



[RAILROAD NAME OR LOGO]

Safety Action Plan

20XX

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Safety Vision

[Insert your railroad's Safety Vision/Safety Policy/Mission Statement here]

1 Historical Analysis

1.1 Review of previous year

Look at the previous year's events and consider including items such as the following

- Human Factor Incidents
- Personal Injuries
- Grade Crossing Collisions
- Derailments
- Operational Testing

1.2 Targets for improvement

Set your targets for the upcoming year; these should be specific and realistic. Consider including elements similar to the following

- XX% reduction of personal injuries
- XX % reduction human factor incidents
- XX % reduction in track-caused derailments

1.3 Plans for improvement

Outline specific plans to achieve your new targets; consider including the following

- For each department, identify employees involved in human factor incidents and/or multiple operational test failures. Create a specific improvement plan for each and detail specifically who is responsible for follow-up
- Identify incidents & causes
- Increase operational testing on critical rules and location(s)

2 Safety Observations

2.1 Previous Year in Review

Summarize the previous year's operational tests and consider including items such as the following

- Operational testing: XXXX Tests Completed, XXX Exceptions, XX.X% Exception Rate

- XX.XX % of all tests performed between the hours of XXXX and XXXX
- XX.XX % of all tests performed between the hours of XXXX and XXXX
- Exceptions [detail]

3 Communication & Training

3.1 20XX Goals

Outline specific goals for the new year, including target dates or target rates; consider including the following

- Increased communication, training and development of all employees
- TRANSPORTATION
 - XX Engineers due for recertification in 20XX
 - XX Conductors due for recertification in 20XX
 - FRA mandated annual stop tests for Engineers to be completed by [date]
 - Complete check rides of XX engineers in 20XX at a rate of not less than XX % each month
 - Perform qualification trips for those requiring either remedial or refresher training within X weeks

- MOW
 - Review Any MoW incidents with Forces Daily
 - Review MoW Safety Rule of the [day/week/month]
 - Review MoW weekly job task training
 - Bi-weekly inspections of RAILROAD critical tracks
 - Quarterly private industry inspections
 - Monthly audits of tools and equipment
 - Semi-annual one on one meetings
 - Post and review RAILROAD Safety Meeting Minutes
 - Annual Sperry test & geometry car testing
 - Stress training on four Life Critical Rules
 - 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
 - Roadmaster open door policy
- Mechanical
 - Expanded daily inspections for proactive servicing and repair
 - Monthly audits on facilities, tools & equipment
 - Job task training

3.2 Balanced Operational Testing Program

Outline how you will keep your testing program balanced to cover all aspects of railroad operations. Testing can include Manager testing, and participation in job briefings and safety meetings. Consider including the following elements

- Day of week
- Time of day
- Location
- Volume of tests
- Type of tests to be performed

3.3 Safety Rule of the [week/month]

Consider using a safety rule of the week/month tailored to departmental rules, accidents/incidents YTD, rule violations related to accidents, incidents and operational testing results for the prior week/month

3.4 Safety Committee

If your Company has a Safety Committee, detail how they will communicate, such as the following

- 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
- Safety Committee members & managers to discuss meeting minutes and resolution with employees
- Safety meeting minutes to be posted along with list of attendees

3.5 Safety Bulletin Boards [specify location(s)]

If your Company uses Safety Bulletin Boards, consider including information such as the following

- EAP postings
- Safety alerts
- SOFA reports
- Safety meeting minutes
- Safety performance (also reported on rule of the week/month).
- FRA monthly reporting
- Employee recognition

3.6 Safety Hot-Line

If your Company utilizes a Safety Hot Line or similar reporting methodology, consider detailing that information here

- Hot Line is administered by [specify]
- All calls are logged noting date and time along with conditions and/or issues reported
- Corrective action and resolution are also recorded

4 Awareness

Detail methods to be used to maintain safety awareness; consider using examples similar to those below

4.1 Safety Meetings

Managers and Safety Committee members 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.)

4.2 EAP Postings at all Locations

If dialogue or employee behavior warrants one-on-one meetings to discuss concerns, EAP is always an option afforded to employees

4.3 Safety Survey

Employee One-on-One Forms will be used to both communicate and collect feedback from employees to emphasize areas needing improvement. Assign specific employees to specific managers

5 Compliance (& operations testing)

Using data from the previous year's tests, incidents, and the requirements contained in your railroad's Part 217 Operational Testing program, outline your testing plan for the upcoming year. Consider including elements similar to the following. You may choose to detail requirements by Department, Supervisor, Location, or a combination

5.1 Testing

- Transportation

- XX train crews tested each month
- XX tests each month at [specify location(s)]
- XX train rides per month
- XX radar tests per month by each manager
- XX stop tests per month by each manager
- XX switch tests per month by each manager
- XX Joint testing events
- Attend and document XX job briefings per month at [specify location(s)] to include: persons present, functions, responsibilities, tasks, hazards, tracks out of service, yard condition, weather conditions, walking conditions etc.
- MOW
 - XX number of tests
 - XX Testing events per month
 - Type of tests
 - Critical rules
 - XX Joint testing events
- Mechanical
 - XX number of tests
 - XX Testing events per month
 - Type of tests
 - XX Critical rules & blue flag protection
 - XX Joint testing events

5.2 Annual Requirements

Outline your plan to accomplish annual requirements, both those required by FRA and those of your Company

- Annual stop test requirement for each engineer to be completed by [date]
- Annual test requirement for each conductor to be completed by [date]

- D&A observation on all T&E employees: each employee once every **XX** days or **XXX** tests per year.

5.3 Operational test exceptions

Detail your procedure for handling operational test failures

Operational test failures to be documented **[specify how]** and made part of the employees' record.

5.4 Mentoring

Detail your Company's plan for mentoring employees. Ensure that this does not conflict with any elements contained in your Conductor (242) and Engineer (240) plans. Consider something similar to the following

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

Detail your Company's plan for recognizing safety; consider including some or all of the following elements

6.1 Quarterly incentives in winter, spring, summer and fall for those employees who participate in safety activities.

6.2 Seasonal safety awards

6.3 Quarterly awards and recognition

6.4 Departmental employee of the year

6.5 Annual award and safety incentive

6.6 Safety person of the year

- All 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 could be considered for nomination as the ASLRRA safety person of the year.
- Department heads 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 operational tests in the quarter, not been involved in a “HF” accident or injury and 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 including operational testing record and attendance.

7 HazMat team

Consider increasing hazardous materials awareness with some of these elements

7.1 HazMat report

Provided to employees for awareness and verification of the location of hazardous materials which may have been sitting at locations other than industries in excess of 48 hours.

7.2 Sidings

Inspected and certified by [specify MOW employee] when used for HazMat. To be completed [specify frequency]

7.3 Marketing department

Ensure agreements are in place with customers who may store HazMat cars

8 Safety committee

Consider detailing how your safety committee will function, when it will meet and what activities it will engage in

8.1 Safety meeting

Meet monthly with all managers to review monthly activities and goals. Each manager to be prepared to discuss his/her monthly activities.

8.2 Safety inspections

- Handling switches and derails
- Protecting shoving movements

- Securement of equipment
- On/off equipment
- Cars stored properly on or near grades
- Providing protection at rail-highway crossings when shoving equipment or when AHWD are inoperative or malfunctioning

8.3 Safety committee

- Monthly meeting with a representative of each craft in addition to department Managers
- Review operational test performance and any accidents or incidents month to date
- Minutes of meeting topics and attendees will be published and retained
- Representatives of each craft will be required to distribute minutes, discuss issues with their peers and report back to respective department managers
- Program champion: **[specify]**

9 Derailment prevention committee

If your railroad does not have a derailment prevention committee, consider creating one to include the following elements

9.1 Track inspections

9.2 Identify critical areas **[specify frequency]**

9.3 Main track switch inspection **[specify frequency]**

9.4 Focused track inspections in/out of “key structures” **[specify frequency]**

9.5 Derailment Prevention Team Meeting

Operations/MOW/Mechanical managers to review derailments, work in progress, safety committee issues, winter plan and future projects **[specify frequency]**

9.6 Chairperson for committee: **[specify]**

9.7 Historical data

Review accidents and any reoccurring track conditions to target inspection, maintenance and corrective action

10 DOT compliance

If your railroad has vehicles that are subject to DOT requirements, consider including the following

- 10.1 Consider use of an outside provider to ensure all are familiar with the requirements
- 10.2 Assess the number of DOT vehicles on the property
- 10.3 Determine and document CDL drivers
- 10.4 Ensure that CDL drivers are covered in your drug and alcohol program
- 10.5 Set-up and manage driver files

Appendix A – Compliance Strategies

Consider use of compliance strategies such as the following; in all cases identify the person(s) responsible for correction

Compliance audits – all departments

1 Monthly Audit of all Department Vehicles and Locomotives

- Cleanliness
- Vehicles [consider use of a checklist]
 - Safety Appliances & Equipment
 - Seat belts
 - Fire extinguishers
 - Lights
 - Horn
 - Windows
 - Brakes
 - Steering
 - Maintenance
 - Tires
 - Fluids
 - Battery
- Locomotives
 - Safety appliances and equipment
 - Wheels
 - Hand holds
 - Walkways
 - Handbrake
 - Fire extinguisher(s)
 - 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: shop, equipment and tool audit

Same principle - Safety First - Does everything have a proper place and is it stowed properly?

- Slips, trips and falls
- Fluids
- Hoses
- Pits

- Flammable and compressed gas storage
- Loose or smaller items properly contained
- Heavy items low to middle height for lifting and carrying
- Items not too high
- Overhead hazards
- Lighting sufficient
- Close clearances.

3 Office Space

Same principle - does everything have a proper place and is it stowed properly?

- Slips, Trips and Falls arranged in a safe manner
- Storage and cleaning areas maintained
- Containers sealed properly
- Electronics working, plugged in and wiring
- 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 Human Factor caused accident/incidents

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 **XX** 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

Employees to be Operational tested Weekly

- **[list]** (*) Denotes an employee with multiple HF events in 20XX.

- One on One review with each employee. A review of incidents, testing and attendance is to be completed by [date]. Any employee having more than XX Operational test failures will be added to the list.

Safety Rule of the Week/Month

Rule for Transportation/MOW/Mechanical. Rule to also include accidents/incidents YTD as well as operational testing performance for the prior week.

Core Testing

- Critical Rules
 - Electronic Devices
 - Handling Cars ahead of Engine
 - Securing Cars or Engines
 - Use of Three Point Contact
 - Getting On/Off Equipment
 - Red Zone/3 step protection
 - Close Clearance
 - Riding in or on Moving Equipment
- Shoving Moves
- Stop Tests
- Radar Tests
- PPE
- Drug & Alcohol
- Handling Derails & Switches
- Job Briefings
- Cars left out in the foul
- Vehicle Operations

Goal

The goal of this core testing is to:

- Create a safer work environment.
- Foster an environment where employees and managers are more empowered to make a difference.
- Facilitate continual development of all employees and managers.