the instructions contained in section, "Reporting Alcohol or Drug Involvement on Form FRA F 6180-54 in section 4 of this part, and enter the code into this column.

Rail Equipment Accident/Incident Report

38. Number of Persons Injured

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. the occurrence code used on the casualty report will be a "601C," "602D," "603X," "609X," or "610X" depending upon the type of accident.

39. Estimated Total Days Disability

Enter the total number of days that employees on duty were disabled as a result of the accident. If there were none, enter "0". The number of days being reported must be consistent with the counts provided on form 6180-55a for this accident.

40. Number of Fatalities On This Consist

Enter the total number of fatalities, using the same procedures described in item 38. If none, enter "0".

41-44. Crew (Number Of)

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.

45-46. Hours on Duty

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

47. Typed Name and Title

Type or print the name and title of the person responsible for preparing this report form.

48. Signature

Signature of the person shown in item 47.

49. Date of Signature

Date the signature was made in item 48.

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.

Form FRA F 6180-54

An adequate description of most accidents cannot be made in the limited space available in block 50. The narrative is to continue 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:

Cause - discuss any events or circumstances 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 (was 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, etc.

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

4. REPORTING ALCOHOL OR DRUG INVOLVEMENT ON FORM 6180-54

See Part 5 of Section I for additional instructions.

A specific inquiry into the possible involvement of alcohol or drug use by an employee must be made for each event reported on a Rail Equipment Accident/Incident Report (Form FRA F 6180-54).

If there is any information whatsoever, whether or not confirmed, concerning alleged use or impairment by an employee, the railroad must note this on the report form. If the railroad is in possession of such information, but does not believe that alcohol or drug impairment was the primary or contributing cause of the accident/incident, then a brief explanation of the basis of this determination is to be made in the narrative portion of the report.

In those accidents/incidents where tests were given or where it was otherwise established that usage occurred, a code is to be constructed according to the following instructions and entered in block 37 of the report.

Rail Equipment Accident/Incident Report

Position 1 of code. Identify source of alcohol or drug data.

Code Explanation

- M Mandatory post-accident testing (using FRA authority)
- R Reasonable cause testing (using FRA authority)
- X Testing done using other authority
- A Admitted usage

Position 2 of code. Indicate the results of tests. The following codes are arranged according to levels of potential impairment, going from the least to the greatest degree of risk. It is important to remember that information concerning the results of all individuals tested cannot be recorded on the form. Therefore, in those instances where the results of employees tested varied, the test result of the employee whose impairment was determined to have been a casual factor is to be recorded. In all other situations, the highest numeric code applicable to test results for the accident/incident is to be recorded. If it is necessary to further clarify the results of tests given, or other factors associated with the accident/incident, a short narrative description may be appended to the report form.

Code Explanation

- 0 All test results were negative.
- 1 Substance was unknown or is not listed below.
- 2 Medication, other than a controlled substance.
- 3 Controlled substance that is being used in accordance with a doctors instructions.
- 4 Controlled substance used under circumstances different than those described above.
- 5 Blood alcohol content below .04.
- 6 Blood alcohol from .04 to .1.
- 7 Blood alcohol content of more than .1.
- 8 Illicit drugs (marijuana, cocaine, LSD, heroin, etc.).
- 9 Combination of alcohol and drug use.
- N Not applicable - normally used when usage was admitted, but confirming tests not performed.
- C Test canceled (e.g., Broken chain of custody)

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NOTE: In those instances where an employee has admitted to consuming alcohol, but was not tested to determine blood alcohol content, the code "X" is to be entered.

Position 3 of Code. Indicate the type of test(s) performed. If multiple tests are done, use the highest number applicable to a positive test result.

| <u>Code</u> | <u>Explanation</u> |
|-------------|---|
| 0 | Test is not listed below |
| 1 | Breath |
| 2 | Urine |
| 3 | Breath and urine |
| 4 | Blood |
| 5 | Breath and blood |
| 6 | Urine and blood |
| N | Not applicable (e.g. accident involving alleged usage where tests were not given) |

Position 4 of code. Enter result(s) of tests performed.

| <u>Code</u> | <u>Explanation</u> |
|-------------|--|
| 0 | Test results on all employees were negative |
| 1 | One employee was tested positive |
| 2 | Two or more employees were tested positive |
| N | Not applicable (e.g., accident involving alleged usage where tests were not given) |

| | |
|---|------|
| 37. If no code available, explain cause | R611 |
|---|------|

If the hypothetical situation described in the section for casualty report had resulted in reportable damage above the threshold amount, then the information concerning impairment would have been recorded in item 37 as R611.

Rail Equipment Accident/Incident Report

Since the impairment of the engineer was determined to have been the direct cause of the accident, code "H101" is entered in block 35 as the primary cause.

Refer to section describing reporting requirement for Form FRA F 6180-55a if a death or injury occurred in connection with an accident/incident where alcohol or drug use was a factor.

5. 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, 20, 21, 22, 23, 24, 25, 30, 31, 32, 33, 41, 42, 43, 44, 45, and 46. 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 and county in which the accident occurred. |
| 35. | primary cause |

If a Form FRA F 6180-55a or Form FRA F 6180-57 is also required for the accident, be sure to compare similar items between these additional forms.

If there were reportable casualties resulting from the accident, a line entry must be made on Form FRA F 6180-55a for each casualty. In rail-highway 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.

Form FRA F 6180-54

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 31 and 32. Similarly, if the report showed no conductors in item 43, it would be inconsistent to show the conductor time in item 46.

Employee Human Factor Attachment

1. REQUIREMENT

If, in reporting a rail equipment accident/incident to the FRA, 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, in accordance with the following instructions and those on the form, an Employee Human Factor Attachment form. The Human Factor Attachment is to be attached to the Rail Equipment Accident/Incident Report to which it pertains.

Note: If an employee is identified on form 6180-81, you must notify each employee according to the instructions found in the section for preparing form 6180-78 and on the back of that form.

2. GENERAL INTERPRETATIONS

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 submit a revised form 6180-81 and forward 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 the reporting railroad has scheduled or is conducting a formal investigation of a human factor caused rail equipment accident, which 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 due to awaiting results of 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 human factor caused 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 instruction found in paragraph 2 of this section.

The above provisions only apply when a formal investigation is scheduled or in progress and where the naming of an employee(s) on FRA forms prior to a

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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 human factor caused rail equipment accident, the regular provisions of this part apply.

Notice to Employee Involved in Human Factor Caused Accident

1. 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 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.

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.

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 replaced 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

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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 reassess its conclusions as to the cause of the accident and other circumstances and file corrected reports with FRA concerning the accident when appropriate.

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, if any, or to the Federal Railroad Administration, Office of Safety, Office of Safety Enforcement, RRS-13, 400 7th 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.

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. Under sections 3(a) and 15 of the Rail Safety Improvement Act of 1988, any person who willfully files a false Supplement with FRA is subject to a civil penalty. Any person who knowingly and willfully files a false Supplement is subject to a \$5,000 fine, or up to two years imprisonment, or both, under the Federal Railroad Safety Act of 1970.

Highway-Rail Grade Crossing Accident/Incident Report

1. 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.

2. GENERAL INSTRUCTIONS AND INTERPRETATIONS

Highway users include but are not limited to: automobiles, buses, trucks, motorcycles, bicycles, farm vehicles, construction vehicles, roadway maintenance vehicles, and pedestrians.

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.

If the available codes do not accurately describe unusual situations involved in an accident/incident, a brief description of the circumstances surrounding the event should be listed on the back of the form or on an attached sheet.

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 calling 202-366-0533. 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. On the front of the form, identify the first highway user involved in the accident. On the back of the form, briefly describe the accident and note any additional casualties or other vehicle damage not shown on the front. A new incident must be reported for another vehicle approaching from the opposite side that strikes or is struck by on-track equipment.

Each casualty resulting from a highway-rail crossing impact, in addition to those shown on Form FRA F 6180-57, must also be reported on Form FRA F 6280-55a. The occurrence code used on the casualty report will begin with 609 if the accident occurred at a public crossing or 610 if it took place at a private crossing.

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 (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.

Form FRA F 6180-57

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.

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".

3. 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 Number
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.

Highway-Rail Grade Crossing Accident/Incident Report

- 3a. Alphabetic Code
Enter the 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. If the railroad shown in item 3 differs from the reporting railroad, and if the accident does not require that a Form FRA F 6180-54 be filed, then enter "XXX" as the accident/incident number. However, if the accident also requires that Form FRA F 6180.54 be completed, enter the number used on the rail equipment form by the railroad responsible for track maintenance.
4. U. S. DOT - AAR Grade Crossing Identification Number
Enter the US DOT-AAR 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 Station
Enter the name of the nearest timetable station. In event of accidents involving AMTRAK, the host railroad's nearest station will apply.
8. County/Parish
Enter the full name of the county or parish in which the accident/incident occurred.
9. State
Enter the appropriate State code, found in Appendix B, for the State in which the accident occurred.
10. 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".
11. Highway Name or Number
Enter the number or name of the highway or street involved. If the impact occurred at a private crossing, enter the word "Private".
12. 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 13, 36, 37, 38, 40, 41, 42, and 45 are to be coded "N/A".

When the motor vehicle is a van, enter a code that best corresponds to its normal usage. For example, a cargo van would be coded "2" for truck.

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13. 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".

14. Direction of Highway User Involved
Select the code that best described 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 timetable direction of the railroad consist given in item 30.

15. Select the code that best describes the position of the highway user at the time of impact and enter in code box.

Note: If the highway vehicle was stopped or stalled on the crossing at the time of impact, the speed given in item 13 must be "0".

16. Equipment - Railroad 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 Section 3). Note that on-track work equipment such as ballast tampers are classified as cars and therefore, should be identified by using Code 4 or 5.

When completing this item, pay particular attention to its relationship to other items on the form to avoid contradictions. Some examples of contradictory responses are:

- a. If the description of a railroad equipment includes a reference to "pulling", "pushing", or "moving", then train speed in item 29 cannot be "0".
- b. If the description states that the consist was "standing", then speed in item 29 must be "0", and item 18 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 27. If the equipment consist was a car or cut of cars, then item 27 must be "0" and the count of cars must be entered in item 28.

17. Position of Car/Unit 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

Highway-Rail Grade Crossing Accident/Incident Report

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 18), then the entry is this item must be "1".

18. Circumstances
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 16 does not refer to "standing" equipment, and that the speed of the on-track equipment is given in item 29. If the highway user struck the railroad consist, be sure that the estimated speed of the highway vehicle given in item 13 is greater than "0", and that the position of the highway user was coded "3" in item 15.
19. Was the Highway User and/or Rail Equipment Involved in the Impact Transporting Hazardous Material?
Enter the code that identifies whether or not the rail equipment and or the highway user was transporting hazardous material at the time of the impact. For the rail equipment, this includes any car within the consist, regardless of location. Highway users are to be identified only when the hazardous material is being transported as cargo; the gasoline or diesel fuel used by the vehicles engine is not considered to be cargo.
20. 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.
21. 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."
22. Weather
Select the most appropriate weather condition at the time and location of the accident and enter the code in the box provided.
23. 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 16 and 17. For example, if a light locomotive(s) is shown in item 16, then the entry will be "6" and the number of locomotives must be given in item 27.

Note: For on-track work equipment, such as track motorcar, enter code 4, "work".
24. 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".

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25. 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."

26. FRA Track Classification
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.

| 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 |

27. Number of Locomotive Units
Enter the total number of locomotive units in the consist involved in the accident; if none, enter "0".

28. 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 instructions for item 16 on counting articulated cars.

29. Train Speed
List the speed (mph) at which the consist was traveling when the impact occurred. Enter "X" in the block provided to indicate if this is an estimated or recorded speed. If the consist was not moving, enter "0".

30. Time Table Direction
If the consist was either moving or temporarily stopped, enter the code that describes the timetable 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".

31. Warning Device (Type)
Identify the warning devices indicated in item 31 by placing an "X" in the appropriate box(es). In sub-items 2 and 3, "FLS" means "flashing light signal." Enter an "X" in sub-item 5, "Highway Traffic Signals", whenever such a signal is present at the crossing site and is used for controlling highway traffic over the crossing.

32. Signaled Crossing Warning
When any of the warning devices indicated in item 31 is designed to be activated by the presence of an on-track equipment consist and the device operated as intended, enter "1" in the code box. If a train activated warning device at the crossing failed to operate as intended, for any reason including vandalism, enter "2" in the code box.

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Note: If the crossing site was not protected by train activated warning devices, or if the rail consist was intentionally insulated to prevent activation of the warning mechanism enter "N/A".

33. Location of Warning

Select the code that identifies the location of the crossing warnings shown in item 31 and enter it in the code box. If there was no protection at the crossing, enter "N/A" and check box 12 of item 31.

34. 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 31 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 item 34, but not to check block 5 of item 31.

35. Crossing Illuminated by Street 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".

36. Motorist Passed Standing Highway Vehicle

Identify whether the highway user, immediately before the accident, had passed another vehicle that had stopped short of the crossing.

37. Motorist Drove Behind or in Front of Train and Struck or was Struck by Second Train

Enter the appropriate entry in the code box.

38. Motorist

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 15, and traveling at a speed greater than "0" in item 13.

39. View of Track Obscured

If the highway users 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".

40. 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

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vehicle. If there was no damage to the vehicle, enter "0". Do not make entries such as "totaled".

41. Driver Condition (After Accident/Incident)
Select the code that describes the extent of harm to the driver. If the driver was fatally injured or injured, a line entry on Form FRA F 6180.55a must also be completed for this accident/incident.
42. 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".
43. Vehicle Occupants - Total (Fatally Injured)
Enter the total number of highway vehicle occupants fatally injured in the accident/ incident, including the driver, if applicable.
- Note: If the report concerns a pedestrian who was fatally injured, enter "1" in the box.
44. Total of Vehicle Occupants Injured
Enter the total number of highway vehicle occupants and/or pedestrians injured in the accident/incident, including the driver, if applicable. If there were no such injuries, enter "0".
- Note: All casualties reported on this form, in addition to those sustained by persons aboard the rail consist, are to be reported individually on Form FRA F 6180-55a. Use the reporting number entered in item 1b.
45. Total Number of Occupants in Vehicle
Enter the total number of persons in the highway vehicle at the time of the impact, including the driver, if applicable.
47. Is Rail Equipment Accident/Incident 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.
48. Typed Name and Title
Type or print the name and title of the person responsible for preparing this report form.
49. Signature of Preparer
Signature of the person shown in item 48.
50. Date of Signature
Date the signature was made in item 49.

Highway-Rail Grade Crossing Accident/Incident Report

5. 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 13 cannot be "0", and the vehicles position on the crossing shown in item 15 must be "3" (moving over crossing).

If the highway vehicle was not moving, the vehicle speed must be "0"; the position code in item 15 cannot be "3" (moving over crossing); and , item 18 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 16 must be either "1", "2", "4", "6", or "8", and the speed in item 29 cannot be "0". If the rail consist was not moving, them item 16 must contain "3", "5", "7", or "8"; the consist speed in item 29 must be "0"; and item 18 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 18, and the position of the car/unit in the consist given in item 17 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 38 cannot indicate that a motorist was driving around or through gates if gates were not present at the crossing, as shown in item 31.

Failure to File Other Accident/Incident Forms or Contradictory Data On Different Reports.

When an accident requires that other report forms be completed, 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.

If the accident occurred at a public crossing, the occurrence code on Form FRA F 6180-55a will begin with 609. If the accident took place at a private crossing, this code will begin with 610. The forth position of the occurrence code will be an "x" if the impact resulted in reportable railroad damage above the threshold for train accidents.

Form FRA F 6180-57

If the reportable railroad damage was below this amount, and the rail consist was moving when the accident occurred, the fourth position of the occurrence code will be a "T"; otherwise, it will be left blank.

Annual Railroad Report of Hours Worked by State

1. REQUIREMENT

A summary of all hours worked by railroad employees during the report year must be made on Form F 6180-56 and be included with the December submission.

2. GENERAL INSTRUCTIONS

To alleviate the record-keeping 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 worked reported on Part III of Form FRA F 6180-45. Likewise, the final hours being reported for the year must agree with the sum of these 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.

3. INSTRUCTIONS FOR COMPLETING FORM FRA F 6180-56

Item Instruction

1. Reporting Railroad and Alphabetic Code
Enter the full name of the reporting railroad and list the alphabetic code for this railroad in the box provided.
2. Report Year
Enter the calendar year covered by this report.
3. Hours Worked
Enter on the appropriate line in column "C" the number of hours worked in that State by employees of the reporting railroad.
4. Typed Name and Title
Enter the name and title of the person responsible for preparing this report.
5. Signature
Signature of the person show in item 4.
6. Date of Signature
Date that the signature was made in item 5.

Annual Summary Report of Railroad Injury and Illness

1. REQUIREMENT

A summary of all deaths, injuries and occupational illnesses of on-duty railroad employees that occurred during the calendar year is to be made on Form F 6180-45 and be included with the December submission.

2. GENERAL INSTRUCTIONS

Only casualties to on-duty railroad employees (Class A on Form FRA F 6180-55a) are to be summarized on this form.

The log of fatalities, injuries, and occupational illnesses is to be used when preparing the annual summary.

The actual number of days away from work and days of restricted duty associated with nonfatal cases reported for the calendar year are to be given.

The final count of days absent and days restricted appearing on this report must not vary by more than 10 percent from the sum of these days reported on the monthly form. If it does, you are to file corrections to the monthly reports (form 6180-55a) to bring the counts into agreement. The total number of cases reported on both forms and their distribution as to fatal or nonfatal and injury or occupational illness must agree.

Do not forward a separate report for each establishment. The form forwarded to FRA will summarize the total casualties for the year.

3. INSTRUCTIONS FOR COMPLETING FORM FRA F 6180-45

Item Instructions

Identify the calendar year covered by this report.

I. Establishments included in this report

List the number of establishments operated during the year.

II. Average Employment in Reporting Year

Enter the average number of workers employed during the year. Count all railroad employees. Include seasonal, temporary, part-time, office and clerical staff, maintenance, etc. For railroads completing ICC Wage Statistics (Forms A and B), this figure may be obtained from the annual report. For other railroads, add the employment count from all payroll periods during the year and then divide that figure by the number of payroll periods.

III. Total Hours Worked in Reporting Year

Enter the total number of hours actually worked by railroad employees during the reporting year. Include time on duty only. Do not include any non-work time even though it is paid for, i.e. vacations, sick leave, holidays, arbitraries, etc. If hours worked are not maintained

Form FRA F 6180-45

separately for hours paid, make an estimate of these hours. If actual hours worked are not available for employees paid on a fixed salary, hours worked may be estimated on the basis of 8 hours per workday.

Railroads preparing annual ICC Wage Statistic forms should use the sum of line 700 (columns 4 and 6).

IV. Reportable Injuries and Illnesses

If there were no reportable casualties (fatal or nonfatal) to on-duty railroad employees during the report year, place an "X" in the first box and list the name, address, and reporting code of the railroad in the space provided at the bottom of the form. Skip to Section VII on the back of the form.

If there were reportable casualties (fatal or nonfatal) to on-duty railroad employees during the report year, place an "X" in the second box and report year, place an "X" in the second box and complete the remainder of the form.

V. Monthly Data of Reportable Injuries and Illnesses

Enter the total number of reportable on-duty employee casualties (deaths, injuries, and occupational illnesses) that occurred during each month of the report year. The distribution should correspond to that reported on the monthly forms and the total count must equal the sum given in Section VI, line 10, column 1.

VI. Enter the reporting year on the first line and follow the instructions shown on the form. It is important to note the following:

- a. Total Cases
Column 1 is the sum of columns 2, 3, and 7.
- b. Total Lost Workday Cases (Includes Restricted Workday Cases)
Column 3 will list the total number of cases that caused an employee to be away from work or restricted while at work for one or more days.
- c. Cases Involving Days Away from Work
Column 4 will list the total number of cases that an employee was away from work because of a nonfatal injury or illness. (This corresponds to the total number of cases reported on Form FRA F 6180-55a that contained a value greater than 0 in column 9f.)
- d. Non-Fatal Cases without Lost Workdays
Column 7 is the total number of nonfatal cases that did not result in either a day away from or a day of restriction at work.
- e. Transfer or Termination
Column 8 lists the number of cases shown in columns 3 and 7 that resulted in the termination or permanent transfer of the employee for reasons directly related to the injury or occupational illness sustained.
- f. Occupational Injuries
Line 1 summarizes all injuries reported during the year.

Annual Summary Report of Railroad Injury and Illness

g. Occupational Illnesses

Lines 2 through 8 are a breakdown of occupational illness by type. These categories correspond to those reported on the individual casualty records. Line 9 is the sum of lines 2 through 8.

h. Total Occupational Injuries and Illnesses

Line 10 is the sum of line 1 and line 9.

VII. Comments, Report prepared by, Area Code, Telephone Number, Title and Date.

Enter the information specified.

Appendix A - Railroad Codes

| | |
|------|--|
| ARE | A & R Line Inc. |
| AGRD | A&G Railroad, L.L.C. (Formerly Abbeville-Grimes) |
| AR | Aberdeen & Rockfish Railroad Co. |
| ACWR | Aberdeen, Carolina & Western Railroad |
| AKDN | Acadiana Railway Co. |
| ADCX | Adirondack Scenic Railroad |
| ADBF | Adrian & Blissfield Railroad |
| AB | Akron Barberton Cluster Railway Co. |
| AF | Alabama & Florida Railway Co. |
| ALAB | Alabama Railroad Co., Inc. |
| ABL | Alameda Belt Line |
| ARR | Alaska Railroad Corp. |
| APRR | Albany Port Railroad |
| ARC | Alexander Railroad Co. |
| AWW | Algers, Winslow & Western Railway Co. |
| ALQS | Aliquippa & Southern Railroad Co. |
| ALY | Allegheny and Eastern Railroad |
| ALC | Allegheny Central Railroad |
| AL | Almanor Railroad Co. |
| ALS | Alton & Southern Railroad |
| AMC | Amador Central Railroad Co. |
| AMHR | Amhearst Railroad Industries, Inc./La |
| ATK | Amtrak (National Railroad Passenger Corp.) |
| ANR | Angelina & Neches River Railroad Co. |
| AA | Ann Arbor Railroad |
| APA | Apache Railway Co. |
| AN | Apalachicola Northern Railroad Co. |
| APNC | Appanoose County Community Railroad Co. |
| ARA | Arcade & Attica Railroad Corp. |
| ARZC | Arizona & California Railroad Co. |
| AZCR | Arizona Central Railroad, Inc. |
| AZER | Arizona Eastern Railroad |
| AM | Arkansas & Missouri Railroad Co. |
| ALM | Arkansas Louisiana & Mississippi Railroad Co. |
| AKMD | Arkansas Midland Railroad Co., Inc. |
| AVL | Aroostook Valley Railroad Co. |
| ASRY | Ashland Railway Inc. |
| ADN | Ashley, Drew & Northern Railway Co. |
| ACJR | Ashtubula, Carson & Jefferson Railroad |
| ATSF | Atchison, Topeka & Santa Fe Railway Co. |
| ASML | Atlanta, Stone Mountain & Lithonia |
| AGLF | Atlantic & Gulf Railroad |
| ATW | Atlantic & Western Railway, L.P. |
| AUNW | Austin & Northwestern Railroad |

The exclusion of a railroad from this Appendix does not exempt a railroad from the requirements of 49 CFR 225.

Appendix A - Railroad Codes

| | |
|------|---|
| ATCX | Austin & Texas Central Railroad |
| ATLT | Austin, Todd & Ladd Railroad Co. |
| BLA | Baltimore & Annapolis Railroad Co. |
| BAR | Bangor & Aroostook Railroad |
| BKRR | Batten Kill Railroad |
| BXN | Bauxite & Northern Railway Co. |
| BCLR | Bay Colony Railroad |
| BMH | Beaufort & Morehead Railway Inc. |
| BEEM | Beech Mountain Railroad Co. |
| BML | Belfast & Moosehead Lake Railroad Co. |
| BHRX | Bellefonte Historical Railroad Society |
| BRC | Belt Railway Co. Of Chicago |
| BMS | Berlin Mills Railway |
| BLE | Bessemer & Lake Erie Railroad Co. |
| BSDA | Bi-State Development Agency, St. Louis |
| BSFX | Big South Fork Scenic Railway |
| BS | Birmingham Southern Railroad Co. |
| BHC | Black Hills Central Railroad |
| BRW | Black River & Western Railroad |
| BLOL | Bloomer Shippers Connecting Railroad Co. |
| BMRG | Blue Mountain & Reading Railroad |
| BLMR | Blue Mountain Railroad, Inc. |
| BRTR | Blue Rock Transportation Co. |
| BRMI | Bluegrass Railroad Museum, Inc. |
| BSV | Boone Scenic Valley |
| BOP | Border Pacific Railroad |
| BM | Boston & Maine Corp. |
| BRAN | Brandon Corp. |
| BSRX | Brandywine Scenic Railroad Co. |
| BVRY | Brandywine Valley Railroad Co. |
| BWDX | Broadway Dinner Train |
| BRG | Brownsville & Rio Grande International Railro |
| BCRR | Buckeye Central Scenic Railroad |
| BB | Buckingham Branch Railroad Co. |
| BPRR | Buffalo & Pittsburgh Railroad, Inc. |
| BSOR | Buffalo Southern Railroad, Inc. |
| BJRY | Burlington Junction Railway |
| BN | Burlington Northern Railroad Co. |
| CSKR | C&S Railroad Corp. |
| CTML | Cairo Terminal Railroad Co. |
| CWCY | Caldwell County Railroad Co. |
| CFNR | California Northern Railroad Co. |
| CSRM | California State Railroad Museum |
| CWR | California Western Railroad |
| CSP | Camas Prairie Railroad Co. |
| CCRA | Camp Chase Industrial Railroad Corp. |

The exclusion of a railroad from this Appendix does not exempt a railroad from the requirements of 49 CFR 225.

Appendix A - Railroad Codes

| | |
|------|---|
| CDAC | Canadian American Railroad Co. |
| CPVM | Canadian Pacific Railway (Vermont & Michigan) |
| CFWR | Caney Fork & Western Railroad |
| CTN | Canton Railroad Co. |
| CCRX | Cape Cod Railroad |
| CF | Cape Fear Railways, Inc. |
| CMSX | Cape May Seashore Lines, Inc. |
| CLNA | Carolina Coastal Railway, Inc. |
| CPDR | Carolina Piedmont Division-South Carolina Cen |
| CRIJ | Carolina Rail Services Co. |
| CARR | Carrollton Railroad (CSX) |
| CKSI | Carthage, Knightstown & Shirley Railroad |
| CASS | Cass Scenic |
| CMRR | Catskill Mountain Railroad |
| CIC | Cedar Rapids & Iowa City Railway Co. |
| CEDR | Cedar River Railroad Co. |
| CRLX | Centex Rail Link, Ltd. |
| CTRN | Central of Tennessee Railway & Navigation Co. |
| CCT | Central California Traction Co. |
| CEIW | Central Indiana & Western Railroad Co. |
| CKRY | Central Kansas Railway, Inc. |
| CMGN | Central Michigan Railway Co. |
| CM | Central Montana Railroad |
| CNYK | Central New York Railroad Corp. |
| CORP | Central Oregon & Pacific Railroad, Inc. |
| CIND | Central Railroad Co. Of Indiana |
| CERA | Central Railroad Co. Of Indianapolis |
| CGNE | Champagne Railroad, Inc. |
| CIRR | Chattahoochee Industrial Railroad |
| CCKY | Chattooga & Chickamauga Railroad |
| CHNY | Cheney Railroad Co., Inc. |
| CA | Chesapeake & Albemarle Railroad Co. |
| CHRR | Chesapeake Railroad Co. |
| CHR | Chestnut Ridge Railway Co. |
| CIM | Chicago & Illinois Midland Railway Co. |
| CNW | Chicago and North Western Railway Co. |
| CHTT | Chicago Heights Terminal Transfer Railroad Co |
| CRL | Chicago Rail Link |
| CSL | Chicago Short Line Railway Co. |
| CSS | Chicago Southshore & South Bend Railroad |
| CCUO | Chicago-Chemung Railroad Corp. |
| CC | Chicago, Central & Pacific Railroad Co. |
| CWP | Chicago, West Pullman & Southern Railroad Co. |
| CBRM | Chillicothe-Brunswick Rail Maintenance Author |

The exclusion of a railroad from this Appendix does not exempt a railroad from the requirements of 49 CFR 225.

Appendix A - Railroad Codes

| | |
|------|--|
| COP | City of Prineville Railway |
| CCRR | Claremont Concord Railroad Corp. |
| CLP | Clarendon & Pittsford Railroad Co. |
| CRLE | Coe Rail Inc. |
| CISD | Colonel's Island Railroad Co. |
| CW | Colorado & Wyoming Railway Co. |
| CLC | Columbia & Cowlitz Railway Co. |
| CT | Columbia Terminal Railroad Co. |
| CAGY | Columbus & Greenville Railway Co. |
| CUOH | Columbus & Ohio River Railroad |
| CWRY | Commonwealth Railway, Inc. |
| CBL | Conemaugh & Black Lick Railroad Co. |
| CCCL | Connecticut Central Railroad |
| CGBX | Consolidated Grain & Barge Co. |
| CR | Consolidated Rail Corp. |
| CONW | Conway Scenic Railroad |
| CACV | Cooperstown & Charlotte Valley Railway Corp. |
| CMRX | Coopersville & Marne Railroad |
| CBRY | Copper Basin Railway, Inc. |
| CRCX | Cornhusker Rail Car Services, Inc. |
| CBGR | Council Bluffs Railway Co. |
| COER | Crab Orchard & Egyptian Railroad |
| CYCY | Crystal City Railroad, Inc. |
| CTSR | Cumbres & Toltec Scenic Railroad |
| CUVA | Cuyahoga Valley Railway Co. |
| CVSX | Cuyahoga Valley Scenic Railway |
| CN | Canadian National - North America |
| CV | Central Vermont Railway |
| CSX | CSX Transportation |
| DAIR | D & I Railroad Co. |
| DAKR | Dakota Railroad |
| DSRC | Dakota Southern Railway Co. |
| DME | Dakota, Minnesota & Eastern Railroad |
| DMVW | Dakota, Missouri Valley & Western Railroad, I |
| DGNO | Dallas, Garland & Northeastern Railroad |
| DTRR | Danbury Terminal Railroad Co. |
| DR | Dardanelle & Russellville Railroad |
| DRI | Davenport, Rock Island & North Western Railwa |
| DQE | De Queen & Eastern Railroad Co. |
| DT | Decatur Junction Railway Co. |
| DH | Delaware & Hudson Railway Co. |
| DURR | Delaware & Ulster Rail Ride |
| DL | Delaware Lackawanna Railroad (Replaces LVAL, LRWY) |
| DV | Delaware Valley Railroad Co., Inc. |
| DC | Delray Connecting Railroad Co. |
| DSRR | Delta Southern Railroad Co. |
| DVS | Delta Valley & Southern Railway Co. |

The exclusion of a railroad from this Appendix does not exempt a railroad from the requirements of 49 CFR 225.

Appendix A - Railroad Codes

| | |
|------|---|
| DRGW | Denver & Rio Grande Western Railroad Co. |
| DRIR | Denver Rock Island Railroad |
| DUT | Denver Union Terminal Railway |
| DLWR | Depew, Lancaster & Western Railroad Co., |
| DKS | Doniphan, Kensett & Searcy Railway |
| DCRR | Dubois County Railroad |
| DNE | Duluth & Northeastern Railroad Co. |
| DMIR | Duluth, Missabe & Iron Range Railway Co. |
| DWP | Duluth, Winnipeg & Pacific Railway |
| DSNG | Durango & Silverton Narrow Gauge Railroad Co. |
| DRHY | Durham Transport, Inc. |
| EACH | East Camden & Highland Railroad Co. |
| ECBR | East Cooper & Berkeley Railroad |
| EEC | East Erie Commercial Railroad |
| EJR | East Jersey Railroad & Terminal Co. |
| EPTC | East Portland Traction Co. |
| ETRY | East Tennessee Railway, L.P. |
| EARY | Eastern Alabama Railway Co. |
| EIRR | Eastern Idaho Railroad |
| EIRC | Eastern Illinois Railroad Co. |
| EMRY | Eastern Maine Railroad Co. |
| ESHR | Eastern Shore Railroad Inc. |
| TXTX | Econo Rail Corp. |
| EDW | El Dorado & Wesson Railway Co. |
| EJE | Elgin, Joliet & Eastern Railway Co. |
| EERZ | Ellis & Eastern Railroad |
| ELS | Escanaba & Lake Superior Railroad Co. |
| EKNA | Eureka Springs & North Arkansas Railroad |
| EV | Everett Railroad Co. |
| FMRC | Farmrail Corp. |
| FMWX | Fillmore and Western |
| FGLK | Finger Lakes Railway Corp. |
| FCEN | Florida Central Railroad Co. |
| FEC | Florida East Coast Railway Co. |
| FGC | Florida Gulf Coast Railroad Museum, Inc. |
| FMID | Florida Midland Railroad Co., Inc. |
| FNOR | Florida Northern Railroad Co., Inc. |
| FWCR | Florida West Coast Railway |
| FAPR | Floydada & Plainview Railroad Co. |
| FP | Fordyce & Princeton Railroad Co. |
| FSR | Fort Smith Railroad Co. |
| FWWR | Fort Worth & Western Railroad |
| FVW | Fox Valley & Western Ltd. |
| FEVR | Freemont & Elkhorn Valley Railroad |
| FWPP | Fremont, West Point & Pacific Rwy. |
| GVSR | Galveston Railroad, L.P. |

The exclusion of a railroad from this Appendix does not exempt a railroad from the requirements of 49 CFR 225.

Appendix A - Railroad Codes

| | |
|------|---|
| GCW | Garden City Western Railway Co. |
| GWWE | Gateway Eastern Railroad Co. |
| GWWR | Gateway Western Railway |
| GNWR | Genesee & Wyoming Railroad Co. |
| GRR | Georgetown Railroad Co. |
| GAAB | Georgia & Alabama Division |
| GFRR | Georgia & Florida Railroad Co., Inc. |
| GC | Georgia Central Railroad |
| GGS | Georgia Great Southern Division-South Carolina |
| GMA | Georgia Marble |
| GNRR | Georgia Northeastern Railroad Co. |
| GSWR | Georgia Southwestern Railroad Division |
| GWRC | Georgia Woodlands Railroad |
| GPSX | Gettysburg Passenger Service |
| GETY | Gettysburg Railroad Co. |
| GLSR | Gloster Southern Railroad |
| GGMX | Golden Gate Railroad Museum |
| GTRA | Golden Triangle Railroad Co. |
| GU | Grafton & Upton Railroad Co. |
| GNBC | Grainbelt Corp. |
| GCRX | Grand Canyon Railway |
| GR | Grand Rapids Eastern Railroad Inc. |
| GTW | Grand Trunk Western Railroad Inc. |
| GMRV | Great Miami & Scioto Railway Co. |
| GRMX | Great Miami & Western Railway |
| GTR | Great River Railroad |
| GSM | Great Smokey Mountain Railroad |
| GRWR | Great Walton Railroad Co. |
| GWR | Great Western Railway Co. |
| GMRC | Green Mountain Railroad Corp. |
| GRN | Greenville & Northern Railway Co. |
| GCSR | Gulf, Colorado San Saba Railway Corp. |
| GWSW | GWI Switching Services L.P. (Formerly Genessee & Wyoming) |
| HS | H & S Railroad Co., Inc. |
| HB | Hampton & Branchville Railroad Co. |
| HBL | Harbor Belt Line Railroad |
| HSRR | Hardin Southern Railroad, Inc. |
| HRT | Hartwell Railroad Co. |
| HVRX | Heber Valley Railroad Utah |
| HPTD | High Point, Thomasville & Denton Railroad Co. |
| HE | Hollis & Eastern Railroad Co. |
| HCRR | Honey Creek Railroad, Inc. |
| HOS | Hoosier Southern Railroad |
| HRRC | Housatonic Railroad Co., Inc. |
| HBT | Houston Belt & Terminal Railway Co. |
| HRR | Huckleberry Railroad |

The exclusion of a railroad from this Appendix does not exempt a railroad from the requirements of 49 CFR 225.

Appendix A - Railroad Codes

| | |
|------|--|
| HMCR | Huntsville & Madison County Railroad Authority |
| HESR | Huron & Eastern Railway |
| HN | Hutchinson & Northern Railway Co. |
| INPR | Idaho Northern & Pacific Railroad Co. |
| IC | Illinois Central Railroad Co. |
| IRYM | Illinois Railway Museum |
| IOCR | Indiana & Ohio Central Railroad, Inc. |
| INOH | Indiana & Ohio Railroad, Inc. |
| IORY | Indiana & Ohio Railway |
| IOSX | Indiana & Ohio Scenic Rail Corp. |
| IHB | Indiana Harbor Belt Railroad Co. |
| IHRC | Indiana Hi-Rail Corp. |
| IN | Indiana Northeastern Railroad Co., Inc. |
| INRD | Indiana Rail Road Co. |
| IRM | Indiana Railway Museum |
| ISRR | Indiana Southern Railroad Co., Inc. |
| ITMZ | Indiana Transportation Museum |
| IAIS | Iowa Interstate Railroad |
| IANR | Iowa Northern Railway Co. |
| IATR | Iowa Traction Railroad Co. |
| ISSR | Iss Rail, Inc. |
| JKL | J. K. Line Inc. (TIPP) |
| JXPT | Jaxport Terminal Railway Co. |
| JEFW | Jefferson Warrior Railroad |
| JJRX | Joliet Junction Railroad |
| JERX | Joppa & Eastern Railroad Co. |
| KWT | K.W.T. Railway, Inc. |
| KBSR | Kankakee, Beaverville & Southern Railroad Co. |
| KCS | Kansas City Southern Railway Co. |
| KCT | Kansas City Terminal Railway Co. |
| KGEZ | Kansas Gas & Electric |
| KSW | Kansas Southwestern Railway |
| KT | Kentucky & Tennessee Railway |
| KJRY | Keokuk Junction Railway |
| KMRY | Kettle Moraine Railway |
| KRR | Kiamichi Railroad Co., Inc. |
| KKRR | Knox & Kane Railroad Co. |
| KYLE | Kyle Railroad Co. |
| LSRX | Lake Shore Railway |
| LSRC | Lake State Railway Co. |
| LSI | Lake Superior & Ishpeming Railroad Co. |
| LSMR | Lake Superior & Mississippi Railroad |
| LSMT | Lake Superior Museum Of Transportation |
| LT | Lake Terminal Railroad Co. |
| LVRC | Lamoille Valley Railroad Co. |
| LC | Lancaster & Chester Railway Co. |

The exclusion of a railroad from this Appendix does not exempt a railroad from the requirements of 49 CFR 225.

Appendix A - Railroad Codes

| | |
|------|--|
| LNO | Laona & Northern Railway |
| LRS | Laurinburg & Southern Railroad Co. |
| LCSR | Leadville, Colorado & Southern Railroad, Co. |
| LINC | Lewis & Clark Railroad Co. |
| LBCX | Lewisburg & Buffalo Creek Railroad |
| LFIZ | Litchfield Industrial Railroad |
| LKRR | Little Kanawha River Rail |
| LRR | Little River Railroad |
| LRWN | Little Rock & Western Railway, L.P. |
| LRPA | Little Rock Port Railroad Co. |
| LAL | Livonia, Avon & Lakeville Railroad Corp. |
| LER | Logansport & Eel River Short Line Co., Inc. |
| LI | Long Island Rail Road |
| LS | Longview Switching |
| LPN | Longview, Portland & Northern Railway Co. |
| LAJ | Los Angeles Junction Railway Co. |
| LDRR | Louisiana & Delta Railroad |
| LNW | Louisiana & North West Railroad Co. |
| LIRC | Louisville & Indiana Railroad Co. |
| LW | Louisville & Wadley Railway Co. |
| LNAL | Louisville, New Albany & Corydon Railroad |
| LBR | Lowville & Beaver River Railroad Co. |
| LUN | Ludington & Northern Railway |
| LSX | Luzerene & Susquehanna Rwy Co. |
| CMPA | Madison Railroad Division |
| MAA | Magma Arizona Railroad Co. |
| MVRY | Mahoning Valley Railroad Co. |
| MEC | Maine Central Railroad Co. |
| MC | Maine Coast Railroad Corp. |
| MPP | Manitou & Pike's Peak Railroad Co. |
| MJ | Manufacturers' Junction Railway Co. |
| MRS | Manufacturers' Railway Co. |
| MDDE | Maryland & Delaware Railroad Co. |
| MPA | Maryland & Pennsylvania Railroad Co. |
| MMID | Maryland Midland Railway, Inc. |
| MCCL | Mason City & Clear Lake Electric Railway Hist. |
| MCER | Massachusetts Central Railroad Corp. |
| MSTR | Massena Terminal Railroad Co. |
| MCR | McCloud Railway Co. |
| MKC | McKeesport Connecting Railroad Co. |
| MBRR | Meridian & Bigbee Railroad Co. |
| MNCW | Metro North Commuter Railroad Co. |
| MS | Michigan Shore Railroad |
| MSO | Michigan Southern Railroad Co., Inc.a |
| MSTP | Michigan State Trust For Railway Preservation |

The exclusion of a railroad from this Appendix does not exempt a railroad from the requirements of 49 CFR 225.

Appendix A - Railroad Codes

| | |
|------|---|
| MRR | Mid-Atlantic Railroad Co., Inc. (Use Code CALA) |
| MCRY | Mid-Continent Railway |
| MMRR | Mid-Michigan Railroad Co. |
| MIDH | Middletown & Hummelstown Railroad Co. |
| MNJ | Middletown & New Jersey Railway Co., Inc. |
| MDLR | Midland Terminal Co. |
| MDRY | Midlands Railway |
| MWCL | Midwest Coal Handling, Inc. |
| MMR | Minnesota & Manitoba Railroad |
| MCTA | Minnesota Central Railroad Co. |
| MNNR | Minnesota Commercial Railway |
| MNTM | Minnesota Transportation Museum |
| MZL | Minnesota Zephyr, Limited |
| MDW | Minnesota, Dakota & Western Railway Co. |
| MSV | Mississippi & Skuna Valley Railroad Co. |
| MSCI | Mississippi Central Railroad Co. |
| MSDR | Mississippi Delta Railroad |
| MSE | Mississippi Export Railroad Co. |
| MSRW | Mississippian Railway Cooperative, Inc. |
| MNA | Missouri & Northern Arkansas Railroad Co. |
| MET | Modesto & Empire Traction Co. |
| MHWA | Mohawk, Adirondack & Northern Railroad Corp. |
| MWRL | Molalla Western Railway Co. |
| MCRR | Monongahela Connecting Railroad Co. |
| MRL | Montana Rail Link |
| MWRR | Montana Western Railway Co. |
| MRMZ | Monticello Railway Museum |
| ME | Morristown & Erie Railway, Inc. |
| MCSA | Moscow, Camden & San Augustine Railroad |
| MH | Mount Hood Railway Co. |
| MNL | Mountain Laurel Railroad Co. |
| MWR | Muncie & Western Railroad Co. |
| METW | Municipality Of East Troy |
| NCMX | N C Transportation Museum. |
| NVRR | Napa Valley Railroad |
| NCYR | Nash County Railroad |
| NERR | Nashville & Eastern Railroad |
| NRI | Nebkota Railway, Inc. |
| NCRC | Nebraska Central Railroad |
| NNRX | Nevada Northern Railway |
| NSWX | Neversweat & Washoe Railroad |
| NECR | New England Central Railroad |
| NEGS | New England Southern Railroad Co., Inc. |
| NEWG | New Georgia Railroad |
| NHVT | New Hampshire & Vermont Railroad Co. |
| NHCR | New Hampshire Central Railroad, Inc. |

The exclusion of a railroad from this Appendix does not exempt a railroad from the requirements of 49 CFR 225.

Appendix A - Railroad Codes

| | |
|------|---|
| NHN | New Hampshire North Coast Railroad |
| NHRR | New Hope & Ivyland Rail Road |
| NJTR | New Jersey Transit Rail Operations |
| NOLR | New Orleans Lower Coast Railroad, Inc. |
| NOPB | New Orleans Public Belt Railroad |
| NYLE | New York & Lake Erie |
| NYCH | New York Cross Harbor Railroad Terminal Corp. |
| NYSW | New York, Susquehanna & Western Railroad Co. |
| NSR | Newburgh & South Shore Railroad |
| NICX | Niles Canyon Railway |
| NTRY | Nimishillen & Tuscarawas Railway Co. |
| NBER | Nittany & Bald Eagle |
| NRR | Nobles Rock Railroad (Former Code NRRX) |
| NPB | Norfolk & Portsmouth Belt Line Railroad Co. |
| NS | Norfolk Southern Corp. |
| NCVA | North Carolina & Virginia Railroad Co. |
| NCRR | North Coast Railroad |
| NSHR | North Shore Railroad |
| NSSR | North Shore Scenic Railroad |
| NIRC | Northeast Illinois Regional Comuter Rail Corp. |
| NEKM | Northeast Kansas & Missouri |
| NICD | Northern Indiana Commuter Transportation Dist |
| NN | Northern Nevada Railroad Corp. |
| NOW | Northern Ohio & Western Railway, LTD. |
| NOKL | Northwestern Oklahoma Railroad Co. |
| OTR | Oakland Terminal Railway |
| OGEE | Ogeechee Railway Co. |
| OHIC | Ohi Rail Corp. |
| OHPA | Ohio & Pennsylvania Railroad Co. |
| OHCR | Ohio Central Railroad Co. |
| ORY | Ohio Railway Museum |
| OSRR | Ohio Southern Railroad Co. |
| OCTL | Oil Creek & Titusville Lines |
| OAR | Old Augusta Railroad Co. |
| OLB | Omaha, Lincoln & Beatrice Railway Co. |
| ONCT | Ontario Central Railroad Corp. |
| OMID | Ontario Midland Railroad Corp. |
| OERR | Oregon Eastern Railroad |
| ORR | Osage Railroad |
| OTVR | Otter Tail Valley Railroad Co., Inc. |
| OUCH | Ouachita Railroad |
| OHRY | Owego & Harford Railway, Inc. |
| PLW | P L & W (Former Code PLWX) |
| PARN | Pacific & Arctic Railroad & Navigation Co. |
| PSRM | Pacific SW Railway Museum (San Diego RR Museum) |
| PI | Paducah & Illinois Railroad Co. |
| PAL | Paducah & Louisville Railway Co. |

The exclusion of a railroad from this Appendix does not exempt a railroad from the requirements of 49 CFR 225.

Appendix A - Railroad Codes

| | |
|------|---|
| PNR | Panhandle Northern Railroad Co. |
| PRT | Parr Terminal Railroad |
| PBR | Patapsco & Back Rivers Railroad Co. |
| PRV | Pearl River Valley Railroad Co. |
| PVS | Pecos Valley Southern Railway Co. |
| POVA | Pend Oreille Valley Railroad, Inc. |
| PT | Peninsula Terminal Co. |
| PPU | Peoria & Pekin Union Railway Co. |
| PPHW | Peoria, Peoria Heights & Western Railroad |
| PBNE | Philadelphia, Bethlehem & New England Railroad |
| PICK | Pickens Railroad Co. |
| PBRR | Pine Belt Southern RR |
| PVRR | Pioneer Valley Railroad Co., Inc. |
| PS | Pittsburg & Shawmut Railroad Co. |
| PAM | Pittsburgh, Allegheny & McKees Rocks Railroad |
| PCY | Pittsburgh, Chartiers & Youghiogeny Railway |
| PTC | Plainview Terminal Co. (Peoria Terminal Used Code TIL 1980) |
| PLL | Plymouth & Lincoln |
| PCN | Point Comfort & Northern Railway Co. |
| PATH | Port Authority Trans Hudson |
| PBVR | Port Bienville Railroad |
| POCA | Port Of Catoosa |
| MAUP | Port Of Manatee |
| PPBD | Port Of Palm Beach Terminal |
| POTB | Port Of Tillamook Bay Railroad |
| PRI | Port Railroads, Inc. |
| PRYL | Port Royal Railroad |
| PTR | Port Terminal Railroad of South Carolina |
| PTRA | Port Terminal Railroad Association |
| PUCC | Port Utilities Commission Of Charleston, S.C. |
| PNWR | Portland & Western Railroad, Inc. |
| PTO | Portland Terminal (Oregon) |
| PEX | Potomac Eagle Scenic Rail Excursion |
| PNW | Prescott & Northwestern Railroad Co. |
| PW | Providence & Worcester Railroad Co. |
| PSHX | Puget Sound Railway Historical Association |
| QARX | Queen Anne Railroad |
| QBT | Quincy Bay Terminal Co. |
| QRR | Quincy Railroad Co. |
| RJCR | R. J. Corman Railroad |
| RJCL | R. J. Corman Railroad Co./Cleveland Line |
| RJCM | R. J. Corman Railroad Co./Memphis Line |
| RJCW | R. J. Corman, Western Ohio Line |
| RSIX | Rail Switching L.L.C. |

The exclusion of a railroad from this Appendix does not exempt a railroad from the requirements of 49 CFR 225.

Appendix A - Railroad Codes

| | |
|------|---|
| RTI | Rail Tours, Inc. |
| RSM | Railroad Switching Service Of Missouri, Inc. |
| RARW | Rarus Railway Co. |
| RBMN | Reading Blue Mountain & Northern Railroad Co. |
| RRC | Readmont Railway Co., Inc. |
| RBKR | Red Bank Railroad Co. |
| RRVW | Red River Valley & Western Railroad |
| RSNR | Red Spring & Northern Railroad |
| RVSC | Rio Valley Switching Co. |
| RT | River Terminal Railway Co. |
| RSR | Rochester Southern Railroad, Inc. |
| RSS | Rockdale, Sandow & Southern Railroad Co. |
| SRN | Sabine River & Northern Railroad Co. |
| SGVY | Saginaw Valley Railway Co., Inc. |
| SL | Salt Lake City Southern Railroad Co., Inc. |
| SLGW | Salt Lake, Garfield & Western Railway Co. |
| SDIY | San Diego & Imperial Valley |
| SFBR | San Francisco Belt Railroad |
| SJVR | San Joaquin Valley Railroad Co. |
| SLC | San Luis Central Railroad Co. |
| SMA | San Manuel Arizona Railroad Co. |
| SWKR | San Pedro & Southwestern Railway Co. |
| SS | Sand Springs Railway Co. |
| SAN | Sandersville Railroad Co. |
| SCBG | Santa Cruz, Big Tree & Pacific Railroad |
| SFS | Santa Fe Southern Railway, Inc. |
| SMV | Santa Maria Valley Railroad Co. |
| SBNX | Saracuse Binghampton and New York Railroad |
| SSDK | Savannah State Docks Railroad Co. |
| SWGR | Seagraves, Whiteface & Lubbock Railroad Co. |
| SGLR | Seminole Gulf Railroad |
| SE | Semo Port Railroad, Inc. |
| SQVR | Sequatchie Valley Railroad |
| SVRR | Shamokin Valley Railroad Co. |
| SVIZ | Shelbyville Industrial Railroad |
| SLGG | Sidney & Lowe Railroad Inc. |
| SERA | Sierra Railroad Co. |
| SRYC | Sierra Railway Co. Of California Limited |
| SMRR | Sisseton Milbank Railroad |
| SHRX | Smokey Hill Railway |
| SOM | Somerset Railroad Co. |
| SOO | Soo Line Railroad Co. |
| SBVR | South Branch Valley Railroad |
| SB | South Buffalo Railway Co. |
| SCRF | South Carolina Central Railroad Co., Inc. |

The exclusion of a railroad from this Appendix does not exempt a railroad from the requirements of 49 CFR 225.

Appendix A - Railroad Codes

| | |
|------|---|
| SCXF | South Central Florida Express, Inc. |
| SCTR | South Central Tennessee Railroad Corp. |
| SKOL | South Kansas & Oklahoma Railroad Co. |
| SO | South Orient Railroad Co., Ltd. |
| SLAL | South Plains Lamesa Railroad, LTD |
| SEKR | Southeast Kansas Railroad |
| SEI | Southeastern International Railroad |
| SEPA | Southeastern Pennsylvania Transportation Auth |
| SUAB | Southern Alabama Railroad Co., Inc. |
| SCAX | Southern California Regional Rail Authority |
| SEGX | Southern Electric Generating Co. |
| SERX | Southern Electric Railroad |
| SIND | Southern Indiana Railway, Inc. |
| SMRS | Southern Michigan Railroad Society |
| SP | Southern Pacific Transportation Co. |
| SSWN | Southern Pacific, Chicago-St. Louis Corp. |
| SRNJ | Southern Railroad Co. Of New Jersey |
| SSC | Southern Switching Co. |
| SWP | Southwest Pennsylvania Railroad Co. |
| SW | Southwestern Railroad Co., Inc. |
| ST | Springfield Terminal Railway Co. (Vermont |
| SLR | St. Lawrence & Atlantic Railroad Co. |
| SLRR | St. Lawrence & Raquette River Railroad |
| SLCR | St. Louis & Chain Of Rocks Railroad |
| SSW | St. Louis Southwestern Railway Co. |
| SLST | St. Louis Steam Train Association |
| SLOI | St. Louis, Iron Mountain, & Southern |
| STMA | St. Maries River Railroad Co. |
| SM | St. Marys Railroad Co. |
| SNCX | Steamtown National Historic Site (Former Code SF) |
| SH | Steelton & Highspire Railroad |
| STRT | Stewartstown Railroad Co. |
| STE | Stockton Terminal & Eastern Railroad |
| SMPX | Stone Mountain Park |
| SBRR | Stourbridge Railroad Co. |
| SRC | Strasburg Railroad Co. |
| SLRS | SMS Rail Service, Inc. |
| TE | Tacoma Eastern Railway Co. |
| TMBL | Tacoma Municipal Belt Line Railway |
| TSRR | Tennessee Southern Railroad Co., Inc. |
| TVRM | Tennessee Valley Railroad |
| TKEN | Tennken Railroad Co. Inc. |
| TRRA | Terminal Railroad Association Of St. Louis |

The exclusion of a railroad from this Appendix does not exempt a railroad from the requirements of 49 CFR 225.

Appendix A - Railroad Codes

| | |
|------|---|
| TASD | Terminal Railway Alabama State Docks |
| TNMR | Texas & New Mexico Railroad Co. (Austin & |
| TN | Texas & Northern Railway Co. |
| TCT | Texas City Terminal Railway Co. |
| TELX | Texas Limited (Excursion Train, Inc.) |
| TM | Texas Mexican Railway Co. |
| TNOX | Texas North Orient Railroad |
| TNER | Texas Northeastern Division--Mid-Michigan Rai |
| TXNW | Texas Northwestern Railway Co. |
| TSE | Texas South-Eastern Railroad Co. |
| TSR | Texas State Railroad |
| TXTC | Texas Transportation Co. |
| TXGN | Texas, Gonzales & Northern Railway Co. |
| TOE | Texas, Oklahoma & Eastern Railroad Co. |
| BAYL | The Bay Line Railroad, L.L.C. |
| CALA | The Carolina Southern Railroad Co. |
| CTER | The Cincinnati Terminal Railway Co. |
| PCDX | The Pittsburgh & Conneaut Dock Co. |
| WTRM | The Warren & Trumbull Railroad Co. |
| TBRY | Thermal Belt Railway |
| TIOC | Tioga Central Railroad |
| TLEW | Toledo Lake Erie & Western Railroad |
| TPW | Toledo, Peoria & Western Railway Corp. |
| TR | Tomahawk Railway, L.P. |
| TMSS | Towanda Monroeton Shippers Lifeline, Inc. |
| TULX | Trains Unlimited |
| TCSX | Transcisco Rail Services Co. |
| TTIS | Transkentucky Transportation Railroad, Inc. |
| TCCX | Tri-County Commuter Rail Authority |
| TRC | Trona Railway Co. |
| TCG | Tucson, Cornelia & Gila Bend Railroad Co. |
| TVRR | Tulare Valley Railroad Co. |
| TSU | Tulsa-Sapulpa Union Railway Co., L.L.C. |
| TCKR | Turtle Creek Industrial Railroad, Inc. |
| TSBY | Tuscola & Saginaw Bay Railroad Co., Inc. |
| TCWR | Twin City & Western Railroad |
| TSRD | Twin State Railroad Co. |
| UCIR | Union County Industrial Railroad Co. |
| UP | Union Pacific Railroad Co. |
| URR | Union Railroad Co. (Pittsburgh) |
| UMP | Upper Merion & Plymouth Railroad Co. |
| UTAH | Utah Railway Co. |
| VR | Valdosta Railway, L.P. |
| VALE | Valley Railroad Co. |
| VVRC | Vandalia Railroad Co. |

The exclusion of a railroad from this Appendix does not exempt a railroad from the requirements of 49 CFR 225.

Appendix A - Railroad Codes

| | |
|------|--|
| VCY | Ventura County Railway Co. |
| VTR | Vermont Railway, Inc. |
| VTRR | Virginia & Truckee Railroad Co., Inc. |
| VSRR | Virginia Southern Railroad |
| WCLR | Waccamaw Coast Line Railroad Co. |
| WS | Walkersville Southern Railroad, Inc. |
| WHOE | Walking Horse & Eastern Railroad Co. |
| WSR | Warren & Saline River Railroad Co. |
| WCRC | Washington Central Railroad Co. |
| WACR | Washington County Railroad Corp. |
| WCOR | Wellsboro & Corning Railroad Co. |
| WJ | West Jersey Railroad Co. |
| WTSE | West Shore Railroad |
| WTNN | West Tennessee Railroad Corp. |
| WTLR | West Texas and Lubbock Railroad Co. Inc. |
| WVN | West Virginia Northern Railroad, Limited |
| WKRL | Western Kentucky Railway, LLC |
| WMSR | Western Maryland Scenic Railroad |
| WPSX | Western Plant Services, Inc. (CA) |
| WRRC | Western Railroad Co. |
| WRM | Western Railway Museum |
| WTCX | Weyerheuser Co. |
| WE | Wheeling & Lake Erie Railway Co. |
| WVRR | Whitewater Valley Railroad |
| WTA | Wichita Terminal Association |
| WTJR | Wichita, Tillman & Jackson Railway Co., |
| WBC | Wilkes-Barre Connecting Railroad Co. |
| WPRR | Willamette & Pacific Railroad, Inc. |
| WVR | Willamette Valley Railway Co. |
| WGR | Willamina & Grand Ronde Railway Co. |
| WWRC | Wilmington & Western Railroad Co. |
| WTRY | Wilmington Terminal Railroad Inc. |
| WSRY | Winamac Southern Railway Co. |
| WW | Winchester & Western Railroad Co. |
| WSS | Winston-Salem Southbound Railway |
| WGCR | Wiregrass Central Railroad Co. |
| WSOR | Wisconsin & Southern Railroad Co. |
| WC | Wisconsin Central Ltd. (also Railway) |
| WYCO | Wyoming & Colorado Railroad |
| WCTR | WCTU Railway Co. |
| YVRR | Yadkin Valley Railroad Co. |
| YSLR | Yolo Shortline Railroad Co. |
| YKR | Yorkrail, Inc. |
| YARR | Youngstown & Austintown Railroad |
| YW | Yreka Western Railroad Co. |

The exclusion of a railroad from this Appendix does not exempt a railroad from the requirements of 49 CFR 225.

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 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
T220 Transverse/compound fissure
T221 Vertical split head
T222 Worn rail

Appendix C - Train Accident Cause Codes

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)

Appendix C - Train Accident Cause Codes

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
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)

Appendix C - Train Accident Cause Codes

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
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)

Appendix C - Train Accident Cause Codes

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
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)

Appendix C - Train Accident Cause Codes

- 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)
- 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)

Appendix C - Train Accident Cause Codes

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)

Appendix C - Train Accident Cause Codes

TRAIN OPERATION - HUMAN FACTORS

BRAKES, USE OF

H008 Improper operation of train line air connections (bottling the air)
H017 Failure to properly secure engine(s) (railroad employee)
H018 Failure to properly secure hand brake on car(s) (railroad employee)
H019 Failure to release hand brakes on car(s) (railroad employee)
H020 Failure to apply sufficient number of hand brakes on car(s) (railroad employee)
H021 Failure to apply hand brakes on car(s) (railroad employee)
H022 Failure to properly secure engine(s) or car(s) (non railroad employee)
H025 Failure to control speed of car using hand brake (railroad employee)
H099 Use of brakes, other (Provide detailed description in narrative)

EMPLOYEE PHYSICAL CONDITION

H101 Impairment of efficiency or judgment because of drugs or alcohol
H102 Incapacitation due to injury or illness
H103 Employee restricted in work or motion
H104 Employee asleep
H199 Employee physical condition, other (Provide detailed description in narrative)

FLAGGING, FIXED, HAND AND RADIO SIGNALS

H201 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

Appendix C - Train Accident Cause Codes

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)

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)

Appendix C - Train Accident Cause Codes

H523 Throttle (power), too rapid adjustment (H015)
H524 Excessive horsepower (H016)
H525 Independent (engine) brake, improper use (except actuation) (H023)
H526 Failure to actuate off independent brake (H024)
H599 Other causes relating to train handling or makeup (Provide detailed description in narrative)

Note: The description of the causes for codes H510 through H526 were originally found in subgroup "BRAKES, USE OF". It has been decided that these causes are more appropriate to the "TRAIN HANDLING/TRAIN MAKEUP" subgroup. Consequently, it was necessary to assign new codes in order to maintain the coding convention and to simplify grouping of causes by computer. The original code has been appended to the description to aid in data conversion.

SPEED

H601 Coupling speed excessive
H602 Switching movement, excessive speed
H603 Train 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

Appendix C - Train Accident Cause Codes

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

Example: A car inspector observes a 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)

Appendix C - Train Accident Cause Codes

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)
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

Appendix C - Train Accident Cause Codes

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 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) | |

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. |

Appendix D - Employee Job Codes

| | | |
|-----|--|---|
| 203 | Auditors, Traveling Auditors | Traveling Auditor, Accounting Specialist Auditors, Operations Traveling Auditors, Station Auditors. |
| 203 | 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, Keypunch Operator, Office Machine Technician. |

Appendix D - Employee Job Codes

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| 214 | Secretaries, Stenographers, and Typists. | Secretary, Stenographer, Typists, Clerk Typists, Steno-clerk. |
| 215 | General and Other Clerks (excluding yard clerk and crew dispatcher) | File Clerk, General Clerk, Bookkeeper, Ticket Clerk, Records Clerk, Trace Clerk, Assignment Clerk, Personnel Clerk, M O W Clerks, M of W Clerks. |
| 216 | Telephone & Switchboard Operators | Switchboard Operator, Chief Operator. |
| 217 | Building & Office Attendants | Elevator Operator, Elevator Starter, Janitor, Cleaner, Porter. |
| 218 | Messengers & Office Persons | Messenger, Office Person. |
| 219 | Motor Vehicle Operators | Truck Driver, Bus Driver, Driver, Chauffeur. |
| 200 | Professional and Administrative (other) | |

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). |

Appendix D - Employee Job Codes

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| 308 | Bridge and Building Helpers and Apprentices | Carpenter Helper, Ironworker Helper, Mason Helper, Plumber Helper, Painter Helper, Apprentice Carpenter, Apprentice Ironworker, Apprentice Mason, Plumber Apprentice, Apprentice Painter, Welder Helper. |
| 309 | Bridge and Building Gang and Bridge and Building Dept. Laborers | Bridge and Building Laborer. |
| 310 | Track Gang Foreman (Extra Gang work train laborers) | Gang Foreman, Asst. Foreman |
| 311 | Gang or Section Foreman | Gang Foreman, Asst. Foreman, Section Foreman. |
| 312 | Extra Gang Laborers | Trackman, Fence Laborer |
| 313 | Section Laborers | Track, Track and Roadway Section Laborer. |
| 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 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). |
|-----|---|--|

Appendix D - Employee Job Codes

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| 402 | Supervisors and General Foremen, Materials and Stores | Supervisor Materials, Asst. Supervisor, Materials, General Foreman Stores, General Foreman Reclamation Plant, Asst. General Foreman. |
| 403 | Equipment, Shop, Electrical Inspectors | Chief Electrical Inspector, Chip Shop & Equipment Inspector, Electrical Inspector, Inspector Diesel Locomotive, Fuel Inspector. |
| 404 | Materials and Supplies Inspectors | Materials & Supplies Inspector, Chief Materials & Supplies Inspector, Timber Inspector, Tie Inspector. |
| 405 | Storekeeper | Storekeeper, Assistant, Storekeeper, Materials Clerk, Store Clerk. |
| 406 | Gang Foremen, Maintenance of Equipment | Gang Foreman. |
| 407 | Blacksmith | Blacksmith. |
| 408 | Boilermakers | Boilermaker. |
| 409 | Carmen (Freight) | Car Repairman, Car Inspector, Carman, Painter. |
| 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 |

Appendix D - Employee Job Codes

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| 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) | |
| TRANSPORTATION, OTHER THAN TRAIN AND ENGINE | | |
| 501 | Transportation Supervisor and Chief Train Dispatcher | Chief Train Dispatcher, Supervisor Train Operations, Transportation Supervisor, Supervisor Train Operations, Supervisor Locomotive & Car Distribution, Asst. Chief Train Dispatcher. |
| 502 | Train Dispatchers | Train Dispatcher. |
| 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 |

Appendix D - Employee Job Codes

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|-----|---|---|
| 511 | Station and Warehouse Laborers | Loader, Sealer |
| 512 | Truckers (Station, Warehouse & Platforms). | Trucker |
| 513 | Food and Lodging Manager, Supervisors | Manager Lodging House, Restaurant Manager, Dining Car Supervisor, Dining Car Steward. |
| 514 | Transportation and Dining Service Inspectors | Instructor Chef, Restaurant Inspectors, Freight Service Inspector, Baggage Inspector. |
| 515 | Waiters and Kitchen Helpers (Restaurant and Dining Car) | Waiter-in-charge, Waiter. |
| 516 | Chefs and Cooks (Restaurant and Dining Car) | Chef, Cook. |
| 517 | Marine Officers and Workers and Shore Workers | Captain, Engineer, Mate, Deckhand, Oiler Purser, Boat Master, Fireman, Wharf Master, Able Seaman, Baggage man, Boat Dispatcher. |
| 518 | Train Attendants | Porter, Buffet Lounge Attendant, Stewardess. |
| 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, 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. |

Appendix D - Employee Job Codes

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| 606 | Road Passenger Conductors | Passenger Conductor. |
| 607 | Asst. Road Passenger Conductors and Ticket Collectors | Asst. Passenger Conductor, Ticket Collector. |
| 608 | Road Freight Conductors (Through Freight). | Freight Conductor, Work Train Conductor, (paid through rate). |
| 609 | Road Freight Conductors (Local and Way Freight) | Freight Conductor, Work Train Conductor, (paid local rate). |
| 610 | Lead Passenger Baggageperson | Baggageperson. |
| 611 | Lead Passenger Brakemen and Flagmen | Passenger Brakeman, Passenger Flagmen. |
| 612 | Road Freight Brakemen and Flagmen (Through Freight) | Freight Brakeman, Freight Flagman, Work Train Brakeman (paid through rate). |
| 613 | Road Freight Brakemen and Flagmen (Local and Way Freight) | Freight Brakeman, Freight Flagman, Work Train Brakeman, (paid local rate). |
| 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) | |

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 | 99A | 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: A - upper arm B - elbow C - lower arm D - wrist E - hand (general) F - thumb/fingers | 5 | Head or face: A - eye B - ear C - nose D - mouth/teeth E - skull/scalp F - neck/throat |
| 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 |

EMPLOYEE OCCUPATIONAL ILLNESS CODES ARE ON FOLLOWING PAGES

Appendix E - Injury and Illness Codes

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
- 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

Appendix E - Injury and Illness Codes

- 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)

- 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 electromagnetic 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

Appendix E - Injury and Illness Codes

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
- 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

Appendix E - Injury and Illness Codes

- 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 F - Casualty Occurrence Codes

A. COUPLING AND UNCOUPLING LOCOMOTIVES OR CARS

- 001T Adjusting coupler, equipment moving unexpectedly
- 002 Adjusting coupler - equipment standing
- 002T Adjusting coupler - equipment moving
- 003 Crossing over, under or between standing on-track equipment
- 003T Crossing over, under or between moving on-track equipment
- 004 Adjusting coupler, part of coupler fell striking person - equipment standing
- 004T Adjusting coupler, part of coupler fell striking person - equipment moving
- 005 Use of uncoupling lever - equipment standing
- 005T Use of uncoupling lever - equipment moving
- 006T Use of uncoupling lever - equipment moving unexpectedly
- 007 Striking parts of body against equipment - equipment standing
- 007T Striking parts of body against equipment - equipment moving
- 008 Stumbled, slipped, fell or stepped on foreign object or irregular surface - equipment standing
- 008T Stumbled, slipped, fell or stepped on foreign object or irregular surface - equipment moving
- 009 Other accidents/incidents while coupling/uncoupling cars or locomotives - equipment standing
- 009T Other accidents/incidents while coupling/uncoupling cars or locomotives - equipment moving

B. COUPLING OR UNCOUPLING AIR HOSE (OR TURNING ANGLE COCKS), STEAM HOSE, AND SAFETY CHAINS

- 051 Crossing over, under or between standing on-track equipment
- 051T Crossing over, under or between moving on-track equipment
- 052 Uncoupling air hose, struck by hose because of sudden release of air - equipment standing
- 052T Uncoupling air hose, struck by hose because of sudden release of air - equipment moving

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- 053 Coupling air hose, struck by hose because of sudden release of air - equipment standing
- 053T Coupling air hose, struck by hose because of sudden release of air - equipment moving
- 054 Stumbled, slipped, fell, or stepped on foreign object or irregular surface - equipment standing
- 054T Stumbled, slipped, fell, or stepped on foreign object or irregular surface - equipment moving
- 055 Defective equipment - equipment standing
- 055T Defective equipment - equipment moving
- 056 Burned by hot water or steam from hose - equipment standing
- 056T Burned by hot water or steam from hose - equipment moving
- 057 Opening or closing angle cocks - equipment standing
- 057T Opening or closing angle cocks - equipment moving
- 059 Other accidents/incidents while coupling/uncoupling air or steam hose, or turning angle cocks - equipment standing
- 059T Other accidents/incidents while coupling/uncoupling air or steam hose, or turning angle cocks - equipment moving

C. WHILE OPERATING OR ON LOCOMOTIVE

- 101 Burn or electrical shock - equipment standing
- 101T Burn or electrical shock - equipment moving
- 102 Striking parts of body against equipment while moving about locomotive - equipment standing
- 102T Striking parts of body against equipment while moving about locomotive - equipment moving
- 103 Struck by tools or other falling objects - equipment standing
- 103T Struck by tools or other falling objects - equipment moving
- 104 Stumbled, slipped, fell or stepped on foreign object or irregular surface - equipment standing
- 104T Stumbled, slipped, fell, or stepped on foreign object or irregular surface - equipment moving
- 105 Checking, oiling, servicing locomotive, etc. - equipment standing
- 105T Checking, oiling, servicing locomotive, etc. - equipment moving

Appendix F - Casualty Occurrence Codes

- 106T Unexpected movement of locomotive, other than slack action
- 107T Slack action in locomotive
- 108T Striking parts of body against equipment because of sudden stop of locomotive
- 109 Inhalation of or contact with fumes or gases - equipment standing
- 109T Inhalation of or contact with fumes or gases - equipment moving
- 110 Defective locomotive seat - equipment standing
- 110T Defective locomotive seat - equipment moving
- 111 Adjusting locomotive seat - equipment standing
- 111T Adjusting locomotive seat - equipment moving
- 112 Foreign object in eye - equipment standing
- 112T Foreign object in eye - equipment moving
- 119 Other accidents/incidents while operating locomotive - equipment standing
- 119T Other accidents/incidents while operating locomotives - equipment moving

D. OPERATING RAIL MOTORCARS

- 151 Striking parts of body against equipment - equipment standing
- 151T Striking parts of body against equipment - equipment moving
- 152 Struck by tools or other falling objects - equipment standing
- 152T Struck by tools or other falling objects - equipment moving
- 153 Stumbled, slipped, fell or stepped on foreign object or irregular surface - equipment standing
- 153T Stumbled, slipped, fell or stepped on foreign object or irregular surface - equipment moving
- 154 Unexpected movement of rail motor car
- 155 Placing/removing rail motorcar on/off rail
- 159 Other accidents/incidents while operating rail motorcars - equipment standing
- 159T Other accidents/incidents while operating rail motor cars - equipment moving

Appendix F - Casualty Occurrence Codes

E. OPERATING HAND BRAKES

- 200 Manipulating hand brakes, equipment standing, no defects
- 200T Manipulating hand brakes, equipment moving, no defects
- 201 Defective equipment - equipment standing
- 201T Defective equipment - equipment moving
- 202 Pawl slipping or accidentally knocked out of ratchet - equipment standing
- 202T Pawl slipping or accidentally knocked out of ratchet - equipment moving
- 203 Striking body not due to movement of equipment
- 203T Striking body due to movement of equipment
- 204T Losing hold, slipping or falling because of coupling impact
- 205 Caught between parts of equipment or lading - equipment standing
- 205T Caught between parts of equipment or lading - equipment moving
- 206 Brake chains or bolts, breaking or giving away - equipment standing
- 206T Brake chains or bolts, breaking or giving way - equipment moving
- 207 Losing hold, slipping, or falling - equipment standing
- 207T Losing hold, slipping, or falling - equipment moving
- 208 Caught hand/fingers in spinning brake while - equipment standing
- 208T Caught hand/fingers in spinning brake while - equipment moving
- 209 Other accidents/incidents while operating hand brakes - equipment standing
- 209T Other accidents/incidents while operating hand brakes - equipment moving

F. OPERATING SWITCHES OR DERAILS

- 301 Slipped, tripped or fell because of ice or snow
- 302 Slipped, tripped or fell not due to ice or snow
- 303 Parts of body struck by or caught by mechanism of switch
- 304T Struck by moving on-track equipment
- 305 Lining switches, defective equipment
- 306 Lining switches, no defects

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- 307 Manipulating derail, no defects
- 308 Manipulating derail, defective
- 309 Other accidents/incidents while operating switches or derails - equipment standing
- 309T Other accidents/incidents while operating switches or derails - equipment moving

G. PERSONS ON LOCOMOTIVES OR CARS COMING IN CONTACT WITH FIXED OBJECTS

- 401 Persons on top of locomotives or cars coming in contact with fixed objects - equipment standing
- 401T Persons on top of locomotives or cars coming in contact with fixed objects - equipment moving
- 402 Persons on side or at end of locomotives or cars coming in contact with fixed objects - equipment standing
- 402T Persons on side or at end of locomotives or cars coming in contact with fixed objects - equipment moving
- 409 Other accidents/incidents in which persons on locomotives or cars come in contact with a fixed object - equipment standing
- 409T Other accidents/incidents in which persons on locomotives or cars come in contact with a fixed object - equipment moving

H. GETTING ON OR OFF CARS OR LOCOMOTIVES

- 501 Slipping or falling because of losing or missing hold of grabiron, handhold, or ladder - equipment standing
- 501T Slipping or falling because of losing or missing hold of grabiron, handhold, or ladder - equipment moving
- 502 Slipping or falling because of losing or missing footing on step, stirrup, footboard, or ladder - equipment standing
- 502T Slipping or falling due to losing or missing footing on step, stirrup, footboard, or ladder - equipment moving
- 503 Stepping or tripping on parts of track in place - equipment standing
- 503T Stepping or tripping on parts of track in place - equipment moving
- 504 Stepping or tripping on foreign material or irregular surface - equipment standing
- 504T Stepping or tripping on foreign material or irregular surface - equipment moving

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- 505 Slipping on ice or snow on ground - equipment standing
- 505T Slipping on ice or snow on ground - equipment moving
- 506 Slipping on ice or snow on cars or locomotives - equipment standing
- 506T Slipping on ice or snow on cars or locomotives - equipment moving
- 507 Falling, slipping, tripping, not elsewhere classified - equipment standing
- 507T Falling, slipping, tripping, not elsewhere classified - equipment moving
- 508 Slipping or falling while boarding or alighting from passenger equipment - equipment standing
- 508T Slipping or falling while boarding or alighting from passenger equipment - equipment moving
- 510T Striking body or falling due to sudden movement of equipment
- 511 Striking or being struck by equipment, structures, (other than bridges or trestles), or material, including switches or signal parts - equipment standing
- 511T Striking or being struck by equipment, structures, (other than bridges or trestles), or material, including switches or signal parts - equipment moving
- 512 Striking bridges or trestles - equipment standing
- 512T Striking bridges or trestles - equipment moving
- 513 Jumping from equipment - equipment standing
- 513T Jumping from equipment - equipment moving
- 514 Defective equipment - equipment standing
- 514T Defective equipment - equipment moving
- 519 Other accidents/incidents while getting on or off cars or locomotives - equipment standing
- 519T Other accidents/incidents while getting on or off cars or locomotives - equipment moving

I. RAIL EQUIPMENT AND RAIL-HIGHWAY GRADE CROSSING ACCIDENTS/INCIDENTS

- 601C Casualty resulting from reportable collision
- 601T Casualty resulting from nonreportable collision
- 602D Casualty resulting from reportable derailment
- 602T Casualty resulting from nonreportable derailment

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- 603X Casualty resulting from other reportable rail equipment accident/incident, except rail-highway crossing accident/incident
- 603T Casualty resulting from other nonreportable rail equipment accident/incident involving moving equipment
- 609X Casualty in a reportable rail-highway impact at a public crossing, that caused monetary damage in excess of the current threshold required for Form FRA F 6180-54
- 609T Casualty in a reportable rail-highway impact at a public crossing, that involved moving on-track rail equipment but did not cause monetary damage above the threshold required for Form FRA F 6180-54
- 609 Casualty in a reportable rail-highway impact at a public crossing, that involved standing on-track rail equipment but did not cause monetary damage above the threshold required for Form FRA F 6180-54
- 610X Casualty in a reportable rail-highway impact at a private crossing, that caused monetary damage in excess of the current threshold required for Form FRA F 6180-54
- 610T Casualty in a reportable rail-highway impact at a private crossing, that involved moving on-track rail equipment but did not cause monetary damage above the threshold required for Form FRA F 6180-54
- 610 Casualty in a reportable rail-highway impact at a private crossing, that involved standing on-track rail equipment but did not cause monetary damage above the threshold required for Form FRA F 6180-54

Special Instruction: When codes 601C, 602D, 603X, 609X, or 610X are used to report a casualty, a Form FRA F 6180-54 containing the same incident number shown on the casualty report must also be completed. When an occurrence code beginning with 609 or 610 is used, Form FRA F 6180-57 must also be completed.

J. STRUCK BY OR RAN INTO LOCOMOTIVES OR CARS AT PLACES OTHER THAN RAIL-HIGHWAY CROSSINGS

- 701 Standing, walking, or running on or along track - equipment standing
- 701T Standing, walking, or running on or along track - equipment moving
- 702T Crossing track at a designated location, other than a rail-highway site - equipment moving
- 703 Crossing track not at crossing - equipment standing
- 703T Crossing track not at crossing - equipment moving
- 704T While on public thoroughfare - equipment moving
- 705T On bridges or trestles - equipment moving
- 706T Sitting or lying on track or near track not in clear - equipment moving

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- 707T While working on or along track - equipment moving
- 708 Passing over, through, or under cars - equipment standing
- 708T Passing over, through, or under cars - equipment moving
- 709 Other - equipment standing
- 709T Other - equipment moving

K. SERVICING OR MAINTAINING EQUIPMENT

- 800T Absence of fixed signal (Blue Signal) - equipment moving
- 801T Fixed signal (Blue Signal) improperly displayed - equipment moving
- 802 Crossing over, under, or between locomotives or cars - equipment standing
- 802T Crossing over, under, or between locomotives or cars - equipment moving
- 803 Striking or being struck by equipment, structures, or material - equipment standing
- 803T Striking or being struck by equipment, structures, or material - equipment moving
- 804 Using hand tools
- 805 Using portable power tools
- 806 Using welding equipment
- 807 Using oxygen-acetylene, natural gas cutting equipment
- 808 Using grinding equipment
- 809 Using scaffolds, ladders, etc.
- 81A Lifting parts to install while making repairs
- 810 Using cranes, hoists, derricks, piledrivers, etc.
- 811 Using lift trucks and other portable material handling equipment
- 812 Using shop machinery not elsewhere classified
- 813 Loading and unloading materials
- 814 Handling material by hand
- 815T Moving equipment for repairs
- 816 Inhalation of or contact with fumes or gases
- 817 Foreign object in eye, using eye protection

Appendix F - Casualty Occurrence Codes

- 818 Foreign object in eye, not using eye protection
- 819 Struck by flying or falling object
- 820 Electrical flash, shock or burn
- 821 Fire or explosion of fuses or torpedoes
- 822 Other fire or explosion
- 823 Burned or irritated by hot, corrosive, or toxic substances
- 824 Stumbling, slipping, falling, caught, not elsewhere classified
- 825 Other accidents/incidents while servicing or maintaining equipment - equipment standing

L. MAINTENANCE OF WAY AND STRUCTURES

- 852 Crossing over, under, or between locomotives or cars - equipment standing
- 852T Crossing over, under, or between locomotives or cars - equipment moving
- 853 Striking or being struck by equipment, structures, or material - equipment standing
- 853T Striking or being struck by equipment, structures or material - equipment moving
- 854 Using hand tools
- 855 Using portable power tools
- 856 Using welding equipment
- 857 Using oxygen-acetylene, natural gas cutting equipment
- 858 Using grinding equipment
- 859 Using scaffolds, ladders, etc.
- 860 Using cranes, hoists, derricks, piledrivers, etc.
- 861 Using lift trucks and other portable material handling equipment
- 862 Using shop machinery not elsewhere classified
- 863 Loading and unloading materials
- 864 Handling material by hand
- 866 Inhalation of or contact with fumes or gases
- 867 Foreign object in eye, using eye protection

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- 868 Foreign object in eye, not using eye protection
- 869 Struck by flying or falling object
- 870 Electrical flash, shock, or burn
- 871 Fire or explosion of fuses or torpedoes
- 872 Other fire or explosion
- 873 Burned or irritated by hot, corrosive or toxic substances
- 874 Stumbling, slipping, falling, caught, not elsewhere classified
- 875 Use of maintenance of way equipment not elsewhere classified
- 876 Inserting or removing ties, switch timbers, and tie plates by use of hand tools
- 877 Inserting or removing ties, switch timbers, and tie plates by use of portable power tools
- 878 Loading or unloading ties, switch timbers, tie plates and fastenings
- 879 Handling rail by use of power tools
- 880 Handling rail by use of hand tools
- 890 Handling, inserting, or removing rail anchors (includes being struck by flying anchors)
- 891 Handling, inserting, or removing track spikes (includes being struck by flying spikes)
- 892 Working on or about signal or communication poles, signal masts, signal cantilevers, or catenary systems
- 893 Servicing or repairing maintenance of way equipment at work site
- 899 Other accidents/incidents while maintaining way and structures
- 899T Other accidents/incidents while maintaining way and structures - equipment moving

M. MISCELLANEOUS

(1) Freight, baggage, express, or mail

- 901 Handling freight, baggage, express, or mail - other
- 901T Handling freight, baggage, express, or mail - equipment moving
- 902 Struck or caught by shifted landing - equipment standing
- 902T Struck or caught by shifted landing - equipment moving

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- 903 Tripping over, or struck by falling baggage in passenger car - equipment standing
- 903T Tripping over, or struck by falling baggage in passenger car - equipment moving
- 904 Other
- 904T Other - equipment moving

(2) Windows, doors, etc., on on-track equipment

- 907 Operating or closing hopper car roof hatch, bottom hopper doors, gondola end doors or drop-bottom gondola door - equipment standing
- 907T Opening or closing hopper car roof hatch, bottom hopper doors, gondola end doors or drop-bottom gondola door - equipment moving
- 908 Closing or opening freight or baggage car doors, except plug-type car doors, defective equipment - equipment standing
- 908T Closing or opening freight or baggage car doors, except plug-type car doors, defective equipment - equipment moving
- 909 Closing or opening freight or baggage car doors, except plug-type car doors, no defects - equipment standing
- 909T Closing or opening freight or baggage car doors, except plug-type car doors, no defects - equipment moving
- 910 Closing or opening plug-type car doors, defective equipment - equipment standing
- 910T Closing or opening plug-type car doors, defective equipment - equipment moving
- 911 Closing or opening plug-type car doors, no defects - equipment standing
- 911T Closing or opening plug-type car doors, no defects - equipment moving
- 912 Closing or opening coach trap doors - equipment standing
- 912T Closing or opening coach trap doors - equipment moving
- 913 Interior doors - equipment standing
- 913T Interior doors - equipment moving
- 914 Opening or closing locomotive doors - equipment standing
- 914T Opening or closing locomotive doors - equipment moving
- 915 Opening or closing locomotive windows - equipment standing
- 915T Opening or closing locomotive windows - equipment moving

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- 916 Opening or closing caboose doors - equipment standing
- 916T Opening or closing caboose doors - equipment moving
- 917 Opening or closing caboose windows - equipment standing
- 917T Opening or closing caboose windows - equipment moving
- 918 Opening or closing other windows - equipment standing
- 918T Opening or closing other windows - equipment moving
- 919 Other accidents/incidents involving windows or doors - equipment standing
- 919T Other accidents/incidents involving windows or doors - equipment moving

(3) Passenger Car Doors

- 920 Caught by side doors while entering coach - equipment standing
- 920T Caught by side doors while entering coach - equipment moving
- 921 Caught by side doors while exiting coach - equipment standing
- 921T Caught by side doors while exiting coach - equipment moving
- 922T Dragged by train while caught in side doors while entering coach
- 923T Dragged by train while caught in side doors while exiting train
- 924 Struck by side doors while entering coach - equipment standing
- 924T Struck by side doors while entering coach - equipment moving
- 925 Struck by side doors while exiting coach - equipment standing
- 925T Struck by side doors while exiting coach - equipment moving
- 926 Striking side door while entering coach - equipment standing
- 926T Striking side door while entering coach - equipment moving
- 927 Striking side door while exiting coach - equipment standing
- 927T Striking side door while exiting coach - equipment moving

(4) Stumbling, slipping, falling, caught, not elsewhere classified

- | 930 On snow or ice - other
- 930T On snow or ice - equipment moving
- | 931 On foreign material or irregular surface - other

Appendix F - Casualty Occurrence Codes

- 931T On foreign material or irregular surface - equipment moving
- 932 On parts of track in place - other
- 932T On parts of track in place - equipment moving
- 933 On stairways, ramps. or platforms
- 934 Between locomotive or car and other cars and structures - equipment standing
- 934T Between locomotive or car and other cars and structures - equipment moving
- 935 From bridges or trestles - other
- 935T From bridges or trestles - equipment moving
- 936 From structures other than bridges or trestles - other
- 936T From structures other than bridges or trestles - equipment moving
- 937 Into depressions - other
- 937T Into depressions - equipment moving
- 938 While on locomotive or car - equipment standing
- 938T While on locomotive or car - equipment moving
- 939 Other
- 939T Other - equipment moving

- (5) Flying or falling objects, burns and similar occurrences, not elsewhere classified

- 940 Foreign object in eye - other
- 940T Foreign object in eye - equipment moving
- 941 Struck by flying or falling object (except assaults) - other
- 941T Struck by flying or falling object (except assaults) - equipment moving
- 942 Electrical flash, shock, or burn - other
- 942T Electrical flash, shock, or burn - equipment moving
- 943 Fire or explosion of fuses or torpedoes - other
- 943T Fire or explosion of fuses or torpedoes - equipment moving
- 944 Other fire or explosion - other
- 944T Other fire or explosion - equipment moving

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- 945 Burned by hot or corrosive substance - other
- 945T Burned by hot or corrosive substance - equipment moving
- 946 Inhalation of or contact with fumes or gases - other
- 946T Inhalation of or contact with fumes or gases - equipment moving
- 947 Electrical flash, shock or burn due to contact with catenary, pantograph or third rail - other
- 947T Electrical flash, shock or burn due to contact with catenary, pantograph or third rail - equipment moving
- 949 Other
- 949T Other - equipment moving

(6) Operation of on-track work equipment (track motorcar, highway-rail car, on-track push car, on-track crane, on-track ballast tamping machine, etc.)

- 950T Collision with train or car (if reportable as a Rail Equipment Accident/Incident, use Code 601C)
- 951T Collision with other on-track work equipment (if reportable as a Rail Equipment Accident/Incident, use Code 601C)
- 952T Jumping from equipment in anticipation of a collision
- 953T Derailment (if reportable as a Rail Equipment Accident/Incident, use Code 602D)
- 954 Getting on or off - equipment standing
- 954T Getting on or off - equipment moving
- 959 Other - equipment standing
- 959T Other - equipment moving

(7) Assault

Group I - Unprovided assaults and other criminal acts directed against employees and other persons not involved in protecting railroad property

- 96A Shot while on standing on-track equipment
- 96AT Shot while on moving on-track equipment
- 96B ~~Shooting incidents not involving persons on on-track equipment~~

Appendix F - Casualty Occurrence Codes

- 96C Struck by other propelled object while on locomotive - equipment standing
- 96CT Struck by other propelled object while on locomotive - equipment moving
- 96D Struck by other propelled object while on car - equipment standing
- 96DT Struck by other propelled object while on car - equipment moving
- 96E Struck by other propelled object while on caboose - equipment standing
- 96ET Struck by other propelled object while on caboose - equipment moving
- 96F Struck by other propelled object, not on on-track equipment
- 96GT Other unprovoked assaults to persons on on-track equipment - equipment moving
- 96G All other unprovoked assaults

Group II - Casualties from assaults which occurred in connection with the protection of railroad property

- 96J Shot while on standing on-track equipment
- 96JT Shot while on moving on-track equipment
- 96K Shooting incidents that did not involve persons on on-track equipment
- 96L Other assaults connected with the protection of railroad property - other
- 96LT Other assaults connected with protection of railroad property - equipment moving
- 96MT All other assaults to persons on moving on-track equipment
- 96M All other assaults
- 96N Injuries sustained by the perpetrator of an assault

(8) Other occurrences

- 970 Performing rerailling or other clearing operations - other
- 970T Performing rerailling or other clearing operations - equipment moving
- 971T Locomotive or car coming against car placed for loading or unloading
- 972T Sudden movement of car, not otherwise classified
- 974T Slack action in caboose
- 975T Slack action, other
- 976T Emergency or severe application of air brakes due to defective equipment

Appendix F - Casualty Occurrence Codes

- 977T Emergency or severe application of air brakes not caused by defective equipment
- 978 Motor vehicle accidents/incidents
- 979 Servicing and maintaining highway vehicles
- 980 Horseplay
- 981 Animal bites, including snake bites
- 982 Insect bites
- 983 Incidents occurring within office involving persons in clerical, and similar occupations
- 984 Contact with poisonous plants
- 985 Stepping on nails or other sharp objects
- 986T Unexpected movement of caboose, other than slack action
- 987 Caboose fire - equipment standing
- 987T Caboose fire - equipment moving
- 988 Other accidents/incidents while in the caboose - equipment standing
- 988T Other accidents/incidents while in the caboose - equipment moving
- 989 Other accidents/incidents
- 989T Other accidents/incidents - equipment moving

Appendix G - Questions and Answers

The following is a compilation of reporting issues that have been raised by railroads, FRA inspectors, and others, and FRA's response to these.

Q1. Would you briefly discuss the requirements for maintaining the log and supplemental record described in 49 CFR 225.25a?

A1. The regulation states that "Each railroad must maintain a log of injuries and occupational illnesses at and for each railroad establishment, including but not limited to an operating division, general office, and major installation such as a locomotive or car repair or construction facility. A copy of the log may be kept at a central location." [Emphasis added.]

The regulation also states that "[a]n annual summary for the preceding calendar year shall be posted before February 1 of each year and remain continuously posted for at least thirty consecutive days, at a location within each railroad establishment where it may be observed by railroad employees of that establishment."

The reporting guide clarifies the meaning of "establishment" by stating that "An establishment is a *single physical location* where business is conducted or where services or industrial operations are performed." [Emphasis added.] The regulation does not require that work sites be contiguous to comprise a single physical location; however, these sites should at least be in proximity to each other. In practical terms, an establishment can be thought of as the different locations where employees report for work on a regular basis.

There are two reasons for maintaining and posting information at individual establishments. One is to allow FRA inspectors to monitor compliance with the accident/incident reporting requirements. The second is to provide employees with information concerning the occupational dangers associated with their particular establishment.

Q2. Does this mean that we must maintain a log and supplemental record at and for each individual location where employees report to work in a large facility, such as, a major yard?

A2. No. We have always exercised a certain amount of flexibility concerning the locations where these records must be kept. We do not require that separate logs 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.

Q3. Is there any particular form that must be used to record this information?

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- A3. No. The regulation does not specify a format to be used for either the log or the supplemental record of employee injuries and illnesses. It only describes the types of information that must be recorded. These items are the minimum needed by the reporting officer, and FRA, to make a preliminary decision concerning reportability. It includes such items as the identity of the employee, his occupation, the type of injury or illness sustained, its extent or outcome, etc.
- Q4. Does this mean we can maintain this information on a computer file? If so, what are the requirements for centralized processing of this data?
- A4. Yes. The regulation states that "a copy of the log may be kept at a central location." It is possible to prepare and maintain the log at an alternate location or by means of data processing equipment, or both. Railroads that centralize the processing of this information must, at a minimum, have a copy of the log and supplemental record present at each establishment for the injuries and illnesses that occurred at that establishment that is current to within 45 calendar days.

See paragraph 3D of section I for additional instructions.

The annual summary that is posted for that establishment is only to reflect those cases that occurred at that establishment.

- Q5. What are the basic questions that must be answered in deciding whether or not to report an injury?
- A5. (1) Is there information indicating 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 employees are engaged in work-related activities or are present as a condition of their employment. When an employee is off the employer's premises, 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. Transfer to another job.
 - e. Termination because of the injury.
 - f. Loss of consciousness.

If the answer to these two questions is yes, then the injury is almost always be reportable.

- Q6. 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?

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- A6. No. Responsibility or fault is not a consideration when deciding whether or not to report.
- Q7. Must an employee be involved in a specific job task for an injury or illness to be reportable?
- A7. 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 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.
- Q8. Are there time limits in reporting cases? Suppose a worker says he was injured 2 weeks ago but there was no record or report of it at that time. Is it subsequently reportable on form FRA F 6180-55A?
- A8. 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.
- Q9. Is going to a hospital for observation reportable?
- A9. If an employee goes to a hospital for a brief period of time for observation, it is not reportable, provided there was no medical treatment, loss of consciousness, restricted work activity, or job transfer involved; or no job-related illness was detected.
- Q10. One of our train crew 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, he was sent home. Would we need to report this incident on the basis of restriction on the day of the injury?
- A10. 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.

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Q11. 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?

A11. Railroads are required to make new entries on their FRA F 6180-55a form for each new reportable injury or illness. New entries should not be made for the recurrence of 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, sudden movement, etc.). Consequently, when work-related, 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.

Note: See paragraph 3D of section IV.

Q12. Should an employee's preexisting condition be taken into account in making FRA reporting determinations?

A12. Preexisting conditions usually do not affect determinations of reportability except for the recurrence of symptoms of work-related illnesses discussed above. Railroads should report each case resulting from a new event (i.e., 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 system that produces statistics that accurately reflect the incidence (not prevalence) of work injuries and illness.

Q13. Does this mean that when an employee is hired with a known physical defect, such as a trick knee, a work accident partially attributable to this defect would result in a reportable case?

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A13. Yes. An employee's physical defect or preexisting physical condition 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 injury results solely from physical defect (i.e., employee falls while walking 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 (i.e., employee steps on a stone or slips, trick knee gives way, and he fall), any resulting injury is occupational.

Q14. An employee's back goes out while performing routine activity at work. Assuming the employee was not involved in any stressful activity, such as lifting a heavy object, is the case reportable?

A14. Particularly stressful activity is not required. If an event (such as a slip, trip, fall, sharp twist, etc.) occurred in the work environment that caused or contributed to the injury, the case would be reportable, assuming it meets the other requirements for reportability.

If the backache is know 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.

Q15. Must there be an identifiable event or exposure in the work environment for there to be a reportable case? What if someone experiences a backache, but cannot identify the particular movement which caused the injury?

A15. 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 likely that an event, activity, exposure, 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.

Q16. What about cases where the employee alleges that a injury or illness has occurred but refuses to release any medical records to support his contention? Must railroads report these cases without any medical verification.

A16. Medical verification is not required for reportability. However, railroads have the responsibility for making good-faith reporting determinations and these decisions must be made using whatever documentation is available. If an railroad doubts the validity of an employees alleged injury or illness and there is no substantive or medical evidence supporting the allegation, the railroad need not report

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the case. If at a later date the appropriate information is received that supports the employee's claim of injury, then a late report must be made.

Q17. Are injuries of employees in company rest rooms, hallways, or cafeterias considered to be work-related?

A17. 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.

Q18. Sometimes one of our employees is detailed on a temporary basis to perform work on another carrier's property. If one of these employees is hurt, are we required to make a report?

A18. Yes. Even though the employee is temporarily working on another railroad's property, he remains an employee of your railroad. The other railroad would have no reporting responsibilities in circumstances such as this except to notify the employing railroad that an injury had occurred.

Q19. Is every case resulting from an event or exposure on the railroad's premises considered work-related?

A19. No. The general rule is that all injuries and illnesses which result from events or exposures occurring on the railroad's premises are presumed to be 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 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.

Q20. Do railroads have to report an injury on the railroad's premises that occurs to an employee as a result of horseplay? Would they have to report a case if it resulted from robbery?

A20. 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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Injuries and Illnesses resulting from events or exposures off premises. When an employee is off the railroad's premises and suffers an injury or an illness exposure, work relationship must be established; it is not presumed. Injuries and illness exposures off premises are considered work-related if the employee is engaged in a work activity or if they occur in the work environment. The work environment in these instances includes locations where employees are engaged in job tasks or work-related activities, or places where employees are present due to the nature of their job or as a condition of their employment.

Q21. 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?

A21. 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.

Q22. Are the employee's activities off the railroad's premises all deemed work-related once the employee's work shift has begun?

A22. No. Work relationship must be established for employee activities off premises; it is not presumed. 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.

Q23. Are employees in travel status handled differently?

A23. Employees who travel in connection with their employment shall be considered to be engaged in work-related activities all the time they spend in the interest of the company, including, but not limited to, travel to and from work sites, attending training seminars, etc. However, an injury/illness would not be reportable if it occurred during normal living activities (eating, sleeping, recreation); or if the employee deviates from a reasonably direct route of travel (side trip for vacation or other personal reasons). He would again be in the course of employment upon returning to the normal route of travel.

When a traveling employee checks into a hotel or motel, he establishes a "home away from home." Therefore, injuries that occur while in these living quarters would not be reportable if 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 on-duty under the "deadhead" provision.

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Q24. Is one-time treatment the same as first aid treatment?

A24. 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.

Q25. 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?

A25. 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.

Q26. 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?

A26. Yes. It is our opinion that the medical professional who applied the patch felt that it was a necessary treatment for the type of injury sustained. In order to keep the reporting decision simple, we treat any application of an eye patch by a medical professional as a reportable injury.

Q27. Are injuries that result in chipped or broken teeth reportable?

A27. These injuries would normally be reportable since they ordinarily require medical treatment.

Q28. If an employee has a minor scratch but the doctor gives him a tetanus shot anyway, does this constitute medical treatment and make the case reportable?

A28. Such tetanus shots should not be regarded as medical treatment. Consequently, the case would not be reportable unless other treatment

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was provided. However, if the employee should suffer some reaction or complication from the injection, then the case would be reportable.

Q29. Do rabies vaccinations constitute medical treatment?

A29. Yes. Rabies vaccinations constitute medical treatment since they are considered absolutely necessary and also because they involve a series of injections far more extensive than the concept of first aid.

Q30. 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?

A30. Yes. As in the case of rabies shots, the employee was at significant risk if this injection was not given. With the exception of tetanus shots, FRA considers all injections in response to a condition to be medical treatment.

Q31. There is a lot of confusion concerning the terms "preventive" and "precautionary" measures. Could you provide some additional clarification?

A31. It is FRA's position that any treatment provided in response to a condition is part of the treatment of the injury. In other words, the treatment would not have been required if the injury had not occurred. "Preventive" measures can be thought of as treatments that are given prior to the occurrence of an injury or illness. An example would be influenza shots administered prior to the start of the flu season. Precautionary measures, on the other hand, generally involve additional diagnostic tests that are ordered to determine if an injury occurred.

See paragraph 3E of section IV for additional instructions.

Q32. Is a series of treatments given by a chiropractor considered medical treatment?

A32. Yes. When required to treat a work-related injury, this is considered medical treatment since it requires specialized skills that go beyond the definition of first aid.

Q33. You say that the issuance of a prescription medication in connection with an injury is reportable if the instructions direct the employee to take multiple doses over a period of time. Sometimes an employee may choose not to obtain or take the medication. How should we handle these cases?

A34. Our intent was to establish a clear line concerning the reporting of prescription medication cases. We have used different sets of definitions over the years and each has problem areas. Regardless of

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which definition is used, there will be certain inequities that occur from time to time. We feel that the current set of instructions are the simplest to apply and involve the least amount of follow-up on the part of the reporting officer. The decision to report or not can generally be made after the initial examination by a medical professional.

- Q35. Are there any requirements if the decision is made to not report an injury?
- A36. The decision cannot be an arbitrary one. It should be made in accordance with the requirements outlined in the regulation and in the reporting guide. Information from medical, hospital, supervisors, fellow employees, etc., should be reviewed before making this decision. After reviewing all the facts, if the reporting officer makes a good faith decision that the case does not meet FRA's criteria, then sufficient documentation should be available in the file to support this conclusion. (see instructions on "Doubtful Cases" in paragraph 1C of Section I.)
- Q37. We prepare our annual summary using a computerized reporting system that tracks the actual count of days lost for each incident. We would like to provide a final count of days away from work and days of restriction reported for individual incidents so that the sum of these will correspond with those shown on the annual report. Would you accept a printout that displays those incidents that need to be updated.
- A37. Yes. Ever since the current reporting began, there have been differences between the sum of these days on the monthly report and those that appear on the annual form. The Government Accounting Office (GAO) commented on this in a report they issued discussing accident/incident reporting. Part of the reason for this problem stems from the earlier reporting instructions. Previous instructions required railroads to make a good faith estimate of anticipated days lost on their monthly form if final figures were not available at the time the report is due, but the guidelines were vague about the requirements to provide updates when these estimates were significantly in error.
- We have since issued clarifying instructions that a variance between the two sets of counts of more than 10% is unacceptable. Please refer to Section I, paragraph 3F; Section IV, paragraph D; and, Section X, paragraph 2.
- In order to assist railroads in meeting this requirement we will accept updates provided on diskette or magnetic tape in the format specified elsewhere in the guide.
- Q38. What are the requirements for reporting injuries to persons other than railroad employees.
- A38. Employee injuries become reportable when any of a number of consequences result. Among these are instances when the injury interferes with the

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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, do not include this criteria, and become reportable when treatment beyond first aid is administered.

Q39. 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?

A40. 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.

Q41. 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 boy 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.

A42. No. Both situations are reportable.

Q43. One of our employees was sent to an 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?

A43. Yes. A report for an injury to an employee on duty must be prepared since the employee's attendance at this function is work-related.

Q44. A passenger train was enroute 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?

A44. Yes. The regulation requires that any event involving the operation on-track equipment and resulting in damage above the reporting threshold, is to be reported.

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- Q45. Sometimes damage to equipment is discovered during an inspection but it cannot be determined how it 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?
- A45. 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.
- Q46. A shipment of cars were 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 car did not leave the industry's property or foul the track maintained by the railroad. Do we need to report this?
- A47. No. The event described was not caused, nor did it involve, the operation of a railroad.
- Q48. A motorist 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 the driver broke his arm. What reports do we need to prepare?
- A48. Since an impact did not occur between a highway and a rail user, you do not need to prepare a highway-rail accident/incident report (form 6180-57). However, the motorist did sustain a reportable injury arising from the operation of a railroad. Therefore, an injury report (form 6180-55a) must be completed. If the motorist struck the consist in this example, a form 6180-57 is required even though the impact did not occur on the crossing site.
- Q49. 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?
- A49. No. The regulation 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.
- Q50. 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, 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?

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- A50. 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 may 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.
- Q51. 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?
- A51. 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.

Appendix H - Computer Updates

GENERAL REQUIRMENTS

Data must be submitted on any of the following media:

- Diskette - 5 1/4 inch diskette formatted using MS-DOS 360 K or 1.2 MB density.
3 1/2 inch diskette formatted using MS-DOS 720 K or 1.44 MB density.
- Mag Tape - 9 track, 1600 BPI or 6250 BPI. IBM OS/MVS standard labels or no labels. If using standard labels the internal volume must be the same as the external label. If using no labels you must specify if data is EBCDIC or ASCII. Do not use signs for numeric fields when using ASCII.

If updates for both forms are being submitted on a single tape, file 1 must be for form 6180-54 and file 2 for form 6180-55a; otherwise the updates must always be contained in file 1.

Alphabetic characters are to be stored in upper case. Character fields must be left justified, space filled. Numeric fields must be right justified, zero filled. Numeric fields may only contain the values 0-9.

Fields used for matching purposes to ensure that updates are applied to the correct record when multiple reports exist for an accident/incident cannot be changed by this method. For all other fields, the information on the magnetic media **will replace the original information. Therefore, it is imperative that each item contain its current value even though that specific item is not being changed.** For example, if you are changing the count of days absent but not the count of days restricted, you must provide the current value for both. Failure to adhere to this instruction will cause incorrect information to be updated to the file and may result in the imposition of penalties.

It is recommended that magnetic media submittal of updates contain a year-to-date copy of the file.

Appendix H - Computer Updates

FORM FRA F 6180-55a RAILROAD INJURY AND ILLNESS SUMMARY (Continuation Sheet)

The DCB parameter for corrections provided on magnetic tape are (RECFM=FB,LRECL=43,BLKSIZE=860). The file name for tape or diskette is CASUALTY.SDF. The record layout is as follows:

| <u>Field</u> | <u>Begins</u> | <u>Ends</u> | <u>Type</u> | <u>Comments</u> |
|--------------|---------------|-------------|-------------|---|
| YEAR* | 1 | 2 | N | 2 digits, e.g. 90 = 1990 |
| MONTH* | 3 | 4 | N | 2 digits, e.g. 08 = August |
| RAILROAD* | 5 | 8 | A | Railroad Code (Block 2) |
| INC_NO* | 9 | 18 | A | Incident number (Block 9a) |
| TYPE_PERS* | 19 | 22 | A | Type person and job code if applicable (Block 9b). For type "A" or "B" the job code must be three digits, e.g., A312. |
| NAT_INJ* | 23 | 26 | A | Injury/Illness code (Block 9c) |
| OCC_CODE* | 27 | 30 | A | Occurrence code (Block 9d) |
| AGE* | 31 | 32 | A | Age (Block 9e) |
| STATE* | 33 | 34 | A | State code (Block 9i) |
| DAYS_ABS | 35 | 37 | N | Days absent (Block 9f) |
| DAYS_RES | 38 | 40 | N | Days restricted (Block 9g) |
| ALC_DRUG | 41 | 43 | A | Alcohol/drug codes. See instructions in guide. |

*Note: These fields cannot be changed by magnetic media.

The Month must be the month of the original report, not the month that the change occurred or the update was submitted.

Changes will also be accepted on diskette in DBASE III or DBASE IV format using the field names shown above. The structure must duplicate the layout shown above. If using DBASE, the file must be assigned the name CASUALTY.DBF

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FORM FRA F 6180-54 RAIL EQUIPMENT ACCIDENT/INCIDENT REPORT

The DCB parameter for corrections provided on magnetic tape are (RECFM=FB,LRECL=62,BLKSIZE=1240). The file name for tape or diskette is ACCIDENT.SDF. The record layout is as follows:

| <u>Field</u> | <u>Begins</u> | <u>Ends</u> | <u>Type</u> | <u>Comments</u> |
|--------------|---------------|-------------|-------------|---|
| YEAR* | 1 | 2 | N | 2 digits, e.g. 90 = 1990 |
| MONTH* | 3 | 4 | N | 2 digits, e.g. 08 = August |
| RAILROAD* | 5 | 8 | A | Railroad code (Block 1a) |
| INC_NO* | 9 | 18 | A | Incident number (Block 1b) |
| FST_CAR_N* | 19 | 22 | A | Initial of first car involved from block 30a of line 1. |
| EQP_DMG | 29 | 35 | N | Equipment damage (Block 33) |
| TRK_DMG | 36 | 42 | N | Track damage (Block 34) |
| PRI_CAUSE | 43 | 46 | A | Primary cause (Block 4) |
| CON_CAUSE | 47 | 50 | A | Contributing Cause (Block 5) |
| ALC_DRUG | 51 | 54 | A | Alcohol/drug codes (Block 6) |
| INJURED | 55 | 58 | N | People injured (Block 38) |
| FATAL | 59 | 62 | N | People fatal (Block 40) |

*Note: These fields cannot be changed by magnetic media.

The month must be the month of the original report, not the month that the change occurred or the update was submitted.

Changes will also be accepted on diskette in DBASE III or DBASE IV format using the field names shown above. The structure must duplicate the layout shown above. If using DBASE, the file must be assigned the name ACCIDENT.DBF

Appendix I - FRA Regional Offices

| REGION | OFFICE | PHONE |
|--------|---|----------------|
| I | MARK MCKEON REGIONAL DIRECTOR 55 BROADWAY ROOM 1077 CAMBRIDGE, MA 02142 | (617) 494-2321 |
| II | JOHN MEGARY REGIONAL DIRECTOR 841 CHESTNUT STREET SUITE 712 PHILADELPHIA, PA 19107-4407 | (215) 597-0750 |
| III | CHRISTOPHER CLUNE REGIONAL DIRECTOR SUITE 440 NORTH TOWER 1720 PEACHTREE RD., N.W. ATLANTA, GA 30309 | (404) 347-2751 |
| IV | RICHARD MCCORD REGIONAL DIRECTOR 111 N. CANAL STREET SUITE 655 CHICAGO, IL 60606 | (312) 353-6203 |
| V | SHAFTER H. STOTTS, JR. REGIONAL DIRECTOR 8701 BEDFORD EULESS ROAD SUITE 425 | (817) 334-3601 |
| VI | DARRELL J. TISOR REGIONAL DIRECTOR 1807 FEDERAL BUILDING 911 WALNUT STREET KANSAS CITY, MO 64106-2095 | (816) 426-2497 |
| VII | HARRY T. PATON REGIONAL DIRECTOR P. O. BOX 1139 801 I STREET SACRAMENTO, CA 95812-1139 | (916) 551-1260 |
| VIII | CHESTER SOUTHERN CROWN PLAZA ANNEX 1500 S. W. FIRST AVE ROOM 250 PORTLAND, OR 97201 | (503) 326-3011 |

Appendix J - 49 CFR Part 225

(iii) the type or brand identification of the material.

APPENDIX B TO PART 223—SCHEDULE OF CIVIL PENALTIES ¹

| Section | Violation | Willful violation |
|--|-----------|-------------------|
| 223.9 New or rebuilt equipment | | |
| (a) Locomotives..... | \$2,500 | \$5,000 |
| (b) Caboose..... | 2,500 | 5,000 |
| (c) Passenger cars..... | 2,500 | 5,000 |
| 223.11(c) Existing locomotives.. | 2,500 | 5,000 |
| (d) repair of window..... | 1,000 | 2,000 |
| 223.13(c) Existing cabooses..... | 2,500 | 5,000 |
| (d) Repair of window..... | 1,000 | 2,000 |
| 223.15(c) Existing passenger cars..... | 2,500 | 5,000 |
| (d) repair of window..... | 1,000 | 2,000 |
| 223.17 Identification of units..... | 500 | 1,000 |

¹ A penalty may be assessed against an individual only for a willful violation. The Administrator reserves the right to assess a penalty of up to \$20,000 for any violation where circumstances warrant. See 49 CFR part 209, appendix A.

[53 FR 52930, Dec. 29, 1988]

PART 225—RAILROAD ACCIDENTS/ INCIDENTS: REPORTS CLASSIFICATION, AND INVESTIGATIONS

Sec.

- 225.1 Purpose.
- 225.3 Applicability.
- 225.5 Definitions.
- 225.7 Public examination and use of reports.
- 225.9 Telephonic reports of certain accidents/incidents.
- 225.11 Reporting of accidents/incidents.
- 225.12 Rail Equipment Accident/Incident Reports alleging employee human factor as cause; Employee Human Factor attachment; notice to employee; employee supplement.
- 225.13 Late reports.
- 225.15 Accidents/incidents not to be reported.
- 225.17 Doubtful cases; alcohol or drug involvement.
- 225.19 Primary groups of accidents/incidents.
- 225.21 Forms.
- 225.23 Joint operations.
- 225.25 Recordkeeping.
- 225.27 Retention of records.
- 225.29 Penalties.
- 225.31 Investigations.

APPENDIX A TO PART 225—PROCEDURE FOR DETERMINING REPORTING THRESHOLD
APPENDIX B TO PART 225—SCHEDULE OF CIVIL PENALTIES

AUTHORITY: 45 U.S.C. 38, 42, 43, and 43a as amended; 45 U.S.C. 431, 437, and 438, as amended; Pub. L. 100-342; and 49 CFR 1.49 (c) and (m).

SOURCE: 39 FR 43224, Dec. 11, 1974, unless otherwise noted.

EDITORIAL NOTE: For an interpretation of Part 225 see 40 FR 5368, Feb. 5, 1975.

§ 225.1 Purpose.

The purpose of this part is to provide the Federal Railroad Administration (FRA) with information concerning hazardous conditions on the Nation's railroads. FRA needs this information to carry out effectively its regulatory responsibilities under the Federal Railroad Safety Act of 1970 and the Accidents Reports Act. Issuance of these regulations under the Federal Railroad Safety Act preempts States from prescribing accident/incident reporting requirements. Any State may, however, require railroads to submit to it copies of accident/incident reports filed with FRA under this part, for accidents/incidents which occur in that State. The reporting and recordkeeping requirements prescribed in this part have been approved by the Office of Management and Budget in accordance with the Paperwork Reduction Act of 1980.

(Approved by the Office of Management and Budget under control number 2130-0500)

[49 FR 48939, Dec. 17, 1984, as amended at 53 FR 28601, July 28, 1988; 54 FR 33229, Aug. 14, 1989]

§ 225.3 Applicability.

This part applies to all railroads except those railroads whose entire operations are confined within an industrial installation.

§ 225.5 Definitions.

As used in this part—

(a) *Railroad* means all forms of non-highway ground transportation that run on rails or electro-magnetic guideways, including (1) commuter or other short-haul rail passenger service in a metropolitan or suburban area, 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.

(b) *Accident/Incident* means:

(1) Any impact between railroad on-track equipment and an automobile, bus, truck, motorcycle, bicycle, farm vehicle or pedestrian at a rail-highway grade crossing;

(2) Any collision, derailment, fire, explosion, act of God, or other event involving operation of railroad on-track equipment (standing or moving) that results in more than \$6,300 in damages to railroad on-track equipment, signals, track, track structures, and roadbed;

(3) Any event arising from the operation of a railroad which results in:

(i) Death of one or more persons;

(ii) Injury to one or more persons, other than railroad employees, that requires medical treatment;

(iii) Injury to one or more employees that requires medical treatment or results in restriction of work or motion for one or more days, one or more lost work days, transfer to another job, termination of employment, or loss of consciousness; or

(iv) Occupational illness of a railroad employee as diagnosed by a physician.

(c) *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.

(d) *Occupational illness* means any abnormal condition or disorder of a railroad employee, other than one resulting from injury, caused by environmental factors associated with his or her railroad employment, including, but not limited to, acute or chronic illnesses or diseases which may be caused by inhalation, absorption, ingestion or direct contact.

(e) *Medical treatment* means treatment administered by a physician or by registered professional personnel under the standing orders of a physician. Medical treatment does not include first aid treatment (one-time treatment), precautionary measures such as tetanus shots, and subsequent

observation of minor scratches, cuts, bruises or splinters which do not require medical care, even though these services are performed by a physician or registered professional personnel.

(f) *Lost workdays* means any full day or part of a day (consecutive or not) other than the day of injury, that a railroad employee is away from work because of injury or occupational illness.

(g) *Restriction of work or motion* means the inability of a railroad employee to perform all normally assigned duties because of injury or occupational illness, and includes the assignment of a railroad employee to another job or to less than full time work at a temporary or permanent job.

(h) *Rail-highway grade crossing* means a location where one or more railroad tracks cross a public highway, road, or street or a private roadway, and includes sidewalks and pathways at or associated with the crossing.

(i) *Arising from the operation of a railroad* includes all activities of a railroad which are related to the performance of its rail transportation business.

(j) *Employee human factor* includes any of the accident causes signified by the rail equipment accident/incident cause codes listed under "Train Operation—Human Factors" in the current "FRA Guide for Preparing Accident/Incident Reports," except for Cause Code 506.

(Secs. 11144 and 11145, subtitle IV of Title 49 (49 U.S.C. 11144 and 11145); secs. 1 and 6, Accident Reports Act (45 U.S.C. 431 and 437); sec. 6(e) and (f), Department of Transportation Act (49 U.S.C. 1655(e) and (f)); sec. 1.49(g) and (m), regulations of the Office of the Secretary of Transportation (49 CFR 1.49(g) and (m))

[39 FR 43224, Dec. 11, 1974, 51 FR 47019, Dec. 30, 1986; 53 FR 28601, July 28, 1988; 53 FR 48548, Dec. 1, 1988; 55 FR 37827, Sept. 13, 1990; 55 FR 52487, Dec. 21, 1990]

§ 225.7 Public examination and use of reports.

(a) Accident/Incident reports made by railroads in compliance with these rules shall be available to the public in the manner prescribed by part 7 of this title. Accident/Incident reports may be inspected at the Office of

Safety, Federal Railroad Administration, 400 Seventh Street, SW., Washington, DC 20590. Written requests for a copy of a report should be addressed to the Executive Director, FRA, 400 Seventh Street, SW., Washington, DC 20590, and be accompanied by the appropriate fee prescribed in part 7 of this title. To facilitate expedited handling, each request should be clearly marked "Request for Accident/Incident Report."

(b) Section 4 of the Accidents Reports Act (36 Stat. 351, 45 U.S.C. 41) provides that monthly reports filed by railroads under § 225.11 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. The Employee Human Factor Attachment, Notice, and Employee Supplement under § 225.12 are part of the reporting railroad's accident report to FRA pursuant to the Accident Reports Act 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 * * *." 45 U.S.C. 41.

[39 FR 43224, Dec. 11, 1974, as amended at 51 FR 47019, Dec. 30, 1986; 55 FR 37827, Sept. 13, 1990]

§ 225.9 Telephonic reports of certain accidents/incidents.^{1, 2}

(a) Each railroad must report immediately by toll free telephone, Area Code 800-424-0201, whenever it learns of the occurrence of an accident/incident arising from the operation of the railroad that results in the:

- (1) Death of rail passenger or employee; or
- (2) death or injury of five or more persons.

(b) Each report must state the:

- (1) Name of the railroad;

¹The National Transportation Safety Board requires certain railroad accidents to be reported by telephone at the same toll free number (See Title 49, Code of Federal Regulations Part 840).

²FRA Locomotive Safety Standards require certain locomotive accidents to be reported by telephone at the same toll free number (See Title 49, Code of Federal Regulations, § 229.17.)

(2) Name, title, and telephone number of the individual making the report;

(3) Time, date, and location of accident/incident;

(4) Circumstances of the accident/incident; and

(5) Number of persons killed or injured.

[39 FR 43224, Dec. 11, 1974, as amended at 41 FR 15847, Apr. 15, 1976; 49 FR 48939, Dec. 17, 1984]

§ 225.11 Reporting of accidents/incidents.

Each railroad subject to this part must submit to FRA a monthly report of all railroad accidents/incidents described in § 225.19. The report must be made on the forms prescribed in § 225.21 and must be submitted within 30 days after expiration of the month during which the accidents/incidents occurred. Reports must be completed as required by the current FRA Guide for Preparing Accident/Incident Reports. A copy of this guide may be obtained from the Office of Safety, Federal Railroad Administration, 400 Seventh Street, SW, Washington, DC 20590.

[49 FR 48939, Dec. 17, 1984]

§ 225.12 Rail Equipment Accident/Incident Reports alleging employee human factor as cause; Employee Human Factor Attachment; notice to employee; employee supplement.

(a) *Rail Equipment Accident/Incident Report alleging employee human factor as cause; completion of Employee Human Factor Attachment.* If, in reporting a rail equipment accident/incident to FRA, 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, in accordance with instructions on the form and in the current "FRA Guide for Preparing Accident/Incident Reports," an Employee Human Factor Attachment form on the accident.

(b) *Notice to identified implicated employees.* Except as provided in paragraphs (e) and (f) of this section, 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 rail equipment accident/incident and whose name was listed in the Employee Human Factor Attachment 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 instructions on the form and in the current "FRA Guide for Preparing Accident/Incident Reports"; and

(2) Hand deliver or send by first class mail (postage prepaid) to that employee, within 45 days after the end of the month in which the rail equipment accident/incident occurred—

(i) 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;

(ii) A copy of the railroad's Rail Equipment Accident/Incident Report and Employee Human Factor Attachment on the rail equipment accident/incident involved; and

(iii) If the accident was also reportable as a rail-highway grade crossing accident/incident, a copy of the railroad's Rail-Highway Grade Crossing Accident/Incident Report on that accident.

(c) *Joint operations.* If a reporting railroad makes allegations under paragraph (a) of this section 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 by the alleging railroad.

(d) *Late identification.* Except as provided in paragraphs (e) and (f) of this section, if a railroad is initially unable to identify a particular railroad employee whose act, omission, or physical condition was cited by the railroad as a primary or contributing

cause of the accident, but subsequently makes such identification, the railroad shall submit a revised Employee Human Factor Attachment to FRA immediately, and shall submit the Notice described in paragraph (b) of this section to that employee within 15 days of when the revised report is to be submitted.

(e) *Deferred notification on medical grounds.* The reporting railroad has reasonable discretion to defer notification of implicated employees on medical grounds.

(f) *Implicated employees who have died by the time that the Notice is ready to be sent.*

(1) If an implicated employee has died as a result of the accident, a Notice under paragraph (b) addressed to that employee must not be sent to any person.

(2) 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.

(g) *Employee Statement Supplementing Railroad Accident Report (Supplements or Employee Supplements).*

(1) Employee Statements Supplementing Railroad Accident Reports are voluntary, not mandatory; nonsubmission of a Supplement does not imply that the employee admits or endorses the railroad's conclusions as to cause or any other allegations.

(2) 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 (postage prepaid) 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 (postage prepaid) to the railroad that issued the Notice so that the railroad will have an opportunity to reassess its reports to FRA concerning the accident.

(3) 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, if any, or to the Federal Railroad Administration, Office of Safety, Office of Safety Enforcement, RRS-13 400 Seventh St. SW., Washington, DC 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.

(h) *Willful false statements; penalties.* 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.

(1) Under sections 3(a) and 15 or the Rail Safety Improvement Act of 1988, any person who willfully files a false Supplement with FRA is subject to a civil penalty. See appendix B to this part.

(2) Any person who knowingly and willfully files a false Supplement is subject to a \$5,000 fine, or up to two years' imprisonment, or both, under the Federal Railroad Safety Act of 1970 (45 U.S.C. 438(e)).

[55 FR 37827, Sept. 13, 1990; 55 FR 39538, Sept. 27, 1990]

§ 225.13 Late reports.

Whenever a railroad discovers that a report of an accident/incident, through mistake or otherwise, has been improperly omitted from or improperly reported on its regular monthly accident/incident report, a report covering this accident/incident together with a letter of explanation

must be submitted immediately. Whenever a railroad receives a partially or fully completed Employee Statement Supplementing Railroad Accident Report (part II of Form FRA F 6180.78), in response to a Notice to Railroad Employee (part I of Form FRA F 6180.78) issued by the railroad and mailed or hand delivered to the employee, the railroad must promptly review that Supplement; based on that review, reassess the accuracy and validity of the railroad's Rail Equipment Accident/Incident Report and of any other reports and records required by this part concerning the same accident, including the Employee Human Factor Attachment; make all justified revisions to each of those reports and records; submit any amended reports to FRA; and submit a copy of any amended Rail Equipment Accident/Incident Report, Employee Human Factor Attachment, and Rail-Highway Grade Crossing Accident/Incident Report on the accident to the employee. A second notice under § 225.12 is not required for the employee. If an employee who was never sent a notice under § 225.12 for that accident is implicated in the revised Employee Human Factor Attachment, the railroad must follow the procedures of § 225.12(d).

[39 FR 43224, Dec. 11, 1974, as amended at 55 FR 37828, Sept. 13, 1990]

§ 225.15 Accidents/incidents not to be reported.

A railroad need not report:

(a) Casualties which occur at rail-highway 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;

(b) Casualties in or about living quarters not arising from the operation of a railroad;

(c) Suicides as determined by a coroner or other public authority; or

(d) Attempted suicides.

§ 225.17 Doubtful cases: alcohol or drug involvement.

(a) The reporting officer of a railroad will ordinarily determine the reportability or nonreportability of an

accident/incident after examining all evidence available. The FRA, however, cannot delegate authority to decide matters of judgment when facts are in dispute. In all such cases the decision shall be that of the FRA.

(b) Even though there may be no witness to an accident/incident, if there is evidence indicating that a reportable accident/incident may have occurred, a report of that accident/incident must be made.

(c) All accidents/incidents reported as "claimed but not admitted by the railroad" are given special examination by the FRA, and further inquiry may be ordered. Accidents/incidents accepted as reportable are tabulated and included in the various statistical statements issued by the FRA. The denial of any knowledge or refusal to admit responsibility by the railroad does not exclude those accidents/incidents from monthly and annual figures. Facts stated by a railroad that tend to refute the claim of an injured person are given consideration, and when the facts seem sufficient to support the railroad's position, the case is not allocated to the reporting railroad.

(d) (1) In preparing a Rail Equipment Accident/Incident Report under this part, the railroad shall make such specific inquiry as may be reasonable under the circumstances into the possible involvement of alcohol or drug use or impairment in such accident or incident. If the railroad comes into possession of any information whatsoever, whether or not confirmed, concerning alleged alcohol or drug use or impairment by an employee who was involved in, or arguably could be said to have been involved in, the accident/incident, the railroad shall report such alleged use or impairment as provided in the current FRA Guide for Preparing Accident/Incident Reports. If the railroad is in possession of such information but does not believe that alcohol or drug impairment was the primary or contributing cause of the accident/incident, then the railroad shall include in the narrative statement of such report a brief explanation of the basis of such determination.

(2) For any train accident within the requirement for post-accident testing under § 219.201 of this title, the rail-

road shall append to the Rail Equipment Accident/Incident Report any report required by § 219.209(b) (pertaining to failure to obtain samples for post-accident toxicological testing).

(3) For any train or non-train incident, the railroad shall provide any available information concerning the possible involvement of alcohol or drug use or impairment in such accident or incident.

(4) In providing information required by this paragraph, a railroad shall not disclose any information concerning use of controlled substances determined by the railroad's Medical Review Officer to have been consistent with 49 CFR 219.103.

[39 FR 43224, Dec. 11, 1974, as amended at 50 FR 31579, Aug. 2, 1985; 54 FR 53279, Dec. 27, 1989]

§ 225.19 Primary groups of accidents/incidents.

(a) For reporting purposes reportable railroad accidents/incidents are divided into three groups:

Group I—Rail-Highway Grade Crossing;
Group II—Rail Equipment;
Group III—Death, Injury and Occupational Illness.

(b) *Group I—Rail-highway grade crossing.* Each rail-highway grade crossing accident/incident must be reported to the FRA on Form FRA F 6180.57, regardless of the extent of damages or whether a casualty occurred. In addition, whenever a rail-highway grade crossing accident/incident results in more than \$6,300 damages to railroad on-track equipment, signals, track, track structures, or roadbed, that accident/incident must be reported to the FRA on Form FRA F6180.54. For reporting purposes, damages include labor costs and all other costs to repair or replace in kind damaged on-track equipment, signals, track, track structures, or roadbed, but do not include the cost of clearing a wreck.

(c) *Group II—Rail Equipment.* Rail equipment accidents/incidents are collisions, derailments, fires, explosions, acts of God, or other events involving the operation of railroad on-track equipment, signals, track, track equipment (standing or moving) that result

in more than \$6,300 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. Each rail equipment accident/incident must be reported to the FRA on Form FRA F 6180.54. If the property of more than one railroad is involved in an accident/incident, the \$6,300 threshold is calculated by including the damages suffered by all of the railroads involved. See § 225.23, Joint Operations. The \$6,300 reporting threshold will be reviewed periodically and will be adjusted in increments of \$100 every 2 years in accordance with the procedures outlined in appendix A of this part.

(d) *Group III—Death, injury or occupational illness.* Each accident/incident, arising from the operation of a railroad, must be reported on Form FRA F 6180.55a if it results in:

(1) The death of any person from an injury within 365 days of the accident/incident;

(2) The death of a railroad employee from occupational illness within 365 days after the occupational illness was diagnosed by a physician;

(3) Injury to any person other than a railroad employee that required medical treatment;

(4) Injury to a railroad employee that requires medical treatment or results in restriction of work or motion for one or more work days, one or more lost work days, termination of employment, transfer to another job or loss of consciousness; or

(5) Any occupational illness of a railroad employee as diagnosed by a physician.

(Secs. 11144 and 11145, Subtitle IV of Title 49 (49 U.S.C. 11144 and 11145); secs. 1 and 6, Accident Reports Act (45 U.S.C. 431 and 437); sec. 6(e) and (f), Department of Transportation Act (49 U.S.C. 1655(e) and (f)); sec. 1.49(g) and (m), regulations of the Office of the Secretary of Transportation (49 CFR 1.49(g) and (m))

[39 FR 43224, Dec. 11, 1974, as amended at 41 FR 50691, Nov. 17, 1976; 42 FR 1221, Jan. 6, 1977; 47 FR 56358, Dec. 16, 1982; 51 FR 47019, Dec. 30, 1986; 53 FR 48548, Dec. 1, 1988; 55 FR 52847, Dec. 21, 1990]

§ 225.21 Forms.

The following forms and copies of the FRA Guide for Preparing Accident/Incident Reports may be obtained from the Office of Safety, FRA, 400 Seventh Street, SW., Washington, DC 20590.

(a) *Form FRA F 6180.54—Rail Equipment Accident/Incident Report.* Form FRA F 6180.54 shall be used to report each reportable rail equipment accident/incident which occurred during the preceding month.

(b) *Form FRA F 6180.55—Railroad Injury and Illness Summary.* Form FRA F 6180.55 must be filed each month, even though no reportable accident/incident occurred during the month covered. Each report must include an oath or verification, made by the proper officer of the reporting railroad, as provided for attestation on the form. If no reportable accident/incident occurred during the month, that fact must be stated on this form. Class I and II line-haul and terminal and switching railroads, must show on this form the total number of locomotive train miles, motor train miles, and yard switching miles run during the month, computed in accordance with Train-Mile, Locomotive-Mile, Car-Mile, and Yard Switching accounts in the Uniform System of Accounts for Railroad Companies prescribed by the Interstate Commerce Commission in 49 CFR part 1200.

(c) *Form FRA 6180.55a—Railroad Injury and Illness (Continuation Sheet).* Form FRA 6180.55a shall be used to report all reportable fatalities, injuries and occupational illnesses that occurred during the preceding month.

(d) *Form FRA 6180.56—Annual Railroad Report of Manhours by State.* Form FRA 6180.56 shall be submitted as part of the monthly Railroad Injury and Illness Summary (Form FRA F 6180.55) for the month of December of each year.

(e) *Form FRA F 6180.57—Rail-Highway Grade Crossing Accident/Incident Report.* Form FRA F 6180.57 shall be used to report each rail-highway grade crossing accident/incident which occurred during the preceding month.

(f) *Form FRA F 6180.45—Annual Summary Report of Railroad Injury and Illness.* Form FRA F 6180.45 shall be submitted as part of the monthly Railroad Injury and Illness Summary (Form FRA F 6180.55) for the month of December of each year.

(g) *Form FRA F 6180.81—Employee Human Factor Attachment.* Form FRA F 6180.81 shall be used by railroads, as a supplement to the Rail Equipment Accident/Incident Report (Form FRA F 6180.54), in reporting rail equipment accidents/incidents that they attribute to an employee human factor. This form shall be completed in accordance with instructions printed on the form and in the current "FRA Guide for Preparing Accident/Incident Reports." The form shall be attached to the Rail Equipment Accident/Incident Report and shall be submitted within 30 days after expiration of the month in which the accident/incident occurred.

(h) *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.* When a railroad alleges, in the Employee Human Factor Attachment to a Rail Equipment Accident/Incident Report, that the act, omission, or physical condition of a specific employee was a primary or contributing cause of the rail equipment accident/incident, the railroad shall complete part I of Form FRA F 6180.78 to notify each such employee identified that the railroad has made such allegation and that the employee has the right to submit a statement to FRA. The railroad shall then submit the entire form, parts I and II, to the employee. The Employee Statement Supplementing Railroad Accident Report (Employee Supplement) is completely at the option of the employee; however, if the employee desires to make a statement about the accident that will become part of the railroad's Rail Equipment Accident/Incident Report, the employee shall complete the Employee Supplement form (part II of Form FRA F 6180.78) and shall then submit the original of the entire form, parts I and II, and any attachments, to FRA and submit a

copy of the same to the railroad that issued the Notice in part I.

[39 FR 43224, Dec. 11, 1974, as amended at 42 FR 1221, Jan. 6, 1977; 49 FR 48939, Dec. 17, 1984; 55 FR 37828, Sept. 13, 1990]

§ 225.23 Joint operations.

(a) Any reportable death or injury to an employee arising from an accident/incident involving joint operations must be reported on Form FRA F 6180.55a by the employing railroad.

(b) In all cases involving joint operations, each railroad must report on Form FRA F 6180.55a the casualties to all persons on its train or other on-track equipment. Casualties to railroad employees must be reported by the employing railroad regardless of whether the employees were on or off duty. Casualties to all other persons not on trains or on-track equipment must be reported on Form FRA F 6180.55a by the railroad whose train or equipment is involved. Any person found unconscious or dead, if such condition arose from the operation of a railroad, on or adjacent to the premises or right-of-way of the railroad having track maintenance responsibility must be reported by that railroad on Form FRA F 6180.55a.

(c) In rail equipment accident/incident cases involving joint operations, the railroad responsible for carrying out repairs to, and maintenance of, the track on which the accident/incident occurred, and any other railroad directly involved in the accident/incident, each must report the accident/incident on Form FRA F 6180.54.

[39 FR 43224, Dec. 11, 1974, as amended at 42 FR 1221, Jan. 6, 1977]

§ 225.25 Recordkeeping.

(a) Each railroad must maintain a log of injuries and occupational illnesses at and for each railroad establishment, including but not limited to an operating division, general office, and major installation such as a locomotive or car repair or construction facility. A copy of each log may be kept at a central location. The log will be used to prepare the annual summary required by paragraph (c) of this

section, and must contain the following information:

- (1) Case or file number;
- (2) Date of injury or initial diagnosis of illness (month/day/year);
- (3) Employee's name;
- (4) Occupation of employee (regular job title, not the activity being performed when the accident/incident occurred);
- (5) Department in which the railroad employee is regularly employed;
- (6) Nature of injury or illness and part of body affected;
- (7) Extent and outcome of injury or illness to show the following as applicable:
 - (i) Fatality—enter date of death.
 - (ii) Lost workdays or days of restriction of work or motion—show number.
 - (iii) Transfer to another job or termination of employment.
- (8) Name of railroad;
- (9) Name of establishment; and
- (10) Location of establishment.

(b) Each railroad must maintain a supplementary record of each reportable injury and occupational illness sustained by a railroad employee. The supplementary record must contain at least the following facts:

- (1) About the employer—name, mail address and location if different from mail address;
- (2) About the ill or injured employee—name, employee or social security number, home address, age, sex, occupation and department;
- (3) About the injury or exposure resulting in occupational illness—place of injury or exposure, whether it was on employer's premises, what the employee was doing when injured or exposed, and how the injury or exposure occurred;
- (4) About the injury or occupational illness description of the injury or illness, including the part of body affected, the name of the object or substance which directly caused the injury or illness of the employee, and the date of injury or diagnosis of illness;
- (5) Other—name and address of physician, name and address of hospital, if hospitalized, date, name and title of person preparing the report.

(c) Beginning January 1, 1976, an annual summary for the preceding calendar year shall be posted before February 1 of each year and remain continuously posted for at least thirty consecutive days, at a location within each railroad establishment where it may be observed by railroad employees of that establishment. The annual summary shall contain the following information:

(1) A list of injury and illness category to include:

- (i) Occupational injuries;
- (ii) Occupational skin diseases or disorders;
- (iii) Dust diseases of the lungs;
- (iv) Respiratory conditions due to toxic agents;
- (v) Poisoning;
- (vi) Disorders due to physical agents;
- (vii) Disorders due to repeated trauma;
- (viii) All other occupational illnesses;
- (ix) Total cases of occupational illnesses; and
- (x) Total of occupational injuries and illnesses;

(2) A breakdown of each category to show:

- (i) Total number of cases;
 - (ii) Number of fatalities;
 - (iii) Number of lost work day cases;
 - (iv) Number of cases involving days away from work;
 - (v) Number of days away from work;
 - (vi) Number of days of restricted activity;
 - (vii) Number of non-fatal cases without lost work days; and
 - (viii) Number of cases resulting in permanent transfers or terminations;
- (3) Name and address of establishment;
 - (4) Signature and title of preparer; and
 - (5) Date of report.

§ 225.27 Retention of records.

(a) Each railroad must retain the logs, supplementary records, and annual summaries, required by § 225.25 for at least 5 years after the end of the calendar year to which they relate. Each railroad must retain the Employee Human Factor Attachments required by § 225.12, the written notices to employees required by § 225.12, and the Employee Statements Supplementing Railroad Acci-

§ 225.29

dent Reports described in § 225.12(g) that have been received by the railroad for at least 2 years after the end of the calendar year to which they relate.

(b) Each railroad must retain a duplicate of each form it submits to FRA under § 225.21, for at least 2 years after the calendar year to which it relates.

[39 FR 43224, Dec. 11, 1974, as amended at 55 FR 37828, Sept. 13, 1990]

§ 225.29 Penalties.

Any person (including a railroad and any manager, supervisor, official, or other employee or agent of a railroad) who violates any requirement of this part or causes the violation of any such requirement is subject to a civil penalty of at least \$250 and not more than \$10,000 per violation, except that: Penalties may be assessed against individuals only for willful violations, and where a grossly negligent violation or a pattern of repeated violations has created an imminent hazard of death or injury to persons, or has caused death or injury, a penalty not to exceed \$20,000 per violation may be assessed. Each day a violation continues shall constitute a separate offense. See appendix B to this part for a statement of agency civil penalty policy. A person may also be subject to the criminal penalties provided for in 45 U.S.C. 39 and 438(e).

[53 FR 28601, July 28, 1988, as amended at 53 FR 52931, Dec. 29, 1988]

§ 225.31 Investigations.

(a) It is the policy of the FRA to investigate rail transportation accidents/incidents which result in the death of a railroad employee or the injury of five or more persons. Other accidents/incidents are investigated when it appears that an investigation would substantially serve to promote railroad safety.

(b) FRA representatives are authorized to investigate accidents/incidents and have been issued credentials authorizing them to inspect railroad records and properties. They are authorized to obtain all relevant information concerning accidents/incidents under investigation, to make inquiries

49 CFR Ch. II (10-1-91 Edition)

of persons having knowledge of the facts, conduct interviews and inquiries, and attend as an observer, hearings conducted by railroads. When necessary to carry out an investigation, the FRA may authorize the issuance of subpoenas to require the production of records and the giving of testimony.

(c) Whenever necessary, the FRA will schedule a public hearing before an authorized hearing officer, in which event testimony will be taken under oath, a record made, and opportunity provided to question witnesses.

(d) When necessary in the conduct of an investigation, the Federal Railroad Administrator may require autopsies and other tests of the remains of railroad employees who die as a result of an accident/incident.

(e) Information obtained through FRA accident investigations may be published in public reports or used for other purposes FRA deems to be appropriate.

(f) Section 4 of the Accident Reports Act (36 Stat. 351, 45 U.S.C. 41) provides that reports of accident investigations may not be admitted as evidence or used for any purpose in any suit or action for damages growing out of any matter mentioned in accident investigations reports.

APPENDIX A TO PART 225—PROCEDURE FOR DETERMINING REPORTING THRESHOLD

1. Wage figures used for track direct labor rates will be based on the "[a]verage straight time rate" shown in the "Recapitulation by Group of Employees," for Group 300 Maintenance of Way Structures Employees. This information appears in the most recent annual edition (Year 1989) of "Statement A-300 of the Interstate Commerce Commission, Bureau of Accounts, Wage Statistics of Class I Railroads in the United States."

2. Wage figures used for mechanical direct labor rates will be based on the "[a]verage straight time rate" shown in the "Recapitulation by Group of Employees," for Group 400 Maintenance of Equipment and Stores Employees. This information appears in the most recent annual edition (Year 1989) of "Statement A-300 of the Interstate Commerce Commission, Bureau of Accounts, Wage Statistics of Class I Railroads in the United States."

3. Fringe benefit surcharges will be added to the average straight time rates for me-

mechanical and track employees based on the Railroad Cost Index data developed for the Interstate Commerce Commission under the provisions of 49 CFR part 1102. This information was published in summarized form in the September 24, 1984 edition of the FEDERAL REGISTER (49 FR 37481).

4. To calculate the index number for mechanical labor, divide the present (1990) mechanical wage rate of \$23.56 by the previous (1988) mechanical wage rate of \$21.82. The result is a mechanical labor index number of 1.08 for 1990.

5. The track labor index number is calculated by dividing the present (1990) track

wage rate of \$22.74 by the previous (1988) track wage rate of \$21.12. The result is a track labor index number of 1.08 for 1990.

6. Calculation of the labor index number is as follows: [(track labor index number) $1.08 \times .20$] + [(mechanical labor index number) $1.08 \times .80$] = labor index number of 1.08.

7. The mechanical material index number is calculated by first totaling the present (1990) cost of the following mechanical materials:

| Quantity | Description | 1988 | 1990 |
|---------------------------|---|---------|---------|
| 8 | 33" CS wheels | \$1,682 | \$2,136 |
| 8 | 6by 11" roller bearings | 1,204 | 1,524 |
| 4 | Roller bearing axles | 2,030 | 2,358 |
| 4 | 6by 11" roller bearing truck sides (750 lbs.) | 3,027 | 3,891 |
| 2 | 6by 11" truck bolsters (1,060 lbs.) | 2,092 | 2,468 |
| 2 | E couplers | 589 | 648 |
| 4 | Brake beams | 321 | 633 |
| 1 | AB cylinder | 95 | 96 |
| 1 | AB reservoir | 342 | 387 |
| 1 | ABD control valve | 1,252 | 1,218 |
| 500 lbs. | Steel bar | 610 | 560 |
| 1,000 lbs. | Steel sheets | 1,220 | 1,120 |
| 1,000 lbs. | Steel plates | 1,220 | 1,120 |
| 8 | Brake shoes | 46 | 99 |
| 8 | Roller bearing adapters | 131 | 127 |
| 24 | Outer coil springs | 192 | 220 |
| 800 | Board feet hardwood lumber | 392 | 496 |
| 1 | Traction motor | 43,000 | 48,200 |
| 60 feet | 1 1/4" brake pipe | 72 | 72 |
| 1 | Hand brake | 256 | 298 |
| Total mechanical material | | 59,773 | 67,669 |

The mechanical material index number is determined by dividing the present (1990) total cost for these mechanical materials (\$67,669) by the previous (1988) total cost for mechanical materials (\$59,773). The result is 1.13.

8. The track material index number is calculated by first totaling the present (1990) cost of the following track materials:

| Quantity | Description | 1988 | 1990 |
|----------------------|------------------------|-----------|-----------|
| 4,500 | Ties, wooden | \$112,500 | \$135,000 |
| 250 tons | Rail | 145,000 | 152,500 |
| 90 tons | Tie plates | 52,200 | 52,200 |
| 27,000 | Spikes (5.8 tons) | 4,408 | 4,408 |
| 800 | Joint bars (25.4 tons) | 27,000 | 27,000 |
| 2,000 | Track bolts | 3,200 | 3,400 |
| 1 | Frog | 4,500 | 4,500 |
| 1 | Switch | 4,900 | 6,500 |
| Total track material | | 353,708 | 385,508 |

The track material index number is determined by dividing the present (1990) total cost for these track materials (\$385,508) by the previous (1988) total cost for track materials (\$353,708). The result is 1.09.

9. Calculation of the material index number is as follows: [(track material index number) $1.09 \times .20$] + [(mechanical material index number) $1.13 \times .80$] = material index number of 1.12.

10. Calculation of the threshold index number is as follows: [(labor index number) 1.08 × .40] + [(material index number) 1.12 × .60] = threshold index number of 1.10.

11. In order to calculate the new reporting threshold, multiply the existing reporting threshold \$5,700 by the threshold index number of 1.10. The result is \$6,270. This result, when rounded to the nearest \$100.00 is the new accident/incident reporting threshold figure of \$6,300.

[55 FR 52847, Dec. 21, 1991]

APPENDIX B TO PART 225—Schedule of Civil Penalties ¹

| Section | Violation | Willful violation |
|--|------------------|-------------------|
| 225.9 Telephonic reports of certain accidents/incidents..... | \$1,000 | \$2,000 |
| 225.11 Reports of accidents/incidents..... | 2,500 | 5,000 |
| 225.12(a): Failure to file Employee Human Factor Attachment properly: Employee identified..... | 2,500 | 5,000 |
| No employee identified..... | 250 | 1,000 |
| 225.12(b): Failure to notify employee properly..... | 2,500 | 5,000 |
| Notification of employee not involved in accident..... | 2,500 | 5,000 |
| 225.12(c): Failure of employing railroad to provide requested information properly..... | 1,000 | 2,500 |
| 225.12(d): Failure to revise report when identity becomes known..... | 2,500 | 5,000 |
| Failure to notify after late identification..... | 2,500 | 5,000 |
| 225.12(f)(1): Submission to notice if employee died as result of the reported accident..... | 2,500 | 5,000 |
| 225.12(g): Willfully false accident statement by employee..... | | 5,000 |
| 225.13 Late reports..... | 2,500 | 5,000 |
| 225.17(d) Alcohol or drug involvement..... | 2,500 | 5,000 |
| 225.23 Joint operations..... | (¹) | (¹) |
| 225.25 Recordkeeping..... | 2,500 | 5,000 |
| 225.27 Retention of records..... | 1,000 | 2,000 |

¹ A penalty may be assessed against an individual only for a willful violation. The Administrator reserves the right to assess a penalty of up to \$20,000 for any violation where circumstances warrant. See 49 CFR part 209, appendix A. A failure to comply with § 225.23 constitutes a violation of § 225.11. For purposes of §§ 225.25 and 225.27 of this part, each of the following constitutes a single act of noncompliance: (1) A missing or incomplete log entry for a particular employee's injury or illness; (2) a missing or incomplete supplementary record of a particular employee's injury or illness; or (3) a missing or incomplete annual summary for a particular establishment. Each day a violation continues is a separate offense.

[53 FR 52931, Dec. 29, 1988, as amended at 55 FR 37828, Sept. 13, 1990]

PART 228—HOURS OF SERVICE OF RAILROAD EMPLOYEES

Subpart A—General

Sec.

- 228.1 Scope.
- 228.3 Application.
- 228.5 Definitions.

Subpart B—Records and Reporting

- 228.7 Hours of duty.
- 228.9 Railroad records; general.
- 228.11 Hours of duty records.
- 228.17 Dispatcher's record of train movements.
- 228.19 Monthly reports of excess service.
- 228.21 Civil penalty.
- 228.23 Criminal penalty.

Subpart C—Construction of Employee Sleeping Quarters

- 228.101 Distance requirement; definitions.
- 228.103 Approval procedure; construction within one-half mile (2,640 feet) (804 meters).
- 228.105 Additional requirements; construction within one-third mile (1,760 feet) (536 meters) of certain switching.
- 228.107 Action on petition.

APPENDIX A TO PART 228—REQUIREMENTS OF THE HOURS OF SERVICE ACT: STATEMENT OF AGENCY POLICY AND INTERPRETATION

APPENDIX B TO PART 228—SCHEDULE OF CIVIL PENALTIES

APPENDIX C TO PART 228—GUIDELINES FOR CLEAN, SAFE, AND SANITARY RAILROAD PROVIDED CAMP CARS

AUTHORITY: 45 U.S.C. 61-64b, as amended; 45 U.S.C. 437 and 438, as amended; Pub. L. 100-342; 49 App. U.S.C. 1655(e), as amended; and 49 CFR 1.49 (d) and (m).

SOURCE: 37 FR 12234, June 21, 1972, unless otherwise noted.

Subpart A—General

§ 228.1. Scope.

This part—

(a) Prescribes reporting and record keeping requirements with respect to the hours of service of certain railroad employees; and

(b) Establishes standards and procedures concerning the construction or reconstruction of employee sleeping quarters.

[43 FR 31012, July 19, 1978]

Appendix K - Forms

DEPARTMENT OF TRANSPORTATION
FEDERAL RAILROAD ADMINISTRATION
RAILROAD INJURY AND ILLNESS SUMMARY

*Form Approved
OMB No. 04-R4009*

| | | | | |
|--------------------------------------|---------------------------|-----------------------------------|---------------------------------------|------------------|
| 1. NAME OF REPORTING RAILROAD | 2. ALPHABETIC CODE | 3. REPORT MONTH & YEAR | 4. STATE ALPHABETIC CODE | 5. COUNTY |
| NAME OF REPORTING OFFICER | | | OFFICIAL TITLE | |
| ADDRESS | | | TELEPHONE (Area Code) (Number) | |

6. I, _____, being first duly sworn, do say upon my oath that I am _____, of the railroad aforesaid and as such officer of the said railroad it is my duty to have supervision over the record of reportable incidents arising from the operation of the said railroad, and that I have caused to be compiled from the said record and to be carefully examined the annexed report of such incidents occurring during the month named at the head of this sheet; and that the said report is true and complete to the best of my knowledge and belief.

Subscribed and sworn to before me, a notary public in and for the State and County aforesaid, this _____ day of _____, 19 _____.

(Use an im-
[L.S]
pression seal) _____

(Notary Public) _____ (Signature of affiant)

7. **MILES RUN DURING MONTH**

| | | | |
|----------------------------------|-----------------------------|--------------------------------|-----------------|
| A. LOCOMOTIVE TRAIN MILES | B. MOTOR TRAIN MILES | C. YARD SWITCHING MILES | D. TOTAL |
|----------------------------------|-----------------------------|--------------------------------|-----------------|

8.

| | | |
|------------------------------------|------------------------------------|--|
| A. EMPLOYEE MANHOURS WORKED | B. PASSENGER MILES OPERATED | C. NUMBER OF PASSENGERS TRANSPORTED |
|------------------------------------|------------------------------------|--|

| | | | |
|------------------------------|---------------------------------|--------------------------------|--------------------------------|
| TOTAL TRAIN ACCIDENTS | TOTAL FRA FORMS 6180-55A | TOTAL FRA FORMS 6180-54 | TOTAL FRA FORMS 6180-57 |
|------------------------------|---------------------------------|--------------------------------|--------------------------------|

| SECTION A—RECAPITULATION OF ALL CASUALTIES INCLUDING HIGHWAY GRADE CROSSING ACCIDENT/INCIDENT CASUALTIES | | | | | | | | CLASS OF PERSON FOR SECTIONS A AND B | SECTION B—RECAPITULATION OF ALL HIGHWAY GRADE CROSSING ACCIDENT/INCIDENT CASUALTIES | | | | | | | |
|--|-----|-----------------|-----|--------------------|-----|-------|-----|--------------------------------------|---|-----|-----------------|-----|--------------------|-----|-------|-----|
| TRAIN ACCIDENTS | | TRAIN INCIDENTS | | NONTRAIN INCIDENTS | | TOTAL | | | TRAIN ACCIDENTS | | TRAIN INCIDENTS | | NONTRAIN INCIDENTS | | TOTAL | |
| Kld | Inj | Kld | Inj | Kld | Inj | Kld | Inj | | Kld | Inj | Kld | Inj | Kld | Inj | Kld | Inj |
| | | | | | | | | 1. Employees on duty | | | | | | | | |
| | | | | | | | | 2. Employees not on duty | | | | | | | | |
| | | | | | | | | 3. Passengers on trains | | | | | | | | |
| | | | | | | | | 4. Other nontrespassers | | | | | | | | |
| | | | | | | | | 5. Trespassers (all classes) | | | | | | | | |
| | | | | | | | | 6. Contractor Employees | | | | | | | | |
| | | | | | | | | 7. GRAND TOTAL | | | | | | | | |

SECTION C—MEMORANDUM—SUBSEQUENT FATALITIES DEVELOPED FROM REPORTED CASUALTIES

| LINE NO. | ACCIDENT/INCIDENT NUMBER | TYPE PERSON OR JOB CODE | DATE OF INJURY | DATE OF DEATH | STATE |
|----------|--------------------------|-------------------------|----------------|---------------|-------|
| 1. | | | | | |
| 2. | | | | | |
| 3. | | | | | |
| 4. | | | | | |

FORM FRA F 6180-55 (8-76) REPLACES FORM FRA F 6180-55 (12-74) WHICH IS OBSOLETE.

This report is required by law (45 USC 40). Failure to report can result in the imposition of civil penalties.

RAIL EQUIPMENT ACCIDENT/INCIDENT REPORT

| | | | | |
|---|---|--|--|---|
| 1. NAME OF REPORTING RAILROAD | | Amtrak Autotrain | 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 (enter number in code box, single entry) CODE | | | | |
| 1. Derailment 3. Rear end collision 5. Raking collision 7. Rail-Hwy crossing 9. Obstruction 11. Fire or violent rupture 12. Other (specify) 2. Head on collision 4. Side collision 6. Broken train collision 8. RR grade crossing 10. Explosion-Detonation | | | | |
| HAZARDOUS MATERIALS (number of) | | | | |
| 8. CARS CARRYING | 9. CARS DAMAGED OR DERAILED | 10. CARS WHICH RELEASED HAZ. MAT. | 11. PEOPLE EVACUATED (est.) | |
| LOCATION | | | | |
| 12. DIVISION | 13. NEAREST STATION | 14. MILEPOST (to nearest tenth) | 15. STATE (two letter code) CODE | |
| ENVIRONMENTAL CONDITIONS | | | | |
| 16. TEMPERATURE (specify if minus) °F | 17. VISIBILITY (single entry) 1. Dawn 3. Dusk 2. Day 4. Dark | CODE | 18. WEATHER (single entry) 1. Clear 2. Cloudy 3. Rain 4. Fog 5. Sleet 6. Snow | CODE |
| OPERATIONAL DATA | | | | |
| 19. METHOD (place X in appropriate box(es)) | | | | |
| 1 <input type="checkbox"/> Manual block | 4 <input type="checkbox"/> Automatic block | 7 <input type="checkbox"/> Yard rules | 10 <input type="checkbox"/> Auto. train control | 13 <input type="checkbox"/> Other (specify) |
| 2 <input type="checkbox"/> Interlocking | 5 <input type="checkbox"/> Traffic control | 8 <input type="checkbox"/> Time table | 11 <input type="checkbox"/> Verbal permission | |
| 3 <input type="checkbox"/> Cab signal | 6 <input type="checkbox"/> Auto. train stop | 9 <input type="checkbox"/> Radio | 12 <input type="checkbox"/> Train orders | |
| 20. SPEED (recorded speed, if available) Est. <input type="checkbox"/> MPH Recorded <input type="checkbox"/> | 21. TRAIN NUMBER | 22. TIME TABLE DIRECTION 1. North 2. South 3. East 4. West | | CODE |
| EQUIPMENT | | | | |
| 23. TRAILING TONS (gross tonnage, excluding power units) | 24. TYPE OF EQUIPMENT CONSIST (single entry) 1. Freight train 3. Mixed train 5. Single car 7. Yard/switching 2. Passenger train 4. Work train 6. Cut of cars 8. Light loco(s) | | | CODE |
| 26. TRACK NUMBER OR NAME | 27. FRA TRACK CLASSIFICATION | 28. ANNUAL TRACK DENSITY (gross tons in millions) | 25. WAS THE EQUIPMENT IDENTIFIED IN ITEM 24 UNATTENDED? 1. Yes 2. No CODE | |
| 30. PRINCIPLE CAR/UNIT | 30a. Initial and Number | 30b. Position in Train | 29. TYPE OF TRACK 1. Main 3. Siding 2. Yard 4. Industry CODE | |
| (1) First Involved (derailed, struck, striking, etc.) | | | 30c. Loaded (yes or no) | |
| (2) Causing (mechanical failures) | | | | |
| 31. LOCOMOTIVE UNITS (no. of) | a. Head End | Mid Train b. Manual c. Remote | Rear End d. Manual e. Remote | 32. CARS (no. of) |
| (1) Total in Train | | | | (1) Total in Equipment Consist |
| (2) Total Derailed | | | | (2) Total Derailed |
| PROPERTY DAMAGE (estimated cost, including labor, to repair or replace) | | | | |
| 33. EQUIPMENT DAMAGE (to be reported for this equipment consist only) | | \$ | 34. TRACK, SIGNAL, WAY AND STRUCTURES DAMAGE (to be reported by railroad in item 3 only) | |
| ACCIDENT/INCIDENT CAUSE CODE | | | | |
| 35. PRIMARY CAUSE | CODE | 36. CONTRIBUTING CAUSE | CODE | 37. If no code available, explain cause. |
| CASUALTIES | | | | |
| 38. NUMBER OF PERSONS INJURED | 39. ESTIMATED TOTAL DAYS DISABILITY | | 40. NUMBER OF FATALITIES | |
| CREW (no. of) | | | HOURS ON DUTY | |
| 41. ENGINEERS | 42. FIREMEN | 43. CONDUCTORS | 44. BRAKEMEN | 45. ENGINEER Hrs: Mins: |
| | | | | 46. CONDUCTOR Hrs: Mins: |
| 47. TYPED NAME AND TITLE | | | 48. SIGNATURE | 49. DATE |
| 50. NARRATIVE DESCRIPTION - Describe the cause, nature and circumstances of accident/incident | | | | |

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 |
|----------------------|-----------|------|

**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.

+U.S. GPO:1990-518-226/20292

INSTRUCTIONS TO NOTIFIED RAILROAD EMPLOYEE ON COMPLETING PART II OF THIS FORM,
"EMPLOYEE STATEMENT SUPPLEMENTING RAILROAD ACCIDENT REPORT"

1. Please read all of these instructions before completing the form.
2. If you wish to do so, please submit an Employee Statement Supplementing Railroad Accident Report (Supplement) concerning the accident described in Part I of this form. Nonsubmission of a Supplement does not constitute consent to any of the railroad's allegations.
3. If you choose to submit a Supplement, you must send a copy to the railroad shown in Part I as the "reporting railroad." (If more than one railroad reported this accident to the Federal Railroad Administration, you may receive more than one Notice. A Supplement may be submitted in response to each Notice.)
4. Supplements become part of the railroad's accident report to the Federal Railroad Administration (FRA), U. S. Department of Transportation, and are available through the Freedom of Information Act to railroads and the general public to the same extent as other government records. See 49 CFR Part 7 and 225.7. The reporting railroad is required to read your Supplement and determine, in light of your Supplement, whether the railroad's report(s) to FRA concerning the accident should be revised. If you wish to submit confidential information to the Federal Railroad Administration, this form is not to be used to submit it. Instead, you should use another means of communication such as a confidential letter addressed to your collective bargaining representative, if any, or to the Federal Railroad Administration, Office of Safety, Office of Safety Enforcement, 400 Seventh Street, S. W., Washington, D. C. 20590. The confidential letter should include the name of the "reporting railroad," the date and place of the accident, and the "rail equipment accident/incident number." See Part I of this form.
5. Print or type. If more room is needed, attach one or more additional pieces of paper.
6. FRA advises preparing a rough draft before filling in the Supplement form.
7. Please be aware that willful false statements can result in the imposition of civil penalties. Knowing and willful false statements can result in the imposition of criminal penalties.
8. Relevant supporting documents and photographs may also be attached.
9. After rereading the Notice to Railroad Employee (Part I of this form) and reading its attachments (the Rail Equipment Accident/Incident Report and Employee Human Factor Attachment) —
 - a. State the item number (for example, Item No. 30b for "Position in Train") of any item on the Rail Equipment Accident/Incident Report with which you disagree or which you question, and state what you believe to be the correct information.
 - b. If not already discussed, state the item number of any item in Part I of the Notice with which you disagree or which you question, and state what you believe to be the correct information.
 - c. If not already discussed, state the item number of any item in the Employee Human Factor Attachment with which you disagree, or which you question, and state what you believe to be the correct information.
 - d. Comment as clearly and concisely as you can on the railroad's allegations concerning your role in the accident and explain any factors that you believe caused or contributed to the accident.
10. Sign and date the Supplement. Otherwise it will be returned to you.
11. Attach one copy of the railroad's Rail Equipment Accident/Incident Report and Employee Human Factor Attachment on this accident.
12. Note the number of copies of this form and any attachments to be made:

Original - to FRA
1 copy - to railroad
1 copy - for your records

(FRA suggests that you make and keep a copy of your Supplement and any other supporting material submitted with it, including a copy of the railroad's reports.)
13. Fill in the date of mailing on the original and each copy. Mail the original of the entire form (Parts I and II), with one copy of the railroad's Rail Equipment Accident/Incident Report and Employee Human Factor Attachment on this accident, continuation pages (if any), and any other supporting documents, by first class mail, to the following:

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

Also, mail a copy of the same, by first class mail, to the railroad representative listed at the end of Part I of this form. You must pay the postage for each.
14. The time limit for mailing your Supplement is 35 days from the date that the Notice (Part I of this form) was mailed or hand delivered to you. Exceptions will be made if you state a good reason for the delay. Supplements submitted late should be accompanied by a letter of explanation; however, there is no penalty for filing a Supplement late.

PAPERWORK REDUCTION ACT STATEMENT

Public reporting burden for this collection of information is estimated to average 15 minutes for completing Part I and 2 hours for completing Part II. These estimates include 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.

RAIL-HIGHWAY GRADE CROSSING ACCIDENT/INCIDENT REPORT

| | | | | |
|---|--|--|---|--|
| 1. NAME OF REPORTING RAILROAD | | Amtrak Autotrain | 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"/> |
| LOCATION | | | | |
| 7. NEAREST RAILROAD STATION | | 8. COUNTY | 9. STATE (two letter code) CODE | |
| 10. CITY (if in a city) | | 11. HIGHWAY NAME OR NUMBER (if private crossing, so state) | | |
| ACCIDENT/INCIDENT SITUATION | | | | |
| 12. TYPE 1. Auto 3. Truck-Trailer 6. Motorcycle 2. Truck 4. Bus 7. Pedestrian 5. School Bus 8. Other (specify) | | | CODE | 16. EQUIPMENT 1. Train (units pulling) 3. Train (standing) 6. Light loco(s) (moving) 2. Train (units pushing) 4. Car(s) (moving) 7. Light loco(s) (standing) 5. Car(s) (standing) 8. Other (specify) |
| 13. SPEED (estimated mph at impact) | | 14. DIRECTION (geographical) 1. North 3. East 2. South 4. West | CODE | 17. POSITION OF CAR/UNIT IN TRAIN CODE |
| 15. POSITION 1. Stalled on crossing 2. Stopped on crossing 3. Moving over crossing | | CODE | 18. CIRCUMSTANCE 1. Train struck highway user 2. Train struck by highway user CODE | |
| 19. Was the highway user and/or rail equipment involved in the impact transporting hazardous materials? 1. Highway user 2. Rail equipment 3. Both 4. Neither CODE | | | | |
| ENVIRONMENT | | | | |
| 20. TEMPERATURE (specify, if minus) °F | | 21. VISIBILITY (single entry) 1. Dawn 3. Dusk 2. Day 4. Dark | CODE | 22. WEATHER (single entry) 1. Clear 3. Rain 5. Sleet 2. Cloudy 4. Fog 6. Snow CODE |
| TRAIN AND TRACK | | | | |
| 23. TYPE OF TRAIN 1. Freight 3. Mixed 5. Yard/Switching 2. Passenger 4. Work 6. Light Locomotive(s) | | | CODE | 24. TRACK TYPE USED BY TRAIN INVOLVED CODE 1. Main 3. Siding 2. Yard 4. Industry |
| 25. TRACK NUMBER OR NAME | | 26. FRA TRACK CLASSIFICATION | | 27. NUMBER OF LOCOMOTIVE UNITS |
| 28. NUMBER OF CARS | | 29. TRAIN SPEED (recorded speed, if available) MPH Est Recorded | | 30. TIME TABLE DIRECTION CODE 1. North 3. East 2. South 4. West |
| CROSSING WARNING | | | | |
| 31. TYPE (place X in appropriate box(es)) 1. <input type="checkbox"/> Gates 5. <input type="checkbox"/> Hwy. Traffic Signals 9. <input type="checkbox"/> Watchman 2. <input type="checkbox"/> Cantilever FLS 6. <input type="checkbox"/> Audible 10. <input type="checkbox"/> Flagged by crew 3. <input type="checkbox"/> Standard FLS 7. <input type="checkbox"/> Crossbucks 11. <input type="checkbox"/> Other (specify) 4. <input type="checkbox"/> Wig Wags 8. <input type="checkbox"/> Stop Signs 12. <input type="checkbox"/> None | | | 32. SIGNALLED CROSSING WARNING Was the signaled crossing warning identified in item 31 operating? 1. Yes 2. No CODE | |
| 33. LOCATION OF WARNING 1. Both sides 2. Side of vehicle approach 3. Opposite side of vehicle approach | | CODE | 34. CROSSING WARNING INTERCONNECTED WITH HIGHWAY SIGNALS 1. Yes 2. No 3. Unknown CODE | |
| MOTORIST ACTION | | | | |
| 36. MOTORIST PASSED STANDING HIGHWAY VEHICLE 1. Yes 2. No 3. Unknown | | | CODE | 37. MOTORIST DROVE BEHIND OR IN FRONT OF TRAIN AND STRUCK OR WAS STRUCK BY SECOND TRAIN 1. Yes 2. No 3. Unknown CODE |
| 38. MOTORIST 1. Drove around or thru the gate 2. Stopped and then proceeded 3. Did not stop 4. Other (specify) 5. Unknown CODE | | | | |
| 39. VIEW OF TRACK OBSCURED BY (primary obstruction) 1. Permanent structure 2. Standing railroad equipment 3. Passing train 4. Topography 5. Vegetation 6. Highway vehicles 7. Other (specify) 8. Not obstructed CODE | | | | |
| HIGHWAY VEHICLE PROPERTY DAMAGE/CASUALTIES | | | | |
| 40. HIGHWAY VEHICLE PROPERTY DAMAGE (est. dollar damage) | | 41. DRIVER WAS 1. Killed 2. Injured 3. Uninjured | | 42. WAS DRIVER IN THE VEHICLE? 1. Yes 2. No CODE |
| 43. TOTAL NUMBER OF OCCUPANTS KILLED | | 44. TOTAL NUMBER OF OCCUPANTS INJURED | | 45. TOTAL NUMBER OF OCCUPANTS (include driver) CODE |
| 46. IS A RAIL EQUIPMENT ACCIDENT/INCIDENT REPORT BEING FILED? 1. Yes 2. No CODE | | | | |
| 47. TYPED NAME AND TITLE | | 48. SIGNATURE | | 49. DATE |

VI. INJURY AND ILLNESS SUMMARY (Covering Calendar Year _____)

- INSTRUCTIONS:**
- This section may be completed by Copying data from the "Annual Summary" which you are required to complete and post in your establishment.
 - Leave Section VI blank if there were no reportable injuries or illnesses during the reporting year.
 - Line 9 - Add all Occupational Illnesses (Lines 2 through 8) and enter on this line for each column (1) through (8).
 - Line 10 - Add Occupational Injuries (Line 1) and the sum of all Occupational Illnesses (Line 9) and enter on this line for each column (1) through (8).

| LINE | INJURY AND ILLNESS CATEGORY | TOTAL CASES (1) | DEATHS (2) | LOST WORKDAY CASES ONLY | | | | NONFATAL CASES WITH-OUT LOST WORKDAYS (7) | TERMINA-TIONS OR PERMANENT TRANSFERS (8) |
|------|---|--|---------------|--|--|----------------------------|---|--|---|
| | | | | Total lost work-day cases (includes restricted workday cases) (3) | Cases involving days away from work (4) | Days away from work (5) | Days of restricted work activity (6) | | |
| 1 | OCCUPATIONAL INJURIES | | | | | | | | |
| 2 | OCCUPATIONAL ILLNESSES | Occupational Skin Diseases or Disorders | | | | | | | |
| 3 | | Dust Diseases of the Lungs | | | | | | | |
| 4 | | Respiratory Conditions Due to Toxic Agents | | | | | | | |
| 5 | | Poisoning (Systemic Effects of Toxic Materials) | | | | | | | |
| 6 | | Disorders Due to Physical Agents | | | | | | | |
| 7 | | Disorders Associated With Repeated Trauma | | | | | | | |
| 8 | | All Other Occupational Illnesses | | | | | | | |
| 9 | | TOTAL OCCUPATIONAL ILLNESSES (Add Lines 2 through 8) | | | | | | | |
| 10 | TOTAL OCCUPATIONAL INJURIES AND ILLNESSES (Add Lines 1 and 9) | | | | | | | | |

VII. COMMENTS: _____

Report prepared by: _____ Area Code and Phone: _____

Title: _____ Date: _____

ANNUAL SUMMARY REPORT
of
RAILROAD INJURY AND ILLNESS
(Covering Calendar Year ____)

**COMPLETE THIS REPORT WHETHER OR NOT THERE WERE
ANY REPORTABLE OCCUPATIONAL INJURIES OR ILLNESSES.
READ INSTRUCTIONS BEFORE COMPLETING THIS FORM**

I. ESTABLISHMENTS INCLUDED IN THIS REPORT

This report should include all establishments located in, or identified by, the reporting railroad. Enter the number of establishments (see definition in the FRA Guide).

II. AVERAGE EMPLOYMENT IN REPORTING YEAR

Enter the average number of employees during calendar year. Count all classes of employees, including seasonal, temporary, part-time, etc. See instructions in the FRA Guide for examples of computing your average employment.

_____ (Round to the nearest whole number)

III. TOTAL HOURS WORKED IN REPORTING YEAR

Enter the total number of hours actually worked by all employees. DO NOT include any non-work time even

though paid, such as vacations, sick leave, holidays, etc.

_____ (Round to the nearest whole number)

IV. REPORTABLE INJURIES AND ILLNESSES

Did you have any reportable injuries or illnesses during the reporting year? (Check one)

- (1) No - complete Section VII,
(2) Yes - complete Sections V, VI and VII.

V. MONTHLY DATA OF REPORTABLE INJURIES AND ILLNESSES

Of the Total Reportable Occupational Injuries and Illnesses (Section VI, Line 10 column 1), how many occurred in the following months?

| | | | | | |
|---------------|------------|-------------|------------|--|--|
| Calendar Year | | | | | |
| Jan. _____ | Apr. _____ | July _____ | Oct. _____ | | |
| Feb. _____ | May _____ | Aug. _____ | Nov. _____ | | |
| Mar. _____ | June _____ | Sept. _____ | Dec. _____ | | |

CORPORATE NAME AND MAILING ADDRESS OF REPORTING RAILROAD →

| | | |
|--------|-------|--|
| Name | | Alphabetic Railroad Code (See FRA Guide, Appendix A) |
| STREET | | |
| CITY | STATE | ZIP CODE |

| DATE | DESCRIPTION | AMOUNT | CHECK NO. | BANK |
|---------|-------------|---------|-----------|-------|
| 1/15/20 | DEPOSIT | 1000.00 | | CHASE |
| 1/20/20 | PAYROLL | 500.00 | 1001 | CHASE |
| 1/25/20 | RENT | 200.00 | 1002 | CHASE |
| 2/1/20 | SALES | 750.00 | | CHASE |
| 2/5/20 | UTILITIES | 150.00 | 1003 | CHASE |
| 2/10/20 | DEPOSIT | 1200.00 | | CHASE |
| 2/15/20 | PAYROLL | 550.00 | 1004 | CHASE |
| 2/20/20 | RENT | 200.00 | 1005 | CHASE |
| 2/25/20 | SALES | 800.00 | | CHASE |
| 3/1/20 | UTILITIES | 150.00 | 1006 | CHASE |
| 3/5/20 | DEPOSIT | 1300.00 | | CHASE |
| 3/10/20 | PAYROLL | 600.00 | 1007 | CHASE |
| 3/15/20 | RENT | 200.00 | 1008 | CHASE |
| 3/20/20 | SALES | 900.00 | | CHASE |
| 3/25/20 | UTILITIES | 150.00 | 1009 | CHASE |
| 4/1/20 | DEPOSIT | 1400.00 | | CHASE |
| 4/5/20 | PAYROLL | 650.00 | 1010 | CHASE |
| 4/10/20 | RENT | 200.00 | 1011 | CHASE |
| 4/15/20 | SALES | 1000.00 | | CHASE |
| 4/20/20 | UTILITIES | 150.00 | 1012 | CHASE |
| 4/25/20 | DEPOSIT | 1500.00 | | CHASE |
| 5/1/20 | PAYROLL | 700.00 | 1013 | CHASE |
| 5/5/20 | RENT | 200.00 | 1014 | CHASE |
| 5/10/20 | SALES | 1100.00 | | CHASE |
| 5/15/20 | UTILITIES | 150.00 | 1015 | CHASE |
| 5/20/20 | DEPOSIT | 1600.00 | | CHASE |
| 5/25/20 | PAYROLL | 750.00 | 1016 | CHASE |
| 5/31/20 | RENT | 200.00 | 1017 | CHASE |

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FRA Guide for Preparing Accidents/Incidents
Reports, US DOT, FRA, Office of Safety, 1992 -12-
Safety

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