

RIO GRANDE PACIFIC CORPORATION

IDAHO NORTHERN & PACIFIC



NEBRASKA CENTRAL



NEW ORLEANS & GULF COAST



WICHITA, TILLMAN & JACKSON



FIELD MANAGERS GUIDELINES FOR INVESTIGATING AND REPORTING INJURIES AND INCIDENTS

MAY 17, 2006

Revised October 1, 2012

INCIDENT INVESTIGATION GUIDELINES

Introduction

The incident investigation procedure is an extremely important component of the safety process. This is especially true since the purpose of the incident investigation is to determine the causes of the incident and the appropriate corrective actions to prevent a recurrence.

Incident investigations also form the foundation for subsequent evaluation, negotiation and disposition of each claim asserted against the Company.

Purpose of the Incident Investigation Guidelines

- (1) Ensure that all incidents are thoroughly investigated, causes identified, and, where appropriate, corrective action taken to prevent recurrences.
- (2) Coordinate investigative resources and clarify the individual roles of the investigative team members. The Guidelines define the specific individual responsibilities of each member of an investigative team and the scope of his or her involvement in an investigation. They also provide direction as to how personnel from various departments should interact during an investigation.
- (3) Use a team approach which involves sharing information to achieve the common goal of a thorough and accurate investigation. To determine the root causes of incidents and prevent their recurrence, teamwork and cooperation among individual department personnel involved in the investigation is vital. The team approach serves the best interest of the Company by providing the most efficient means to gather information.
- (4) Eliminate communication barriers that may exist between departments involved in an investigation.
- (5) Ensure that the attorney/client privilege is protected in the investigative efforts of the team.
- (6) Avoid duplication of investigative efforts.

I. INCIDENT INVESTIGATION GUIDELINES

A. Determine the Cause of the Incident

A critical aspect of the investigation is to determine the cause of the incident. Often the investigation is oriented toward the individual involved in the incident, and does not adequately evaluate the system in which the event took place. In most cases, the supervisor determines that the incident was caused by an unsafe act of the employee and that the corrective action would be to retrain the employee or tell the employee to be more careful. Typically, the supervisor does not address the root cause of why the employee performed the unsafe act or why the unsafe act was allowed to occur.

A thorough incident investigation considers the relationship between personnel, equipment, materials, and the environment. It includes an analysis of supervision, equipment design, maintenance, employee training and accepted operational practices.

For example, consider a common M/W incident: an employee is using a track jack which slips, causing a finger injury. Typically we would investigate the incident as follows:

THE UNSAFE ACT: Using a defective track jack.

THE UNSAFE CONDITION: A defective track jack.

CORRECTIVE ACTION: Repair or replace the jack.

ACTION TO PREVENT RECURRENCE: Instruct the employee to inspect jack prior to use.

Looking at this same incident in terms of root causes to determine the contributing factors surrounding this incident, we might ask:

- (1) Why was the defect in the jack not discovered in normal inspections?
- (2) Why did the supervisor allow its use?
- (3) Why didn't the employee inspect the jack prior to use?
- (4) Was the employee aware of the defective jack?
- (5) Was the employee properly trained to operate the jack?
- (6) Was there a job briefing?
- (7) Was the job properly supervised?

The answers to these and other questions would lead us to consider the following corrections:

- (1) An improved inspection procedure;
- (2) Improved training;

- (3) An analysis of the track jack design;
- (4) A clearer definition of employee and supervisor responsibilities; and
- (5) Improved job briefings.

With this incident, as with any incident, we must find the root causes and remove them to prevent a recurrence. Simply defining an unsafe act [the use of a defective jack] and an unsafe condition (defective jack), is to consider only symptoms. We end up removing symptoms but allowing the root problem to remain and cause another incident.

Root causes can relate to the management system. They may be due to management policies and procedures, supervision and its effectiveness, training, etc. Root causes are those which will effect permanent results when corrected. They are those weaknesses which not only affect the single incident being investigated, but also might affect many other future incidents and operational problems.

B. Take Action to Prevent Recurrence

This may be as simple as enforcing an existing procedure, or it may involve some more elaborate action(s) such as re-evaluating equipment specifications.

C. Communicate Incident Prevention Steps to Supervisors and Employees

There are several ways to communicate incident prevention information to supervisors and employees. Personal contacts on the part of managers, safety meetings, conference calls, safety newsletters and Incident Alerts are all effective methods of communication.

D. Collect and Preserve all Facts and Evidence

The determination of liability will be based on facts uncovered during the investigation. Sometimes the facts will establish liability on the part of the Company. The investigator's responsibility is to collect and report all facts.

The investigator must recognize that in some situations management may have failed to comply with a duty or responsibility, which may result in clear liability on the part of the Company. For example, the Company may have been deficient in the training and supervision of personnel. In other cases, the primary responsibility for an incident may lie with the injured employee. The important thing to realize is that all the facts must be known before any accurate evaluation of a case can be made. The best time to collect the facts is directly after an incident occurs. The investigation must also preserve all evidence to protect the Company from unfounded and inflated claims.

II. SCOPE OF THE INVESTIGATION

The key to successfully implementing the Incident Investigation Guidelines is having the appropriate managers, and attorney if necessary, directly involved in all investigations immediately following an incident.

This does not imply that all managers must respond to every incident when that is not practical. The coordinated effort makes it possible for the managers to consult one another and make decisions that best utilize the manpower resources available and still facilitate a thorough and accurate investigation. A common goal of all management personnel involved in an investigation of an incident or employee personal injury is to be prompt, thorough and accurate.

In most incidents the Incident Investigation Officer will be the department manager. The department manager is vital to the investigation process. Since he/she is usually the first to arrive on the scene of an incident they initiate the investigation process. They provide for the medical needs of injured parties, protect and preserve the incident scene, arrange for drug and alcohol testing in compliance with FRA and Company rules and ensure that all necessary manpower and equipment resources are dispatched to the scene.

The Incident Investigating Officer's role is to conduct an investigation, as directed and in cooperation with others, that will accurately and completely gather the facts. He or she will obtain tape recorded interviews of employees and witnesses. He or she will also, when applicable, take photographs, record measurements pertinent to the investigation, and assemble and maintain the primary file associated with the investigation.

The Incident Investigation Officer will have the ultimate responsibility of recording and maintaining the information gathered during the investigation. In order to effectively meet this responsibility, the Incident Investigation Officer will rely on the other department managers.

Each department manager's expertise in their respective area of operating practices and rules is often needed to accurately and completely gather the facts of an incident.

Each member of the management group will bring his or her own knowledge, skill and particular job expertise into the investigative effort. This approach means that each individual will have to look beyond his or her individual and departmental needs and stay focused on collectively developing the facts. Each manager plays a significant role in the overall success of the investigation.

As individual department managers proceed through the investigation they will have to share information and certain responsibilities.

The role of all managers is to analyze the cause or causes of an incident and work with the Director of Safe Operating Practices on a plan to prevent the recurrence of incidents.

When appropriate, the Director of Safe Operating Practices will write and distribute an Incident Alert describing the incident and corrective action so that all managers and employees can be alerted to similar situations.

The important thing to remember is that this approach is designed to coordinate investigative resources through the sharing of information. It should also prevent duplication of investigation efforts by eliminating communication barriers.

III. MANAGER'S INVESTIGATION GUIDELINES FOR EMPLOYEE INJURIES

A. Medical Attention

Utilize the nearest available medical facility in emergencies. In non-emergency medical situations, managers should contact the property manager for recommendations concerning the primary care medical network.

B. Notification

To foster the teamwork approach to an investigation, the manager, usually the first one aware of the incident, should consider it a personal responsibility to ensure that all of the appropriate company officers have been notified of the incident.

C. Notify legal counsel in case of incident involving death, paralysis, dismemberment, hazardous materials and spills.

D. Secure the Scene of the Incident

Preserve potential evidence such as tools, equipment and points of rest until reviewed fully. Conduct drug and alcohol testing as required by the FRA and Company rules.

Take some basic photographs, measurements, and sketches.

E. Ensure Timely Completion of Incident Report

Ensure that all injured employees complete Incident Report, in their own words, addressing each of the areas of requested information.

F. Secure Names of Involved Persons

Secure the names of all persons associated with the incident and all witnesses to the event.

G. Arrange for Inspections

Arrange to inspect equipment and ground conditions as required by Company rules. Inspections are especially important when an equipment defect or some other defective condition within control of the Company is alleged to be a primary or contributing factor of the accident. When an inspection is conducted the proper inspection form must be completed. If any equipment or condition within control of the Company is defective and obviously a hazard to the safety of an employee or is found to be defective after an inspection, it is imperative that the equipment be removed from service and held out of service until released by legal counsel.

Consult with legal counsel if there are any questions on what actions to take.

H. Interview Employees

One of the first managers on the scene should interview the railroad employees involved in the incident to determine the sequence of events that led to the incident, the primary cause(s), and any contributing factors to the incident.

It is very important that after the initial interview, employees not be subjected to repeated interviews or questioning by a series of management personnel. If there is a need for additional information from employees, the initial interviewer or legal counsel should obtain the information.

The manager who conducted the initial interview should then brief all management personnel with a need to know on information obtained during the interviews. The interviewing manager should try to prevent repeated contacts with the employees unless there is appropriate cause.

I. Complete Form

The Manager's Incident Report must be completed by the investigating manager and should reflect information and recommendations based on his or her investigation.

It is necessary to identify all causation factors that may be involved in an accident. Investigators must consider personnel, equipment, materials and the environment and evaluate the influence of management practices in accident causations.

J. Assess the Incident's Potential for More Serious Injury or Damage

The fact that a minor injury has resulted from an incident should not diminish the investigator's need to measure the incident's full potential for more serious injuries under different circumstances.

For example, a trailer hitch could break due to defective metal being used by the manufacturer. The trailer could cross opposing lanes, just missing oncoming traffic and strike a concrete wall, resulting in minor damage to the trailer.

The initial reaction is that it is a minor accident. But once the investigation discloses the defect in the trailer hitch, the potential for more serious injuries under different circumstances becomes apparent. The manufacturer would be notified and all defective trailer hitches replaced, avoiding the possibility of more serious injuries in the future;

K. Determine what Immediate Actions should be Taken to Prevent Recurrence

Immediate actions could include removing defective equipment from service, providing proper tools and equipment, additional supervision, and communication of hazardous conditions to employees.

L. Establish the Need for any Long-Term Actions Necessary to Prevent Recurrence

This could include developing new training programs, enhancing existing training programs or initiating studies of problems leading to solutions to be implemented in the future. On those occasions when corrective actions become more complex or

require several people to complete the task, the group may want to use the problem solving process to develop an action plan.

The action plan should (1) identify who will be responsible for which specific actions, (2) establish any follow-up activities necessary to ensure the success of the action plan, and (3) include a time frame for completing all activities.

IV. INVESTIGATION GUIDELINES FOR CROSSING AND TRESPASSER ACCIDENTS

- A. Notify proper authorities, i.e., police; fire and ambulance officials, as soon as it appears their services may be necessary.
- B. Notify appropriate company officers and legal counsel. It is also advisable to provide directions to the exact location when the accident scene is not on the map or will be difficult to find.
- C. Secure the locomotive event recorder information. Only those personnel trained in the proper method for downloading event recorders should do so. Wheel size measurements are vital and must be accurately recorded.
- D. Mark the spot where the lead engine stopped after the impact. Mark the rail so that it will be easy to identify at a later time. It is recommended to use yellow crayon and to mark the side of the rail, not the top. Include your initials and the date and time you marked the rail.
- E. Note the railcar identification number of railcars actually on the crossing or of the one closest to the crossing. This information will help to determine how far the train traveled after the point of impact.
- F. Identify all crew members by name, title and specific location when the accident occurred. For example: the Engineer was seated at the control stand on the right side of the lead engine; the Conductor was in the seat on the left side of lead engine.
- G. Arrange for mechanical inspection of the lead engine, crossing, and crossing warning devices. Include an inspection of any railcars that may have been a factor in the accident.

As in the case of an employee incident, it is important to inspect certain equipment involved in the accident. In the case of the engine it is important to verify that all warning devices were functioning properly and that the engine was in sound mechanical condition. The same principles apply to the condition of the crossing, crossing warning devices and any railcars directly or indirectly involved in the accident.

The presence or absence of defects noted in the inspection report is valuable information in the overall assessment of liability and is critical documentation if a claim is filed or the accident leads to litigation.

- H. Preserve the train consist, switch list, work orders or any other documents that provide pertinent information about the train or equipment involved in the accident.

All original documents, including a legible copy of the consist and other pertinent documents should be forwarded to the property manager.

- I. Note the location of any sight obstructions, e.g., standing rail equipment, vehicles, trees, or buildings. Particularly note any temporary view obstructions, such as standing vehicles that may be moved or weather conditions that may rapidly change. These kinds of observations are frequently critical when responding to subsequent

claims or lawsuits. Again, some basic photographs, measurements, and sketches may be advised.

J. Secure names and phone numbers of all persons associated with the accident and all witnesses to the event. This list should include:

- (1) All persons injured or involved in the accident;
- (2) All Company personnel on the scene;
- (3) Known witnesses and potential witnesses especially eyewitnesses and whistle witnesses;
- (4) Media representatives;
- (5) Police, fire, ambulance personnel; and
- (6) Representatives of Federal agencies.

INCIDENT CAUSATION CHECKLIST

Incident causation is somewhat complex and requires broad considerations of personnel, equipment, materials and the environment. In addition to identifying causal factors so that corrective action can be taken, the incident investigation must also evaluate the operating and management systems for their influence in incident causation. The following checklists are designed to aid the investigating manager(s) identify factors that may have contributed to the incident.

Employee/Behavior

- (1) Lacked job knowledge
- (2) Lacked specific training
- (3) Used wrong tools or equipment
- (4) Used defective tools or equipment
- (5) Did not follow proper procedures
- (6) Did not use safety equipment
- (7) Used wrong safety equipment
- (8) Did not ask for help
- (9) Was in a dangerous position
- (10) Lacked information to do the job safely
- (11) Could not perform task

Physical/Environment

- (1) Proper tools or equipment unavailable
- (2) Poor design of tools or equipment
- (3) Poor condition of tools or equipment
- (4) Ground conditions
- (5) Weather conditions
- (6) Poor housekeeping
- (7) Noise
- (8) Poor visibility
- (9) Improper storage

Supervision/Management

- (1) Did not adequately train personnel
- (2) Lacked job knowledge
- (3) Did not conduct adequate job briefing
- (4) Was not supervising work
- (5) Did not provide proper tools or equipment
- (6) Tools or equipment not maintained properly
- (7) Failed to correct unsafe work practices
- (8) Failed to provide adequate help for the job
- (9) Did not provide proper personal protective equipment
- (10) Lack of supervisory safety training
- (11) Other [explain]

PHOTOGRAPHS

Photographs are one of the primary ingredients of a good incident investigation and they should be obtained whenever they provide substantive value. A video tape recording of an incident scene may also be helpful and should be considered.

However, videotaping should be performed only under the direction of legal counsel.

Some of the benefits of photographs are:

1. Preserving a portrayal of the existing conditions at the time of an incident;

(a) It is important that photographs be taken as soon after the incident as possible. The conditions that exist at the time of the incident can be quickly changed by weather, repair or scrapping of equipment or the removal of equipment.

(b) In the case of crossing accidents the scene could be altered by the removal or addition of temporary or permanent view obstructions such as trees, bushes or buildings and revisions to highway or railroad warning signs or signals. Vehicle skid marks begin to fade soon after they are made and they must be photographed and measured promptly.

2. Helping managers and attorneys understand how an incident occurred so that preventive action can be developed and so that liability, settlement value and exposure value can be accurately assessed.

(a) Photographs can graphically portray the incident scene, tools involved, and location of people and equipment for developing an action plan to prevent a recurrence, especially if those involved in developing the action plan were not at the incident scene.

(b) Photographs are generally admissible in court as evidence if they accurately portray the conditions that existed at the time in question. However, photographs taken outdoors at night may not clearly portray actual conditions such as visibility and sight distance. Therefore, in most cases, outdoor photos should be taken during daylight hours.

Photographic Equipment

1. Equipment stored in vehicles should always be kept out of sight in the trunk to avoid theft. Cameras and film should not be stored in the glove compartment as damage can result from heat caused by sunlight through the windshield. In cold weather, equipment stored in the trunk should be warmed inside the car before use to facilitate the operation of moving parts. Care must also be exercised during cold weather to avoid having photographs spoiled by a fogged camera lens.

2. Color film should be used for most photographs, as the portrayal is more realistic when natural colors are shown. This is particularly true of grade crossing scenes or those involving colored equipment or machinery. However, in some instances, a black and white photograph may be superior. For example, a crack in a spike maul head or handle may be more clearly portrayed in a black and white photograph. In addition, when close-up photographs are taken of items which have similar colored backgrounds, such as couplers or brake riggings, it is usually best to use black and white film.

Photograph Identification

1. Each photograph should be properly identified as to time, date, location, perspective and photographer.
2. When photographs are taken of locomotives, freight cars, vehicles or machinery, identification such as ownership initials and numbers, vehicle or machine numbers, or license numbers should be included. If views are to be taken in which these identifying markings would not appear, chalk or crayon should be used to place proper identification so it will appear in the photographs.

Coordinating Photographs and Sketches

Whenever it would add clarity, a rough sketch should be prepared to provide information about photographs taken at the scene. This can best be accomplished by making a photocopy of the sketch prepared to portray the scene and adding photographic details.

Photographs in Grade Crossing Cases

It is extremely important to document the scene at the time of the accident for a good litigation defense later.

1. Take photographs of the front of the lead locomotive to document the headlights are on and also to show damage to the locomotive. Also mark with a chalk or crayon where the locomotive came to stop. We can then measure from the crossing the stopping distance of the train.
2. Take photographs of each side and end of the vehicle involved in the accident. If there are bodies still in the vehicle wait for the bodies to be removed. We do not want photographs of accident victims.
3. Take a photo from the crossing showing where the vehicle came to rest after impact.
4. If the train is still on the crossing, note the car number of the rail car closest to the crossing or on the crossing and take a photo of the rail car. This will help in calculating the stopping distance of the train.
5. Stand back from the crossing on the road facing the direction the vehicle was going prior to the accident and take a photo which will show the signs at the crossing; stop sign, cross buck sign, or signals. If signals are operating, time your photo so the lights of the signal are on. This will document what warning and traffic signs were up at the time of the accident.
6. If there are skid marks leading to the impact take a photo from the crossing pointing towards the skid marks. Step off the distance of the skid marks and make a note of this. Now take a photo from the beginning of the skid mark pointing towards the crossing.
7. If there are any view obstructions that might be removed from the crossing photograph these also. Examples: parked trucks or autos, tall weeds, etc.

The purpose of the above photographs is to document the exact conditions at the scene of the accident. Photographs are important when considering what liability, if any, the Company may have in the accident.

MEASUREMENTS

Measurements must be taken when dimensions or distance are relevant. This is important when rolling stock or other on-track equipment is involved.

Appurtenances such as ladder rungs, sill steps and footboards must conform to clearance, height above ground, and dimension specifications.

In cases involving inadequate clearance, it is necessary to obtain exact measurements to determine if the structure was improperly placed or if the dimensions of the equipment are unusual or improper.

When machinery is involved, it may be important to measure the operator's visual field or the range of motion for moving parts.

In grade crossing cases, measurements are important to determine such factors as visual fields, the location of warning or regulatory signs or signals, view obstructions, and skid marks.

The following procedures govern the taking of measurements.

All Measurements

1. Measurements should be made as soon as possible after an occurrence - before conditions change.
2. When the taking of measurements is delayed, a statement should be obtained from someone having knowledge of the conditions which existed at the time of the occurrence, to either verify that the conditions have not changed or identify the nature and extent of any changes.
3. Measurements should be documented when they are made. If someone is assisting the Manager in taking the measurements, that person's name should be recorded to confirm the accuracy of the measurements.
4. The beginning and ending reference points for measurements should always be identified.
5. The identity of the measuring device should always be specified.
6. It should always be specified whether measurements are actual or estimated. The record should also indicate how estimates were made, such as by using pole-lengths, paces, or vehicle odometer readings.

Measurements in Cases Involving Grade Crossing Accident

1. A common reference point should be used for measurements whenever possible. For example, the center line of the crossing is usually the best point of reference.

2. The following measurements should be obtained in all crossing cases having a potentially high exposure value:

- (a) Width of road, street or highway involved and width of each traffic lane
- (b) Length of railroad crossing with respect to width of road
- (c) Width of entire crossing, including all tracks
- (d) Distance between track centers for all tracks over crossing
- (e) Location of road signs, including regulatory signs, warning signs, crossbuck signs, signs painted on roadway surface, and crossing signals
- (f) Location of other roadways in proximity of crossing
- (g) Location of railroad regulatory signs in vicinity of crossing, including whistle post and speed limit boards
- (h) Location of point of impact
- (i) Location of point where vehicle came to rest following impact
- (j) Location of point where head end of train stopped following impact
- (k) Location and length of vehicle skid marks, measured individually for left and right sides of vehicle. (May indicate defects in braking system of vehicle)
- (1) Location of fence lines and pole lines
- (m) Location and dimensions of possible view obstructions, including structures, vegetation, parked vehicles, or other railroad rolling stock or equipment on adjacent tracks.

3. Measurements obtained in grade crossing cases should, whenever possible, be coordinated with photographs.

4. Engineering Department surveys should be requested in serious grade crossing cases and in other types of accidents when they would provide substantive value.

Rolling Stock, Equipment and Machinery, Work Platforms

1. Measurements must be made by a qualified inspector and documented when safety appliances are involved in a potentially high exposure case. Safety appliances include ladder rungs, sill steps, footboards, brake platforms, running boards or walkways, handholds, pin lifter levers, couplers, and all parts of locomotives. It should always be determined whether the appliances comply with inspection, maintenance and repair rules.

2. Measurements may have substantive value when machinery is involved in accidents. For example, the visual field of a machine operator may be important if someone is struck by the machine. If the moving parts of a machine cause injury, it

is important to determine the range of movement and the clearances afforded throughout the range of movement.

3. The overall dimensions of factory-built equipment, such as locomotives, freight cars, cabooses and most machinery, can usually be obtained from the Official Equipment Register or from the Department having control of it.

4. In incidents involving falls from bridges, poles, scaffolds or work platforms, measurements must be taken.

SKETCHES

A sketch or diagram can clarify the narrative description of an incident scene, equipment, or other incident details, particularly when correlated with photographs. Clarity can also be added by structural blueprints, yard trackage layouts, right-of-way line blueprints, schematic drawings of signal circuits, or diagrams of track equipment, locomotives or other rolling stock. When such items have substantive value or add clarity, they should be obtained and included in the investigation.

1. A sketch of incident locations, equipment or other details should be prepared as soon as possible following the occurrence. This should usually be accomplished when photographs and measurements are taken.

2. Compass direction NORTH should be shown on each sketch. When it is possible and practical to do so, NORTH should be at the top of the sketch as the sketch will appear in the claim file.

3. Each sketch should contain the name of the person who prepared it, the date it was prepared, the occupation or classification of the injured employee(s), the incident location, and the incident date.

4. Sketches need not be drawn to scale, but should portray the scene or object as accurately as possible. Generally, the term rough indicates that a sketch is not drawn to scale. However, it should be specifically stated on the sketch that it is not to scale. If it is prepared on the basis of actual measurements, this should be indicated by: Scale approximately $X' = Y$. Only sketches which have been prepared by a qualified engineer should be drawn precisely to scale.

5. All details which add clarity to the incident description should be portrayed, such as tracks, roadways, structures, signs and signals, trains, persons and vehicles.

6. When clarity would be added by doing so, a sketch should also be prepared to show the location from which photographs were taken. This can most easily be accomplished by making a photocopy of the sketch showing the scene and adding the camera locations and facing directions.

7. Whenever possible, templates should be used to prepare sketches.

Blueprints, Diagrams, Maps and Drawings

The Signal Supervisor should be asked to furnish blueprints and schematic drawings of signal circuits in cases involving grade crossing accidents.

The Mechanical Department should be asked to provide blueprints, drawings and specification charts of locomotives and other rolling stock when such equipment is involved in serious accidents.

Blueprints or drawings of machinery or equipment, such as Maintenance of Way equipment, and track profiles should be obtained from the department in charge of the machinery.

INCIDENT INVESTIGATION KIT

- Incident Investigation Guidelines
- List of Emergency and Company Contact Numbers
- Clip Board/Notebook
- Camera
- Company required forms
 - Manager Incident Report
 - Employee Incident/Accident Report
- Gloves
 - Latex gloves should be available in cases where handling potentially hazardous material of any kind is possible.
- Laptop Computer
 - Equipped for downloading locomotive event recorder data.
- Wheel Gauge
 - Gauge locomotive wheels prior to downloading event recorder.
- 100' Measuring Tape/Measuring Wheel
- Hazard Warning Tape
- Lantern/Flash Light
- Pencils, Lined/Graph Paper, Ruler
- Plastic Bags
- Styrofoam Cooler
- Rule Books, Timetable/Special Instructions, Track Bulletins
- Track Charts, Track Spotting Guide
- Alcohol/Drug Testing Kits & Instructions
 - FRA & Company
- Road Crossing Inventory
- Highway/County Road Maps

POST-INCIDENT INTERVIEW GUIDELINES

- Interview employee and witnesses as soon as possible, separately and individually.
- Consider the knowledge of the interviewee and question accordingly.
- Make interviewee feel comfortable.
- Recognize interviewee's motives.
- Show real concern for condition of injured.
- Use tact. Avoid sarcasm, blame, threats or discussion of discipline.
- Do not leave any question unasked.
- Make notes before you forget.
- Remind interviewee of interview purpose;
 - To prevent future incidents
 - To clearly understand what happened
 - To reduce risk of injury, property damage in future.
- Allow interviewee to tell their story;
 - Do not interrupt during initial discussion
 - Allow them to convey their opinions
 - Listen carefully
 - Use appropriate non-verbal communication
 - Use open-ended questions if necessary to clarify
 - Do not make judgmental remarks
 - Allow interviewee to finish before asking for clarification
- Summarize your understanding of the incident;
 - Restate, summarize to confirm understanding
 - Ask open-ended questions to fill in gaps
 - Don't use leading questions
- Commit interviewee's story to writing;
 - Document timeline in chronological order
 - Ask interviewee to confirm timing
 - Add narrative

ANALYZING INCIDENT INFORMATION

- ✓ **WHO** was involved?
- ✓ **WHAT** happened?
- ✓ **WHERE** did the incident occur?
- ✓ **WHEN** did the incident occur?
- ✓ **HOW** did the incident happen?
- ✓ **WHY** did the incident happen?
- ✓ Compare and corroborate witnesses and evidence.
- ✓ Review training and equipment records.
- ✓ Conduct follow-up interviews;
 - Clarify previous statements
 - Gain new or additional information
 - Allow witnesses to revise statements
- ✓ Identify contributing factors and root causes.
- ✓ Develop preliminary explanation based on information.

COMPLETION OF MANAGER INCIDENT REPORTS

INTERNAL REPORTING

Complete, accurate, and timely internal reporting of incidents/accidents arising from railroad operations is essential to the efficient operation of the railroad and complying with Federal reporting regulations.

It is critical to conducting a proper investigation and reporting of incidents that local managers inspect the incident scene, inspect equipment involved, interview employees involved and other witnesses, as soon as possible.

When more than one manager is on hand at an incident location, one manager should be designated as the Investigating Officer. The Investigating Officer will be responsible for compiling and reporting all pertinent information, including completion of the initial Manager Incident Report.

INCIDENT REPORT – GENERAL

The current Manager Incident Report Form (revised 091812) is attached to this document and available on the RGPC operations website.

The form is to be completed using Microsoft Word.

The form is locked to prevent unintentional alteration of the original form.

There are two types of spaces available for completing a report:

- 1) Drop-down box – select from specific choices offered.
- 2) Free-form box – enter required information.

When completed, individual reports must be saved as a separate Word document in a folder for incident reports. To save a completed report, click on "FILE" in the upper left hand corner of your screen, click on "SAVE AS", then when a box appears asking where to save the document and the file name, enter the appropriate information (such as OP091812NCRC in "MY DOCUMENTS").

After saving the completed report it should be sent as an attachment to an e-mail message with the Incident Number in the "subject" field (see "FORMS – DISTRIBUTION" below for further instructions).

DO NOT SEND A COMPLETED REPORT AS AN OPEN DOCUMENT (this alters the structure and contents of the form).

INCIDENT REPORT – INCIDENT NUMBERS

Enter in following order:

1. Department Code

Administration = ADM

Mechanical = MEC

Maintenance of Way = MOW

Operating = OP

Signal = SIG

2. Date

Enter date incident/accident occurred, as follows:

- Two-digit numbers in order of month, day, year
- No commas, slashes, dashes, etc.
- Example: 091812

3. Railroad Code

Idaho Northern & Pacific Railroad Company (Idaho Division) = INPRID

Idaho Northern & Pacific Railroad Company (Oregon Division) = INPROR

Nebraska Central Railroad Company = NCRC

New Orleans & Gulf Coast Railway Company = NOGC

Wichita, Tillman & Jackson Railway Company = WTJR

Thunder Mountain Line = TML

NOTE: If more than one incident involving the same department of the same railroad occurred on the same date; enter -2 for second incident, -3 for third, etc.

Examples

OP091812NCRC

OP091812-2NCRC (second incident)

MOW091812INPROR

INCIDENT REPORT – INCIDENT DESCRIPTION

It is essential that the description is based on inspection of equipment, inspection of incident scene, interviews with employees and witnesses, and other pertinent information. This information should include the exact location and duties being performed by all employees involved at the time of the incident. Ultimately, the incident description and probable cause are the opinions of the Investigating Officer.

INCIDENT REPORT – TIME REQUIREMENTS

Completed forms (and all other pertinent information – employee accident reports, photo's, diagrams, etc.) must be sent as soon as possible after the initial investigation has been completed. There are spaces at the top of the form to indicate if report is Initial, Interim, or Final. The Initial report must be completed and sent within 24 hours of the time of the incident. Interim reports may be sent when additional information is obtained during the course of a continuing investigation. A final report must be completed and sent to report final costs.

INCIDENT REPORT – DISTRIBUTION

Send all Incident Reports via email to the RGPC Dispatchers office at:

dispatch@rgpc.com

The receiving Dispatcher will distribute the report(s) via email to:

- 1) The Reporting Officer (RO) and Managers of the involved railroad.
- 2) The representatives of RGPC.

NOTE TO DISPATCHER: Indicate the Incident Number and whether Initial, Interim, or Final in the email Subject line (example: "OP091812NCRC – Interim").

Distribution List

| | | | |
|--------------|---|--------------|--|
| INPR: | Linda Iverson (RO) Ken Omundson Eli Fink | WTJR: | Linda Pollard (RO) Martin Cicalla Albert Boswell |
| NCRC: | Susan Arlt (RO) Gary Hughes Clint Estes Mark Underdahl Barry Parsons Jason Quast Ken Morris Ted Rydel Todd McKee Chad Korth Julie Stone | RGPC: | Rick Bertel Bob Bach Chris Bertel Donna Glover Patti Matson Scott Traylor Neil Cox Ken Sidlinger Tracy Ulm Mitch Harris Sam Kaiser |
| NOGC: | Yvonne Malone (RO) Robert Howery Kurt Nastasi Scott Wollack Johnny Hydes | | |