

“Insert Railroad’s
Name Here”

Safety Action Plan
(SAP)

20XX

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1. Historical Statistics

20XX In Review...

(See Example Below)

- **11 RAILROAD-HF's YTD & 1 Decertification (GCOR 1.5)**
 - 2 Failure to Control Movement/Stop
 - 2 Improperly Lined Switches
 - 3 Driving Accidents
 - 1 Failure to Secure
 - 1 Failure to protect Shove
 - 1 Failure to Stretch
 - 1 Back Hoe Operations
 - 1 Decertification for GCOR Rule 1.5

- **3 Incident only injuries**
 - Slipped on decking of locomotive (Locomotive Engineer): Non-Reportable...Diesel Shop
 - Slipped disembarking locomotive (Conductor): Non-Reportable...
 - Struck head while riding in Caboose in West Yard. Engineer at controls did not use train brake causing slack action. (Conductor) struck head on window of caboose while wearing miner's lamp.

1. Historical Statistics

20XX In Review...

- **HUMAN FACTORS...**
 - **A Yard**
 - 2 Derailments: Failure to Control/Failure to Protect
 - 3 Vehicle accidents
 - 1 Switch improperly lined derailment
 - **1 non-reportable slip, trip & fall incident (Descending).**
 - **B Yard**
 - 1 Decertification-Reporting for Duty (GCOR Rule 1.5)
 - **C Yard**
 - 1 Failure to protect Shove
 - **Other Location**
 - **1 non-reportable incident. Conductor stuck head while riding in caboose due to slack action. (Amtrak Yard).**
 - **Industry Park**
 - 1 Failure to Secure resulting in a collision
 - 1 Failure to stretch which resulted in a roll-away collision at Industry.
 - 1 Switch improperly lined derailment
 - 1 Back Hoe Operation (MoW)
 - **1 non-reportable slip, trip and fall incident (Diesel Shop).**

1. Historical Statistics

20XX In Review (TRACK)...

- 0 Grade Crossing Accidents
- 9 Track Related Derailments
 - 5 RAILROAD Track Related Derailments
 - 3 C/W Yard
 - 2 Back Lake Yard
 - 4 Industry Track derailments
 - 3 Agriculture Plant
 - 1 Nexus industries

1. Historical Statistics

GOALS:

FOCUS

- “0” Personal Injuries
- “0” Human Factor Accidents/Incidents
- 15% Reduction in Track Caused Derailments
- Employee Training and Development

1(A). Historical Statistics

-Risk Mitigation Plan-

- **Transportation:**
 - Identify employees involved in HF’s and multiple e-test failures.
 - Review record with employees (1 on 1’s), Perform weekly testing on **assigned employees**, ~~safety buddies~~, train rides, follow-up’s, safety meetings, job briefings and annual rules training.
 - Identify location of incidents & Causes
 - E-Testing on critical rules and location(s)
 - Structured test program to include stop tests, train rides and radar tests
- **MoW:**
 - Industry audits once/quarter
 - Bi-Weekly switch inspection
 - Monthly track inspection w/ emphasis on high volume areas.
 - Monthly audits of Grade Crossing devices and testing signal vendor for rules compliance
 - Geometry & Sperry Car program, Bridge inspections and Weed spraying
 - Weekly Job task training topics on Best work practices.
- **MoE:**
 - Expanded daily inspections for proactive servicing and repair
 - Monthly audits on facilities, tools & equipment
 - Job task training

2. Safety Observations

20XX In Review...As of 10/13/XX

- **E-Testing:** 9192 Tests Completed with 109 Exceptions...1.17% Exception Rate
- 49.33% of all tests performed between the hours of 0800 and 1800. 50.67% of all tests were performed between the hours of 1800 and 0600.
- **Exceptions:** PPE, Radio Procedures, Securing Equipment, Vehicle Operations, Other Operating Rules, Other Safety Rules & Applying/Releasing Handbrakes. Exceptions reviewed with employees, reviewed with committees and directs changes to testing, training and Rules of the Week.

2. Safety Observations

20XX In Review...As of 10/13/XX

- PPE, Radio Rules, Vehicle Operations & Securement represents 56% of exceptions.
- 101 Stop Tests for 2010.
- Day of week... 43% of all Tests were performed on Sat/Sun.
- **Field De-Briefing Form:** Document used to record and report any exceptions to the employee. Employee to sign form and receive copy for reference. A copy will also be placed in employee's PR File.
- **Prior Week Testing Results posted on Rule-of-Week.**

3. Communication & Training

- **20XX Goals:**
- **(A-C) Increased communication, training and development of all employees.**
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- **TRANSPORTATION:**
 - 6 Engineers due for recertification in 20XX.
 - FRA mandated annual stop tests for Engineers to be completed by July 1, 20XX.
 - Complete check rides of 21 engineers in 20XX
 - Perform qualification trips for those requiring either remedial or refresher training.
- **MOW: (Goal-15% Reduction in Track Caused Derailments!)**
 - Review Any MoW incidents with Forces Daily
 - Review MoW Safety Rule of the Week
 - Review MoW weekly Job Task training module
 - Bi Weekly Track inspections of RAILROAD critical Tracks
 - Quarterly Private Industry Inspections
 - Monthly Audits of Tools and Equipment
 - Semi Annual one on one's
 - Post and review **RAILROAD** Monthly Safety Meeting Minutes
 - Annual Sperry Test & Geometry Car Testing
 - Stress Training on the Four Life Critical Rules
 - **The Four (4) Life Critical categories For MoW are:**
 - **Track Authority Violation**
 - **Roadway Worker Protection**
 - **Stop Signal Violation**
 - **Fall Protection Violation**
 - Stress the use of the MoW Employee Safety Person responsibilities
 - Stress the use of good open communications
 - Annual Roadway Worker Rules Training (5) MoW
 - “Operations Manager” Open Door Policy

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- **MOE:**
 - Expanded daily inspections for proactive servicing and repair
 - Monthly audits on facilities, tools & equipment
 - Job task training

 - **(D) Balanced testing program...** Day of week, Time of day, Location, Volume of tests and Type of tests to be performed. Testing will also include Manager testing and participation in Daily Job Briefings & Safety Meetings. **Exceptions: Field De-Briefing Form!**
 - **(E) Safety Rule of the Week** to report departmental rules, accidents/incidents YTD, Rule violations related to accidents/incidents' & E-Testing results for the prior week.
 - **(F) CBT Training:** T&E Employees to be completed by May 1, 20XX.
 - **(G-I) Safety Committee & Captains**
 - **(G)** Monthly Safety Committee Topics will include employee issues from each department as well as Managers. Issues to be discussed with departmental participants and action plans formulated to resolve open items.
 - **(H)** Safety Captains & Managers to discuss meeting minutes and resolution with employees.
 - **(I)** Monthly Safety Meeting Minutes to be posted along with attendees.

3. Communication & Training

- **(J) Safety Bulletin Boards (Locations specified)**
 - EAP Postings
 - Safety Alerts
 - Safety Meeting Minutes
 - Safety Performance (Also reported on Rule-of-Week).
 - FRA Monthly reporting
 - Employee Recognition
- **(K) Safety Hot-Line.** Hot Line is administered by “Operations Manager”. All calls are logged noting date and time along with conditions and/or issues reported. Corrective action and resolution is also recorded.

4. Awareness

- **(A) Safety Meetings:** Managers and Safety Captains will participate and record monthly meetings. Topics will include Accident/Incident Trends, Safety Alerts, SOFA topics, Seasonal awareness, Property awareness (i.e. changes in industries, track work, contractor activity etc.).
- **(B) EAP Postings at all Locations.** IF dialogue or employee behavior warrants one-on-one meeting to discuss concerns, EAP is always an option afforded to employees.
- **(C) Safety Bulletin Boards (Locations specified) or E-blasts (requires e-mail list)**
 - EAP Postings
 - Safety Alerts
 - Safety Meeting Minutes
 - Safety Performance (Also reported on Rule-of-Week).
 - FRA Monthly reporting
 - Employee Recognition
- **(D) Safety Survey...Employee One-on-One Forms:** will be used to both communicate and collect feedback from employees to emphasize areas needing improvement. Assignment of employees to Managers for 1 on 1 completion...
 - **Supt. Operations:** Roster No. 1 - 20
 - **TM/DSLE:** Roster No. 21 - 40

5. Compliance

- (A): (options below may vary)
 - **TRANSPORTATION:**
 - 25 Crews Tested each Month... Quality, NOT Quantity!
 - 50% of T&E workforce operates at A Yard. That is also where the majority of our incidents have occurred therefore this is where the greatest number of tests need to be performed.
 - TM: 2 Train Rides per Month
 - Supt.Ops: 2 Train Rides per Month
 - 4 Radar Tests per Month by Each Manager... Supt/TM's
 - 4 Stop Tests per Month by Each Manager... Supt/TM's
 - 4 Switch Tag Tests per Month by Each Manager...Supt/TM's.
 - Supt/TM/DSLE: Attend and Document 4 Job Briefings per Month at Main Street or B Yard. To Include: Persons present, functions, responsibilities, tasks, hazards, tracks out of service, yard condition, weather conditions, walking conditions etc.
 - Supt. Ops: All Rules Training Needs to be completed by May 1, 20XX.
 - **MOW:**
 - **Number of tests?**
 - 12 Testing events per Month
 - **Type of tests?**
 - Critical Rules
 - **Joint testing events?**
 - 1 per Quarter
- ✓ **MOE:**
 - **Number of tests?**
 - 12 Testing events per Month
 - **Type of tests?**
 - Cardinal Rules & Blue Flag Protection
 - **Joint testing events?**
 - 1 per Quarter
- **(B) FRA Annual Stop Test Requirement for each Engineer to be completed by July 1, 20XX. Other requirement will include D&A 1.5 e-**

testing on all T&E employees. Each employee once every 90 days or 200 Tests per year.

- **(C) E-Test Exceptions:** E-Test failures to be documented on debriefing form and made part of the employees' record.
- **(D) Mentoring:** Senior employees will be used for training of younger and less experienced employees. This will also include training of high-risk employees as part of a corrective action plan, qualifying or re-qualifying employees on unfamiliar territory and qualifying trips for engineers and/or conductors.

6. Recognition

- (A) Quarterly incentives in Winter, Spring, Summer & Fall for those employees who work injury free.
 - **Quarterly Luncheons & Safety Awards**
 - **Seasonal Safety Awards**
- (B) Employees who actively participate in the safety program along with exhibiting a sincere focus on safety will also receive quarterly safety awards from their department managers.
 - **Quarterly Awards & Recognition Program**
- (C) Department heads will also be asked to elect their departmental employee of the year to be recorded and awarded as the department head warrants.
 - **Annual Award & Safety Incentive**
- (D) Safety Person of the Year: All **RAILROAD** Managers will select from the Departmental Employees of the year and select a single Person to nominate as the employee of the year. This person will be forwarded for consideration as the Regional Safety Person of the Year as well as the Railroad and/or ASRRA Safety Person of the Year.

Other Recognition

- Department Head to provide a detailed review of departmental employee who has exhibited and sustained a sincere focus on safety. That employee must have not failed any e-tests in the quarter, not been involved in a “HF” accident or injury and they must have complied with the full-time employment policy to have qualified for this quarterly award.
- The same standards will be required for the safety employee of the year for each department.
- Detailed Review must include specific acts that the employee exhibits, programs or events that the employee either participates in or organizes along with their safety history to include e-testing record and attendance.

7. Haz-Mat Material Team

- (A) A Haz-Mat report will be provided to employees for their awareness and verification of the location of hazardous materials which have been sitting at locations other than at industries in excess of 48 hours.
- (B) All sidings will be inspected and certified as safe by the “Operations Manager” where Haz-Mat cars will travel. **To be completed during weekly inspections.**
- (C) Marketing department will insure agreements are in place w/ customers who may store Haz-Mat cars.
- Hazmat Response training will be made available to all employees each year on XX, XX.

8. Safety Committee

- **Safety Meeting:** Monthly with all managers to review monthly activities and goals. Each Manager to be prepared to discuss his/her monthly activities.
- **Safety Inspections and drills:** (options below may vary)
 - (A) Handling Switches/Derails GCOR 8.2
 - (B) Protecting Shoves GCOR 6.5
 - (C) Securement GCOR 7.6
 - (D) On/Off Equipment T-8
 - (E) Cars stored properly at or near Grades
 - (F) Providing protection at Grade Crossings when shoving equipment or when Signals are inoperative or malfunctioning.
 - (G) Hazmat drills
 - (H) Notification sirens and Emergency evacuation drills
- **Safety Committee:** **(Monthly / Quarterly)** meeting open to employees and managers alike throughout the company and throughout different departments. Employees approved/or volunteering for the safety committee with represent each craft or work group at the meeting. Safety concerns, suggestions, and improvements to property will be addressed, documented, and assigned for resolution at each meeting. E-test performance and any accidents/incidents MTD will also be reviewed. Safety walk-about may also be performed prior to or upon the conclusion of a meeting at a set location with all of the meeting attendees **1 x a year**. Minutes of meeting topics and attendees will be published and retained for the company's records. Superintendent of Operations or other senior level manager is to champion this program.

9. Derailment Committee (or Team)

- (A) **Track Inspections:** Performed Weekly by _____
- (B) **Identify Critical Areas (Weekly & Quarterly)**
 - **A Yard and Industries**
 - **Industries:**
 - **A Street Crossing & B Leads**
 - **C Street & Crossings**
 - **1 & 2 Industries**
 - **East Diamond**
- (C) **Main Yard Switch Inspection... (Performed Weekly)**
- (D) **Focused Track Inspections in/out of “Key Structures” (Performed Weekly).**
- (E) **Derailment Team Meeting:** Operations / MoW / MoE managers to review derailments, work in progress, safety committee issues, AFE’s (if any), winter plan and future projects. To be held in conjunction with **Monthly Managers Safety Meeting or Safety Committee Meetings.**
 - If derailment or other incident occurs, manager representative from each department in Operations (eng-track/mech/trans) will review, determine Point of Derailment (POD), and the cause. A written report shall be delivered to senior management at the conclusion of the derailment or other incident for review. This material should be made available as a company-wide review, used as a job briefing, and discussed at the safety committee meetings for preventative measures for the future.
- (G) **Ongoing Historical data analysis to review accidents and any reoccurring track conditions to target inspection, and corrective action events.**

10. DOT Compliance

- DOT team scheduled for Jan. 17-18, 20XX to review & instruct MoW forces on proper compliance.
 - (A) Assess the Number of DOT vehicles on the property.
 - RAILROAD Presently does not have any DOT vehicles.
 - (B) Determine & Document CDL Drivers on Property
 - (C) Set-Up and Manage Driver Files

Appendix A

COMPLIANCE

“AUDITS - ALL DEPARTMENTS”

- **2 Monthly Audit of all Department Vehicles and Locomotives**
 - Cleanliness
 - **Vehicles:** Safety Appliances & Equipment...seat belts, fire extinguishers, lights, horn, windows, brakes, steering, tires.
 - **Locomotives:** Safety Appliances & Equipment...Wheels, Hand holds, walk-ways, handbrake, fire extinguisher, lights, horn, sanders, windows, brakes, piston travel, seats, control stand and cabinet. Compressor/Engine compartment...tools stowed, if any, and no oil on floors.
 - Storage and supplies...does everything have a place and is it stowed/secured properly.
- **2 Monthly audits of Facilities**
 - **MoE/MoW:** Shop, Equipment and Tool Audit
 - Same principle...Safety First...Does everything have a proper place as is it stowed properly. Slips, Trips and Falls...Fluids, Hoses, Loose or smaller items properly contained. Heavy items low to middle height for lifting and carrying. Items not to high or overhead hazards. Lighting sufficient, close clearances.
 - **Office Space:** Same principle... First...Does everything have a proper place as is it stowed properly. Slips, Trips and Falls, Storage and cleaning areas, containers sealed properly. Electronics working, plugged in and wiring arranged in a safe manner. Bulletin boards up to date.

Accident/Incident Investigation & Follow-Up

- The investigating manager will be responsible for completing and filing all reports.
- **Follow-Up on HF's should include a corrective action plan for the employee.** The investigating manager will be responsible for developing and completing the action plan with the respective employee. This action plan must be completed within 30 days of the incident. This may include a program which includes testing, check rides, event recorder review, radar testing, rules exams and mentoring. This follow-up program is to be included with the reporting package and will become the responsibility of the investigating manager. Updates to this type of program to be provided each month at the safety meeting.

Safety Review

(Employees to be E-Tested Weekly)

- **Action Plan Employee:** HF: Vehicle Accident-A Yard
- *** Action Plan Employee:** HF: Derailed locomotive & Vehicle Accident-A Yard
- *** Action Plan Employee:** HF: Vehicle Accident- & 6.5 Violation Failure to protect shove on East Yard 6 & incident only injury, struck head on RR caboose window while wearing miners lamp. Slack action occurred while Engineer was controlling train.
- **Action Plan Employee:** HF: Failure to secure resulting in reportable collision – C Yard
- **Action Plan Employee:** HF: Blind Shove then Failed to Stop short of Cars in the Foul-Industry Park
- **Action Plan Employee:** HF: Blind Shove then Failed to Stop short of Cars in the Foul-Industry Park
- *** Action Plan Employee:** HF: Run-Through Switch-C/W Yard & Failure to stretch roll-away
- **Action Plan Employee:** HF: Back Hoe Operation (MoW)

(*) Denotes an employee with multiple HF events in 20XX.

- **One on One review with each employee:** This is to be completed by **April 1**. A review of incidents, testing and attendance. Any employee having more than three (5) E-Test failures will be added to “safety buddy” list.
- **Safety Rule of the Week:** Weekly rule for Transportation/MoE/MoW. Rule to also include accidents/incidents YTD as well as e-testing performance for the prior week.

Core Testing

- **Shove Moves...GCOR 2.13**
- Cardinal Rules...
 - **GCOR 1.10** **Electronic Devices**
 - **GCOR 6.5:** **Handling Cars ahead of Engine**
 - **GCOR 7.6:** **Securing Cars or Engines**
 - Safety Rule 15: Use of Three Point Contact
 - Safety Rule T-8: Getting On/Off Equipment
 - Safety Rule T-9: The Red Zone
 - Safety Rule T-12: Close Clearance
 - Safety Rule T-18: Riding in or on Moving Equipment
- Stop Tests...GCOR 6.27 & 6.28
- Radar Tests
- PPE
- Drug & Alcohol
- **Handling Derails & Switches...GCOR Chapter 8**
- Job Briefings
- Cars left out in the foul
- **Vehicle Operations**

Results

- A safe work environment.
- An environment where employees and managers are empowered to make a difference.
- The development of all employees and managers.

✓ Goals for the Future:

- (List Goals:) Lower run-through switches
- Conduct more hazmat drills

✓ How we will achieve this goal:

- Additional training in classroom, safety briefing sit downs with managers and employees each quarter

Safety Vision: Insert & Reiterate Your Railroad's Safety Vision Here