orandum ENK U.S. Department of Transportation Federal Ratiroad **Administration** Date: JAN 28 1992 Reply to Altn. of: OP-92-01 Subject: Amendments to Accident/Incident Reporting Requirements From: ·R · End Director, Office of Safety Enforcement To: All Regional Directors All Deputy Regional Directors Supervisory Operating Practices Specialists The Accident/Incident Reporting requirements have been modified effective with reporting events that occur after December 31, 1991. The attached set of instructions have been furnished to the carriers in your region. Carrier records/reports inspected for events occurring on or after January 1, 1992, should reflect these changes. ŧ NAMORE CAR

FEB

A8:56



US Department of Transportation

Federal Railroad Administration 400 Seventh St., S.W. Washington, D.C. 20590

## Dear Reader:

The purpose of this notice is to remind you of end-of-year filing obligations, and to inform you of changes to accident/incident requirements that are effective when reporting events that occur after December 31, 1991.

## ANNUAL REVIEW AND FILING REQUIREMENTS

Your submission for the month of December must include two annual reports. These are: <u>Annual Railroad Report of Manhours by State</u> (form 6180-56); and, <u>Annual Summary Report of Railroad Injury and Illness</u> (form 6180-45). A copy of each form is enclosed. Instructions for completing these forms are found in the reporting guide. (December's report must be submitted no later than January 30, 1992. A written request for an extension must be made if you are unable to meet this filing deadline.)

Form 6180-45 is used to provide summary information concerning deaths, injuries, or occupational illnesses to **employees on duty** that were reported for the calendar year. Therefore, the counts of cases must agree with the sum of cases reported monthly. The count of days absent or restricted from work shown on the annual report should not vary significantly from the counts contained on the monthly forms.

There are provisions in the reporting instructions that require you to make a "good faith" estimate of additional lost workdays an employee is expected to accrue following the date when the monthly report is required. In previous years we have noted significant differences, for some railroads, between the count of days reported on the two data forms. Last year, in an attempt to rectify this problem, updating procedures were expanded to allow for correction of these data items through the use of magnetic media. Several railroads have adopted these.

This year we will monitor variances between the counts of days appearing on the monthly and annual reports. While section 225.13 requires updating any incorrect information on an individual report, our enforcement efforts are most likely to focus on significant differences between the two reports. A difference exceeding 20% or 10 days, whichever is greater, between the reported and actual count of days for an individual case is considered significant and requires updating. Failure to do so may warrant further review and possible compliance action. The preparation of your December report should include a review of all reporting done for the calendar year to see if any final adjustments need to be made. It is especially important that operational data, such as; train miles, employee hours, etc., be correct. If the sum of these counts reported on the monthly reports are not the final totals for your railroad, then you must immediately file amended monthly reports to adjust these amounts.

## REVISED REPORTING CODES

During 1990 and 1991 the FRA held hearings and solicited advise on how accident/incident reporting could be improved. Comments were provided by rail labor and management, NTSB, OSHA, private citizens, and others. Numerous recommendations were presented to improve/update the set of codes and descriptions that are used to identify the causes of train accidents and to categorize injuries and illnesses.

FRA has decided to adopt many of these suggestions. A revised <u>Appendix C (RAIL EQUIPMENT ACCIDENT/INCIDENT CAUSE CODES</u>, and <u>Appendix E (INJURY AND ILLNESS CODES</u>) is attached.

Of special importance is the expansion of occupational illness codes. The six broad categories of illnesses used in previous years have been retained. However, codes have been developed within each group to more precisely identify specific ailments. For example, code "1112" is used to identify asbestosis, and code "1151" is used to record cases of noise induced hearing loss.

The remaining suggestions concerning reporting requirements and procedures are being reviewed. Our intent is to incorporate these into a revised 1993 reporting manual. Any recommendations you would like to make can be sent to:

Federal Railroad Administration Office of Safety (RRS-22) 400 7th Street, S.W. Washington, D.C. 20590 DEPARTMENT OF TRANSPORTATION

4

## ANNUAL SUMM Y 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

1. 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).

11. 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.

<u>(Round to the nearest</u> whole number)

#### IV. REPORTABLE INJURIES AND ILLNESSES

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

(1) INO - complete Section VII,

(2)  $\Box$  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?

Calondar Year				
Jan	Apr	July	Oct	
Heb Mar.	June	Aug Sept.	Dec.	
•		•		

	Name			Alphabetic Railroad Code (See FRA Guide, Appendix A)	·
			1		
CORPORATE NAME AND MAIL- ING ADDRESS OF REPORTING RAILROAD	STREET .	STATE	zîp code		
FORM FRA F6180-45 (7-76) PREVIOUS EDITIONS ARE OBSOLETE.					

This report is required by regulation (49 CFR 225). Failure to report can result in the imposition of civil penalties.

•	$\bigcirc$								
VI.	INJURY AND ILLNESS SUMMA	ARY (Covering	Calendar Year _		)				
	INSTRUCTIONS: • This section which you	n may be comp are required to	oleted by Copyin complete and p	g data from the "Ann ost in your establishm	ual Summary'' lent.				
	Leave Sect	ion VI blank if	there were no re	portable injuries or il	inesses during the reportion	ng year.			
	<ul> <li>Line 9 — A</li> <li>for each co</li> </ul>	dd all Occupat Iumn (1) throu	ilonal Illnesses (L ugh (8).	ines 2 through B) and	enter on this line				
	<ul> <li>Line 10 - A (Line 9) an</li> </ul>	dd Occupation d anter on this	nal Injuries (Line ; line for each col	1) and the sum of all umn (1) through (8).	Occupational Illnesses				
					LOST WORKDAY	CASES ONLY	····	11 1	T
	INJURY AND ILLNESS CATEGORY	TOTAL CASES	DEATHS	Total lost work- day cases (includes restricted workday cases)	Cases involving days away from work	Days away from work	Days of restricted work activity	NONFATAL CASES WITH- OUT LOST WORKDAYS	TERMINA TIONS OR PERMANENT TRANSFERS
LINE		(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)
1	OCCUPATIONAL INJURIES	[]						]	
2	Occupational Skin Diseases or Disorders					······································			
3	က္က 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			· ·					
8	All Other Occupational					•			
9	O 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 Cod	ie and Phone:			
	Title:				Date:				

#### DEPARTMENT OF TRANSPORTATION FEDERAL RAILROAD ADMINISTRATION

FORM APPROVE OMB NO. 04R403

## ANNUAL RAILROAD REPORT OF MANHOURS BY STATE

1. RE	PORTING RAILROAD		·····			ALPHABETIC C	ODE	2.5	EPORT YEA
3.			ANNUAL	MANHO	URS	1		1	·
<u>A.</u>	STATE	8. CODE	C. M/HRS.	A	5	STATE	8. CODE	c.	M/HR\$.
(1)	ALABAMA -	AL		(26)	MONTA	NA	мт		
(2)	ALASKA	AK		(27)	NEBRAS	SKA	NE		
(3)	ARIZONA	AZ		(28)	NEVAD	A	NV		
(4)	ARKANSAS	AR		(29)	NEW HA	MPSHIRE	NH		······
(5)	CALIFORNIA	CA		(30)	NEW JEI	RSEY	ГИ		
(6)	COLORADO	со		(31)	NEW ME	XICO	NM		
(7)	CONNECTICUT	СТ		(32)	NEW YO	RK	NY		
(8)	DELAWARE	DE		(33)	NORTH	CAROLINA	NC		
(9)	DISTRICT OF COLUMBIA	DC		(34)	NORTH	DAKOTA	ND		
(10)	FLORIDA	FL		(35)	0H <b>IO</b>		он		
(11)	GEORGIA	GA		(36)	OKLAH	0MA	οκ		
(12)	IDAHO	ID		(37)	OREGO	N	OR		
(13)	ILLINOIS	11		(38)	PENNSY	LVANIA	PA		
(14)	INDIANA	IN		(39)	RHODE	ISLAND	RI		
(15)	IOWA	IA		(40)	SOUTH	CAROLINA	sc		
(16)	KANSAS	ĸs		(41)	SOUTH	DAKOTA	SD		
(17)	KENTUCKY	кү		(42)	TENNES	SEE	TN		
(18)	LOUISIANA	LA		(43)	TEXAS		тх		·····
(19)	MAINE	ME		(44)	UTAH		υτ		
(20)	MARYLAND	MD		(45)	VERMO	NT	VT		
(21)	MASSACHUSETTS	MA		(46)	VIRGIN	IIA	VA		
(22)	MICHIGAN	MI		(47)	WASHI	NGTON	WA		
(23)	MINNESOTA	MN		(48)	WEST	IRGINIA	wv		
(24)	MISSISSIPPI	MS		(49)	WISCO	NSIN	W		
(25)	MISSOURI	, мо		(50)	WYOM	ING	wr	_	DATE
4. T	YPED NAME AND TITLE			5.510	NATURE			ľ	JA15

FORM FRA F 6180-56 (8-74) SUBMIT THIS FORM WITH THE FRA F 6180-55, DECEMBER REPORT.

#### APPENDIX C

#### RAIL EQUIPMENT ACCIDENT/INCIDENT 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
- T209 Excessive rail lubrication
- 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 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
- T399 Other frog, switch and track appliance defects (Provide detailed description in narrative)

## OTHER WAY AND STRUCTURE

- T401 Bridge misalignment or failure
- T402 Flangeway clogged
- T403 Engineering design or construction
- T499 Other way and structure defect (Provide detailed description in narrative)

#### SIGNAL AND COMMUNICATION

S001 Automatic cab signal displayed false proceed S002 Automatic cab signal inoperative S003 Automatic train control system inoperative S004 Automatic train-stop device inoperative S005 Block signal displayed false proceed S006 Classification yard automatic control system switch failure S007 Classification yard automatic control system retarder failure S008 Fixed signal improperly displayed (defective) S009 Interlocking signal displayed false proceed S010 Power device interlocking failure S011 Power switch failure S012 Radio communication equipment failure S013 Other communication equipment failure S099 Other signal failures (Provide detailed description in narrative)

#### MECHANICAL AND ELECTRICAL FAILURES

## <u>BRAKES</u>

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) EOHC Hand brake linkage and/or connections broken or defective EOHL 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

EllC Broken or defective tiedown equipment El2C Broken or defective container El3C Broken or defective trailer El9C 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) E25C Center pin broken or missing

E25L Center pin broken or missing (LOCOMOTIVE)

E26C Center plate attachment defective

E26L Center plate attachment defective (LOCOMOTIVE) E27C Side sill broken

E27L Side sill broken (LOCOMOTIVE)

- E29C Other body defects, (CAR) (Provide detailed description in narrative)
- E29L Other body defects, (LOCOMOTIVE) (Provide detailed description in narrative)

#### COUPLER AND DRAFT SYSTEM

E30C Knuckle broken or defective E30L Knuckle broken or defective (LOCOMOTIVE) E31C Coupler mismatch, high/low E31L Coupler mismatch, high/low (LOCOMOTIVE) E32C Coupler drawhead broken or defective E32L Coupler drawhead broken or defective (LOCOMOTIVE) E33C Coupler retainer pin/cross key missing E33L Coupler retainer pin/cross key missing (LOCOMOTIVE) E34C Draft gear/mechanism broken or defective (including yoke) E34L Draft gear/mechanism broken/defective (including yoke) (LOCOMOTIVE) E35C Coupler carrier broken or defective E35L Coupler carrier broken or defective (LOCOMOTIVE) E36C Coupler shank broken or defective (includes defective alignment control) E36L Coupler shank broken or defective (includes defective includes defective alignment control) (LOCOMOTIVE) E37C Failure of articulated connectors E37L Failure of articulated connectors (LOCOMOTIVE) E39C Other coupler and draft system defects, (CAR) (Provide detailed description in narrative) E39L Other coupler and draft system defects, (LOCOMOTIVE) (Provide detailed description in narrative)

## TRUCK COMPONENTS

E40C Side bearing clearance insufficient E40L Side bearing clearance insufficient (LOCOMOTIVE) E41C Side bearing clearance excessive E41L Side bearing clearance excessive (LOCOMOTIVE) E42C Side bearing(s) broken E42L Side bearing(s) broken (LOCOMOTIVE) E43C Side bearing(s) missing E43L Side bearing(s) missing (LOCOMOTIVE) E44C Truck bolster broken E44L Truck bolster broken (LOCOMOTIVE). E45C Side frame broken E45L Side frame broken (LOCOMOTIVE) E46C Truck bolster stiff, improper lateral or improper swiveling

- E46L Truck bolster stiff, improper lateral or improper swiveling (LOCOMOTIVE)
- E47C Defective snubbing
- E47L Defective snubbing (LOCOMOTIVE)
- E48C Broken, missing, or otherwise defective springs
- E48L Broken, missing, or otherwise defective springs (LOCOMOTIVE) E4TC Truck hunting
- E4TL Truck hunting (LOCOMOTIVE)
- E49C Other truck component defects, (CAR) (Provide detailed description in narrative)
- E49L Other truck component defects, (LOCOMOTIVE) (Provide detailed description in narrative)

## AXLES AND JOURNAL BEARINGS

E51C Broken or bent axle between wheel seats E51L Broken or bent axle between wheel seats (LOCOMOTIVE) E52C Journal (plain) failure from overheating E52L Journal (plain) failure from overheating (LOCOMOTIVE) E53C Journal (roller bearing) failure from overheating E53L Journal (roller bearing) failure from overheating-LOCOMOTIVE E54C Journal fractured, new cold break E54L Journal fractured, new cold break (LOCOMOTIVE) E55C Journal fractured, new 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) 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

E91C Articulated car connection pin failure E92C Articulated car connection failure, other

E99C Other mechanical and electrical failures, (CAR) (Provide detailed description in narrative)

E99L Other mechanical and electrical failures, (LOCOMOTIVE) (Provide detailed description in narrative)

#### TRAIN OPERATION - HUMAN FACTORS

#### BRAKES, USE OF

H001 Automatic brake, insufficient H002 Automatic brake, excessive H003 Automatic brake, failure to use split reduction H004 Automatic brake, other improper use H005 Failure to allow air brakes to fully release before proceeding H006 Failure to properly cut-out brake valves on locomotives H007 Failure to properly cut-in brake valves on locomotives H008 Improper operation of train line air connections (bottling the air) H009 Dynamic brake, insufficient H010 Dynamic brake, excessive H011 Dynamic brake, too rapid adjustment H012 Dynamic brake, excessive axles H013 Dynamic brake, other improper use H014 Throttle (power), improper use H015 Throttle (power), too rapid adjustment H016 Excessive horsepower 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) H023 Independent (engine) brake, improper use (except actuation) H024 Failure to actuate off independent brake 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
H306	Shoving movement, absence of man on or at leading end of movement
H307	Shoving movement, man on or at leading end of movement,
	failúre 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

- 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
H599	Other causes relating to train handling or makeup (Provide

detailed description in narrative)

#### SPEED

H601 Coupling speed excessive H602 Switch movement, excessive speed H603 Train Inside yard limits, excessive speed H604 Train outside yard limits under clear block, 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 track from 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 H999 Other train operation/human factors (Provide detailed description in narrative)

#### MISCELLANEOUS CAUSES NOT OTHERWISE LISTED

## ENVIRONMENTAL CONDITIONS

M101 Snow, ice, mud, gravel, coal, etc. on track M102 Extreme environmental condition - TORNADO M103 Extreme environmental condition - FLOOD M104 Extreme environmental condition - DENSE FOG M105 Extreme environmental condition - EXTREME WIND VELOCITY M199 Other extreme environmental conditions (provide detailed description in narrative)

#### LOADING PROCEDURES

M201	Load shifted
M202	Load fell from car
M203	Overloaded car
M204	Improperly loaded car
M205	Oversized load, misrouted
M206	Trailer or container tiedown equipment improperly applied
M207	Overloaded/improperly loaded container/trailer on flat car
M299	Miscellaneous loading procedures (Provide detailed
	description in narrative)

HIGHWAY-RAIL GRADE CROSSING ACCIDENTS

- M301 Highway user impairment because of drug or alcohol usage (as determined by local authorities, e.g., police)
- M302 Highway user inattentiveness
- M303 Highway user misjudgement 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 car wheels being humped

M408 Yard skate slid and failed to stop cars

M409 Objects such as lading chains or straps fouling switches M410 Objects such as lading chains or straps fouling wheels

#### OTHER MISCELLANEOUS

- M501 Interference (other than vandalism) with railroad operations by nonrailroad employee
- M502 Vandalism of on-track equipment, e.g., brakes released
- M503 Vandalism of track or track appliances, e.g., objects placed on track, switch thrown, etc.
- M504 Failure by nonrailroad employee, e.g., industry employee, to control speed of car using hand brake
- M505 Cause under investigation (Corrected report will be forwarded at later date)
- M599 Other miscellaneous causes (Provide detailed description in narrative)

## INJURY/ILLNESS REPORTING

The distinction between illnesses and injuries is based primarily on the event or exposure that precipitated the employee's condition. Cases that result from instantaneous events are counted as injuries; for example, an employee is struck by an object and sustains a cut or a bruise. Illnesses, on the other hand, are almost always the result of an exposure that occurs over time; an example would be hearing impairment that is partially attributable to a prolonged exposure to a noisy work environment. An exception to this general rule are muscular sprains, strains, or soreness, that occur after work-related activity for which no single movement or event can be isolated as the primary causal factor. Physical conditions of this type are defined as injuries.

Another major difference between reportable injuries and illnesses is that injuries must result in at least one of the consequences listed in the reporting guide in order to be recordable. These include: medical treatment; absence from work; restriction at work, loss of consciousness, etc. Occupational illnesses, are recordable upon diagnosis (identification/ recognition) by a qualified health care professional. (A "qualified health care professional" (QHCP) is a person, who through appropriate education and experience, has developed sufficient expertise to diagnose and/or make decisions regarding the causal factors of an occupational injury or illness.)

The reason for this distinction is that an occupational illness often causes impairment of the normal physiological functioning of body systems, or other abnormal health conditions, that may have long-term or permanent effects, but may not cause any of the consequences required for injury reporting. Work-related hearing impairment is an example of illness that often results in this set of circumstances.

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 <u>are reportable when</u>:

- 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.

# APPENDIX E

## INJURY AND ILLNESS CODES

Use the codes on this and the following 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
- 20 Sprain or strain
- 30 Cut/laceration or abrasion
- 35 Puncture wound
- 40 Electrical shock or burn
- 50 Other burns
- 60 Dislocation
- 70 Fracture
- 75 Dental related
- 80 Amputation

- 90 Fatally injured
- 91 Foreign object in eye
- 92 Hernia
- 93 Concussion
- 94 Nervous shock
- 95 Internal injury
- 96 Loss of eye
- 97 Reaction caused by onetime external exposure to chemicals, etc.
- 98 One-time exposure to loud noise, e.g., explosion
- 99 Other

Note: location of injury codes are found on following page

# Location of Injury

- 1 Arm or hand:
  - A upper arm
  - B elbow
  - C lower arm
  - D wrist
  - E hand (general)
  - F thumb/fingers
- 3 Leg or foot:
  - A upper leg B - knee
  - C lower leg
  - D ankle
  - E heel
  - F toes
  - G foot (general)

- 5 Head or face:
  - A eye
  - B ear
  - C nose
  - D mouth/teeth
  - E skull/scalp
  - F neck/throat
- 6 Torso:
  - A spine/spinal cord
  - B upper back (muscular)
  - C lower back (muscular)
  - D shoulder
  - E collar bone
  - F ribs/sternum
  - G internal injuries
  - H external injuries, other
  - I hips/buttocks
  - J genitalia

- 8 Injuries to various body parts of relatively equal severity
- 9 Other body parts

## OCCUPATIONAL ILLNESS CODES

## OCCUPATIONAL SKIN DISEASES OR DISORDERS

- 1101 Dermatitis (inflammation of the skin)
- 1102 Eczema inflammation of the skin characterized by the formation of vesicles (blisters) which may be either acute or chronic
- 1103 Rash caused by primary irritants and sensitizes 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
- 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 electro-magnetic radiation, e.g., radio waves, microwaves, welding flash, ultraviolet rays of the sun, etc.
- 1144 Heat exhaustion heat-related condition of moderate degree which, if not treated, may lead to heat stroke.
- 1145 Freezing/frostbite freezing of tissue with disruption of the blood supply
- 1146 Other disorders due to physical agents other than toxic materials
- 1149 Death resulting from physical agents (other than toxic materials)

## DISORDERS DUE TO REPEATED TRAUMA

1151 Noise induced hearing loss - a Standard Threshold Shift (STS). An STS is an average shift of 10 decibels of more than 2000, 3000, and 4000 hertz in either ear.

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 and STS has occurred the baseline should be adjusted to reflect this test result. A subsequent test revealing an additional STS from this baseline value is a new case.

- 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
- 1193 Infectious hepatitis (also known as hepatitis A) infection of the liver, characterized by fever, abdominal pain loss of appetite and in sever 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
- 1198 All other occupational illnesses other than those classified above
- 1199 Death resulting from other occupational illnesses