
**AMTRAK
SYSTEM SAFETY
PROGRAM**

December 2007

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SAFETY POLICY STATEMENT FROM THE PRESIDENT AND CEO

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AMTRAK SAFETY POLICY

The safety and well-being of passengers, employees and other workers on Amtrak property is important at Amtrak. The System Safety Program (SSP) will guide prevention efforts by identifying the policies, programs and strategies that promote a safe work environment for workers and travelers alike. System safety principles are used to integrate safety into all phases of our business including design, construction, modification and rehabilitation, operation, maintenance and procurement, and that we reduce risk and eliminate, to the extent possible, potentially hazardous activities and conditions.

The Amtrak goals in safety and occupational health can be achieved through a responsive, coordinated safety and risk management effort:

- Providing a safe work environment for our employees;
- Providing safe service for our customers;
- Create a continuous process to drive the reduction of risk;
- Commitment to, involvement in, and accountability for safety activities and performance by all employees and contractors.

The elimination of injuries, illnesses and accidents requires commitment and performance at all levels in the organization. This commitment means planning each and every job with safety principles. Working safely is the expectation and responsibility of every Amtrak employee. This guiding principle for employees performing their daily responsibilities must be “NO JOB IS SO IMPORTANT AND NO SERVICE SO URGENT THAT WE CANNOT TAKE THE TIME TO PERFORM OUR WORK SAFELY”. We have adopted the following six guidelines:

1. All injuries are preventable.
2. All risk can be reduced or eliminated.
3. Prevention of injuries and accidents is the responsibility of each employee.
4. Effective training is essential for excellent safety performance.
5. Safety is a condition of employment.
6. Safety is an essential element of our business.

APPROVAL:



Alex Kummant, President and Chief Executive Officer

11/26/07

Issue Date

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SECTION 1. PURPOSE, GOALS, OBJECTIVES AND AUTHORITY

1-A. PURPOSE

The purpose of the Amtrak System Safety Program is to provide a comprehensive description of current safety-related policies, programs and practices that aid in the prevention of and response to accidents, injuries and illnesses. To achieve this purpose, the Program intends to:

- Provide formal documentation of Amtrak's commitment to system safety.
- Establish the System Safety Program throughout all phases of Amtrak's operation.
- Provide a framework for implementing safety policy and achieving safety goals and objectives.
- Identify Amtrak's relationship and responsibility with regulatory agencies, operating partners, contractors and organizations that impact system safety.
- Comply with applicable Federal and State laws and local codes, ordinances and regulations.

Amtrak defines system safety as a detailed method of applying scientific, technical, operating, and management techniques and principles for the timely identification of hazard risk, and initiation of actions to prevent or control these hazards throughout the system life cycle and within the constraints of operational effectiveness, time, and cost.

The system to which the System Safety Program (SSP) applies is the National Railroad Passenger Corporation (Amtrak) and all of its organizational and physical components, people, procedures, facilities, and equipment. System Safety applies to each and all of the following, separately and in their various combinations as parts of the Amtrak system:

- Amtrak employees, Amtrak contract, commuter and intercity operations, and contractors working on Amtrak property or equipment.
- Safety-related activities of each part of Amtrak's organization and operation throughout its life cycle - from system/equipment/facility design and acquisition through operation, maintenance, repair, and component disposal.
- Equipment, facilities, machinery, and/or structures used to maintain and operate the rail system such as rolling stock; wayside equipment; track; communications and signals; electric traction; facilities, stations, and other structures.
- Procedures, rules, work practices, training, and contracts.
- Amtrak's High Speed trainset operations (Tier II) as defined in 49CFR238.600.
Prior to the development of this single, fully integrated System Safety Program, Amtrak complied with the safety planning requirements of 49 CFR 238.603 by preparing and executing a separate, self standing written system safety program plan for Tier II equipment. That plan, issued July 12, 2000, was a composite plan that included all of the

safety planning requirements associated with the safe operation of the equipment. It was focused to integrate the, then new, Tier II Acela High Speed trainsets into the existing Northeast Corridor operations and prepare it for subsequent revenue service. In addition, that composite plan served as a transitional document that allowed Amtrak to meet all of the requirements of 49 CFR 238.603 (b) in procuring Tier II passenger equipment and to fully address how the equipment would be tested, accepted and ultimately integrated into the existing Northeast Corridor operations. Furthermore, the plan identified how the equipment would be serviced, inspected and maintained by our contracted, third party maintenance services organization.

That composite system safety program plan is considered completed and is now closed. Amtrak has successfully fully integrated Tier II equipment into its Northeast Corridor railroad operation. An additional change occurred effective October 1, 2006, when Amtrak management assumed responsibility for the inspection, testing and maintenance of the equipment. This System Safety Program accounts for these changes. It also addresses the specific safety requirements needed for the safe operation of the Acela Tier II passenger equipment and identifies how major upgrades or the introduction of new technology will affect a single system or multiple safety systems on the equipment.

The majority of these safety related components are Mechanical department responsibilities or functions and the specific approaches that are used to address them are detailed in Amtrak's High Speed Rail Inspection, Testing and Maintenance (ITM) Plan which in turn, is referenced and described in Section 7-C of this Program. The ITM plan is identified by document title, Tier II HSR 238 Maintenance Plan (ITM), by document number, HSR-238-MP, by revision number, 2, and by release date, 02/28/07. The remaining operational safeguards (Maintenance of Way/Engineering, Transportation, On-Board Service (OBS, etc.) are discussed throughout the various sections of this system safety program plan. These collective elements are intended to ensure a seamless compliance with 49 CFR 238.603.

1-B. GOALS

The goal of Amtrak's System Safety Program is to seek to provide passengers and employees with the highest practical level of safety by formally integrating safety into all phases of the Amtrak system, including design, construction, modification and rehabilitation, operation, maintenance and procurement.

System Safety goals will be accomplished by establishing a coordinated safety and hazard management effort responsive to the needs of the entire Amtrak organization. This Program provides a framework for the common goal of preventing customer and employee accidents by providing:

- Safe revenue service to our customers;
- Safe work environment for our employees;
- An environmental friendly operation; and

- Commitment to, involvement in, and accountability for safety activities and performance by all employees and contractors.

1-C. OBJECTIVES

The goals identified above can be achieved through compliance with regulatory requirements, Amtrak's safety and operating rules, and the programs contained within the System Safety Program. Specific objectives for attaining SSP goals include:

- Review, publish and distribute Amtrak's SSP.
- Establish departmental and corporate injury reduction goals.
- Monitor employee, passenger and contractor injury data and trends, and accident/incident data relating to trespassers and grade crossings and modify or implement initiatives and programs to counter negative performance trends.
- Publish injury/accident data system-wide on a monthly basis.
- Utilize Amtrak's Intranet "Staying Safe" website to facilitate access to safety programs, policies and plans.
- Utilize a systematic program of drills and exercises to evaluate local emergency response plans.
- Document system-wide compliance with elements of the System Safety Program.
- Promote safety.

1-D. AUTHORITY

A structured and sequentially implemented process is needed to develop and nurture the system safety concept. Throughout this process, system safety concepts and practices will be integrated into daily activities. This integration will produce improvements, leading to a continuous process of SSP evolution.

The Environmental, Health and Safety Department (EHS) will lead and coordinate with operating departments and service center personnel to stimulate, implement, monitor, and continually refine the SSPP.

The EHS Department is authorized and directed to:

- Develop, implement, and administer a comprehensive SSP and the associated safety policies, procedures and practices.
- Work closely with all line and staff functions in Amtrak to assist them in defining and fulfilling their responsibilities under the plan.
- Design and conduct audits of the SSP and the associated implementation process.
- Monitor and report on SSP effectiveness.
- Promote Safety

Line Management and Supervision is authorized and directed to:

- Participate in SSP development activities established as part of this plan.
- Implement the SSP and the associated policies, procedures and practices.
- Design and promote Labor/Management cooperative efforts in implementing the SSP.
- Pursue SSP goals and objectives.
- Monitor SSP effectiveness.
- Promote safety.

Each Amtrak employee is authorized and directed to:

- Pursue SSP goals and objectives.
- Take all safety-related actions appropriate to positions, functions, locations, and circumstances.
- Adhere to Amtrak's safety policies, procedures and practices.
- Promote safety.

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SECTION 2. SYSTEM OVERVIEW

2-A. HISTORY

Congress passed the Rail Passenger Service Act on October 30, 1970, which created the National Railroad Passenger Corporation, or Amtrak. The Act directed that Amtrak strive for operation on a “for profit” basis, develop the potential of modern rail service in meeting intercity transportation needs, and provide a modern, efficient intercity rail passenger service.

Amtrak began operations on May 1, 1971, using an assortment of passenger cars acquired from other railroads, and crews of Amtrak employees, as well as employees of the contract railroads that owned the tracks on which Amtrak operated.

As old equipment was retired, Amtrak attempted to upgrade and standardize its passenger car and locomotive fleet, obtaining approximately 420 bi-level Superliner cars for long-distance trains, over 540 Amfleet cars for mid-range and long-distance trains, and 13 turboliner train sets. Additionally, F40PH diesel electric and AEM7 all-electric locomotives were purchased. Subsequent to the initial equipment replacement, Amtrak invested in additional locomotives and Superliners and designed and built new single-level Viewliner and Horizon cars. In December of 2000, Amtrak also introduced its high-speed Acela train service between Washington, DC and Boston, MA. The new high-speed trainsets - a fixed consists of five passenger cars, a café car and a power car at each end - are capable of traveling up to 150 miles per hour. The new high-speed service required erection of an electrified catenary system from New Haven, CT, to Boston, MA, and re-engineering of right-of-way and bridge structures at many locations.

In expanding during the 1970’s, Amtrak absorbed personnel from the contract railroads over which it traveled, bringing in a mixture of personnel with varied transportation backgrounds, and broadening its base of experience. Amtrak employs approximately 18,500 people, including onboard, station, and commissary services; mechanical and engineering services; train and engine crews and dispatch services; and a variety of management and staff support functions. Amtrak has been through several management reorganizations culminating in the current structure of Operating Divisions: New England, New York, Mid-Atlantic, Southern, Central, Southwest and Pacific, with its corporate headquarters located in Washington, DC.

2-B. SCOPE OF SERVICES (Service types and levels are subject to business plan changes.)

Short Distance Train Services (500 miles or less)

- Frequent Acela Express and Regional train service between Boston, MA, and Washington, DC,
- Corridors of daily train service from the Northeast Corridor to points in New York, North Carolina, Virginia, Pennsylvania, Maine, New Hampshire and Vermont.

Transportation hubs with multiple daily trains from:

- Chicago, IL into Illinois, Wisconsin, Iowa, Indiana, Michigan, Minnesota, and Ohio.
- Los Angeles, CA to (1) Santa Barbara/San Luis Obispo, CA; (2) San Diego, CA; and (3) Oakland/San Francisco, CA.
- Oakland/San Francisco, CA to Bakersfield, CA; San Jose, CA to Sacramento, CA.
- Seattle, WA to Portland/Eugene, OR.

Long Distance Train Services (greater than 500 miles)

- New York, NY to Florida (Miami and Tampa).
- New York, NY to Atlanta, GA and New Orleans, LA.
- New York, NY to Chicago, IL via Washington, D.C. and Charleston, WV.
- New York, NY to Chicago, IL via Buffalo, NY and Cleveland, OH.
- Washington, D.C. to Chicago, IL and Montreal, Canada.
- Chicago, IL to New Orleans, LA.
- Chicago, IL to Los Angeles, CA via Albuquerque, NM.
- Chicago, IL to Los Angeles, CA via St. Louis, MO and San Antonio, TX.
- Chicago, IL to Los Angeles, CA via Denver, CO and Salt Lake City, UT.
- Chicago, IL to Oakland/San Francisco, CA via Denver, CO and Las Vegas, NM.
- Chicago, IL to Seattle, WA via Denver, CO and Portland, OR.
- Chicago, IL to Seattle, WA via Minneapolis, MN.
- Miami, FL to Los Angeles, CA via New Orleans, LA and San Antonio, TX.
- Los Angeles, CA to Seattle, WA via Oakland, CA.

Auto Train Service

Unique, daily train service between Lorton, VA and Sanford, FL transports customers' private automobiles in specially designed auto carriers while the passengers travel in Superliner equipment on the same train.

Commuter Rail Service

Amtrak is the operating agent and equipment maintenance provider for several commuter rail services on both the East and West Coasts of the United States as identified in Section C, page 2-3.

Special Rail Movements

Amtrak frequently operates special trains, contracted by outside parties, such as: Congressional and corporate groups, winter ski trains, weekend excursions and trains for large school groups and professional sports teams.

Amtrak also contracts with outside parties to transport (on its regularly scheduled train service) private rail cars that meet Amtrak mechanical and electrical specifications.

Dedicated Bus Service

Several states support bus connections providing “feeder” service to designated Amtrak rail terminals on various routes in the states of Arizona, California, Florida, Illinois, Louisiana, Michigan, Mississippi, Missouri, Nebraska, New York, North Carolina, Ohio, Oregon, Texas, Utah, Vermont, Virginia, Washington, Wisconsin, Wyoming, and in Canada (British Columbia).

2-C. OPERATIONS (including Environment, Routes, and Maintenance)

Amtrak routes are coast-to-coast and border-to-border, and it provides service in 46 of the contiguous 48 states. Amtrak dispatches and maintains track in the Northeast Corridor (Boston, MA to Washington, D.C. and Philadelphia to Harrisburg, PA) and operates over several Class I contract railroads and small terminal railroads outside the Northeast Corridor. The Class I contract railroads are:

Burlington Northern/Santa Fe	Canadian National (CN)	Union Pacific
CSX	Canadian Pacific (CP)	Norfolk Southern

Amtrak operates, dispatches, and maintains the following state-sponsored commuter operations:

- Connecticut Department of Transportation (ConnDOT) in Connecticut.
- MARC Commuter Service in the Washington D.C./Baltimore, MD area.
- Virginia Railway Express (VRE) in the Washington, D.C. area and parts of Virginia.
- Caltrain service between San Francisco and Amtrak’s San Jose station.
- “Sounder” service between Tacoma and Seattle (maintenance only.)
- METRA in Chicago (dispatch only.)

The following freight and commuter railroads, not operated by Amtrak, also run on Amtrak property.

- CSX, NS, Shared Assets, Providence & Worcester and occasional short-lines.
- Southeast Pennsylvania Transportation Authority (SEPTA) in the greater Philadelphia area.
- Long Island Rail Road (LIRR) and New Jersey Transit (NJT) in the New York and Philadelphia areas.
- MBTA in the Boston/Providence area.

Annually, Amtrak carries over 24 million passengers and moves 220 million commuters, either on trains it operates or on trains running on Amtrak property. Amtrak operates primarily electric locomotives on its Northeast Corridor. It owns and operates an electric transmission system and an overhead catenary system to power these trains at speeds up to 150 miles per hour on high-speed track with reverse signaling, both with and without highway-rail grade crossings. Diesel-electric locomotives, used throughout the rest of the Amtrak system, operate at speeds of up to 90 miles per hour.

2-D. PLANT, EQUIPMENT AND FACILITIES

Amtrak has three Back Shops, heavy-maintenance facilities, located in Wilmington, DE; Bear, DE; and Beech Grove, IN. Employees at these facilities carry out component reassembly, modification, repair, and/or total rebuilding of Amtrak rolling stock. Diesel and electric locomotives are maintained at the Wilmington plant. Amfleet I and II, Horizon, Viewliner and Cab Cars are maintained at the Bear facility. Beech Grove maintains Superliner, Horizon, Viewliner and Heritage equipment and performs heavy overhauls on diesel locomotives.

Running and periodic maintenance is carried out on passenger cars and locomotives at the following major terminal points: Albany-Rensselaer, NY; Boston, MA (Southampton); New York, NY (Sunnyside); Philadelphia, PA (Penn Coach Yard); Washington, DC (Ivy City); Sanford, FL; Hialeah, FL; Chicago, IL; Brighton Park, IL; New Orleans, LA; Los Angeles, CA (Redondo Junction); Oakland, CA; and Seattle, WA. Employees at these facilities carry out inspections mandated by federal law, as well as periodic cleaning and minor repairs.

Amtrak's locomotive and car inventory fluctuates as new equipment arrives and old is retired. Amtrak uses approximately 350 locomotives and 1,340 cars for passenger service. Passenger cars include coaches, sleepers, diners, lounges, and cafe cars. An additional 63 baggage cars are also in use. Locomotives are either all electric or diesel-electric. Some diesel-electric locomotives are also capable of drawing electric power from third rails. In addition to this equipment, Amtrak rolling stock includes yard and switcher locomotives, work cars and miscellaneous equipment (e.g., ballast hoppers, tampers, undercutters and regulators).

Amtrak owns rights-of-way comprising approximately 1,400 track miles and 690 route miles, located primarily within the Northeast Corridor (between Washington, D.C., and Boston, MA, and Philadelphia and Harrisburg PA) and also at Niles, MI, and in New Orleans. Amtrak operates Centralized Electrification and Traffic Control (CETC) facilities (in Philadelphia, PA; New York, NY; and Boston, MA) and various other train dispatching facilities.

A Consolidated National Operations Center (CNOC) is located in Wilmington, DE, and it monitors daily train operations, makes train equipment allocations and decisions, and responds to, and documents, unusual occurrences and emergencies.

Amtrak serves and/or operates approximately 691 railroad stations, travel centers, and bus stops.

2-E. ORGANIZATIONAL STRUCTURE AND MANAGEMENT

The Amtrak organization consists of an Executive function and with major operating departments including: Transportation, Mechanical and Engineering.

The Corporate function, based in Washington, D.C., provides long-range, strategic direction and guidance and monitors overall business and operational performance.

Headquarters' functions are those performed by departments responsible for developing and executing the various practices, programs and policies needed to support Amtrak's employees and the overall operation.

The Transportation department directs overall control and coordination of train and passenger movement throughout the system and includes the seven operating divisions responsible for day-to-day train operations.

Mechanical department functions include the design, testing, maintenance, modification, repair and overhaul of locomotives and passenger cars. Included are Amtrak's three Back Shops and the numerous Mechanical terminal services facilities located throughout the system.

Engineering department functions include the inspection, maintenance, construction and repair of railroad track, bridges, tunnels, roadway, signal and communications systems, electric traction systems, roadway facilities, roadway maintenance machinery and Amtrak owned stations, facilities and buildings.

The Operations group includes Environmental Health and Safety, Police and Security and Operations Planning as well as Transportation, Mechanical and Engineering.

The following lists identify the functional components of Amtrak's major operational groups. Specific organization charts can be consulted on Amtrak's Intranet for greater detail.

Executive

- Chairman, Chief Executive Officer and President
- Board of Directors
- Management Committee

Operations

- Environmental, Health and Safety
- Police and Security
- Reliability Centered Maintenance
- Transportation
- Engineering
- Mechanical

Corporate

- Business Diversity & Strategic Initiatives
- Executive
- Finance
- General Counsel
- Government Affairs
- Human Resources
- Inspector General
- Labor Relations
- Marketing
- Planning
- Procurement & Material Control
- Strategic Planning

Transportation

- Northeast Division
- Mid-Atlantic Division
- Southern Division
- Central Division
- Southwest Division
- Pacific Division
- NEC Service Operations
- System Operations
- Service Delivery
- Rules and Standards
- Emergency Response

Mechanical

- New York / New England Divisions
- Mid-Atlantic Division
- Southern Division
- Central Division
- Southwest/Pacific Divisions
- Wilmington Shops
- Bear Mechanical Facility
- Beech Grove Shop
- High Speed Rail Mechanical (NY/Boston/Washington)
- Rolling Stock and Engineering

Engineering

- New England Division
- New York Division
- Mid-Atlantic Division
- Central/Southern Divisions
- Southwest/Pacific Divisions
- System Track
- System B&B
- System C&S
- System ET
- Work Equipment

2-F. ENVIRONMENTAL HEALTH AND SAFETY ORGANIZATION

Amtrak's Environmental Health and Safety Department (EHS) is responsible for developing, monitoring and/or implementing programs, policies and procedures that support the safety of employees, customers, neighbors and contractors to achieve/maintain environmental compliance and public health compliance (food, water, and sanitation aspects of train operations). The EHS Department consists of three functional working groups that report directly to the Vice President EHS:

- (1) Environmental
- (2) Public Health
- (3) Safety

Environmental

The Environmental group is responsible for developing and guiding implementation of the Environmental Management System (EMS) to assist Amtrak personnel operating in compliance with applicable Federal, state and local environmental laws and regulations. Environmental staff serves as liaisons with Division and facility supervisors and field personnel to both communicate

and foster environmental program, policy and procedure implementation and compliance. Areas of focus also include: a central Environmental Information System (EIS) database, development of training requirements and courses; the Environmental Audits and Corrective Action Program; the Facility Assessment Compliance (FACE) Program; technical support, regulatory interpretation and tracking; pollution control system design, and oversight of pollution prevention and environmental remediation capital projects.

The Environmental staff works in conjunction with the Environmental Executive Oversight Committee, EMS Steering Committee, local EMS Implementation committees, and the Amtrak Law Department. These groups are key elements to providing leadership, accountability, management support, and the resources necessary to achieve environmental compliance and effective implementation of the Amtrak EMS Program.

Public Health – The Public Health group is responsible for developing and implementing Amtrak’s Public Health and Sanitation Standards to achieve compliance with applicable Federal (FDA and EPA), state, and local laws and regulations. The group develops and implements policies and procedures in food safety, sanitary compliance, food, and water-borne illness investigations, and communicable disease investigations associated with train travel.

The Public Health staff works in conjunction with the Corporate Sanitation Task Force (STF), the FDA Executive Oversight Committee (EOC), each Division's STF, and Amtrak's Pest Control Service Oversight Team. The Public Health staff is a key component in the approval process to assure compliance with public health codes and internal standards for Amtrak's food and beverages, food equipment, railcar design, watering and sewage service construction, and food warehouse facilities.

Safety

The Safety group develops/issues, and monitors programs, policies, and procedures to promote worker safety/well being, and to help provide guidance to meet applicable OSHA and FRA regulatory safety requirements. Basic functions of the safety group include: development and maintenance of Amtrak’s System Safety Program participating in the investigation of major accidents/incidents; developing and maintaining a centralized Amtrak Safety Information System (ASIS) database; providing injury and rail incident data to the FRA; development of training requirements and courses; participating in Operation Life Saver activities including public outreach efforts; job safety analysis evaluations, conducting or arranging worksite sampling and testing for hazardous substances; technical support, testing and approving safety-related products and personal protective equipment; and conducting systematic system-wide field assessments or audits to monitor compliance with regulatory requirements.

Additionally, staff members directly support field safety officers from the Engineering, Mechanical and Transportation departments, participate in local employee safety committee functions and work in conjunction with Amtrak’s Chemical Task Force, and the various EMS committees and groups.

Safety is a line management responsibility

Amtrak's President, Chief Executive Officer, department heads, senior division/shop management and heads of the service centers lead their respective organizations in proactive safety and environmental initiatives to help reduce employee and customer injuries and promote safe, environmentally-sound business practices.

Local management and supervision implement and are held accountable for all phases of the safety program, including but not limited to the following: implementing corporate safety policies, programs and procedures; developing and executing safety training programs within their job responsibilities; establishing and enforcing safety rules and procedures within their work units; establishing effective employee safety committees; investigating accidents; preventing/minimizing hazards; reporting accidents and deficiencies; and ensuring compliance with safety and operating regulations and practices. Employees are expected to comply with relevant safety/operating rules, work in the safest possible manner and to report potential safety hazards and personal injuries.

Field Safety Officers

Direct field-level safety support is currently provided by Safety Officers assigned at a departmental level.

Transportation - Two individuals report to the Chief Transportation Officer: One for the East (Northeast, Mid-Atlantic and Southern Divisions; NEC Service Operations) and one for the West (Central, Pacific and Southwest Divisions). A Safety & Training Officer is also assigned to Caltrain.

Engineering - Four individuals report at the Division Engineer level: One each to the New England, New York, and Mid-Atlantic Divisions and one to support engineering production units.

Mechanical - Three Safety Officers report at the Shop Superintendent level (Wilmington, Bear and Beech Grove Shops) and two at the Master Mechanic level (Central Division and High Speed Rail).

The Safety Officers' primary function is to oversee and enforce existing safety programs, lead development and implementation of division/shop safety initiatives to help identify and reduce workplace hazards, conduct job safety analyses, develop and deliver/oversee local safety training initiatives and develop/monitor local safety policies and procedures. While general duties of the current Safety Officers may vary based on department or location, the following would be included:

- Develop and implement division/shop safety programs, policies, procedures and initiatives
- Audit employee work behaviors for safety compliance
- Assist in accident investigations
- Develop and distribute safety performance data
- Respond to employee issues and concerns
- Serve as an interface between management and labor, and a liaison with regulatory agencies

SECTION 3. SYSTEM SAFETY PROGRAM CONTROL AND UPDATE PROCEDURES

3-A. RESPONSIBILITIES

Systematic review of the System Safety Program is required to ensure the Program correctly reflects current practices and policies and that it accurately conveys Amtrak's goals, objectives and safety philosophy. Responsibility for review and update belongs to the Environmental, Health and Safety Department (EHS) and will be accomplished in concert with the major operating departments - Transportation, Mechanical and Engineering – and the corporate support groups. Contents of the Program can also be influenced by input from employees, passengers, emergency response agencies, regulatory agencies and other sources. Recommended changes will be formulated and reviewed for final acceptance by the Safety Superintendent and the Chief Operating Officer.

The current version of the System Safety Program will be accessible on Amtrak's Intranet to facilitate reference and use by all employees. It can be found in the Safety Resource Library, along with other safety-related programs and policies. The revision number and date of the last update will be clearly identified.

3-B. METHODOLOGY

Although changes may be made at any time, all sections of the Program will be reviewed no less than every three years. The annual timetable for review of the Program's individual Sections shall be accomplished as described below. The review cycle will be repeated every three years.

Within 12 months of Program implementation - Sections 1, 2, 3, 4, 5, 6, 7 and 8

Within 24 months of Program implementation - Sections 9, 10, 11, 12, 13, 14, 15 and 16

Within 36 months of Program implementation - Sections 17, 18, 19, 20, 21, 22, 23, and 24

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SECTION 4. HAZARD MANAGEMENT

4-A. INTRODUCTION

Hazard management is key to system safety. The broad term “hazard management” refers to a process by which potentially significant foreseeable hazards are identified and addressed, and when appropriate, reasonable remedial action, appropriate to the potential hazard is taken. This section covers methods of hazard identification and techniques for hazard prioritization and control.

4-B. HAZARD IDENTIFICATION & RESOLUTION

Potential hazards and unsafe conditions are often identified by employees and brought to the attention of fellow workers, supervision and/or management during routine contact, job briefings or safety meetings. Many foreseeable hazards can be resolved through the routine efforts of the employees involved in the work activities or work environment.

A supervisor or manager should promptly address an identified hazard upon notification. If a hazard(s) cannot be addressed at this level, it should be forwarded to senior management and then to the Department Head, if necessary. Whenever an identified hazard or unsafe condition presents an imminent threat to the safety or security of employees or passengers, it is necessary to provide an immediate response, such as protection against, or if reasonable, elimination of the hazard(s).

Potential hazards can be identified in a number of other ways:

- Proper design and engineering by trained personnel can identify potential problem areas prior to implementation or service.
- For existing or routine work processes, employees can identify potential hazards and unsafe safe work practices by conducting work site observations, inspections, and audits; performing job safety analyses (JSA); developing site-specific safety work plans (SSSWP); and by reviewing regulatory agency inspection reports and customer and employee complaints.
- Accidents/incidents may reveal the existence of underlying hazards, which may be identified through accident investigations and utilization of root-cause-analysis principles.
- When appropriate, risk assessments to evaluate potential hazards should be conducted. Consideration should be given to the nature of the work and potential consequences.

4-C. TOOLS TO HELP IDENTIFY AND REDUCE/ELIMINATE HAZARDS

Job Safety Analysis

A Job Safety Analysis (JSA) is a process that can enhance a job's safety by breaking the job into separate steps, identifying the potential foreseeable hazards associated with each step, and deciding on reasonable actions or procedures to minimize those hazards before work is performed.

Workers and supervisors actually performing the work are the best qualified to do JSAs. They know the job steps and potential hazards. JSAs have the greatest value when qualified workers describe what the process should be and when they recommend changes. The JSA process is not designed solely to generate a written product; the whole purpose is to have supervisors and employees cooperate in the JSA experience.

The process of performing a JSA involves three basic tasks:

1. Break the job down to identify the basic steps required to complete it. Each step in a job is usually associated with a new action or change of position. These steps are listed in the same sequence as they occur when doing the job.
2. Analyze each step of the job to identify potential foreseeable hazards that may be associated with the step. Potential hazards may involve:
 - The environment (i.e.; the condition of the floors, or the heat of a furnace, etc.)
 - The actions required (i.e.; lifting, twisting, etc.)
 - The process itself (wheel truing) or the conditions that result from the process (metal shavings), or the tools or chemicals used. It is not necessary to identify a hazard for every step. In fact, many times a JSA will determine that there are some steps with few or no hazards.
3. Identify some means of reasonably addressing each hazard. These can include identifying the correct tools, establishing a special procedure or technique, or using personal protective equipment.

Identifying jobs for a JSA

Considerations include the nature of the tasks and the realistic potential of harm. New jobs or jobs that are performed infrequently are also candidates for a JSA. The following considerations should prove valuable in identifying priorities for developing JSAs.

1. Accident/Incident frequency: What is the nature of the job? Jobs displaying a demonstrated association with multiple accidents/injuries/illnesses should be given priority for consideration.
2. Accident/Incident severity: Jobs that are discovered to have a demonstrated association with serious injuries or illnesses should share a high priority.

3. New jobs or jobs that are done very infrequently: JSAs may identify potential hazards associated with new tasks, or remind employees and supervisors of the potential hazards of jobs that are done only once in a while. They help to establish, or re-establish, the safe way of doing a job.

How to use JSAs

JSAs can have a variety of uses beyond enhancing job safety. They include:

- Standardization and Efficiency - The JSA is fundamentally a work procedure. It provides a standardized method of performing tasks so the outcomes should be the same each time. It helps to identify the appropriate tools and techniques to get specific tasks done. It also helps to ensure both safety and quality on the job.
- Training of Supervisors - JSAs can help supervisors evaluate specific work tasks through step-by-step review of the job's components as identified by the involved employees. Moreover, such training is especially helpful for supervisors that may not have done all the specific jobs in their area of responsibility or, who are taking over a new area of responsibility.
- Documentation of Training - The JSA provides a basis for documenting employee training. Periodic safety contacts can be made by observing employees and using the JSA to show them how to do the job correctly and safely. If a part of the job is being improperly done, the JSA can show the employee how he or she is deviating from the original training, and, offer corrective guidance.
- Inspection Tool - The JSA provides the inspector, whether he or she is inspecting the operation of a machine or the safety of an operation, with the information necessary to understand what the appropriate way of doing things is and to properly evaluate what he/she sees.
- Awareness and Refresher Tool - JSAs can be used in beginning of shift safety briefings to point out specific things to be aware of during the workday. JSAs can be used along with MSDS sheets as a means of Hazard Communication refresher training.

Performing successful JSAs

Compliance with the following guidelines will lead to realistic and practical JSAs:

- Involve those with knowledge of the job in the process
Employees who perform the work have the most knowledge and insight into the details of the job. Their knowledge is critical to ensure that the JSA truly reflects "reality" and is a quality product. In addition, participation in the process encourages the ownership necessary for support and compliance.
- Require review and approval of the JSAs by appropriate supervision
Approval of the product by the incumbent foreman or supervisor fosters a cooperative effort between craft and management employees. It clearly demonstrates the management commitment to employee empowerment and safety.

- Reinforce by presence and use
Keep copies of the JSAs in the work areas to provide a ready reference to all employees and supervisors. In addition, each supervisor should have a copy of all the JSAs for his area of responsibility. JSAs are dynamic documents that should be revised when the job changes due to new information, tools or techniques or any other conditions that impact the job. A sample JSA form is provided in **Appendix 4A**.

Work Plans

Site Specific Safety Work Plans are completed for major projects/processes, not for individual tasks or routine activities that are best addressed by conducting Job Safety Analyses or conducting thorough job briefings.

Site / Job Specific Safety Work Plans help guide employees and supervisors working on a particular job or project to plan, review, and set requirements for all associated safety, industrial hygiene, and environmental concerns. Management, supervision, and craft employees will work together to establish Site and Job Specific Safety Work Plans. All aspects of the work must be evaluated to effectively answer the following questions:

- What do we want to do?
- How will we do it?
- What are the realistically foreseeable negative outcomes?
- How can we reasonably address them?

The ultimate objective of Safety Work Plans is to identify existing or foreseeable potential hazards and determine the steps and responsibilities necessary to address them. Work plans should be completed by management, supervision, and craft employees working together.

Work plans should cover, but are not limited to the following:

- Job description (what is being done)
- Job scope of work (how is it being done)
- Time frame (both overall and daily - i.e.; time of day, number of shifts, etc.)
- Work force requirements (crafts, numbers, etc.)
- A hazard assessment for identified hazard
- Ways to reasonably address hazards
 - ◊ Administrative-job briefings
 - ◊ Job Safety Analysis
 - ◊ Job procedures
 - ◊ Engineering controls available/required
 - ◊ Tool and equipment requirements and operating procedures
 - ◊ PPE requirements
 - ◊ Training requirements
- Passenger, community and public impacts.
- Clean up, disposal and other environmental considerations.
- Emergency response issues.

A Site Specific Safety Work Plan worksheet is provided in **Attachment 4B**.

Hazard Assessment Worksheet

An important step in developing work plans is the identification of potential hazards. A cross-functional labor-management team should assess the various activities associated with the project/job to define conditions and behaviors that present realistic potential for accident/incident. Once specific hazards have been identified, reasonable procedures must be established to enhance protection for workers, passengers and the community. A Hazard Assessment Worksheet is provided in **Attachment 4C**.

Developing Successful Work Plans

Compliance with the following guidelines will lead to practical and effective SSSWPs:

- Decide what work needs pre-planning of this nature and communicate that requirement to all concerned.
- Encourage craft and supervisory employees to work together in producing work plans.
- Involve safety staff, safety committee members, and safety coordinators in developing and monitoring execution of work plans.
- Publish the plan.
- Review the plan with the affected employees and supervision.
- Train affected employees and supervision.
- Monitor to ensure execution of the work plans.
- Review the results of the plan upon completion of the job.
- Incorporate lessons learned in subsequent plans.

Baseline Risk Assessments

This technique is usually performed by employee teams, including groups of a cross-functional makeup, to analyze foreseeable hazards and realistically evaluate the benefits from reasonable intervention strategies. These analyses are undertaken to strengthen Amtrak's commitment to the safety of its employees, passengers, and the public. The process begins by identifying realistic concerns associated with specific jobs or tasks, and assigning potential risk values based upon a pragmatic analysis that contemplates various factors, including the frequency that a task is performed, the likelihood that an undesired event will occur, and the severity of related consequences. The applicable factors are addressed, and when appropriate, the team is tasked to identify suitable remedial measures. Systems to be addressed include engineering/design, environment, and performance. Working with management and supervision, teams can share in the process of working to enhance safety in the workplace.

4-D. SYSTEM SAFETY PROCESS

The scope of this System Safety Process includes the safety, fire/life safety and security related activities throughout the life of the Amtrak system. Based on past system experience, Federal regulations and known and mitigated risks, system safety analysis need not be automatically undertaken in certain systems. This process lends itself most productively to initial development of new systems. These new systems would include installation of new track, signal systems, infrastructure or changes to equipment or methods of Operation that may affect the safety of the Amtrak System or portions of the system.

Safety Review Task Group (SRTG)

A Safety Review Task Group (SRTG) consisting of senior department personnel in the Operations Branch, will be convened, at the direction of the Safety Superintendent, to oversee implementation and require input of operational safety and security considerations in the design, construction, commissioning and operations prior to the start of new or significantly modified service/systems. The Safety Superintendent will oversee preparation of SRTG materials, documents and agendas.

The Group is responsible for:

- Conducting Preliminary Hazard Assessments.
- Addressing identified hazards through reasonable means.
- Reviewing documentation (evidence of conformance to safety requirements), assigning responsibilities to open issues and approval of certification documentation, conducting site visits and defining safety related tests and analysis as required.
- Analyzing specific conditions and determining when appropriate, whether to implement reasonable corrective actions, including the specific method to reasonably address a foreseeable potential hazard.
- Provide realistic recommendations to the Amtrak project manager in charge regarding certification and noncompliance of system elements.

Participating members of the Group include senior management personnel or their designees, from the following areas, with additional departmental representatives as deemed necessary:

- Environmental Health and Safety
- Security
- Mechanical
- Engineering
- Transportation
- FRA (as required)

When new system elements are identified requiring Safety Review Committee oversight, the Group will be scheduled to meet monthly. Additional meetings are held at the request of a Group member or when the need arises.

HAZARD RESOLUTION – Order of Precedence

Hazard resolution is an ongoing process and a hierarchy of actions and decisions regarding hazard elimination, abatement, mitigation, or acceptance. The following order of precedence potential action steps include:

- **Design**
Design to address the hazard. If an identified hazard cannot be reasonably eliminated, reduce by reasonable efforts the foreseeable associated risk through design/engineering to a reasonable level.
- **Incorporate safety devices**
If an identified hazard cannot reasonably be eliminated through design selection, consider using fixed, automatic, or other protective safety devices or design features. Also, when applicable, provisions should be made for periodic functional checks and maintenance of any safety devices.
- **Provide warning devices**
When design or safety devices cannot effectively address identified hazards, consider using warning devices. Warning signals should be reasonably designed.
- **Procedures and training**
Where it is unreasonable to address hazards through design selection or with warning devices, administrative controls, such as written procedures and training, should be used to advise personnel how to safely perform the job. For example, procedures may include the use of personal protective equipment as a means of protection.

Appendix 4A

JSA FORM

Amtrak JSA **JOB SAFETY ANALYSIS**

JSA No.

DESCRIPTION OF JOB:	OPERATORS JOB CLASSIFICATION:	DATE PREPARED: DATE REVISED:
PREPARED BY:	REVIEWED BY:	DEPT. HEAD APPROVAL:
1 JOB STEPS	2 POTENTIAL HAZARDOUS CONDITIONS or UNSAFE PRACTICES	3 SAFE PROCEDURES and PREVENTIVE MEASURES
Page 1 of 2		

Appendix 4B

SITE SPECIFIC SAFETY WORK PLAN

Site/Job Specific Safety Work Plan (SSSWP)

Compliance with applicable Amtrak and regulatory (OSHA, EPA, FRA, DOT, etc.) safety rules, instructions and policies is critical to working safely and preventing occupational injuries and illnesses and is the responsibility of each and every employee. Site/Job Specific Work Plans help guide employees working on a specific job or project to plan, review, and set requirements for all associated safety, industrial hygiene, and environmental concerns. Management, supervision, and craft employees, as well as the Safety Department, will work together to establish Site and Job Specific Safety Work Plans (SSSWP). It is imperative that the **employees who will perform the work participate in this process**. Various aspects/elements of the work must be evaluated to effectively answer the following questions: What do we want to do? How will we do it? (What is the worst that can happen? How can we prevent it from happening?)

The ultimate objective of Safety Work Plans is to identify foreseeable hazards and determine the steps and responsibilities necessary to reasonably address those hazards. Compliance with all aspects of the SSSWP is critical for all those involved. Safety Work Plans must be completed for major projects/processes, not for individual tasks or routine maintenance jobs that are best addressed by conducting Job Safety Analyses or thorough job briefings.

Safety Work Plans must be **posted** and **distributed** to all supervisors/foremen working in the project area. They will brief affected employees on the contents and requirements of the plan, including changes/revisions.

For work already scheduled or currently underway, Site Specific Safety Work Plans will be completed as soon as possible following the guidelines described below. For new projects, SSSWPs should be completed and signed-off two weeks prior to the start of work or as early as is appropriate.

Job Summary: (What is to be done?)

Scope of Work: (How is it to be done? Consider production and material requirements as well as roles for individual departments, crafts, contractors, etc. Ensure compliance with applicable local, state and federal requirements including obtaining required permits and making proper notifications.)

Estimated Time Frame: (Overall length of job, time required for individual steps or stages, time of day, etc. Identify specific time constraints and deadlines.)

Workforce and Equipment Requirements: (Determine workforce and equipment requirements for each discipline involved.)

• Communications & Signals	• Station Services
• Electric Traction	• Mechanical
• Structures	• T & E Operations
• Track	• Other

Controls: (What measures will be used to reasonably address hazards. Identify required engineering and administrative requirements, applicable work rules, Protection and RWP issues, Job Safety Analysis (JSA), etc. JSAs must be led by qualified employees only.)

Hazard Assessment: (Start with the attached standard Hazard Assessment Form and add issues or concerns as identified.)

Personal Protective Equipment: (Identify products needed to address identified hazards.)

Training: (As needed, identify and conduct any OSHA, FRA, Amtrak, and state and/or local municipality training requirements.) Includes equipment/operator/vehicle certifications and qualifications.

Customer/Passenger Safety: (Identify potential impact on customers and/or passengers.)

Community/Public Impact: (Consider impact to neighborhoods/townships - noise, traffic disruptions, environmental concerns - resulting from work activities.)

Clean Up and Disposal: (Identify plan for clearing the work area of project debris during individual steps/processes as well as final clean-up upon project completion.)

Environmental Impact: (Consider chemical use, storage, and disposal. Determine if work site is free of contamination – PCBs, oil, lead, asbestos - prior to initiating work.)

Emergency Response: (Written procedures for responding to emergencies, i.e., availability of phones or radios, contact numbers, nearest hospital, local maps. Ensure availability of first aid kits, eyewash stations, etc.)

Safety Work Plan Prepared by: (Name)	Title	Date:
Date Plan is forwarded for review and sign off:		
Review and Sign-Off: (Name)	Title:	Date:
	Project or Area Manager	
	Supervisor In Charge	
	Supervisor In Charge	
	Safety Liaison	
	Safety Liaison	
	Other Participants	
	Other Participants	

Acknowledgments and Approvals

****Review and Sign-Off** (should occur within 7 working days from date plan is forwarded)

Appendix 4C

HAZARD ASSESSMENT WORKSHEET

HAZARD ASSESSMENT WORKSHEET

DATE: _____

JOB/WORKPLACE/LOCATION: _____

1.1 PERSON (S) PERFORMING ASSESSMENT

NAME	TITLE	DATE

Are any of the following potential hazards present at the job/workplace? Circle those present and write in any additional hazards.
Note*: If yes is circled, you must identify measures for mitigating, controlling, or eliminating the hazard(s).

1. **Eye and/or Face Hazards:** Flying particles, molten metal, liquid chemicals, acids or caustic liquids, chemical gases or vapors, potentially injurious light radiation, etc. **YES*** **NO**

2. **Potential Injury to the Head:** Falling objects, storage above head level, other overhead work. Cranes, hoists, booms, scaffolding, other lifting devices. **YES*** **NO**

3. **Foot injuries:** Caused by falling or rolling objects, objects that pierce the sole of a work boot, electrical hazards, etc. **YES*** **NO**

4. **Hand Injuries:** Hazards such as skin absorption of harmful substances; severe cuts, lacerations, abrasions, and punctures; chemical burns; thermal burns; and harmful temperature extremes. **YES*** **NO**

5. **Temperature Extremes:** Consider ambient air temperatures and potential impact; i.e., heat exhaustion/stroke and frost bite. **YES*** **NO**

6. Impact Sources: Falling or dropping objects; rolling or pinching objects that could crush various parts of the body (Blue Flag and Protection Against Trains requirements.)	YES*	NO
7. Penetration Sources: Sharp objects that could pierce, cut or impale parts of the body. A Bloodborne Pathogens evaluation will be necessary if this hazard is present. (For detailed evaluation, contact the nearest Safety Department office.)	YES*	NO
8. Compression Sources: Hazards involving the use of compactors, or rollers. Includes use of Lockout/Tagout procedures. Would include trenching and cave-ins.	YES*	NO
9. Confined Space: Permit or Non-permit. Each space should be evaluated to determine conditions.	YES*	NO
10. Fall Protection: Prevent falls from elevated work locations or into openings. Includes applicable FRA and OSHA Fall Protection requirements including retrieval plans when required.	YES*	NO
11. On-Track Protection: Provide sufficient watchman protection. Consider whistle distance, visibility, noise levels, and watchman relief practices.	YES*	NO
12. Electrical Sources: Buried cable, 3 rd rail, catenary, shock hazards from electrical tools, wiring.	YES*	NO
13. Utility Lines: Check for presence of electrical, gas, telephone lines above, below, or inside work area.	YES*	NO
14. Fire Sources: Protection and prevention. Identify potential fire hazards. Ensure work area is clean and remove combustibile material to approved receptacles. Provide sufficient number of fire extinguishers and train employees in fire extinguisher use.	YES*	NO

15. Chemical Sources: Inhalation, ingestion, absorption, reactive hazards, fire and explosive characteristics, etc. Are MSDS sheets readily available?	YES*	NO
16. Respiratory Hazards (Harmful Dusts, Mists, Vapors, and Fumes) Analyze/characterize through monitoring and testing. Introduce engineering controls or utilize proper PPE.	YES*	NO
17. Radiation Sources: Light or heat radiation such as welding and cutting. Including projects requiring “hot work” permits.	YES*	NO
18. Noise Sources: Ensure sound levels are within guidelines. Introduce engineering controls and/or utilize proper PPE.	YES*	NO
19. Overexertion: Processes or activities likely to lead to strains/sprains.	YES*	NO
20. Lighting: Ensure that work areas have adequate lighting (handheld, generator powered, fixed AC luminaries, etc. Reference applicable OSHA guidelines as needed.	YES*	NO

BASED UPON THE POTENTIAL HAZARDS IDENTIFIED ABOVE, THE FOLLOWING PPE IS REQUIRED:

- **PROTECTIVE HELMETS**
- **EYE/FACE** (goggles, face shields, etc.)
- **GLOVES** (specify type of protection required and glove)
- **FOOTWEAR** (specify type of protection necessary)
- **OTHER** (respirators, hearing protection, protective clothing, etc.)

SECTION 5. ACCIDENT/INCIDENT REPORTING & INVESTIGATION

5-A. INTERNAL REPORTING PROCEDURES

Incident Reporting

Amtrak's policy is to document all accidents and incidents. This is done to monitor safety performance and to identify trends; to prevent occurrence, if possible; and to identify those events that must be reported to the federal government.

In accordance with 49 CFR 225, Amtrak is required to maintain a log of reportable and non-reportable incidents and to properly report the following primary groups of accidents/incidents to the Federal Railroad Administration. The reporting procedures for meeting these requirements are defined in the Amtrak Internal Control Plan for Accident/Incident Reporting. The Amtrak Manager of Central Reporting is designated as the "Reporting Officer" and as such shall determine the reportability or non-reportability of all incidents.

Primary groups of Accidents/Incidents

Group I: Rail-Highway Grade Crossing

Group II: Rail Equipment

Group III: Death, Injury and Occupational Illness

Group I: Rail-Highway Grade Crossing Incidents

Each rail-highway grade crossing incident that involves rail equipment must be properly investigated and reported to the Manager of Central Reporting. Use NRPC 2673 and provide a complete narrative write-up of each incident to ensure proper reporting. The Central Reporting Office must receive the initial report and information no later than 72 hours following the incident. Follow-up information must be transmitted as it becomes available.

Group II: Rail Equipment Incidents

Each rail equipment incident must be properly investigated to determine the nature, cause and extent of damage. All rail equipment incidents that result in damage to the roadbed, track and/or equipment in excess of the current FRA Guidelines must be reported to the Central Reporting Office. The initial report and information must be received no later than 72 hours following the incident. Follow-up information must be transmitted as it becomes available.

Group III: Death, Injury and Occupational Illness Incidents

All incidents arising from the operation of railroad which result in:

- a. The death of one or more persons;
- b. The injury of one or more persons other than railroad employees, that requires medical treatment;
- c. The injury or death of one or more employees;
- d. Any occupational illness of an employee;

FORMS

The following internal forms are used for the collection and internal recording of accident/incident information. All forms are available in the “Library” on Amtrak’s Intranet

NRPC 260 - Injury/Illness Report (for employees) and NRPC 3116 (for non-employees)

This two-page form provides one page for the injured party to provide statements that include personal identifying information, a descriptive account of the accident/injury/illness, any treatment received and witnesses present. The second page is for use by supervisory personnel to record the same information as the previous page, but in greater detail. The reports must be completed in their entirety and submitted to Central Reporting within eight hours. Additionally, a call must be made to Continuum (1-800-505-5549) to report the incident and to receive information/direction regarding possible medical treatment. The form must contain the name of the medical facility where treatment is administered, and must bear the signature of the injured employee.

NRPC 488 - Medical Information and Consent

This one-page form is an injured/ill party’s authorization to release medical information, relevant to the accident/incident, to Amtrak and its authorized agents. It provides for the physician’s/medical personnel assessment of treatment, the injured/ill party’s condition, and ability to return to work. Reports must be signed by the employee and submitted to Central Reporting within eight hours.

NRPC 2673 Unusual Occurrence Report

A one-page report used to document incidents that result in damage or derailment to rail equipment, regardless of cost, including events that occur at grade crossings. Following such incidents, notification must immediately be made to Amtrak’s Operations Center. A form NRPC 2673 must be completed for each Amtrak consist involved in the incident and forwarded to Amtrak’s Central Reporting office within 72 hours.

NRPC 2860 Damage Estimate

This form must be completed following any “Qualifying Event”. The NRPC 2860 identifies costs associated with equipment and right-of-way and includes both material and labor. Examples of Qualifying Events include:

- Any grade crossing accident (public or private).
- Any derailment (yard, station, main line, etc., with one or more wheels on the ground).
- Any damage to on-track equipment (standing or moving) that cannot be repaired by a train crew en route but will be repaired before being dispatched again at the home terminal.
- Any car, locomotive, or other on-track equipment, incurring damage in a yard, terminal, and/or shop that requires repair.

-
- Any car, locomotive, or other on-track equipment that is removed from service as a result of any collision with damage.
 - Any physical damage to track, signals, catenary and/or structures incurred while operating on-track equipment on a main line, yard, terminal, etc.

Accident/Incident Training Course

The Accident/Incident training course, is available on the Intranet, and is mandatory for all personnel that directly or indirectly manage employees, contractors, or are responsible for passenger's on-board trains or in stations. This course provides guidance on how to handle an injury or illness, and explains the policy for accident and incident reporting, including Amtrak's anti-harassment or intimidation policy. This course is self-paced and can be viewed by individuals, or large groups using projection equipment.

Accident/Incident training must be completed upon assignment to a management position and again every three years, and the training must be documented in the SAP system. Completion and follow-up of this training is local management's responsibility.

5-B. ACCIDENT INVESTIGATION

The goal to prevent occupational injuries/illnesses requires swift and effective investigation into all accidents and injuries. A preliminary investigation should be initiated within 24 hours of the incident, or at the earliest opportunity. The scene should be protected and witnesses interviewed as quickly following the event as permissible.

The thorough investigation and candid self-evaluation contemplated in accidents are designed to strengthen Amtrak's commitments to the safety of its employees and to providing safe and efficient services to the traveling public. Accident/incident investigation is integral to identifying and reasonably addressing foreseeable potential safety hazards. This is done by attempting to determine how and why an event occurred, and recommending remedial solutions as appropriate.

First-line supervision and local management know the job, processes, and people involved in an accident. When possible, the accident investigation committee should be composed of the immediate supervisor and two other management employees. The additional management participation is intended to improve the quality of investigations. Participation by safety coordinators and/or committee members may also add quality to the investigation. Other craft employees may help investigate an accident but should not be signatories to the investigation report. The method for investigating all accidents/incidents is formalized through use of the **Amtrak Investigation Committee Report (NRPC 405)**.

Department heads review and approve accident investigations. This review constitutes acceptance of the sufficiency of the investigation and corrective recommendations unless exceptions are noted.

Department heads, or review committees, should provide feedback to investigation committees on the thoroughness, accuracy and quality of their investigations and the feasibility and relevancy of their recommendations. The Department Head or designee should also follow-up to see that all accepted investigations recommendations are completed or that appropriate action has been taken.

SECTION 6. FACILITY INSPECTIONS

6-A. GENERAL

Amtrak facilities include passenger stations, mechanical shops, crew bases, maintenance of way bases and employee office buildings. Management or supervisory personnel with oversight for individual facilities are responsible for conducting inspections to ensure that safety-related components of the facility are evaluated and operational (fire protection equipment, emergency communications equipment, employee safety devices). Ownership of these systems may belong to the building's owner, a building management company, or Amtrak's engineering department. As a result, system activation, certification, alteration or remediation may require a coordinated effort.

Depending on the location and facility's purpose, additional resources may be utilized to support inspections.

- Local employee safety committees often inspect passenger and/or employee facilities under their jurisdiction and make recommendations to local management.
- Amtrak's emergency preparedness group visits the system's twenty largest facilities annually and targets an additional 220 smaller locations for regular audits on a triennial (or other) basis. Attention is directed to fire equipment, presence of emergency evacuation plans, exit signage and staging off evacuation drills.
- Programmed audits conducted by the Environmental Health and Safety Department monitor compliance with OSHA, FRA and EPA requirements and may include facilities as well as equipment, right-of-way and yard sites. (See Section 16 – Environmental Management & Hazardous Materials Programs and Section 24 – Internal Safety Management Assessment.)

6-B. RESPONSE TO HAZARDOUS CONDITIONS

Unsafe conditions or operations discovered through the inspection or audit process are normally resolved through routine maintenance and/or with the assistance of local supervision/management. Items that are unable to be addressed at this level need to be elevated within the organization, as appropriate. Issues of a system-wide in nature would be directed to the Superintendent Safety to facilitate resolution.

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SECTION 7. MAINTENANCE, INSPECTION AND REPAIR

7-A. INTRODUCTION

This section addresses responsibilities and requirements of departments performing preventative maintenance, scheduled inspections and failure maintenance. Amtrak's engineering department is responsible for maintenance of track and signal systems on Amtrak owned right-of-way under direction of the Deputy Chief Engineer Track, and the Deputy Chief Engineer Communications and Signals, respectively. The mechanical department, under direction of the Assistant Chief Mechanical Officer, is responsible for inspection and maintenance activities associated with passenger equipment and locomotives.

7-B. ENGINEERING DEPARTMENT

Track Safety Standards

Amtrak's MW1000 - *Limits and Specifications for the Safety, Maintenance, and Construction of Track* identifies all internal policies and practices to meet or exceed regulatory requirements found in CFR 49 Part 213. The MW1000 is composed of three parts: (1) Track, (2) Turnouts and (3) Miter Rails/Expansion Joints. Each part contains a "Safety", "Maintenance" and "Construction" subpart. These subparts are further broken down into paragraphs that identify the corresponding CFR number to facilitate reference to the applicable regulation.

The MW1000 includes the following major Parts and appendices:

Part I – Limits and Specifications for Track Safety, Maintenance and Construction

Part II – Limits and Specifications for Turnout (and Other Trackwork) Safety, Maintenance and Construction

Part III – Limits and Specifications for Miter Rail and Expansion Joint Safety, Maintenance and Construction

Appendix A – Glossary of Railroad Terms

Appendix B – Underbalance Table...Maximum Allowable Operating Speed on Curves

Appendix C – Braking Distance Table

Appendix D – Track Buckling Countermeasures

Appendix E – Weights and Measures

The key concepts of limits, maintenance and construction, as identified in the MW1000, are described below:

- Safety Limits – limits that once passed, require the immediate repair of track, slow orders, or removal from service. It is Amtrak’s policy to have track that never reaches these limits.
- Maintenance – replacing a component of the track structure such as laying new or fit rail or installing ties. Maintenance limits are to be used as a triggering mechanism that prompts maintenance or reconstruction. It is Amtrak’s policy to have a track structure that stays between construction and maintenance limits. As the track breaks down, maintenance should be programmed before the track reaches the maintenance limits. Maintenance must be executed whenever the maintenance limits are exceeded and completed prior to reaching safety limits. Whenever possible, track should be repaired or reconstructed to construction limits.
- Construction – Complete replacement of track structure from sub grade to top of rail. It should always be the goal to complete construction projects to a zero tolerance from the plans and specifications. This is not always practical given such variables as rail rolling tolerances and manufacturing limitations. Therefore, construction tolerances have been developed.

The MW 1000, Part I, Track, includes a Subpart G for Track Classes 6-9 (speeds exceeding 110 miles per hour). This subpart has been added in response to recent revisions to CFR 49 Part 213.

Signal/Switch Standards

Amtrak’s Communication and Signals Department is governed by CFR 49 Parts 233, 234, 235 and 236. Employees are provided comprehensive regulatory instruction through the AMT 23 – *Special Instructions Governing Construction and Maintenance of Signals and Interlockings* and the AMT 27 – *Instructions for Testing Signal Apparatus and Signal Systems*.

AMT 23 - Special Instructions Governing Construction and Maintenance of Signals and Interlockings

The AMT 23 governs the construction, maintenance, operation and testing of all signal systems and apparatus including interlockings, on all lines maintained by Amtrak engineering forces.

These instructions are essentially related to and coordinated with the AMT 1 - Operating Rules, AMT 4 - Special Instructions Governing Operation of Signals and Interlockings, AMT 27 - Instructions for Testing Signal Apparatus and Signal Systems, and MW 1000 - Limits and Specifications for Construction and Maintenance of Track. Major subject areas addressed in the AMT 23 include:

1. General Instructions
2. General – All Systems
3. False Proceed Investigation

4. Signals
5. Track Circuits
6. Wires and Cables
7. Changes and Tests Incident Thereto
8. Relays, Circuits Controllers and Use of Jumpers
9. Moveable Bridges
10. Interlockings, Traffic Control Systems and Switches
11. Cab signal System
12. Highway Grade Crossing Warning Devices
13. Train Inspection Devices
14. TESTS
15. Battery Capacity for Signal Functions
16. Batteries in Floating or Trickle Charge Service

AMT 27 – Instructions for Testing Signal Apparatus and Signal Systems

The AMT-27 describes all federally mandated tests and inspections in accordance with 49 CFR.236 and 49 CFR.234 which are applicable to Amtrak, in addition to other tests required by Amtrak. Included are instructions for performing the following tests:

- TEST 1. Interlocking Machines (Part 236.376)
- TEST 2. Insulation Resistance (Parts 236.108, 234.267)
- TEST 3. Foreign Current – DC and 60 Hz. Non-coded Track Circuits
- TEST 4. Relays and Other Electro Magnetic Apparatus, & Vital Electronic Relay Devices (Parts 236.102a, 236.105, 236.106, 234.263)
- TEST 7. Signal Indication Locking (Part 236.380)
- TEST 8. Approach Locking (Part 236.377)
- TEST 9. Time Locking (Part 236.378)
- TEST 10. Time Releases, Timing Relays, and Timing Devices (Parts 236.109, 234.265)
- TEST 11. Switches (Parts 236.105, 236.380, 236.383, 236.386.236.314)
- TEST 13. Switch Obstruction (Parts 236.327, 236.382)
- TEST 14. Moveable Bridges (Parts 236.387, 236.312)
- TEST 15. Route Locking (Parts 236.379, 236.381)
Switch Detection Locking

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- TEST 16. Traffic Locking (Part 236.381)
- TEST 17. Signal Mechanisms (Part 236.102b)
- TEST 18. Ground Tests (Parts 236.107, 234.249)
- TEST 19. Fouling Circuits and Shunt Wires (Part 236.104)
- TEST 20. Switch Circuit Controllers and Point Detectors (Part 236.103)
- TEST 22. ITCS Data Radio Train Control Verification
- TEST 23. New Installations or Modifications to Interlocking, Automatic Signals and Highway Crossing Signals, or Reported or Suspected False Proceed Indication of any Vital Signal System (Parts 236.4, 234.209)
- TEST 24. Track Circuits (Parts 236.51, 236.56, 236.59)
- TEST 25. Protection of Tracks Used in Loading or Unloading Flammables
- TEST 26. Highway Grade Crossings (Parts 234.247-234.273)
- TEST 27. Insulating Rail Joints and Switch Insulation (Part 236.59)
- TEST 28. ACSES Transponder and Encoder Inspection and Verification
- TEST 29. “Restricting” code Change Points (Part 236.511)
- TEST 30. “Approach Medium” Code Change Points (Part 236.511)
- TEST 31. “Clear” Code Change Points
- TEST 32. Train Inspection Devices
- TEST 34. Slide Protection Fence Circuits (Part 236.601)
- TEST 36. Audio Frequency Overlay Devices Including Highway Crossing Predictors, Block Joint/Overrun Detectors and Presence Detectors
- TEST 39. Recording Devices
- APPENDIX Report Forms

NOTE: Test Numbers 5, 6, 12, 21, 22, 28, 33, 35, 37, 38, and 40 are intentionally omitted.

7-C. MECHANICAL DEPARTMENT

Tier 1 Operations Part 238 Maintenance Plan

In June of 1999 the Federal Railroad Administration issued its Final Rule regarding Passenger Equipment Safety Standards. CFR 49 Part 238.107 requires each railroad operating Tier 1 passenger equipment (train speeds up to 125 miles per hour) to prepare a detailed inspection, testing and maintenance plan consistent with the requirements of that part. Integral to this maintenance plan is the Training, Qualification and Designation covered under paragraph 238.109, which defines the requirements for personnel that have the designation of Qualified Maintenance Person (QMPs).

Amtrak's *Tier 1 Operations Part 238 Maintenance Plan* describes how Amtrak currently meets these regulatory requirements. Included in this plan are the policies, programs and practices that ensure that federally mandated equipment maintenance and inspections occur as identified below.

MAINTENANCE/INSPECTION REQUIREMENTS

Passenger Cars	Locomotives
Daily Inspections – Parts 238.303 and .305	Daily Inspections – Part 229.21
184-Day Preventive Maintenance – Part 238.307	92-Day Preventive Maintenance – Parts 229.23, .25
Four Year Brake Test – Part 238.309	360 Day Annual Inspection – Part 229.27
	736 Day Bi-Annual Inspection – Part 229.29

The Maintenance Plan is organized into the following subject areas:

Training Qualification and Designation Programs

- Description of each course
- Description of the process for keeping track of test results and records for employee qualifications
- Testing Policy

Work Management System (WMS)

- This section includes description of the WMS
- Description of the security passwords used by employees to document the completion of inspections and repairs

Defect Tracking System

- Description of system and how defects are identified, recorded and tracked

Equipment Maintenance Locations

- Inventories Amtrak's maintenance locations and the work accomplished for each location
- Describes the 1,500 mile inspection plan

Train Operation Inspection Program

- Includes and inventories all Amtrak's trains
- Identifies initial terminal, intermediate terminal and destination
- Identifies those trains that will be subjected to a Class 1 (24-hour) daily airbrake test or the 1,500 mile inspection interval

Preventive Maintenance and Inspection Program

- Inspection Schedule
 1. Schedule for each equipment type
 2. Handling overdue cars
 3. Responding to peak demand (e.g. holidays)
- Inspection Content
 1. MAP forms
 2. Describe Inspection Process

Material Review and Approval Process

- How maintenance material is approved
- Meeting fire safety standards

Fleet Performance Measurement

- Monthly reports to measure compliance and overall P.M. Plan

Part 238 Compliance Review

- Describes how Amtrak meets each section of CFR 238

Tier II – High Speed Trainset Maintenance Plan

Amtrak's High Speed Trainset Inspection, Maintenance and Testing (ITM) Plan describes in detail how the Mechanical department meets the requirements for the safe operation of Tier II equipment (operating speeds exceeding 125 miles per hour) defined in 49 CFR 238.503. As stated in the ITM Plan, the maintenance program is based upon a detailed understanding of the trainset equipment as both individual components and as an entirely integrated functioning unit. ("System")

The ITM Plan also describes Amtrak's Tier II Maintenance plan as required by 49 CFR 238.501. The plan maximizes trainset availability and reliability by adhering to Amtrak's corporate maintenance policy of Condition-Based Maintenance (CBM). CBM is maintenance that is performed only when there is objective evidence of need while ensuring safety, operational readiness and equipment reliability in a cost effective manner. Evidence of need is determined by using the principles of Reliability Centered Maintenance (RCM) as is outlined in 49 CFR 238 Appendix E, defined by the organization or identified by individuals exercising technical authority for each sub-system or component. Hazard management, identification and resolution are determined within this framework and are fully supported via the methods described in the defects tracking section of the ITM plan.

Amtrak presently owns, maintains and operates 20 high-speed trainsets. To accomplish Tier II maintenance, Amtrak operates three facilities on the Northeast Corridor, (Washington, New York and Boston) that are outfitted with state of the art equipment for diagnosis and repair. Appendix 1 of the ITM Plan presents a summary of Amtrak's Tier II equipment and Appendix II describes the maintenance locations and their associated inspection task assignment and wheel maintenance capabilities.

The Inspection, Testing and Maintenance program is broken down into 7 major sections. They are as follows:

Scope

Details information described above

Training

Describes how Amtrak complies with 49 CFR 238.109 (b) (11) for Tier II equipment and how individuals are trained to be a Qualified Maintenance Person (QMP). The plan details the training courses, the testing guidelines and qualification records maintenance.

Work Management System (WMS)

WMS is the information system being used and implemented for the inspection, maintenance and repair of the high speed trainsets. This section of the plan outlines the work manager, resource data, interface manager and system administration and security.

Defects Tracking

Defects reporting come from four different sources:

- Map 100
- MAP 21A
- Defects noted on the daily inspection and
- Defects reported to the 24 hour mechanical desk at the Centralized National Operations Center

A work order is opened in WMS for each defect reported and can be opened by any QMP, foremen, general foremen or manager. All repairs and defects found while the train is in revenue service are documented and prioritized for corrective action during the next layover. Defects are treated as soon as possible and always in accordance with the corresponding work order priority. 49 CFR 238 Appendix E standards for safety related function failure consequences are used to identify the priority assigned work order. Safety Critical items are specifically listed in Appendix 3 of the ITM Plan.

Inspection and Maintenance Program

The preventive maintenance plan defines the servicing and inspection tasks to be performed on the high speed trainsets. The plan fulfills the safety requirements of 49 CFR 229 Subpart B, 236 Subpart E and 238 Subpart F for tier II equipment. Modifications to preventive maintenance intervals prescribed in 49 CFR 238 are based upon a documented reliability assessment conducted in accordance with the provision of 49 CFR 238 Appendix E.

As stated in the ITM Plan, the objective of the Preventive Maintenance Plan is to minimize the probability and severity of lost or degraded functions. Preventive tasks may be On Condition, Age Limit, or Failure Finding. The maintenance plan was developed using the safety, reliability and availability criteria given by the applicable suppliers and using RCM methodology consistent with Amtrak's corporate CBM policy. The safety and health requirements of the Food and Drug Administration (FDA) were incorporated into the program.

This Inspection and Maintenance Program section of the ITM Plan details the following areas:

- Preventive Maintenance Program
- ITM Plan Documentation Structure
- Level I, Daily Inspection
- Level II, 92 Day Inspection
- Inspection MAP Forms
- Inspection records
- Level III, Overhaul
- Wheel Inspection
- Modifications
- Procedures, Work Instructions, and Maintenance Bulletins

Equipment Maintenance Locations

This section of the plan is intended to comply with CFR Section 238.19 and is provided for in Appendix 2.

Appendix

1. Tier II Equipment Summary
2. HSR Equipment Maintenance Locations
3. Safety Critical Item List

The current ITM Plan, Document Number HSR-238-MP, was approved and released on February 28, 2007, under Revision 2 and supersedes all Amtrak documentation for the Inspection, Testing and Maintenance performed on the high speed trainsets. The ITM Plan was accepted, without exception, by the FRA in a letter dated March 8, 2007. All other references regarding operation and dispatch follow the applicable Amtrak Standard Maintenance Procedures.

SECTION 8. RULES/PROCEDURES REVIEW

8-A. INTRODUCTION

Amtrak employees working in Amtrak's Northeast Corridor (Washington, DC to New Rochelle, NY, New Haven to Boston, MA, New Haven to Springfield, and Philadelphia to Harrisburg, PA) are governed by Operating Rules established by the Northeast Operating Rules Advisory Committee (NORAC). Elsewhere in the United States, where Amtrak operates on tracks owned by other carriers, operations are governed by the rules that are in effect on that carrier's territory (e.g., Metro-North, General Code, CSX, NS, and CNIC). Amtrak, as a Full Member of NORAC and a participant in General Code Committee, works actively with other carriers to establish, modify and/or eliminate rules to the mutual benefit of those affected.

Activities of employees in a variety of crafts are governed by Operating Rules. Employees in the following categories must be qualified on Operating Rules, and must be requalified annually:

- Train Dispatchers, Assistant Chief Dispatchers, and Block Operators
- Train and Engine Service employees and Yardmasters
- Employees who move or assist in the movement of trains or engines
- Employees who request foul time or take tracks out of service for maintenance
- Employees who operate track cars
- C&S Maintainers
- Supervisors and Managers who directly supervise any of the above employees

8-B. NORAC OPERATING RULES

The Northeast Operating Rules Advisory Committee first met in 1985 to establish a uniform set of rules that would apply to all train movements within the Northeast Corridor. Effective with the first edition of the NORAC Operating Rules in 1988, the same rules apply equally to all railroad employees when they are working on any NORAC member railroad's property. Full Members to NORAC include those listed below. An additional forty-four railroads participate as Associate Members.

- Amtrak
- Conrail Shared Assets (CR)
- CSX Transportation (CSXT)
- Genesee & Wyoming (G&W)
- Massachusetts Bay Commuter Railroad (MBCR)
- New Jersey Transit Rail Operations (NJT)
- New York, Susquehanna & Western Railway Corporation (NYS&W)
- Norfolk Southern Corporation (NS)
- Pan Am Railways
- Providence and Worcester Railroad Company (P&W)
- Reading Blue Mountain & Northern Railroad (RBN&M)
- Southeastern Pennsylvania Transportation Authority (SEPTA)

NORAC members meet bi-annually to review suggested rule changes or revisions. Members requesting changes must do so by a formal docket submission procedure. NORAC member railroads can issue “Special Instructions” to modify/enhance the Operating Rules in order to address unique needs of the carrier. Special Instructions are reviewed and approved by the NORAC committee to help ensure uniform rule application.

8-C. GENERAL CODE AND OTHER OPERATING RULES

When operating over tracks dispatched and maintained by another carrier, Amtrak train and engine crews must be qualified on and comply with the host railroad’s operating rules, instructions and procedures as required by 49 CFR Part 217.11. Much of the railroad outside Amtrak’s Northeast Corridor is governed by the General Code of Operating Rules. General Code Rules apply mainly to train movement and exclude specific rules for signal indications, movement of track cars and instructions for Dispatchers and Operators. Host railroads issue Special Instructions to govern these subject areas.

8-D. MONITORING RULE COMPLIANCE

T.E.S.T.S is an acronym for Total Efficiency and Safety Tests System, Amtrak's program for conducting and recording operational tests and inspections. An operational test or inspection is a supervisor's observation of an employee’s ability and willingness to correctly apply the rules pertaining to train operations. Supervisors may perform operational tests and inspections (TESTS) on any applicable Operating Rule, Special Instruction, Air Brake and Train Handling Instruction, or on one of the RWP or SOFA Safety Rules, Emergency Preparedness procedures, or Mechanical Department Procedures defined by the program.

Strict compliance with the rules is essential to the safe and efficient operation of the railroad. The purpose of TESTS is to achieve the highest level of rule compliance possible. Properly conducted tests will:

- Reduce the risk of accidents caused by human error.
- Improve and maintain employee alertness.
- Provide supervisors with an immediate evaluation of an employee’s application, understanding and compliance with the rules.
- Assist supervisors in educating employees on the correct way to apply the rules in actual operating situations.
- Enable the company to measure general and specific areas of rules compliance, so that overall rules compliance can be maintained or improved.

OVERVIEW OF AMTRAK’S TESTING PROGRAM

The Amtrak testing program has developed different standardized test categories for four distinct groups of employees: T&E, Train Dispatchers/Train Directors, Engineering (MW) and Mechanical. A three-digit number series has been assigned to each category (100 for T&E, 200 for Train Dispatchers, 300 for MW, 400 for Mechanical).

Each test category is fully explained in Amtrak's "Supervisor's Guide to T.E.S.T.S." A section on each test category gives detailed direction to a supervisor on how to conduct the test, what rules the test should cover, and what constitutes a failure of that test. This ensures system-wide consistency and provides newer supervisors with clear guidelines for conducting tests. This system allows testing on any rule or instruction. However, tests will be identified using numbering that will group rules into standardized categories. Individual rules can still be identified, but the primary sorting will be by the assigned category (TEST) number. For example, a test on a T&E employee, regardless of railroad or governing rule book, that involves switches or switching will be shown as TEST 117. The Supervisor's Guide for TEST 117 lists all of the applicable procedures that comprise this test. This reduces the number of entries required by a supervisor and ensures that a wide variety of rules are observed. However, if compliance with a specific rule is observed but it is not listed under this TEST, it may be noted in the comments field. A failure would always require a specific rule reference in the comments field.

Any rule or instruction that does not seem to fall into one of the standard test categories may be shown in the "all other tests or observations" category that is included in the test numbers of all four employee groups, noting the rule number in the comments field. This category should be used only for safety critical rules that cannot be located in any other TEST category.

Tests on T&E Employees / Other Employees as Indicated:

(TD – Train Dispatchers; MW – Engr. Dept.; ME – Mech. Dept.)

- 101 Barricade Test
- 102 Stop Signal
- 103 Dark Signal
- 104 Stop & Proceed Signal
- 105 Other Signal Indications
- 106 Main Track Authority
- 107 Delayed in Block
- 108 Speed (ME)
- 109 Blue Signal/Utility Employee
- 110 Air Brake Tests/Inspections (ME)
- 111 Highway Crossing Protection
- 112 Written Directives
- 113 Interlockings/Control Points
- 114 Cab Signal Rules (ME)
- 115 SOFA Rules
- 116 RWP Rules
- 117 Switches & Switching (MW, ME)
- 118 Shoving & Back-Up Moves (MW, ME)
- 119 Calling Signals/Restrictions
- 120 Radio Procedures (TD, MW, ME)
- 121 Required Documents
- 122 Whistle/Bell/Headlight/Markers
- 123 Engineer Recertification (ME)
- 125 Required Exams (TD, MW, ME)
- 126 Equipment Restrictions/Defect Detectors (TD)
- 127 Hazardous Materials Rules (TD)
- 128 Drug & Alcohol (TD, MW, ME)
- 129 Safety Rules (TD, MW, ME)
- 130 Job Briefings (TD, ME)
- 131 EOT Rules
- 132 Electrical Operating Instructions (AMT-2)
- 133 FRA 232 & 238 Hands-On Brake Test/Insp
- 134 Train Handling/Fuel & Energy Conservation
- 135 FRA Emergency Order No. 24
- 198 Employee Instruction
- 199 All Other Tests or Observations (TD, MW, ME)
- TDRS Test 699 – Emergency Preparedness

Tests on Train Dispatchers/Train Directors

- 201 Form D/Written Directives
- 202 Blocking Devices
- 203 Blue Signal Protection
- 204 RWP Protection
- 205 Track Car Protection
- 206 Authority to Pass Stop Signal
- 207 Dual Control Switches
- 208 Reverse Movements
- 209 Changing Established Route
- 210 Interlocking/Control Points
- 211 Restriction to Trains
- 212 Highway Crossing Devices
- 213 Records

The following T&E TESTS may also be used:

- 120 Radio Procedures
- 121 Required Documents
- 125 Required Exams
- 126 Equipment Restrictions/Defect Detectors
- 127 Hazardous Materials Rules
- 128 Drug & Alcohol
- 129 Safety Rules
- 130 Job Briefings
- 132 Electrical Operating Instructions AMT-2
- 135 FRA Emergency Order No. 24
- 198 Employee Instruction
- 199 All Other Tests or Observations
- TDRS test 699 - Emergency Preparedness

Tests on M of W (Engineering Dept.) Employees

- 313 Individual Responsibility
- 316 Job Briefings
- 321 Exclusive Track Occupancy
- 323 Foul Time
- 325 Train Coordination
- 327 Inaccessible Track
- 328 Protection in Mechanical Facilities
- 329 Warning Provided by Watchman
- 337 Lone Worker / Individual Train Detection
- 341 On-Track Equipment

The following T&E TESTS may also be used:

- 109 Blue Signal
- 112 Written Directives
- 117 Switches & Switching
- 118 Shoving & Back-Up Moves
- 120 Radio Procedures
- 121 Required Documents
- 125 Required Exams
- 128 Drug & Alcohol
- 129 Safety Rules
- 132 Electrical Operating Instructions (AMT-2)
- 198 Employee Instruction
- 199 All Other Tests or Observations

Tests on M of E (Mechanical Dept.) Employees**•401 Blue Signal Protection**

The following T&E TESTS may also be used:

- 108 Speed
- 109 Blue Signal (Observance)
- 110 Air Brake Tests/Inspections
- 114 Cab Signals
- 117 Switches & Switching
- 118 Shoving & Back-Up Moves
- 120 Radio Procedures
- 121 Required Documents
- 125 Required Exams
- 129 Safety Rules
- 130 Job Briefings
- 131 EOT
- 132 Electrical Operating Instructions (AMT-2)
- 133 FRA 232 & 238 Hands-On Brake Test/Insp
- 134 Train Handling/Fuel & Energy Conservation
- 198 Employee Instruction
- 199 All Other Tests or Observations

METHODS FOR CONDUCTING TESTS

Various methods may be used to conduct tests. These methods include, but are not limited to, visual observation, monitoring of live and previously recorded radio and telephone transmissions, scrutiny of locomotive event recorder data, and use of radar or other approved wayside speed monitoring devices. Approved shunting device and/or C&S assistance may be used in conjunction with signal compliance checks. Prior to conducting signal checks, signal aspects must be verified. Whenever possible, tests must be conducted without the knowledge of the employees being tested.

JOINT TESTING

Amtrak supervision is responsible for conducting tests on foreign employees operating on Amtrak property and conversely, host railroads are responsible for conducting operational checks on Amtrak employees operating on their railroad. Partnering by both of the affected railroads to conduct joint testing is preferred in order to minimize service disruptions, promote consistency and to facilitate effective response to issues or problems.

RETENTION OF RECORDS

Records entered directly into the TESTS system can be used to create regular and ad hoc reports. A minimum of three years of records is kept in this system. Quarterly reports are run by the Amtrak System Rules Department, to determine whether quotas have been met. Quota deficiencies are reported to the applicable department head for handling. Ad hoc reports are run on the request of upper management or the Federal Railroad Administration, when more specific test data analysis is required.

ANNUAL REPORT

In accordance with 49 CFR 217.9, Amtrak must run a report at the end of each year, which shows the number, type and result of each test conducted on Amtrak during the year. This report is available on the TESTS system report menu. A copy of each annual report must be retained at Amtrak System Rules Department headquarters and at the system service center for three years following the end of the year in which the tests were conducted. The reports must be made available to representatives of the Federal Railroad Administration for inspection and copying during regular business hours.

SECTION 9. TRAINING AND CERTIFICATION REVIEW

9-A. INTRODUCTION

Proper training/qualification of operating and maintenance personnel is critical to ensuring that employees possess the knowledge, skills and abilities necessary to perform their jobs safely and effectively. This section describes Amtrak's training and certification programs based on applicable federal requirements. The following Parts of 49 CFR are included:

- 213 – Track Safety Standards
- 214 – Railroad Workplace Safety
- 217 – Railroad Operating Rules
- 219 – Control of Alcohol and Drug Use
- 240 – Qualification and Certification of Locomotive Engineers

9-B. 213 - TRACK SAFETY STANDARDS

Overview

Amtrak's MW1000 governs maintenance-of-way forces in the inspection, maintenance and construction of track as required by CFR 49 Part 213 and Amtrak Track Safety Standards. In accordance with regulatory requirements, the MW1000 addresses the following subject areas:

Part I Limits and Specifications for Track Safety, Maintenance and Construction

Part II Limits and specifications for Turnout (and other track work) Safety, Maintenance and Construction. This part also includes slips, crossing diamonds, and other special track work.

Part III Limits and Specifications for Miter Rail and Expansion Joint Safety, Maintenance and Construction

Qualification Requirements

Amtrak employees who supervise maintenance, restoration, and renewal of track, and/or inspect track and prescribe remedial action to compensate for deviations must be qualified on the MW1000. This includes:

- Track Supervisors
- Track Foremen
- Track Inspectors
- Other individuals as defined by job description.

Amtrak's qualification standards are governed by the following CFR guidelines.

<p>5 Years Supervisory Experience in Class 4 or Higher</p> <p>+ Course or College Engineering Program</p> <p>+ On The Job Training</p>	<p>1 Year Supervisory Experience in Class 4 or Higher</p> <p>+ 80 Hours of Training or College Engineering Program</p> <p>+ On The Job Training</p>	<p><i>2 Years Maintenance Experience in Class 4 or Higher</i></p> <p>+ 120 Hours of Training or College Engineering Program</p> <p>+ On The Job Training</p>
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Initial Qualification

Amtrak offers an 80-hour training program for qualification on Track Classes 1-5, and a 120-hour training program for Track Classes 1-9 (includes High Speed track). Both the 80-hour and the 120-hour include classroom instruction and field training. Subject areas include track materials and components, inspection/geometry requirements and string-lining techniques.

Two written examinations are administered during each program. A passing score of 78% is required on the first test, and 76% on the second. Class instructors enter the names of employees successfully completing the program into Amtrak's System Application System (SAP) database.

Employees failing to achieve the minimum score can be retested within 30 days by submitting a request letter to the Manager of Employee Development. Those failing on the second attempt can seek an additional retest by again submitting a request letter to the Manager of Employee Development within 30 days. Failure to obtain qualification on the third attempt will bar an employee from attending a new training program for a period of two years.

Requalification

Requalification is mandatory every three (3) years. A one-day course is provided prior to requalification testing. A score of 78% is necessary on the test to remain qualified.

Employees failing to achieve the minimum score can be retested within 30 days by submitting a request letter to the Manager of Employee Development. Those failing on the second attempt can seek an additional retest by again submitting a request letter to the Manager of Employee Development within 30 days. Failure to obtain qualification on the third attempt will bar an employee from attending a new training program for a period of two years.

Notice of MW1000 Classes

The Engineering Assignment Office, based on the needs of the operating divisions, will post job assignments/positions requiring MW1000 certification. Employees would become eligible to attend training sessions based on past qualifications and seniority level. Employees must be qualified on NORAC Operating Rules and Physical Characteristics **prior** to admission to an MW1000 class. If not qualified, a two-week period is provided to complete this pre-admission requirement. Failure to do so disqualifies applicants from attending MW1000 classes.

9-C. 214 - RAILROAD WORKPLACE SAFETY

Three major subject areas, or subparts, are addressed in Part 214:

1. Bridge Worker Safety Standards
2. Roadway Worker Safety Standards
3. On-Track Roadway Maintenance and Hi-Rail Vehicles

Bridge Worker Safety Standards

This subpart applies to employees working on bridges that are twelve feet or more above ground or water surfaces. Bridge worker training (course number 60001533) is geared to BMWWE crafts (track, structures and electric traction) and is provided by Amtrak's Employee Development Department. The program is three hours in duration and requires employees to demonstrate understanding/competency in the use of fall arrests systems. Employee training dates are maintained in the Engineering Training System (ETS) and Amtrak's corporate human resources database (SAP).

Roadway Worker Protection

This subpart prescribes safety standards to protect roadway workers whose duties are performed on the railroad, specifically those engaged in the inspection, construction, maintenance or repair of railroad track, bridges, roadway, signal and communication systems, electric traction systems, roadway facilities or roadway maintenance machinery on or near track or with the potential of fouling a track.

Roadway Worker Protection (RWP) classes are provided to engineering employees by the Employee Development Department. Employees are required to maintain their qualification status by completing annual training and by carrying a valid qualification card on their person when on duty. RWP training (course number 60000420) requires four hours and a qualification score of 80% or higher. Employee training dates are maintained in the Engineering Training System (ETS) and Amtrak's corporate human resources database (SAP).

On-Track Roadway Maintenance Machines and Hi-Rail Vehicles

This subpart prescribes minimum safety standards for on-track roadway maintenance machines and hi-rail vehicles. Course material is currently provided during RWP training. However, a training program is under development (course number 60000422) to address this subpart in greater detail.

9-D. 217 - RAILROAD OPERATING RULES**Required Examinations**

Employees whose duties require them to be qualified on the Operating Rules and Timetable must pass the required examinations and be re-examined annually, or as required at other times by a

proper authority. A four-day training program is conducted for initial qualification and an eight-hour program for annual requalification.

Employees will be given a written examination on the Operating Rules and must obtain an overall score of at least 85%. Locomotive engineers must obtain a score of 100% when initially qualified. When reporting for the examination they must present their Operating Rules book, Timetable and other instructions for inspection. Employees who fail this examination must take a second examination within thirty days. Employees who fail the second examination, or who fail to be re-examined within 30 days, will not be qualified to perform service.

When an employee passes a physical characteristics examination, the territory on which the employee is qualified must be shown on the "Qualified for Service" page of the employee's Timetable, if provided.

Notice of NORAC Class Attendance

Amtrak Train and Engine Service employees will be assigned to attend specific NORAC Operating Rules Classes by Crew Management Services. Dates and times of classes will also be published by Division Notice, so that employees who wish to do so may request priority placement in a class scheduled on their day off. Whenever possible, employees will be given 14 days advance notice of class assignment. Employees are personally responsible for ensuring that they attend an annual Operating Rules class by the end of each calendar year.

If class assignment conflicts with assigned tour of duty, employee must contact the Manager-Crew Management Services. Employees who FOR ANY REASON fail to attend a class as directed will be charged with violation of Rule "D", unless they have been authorized not to attend the class by the Manager-Crew Management Services. Time spent attending Operating Rules instruction classes must be considered as time on duty under the Federal Hours of Service Act.

Engineers

Engineers who fail to pass the annual NORAC Operating Rules examination on the first attempt must not operate an engine over Amtrak territory until they pass the examination. The 30-day grace period Specified in Rule C does not apply to Engineers who operate over Amtrak territory.

Engineer Recertification

Amtrak Engine service employees will be directed to attend specific Engineer Recertification classes by a "Notice of Engineer Recertification Classes." Such notices will be issued by each Division on a monthly basis, and will be posted at all Division sign-up locations at least 14 days prior to the beginning of each month. Engine service employees must examine their Division's "Notice of Engineer Recertification Classes" to see if their name is listed. Employees who are unable to examine a copy of the current notice must contact a Division Transportation Department Supervisor to determine if they are scheduled to attend a class. Employees who for any reason FAIL TO ATTEND a class as directed will be charged with a violation of Rule "D",

unless they have been authorized not to attend the class by the Manager-Crew Management Services.

Time spent attending an Engineer Recertification class must be considered as time on duty under the commingled service portion of the Federal Hours of Service Act. If class attendance will result in a violation of the Hours of Service Act, employees must immediately contact the Manager-Crew Management Services.

Operating Rules Qualification

Employees in the following categories must be initially qualified on Operating Rules, and must be requalified annually:

- Train Dispatchers, Assistant Chief Dispatchers, and Block Operators
- Train and Engine Service employees and Yardmasters
- Employees who move or assist in the movement of trains or engines
- Employees who request foul time or take tracks out of service for maintenance
- Employees who operate track cars
- C&S Maintainers
- Supervisors and Managers who directly supervise any of the above employees

Employees returning to duty after an absence from railroad service of 6 months or more must take the following actions before performing service that requires Operating Rules qualification:

After an Absence of:	Employee Must:
6 to 12 months	Attend and pass an annual Operating Rules requalification class.
Over 12 months	Attend and pass a special Operating Rules requalification class, as determined by Rules Department.

Physical Characteristics Qualification for Conductors and Engineers

Conductors and Engineers must be qualified on the physical characteristics of the portion(s) of railroad over which they are to operate.

Remaining Qualified

To remain qualified while continuously employed in railroad service, an employee must have worked at least one trip in train or engine service during the previous 12 months, whether or not in the capacity of a Conductor or Engineer. Employees who are unable to work a trip in train or engine service may be authorized to make a special trip over portion(s) of the railroad to retain their qualifications. A Temporary Train Authorization Permit Type "A" may be obtained from the General Superintendent or his designated representative. The Temporary Train Authorization Permit Type "A" indicating the portion of the railroad over which the special trip was made, and validated by the Conductor or Engineer with whom the trip was made, must be presented to the designated division officer, who will record the date in the employee's record of qualification file.

Employees who extend their qualification in this manner are prohibited from doing so two consecutive times. *Engineers who extend their qualification in this manner must operate the train over the territory involved.* Any train or engine service employee who exceeds the time limits required to remain qualified as herein set forth must be re-examined by the proper division officer before performing service as a Conductor or Engineer over the territory involved.

Returning to Duty

Employees returning to duty after an absence from railroad service of 30 days or more must take the following actions before working as a Conductor or Engineer:

After an Absence of:	Employee Must:
30 days to 6 months	Contact a Rules Examiner or a qualified Supervisor to determine what physical characteristics changes were made during the absence.
6 to 12 months	Same contact as above, plus make a head end ride over territory.
Over 12 months	Requalify on the territory.

Transferring From Another Railroad or Craft

Employees transferring to Amtrak Conductor or Engineer service from another railroad or craft who were previously qualified on the physical characteristics of Amtrak territory, must re-qualify on the physical characteristics of the territory over which they are to operate.

Operating Rules and Physical Characteristics Requalification for Engineering Department Employees

Engineering Department employees who are qualified on the NORAC Operating Rules or the physical characteristics must requalify every year, by the end of the calendar quarter in which their birthday occurs.

Employees whose birthday occurs in:	Must requalify by:
January, February or March	March 31
April, May or June	June 30
July, August or September	September 30
October, November or December	December 31

Employees may requalify as early in the calendar year as they wish, and are encouraged to do so. There are three NORAC Operating Rules qualifications levels for Engineering Department employees:

Class A - Authorizes drivers to operated Specialized MW equipment (equipment that reliably shunts track circuits) under the operating rules and physical characteristics qualifications that apply to freight trains instead of the operating rules that apply to track cars.

Class B - Authorizes employees to take tracks out of service for maintenance and to move or pilot track cars when properly qualified on physical characteristics.

Class C - Authorizes employees to obtain foul time when properly qualified on physical characteristics.

Record Retention

Attendance rosters for each qualification class are maintained in the Division Rules Office identifying test date and either “pass” or “fail” for each attendee. Examination results are also entered into the “TESTS” system to facilitate reference.

9-E. 219 - CONTROL OF ALCOHOL AND DRUG USE

Overview

All supervisory training required by 49 CFR Parts 219 and 382 is coordinated by Amtrak Human Resources Health Services. Three courses are available: FRA Post-Accident Testing (mandatory), Reasonable Suspicion Testing (mandatory) and Random Testing (recommended). Initial training is provided at the request of local management/supervision with responsibilities for Hours of Service, or “covered” employees or workers possessing a Commercial Driver License. Although federal regulations do not require refresher/requalification training, it is recommended that training be repeated on a two-year cycle. Amtrak’s Health Services maintains training records and inputs attendance data into the SAP System.

Question regarding Amtrak's Drug and Alcohol Program should be addressed to the Human Resources – Health Services Manager at ATS 777-3139, 202-906-3139.

Course Descriptions

FRA Post-Accident Toxicological Testing (6000246)

This 2-hour course provides instruction to managers and supervisors on the administration of a FRA post-accident toxicological testing event. Specifically, the course identifies the circumstances that would require testing, those employees who would need to be tested and the collecting and shipping of collected specimens to the testing laboratory. This course is mandated by the Federal Railroad Administration for managers and supervisors responsible for “covered” employees.

Reasonable Suspicion Testing (6000247)

This 4-hour course prepares supervisors and managers in administering a reasonable suspicion-testing event. Specifically, the course will train the supervisor and manager in identifying the signs and symptoms of alcohol and drug influence, intoxication and misuse, with a focus on the acute behavioral and apparent physiological effects of alcohol and the major drug groups on the controlled substance list. The Federal Railroad Administration and the Federal Motor Carrier Safety Administration mandate that managers and supervisors responsible for “covered” and Commercial Drivers License (CDL) employees, respectively, attend this course.

FRA/FMCSA Random Testing (6000245):

This 2-hour course provides instruction to managers and supervisors on the administration of a random testing event. At the end of the course the supervisor and manager will have learned how to identify those positions selected for testing, ensure that an adequate collection site is made available for testing, handle testing obstacles and document and report the testing event to the random testing Human Resources officer. It is strongly recommended that managers and supervisors responsible for covered and CDL employees attend this course.

9-F. 240 -QUALIFICATION AND CERTIFICATION OF LOCOMOTIVE ENGINEERS

Regulation

Amtrak Passenger Engineers are subject to the following training and examinations to achieve and maintain their 49 CFR Part 240 Certification:

New Hire Passenger Engineer Training Program OEL-101/60001355

This program prepares participants who are not previously qualified locomotive engineers to become certified as Train Service Engineers in accordance with 49 CFR Part 240. Successful completion of this program is required and failure to complete any phase of the program as outlined will result in disqualification from the program.

The Classroom Phase of this program includes 7 to 10 weeks. All participants receive the basic 7 weeks which include topics of Air Brake and Train Handling Rules and Instructions; Diesel Locomotive Equipment, Systems and Inspection Practices; Troubleshooting Practices; Personal Safety Instructions including CRM and S.O.F.A.; and Federal Safety Regulations related to the safe operation of locomotives and trains. Type I locomotive simulators are utilized to reinforce specific lesson objectives. Participants who will operate on the Northeast Corridor receive one additional week of training on Electric Locomotives and two additional weeks of training on NORAC Operating Rules.

Most lessons in the Classroom Phase conclude with a quiz and/or work exercise, which is used to review the lesson and evaluate each student's comprehension and progress. Each major unit of instruction (Air Brake, Locomotive Equipment, Train Handling, Personal Safety, Federal Regulations, etc.) includes a written final examination, which must be completed with an overall minimum passing grade of 85%; signal recognition requires a score of 100%. A student has two opportunities to pass these examinations. If unsuccessful on the second administration, the student is terminated from the program as per contractual agreement. Upon successful completion of the Classroom Phase, each student is issued a Class 3 Student Engineer Certificate and advances to the Physical Characteristics Qualification and On Job Training Phases.

The Physical Characteristics Qualification Phase varies in length depending upon the segment(s) of railroad on which each Student Engineer will operate locomotives and trains during On Job Training. During this phase, oversight responsibility is managed by a Designated Supervisor of Locomotive Engineers (DSLE) responsible for the crew base location and territory to which the student is assigned. A student who cannot successfully demonstrate his/her knowledge of the physical characteristics is not permitted to advance to OJT.

The On Job Training (OJT) Phase requires a minimum of twelve (12) weeks to complete. Each student is required to complete a minimum of 480 hours of OJT of which a minimum of 240 hours must be personally operating the controls of a locomotive. Each student is assigned to a certified Train Service Engineer who functions in the capacity of an instructor engineer. The student, under the immediate supervision of the instructor engineer, is required and permitted to operate the train frequently and for progressively increasing intervals of time and distance. After each OJT trip, the instructor engineer evaluates and documents the student's progress and forwards the report to the DSLE for review. The DSLE monitors and evaluates each student weekly to determine his/her progress and level of skill proficiency, which is documented in writing. Upon successful completion of OJT, as determined by the DSLE and the General Road Foreman, each student is scheduled for his/her final evaluation and certification. Upon successful completion of this evaluation, the student is issued a Class I Train Service Engineer Certificate.

Passenger Engineer Re-Entry to Service Course OEG-103/60001353

This course is multi-purpose in design. It is used to familiarize locomotive engineers who are working passenger service for the first time. It is also used as remedial training in order to improve performance for those engineers returning to service from discipline, medical leave of absence, or special cases determined by the appropriate authority.

The basic course includes 80 hours and utilizes lecture, work exercises, group activities, multi-media and hands-on experience to accomplish the objectives. Emphasis is given to troubleshooting procedures, head end power (HEP), air brake, train handling and specific locomotive equipment. Federal safety regulations are covered and personal safety is stressed throughout the course. The Code of Federal Regulations (49 CFR) Part: 240 – Qualification and Certification of Locomotive Engineers is introduced to familiarize participants with this regulation. Successful completion of this program meets recertification requirements as applicable under this Part. An additional 80 hours is provided for engineers who will work exclusively within Amtrak’s Electrified Northeast Corridor and includes instruction on AEM-7, E-60, HHP-8, HST, electrical operating instructions and NORAC Operating Rules.

At the conclusion of the classroom training, written examinations are administered requiring a passing score of 85%. After grading, each exam is reviewed to reinforce the course objectives. If a person fails to achieve a passing score, he/she is not permitted to operate a locomotive or train until a passing score is achieved on a re-examination. Train handling competency and proficiency is evaluated and documented by a Designated Supervisor of Locomotive Engineers (DSLE) prior to the successful participant performing service as a Class I Train Service Engineer.

Passenger Engineer Recertification Courses

At least once each thirty-six months, for the purpose of satisfying the requirements of recertification, Amtrak Locomotive Engineers also receive instructions and examinations in the subject areas of Personal Safety; Federal Safety Rules; Mechanical Condition of Equipment; and Methods of Safe Train Handling, including familiarity with physical characteristics, utilizing one of two processes.

The first involves a two-day, sixteen-hour recertification course conducted by a qualified instructor using an approved lesson plan. This course is presented using lectures, audio visual aids, work exercises, hand-out materials, and open discussions in the form of question and answer sessions to clarify participants understanding of the information. This course concludes with a comprehensive written examination requiring a minimum passing grade of 85% plus an instructor-led review of questions for which participants may require further clarification. A participant who scores below 85% is not permitted to perform service until a subsequent passing grade is achieved.

The other involves a combination self-study and one-day, eight-hour recertification course which includes issuance of a printed, 200+ question, self-study guide approximately sixty days prior to attending the class of instruction. An extensive workbook, including detailed information concerning Amtrak locomotives, sub-systems, and safety features which may be used in conjunction with other Amtrak-specific equipment information is also issued along with designated telephone numbers of qualified instructors who may be contacted for answers to specific questions and/or clarification of the self-study process. An electronic version of the self-study guide is also issued for use at home and/or access to personal computers at normal work locations for practice testing one’s knowledge of the study guide questions. The one-day class, conducted by a qualified instructor, using an approved lesson plan, is presented using lectures, audio visual aids, work exercises, handout materials, and open discussions to clarify participants

understanding of the information prior to taking the course examination. This course concludes with the administration of a comprehensive written computer-based examination, utilizing random selection software to objectively individualize and score each engineer's results which require a minimum, passing grade of 85% followed by an Instructor-led review of questions for which participants may require further clarification. A participant who scores below 85% is not permitted to perform service until a subsequent passing grade is achieved.

Operating Rules Class

Amtrak locomotive engineers are required to satisfy the Operating Rule requirements applicable to each railroad on whose territory they operate and maintain their Operating Rules qualification by annually attending and successfully completing required classes of instruction, each of which normally involves one-day, eight-hours.

Operating Rules classes are conducted by a qualified instructor, using an approved lesson plan which is revised each year to include new or modified rules, rules which are deemed critical to safe operation plus those rules which were violated by certified engineers during the previous calendar year. These classes are presented using lectures, audio visual aids, and open discussions in the form of questions and answer sessions to clarify participants; understanding of the information. At the conclusion of these classes, a comprehensive written examination, which requires a minimum passing grade of 85% is administered, followed by instructor-led review of questions for which participants may require further clarification. A participant who scores below 85% is not permitted to perform service until a subsequent passing grade is achieved.

Physical Examination

Amtrak locomotive engineers are required to satisfy the Physical Examination requirements established by the Director of Health Services by successfully completing an annual examination, which is normally conducted during each engineer's birthday month. Those portions of the annual physical examination that also satisfy the certification requirements in accordance with 49 CFR Part 240 are the Vision Acuity and Hearing Acuity tests.

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SECTION 10. EMERGENCY RESPONSE PLANNING, COORDINATION & TRAINING

10-A. TYPES OF EMERGENCIES

An understanding of the types of potential emergencies and their related hazards is fundamental to effective training, preparation and response. Typical emergencies include those related to train operation (collisions, derailments, fires, etc.), natural disasters, security emergencies (bomb threats, civil disorder, acts of terrorism, criminal activity, etc.) and chemical spills. This section will describe Amtrak's Passenger Train Handling Safety & Emergency Procedures and Emergency Evacuation Procedures related to buildings and facilities. Response to security-related emergencies is described in Section 20; environmental emergencies in Section 13.

10-B. PASSENGER TRAIN EMERGENCY PLANNING & COORDINATION

The Federal Railroad Administration (FRA) published the Passenger Train Emergency Preparedness Final Rule in the Code of Federal Regulations (CFR) on 4 May 1998. This Rule is located at Title 49 (Department of Transportation), Part 239. Additional stipulations pertaining to this Rule are contained in Part 223.9 (d) with regard to emergency exit window requirements. The Rule is not intended to prevent accidents; rather, it was promulgated to mitigate the loss of life and injury. The regulation requires the compliance of each affected railroad. As a result, emergency response plans have been developed as a collaborative effort between Amtrak and the host railroads over which Amtrak operates.

It is always Amtrak's and the host railroads primary concern, during all phases of operations, to ensure the maximum safety is accorded to our employees and traveling public. This is especially true during emergency situation where the safety of emergency responders is also a concern. In this regard, it is the responsibility of every railroad employee to ensure that our passengers and any others involved in the emergency receive prompt medical assistance, care, and our immediate assistance in safely completing travel to their intended destination.

Consistent with this policy, Amtrak recognizes that federal, state, and/or local emergency responders may arrive at the scene first. The function of joint Amtrak and host railroad Emergency Response Plans is to provide comprehensive assistance as necessary under the direction of the senior railroad official, their designee or other local emergency responders present.

These Plans, along with attachments and appendices are the basic guidance documents to be referenced during any passenger train emergency situation. While the overall objective is to ensure compliance with 49 CFR 223 and 239, these Plans may establish additional or more stringent provisions. The primary objectives of these Plans can be summarized as follows:

1. Preservation of life
2. Injury reduction and control
3. Expeditious restoration of service
4. Asset protection against loss
5. Assist in any subsequent accident investigation process conducted by the National Transportation Safety Board (NTSB), the Federal Railroad Administration (FRA), and/or other federal or state agencies.

Joint Amtrak and Host Railroad plans submitted to the FRA include:

- Amtrak's Passenger Train Emergency Plan
- Burlington Northern, Santa Fe (BNSF)
- Canadian National/Illinois Central (CNIC)
- CSXT (CSX)
- Guilford Rail Systems
- New England Central Railroad (NECR)
- Norfolk Southern Railroad (NS)
- Union Pacific Railroad (UP)

Amtrak responsibilities are also identified in Passenger Train Emergency Response Plans prepared by Amtrak operated, Amtrak controlled or Amtrak utilized commuter railroads. The following is a list of the commuter railroads:

- New Jersey Transit (NJT)
- Massachusetts Bay Transit Authority (MBTA)
- Southeast Pennsylvania Transit Authority (SEPTA)
- ConnDOT/MetroNorth
- Virginia Railway Express (VRE)
- Maryland Department of Transportation (MARC)
- Sound Transit (Sounder)
- Peninsula Corridor Joint Powers Board (Caltrain)
- Metrolink Commuter Service (Metrolink)
- Orange County Transit Authority

Employee Training

Amtrak operating and on-board crews receive initial, and refresher training (every two years) in Passenger Railroad Emergency Preparedness and Response Education (PREPARE). The course identifies potential emergency situations and describes locations in which they are likely to occur. Participants learn the responses that are required during a variety of emergency situations. Communication procedures are stressed to ensure passengers are properly informed and that accurate and timely information is provided to control centers as well as outside responders. Major subject areas in the course include:

- Rail equipment familiarization
- Situational awareness
- Passenger evacuation
- Coordination of functions/operations
- Emergency care

The Joint Amtrak and Host Railroad Emergency Preparedness Plan is reviewed during the training. On-site assessment of the individual emergency situation is discussed and special considerations such as tunnels, elevated structures, bridges, and electrified territory are reviewed. Public Address system utilization and manifest delivery to the outside agency Incident Commander receive special emphasis.

Emergency care for injured passengers and/or employees is reviewed in the context of:

- Injury and illness situations
- Cardiopulmonary resuscitation
- Prevention of disease transmission (BBP)

Participants are evaluated through objective written testing and “hands-on” instruction/skill evaluation.

Emergency Responder Training

Amtrak provided training focuses on the railroad environment, railroad operations, emergency access to passenger cars, their respective hazards and necessary safety precautions and the typical location of railroad facilities including equipment. Methods of communication between railroad officials and emergency response crews shall also be covered, as well as the need for development of a pre-plan. The standard course is a four-hour emergency responder safety and security course presented by Amtrak Instructors.

Amtrak makes emergency preparedness and response-training materials available to all host railroads and emergency responders in host railroad operating territories, and in many instances jointly conducts training with host carriers. These actions ensure an expected level of competency should the responders ever participate in simulated or actual emergencies.

In addition to the training requirements, Amtrak distributes the appropriate Joint Amtrak and Host Railroad Plan to all emergency response organizations that may be required to participate in emergency situations or simulations.

Amtrak’s Transportation department oversees all training and planning associated with emergency response. Contact the Senior Director Emergency Preparedness with questions or requests relative to this material (ATS 777-3889).

10-C. FACILITY EMERGENCY RESPONSE PLANNING, TRAINING AND DRILLS

Individual written emergency response plans for Amtrak's 209 manned stations, corporate headquarters, three major maintenance facilities, three Reservation & Sales Offices and the Consolidated National Operations Center Files are reviewed and maintained by the Emergency Preparedness group within the EHS Department so that plans meet Amtrak guidelines and comply with the Presidential Executive Order for Disabled Persons. Included in the Emergency Preparedness group are the Managers of Emergency Preparedness and the Fire & Life Safety Officers. This group will also administer/oversee quarterly drills at the 20 major facilities in the system and conduct audits of the manned facilities to ensure that emergency response plans are current and that proper emergency equipment is available.

A copy, or shell document, of a basic Emergency Evacuation Plan (Appendix 10A) is found at the end of this section. This document fulfills a minimum requirement. Plans for large or complex facilities would likely be more comprehensive.

Chemical, Biological, and Radiological Response

Chemical/biological response plans have been developed to address stations/facilities and trains. These plans follow the American Public Transit Association (APTA) guidelines and are designed to protect passenger and employees from this type of attack. The plans are not intended to guide testing for specific chemicals/biological agents or to serve as direction for cleaning up contaminated areas. Instead, the chemical/biological plan for the Amtrak Police Department (APD) is designed to facilitate response for the safe evacuation of passengers and employees from contaminated or suspected contaminated areas. The APD is not a first responder for chemical/biological emergencies but is directed to protect passengers and employees by evacuating them.

Continuity of Operations

The Emergency Preparedness group will lead efforts to maintain a business disruption plan for each major operational area (CETCs, CNOC, Amtrak technologies, Reservation Service Centers, National Communications Center, Emoryville Operations Center, and Amtrak Police Department patrol operations). The plans will guarantee an orderly, coordinated return to normal service following planned/unplanned service disruption or cessation. Plans will identify alternative operational sites and personnel, describe communication strategies/systems and provide for required computer/logistical support. Each plan will also include a mechanism for internal review and testing. The Continuity of Operations Plan is identified as Appendix C in the corporate Emergency Procedures Plan.

10-D. EMERGENCY PREPAREDNESS and LIFE SAFETY ORGANIZATION

The Senior Director of Emergency Preparedness is responsible for related practices, programs and policies and reports directly to the VP-Transportation. The Emergency Preparedness group

includes three Managers of Emergency Preparedness (Washington, Chicago and Los Angeles) and two Fire and Life Safety Officers (New York and Washington).

In an emergency situation, Amtrak's responsibility is to the safety and well being of its customers, employees, and the community. We take positive steps to protect others in the area of the emergency; to protect our equipment and property from damage; to keep our operations from being disrupted any more than necessary; and to inform the operating railroad and federal, state, and local agencies and the general public what is being done to mitigate the emergency.

Amtrak fulfills these responsibilities by:

- Training Amtrak employees in emergency procedures and practices on-board trains, along the right of way, in yards and maintenance facilities, and/or in stations and offices.
- Establishing on-site command posts and customer assistance command posts to handle customer and employee needs and work with state and local emergency responders.
- Responding to accidents with on-site teams of employees having the requisite professional and investigative skills to determine cause and/or to assist NTSB and other investigators in determining cause.
- Providing training and educational material to emergency responders along Amtrak routes covering Amtrak rolling stock to enable them to respond swiftly and effectively.
- Conducting and assisting with "hands-on" drills and emergency exercises.
- Participating in and supporting Operation Respond training for emergency service providers.

Appendix 10A

AMTRAK EMERGENCY EVACUATION INSTRUCTIONS

<p align="center">Amtrak Emergency Evacuation Instructions</p>
<p align="center">Emergency Evacuation Procedures for Employees and Guests <i><u>(Specific location that plan applies)</u></i></p>
<p align="center">Date: _____ Revision: _____ Page _____ of _____</p>
Office Responsible for Plan:
Fire:
Bomb Threats and Other Terrorist Activity Emergencies:
Other Emergencies:
Passenger Considerations:
Handling Persons with Disabilities:
Train Movement:

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SECTION 11. SAFETY REVIEW AND APPROVAL PROCESS

11-A. OVERVIEW

The Safety Review and Approval Process is intended to identify and avoid/minimize potential hazards associated with acquiring new equipment or facilities, or modifying, expanding, rehabilitating or enhancing facilities, services, or major system components. The ultimate goal of a safety review and approval process is to help Amtrak provide a safe, reliable service and that equipment, rights-of-way and operations comply with regulatory requirements and internal policies and procedures.

The Safety Review and Approval Process addresses construction, acquisition and operational programs relating to Amtrak's operation or owned rights-of-way, including, but not limited to:

- Design, testing and approval of new rolling stock
- Overhaul, remanufacture, or modification of existing rolling stock
- Planning, design and construction of new facilities or infrastructure
- Planning and design of modifications to existing facilities, infrastructure, right-of-way, signal systems and track
- Design and implementation of modifications to existing services

An effective Review and Approval Process dictates that Amtrak strive to:

- Design and incorporate necessary safety requirements into equipment, facilities and operating systems.
- Design to eliminate hazards.
- Systematically review or test system elements for conformance to the intended design.
- Document safety reviews and tests.

Amtrak's major operational groups – Mechanical, Engineering and Transportation – are responsible for maintaining an effective Safety Review Process. Summarized below are the processes utilized by each department.

11-B. MECHANICAL DEPARTMENT

The Amtrak Bureau of Rolling Stock Engineering monitors revisions to Federal rules and regulations to verify fleet compliance and reviews proposals for new equipment and modifications to existing equipment. Once proposals are approved, the Bureau develops the required specifications/prints/drawings, oversees and/or conducts regulatory testing and maintains the required documentation.

The Amtrak Mechanical Department's Work Management System (WMS) is used to monitor the progress of modifications and upgrades. The WMS identifies the individual pieces of equipment in Amtrak's system and includes such critical information as specific preventive maintenance schedules, budget, work hours, timelines and sign-off responsibilities for modifications and upgrades. Field staff members representing the Bureau are located at various shop facilities, and work in conjunction with field quality assurance personnel to facilitate the modification/upgrade process.

The Director of New Vehicle Acquisition administers the acquisition of new equipment or equipment rebuilds not performed by Amtrak personnel. Amtrak field personnel are assigned to work on-site with builders and suppliers, and to directly oversee design, construction and acceptance testing. New equipment is accepted by Amtrak following a critical review by this group. This review requires that equipment meet applicable regulatory requirements and Amtrak testing criteria, including road testing when appropriate. Descriptions included in the specified contract serve as a measurement tool and documentation process.

11-C. ENGINEERING DEPARTMENT

Modification to facilities or infrastructure - track, electric traction (ET) or communications & signals (C&S) - begins with development of the necessary construction/maintenance documents, prints, drawings and specifications, a responsibility of the design group within each discipline. The design groups report to their respective Deputy Chief Engineer.

Division Engineers (DEs) – five DEs serve Amtrak's seven operating divisions - have ultimate responsibility for construction activities occurring on the division. Under the guidance of the respective Assistant Division Engineer (ET, C&S and Structures), assigned construction gangs perform the required tasks and complete regulatory testing prior to placing systems into operation. Assistant Division Engineers work closely with their respective Deputy Chief Engineer to plan and monitor construction projects.

Construction activities relating to track, however, are under the direction of the Superintendent of Engineering Production and not the local Division Engineer. Production and construction track work crosses divisional boundaries and requires highly specialized gangs and equipment. Division Engineers share responsibility for monitoring this work and helping ensure that track meets applicable standards prior to being placed in service. Division engineering personnel assume responsibility for ongoing maintenance once project work is complete.

11-D. TRANSPORTATION DEPARTMENT

Service expansion that includes new routes generally requires Amtrak to operate on tracks owned and maintained by another carrier(s). Implementation begins with development of a joint operational contract as described in Section 21 – Joint Freight Operations. Amtrak's Engineering Department is responsible for reviewing right-of-way conditions (tracks, signal systems, structures and crossings), including determining the class of track and train speeds, whenever inactive tracks are placed in service. Under a joint operations agreement, Amtrak is

subject to the host railroad/s current operating and safety rules, orders, procedures and standards. Amtrak train and engine crewmembers must become qualified on the home railroads operating rules and the physical characteristics of the territory on which they operate.

Additional service on existing routes requires proper notification to effected employees. Depending on the amount of time available prior to implementing service changes, either a Form "D" or Bulletin Order is used to provide notice of train speed and mode of operation. Distribution of Form "D"s and Bulletin Orders is administered and overseen by the effected Operating Division. Service changes, if permanent, are listed in Amtrak's Timetable.

The Corporation's Operations Planning group develops schedule changes required to address seasonal or holiday ridership needs. Temporary service changes are based on equipment needs, equipment availability and the existence of time slots for additional service. Notifications are in the form of special Bulletin Orders.

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SECTION 12. SAFETY DATA ACQUISITION AND ANALYSIS

12-A. OVERVIEW / SYSTEM DESCRIPTION

Amtrak's Safety Information System (ASIS) is a Microsoft Windows-based application designed to allow user interface with Accident/Incident data. ASIS, the first Amtrak internal client/server developed application, formally went into production on October 1, 1996. Effective February 1, 1997, it is installed on workstations in Amtrak field offices across the United States.

ASIS serves as the Amtrak safety data store for safety information arriving from the Amtrak field sites. The Amtrak Central Reporting Office (CRO) records all information in ASIS. The CRO analyzes accident/incident forms sent from the field and inputs the data to the ASIS Safety database in accordance with Federal Railroad Administration (FRA) guidelines. Users may view the information through the ASIS browse interface or produce a variety of reports with the reporting interface. Also, the CRO is responsible for providing specialized ASIS monthly and annual reports on ASIS data directly to the FRA.

The Amtrak (ASIS) Safety Information System is an on-line processing system built around a centralized database. This database is a combination of tables held on the Production SQL server and static tables within the Microsoft Access production .mdb files. Functionally, the ASIS System is divided into input, processing and output components.

12-B. SAFETY SNAPSHOT REPORT

The Central Reporting Office will publish monthly, on or about the 15th, system-wide safety performance data for the preceding month. Information will include workhours, and the number/ratio of total, reportable, and lost-time injuries for all major operational groups. The report will also quantify grade crossing accidents and trespasser fatalities.

12-C. OBTAINING ACCIDENT AND INCIDENT REPORTS

Reporting Features

ASIS contains accident, injury and illness information dating back to 1990. This information is available to field personnel through a series of reports made available through the ASIS system. The following are examples of the type of data that can be made available upon request:

Accident Data

- Type of Accident (i.e. Grade Crossing, derailment)
- Number of accidents by year, month or day
- Damage amounts by accident

- Ratios per 1,000,000 train miles
- Detailed information such as track type, weather, visibility, etc.
- Word Searches such as Blue Flag, broken glass etc.

Injury/Illness Data

- Injury/Illness data by type of person (i.e. employee, trespasser, passenger)
- Type of injury or illness
- Word searches such as injuries caused by chairs, escalators etc.

Data can be provided based on geographic location, division, specific area or any number of other search parameters. This data can provide information relevant to the effectiveness of safety-related programs targeting specific problems or to monitor the progress of programs already in place. Through a series of standardized reports available to all managers through ASIS or specific reports and data provided through the use of Access queries, Amtrak managers have access to more than ten years worth of specific accident and injury data. This data can assist managers identify trends, both positive and negative, and identify problem locations, processes, work groups or individuals.

Injury/illness Reports

A wide variety of standardized, menu-driven injury/illness and rail equipment/grade crossing reports can be obtained directly from ASIS. A listing of these reports is summarized below. Custom or Ad Hoc Reports can also be generated to address combinations of parameters not found on the standard ASIS reports. Inquiries should be forwarded to the Manager of Central Reporting at ATS 777-2246.

Injury-related data is available from ASIS in three report formats: General Reports, Analytical Reports and Safety Statistics Reports. Requests can target employee populations at the RESCEN, Department, and/or Division level and address any time period selected.

General Reports include: Log of Incidents, Employee Injury History, Report of Repeat Injuries, Injury Overdue Log, Job Related Absences, RESCEN Report and the Monthly Posting Report.

Analytical Reports include: Hours Into Shift, Years of Service, Age Group, Rule Violation, Body Part, Nature of Injury, ANSI Code, and D&A Results.

Safety Statistics Reports include: By Period, Class of Person, Job Code, Manhours Ratio, Safety Snapshot.

Rail Equipment & Grade Crossing (REGC) Reports

Rail Equipment & Grade Crossing data is also available from ASIS in three report formats: Unusual Occurrence (UOR) and Log Reports, REGC Analysis Reports, and REGC Statistics Reports. Requests can target incidents at the Department, Division and State level. Some

Reports also offer Accident Type and Train Number as options. Any time period can be identified for inquiries.

Unusual Occurrence (UOR) and Log Reports include: Combined Injury/REGC Log of Incidents, Log of On-Track Incidents, Overdue Forms Log, Repeat Accidents, and UOR Incomplete Report.

REGC Analysis Reports include: Accident/Incident Drug/Alcohol Test, Maintenance of Way/Maintenance of Equipment Damage, Primary Cause Code Analysis, and Damages by Type.

REGC Statistics Reports include: Accident/Incident Statistics Summary by Period, FRA REGC Summary by Type, and REGC Major Impacts Report.

12-D. BROWSING ACCIDENTS AND INCIDENTS

A browse feature is included in the ASIS system allows managers to view the details of any accident or incident in the database. Browse data includes class of person, reportability information, receipt date of documents, narratives and summary coding information.

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SECTION 13. INTERDEPARTMENTAL AND INTERAGENCY COORDINATION

13-A. INTERDEPARTMENTAL COORDINATION

Information regarding major business and operational decisions, policies and initiatives is shared within departments and/or among members of Amtrak's Executive Staff by means of a Staff Summary Report. This one- to two-page document includes a purpose statement and a brief description of facts/conclusions, alternative actions and funding impacts. An overall recommendation is also required to complete the document.

Staff Summary Reports are generated for requests to change established policies and procedures, initiate capital projects, adjust workforce strength, change contracts that require approval of the President and Chief Executive Officer or Board, and actions that require Board approval. It is the responsibility of each Vice President to obtain the appropriate review prior to submission to the President and Chief Executive Officers.

Interaction among operational groups occurs on a daily bases across Amtrak's seven operating divisions. The Division transportation superintendent plans and coordinates the division's activities with the division engineer and/or chief mechanic, or designees, responsible for that operational area.

Safety Executive Oversight Committee

A group comprised of the President/CEO and vice presidents of the operational departments will meet monthly to review safety performance, review the effectiveness of current programs and policies and examine the potential benefits of new/revised accident prevention programs and initiatives.

13-B. INTERAGENCY COORDINATION

Amtrak is required to interface with a wide variety of agencies including those of a regulatory nature – primarily the Federal Railroad Association (FRA), National Transportation Safety Board (NTSB), Occupational Safety & Health Administration (OSHA) and Environmental Protection Agency (EPA) – as well as those associated with emergency response.

Regulatory Agencies

FRA – Local management and field supervision are the first level of contact and the primary interface between Amtrak and the FRA, generally in the form of announced or unannounced compliance audits. On occasion, interaction may result from joint projects or Amtrak initiated requests for FRA interpretation or support.

Amtrak's Chief Transportation Officer represents the corporation in matters of policy with the FRA and serves as Amtrak's appointed "Member" to the FRA's Rail Safety Advisory Committee (RSAC). Other senior level management may interface with the FRA on department-specific concerns, issues or projects or represent Amtrak on project committees or sub-committees.

NTSB – In the event of an NTSB-led accident investigation, Amtrak's Chief Transportation Officer represents the corporation. Senior management will provide technical expertise and participate on investigation subcommittees such as track and structures, mechanical equipment, communications and signals, operations, human factors and emergency response.

OSHA – OSHA inquiries and/or field audits are generally directed to the senior supervision and/or management at the facility, site or operation in question. The Environmental, Health and Safety Department (EHS) should be immediately informed, and if possible, participate in opening and closing conferences and accompany the inspector during the audit(s). Amtrak's Law Department should also be informed of each OSHA inquiry or field audit. The EHS Department, with guidance from the Law Department, will edit/author formal responses to OSHA and represent Amtrak whenever citations are contested.

EPA – Amtrak's Environmental group, along with the responsible Amtrak official (RAO) involved and with the support of the Law Department, assumes responsibility for interaction with the EPA including development of programs/plans, participation in inspections/audits and responding to inquiries or citations. See Section 16 – Environmental Management for a complete description.

Emergency Response Agencies

Amtrak's Emergency Preparedness group maintains an aggressive outreach program to identify and train emergency response agencies located along Amtrak owned or operated railroad. Target populations include fire, rescue, police and emergency management personnel. Approximately 21,250 local response agencies can be found within the counties adjoining the right-of-way on which Amtrak trains operate.

Training and drills are conducted upon request by one of Amtrak's three Emergency Response Managers: East coast (Washington), West coast (Los Angeles) and the central U.S. (Chicago). Training in "How to Manage a Railroad Emergency" (SAFE 105) is tailored to the duties and responsibilities of the participants. The four-hour classroom program can be integrated with a hands-on familiarization – depending upon the availability of cars and locomotives – and a practical drill or exercise set up by the emergency response agency. Permanent records are maintained that identify training dates, locations, organizations and attendees. Approximately one hundred (100) classes are conducted annually that include 3,500 to 4,000 emergency responders.

Amtrak also coordinates emergency training with other railroads. Federal regulations (49CFR Part 239) require Amtrak to jointly develop an emergency response plan with "host" carriers and to conduct an annual evacuation drill. Amtrak also conducts an annual drill to comply with these requirements. Although not a regulatory requirement, Amtrak also participates in drills

conducted by Amtrak-operated commuter agencies. Planning and execution of drills is the responsibility of the Emergency Preparedness group.

Amtrak participates in responder training conducted at a number of fire academies. Information is provided regarding Amtrak's operation, equipment and emergency evacuation procedures. Included are:

- Texas A & M University
- Orange County, California
- Mercer County, New Jersey
- Fairfax County, Virginia
- Meridian, Mississippi (Regional)

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SECTION 14. CONFIGURATION MANAGEMENT

14-A. INTRODUCTION

Amtrak's Configuration Management process is used to ensure that the physical and functional accuracy of the corporation's property, equipment, facilities and systems is properly documented. This process includes both new construction and modifications to the existing system.

In general, the department implementing the change is responsible for oversight of the configuration management process and performing timely and accurate review, approval and recording. Major responsibility for configuration management lies within our Mechanical Department and Engineering Department. Engineering includes groups that address systems and components related to electric traction, communications/signals, track and structures.

14-B. MECHANICAL DEPARTMENT

The Bureau of Rolling Stock Engineering group is responsible for reviewing proposals for new equipment or modifications to existing equipment to determine feasibility and cost effectiveness. Once projects are approved, Rolling Stock Engineering develops the required specifications/prints/drawings, oversees and/or conducts regulatory testing and maintains all required documentation.

The approved configuration of each car type in Amtrak's system is maintained during Preventive Maintenance (P.M.) Inspections. Temporary repairs discovered during the P.M. Inspection will be removed and the car restored to its original condition or some approved alternate. Only those modifications that have been documented through the SMP 25005 process will be allowed to continue in service.

SMP 25005 requires that an **Equipment Modification Form** be utilized to obtain approval for any permanent modification to equipment. Employees of the Engineering, Materials Management or Mechanical Departments can generate this form, which is also used to track the status and completion of modifications. The Equipment Modification Form will be used to describe each modification, identify costs, establish an implementation timetable and identify those responsible for developing and completing the modification.

14-C. ELECTRIC TRACTION DEPARTMENT

Electric Traction's staff Design Team is responsible for producing, evaluating, approving, maintaining and updating all relevant construction and maintenance documents, prints, drawings and specifications. Geographic area of responsibility includes Washington, D.C. to Boston and Philadelphia to Harrisburg. This group consists of a Director of E.T. Design, Senior Engineer – Catenary, Senior Engineer – Substations, Senior E.T. Designer, Field Engineer, E.T., and a Planning/Integration Manager. Functional areas for the Design team include the following:

Reimbursable Projects - Includes work by outside parties that occurs adjacent to, or that directly affects Amtrak's overhead catenary system (OCS) or Electrification Power Supply System. Plans for such projects are normally generated by outside consultants and reviewed and approved by E. T. Design prior to implementation.

Capital Projects - Design plans for capital work are developed either by consultants or by E. T. Design, depending on the complexity and scope of the project. E.T. Design is responsible to ensure compliance with Amtrak Standards as well as regulatory agency and industry standards.

Maintenance - Includes system modifications resulting from the day-to-day operation. Design changes initiated at the field level are "marked-up" on prints and forwarded to E.T. Design for update to master documents. Problems affecting train operations are reviewed and solutions investigated.

Planning - Includes the testing and evaluation of new products and technologies prior to Amtrak use. Also includes any inter-departmental design coordination required for projects and/or maintenance.

14-D. COMMUNICATIONS AND SIGNALS (C & S) DEPARTMENT

The C&S Design Team is responsible for evaluating, approving and maintaining all construction and maintenance documents, prints, drawings and specifications relative to signal systems. This team is led by the Director of Signal Design Standards and includes a Manager of Signal Standards, four Senior Engineers – Signal Design, four Circuit Engineers and two CAD Engineers. Functional areas for the Design team include the following:

Reimbursable Projects – Includes work that occurs near to or that directly affects Amtrak's signal system. Plans for such projects are normally generated by outside consultants and reviewed/approved by Amtrak's C & S Design team prior to implementation.

Capital Projects – Design plans for capital work are developed either by consultants or by C & S Design, depending on complexity and scope of the project.

Maintenance – Includes system modifications resulting from the day-to-day operation. Design changes initiated at the field level are "marked-up" on local prints and forwarded to C & S Design for update to master prints. Revised documents are then supplied back to field locations.

14-E. TRACK DEPARTMENT

The Track Department staff is responsible for creating, evaluating, approving and maintaining all construction and maintenance documents, prints, drawings, standards, engineering practices, and specifications relative to track and roadbed including additions and improvements for capital, maintenance, and reimbursable projects. Additional responsibilities include ensuring compliance with established work practices and standards set by Amtrak and the FRA (Federal Railway Administration). Technical assistance is provided to develop the "Track State of Good Repair Program".

Design and Layout: The design and layout group is responsible for creating track design plans from the “idea” phase right through the contract document drawings. In situations where the in-house staff elects to use outside consultants, and in cases where designs created by outsiders are submitted for Amtrak’s approval, the design staff reviews the design, advises where improvements can be made, and determines if the overall design meets Amtrak’s standards. Field surveys needed for design can be performed by Amtrak surveyors located strategically on the NEC; after designs are completed and approved, the same surveyors for construction can lay them out on the ground. Amtrak’s surveyors must often coordinate the efforts of outside surveyors both from a safety and an engineering standpoint.

Maintenance and Compliance

The maintenance and compliance group responsibilities include technical support and management of all system wide track & structures welding activities, rail testing and grinding, track inspection audits, establishing and monitoring of a wayside tree and brush cutting program, plus system wide vegetation control programs. This group also is required to ensure understanding by field employees of Track Safety Standards and Amtrak’s MW 1000 through regular auditing and by providing workshops as required. New initiatives, including increasing civil operating speeds, and Track Project Development including interlocking schematics, curve modifications, special track-work, technical guidance, and wayside rail lubrication research are tasks performed by this group. Track Geometry Car operation and activities are coordinated to ensure all defects are minimized and root cause analysis is performed to determine trends and other anomalies. Various studies are underway or have been concluded including: NEC – Rail Wear Study (All three divisions), movable point frog repairs, “Buckle Risk”, Boutet Welds, Defective Concrete Tie Analysis, Rail Wear, and Rail Defects.

Standards: The Track Standards group is responsible for creating, modifying, and maintaining Standard Plans, Engineering Practices, Specifications, the MW 1000 that covers the Limits and Specifications for the Safety Maintenance and Construction of Track and other standards and procedures used in the construction and maintenance of track related facilities. These documents are used by consultants, vendors, and track work manufacturers, as well as Amtrak track forces, to assist in the design and construction of track layouts and components, such as turnouts and special track work items. The Track Standards group is also responsible for inspecting these components to ensure that they comply with Amtrak’s standards. In addition, the Track Standards group is responsible for testing new special track work related items to promote compliance with Track standards.

14-F. STRUCTURES DEPARTMENT

The Structures Department staff has responsibility for evaluating and approving all construction documents, prints, drawings and specifications relative to Amtrak’s buildings, structures, tunnels, bridges and stations. The group consists of Director Structures Maintenance and Inspection, Director Facilities Design, Director Structural Design, Director Station Programs and a Document Control Officer, along with a staff of engineers and architects.

Functional areas primarily include new construction, major rehabilitation, and reimbursable projects that occur on Amtrak owned property or on Amtrak owned buildings, structures or stations. Design plans are developed by either architecture or engineering consultants or by in-house architects and engineers. Work must be consistent with accepted engineering principles/practices and comply with relevant building codes, FRA regulations and railroad clearance requirements.

SECTION 15. EMPLOYEE SAFETY PROGRAM

15-A. INTRODUCTION

Amtrak is committed to the safety of its employees. This commitment requires that Amtrak provide a reasonably safe work environment, suitable tools and equipment, and proper instruction/supervision. Employees also have responsibilities. They are expected to know and obey safety and operational rules relevant to their duties, and adhere to the applicable safety programs, policies and procedures. Many safety resources and programs are available to craft and management employees to help identify and reasonably address foreseeable hazards and to prevent injuries. The programs and strategies described in this section are effective methods of directly influencing safety performance. Each program addresses safety performance from a unique perspective.

Programs and strategies alone do not produce desired safety performance. Safety success starts with commitment and progresses through attitude and motivation. These qualities should be evident in all employees, for upon this foundation, rest the building blocks of programs and strategies.

Amtrak's Safety Program is built around the following six **aspirational fundamentals**:

- 7. All injuries are preventable.*
- 8. All risk can be reduced or eliminated.*
- 9. Prevention of injuries and accidents is the responsibility of each employee.*
- 10. Effective training is essential for excellent safety performance.*
- 11. Safety is a condition of employment.*
- 12. Safety is an essential element of our business.*

Requiring safety briefings prior to work activities, business meetings and group activities demonstrates the Amtrak commitment to safety and concern for employee health and welfare. Ownership of this activity rests with the responsible Amtrak representative. On-site safety briefings describe an identified evacuation plan/route in the event of an emergency and that key response roles are assigned. Prior to meetings, participants should determine:

- Emergency exit routes and assembly points
- Presence and location of fire extinguishers, alarms, smoke detectors and sprinklers
- Individual(s) responsible for providing first-aid and/or CPR
- Individual(s) responsible for obtaining immediate assistance and directing response efforts (cell phone, "house" phone)

15-B. PERSONAL SAFETY STATEMENT

Safety performance will become important to your co-workers only when they perceive it is important to all supervisors. Each employee should have their own personal policy statement, reinforced by actions consistent with safety and operating rules. It is an essential element in convincing employees of personal involvement and commitment to the safety process.

One of the first acts in implementing the safety process on a local level is to issue a personal policy statement which reaffirms commitment to safe operations, outlines safe job performance, expresses a genuine concern for the safety and health of employees, and conveys safety goals. Supervisors' personal safety statements should be reviewed and reissued no later than October 31 of each year.

15-C. SAFETY GOALS

The Amtrak Safety Executive Oversight Committee (SEOC) will set the overall company safety goal. Setting performance goals is an important part of planning for continuous improvement in the safety of all operations.

Starting from the top, department heads and all managers will institute safety performance goals to be reviewed each quarter.

Department heads from Corporate, Transportation, Engineering and Mechanical will establish safety goals, subject to review and approval, for their individual areas.

Division Superintendents, Master Mechanics, Shop Managers, Division Engineers, etc. on divisions, major shops and terminals will set safety performance goals. The following sources can be utilized to assist you in goal setting:

- Past performance
- Number of lost time injuries
- Number of injury reports
- Medical attention injuries
- Total days lost due to injury
- Total days restricted activity due to injury
- Quarterly personal contacts

Goals should be clearly identified, realistic, measurable and related to a specific time frame; for example, "...to reduce the number of days lost due to injury by 10% during the fiscal year."

Inform all personnel of approved safety performance goals. In addition, publicize and update actual safety performance in relation to goals often enough so that each employee knows exactly what kind of progress has been made towards achieving those goals.

15-D. CAUSE ANALYSIS

Amtrak is committed to providing a safe work environment and avoiding injury to Amtrak employees, passengers, and contractors. The thorough investigation and candid self-evaluation processes undertaken by Amtrak are designed to strengthen its commitments to the safety of its employees and to providing safe and efficient services to the traveling public. Amtrak will investigate accidents, injuries, and illnesses with the intention of identifying and addressing behaviors and/or conditions that may have led to or contributed to the incident, and evaluating the effectiveness of associated safety management processes. For a further discussion of these issues, see EHS-S-004, Procedure For Injury and Incident Investigation.

An accident may indicate a “breakdown” in equipment, operating procedure, or personnel. Only a thorough and timely accident investigation can reveal the cause. Supervisors are to investigate, wherever they occur, all injuries, regardless of severity, to employees when on duty or off-duty and on company property. The purpose of these inquiries is to determine the facts about the accident/injury. If appropriate, a safe reconstruction of the incident should take place, along with photographs, which could be helpful in determining what happened and how to prevent reoccurrences.

All accidents and injury cause analysis is triggered by the completion of the Accident Reporting Form NRPC 2673 (UOR) or the Injury Reporting Form NRPC 260. Completion of these forms is defined in the Accurate Reporting of Accidents and Incidents Policy (3.10.2) and the Accurate Reporting of Injuries and Illnesses Policy (3.11.1).

If the accident was caused by equipment malfunction, simply repairing it is not enough. Is there a design or maintenance problem? Has the problem been reported satisfactorily and was initial response adequate? If not, handle it for correction. A thorough inspection by qualified personnel should be conducted to determine if equipment was defective. If equipment is found to be defective, further evaluation of equipment conducted by the appropriate department, EHS Department, manufacturer, or appropriate vendor may be necessary. What, if any further remedial measures are appropriate?

If the accident was caused by the operating procedure or equipment design, then the procedure or equipment should be changed to eliminate future occurrences. If risk cannot be totally removed from the operating procedure or equipment design, then it must be mitigated to the fullest extent reasonable.

If the accident was caused by the employee’s failure to follow correct procedure, find out whether this is the first time he has done so and whether or not other employees are doing the same thing. Check into the thoroughness of their safety training and into past responses of line supervision to similar procedure breaches. If the performance problem is a skill deficiency, correct with training. If the problem is not a skill deficiency, arrange appropriate safeguards and/or consequences for non-compliance.

All accidents, no matter how minor, must be investigated in order to determine the cause and, when appropriate initiate reasonable corrective action. In addition, managers should review all

accident/injury reports to assure adequate investigation and appropriate corrective action. A full and thorough investigation is essential and it is critical to focus attention to the specific facts involved. Anything less than a full investigation is unacceptable.

15-E. RULES EXAMINATION

Annual operating rules examinations are required for all employees whose duties are prescribed by the Operating Rules.

See Section 8 for Rules/Procedures Review

15-F. SAFETY PROGRAMS - OVERVIEW

While there are a wide variety of individual safety and health programs currently in use at Amtrak, some major programs can be identified that are universal and widely utilized across divisions and departments. Two of these, Accident Investigation and Training, are described under separate headings within the Plan. Additional subject areas include Job Briefings, Safety Meetings, Audits and Inspections, Job Safety Analysis, Work Plans, Employee Safety Committees, Safety Walkabouts, Safety Recognition, Safety Performance Reviews, and Safety “Stand-Downs” and Safety Blitzes. A brief description of each of these programs is provided below. A comprehensive list of current safety programs and policies can be found at the end of this section in **Appendix 15A**.

JOB BRIEFINGS: Supervisors and employees are to conduct localized independent job briefing and safety meetings at work locations with the people that are to do the work. The focus of such meetings is generally to discuss specific work or tasks to be performed that day. Items of discussion should include, but are not limited to, job or work procedures and suggestions for improving work methods, which would address appropriate lifting and bending procedures.

The key to making job briefings informative and effective is to have group or team participation. The group discussion should include a plan and any procedures or core safety rules involved and what tools and equipment are needed for the job. *What needs to be done? How should it be done? What are the potential hazards? Talk it through, Work Assignments: Who will do what, when and where? What if a hazard emerges? What are the weather conditions and precautions that may need to be taken? Is everyone mentally alert and focused?* Another job briefing is needed if the job changes or new task is begun. Take time to make the right plan and talk it over. Communicate and stay alert.

The following are examples of the type of information to be communicated during job briefings and safety meetings:

The Lockout-Tagout Program is designed to reduce the potential for injuries and fatalities that result from the startup or movement of machines/equipment while being serviced or repaired. When locking out a machine, a lock is installed on an energy isolating device such as a disconnect switch so that the equipment cannot be restarted until the lock is removed. Tagout refers to tags that are attached to an isolating device as a warning to others not to restore energy.

In addition to locks and tags, some equipment requires the blocking or releasing of stored and potential energy.

Roadway Worker Protection communication should be included in the job briefing. Before any member of a roadway worker group fouls a track, the designated person providing on-track safety for the group is to inform each roadway worker of the on-track safety procedure(s) to be used and followed during the performance of the work. When the protection changes during the work period, each roadway worker involved is to be advised.

INDIVIDUAL INVOLVEMENT: Direct involvement by the individual employee, which is absolutely essential to the success of the safety process, can be accomplished in many ways. Some examples would be:

Training in correct work methods

Immediate correction of unsafe work habits in a judicious manner, and reinforcement of proper work habits

Individual participation in safety meetings, safety inspections and audits

Recognition of individual contributions to the safety effort

Group and individual safety awards

SAFETY MEETINGS: Routine safety meetings help train employees, share important safety information, promote teamwork, encourage peer recognition and build morale. Structured safety meetings can demonstrate management commitment to safety as effectively as any other resource. Employees look forward to the meetings if they know management will cooperate with them, answer questions, and take realistic follow-up action. The resultant spirit of cooperation allows accountability and mutual respect to thrive even though complex issues may take time to resolve to everyone's satisfaction.

AUDITS AND INSPECTIONS: Procedures or rules not followed and unsafe acts and critical behaviors left unchecked are potential accidents in the making. Early detection via observation and quality audits focusing on these problems, plus resultant employee training, reduces the probability for serious accidents and injury. Therefore, audits of work practices will be conducted by supervisors on a regular basis. When practicable, a member of the work group being audited will participate in the audit and the findings will be discussed with the group as soon as possible following the audit. When observation or audits indicate improper or lack of job knowledge, then training or retraining is indicated.

Safety audits should be viewed as a vehicle for involving employees and promoting continued improvements in work/job processes and correcting unsafe behaviors. A small committee of three or four qualified people may want to conduct a safety audit on their gang or on another gang in close proximity.

Daily observations of employee work practices by both supervisors and employees during the course of normal work activities will raise the level of awareness for safety among all employees in the group.

In addition to daily observations, weekly safety audits observing work habits and work practices are to be conducted by each supervisor accompanied by a designated employee. The results of these audits are to be recorded on the prescribed form and retained on file for one year by the supervisor.

All safety audits are to be performed in plain view. Rule violations, unsafe work practices, and shortcuts shall be addressed immediately via instruction and/or demonstration. The employee(s) understanding of the correct procedure is to be obtained through the employee(s) demonstration of the procedure immediately after the supervisor's instruction/demonstration. Review job procedures and encourage employee suggestions. Discuss and evaluate suggested improvements in work methods and procedures.

Discipline should not be administered as a result of safety audits unless employees involved are violating Rule G or rules and procedures previously covered during personal instruction or demonstration (e.g., continued unsafe behaviors, insubordination/failure to follow instructions). Safety audits will be designed to be a learning experience, and are not intended to be a disciplinary trouble-shooting tool feared by employees.

Regularly scheduled audits shall be accomplished using standardized NRPC Audit Forms. Engineering, Mechanical, Transportation and Corporate shall develop and post standardized forms for their respective departments.

See Section 24 for Internal Safety Management Assessment

QUARTERLY PERSONAL CONTACT: Every quarter, each supervisor will initiate a minimum of one personal recorded safety contact with each of their employees. This contact will permit a meeting with employees on a regular basis, individually or in small groups, to discuss areas of concern to both the supervisor and the employee(s). This affords the supervisor and employee(s) the opportunity to effectively communicate with one another, and listening is one of the most effective methods of communication. This contact will provide positive reinforcement and an opportunity to check understanding of safety practices. It emphasizes concern for the health, welfare and safety of employees.

In order to maximize the benefits of these quarterly personal contacts, be prepared to give a message about one or more safe work procedures and the benefits of compliance. Master the subject matter and anticipate questions. Explain the safest method, approach or application and encourage your employees to clarify their understanding through discussion and/or demonstration.

Above all, don't limit safety talks to safety meetings or quarterly contacts by making them a part of every group meeting. Remember that repeated exposure and contact represent the basic stepping-stones for development of morale, enthusiasm and interest.

SAFETY TRAINING: Safety is an integral part of all training. Recognition of unsafe work practices requires knowledge of the safety rules, inherent hazards and the proper methods of addressing them. Employees can benefit from knowing and understanding applicable safety rules, correct job procedures and safeguards.

Employees must not assume risks that potentially endanger not only their own welfare, but also that of others. Effective training must attack identified problems vigorously. When employees and supervisors are trained to recognize the hazards associated with the particular functions of their jobs, they develop a clear-cut perception of potential danger (basically an unacceptable combination of hazard plus risk) and an attitude of safe behavior. As people develop an attitude of safe behavior they begin to recognize critical behaviors and evaporative or unsafe acts, which if left unchecked, might lead to accidents or injury.

On-going training benefits even the most experienced employee by re-emphasizing that hazardous and risky situations on the job can never be taken for granted. Safety training should emphasize using job briefings and undivided attention to duty.

SAFETY ACCOUNTABILITY: Each employee will be responsible for the prevention of injuries and accidents. Each employee is held personally accountable for safety performance, regardless of job position.

SAFETY DISCIPLINE: Safety accountability requires some established form of safety discipline. Whether or not an accident occurs, be prepared to recognize and correct, on the spot, any safety infraction, careless act or improper procedure. Safety and general conduct rules must be enforced, but setting quotas for finding rule violations, employee harassment, etc., discredits the integrity of the safety process and will not be tolerated.

Discipline is one process by which rules compliance is encouraged. However, in most cases, leadership, training, auditing, job briefings and on-the-job counseling achieves and maintains satisfactory safety performance.

When employees fail to respond to counseling, education, and discipline and engage in unsafe behaviors, an investigation in accordance with applicable working agreements should be held, including assessing further administrative actions.

JOB SAFETY ANALYSES: A job safety analysis (JSA) is a process designed to make a job as safe as is reasonably possible by breaking the job into separate steps, identifying the foreseeable hazards associated with each step, and deciding on actions or procedures to address those hazards.

Workers and supervisors actually performing the job are the best qualified to do JSAs. They know the job steps and the hazards. JSAs have real value when workers describe what the process should be and when they recommend changes. The JSA process is not just the written product. The whole purpose is to have supervisors and employees cooperate in the JSA experience. In some locations, safety committee members and safety staff assist workers and supervisors in doing JSAs, particularly the first few.

Completed JSAs may be used as a training tool, to identify workplace hazards, for accident investigations, for machine and tool inspections, for efficiency and standardization, and to help supervisors learn job details. JSAs should be kept in a central area and available for reference/review by both craft and supervisory employees. A detailed description of JSAs can be found in **Section 4 - Hazard Management**.

WORK PLANS: A work plan allows a group, working on a particular job or project, to plan, review, and set requirements for all safety, industrial hygiene, and environmental concerns associated with that project. It is an action plan and analysis of a complete project or process and not of the specific steps to do a certain task.

Work plans should be completed by management, supervision, and craft employees working together to answer, for all aspects of the project, the following questions: What do we want to do? How will we do it? What is the worst that can happen? How can we prevent it from happening? Work plans should cover, but are not limited to the following:

- Job description and scope of work
- Production and material requirements
- Training requirements
- Time constraints and deadlines
- Workplace hazard assessment
- Engineering and administrative requirements for hazard reduction
- PPE requirements
- Briefing requirements and responsibilities
- Emergency response

Work Plans are also described in **Section 4 – Hazard Management**.

EMPLOYEE SAFETY COMMITTEES: A safety committee can be a vital link in any injury reduction program. Committee members should be persons committed to safety: their own, their peers', and Amtrak customers' safety. Safety committee members can identify and often correct unsafe conditions as well as work toward eliminating unsafe acts.

The greatest benefit of a strong safety committee is the communications network developed between labor and management. The process of jointly acting to address safety concerns is as important as the concerns themselves.

Safety committee organization, composition, and selection varies greatly within functional groups. Some committees contain both management and craft representative and others only craft employees. Labor organizations are involved in member selection and committee operation in different ways also. Management contact with safety committees varies in form, but in all successful programs craft and management cooperate to take appropriate action.

Safety committee members have worked effectively in the following areas:

- Walkabouts & inspections
- Work plans
- Training

- Hazard assessments & JSAs
- Accident investigations
- Safety awareness programs

SAFETY WALKABOUTS: Walkabouts are an opportunity for management and labor teams to interact with employees in the workplace to discuss specific themes and topics. Walkabouts are generally formal and structured events rather than management simply walking around in the performance of normal duties.

Walkabouts should involve top management as well as middle and first-line management. Individual facilities and workplaces can be targeted for saturation walkabouts, or teams can spread out over wider areas, such as an entire division. Walkabouts are not inspections. The purpose is to meet, greet, and talk with employees about safety.

Notice and act upon identified potentially unsafe conditions and behaviors. As in managing by walking about, the level and type of intervention may vary depending upon circumstances; however, you cannot afford to give tacit approval to discrepancies by not noticing and acting upon them.

SAFETY RECOGNITION: People tend to repeat behavior for which they have been rewarded. Often, we commend employees who bring a late train in on time or who meet a tight production schedule. We should discourage instances in which these objectives are accomplished by taking risks and/or shortcuts that eventually result in serious accidents, thus undermining the efforts of our safety process.

EMPHASIZE THAT “NO JOB IS SO IMPORTANT AND NO SERVICE SO URGENT THAT WE CANNOT TAKE THE TIME TO PERFORM OUR WORK SAFELY.”

Be sure to provide special recognition and incentives for those areas achieving notable safety improvement or sustaining accident-free performance. Commend and recognize individuals and groups who have contributed significantly of their time and efforts to the success of the safety process.

The family’s influence on an employee’s job performance and safety consciousness cannot be underestimated. Try to involve family members in the employee’s work community whenever possible. Annual family safety meetings, picnics or other gatherings, within budget allowance, provide an ideal opportunity to enhance family participation in safety, both on and off the job.

SAFETY PERFORMANCE REVIEW: Line management will conduct safety performance reviews. Employees whose past safety performance shows that they are at increased risk of being injured again should be identified and addressed to change safety-related behaviors.

A safety performance review can provide both training and counseling. It shows repeatedly injured employees how their behavior contributed to or caused their injuries. It identifies both unacceptable and desired behaviors. A safety performance review can also be used in response

to rule violations and other undesired behaviors that may not yet have caused accidents or injuries. If done individually, the program can be given to groups of employees as long as specific job performance counseling is done one-on-one. The program includes a complete Instructor Guide that gives step-by-step instructions on selecting instructors and participants, preparing for the class, and actually how to conduct the training and counseling. **See SOP EHS-S-003 Conducting a Safety Performance Review**

SAFETY “STAND-DOWNS” and/or “SAFETY BLITZES”: Sharing safety-related information quickly and effectively following serious injuries, major accidents/incidents, or near misses is desirable, and in some instances, critical. The purpose is to attempt to reasonably prevent recurrence by identifying contributing events and ensuring that employees understand the required behaviors/processes and applicable rules/policies. Stand-downs and Blitzes facilitate meaningful safety discussion through face-to-face contact and joint participation by labor and management. They dictate a critical review of work practices and demonstrate the importance of safety and operational rule compliance.

Appendix 15A

DESCRIPTIONS OF INDIVIDUAL SAFETY RESOURCES

System Safety & Industrial Hygiene Audit Manual

A collection of brief explanations and audit checklists for sixteen safety critical compliance areas used to objectively measure compliance status of facilities or work groups. Items include Blue Signal Protection, Confined Space Entry, Emergency Evacuation, Fire Protection, General Safety Practices, Hazard Communication, Hazardous Waste Management (RCRA), Hearing Conservation, Housekeeping, Lock Out /Tag Out, Personal Protective Equipment, Pollution Control Systems Compliance, Respiratory Protection, Safety Training, Sanitation – Food & Public Health, and Storm Water Pollution Prevention Plans.

Bloodborne Pathogens Program

The policies and program document developed by Amtrak's Medical Services to guide compliance with the OSHA Bloodborne Pathogens rule. Addresses such issues as who is covered, what training is required and the protective measures used for "Universal Precautions" when dealing with incidents involving blood or other pathogenic materials.

Respiratory Protection Program Manual

Provides comprehensive instruction for respirator use. Emphasis is placed on characterization of the work site to determine the level and type of protection required. Provides direction on the qualification process including medical certification, respirator fit testing, and training in the care and use of respirators. Includes the OSHA Standard for reference.

Compliance Program Manual for Hazard Communication

This is a document that describes the tools and methods Amtrak uses to comply with the OSHA Hazard Communication program. Ensures that employees know of potential hazards on any materials they work with or to which they are exposed and that they know how to read and obtain Material Safety Data Sheets.

Contractor/Lessee/Agency Employee Safety Program

This program prepares contractors and lessees for entry onto Amtrak property. Material includes an overview of railroad operation, description of hazards unique to railroad operation and discussion of general and site-specific safety requirements. Emphasis is placed on the movement and protection of trains, electrification, emergency response, and the role of Amtrak support personnel.

Policy & Program for Hearing Conservation and Noise Control

Explains how Amtrak meets OSHA requirements regarding sound level exposure and how we protect our employees. Subject areas include sound level monitoring and the use of administrative and engineering control measures. Also addresses audiometric testing of employees and utilization of hearing protection to reduce exposure.

Policy & Procedures for Cleanup of Human Remains

This document addresses a specific aspect of compliance with the Bloodborne Pathogens rule in the manner we handle the outcomes of trespasser strikes. It establishes specific procedures and responsibilities for each one of the groups potentially involved in dealing with these events.

Amtrak Internal Control Plan for Accident/Incident Reporting

This publication clearly describes all the steps required for reporting injuries/illnesses, rail equipment accidents and grade-crossing incidents. Flow charts are provided that describe processes from employee notification to FRA reporting. Samples of all required reporting forms are also included.

Job Safety Analysis – Summary and Form

Describes how to break a job into its basic tasks, identify potential hazards associated with each step and determine the actions necessary to control or eliminate those hazards. Additional material describes how to target jobs and best utilize completed JSAs. A JSA form is included to facilitate the process.

Lock Out / Tag Out – Audit Form, Checklist, Advisory and Training Outlines

These documents were developed for use in activities where LOTO is required. They help guide and evaluate compliance with the LOTO rules to ensure Amtrak workers are protected from hazardous energy while they are performing service and maintenance on machines and equipment.

Policy and Procedures for Personal Protective Equipment

Contains Amtrak Personal Protective Equipment (PPE) policy and defines training/compliance requirements. Includes OSHA guidelines and a hazard assessment form to help determine PPE requirements for specific jobs and/or work locations.

Guide to Safety and Personal Protective Equipment

Contains descriptions and illustrations of Amtrak approved personal protective equipment (PPE) and safety-related items. Includes Amtrak's PPE Policy and an Audit Form for determining needs. Catalog section addresses eye, face, head, hand, respiratory, leg and foot protection as well identifying safety items required by roadway workers, welders and employees working in elevated locations (fall protection).

Policy and Procedures for Investigation and Reporting of Asserted Occupational Illness

This procedure was developed to address the unique technical needs in incident investigation when employees sustain occupational illnesses. It includes guidance for selecting the proper expertise to conduct investigations and specifically defines the types of information to be collected.

Amtrak Roadway Worker Protection Manual

Developed by Amtrak's Engineering Department, the Manual provides step-by-step instructions to ensure protection of right-of-way personnel and compliance with Federal Railroad

Administration legislation. Includes training and qualification requirements, schedule of civil penalties, lists of right-of-way "Hot Spots" and protocol for reporting Close Calls.

Managers and Supervisors Safety Awareness Training Manual

These documents were prepared to give line managers and supervisors Compliance Awareness training, a Job Briefing outline, Job Briefing Handouts, and References for a number of other topical areas of safety concern.

Material Safety Data Sheets – (Amtrak’s Online MSDS System)

This is an online system, based in Amtrak's Intranet that permits anyone with access to our network, or, anyone with a telephone and FAX machine, to obtain a copy of any MSDS in the corporate collection.

Policy Program for Work in Confined Spaces

This document describes the specific tools and methods Amtrak uses to comply with this important OSHA rule. The guidance provided here identifies specific roles and responsibilities of all participants (supervisor, entrant, attendant, emergency responder) and is used as the basis for the training programs for each of those roles.

Procedure for Injury and Accident Investigation

Standard Operating Procedure EHS-004. This Procedure establishes Amtrak standards and requirements for the investigation of incidents involving injuries to employees, passengers and contractors. It identifies responsibilities for individuals and departments regarding the investigative team, investigative process, remedial or corrective action, and follow-up.

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SECTION 16. ENVIRONMENTAL MANAGEMENT

16-A. AMTRAK'S ENVIRONMENTAL COMMITMENT

Amtrak is committed to protecting the environment. This commitment includes compliance with applicable environmental laws, regulations, and Amtrak environmental policies and procedures; and through the integration of sound environmental principles and practices into Amtrak's daily business decisions and operations. The key to Amtrak's environmental success is the implementation of an Environmental Management System (EMS) that has the support of executive management and incorporates feedback from the ground level employees.

The goal is to maintain environmental compliance; and through leadership, stewardship and accountability, move past compliance towards environmental program excellence.

16-B. ENVIRONMENTAL MANAGEMENT SYSTEM

Amtrak's Environmental Management System is designed to strengthen and improve our environmental management policies, procedures and performance on an ongoing basis. As a part of this initiative, environmental personnel are dedicated to providing technical support to operations personnel, who have the responsibility for environmental regulatory compliance. The Environmental Coordinators report directly to senior facility managers, and assist them in implementing programs and procedures to promote compliance with local, state and Federal regulations. They are responsible to provide technical guidance to their managers as they conduct environmental activities in the field, and provide training to first-line supervisors and agreement-covered employees on environmental matters such as wastewater treatment, stormwater regulations, spill prevention and control, hazardous materials storage and disposal and pollution prevention.

Amtrak's environmental management system is designed to promote a less polluting working environment for employees and the public, and at the same time educate employees to the potential issues operating a national railroad can pose to the environment, and how their efforts can support a clean environment for everyone.

Elements of Amtrak's EMS:

- 1) Environmental policies and procedures
- 2) Internal guidance from senior environmental professionals
- 3) Training and awareness for employees
- 4) Mechanisms to detect and resolve problems
- 5) Communication/Technology

1) Environmental Policies and Procedures

Corporate Environmental Policy: Amtrak is committed to protecting human health and the environment. This commitment includes compliance with all applicable environmental laws and regulations, all Amtrak environmental policies and procedures, and the integration of sound environmental principles and practices into all of our business decisions and operations. Our environmental commitment is based on the principles of leadership, stewardship and compliance.

Published Documents: In order to provide guidance and leadership on a number of key environmental issues, Amtrak has published a number of documents to support and detail various components of the EMS Program. This is a dynamic program and a copy of the most recent version of all these documents is available at each Amtrak-audited facility and on Amtrak's Intranet. An index is also maintained of all documents issued.

Policies and Protocols: Amtrak has issued a number of environmental policies and protocols to establish the environmental requirements that must be met by our employees, system-wide. This includes compliance with applicable Federal and state environmental regulations, and with corporate environmental standards. They include:

- Environmental Gap Protocol
- Environmental Accountability and Responsibility Policy
- Pollution Prevention Policy
- Environmental Review Policy
- Integrated Environmental Emergency Response Policy

Guidance Documents: These documents provide detailed descriptions of the steps needed to fully implement Amtrak's major environmental policies and protocols. Included are:

- Environmental Record-keeping Guidance
- Environmental Housekeeping Guidance
- Hazardous Waste Management Guidance
- Environmental Accountability and Responsibility Guidance
- Pollution Prevention Guidance
- Environmental Review Guidance
- Integrated Environmental Emergency Response Guidance

Procedures and Standards: These documents are designed to provide technical guidance on a number of commonly encountered environmental issues.

- Environmental "Timeout" Procedures
- Soil / Ballast / Spoils Testing Procedures

Program Manuals: These manuals provide detailed descriptions of the EMS System and major environmental program elements.

- Audit and Corrective Action Program Manual
- Environmental Management System Manual
- Environmental Handbook
- Facility Environmental Manuals
- Division Environmental Manuals

Copies of the most current Environmental Policies, Procedures & Standards, Program Manuals, and Guidance Documents can be found on Amtrak's Intranet in the Environmental section of "How We Work".

2) Environmental Department

A staff of environmental managers across the Amtrak system is available for support and guidance. The Environmental Department employees set procedures and policies, implement audit and corrective action programs, manage the environmental capital program and support field environmental personnel with maintaining compliance with Federal, state and local environmental laws and regulations.

The field environmental personnel work closely with local supervision in implementing programs, procedures and policies, and coordinate the training of Amtrak management and craft personnel on environmental regulations.

ENVIRONMENTAL DEPARTMENT *			
Name	Location	Title	Telephone
Roy Deitchman	Washington	VP Environmental, Health & Safety	202-906-3278
Craig Caldwell	Philadelphia	Superintendent Environmental	215-349-6968
Chris LoRusso	Boston	Director, Environmental (Compliance Auditing)	617-345-7738
Rob Graham	Boston	Senior Environmental Coordinator (New England Division)	617-345-7534
Ellen Jurczak	Chicago	Senior Environmental Coordinator (Central & Southern Divisions)	312-880-5310
Andy Girardi	Washington	Senior Environmental Coordinator (Compliance Auditing)	215-349-2779
Charles Lin	Washington	Director, Environmental (Technical Support)	202-906-3273
July Kunz	Oakland	Senior Environmental Coordinator (Pacific Division)	510-873-6151
Rich Mohlenhoff	New York	Director Environmental Field Operations	212-630-7249
Madina Alharazim	Washington	Senior Environmental Coordinator (Procedures & Training)	202-906-3217

Lisa Mozee	Washington	Director, Environmental (Policies & Programs)	202-906-3209
Jack Schweitzer	Philadelphia	Senior Environmental Coordinator (Mid-Atlantic Division)	215-349-2744
Frank Sobota	Philadelphia	Senior Environmental Engineer	215-349-1569
Wade Smith	Los Angeles	Senior Environmental Coordinator (Southwest Division)	213-683-6721
Vacant	Washington	Executive Assistant	202-906-3239
Emma Cattafi	New York	Senior Environmental Coordinator (New York Division)	202-906-6215
Sue Santini	New York	Clerk	212-630-7232
Joanne Hartman	Philadelphia	Secretary	215-349-3700
FIELD ENVIRONMENTAL PERSONNEL *			
Sandra Yan	New Haven, CT	Field Environmental Coordinator	203-773-6313
George Bray	Boston	Field Environmental Coordinator	617-345-7827
Rick Moudy	Philadelphia	Field Environmental Coordinator	215-349-1867
Al Feeley	Washington & Phila.	Field Environmental Coordinator	215-349-4914
Harry Seubert	Long Island City, NY	Field Environmental Coordinator	212-630-6707
Pat Teeter	North Brunswick, NJ	Field Environmental Coordinator	732-940-5859
Sue Mc Faul	Chicago	Field Environmental Coordinator	312-655-3642
Charles Bateman	Jacksonville	Field Environmental Coordinator	407-330-6014
James Eaton	New Orleans	Field Environmental Coordinator	504-596-2070
Pete Zavala	Los Angeles	Field Environmental Coordinator	213-891-3517
Tami Calderon	Los Angeles	Field Environmental Coordinator	213-683-3528
Michael Henderson	Seattle	Field Environmental Coordinator	206-382-4728
Jeff Fike	Oakland	Field Environmental Coordinator	510-433-5627
Andy Enzman	Wilmington	Field Environmental Coordinator	302-429-6458
Bill Lowes	Beech Grove	Field Environmental Coordinator	317-263-0548
Joe Rielly	Bear	Field Environmental Coordinator	302-836-7780

**Note: Check Amtrak's Intranet for current incumbents and telephone numbers.*

3) Training and Awareness

The Environmental Department develops procedures, manuals, handbooks, and guidelines as needed for Amtrak management and craft personnel, and is responsible for developing and implementing environmental compliance training programs based on Federal, state and local environmental regulations and Amtrak's EMS policies, procedures and programs.

Amtrak has developed Environmental Awareness training programs that identify and explain the major environmental issues that employees need to understand regarding Amtrak's operations and activities. An environmental training matrix has been developed to assist in identifying mandatory environmental training requirements for employees throughout Amtrak's organization.

Amtrak employees are trained in Environmental Awareness. There are four types of awareness training including:

- Environmental Awareness for Engineering employees
- Environmental Awareness for Mechanical employees
- Environmental Awareness for Supervisors of Engineering & Mechanical employees
- General Environmental Awareness

Depending on job duties, additional specific environmental training and/or certification may be needed. The following courses are available:

- Engineering Awareness Training
- Mechanical Awareness Training
- Supervisor Awareness Training
- General Awareness Training
- RCRA Hazardous Waste
- Spill Prevention Control & Countermeasures
- Stormwater Pollution Prevention
- Air Emission Control
- PCB Management
- Wastewater Treatment

4) Audit and Corrective Action Program

Amtrak's Environmental Audit and Corrective Action program, a key component of Amtrak's Environmental Management System, involves comprehensive environmental assessments of 50 Amtrak facilities. These facilities have been designated as "environmentally-active" by Amtrak's Environmental Department.

To achieve the goals stated in the Amtrak Environmental Policy, Amtrak must be able to monitor its performance against its regulatory requirements and internal policies, and address any deficiencies. To this end, Amtrak has developed and has implemented an environmental audit program. The Environmental Audit Program is one of the primary processes for monitoring and

measuring environmental performance across the company and reporting the status to specific Amtrak stakeholders.

Environmental auditing is an independent appraisal function, performed by the Environmental Department with support by the Law Department, to examine and evaluate operations and activities as a service to Amtrak. Environmental auditing furnishes Amtrak personnel with analyses, appraisals, recommendations and information concerning the activities and operations that have been reviewed.

The purpose of the Environmental Audit Program is to:

- Enhance the state of compliance with applicable federal and state environmental laws and regulations, and conformance with corporate environmental policies, procedures and recognized industry standards at each Amtrak facility;
- Identify environmental compliance risks and potential impacts at the facilities;
- Assess the integrity of the environmental management practices and processes employed at the sites;
- Heighten awareness of environmental requirements and corporate expectations at the facility level;
- Enhance the facilities' ability to design and implement solutions to environmental problems through root cause analysis and timely corrective action; and
- Demonstrate environmental due diligence.

The Environmental Audit Program focuses on the state of environmental compliance and conformance at Amtrak's facilities. The audit program covers the following ten environmental topic areas, based upon Amtrak operations:

- Air quality management
- Asbestos and lead based paint
- Hazardous materials management
- Hazardous waste management
- PCB management
- Petroleum, oil and lubricants management
- Solid Waste management
- Storage tank management
- Wastewater management
- Facility Environmental management

In addition to the Audit Program, the Amtrak Facility Assessment Compliance Evaluation (FACE) Program was rolled out in FY04. As part of the Environmental Management System, the FACE Program helps Amtrak assess, report and correct environmental non-conformance at Amtrak facilities and equipment locations that are not included in Amtrak's Environmental Audit Program (Audit Program).

The FACE program is an evolution of the Audit Program designed to assess facilities and operations that present a lower environmental risk than sites included in the Audit Program. As with the Audit Program, FACE findings must be addressed with corrective action plans (CAPs). Amtrak Environmental Coordinators will generally conduct FACE evaluations with support from the Division Senior Environmental Coordinator and the Environmental Department Compliance staff. FACE Findings are reported to the facility responsible Amtrak Official (responsible official). Environmental Coordinators and the Environmental Department work with the responsible official to develop and implement the CAPs, though it is the responsible official's charge to carry out the corrective actions in the CAP. In addition to details of corrective actions, the CAP has an agreed upon timeframe for completion. The Environmental Department will monitor CAP status.

5) Communication and Technology

Communication and Technology are major parts of our environmental effort. Technology and innovation are effective ways to improve our environmental performance, and communicating our efforts to our internal and external customers raises employee and community awareness and increases visibility of the program.

Environmental Information System: Amtrak has an Environmental Information System (EIS) that manages and tracks the following:

- Plans and permits applicable to each of Amtrak's operations and facilities;
- Comprehensive audits and checklists by environmental media;
- Facility specific compliance information for each facility; and
- Key regulatory dates and deadlines.

The EIS is integrated with a Geographical Information System ("GIS") to link the environmental records with the location of the facilities, related structures, and operations that are subject to environmental regulation. The EIS and GIS are also being integrated with existing Amtrak information systems.

For access to the EIS, employees should contact the Manager for Environmental Systems at ATS 777-3277 (: 202-906-3277); or e-mail the Environmental Department at corpenv@amtrak.com.

Environmental Committees: Amtrak has three major committee structures that address environmental policies: the Environmental Executive Oversight Committee (EEOC), the Environmental Management System Steering Committee (EMS Steering Committee), and the EMS Implementation Committees. The EEOC membership consists of the key Amtrak officers in its operating sectors and is chaired by the EVP-Operations and the VP-General Counsel. The EMS Steering Committee membership includes general managers from key operational groups at Amtrak and is chaired by the AVP-Environmental. The EMS Implementation Committees are division and shop-level committees that focus on implementing Amtrak's environmental programs on a local level.

Facility Environmental Manuals: As a part of the EMS initiative, Facility Environmental Manuals (FEMs) are available for the 31 Amtrak-audited locations. These manuals identify environmental requirements and assign responsibilities at the facility level. Designed to complement one another, requirements identified in the facility manuals roll-up to the Division/System Shops manuals, which will also include local level environmental requirements and responsibilities. The Division/System Shops manuals, in turn, rollup to the Operations Branch Compliance Manual.

The manuals contain site-specific information on applicable environmental regulations, calendars that specify compliance dates, and action plans for facility managers and environmental staff. They are designed to help Amtrak monitor its compliance efforts at all levels of the company.

Internal Communications: Sharing the environmental message with employees remains a top priority. A communication plan is available to assist field environmental personnel in conveying important, relevant environmental news to employees in a timely, organized fashion. Where possible, existing communication tools (*Amtrak News*, Employee Advisory) are used and supplemented with new initiatives. The seven-point plan uses the following media to convey information:

- newsletters
- alerts
- e-mails
- posters
- handouts

When necessary environmental alerts are distributed to personnel to provide vital updates on regulatory issues. Examples include:

- Safety Kleen Environmental Alert
- NPDES Discharge Permits Sampling Point Compliance Alert
- Mercury Thermostat Alert
- Fluorescent Tubes Alert
- EPCRA Reporting for Diesel Fuel and Gasoline Alert
- Pollution Control Waste Treatment Systems Alert
- Housekeeping & Storage of Track and Solid Wastes Alert
- Freon Handling in Refrigeration, Freezers and AC Units Alert
- HazCom Training for Incidental Spill Response Alert
- Freon Recycling Equipment Registration

Also, each year, Amtrak issues an Environmental Annual Report, to employees, external shareholders and Federal, state and local environmental agencies.

TRANSPORT OF HAZARDOUS CHEMICALS

Amtrak passenger trains do not transport hazardous chemicals. Freight trains however, utilize Amtrak track in limited instances, and more commonly, operate adjacent to Amtrak right-of-

way. In the event of a spill or release of hazardous chemicals, Amtrak response is guided by the following:

- Northeast Corridor Train Dispatcher's Manual of Instructions
Section 10.0 - Emergency Procedures
- Amtrak Police Department Emergency Procedures Manual
Section 5 - Hazardous Material Incidents

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SECTION 17. DRUG AND ALCOHOL PROGRAMS

17-A. POLICY STATEMENT

Employees are an extremely valuable resource for Amtrak and their health and safety is of prime concern. Since drug misuse and alcohol abuse may pose a serious threat to the employee's health and safety, Amtrak is committed to establishing and maintaining a drug- and alcohol-free workplace. Employees who come to the workplace (on or off duty) with drugs and/or alcohol on their persons or in their bodies constitute an unacceptable hazard to themselves, their fellow workers and the traveling public. Therefore, Amtrak requires that all employees report for and remain on duty, alcohol-and drug-free.

17-B. PROGRAM DESCRIPTION

Purpose

It is the policy of Amtrak to create a safe work environment by establishing and maintaining an alcohol- and drug-free workplace.

This policy prohibits employees from:

Prohibition 1. The unlawful manufacture, distribution, dispensing, sale, possession, use or presence in the body of illegal drugs or controlled substances while on or off-duty, while on company premises or vehicles; except as noted in P8 of this section;

Prohibition 2. The unlawful manufacture, distribution, dispensing, sale or unauthorized use, possession or presence in the body of alcohol or beverage containing alcohol whether on company premises or vehicles, while on or off duty.

Prohibition 3. Reporting for duty or remaining on duty with a blood alcohol concentration of .20% BAC or greater;

Prohibition 4. Using/consuming alcohol (including beverages or medications that contain alcohol) for whichever is the lesser of the following periods:

- within eight (8) hours of reporting for work, or
- after receiving notice to report for work.

Prohibition 5. Violating any applicable Federal regulation or prohibition on controlled substance and alcohol use.

Prohibition 6. The manufacture, distribution, dispensing, sale, use, possession or presence on or in the body, at any time, of any objects, items, substances or liquids that may be used to alter or substitute a natural body fluid or part (e.g. urine, breath, blood, saliva, hair etc.) that are collected in conjunction with this policy.

Prohibition 7. Refusing a drug and/or alcohol-testing event.

Prohibition 8. Prescribed and Over-the-Counter Medications

Reporting for or remaining on duty when the employee's alertness, judgment, coordination, physical behavior or mental responsiveness or ability to perform his/her job safely is affected by any prescribed or Over-the-counter (OTC) medication, including products containing alcohol.

It is the responsibility of the employee to submit the Authorization to Work with Medications (Form NRPC 3133) to Health Services for review and concurrence prior to working with medications that may interfere with safe job performance.

It is the employee's responsibility to consult with a licensed physician or pharmacist, if uncertain whether a medication will adversely affect job performance. When consulting a physician, the employee must describe the specific tasks performed while on duty, not simply state a position title.

Prohibition 9. Refusing to adhere to the Employee Assistance Program (EAP) counselor or Substance Abuse Professional's (SAP) recommended treatment or follow up testing program.

As required by the Federal Drug Free Workplace Act, employees are to notify Amtrak management in writing if they are convicted of violating a criminal drug statute while on company premises no later than five calendar days after such a conviction.

Scope

This policy applies to all Amtrak employees. By accepting employment with Amtrak, an employee will be deemed to have consented to drug and/or alcohol testing under applicable Federal regulations and Amtrak's Drug and Alcohol Policy. Any contractor who performs an hours-of-service function or operates a qualifying commercial motor vehicle on behalf of Amtrak is responsible for maintaining an employee drug and alcohol-testing program which complies with applicable Federal regulatory requirements.

Employee Responsibility

It is the responsibility of each employee to become familiar with the contents of this policy and all applicable Federal regulations. This policy is available to each employee and labor organization for review at each Amtrak Human Resources office and on Amtrak's Intranet. It is also the employee's responsibility to be thoroughly familiar with any substances they are taking since taking any substance without knowing its contents is not an acceptable explanation for violating this policy.

Employee Consent

By accepting employment with Amtrak, an employee will be deemed to have consented to alcohol and/or drug testing under applicable Federal regulations and Amtrak's policy on alcohol and drugs.

Manager and Supervisor

It is the responsibility of each manager and supervisor to become familiar with the contents of this policy, the Amtrak Drug and Alcohol Policy Instructions for Supervisors booklet and any applicable Federal regulations to objectively and consistently apply this policy.

Testing Authority

In certain situations, Amtrak is mandated by the Federal Railroad Administration (FRA) 49 CFR Part 219 & 240 and the Federal Motor Carriers Safety Administration (FMCSA) 49 CFR Part 382 to conduct drug and/or alcohol testing on employees who perform Hours of Service (HOS) functions or hold a Commercial Drivers License (CDL) respectively. Amtrak also conducts drug and/or alcohol testing on all employees in situations not mandated by Federal regulation.

Testing Reasons To ensure that testing is conducted under the correct authority and testing criteria is met, the on-site testing supervisor is to use correct testing terminology when referring to a testing event. The following provides a general overview of authorized Federal and Company testing events that Amtrak conducts:

- **Accident/Injury**
 - Company drug and alcohol test for all employees, unless FMCSA or FRA Post Accident Criteria is met.
- **Fitness-for-Duty**
 - Company drug and/or alcohol test for all employees, when requested by the Amtrak Medical Director
- **Follow-up**
 - Federal drug and/or alcohol test for HOS or CDL-CMV employees who violated a Federal alcohol or drug regulation
 - Company drug and/or alcohol test for employees who violated an Amtrak alcohol or drug regulation
- **Periodic Physical**
 - Company drug test for employees required by Amtrak policy to take a periodic physical
- **Post-Accident (FMCSA)**
 - Federal drug and alcohol test for CDL employees who operate Commercial Motor Vehicles (CMV)
- **Post Accident Toxicological (FRA)**
 - Federal drug and alcohol test for HOS employees and any fatally injured on-duty employee involved in the event

- **Pre-employment**
 - Federal drug test for persons applying for positions that perform HOS or CDL/CMV functions, or a CDL-CMV employee returning from an absence of more than 30 days and has not been in a Federal random testing pool
 - Company drug test for all other applicants
- **Random**
 - Federal drug and/or alcohol test for employees performing HOS and/or CDL-CMV functions employees
 - Company drug and/or alcohol tests for managers/ supervisors of HOS employees
- **Reasonable Suspicion**
 - Federal drug and/or alcohol test for employees performing HOS and/or CDL-CMV functions
 - Company drug and/or alcohol test for all other employees
- **Rule Violation**
 - Company drug and alcohol test for all employees
- **Return-to-Duty**
 - Federal drug and/or alcohol test for HOS or CDL-CMV employees who violated a Federal drug and/or alcohol regulation
 - Company
 - Drug and/or alcohol test for employees who violated Amtrak's Drug and Alcohol policy; or
 - Drug test for employees after an absence of at least 30 days (excluding vacations, jury duty, military leave or furlough)

Once a supervisor informs an employee to undergo a required Federal or Amtrak required alcohol or drug test, the employee cannot mark off pursuant to Operation RedBlock in order to avoid testing or disciplinary action.

Specimen Collection

Specimen Collection Employees tested in a Federal testing event will have their urine and/or breath specimens collected and tested in accordance with the Federal procedures outlined in 49 CFR Part 40. Blood specimens will be collected and tested in accordance with procedures outlined in 49 CFR Part 219.

Employees tested in a Company testing event will have their urine and/or breath specimen collected and tested using the same standards and procedures for handling and testing of specimens as required under Federal statutes and regulations.

If performing an alcohol and drug collection, the on-site testing supervisor is to instruct the testing technician to always perform the breath alcohol collection first (on all employees being tested), then the urine drug collection.

Consequences for Violating the Policy

An employee found to have violated any provisions of this policy, except for actually testing positive on a drug and/or alcohol test event or Prohibition #8, shall result in the employee's termination from Amtrak in all capacities.

An employee found to be in violation of Prohibition #8 of this policy will be temporarily medically disqualified for the time period necessary for the Amtrak Medical Director to review the employee's medications history with the employee's treating physician and make a determination of the employee's readiness to work.

An employee found to have actually tested positive on a drug and/or alcohol test event (and it is the employee's first positive test with Amtrak) will have an opportunity for substance abuse rehabilitation, consistent with PERS-39 (Employee Assistance Program) and any applicable legal requirement.

Any subsequent actual positive drug and/or alcohol test result shall result in the employee's termination from Amtrak in all capacities.

Confidentiality

A drug and alcohol test record is confidential information. Generally, unless an employee provides written consent, no record of testing will be released to any third party, except to the employee tested, or management employees who have a need to know or a required by law or policy.

Rehabilitation

Amtrak encourages employees with alcohol or drug dependencies to voluntarily obtain the earliest possible diagnosis and treatment of their problem. The company supports such efforts through its Employee Assistance Program (EAP), which provides assessment, short-term counseling and referral services for employees with substance abuse problems.

If a supervisor approaches an employee with the intent to undergo testing or if a supervisor informs an employee to undergo a Federal or Amtrak drug and/or alcohol test, the employee cannot mark off pursuant to Operation RedBlock in order to avoid testing or disciplinary action.

Responsibility

The Vice President of Human Resources.

Contractors

Any Amtrak required Request For Proposal (RFP) should contain the necessary language to ensure the contractor is compliant with the requirement. The RFP will also contain language to require the contractor to provide semi-annual reports to the contracting department to demonstrate their compliance with this requirement; as well as language to require the contractor to pay any liquidated damages as a result of the contractor's non-compliance. No contract will be awarded to a vendor who does not satisfy this requirement.

At a minimum, the contractor's policy will include alcohol and drug prohibitions, as well as pre-employment, random, for cause, reasonable suspicion, return to duty, post-accident and follow-up testing, in accordance with FRA, FMCSA and/or their company policy testing procedures.

Amtrak reserves the right to audit the contractor's compliance with its policy and suspend the contractor's services for the period necessary for the contractor to remedy any identified deficiencies.

Related Policies and Regulations

You may need to refer to the following policies in connection with the Alcohol and Drug Testing Policy:

- Amtrak Drug and Alcohol Policy Instructions
- Employee Assistance Program (PERS-39)
- 49 CFR Part 219 – Control of Alcohol and Drug Use
- 49 CFR Part 382 – Controlled Substance and Alcohol Use and Testing

Contacts

Questions concerning this policy should be directed to the Human Resources department, Health Services -Alcohol and Drug Programs division representatives.

Designated Employer Representative (DER) In response to a Federal regulation, as well as a proactive measure to provide guidance to testing supervisors (i.e. on-site supervisor actually administering an A&D testing event), the Alcohol and Drug (A&D) Programs staff established the Designated Employer Representative (DER). The DER is also available to collectors, Breath Alcohol Technicians (BATs), the testing laboratory or Medical Review Officer (MRO) to provide guidance to them and/or receive test results from them.

Testing supervisors should utilize the DER when they have questions about administering an A&D testing event. The DER will be able to provide guidance to the testing supervisor regarding the testing criteria or event. *In the case of a For Cause testing event, the DER will not make a decision for the testing supervisor whether or not to conduct the test.*

The testing supervisor, collector, and/or BAT must contact the DER at the time of the test when the testing event is not within the norm (e.g. cold/hot/altered specimens, refusals, positive alcohol test result, shy bladder/lung situations etc.)

In the event the testing supervisor, collector or BAT has a question about the testing event and cannot contact the DER, the testing supervisor, collector or BAT must continue with the testing event according to established testing protocols.

NAME / TITLE / LOCATION	TELEPHONE		FAX
	ATS	Commercial	
Malva D. Reid, Ph. D., Sr. Director Health Services/EAP Washington, D.C.	777-	(202) 906-3258	(202) 906-3253
Deborah Jowers – Mgr D&A Programs	777-	(202) 906-3058	(202) 906-2786
Joseph Allione – HR Officer RTD, FMCSA Random Testing	777-	(202) 906-2987	(202) 906-2786
Wanda McLaren – HR Officer Follow Up Testing	777-	(202) 906-3152	(202) 906-2786
Caren Smith – HR Officer FRA Random Testing	777-	(202) 906-3198	(202) 906-2786
Margaret Tierney – HR Officer For Cause/Periodic	777-	(202) 906-3145	(202) 906-2786

DER number 202-641-0248 cell phone 24 hours, 7 days a week

17-C. EMPLOYEE ASSISTANCE PROGRAM

The Employee Assistance Program is a company provided program that offers information, initial assessment and referral or short-term counseling for employees and their dependents confronted with a variety of problems including:

- Stress, anxiety, depression
- Alcoholism or alcohol abuse
- Drug abuse
- Marriage or family problems
- Bereavement or coping with chronic illness
- Job or career concerns
- Behavioral problems

Organized and staffed by licensed/certified, professional counselors, the Amtrak Employee Assistance Program (EAP) can help employees and their dependents identify the root causes of their difficulties and develop a confidential plan of action tailored to their specific situation.

Employees can make use of the Program by calling their EAP counselor to schedule a private appointment. A professional EAP counselor will help you and/or your family discuss your problems. Then, if necessary and you agree, the counselor will help you develop a confidential plan to work on a solution. The plan may include referral to a professional resource specializing in your problem.

EMPLOYEE ASSISTANCE PROGRAM - STAFF CONTACT INFORMATION

NAME / TITLE / LOCATION	TELEPHONE		FAX
	ATS	Commercial	
Malva D. Reid, Ph. D., Sr. Director Health Services/EAP Washington, D.C.	777-	(202) 906-3258	(202) 906-3253
Maia Dalton-Theodore, Manager, EAP Washington, D.C.	777-	(202) 906-3275	(202) 906-2342
Terry Avinger, EAP Counselor - Philadelphia, PA	728-	(215) 349-1487	(215) 349-4264
Ron Scoma, EAP Counselor – New York/Boston	521-	(212) 630-7655	(212) 630-7620
Gregory Williams, EAP Counselor - Chicago	821-	(312) 880-5254	(312) 880-5113
Eydie Guerrero, EAP Counselor Washington, DC	777-	(202) 906-3447	(202) 906-2342
Linda Woodson, EAP Counselor - Jacksonville, FL	865-	(904) 766-5133	(904) 766-5135
Kurt O. Schenker, EAP Contractor - Slidell, LA	N/A	(504) 646-2497	(504) 646-0094
Sabina Ubell, EAP Contractor (Bay area) - Oakland, CA	N/A	(510) 282-7448	(510) 547-8359
David V. Sutton, EAP Contractor - for Beech Grove, IN	825-	(317) 263-0496	(800) 327-4148
After Hours Crisis Hotline		(800) 327-6448	

17-D. OPERATION REDBLOCK

Operation RedBlock (ORB) is a labor-developed, company-adopted drug prevention and intervention program. The program emphasizes awareness, education, and prevention. Operation RedBlock aims to change attitudes, to reduce the tolerance of nonusers to job-related drug and alcohol use and to encourage users to seek assistance.

ORB provides a 24-hour-a-day, 7-days-a-week, confidential co-worker Mark-Off system for employees impaired due to the use of alcohol or drugs. It also provides an avenue for co-workers to participate in prevention/intervention, referral, information and educational activities via volunteer workplace community teams nationwide.

In order to access the Operation RedBlock Mark-off system, follow the procedures identified below, which have been approved by your union and supported by Amtrak:

1. If an employee is impaired because of the use of drugs or alcohol and cannot report for duty, he/she should call 1-800-44R-BLOC and mark himself/herself off as "Operation RedBlock."
2. Once on the job, if an employee is observed as being unfit for duty, co-workers should tell the employee that he/she should not work and should Mark-Off as "Operation RedBlock."
3. If the impaired worker places the call or requests a co-worker to mark him/her off, the reason should be given as an "Operation RedBlock" procedure. Amtrak will not take any further action.
4. Should the impaired employee be uncooperative, the co-workers may use the Rule G Bypass Agreement and request help from the appropriate management employee. Management will then assist in removing the impaired employee and in getting him/her home. No Rule G charges will be made if the impaired co-worker contacts the Employee Assistance Program counselor within 5 days. Rule G Bypass is afforded to the employee every 10 years.

THIS PROCEDURE WAS CREATED FOR THE COMMON WELFARE OF OUR EMPLOYEES AND TO PROVIDE A SAFE WORKPLACE. ABUSE OF THESE PROCEDURES CANNOT BE TOLERATED.

FOR MARK-OFF ONLY, CALL: 1-800-447-2562

FOR INFORMATION, CALL: (215) 349-2822 ATS: 728-2822

Operation RedBlock functions through committees of employees working together to help fellow employees. The committee structure has the following four levels:

1. Peer Prevention Committee Team

- Officers: Captain
Co-Captain
Secretary/Treasurer
- Members: Concerned Union Employees
- Functions: Promote a drug and alcohol free environment through prevention efforts of education and intervention
Submit activity proposals to Peer Prevention Steering Committee
Submit Bi-Monthly Report to ORB Coordinator

2. Peer Prevention Captains' Steering Committee

- Officers: Chairperson
Vice-Chairperson
Secretary
Treasurer
Rules Committee Representative
- Members: One elected representative from each Peer Prevention Team
Operation RedBlock Coordinator
- Functions: Review reports given by each team captain.
Discuss general intervention and education activities.
Review and approve activity proposals from Peer Prevention Teams.
Propose changes to policies/procedures to present to Divisional Committees.
Discuss problems that occurred during the quarter.

3. Division Steering Committee

- Officers: Chairperson, Peer Prevention Steering Committee
Co-Chairperson, Union
Co-Chairperson, Management
Event Coordinator
PR Support
- Members: Five members from AMTRAK management selected by the General Superintendent, and one alternate
One member selected by the General Chairperson of each Participating union.
ORB Coordinator
- Functions: Review operation of peer prevention committees
Oversee divisional policies/procedures that affect ORB
Conduct public relations work
Assist Peer Prevention Committee in planning ORB activities

4. Executive Steering Committee

- Officers: International Union Representatives
Executive Staff Representatives
EAP Director

Members:	Executive Director, ORB Senior Operation RedBlock Coordinator
Functions:	Review the final decision making body for policy and procedures Review progress reports on Operation RedBlock Intervene on Divisional Steering Committees when necessary

Peer Counselors

Operation RedBlock's Peer Counselor program is available to every co-worker to provide immediate assistance for referral to a treatment source, and follow-up care for a drug/alcohol problem. The Program's 33 union and 3 management employees assist co-workers in dealing with substance abuse problems in a confidential manner.

Volunteer Peer Counselors are well equipped to perform their role and receive intensive training in the areas of crisis counseling, listening, confidentiality, working with other union committees, recognizing signs of problem behaviors, the dynamics of the disease of addiction, locating treatment resources, insurance plans and transportation issues.

Peer Counselors maintain close contact with employees returning from treatment, becoming an active part of the continuing care plan and serving as a source of support in the early stages of recovery. The Peer Counselor helps to identify signs of relapse, providing assistance for recovery both on and off the job. After treatment, Peer Counselors facilitate the transition of employees back into the workplace.

The PSO program (Police Support Officers) embraces and extends this same level of care and assistance to members of the Amtrak Police force, as well as assistance for other problems specific to their profession.

Peer Counselors and Police Support Officers are important resources to employees. Any employee who believes they could use additional help, or knows a co-worker they believe is in trouble, please contact the Operation RedBlock office at ATS 728-2822, (215) 349-2822.

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SECTION 18. CONTRACTOR OPERATIONS AND SAFETY COORDINATION

18-A. INTRODUCTION

Amtrak's goal is to ensure that all workers who must enter Amtrak property and right-of-way to perform tasks be afforded a safe work environment. This requires that contractors understand and recognize the unique conditions that exist on a railroad environment and have knowledge of the operational practices and considerations that directly impact their safety. Our concern is not limited to the safety of contractors – it extends to the impact that contractor activities may have on Amtrak employees and passengers.

18-B. CONTRACTOR REQUIREMENTS

All contractors and/or lessees that work on Amtrak property are required to obtain appropriate approvals; complete Amtrak's Contractor/Lessee/Agency Employee Safety Program (CSG-106); comply with all relevant Amtrak, OSHA, FRA, EPA, and state/municipal rules, requirements and regulations; and develop and comply with a site-specific safety work plan when necessary.

Contractual Requirements

Contractors must comply with proper work procedures and protection requirements in order to ensure the safety of their workers and Amtrak's operation. Key safety requirements are described in Amtrak's Specifications Regarding Safety and Protection of Railroad Traffic and Property provided below.

(1) Pre-Entry Meeting: Before entry of Permittee and/or Contractors onto Railroad's property, a pre-entry meeting shall be held at which time Permittee and/or Contractors shall submit for written approval of the Chief Engineer, plans, computations and a detailed description of proposed methods for accomplishing the work, including methods for protecting Railroad's traffic. Any such written approval shall not relieve Permittee and/or Contractor of their complete responsibility for the adequacy and safety of their operations.

(2) Rules, Regulations and Requirements: Railroad traffic shall be maintained at all times with safety and continuity, and Permittee and/or Contractors shall conduct their operations in compliance with all rules, regulations, and requirements of Railroad (including these Specifications) with respect to any work performed on, over, under, within or adjacent to Railroad's property. Permittee and/or Contractors shall be responsible for acquainting themselves with such rules, regulations and requirements. Any violation of Railroad's safety rules, regulations, or requirements shall be grounds for the immediate suspension of the Permittee and/or Contractor work, and the re-training of all personnel, at the Permittee's expense.

(3) Maintenance of Safe Conditions: If tracks or other property of Railroad are endangered during the work, Permittee and/or Contractor shall immediately take such steps as may be directed by Railroad to restore safe conditions, and upon failure of Permittee and/or Contractor to immediately carry out such direction, Railroad may take whatever steps are reasonably necessary to restore safe conditions. All costs and expenses of restoring safe conditions, and of repairing any damage to Railroad's trains, tracks, right-of-way or other property caused by the operations of Permittee and/or Contractors, shall be paid by Permittee.

(4) Protection in General: Permittee and/or Contractors shall consult with the Chief Engineer to determine the type and extent of protection required to insure safety and continuity of railroad traffic. Any Inspectors, Track Foremen, Track Watchmen, Flagman, Signalmen, Electric Traction Linemen, or other employees deemed necessary by Railroad, at its sole discretion, for protective services shall be obtained from Railroad by Permittee and/or Contractors. The cost of same shall be paid directly to Railroad by Permittee. The provision of such employees by Railroad, and any other precautionary measures taken by Railroad, shall not relieve Permittee and/or Contractors from their complete responsibility for the adequacy and safety of their operations.

(5) Protection for Work Near Electrified Track or Wire: Whenever work is performed in the vicinity of electrified tracks and/or high voltage wires, particular care must be exercised, and Railroad's requirements regarding clearance to be maintained between equipment and tracks and/or energized wires, and otherwise regarding work in the vicinity of electrified tracks, must be strictly observed. No employees or equipment will be permitted to work near overhead wires, except when protected by a Class "A" employee of the Railroad. Permittee and/or Contractors must supply an adequate length of grounding cable (4/0 copper with approved clamps) for each piece of equipment working near or adjacent to any overhead wire.

(6) Fouling of Track or Wire: No work will be permitted within twenty-five (25) feet of the centerline of track or the energized wire or have potential of getting within twenty-five (25) feet of track wire without the approval of the Chief Engineer's representative. Permittee and/or Contractors shall conduct their work so that no part of any equipment or material shall foul an active track or overhead wire without the written permission of the Chief Engineer's representative. When Permittee and/or Contractors desire to foul an active track, they must provide the Chief Engineer's representative with their site-specific work plan a minimum of twenty-one (21) working days in advance, so that, if approved, arrangements may be made for proper protection of Railroad. Any equipment shall be considered to be fouling a track or overhead wire when located (a) within fifteen (15) feet from the centerline of the track or within fifteen (15) feet from the wire, or (b) in such a position that failure of same, with or without a load, would bring it within fifteen (15) feet from the centerline of the track or within fifteen (15) feet from the wire and requires the presence of the proper Railroad protection personnel.

If acceptable to the Chief Engineer's representative, a safety barrier (approved temporary fence or barricade) may be installed at fifteen (15) feet from centerline of track or overhead wire to afford the Permittee and/or Contractor with a work area that is not considered fouling. Nevertheless, protection personnel may be required at the discretion of the Chief Engineer's representative.

(7) Track Outages: Permittee and/or Contractors shall verify the time and schedule of track outages from Railroad before scheduling any of their work on, over, under, within, or adjacent to Railroad's right-of-way. Railroad does not guarantee the availability of any track outage at any particular time. Permittee and/or Contractors shall schedule all work to be performed in such a manner as not to interfere with Railroad operations. Permittee and/or Contractors shall use all necessary care and precaution to avoid accidents, delay or interference with Railroad's trains or other property.

(8) Demolition: During any demolition, the Contractor must provide horizontal and vertical shields, designed by a Professional Engineer registered in the state in which the work takes place. These shields shall be designed in accordance with the Railroad's specifications and approved by the Railroad, so as to prevent any debris from falling onto the Railroad's right-of-way or other property. A grounded temporary vertical protective barrier must be provided if an existing vertical protective barrier is removed during demolition. In addition, if any openings are left in an existing bridge deck, a protective fence must be erected at both ends of the bridge to prohibit unauthorized persons from entering onto the bridge.

(9) Equipment Condition: All equipment to be used in the vicinity of operating tracks shall be in "certified" first-class condition so as to prevent failures that might cause delay to trains or damage to Railroad's property. No equipment shall be placed or put into operation near or adjacent to operating tracks without first obtaining permission from the Chief Engineer's representative. Under no circumstances shall any equipment or materials be placed or stored within twenty-five (25) feet from the centerline of an outside track, except as approved by the Site Specific Safety Work Plan. To insure compliance with this requirement, Permittee and/or Contractors must establish a twenty-five (25) foot foul line prior to the start of work by either driving stakes, taping off or erecting a temporary fence, or providing an alternate method as approved by the Chief Engineer's representative. Permittee and/or Contractors will be issued warning stickers, which must be placed in the operating cabs of all equipment as a constant reminder of the twenty-five (25) foot clearance envelope.

(10) Storage of Materials and Equipment: No material or equipment shall be stored on Railroad's property without first having obtained permission from the Chief Engineer. Any such storage will be on the condition that Railroad will not be liable for loss of or damage to such materials or equipment from any cause.

(11) Condition of Railroad's Property: Permittee and/or Contractors shall keep Railroad's property clear of all refuse and debris from its operations. Upon completion of the work, Permittee and/or Contractors shall remove from Railroad's property all machinery, equipment, surplus materials, false work, rubbish, temporary structures, and other property of the Permittee and/or Contractors and shall leave Railroad's property in a condition satisfactory to the Chief Engineer.

(12) Safety Training: All individuals, including representatives and employees of the Permittee and/or Contractors, before entering onto Railroad's property or coming within twenty-five (25) feet of the centerline of the track or energized wire shall first attend Railroad's Safety Contractor/Lessee Employee Training Class. This safety/security class will be provided by Amtrak's Employee Development Department at Permittee's expense. A photo I.D. will be

issued and must be worn/displayed on the outermost garment, above the waist, while on Railroad property. All costs of complying with Railroad's safety training shall be at the sole expense of Permittee. Permittee and/or Contractors shall appoint a qualified person as their Safety Representative. He/she shall continuously assure that all individuals comply with Railroad's safety requirements. All safety-training records shall be maintained with site-specific work plan.

(13) No Charges to Railroad: It is expressly understood that neither these Specifications, nor any document to which they are attached, include any work for which Railroad is to be billed by Permittee and/or Contractors, unless Railroad gives a written request that such work be performed at Railroad's expense.

18-C. CONTRACTOR TRAINING

All contractors must attend Amtrak's Contractor/Lessee/Agency Employee Safety orientation class prior to entering Amtrak property. Classes are provided by Amtrak Employee Development Instructors. Inquiries concerning the class and scheduling requests should be directed to Roland Mc Kenzie – Director Employee Development (ATS 728-3167). Following completion of the program a photo I.D. will be issued that must be worn/displayed while on railroad property. Major safety topics discussed during the program include:

- Contractor responsibilities
- Documented job briefings
- Identifying hazards
- Safety zones
- Barricade, banners and physical protection
- Dangers of moving trains
- Role of watchmen/flagmen
- Removing tracks from service
- Dangers of electrification
- Working on de-energized lines
- Review and application of site-specific work plans
- Crossing the tracks
- Emergency procedures

18-D. ROADWAY WORKERS

Contractors classified as "Roadway Workers" must be properly trained and certified by Amtrak as Roadway Workers before entering the property. This group would include contractors whose duties include inspection, construction, maintenance or repair of railroad track, bridges, roadway, signal and communication systems, electric traction systems, roadway facilities or roadway maintenance machinery on or near track or with the potential of fouling a track, and flagmen and watchmen/lookouts as defined in this part. Please see the **Amtrak Roadway Worker Protection Manual** for a complete description of required procedures and training and qualification requirements.

SECTION 19. PROCUREMENT

19-A. MISSION STATEMENT

The Procurement and Materials Management Department's mission is to ensure that the corporation meets its operating performance standards, capital program objectives and financial goals by providing:

Procurement

Policies, procedures, acquisition strategies and long-term strategic contracts that will maximize procurement service levels, at the same time leveraging Amtrak's buying power while limiting business and legal risks.

Materials Management

Development and implementation of programs and accurate forecasts to ensure material availability relating to strategic inventories as well as providing for safe and secure distribution of inventories on a timely basis.

Automotive

Providing safe, dependable, effective vehicle management administration by implementing cost effective traffic management and efficient repair and replacement methodology for all customer requirements.

Planning, Administration and Corporate Services

Effective responsiveness, administration and coordination with all using departments for business technology support of AAMPS and **eTrax**, asset disposition and office and reprographic services.

19-B. ORGANIZATION

The purchasing function of procurement is divided into three main groups:

- Strategic Acquisition Teams located in Philadelphia are responsible for National Contracts for goods and services.
- The Program Management (Construction Services) group, also located in Philadelphia, is responsible for construction and construction services.
- The Transactional Purchasing functions are located at various field locations and are responsible for material and services that are unique to that location or region.

Over 700 national contracts are in place to ensure competitive pricing, promote vendor accountability and provide valuable internal product control measures. Below is a sampling of national contracts covering generic items and services.

Commodity	Blanket PO Number	Vendor	Contract Manager
Amtrak Forms Distribution.	B 093 01065	Western Folder	Tom Clark 728-1062
Charter Aircraft	B 032 09085	Jet Aviation Business Jets, Inc.	Larry Beddis 728-1222
Computers (Station Automation)	B 085 08190	Dell, Inc.	Rich Coyne 728-1224
Copiers	B 051 08753 (NEC) B 051 08755 (I/C) B 051 08756 (West) B 051 08754 (Corp)	Lanier World Wide Inc.	Eileen Broome 728-1058
Crew Lodging	B 085 08869	Corporate Lodging	Rich Coyne 728-1224
Crew Transport	B 085 08633	Crew Transport Services	Rich Coyne 728-1224
Employee Relocation	B 093 00729	Cendant Mobility	Eileen Broome 728-1058
Fasteners	B 098 09763	UZ Engineered Products	Angela Corbin 728-3661
Furniture	B 085 08523	Office Concepts	Rich Coyne 728-1224
Hazardous Materials	B 085 08015	Clean Harbors	Sam Hill 728-2377
Ice and Snow Melt			Jeff Gydos 728-1217
Luggage	B 067 07613	Samsonite	Eileen Broome 728-1058
Marketing Distribution	B 093 01637	Western Folder	Tom Clark 728-1062
Personal Protective Equipment	B 098 09134	Libra Safety Products	Carole Owens 728-3665
	B 098 09418	Better Safety Products	Carole Owens 728-3665
	B 098 09175	Stauffer Mfg. Co.	Carole Owens 728-3665
Pest Control	B 067 08043 (NEC) B 051 08929 (I/C) B 067 08048 (West) B 067 08086 (Corp)	Copesan Services Inc.	Sam Hill 728-2377
Promotional Items	B 059 06482	American Identity	Tom Clark 728-1062
Tools	B 098 09573	CL Presser Co	Carole Owens 728-3665
	B 098 09585	Kaufman Co. Inc.	Carole Owens 728-3665
	B 098 09586	Laman Loesche Supply Co	Carole Owens 728-3665
Uniforms	B 056 05907	Uniforms To You	Eileen Broome 728-1058

19-C. CONTROL MEASURES

Amtrak provisions for suppliers and contractors are listed in the “General Conditions and Instructions for Bidders”, which outlines specific material controls, safety requirements and public safety responsibilities. Also included are requirements for handling hazardous chemicals and wastes, materials disposal and other safety issues.

Contractors must comply with all applicable standards, orders or requirements issued under Section 305 of the Clean Air Act, Section 508 of the Clear Water Act, Executive Order 11378, and Environmental Protection Agency regulations which prohibit the use under nonexempt federal contracts, grants, or loans, of facilities included on the EPA List for Violating Facilities. Amtrak has contractual agreements (state and national) for Hazardous Materials/Emergency Response and Environmental Engineering. These agreements ensure favorable pricing and expedite immediate and effective response due to agreed upon contractual terms. Questions regarding environmental work by contractors should be directed to the Senior Contracting Officer – Services, at ATS 728-3139, 215-349-3139.

Amtrak utilizes a variety of procedures to control the procurement and use of supplies, materials and equipment and to ensure that unauthorized hazardous materials and supplies, as well as defective or deficient equipment, are not procured and utilized by Amtrak employees. Procurement of parts, components, supplies and materials is governed by Amtrak SMP 25005 - Component, Modification and Test Approvals and Amtrak SMP 31004 – Vendor/Component Approval Procedure.

19-D. CHEMICAL PURCHASES

Amtrak’s program for Chemical Product Purchase/Use at Amtrak Facilities contains policies and procedures to assure that Amtrak uses cost-efficient, effective chemicals that are as safe as possible for employees and passengers and do not adversely affect the environment. This program establishes a Chemical Task Force (CTF) to control procurement practices and use of materials including adhesives, cleaners, deodorants/disinfectants, floor coatings and strippers, welding gases, lubricants, solvents, paint and paint strippers, products for dust/odor/snow/ice control, skin protection, etc.

The Chemical Task Force includes representatives from the Environmental, Public Health, Purchasing, Engineering, Customer Services, Safety, Engineering, and Mechanical Departments. The CTF reviews all chemical submittals; product-testing schedules, process evaluations and test results, and investigates reported chemical-related problems and/or concerns. The group also oversees the development and maintenance of an Approved Chemical Book and develops Chemical Use Manuals and Training Guides. Questions regarding the Chemical Task Force should be directed to Don Reilly, Mechanical Standards and Compliance Inspector (ATS 736-6247).

19-E. PERSONAL PROTECTIVE EQUIPMENT AND SAFETY PRODUCTS

Amtrak Procurement and the Safety Department partner on the selection, testing, replacement and ultimate approval of personal protective equipment (PPE) and generic safety products utilized by Amtrak employees. This includes meeting with suppliers to examine product options and current product technology and reviewing current expenditures and product use. Safety questions related to PPE and safety-related products should be addressed to the Safety Director (ATS 728-1308).

Safety equipment/products include, but are not limited to, items of the following type:

- Head, eye, and face protection
- Hand, feet, and body protection
- Welding protection
- Hearing protection
- Respiratory protection
- Gang watchman/flagman equipment
- Fire extinguishers
- Fall protection equipment
- Safety signage
- Blue signal protection items
- First-aid equipment
- Lock-out/Tag-out equipment.

SECTION 20. SECURITY

20-A. INTRODUCTION

The key function of Amtrak's Police and Security Department is to provide for the safety and security of Amtrak's patrons, employees and to protect equipment and personal property from criminal acts, including acts of terrorism. It also responds to emergency and/or critical incidents. During such situations, the primary focus is to aid and assist the injured, evacuate survivors and secure the inner perimeter of the emergency site with the appropriate local, state and federal law enforcement and emergency services agencies. The Department also conducts investigations to determine the potential criminal responsibility, if any, for an emergency or critical incident.

In an effort to address possible railroad-related terrorist activity, Amtrak has developed a threat level response plan and supports the Association of American Railroads in the development and implementation of railroad security plans, policies and countermeasures to deter terrorist threats.

Amtrak has also increased the role of security within the Corporation by creating an overall executive level supervisor to direct and manage all police and security matters. This position is an Executive Committee appointee and is the Vice President, Security. Also, an Executive Security Committee was established and plays a key role in guiding the corporation's security efforts. The Committee, which includes members of Amtrak's Executive Staff, meets weekly and reviews recent security-related events, relevant intelligence information and technology developments with potential security impact. Committee minutes are distributed to the Division Steering Committees for review and discussion.

20-B. POLICE AND SECURITY DEPARTMENT

Amtrak's Police Department consists of approximately 392 sworn personnel, communications officers, security officers and emergency preparedness personnel assigned throughout the Amtrak system. The role of police is fixed by statute – 49 USC 24305(e), 49 USC 28101 and 49 CFR 207. The Department is accredited by the Commission on Accreditation for Law Enforcement Agencies (ALEA) and has met all standards as they relate to law enforcement functions, such as Communications, Patrol Functions, Property and Evidence, and Training.

Integral to the Department's overall functioning and effectiveness is the National Communications Center (NCC), located in Philadelphia's 30th Street Station. The NCC is a police radio system that has the ability to transmit nationwide and to identify first responders along the Amtrak system for prompt response to emergency situations.

20-C. SECURITY PROGRAMS AND POLICIES

The Amtrak Police Department has developed a Security Improvement Program designed to address its role as a traditional police department as well as a department that has a counter-

terrorism program. In addition, it seeks to ensure that appropriate emergency response and evacuation procedures are in place to address crisis and consequence management situations.

The Threat Level Response Plan plays a major role in dictating the type and extent of security measures undertaken by the Department with regard to terrorism. The Plan describes a series of measures that various operating divisions would direct and coordinate with the Police and Security Department. Amtrak policy is tied to the national Homeland Security Advisory System and Amtrak's Response Plan identifies the role of each department and security requirements during each of the following alert levels:

- Level I (Green-*Low*)
- Level II (Blue-*Guarded*)
- Level III (Yellow-*Elevated*)
- Level IV (Orange-*High*)
- Level V (Red-*Severe*)

The corporate Emergency Procedures Plan ensures that all departments with potential for involvement in an emergency are aware of their respective roles and responsibilities. The Plan provides a framework for effective command and control of large-scale critical incidents or national emergencies.

Hard copies of all emergency response plans for the corporation are maintained at the CEO Command Center, CNO, the NCC, and the Office of Emergency Preparedness. Copies of emergency response plans for specific areas are maintained in local operations centers (CETC's, train controllers, local Amtrak Police).

The following appendices are applicable to Amtrak's operation and are contained within the Emergency Procedures Plan:

Appendix A-Joint Passenger Train Emergency Preparedness Plans (Host Railroads)

Appendix B-Station/Facility Emergency Plans

Appendix C-Continuity of Operations

Appendix D-Chemical/Biological/Radiological Emergency Response in Stations and /On-board trains

Appendix E-Passenger Response Plan

Appendix F-Integrated Contingency Plan/Environmental

Appendix G-Engineering Emergency Response Plans

- Weather emergencies

Appendix H-Police Emergency Response Plans

- | | |
|---------------------------------------|------------------------------------|
| • Security Response | • Bomb Threat Situations |
| • Emergency Mobilization Plan | • Hazardous Material Incidents |
| • Security Threat Level Response Plan | • Civil Disturbance/Demonstrations |
| • Unusual Occurrence Plan | • Police Lines and Crowd Control |
| • Hostage/Barricade Contingency Plan | • Mass Arrest and Detention Plan |

System Security Awareness for Railroad Employees (Course Number 50179250) is a required 2½-hour training program that provides Amtrak employees with the skills and knowledge needed

to understand and carry out their roles and responsibilities regarding the security of the rail system. The program contains basic safety and security awareness concepts, as well as comprehensive training focused on specific areas of the rail system such as stations, facilities, equipment and the right-of-way. Training can be completed on-line or through instructor-led presentations.

Amtrak's Police and Security Department has developed or participated in development of several key security-related policies and programs that provide instruction for other departments. Included are the Photo Identification Policy, Carry-on Baggage Policy, Prohibited Items on Train Policy, Express Shipping Limitation Policy, Checked Baggage Weight Limitation Policy and Mail Screening Policy. Additionally, the Department utilizes a System Security Information Program to disseminate security-related information to employees system-wide to reinforce and facilitate the reporting of suspicious individuals/activities. A corporate Security Communications Committee, lead by Amtrak's Corporate Communications, develops and distributes security-related information to Amtrak customers (seat drops, passenger updates and alerts, etc.) and ensures security communications to employees are coordinated throughout the Corporation.

20-D. SECURITY ROLE OF OPERATING DEPARTMENTS

Amtrak's operating departments are an important component of the overall security plan and their direct involvement is fundamental to its effectiveness. Participation is included in the following programs:

Division Security Coordinating Committees – Requires the participation of key management-level officials from each of the seven operating divisions. Committees interface with management from the Executive Security Committee and Amtrak's Police and Security Department to improve overall security efforts within the division and assume responsibility for ensuring that specific security related activities are undertaken and completed.

Employee Watch Program – Through use of a police "Hotline" number (1-800-331-0008), the Program directs all employees to immediately report any criminal or suspicious activity. Twenty-five Employee Watch Program Coordinators support the Program at the local level.

20-E. INTERFACE WITH LOCAL/COMMUTER LAW ENFORCEMENT

Amtrak's Police Department interfaces with federal/local/commuter law enforcement agencies through various activities including ongoing liaison, coordinated drills and training exercises/rehearsals. In some instances, a "Memorandum of Understanding" between Amtrak and other law enforcement agencies clearly identifies joint responsibilities during periods of emergency.

The Department has extensive interaction with federal agencies assigned transportation security responsibility and has developed close working relationships with numerous state and local law enforcement agencies, particularly in areas of significant ridership at intermodal facilities.

The Department also coordinates the response necessary for the handling of reported criminal activity and emergency or critical incidents involving railroad operation or property.

SECTION 21. JOINT FREIGHT OPERATIONS

21-A. INTRODUCTION

Amtrak is a nationwide passenger corporation that operates across much of the continental United States on tracks owned and maintained by freight railroads. Conversely, in limited instances within the Northeast Corridor, freight carriers utilize Amtrak owned/maintained tracks. In all instances however, written agreements/contracts clearly identify the operating and safety rules that govern Amtrak's operation. Agreements are negotiated, managed and monitored by Amtrak's Host Railroad Group in the Operation's Planning Department.

It is important to note that not all Amtrak operational agreements involve freight railroads. Amtrak operates its trains on tracks owned by commuter agencies (Metro North, MBTA) and serves as the operator for several commuter agencies including CALTRAIN, MARC, VRE and ConDot.

21-B. CONTRACT DESCRIPTIONS

Agreements with other railroads are generally similar – this ensures that major safety, operational and budgetary components are consistently and adequately addressed. While not inclusive, the following subject areas are included in agreements:

:

- Routes and Scheduling
- Use of Facilities
- Service Modification
- Emergency Service
- Standards of Performance
- Labor Agreements
- Control and Supervision
- Ancillary Facilities
- Maintenance of Rail Lines
- Accounts and Payments.

21-C. SAFETY AND OPERATIONAL CONSIDERATIONS

When operating on a contract railroad, Amtrak personnel rendering services that involve responsibility for the host railroad's operating facilities or for the handling/movement of Amtrak trains are subject to the direction, supervision and control of the host railroad. Additionally, services performed by or for Amtrak are governed by and subject to the host railroad's current operating and safety rules, orders, procedures and standards.

Operating officers from the host railroad will administer tests in accordance with their operating rules and practices to all personnel performing services on behalf of Amtrak. This shall include the qualification of Amtrak train and engine crews on the physical characteristics of the Rail Lines. The host railroad, at its sole discretion, may authorize Amtrak operating officers to conduct operating rules and safety certification classes. Qualified Amtrak operating officers may participate in conducting operational efficiency testing of Amtrak operating crews on host railroad territory when accompanied by transportation officer of the host railroad.

21-D. LIST OF CURRENT AGREEMENTS

Amtrak maintains railroad-operating agreements with the following:

- Buckingham Branch
- Burlington Northern and Santa Fe
- Canadian National - East
- CN - Illinois Central
- CP - D&H
- CP - SOO Line
- CSX
- Florida East Coast
- Guilford (Maine Service)
- Fla. DOT (WPB-MIA)
- MBTA
- MBTA (Maine Service)
- METRA
- Metro North - Hudson
- Metro North - New Haven
- New England Central
- Norfolk Southern
- North County Transit District (San Diego)
- Southern Calif. Regional Rail Authority
- Terminals (MCRR, Portland & Kansas City)
- Union Pacific
- Vermont RR (Clarendon & Pittsford)
- VIA Rail Canada

SECTION 22. HIGHWAY-RAIL GRADE CROSSINGS

22-A. INTRODUCTION

The primary responsibility for the regulation of the flow of traffic over roadways crossing railroad rights of ways lies with the owners of those roadways. However, because the safety of our passengers, employees, and the traveling public are important to Amtrak, we continue to devote resources dedicated to the improvement of grade crossing safety and the prevention of collisions between trains and vehicles. Collisions at grade crossings affect the safety of vehicle occupants and our crews/passengers, result in considerable damage to equipment, and negatively impact our operation. Between Fiscal Years 1993 and 2002, a ten-year period, Amtrak experienced approximately 1,745 incidents (175 annually). The number of incidents decreased from 191 to 153 (20% decrease) during the past fiscal year.

Amtrak is a congressionally created nationwide passenger rail system. Amtrak was created because Congress recognized that “public convenience and necessity require that the National Railroad Passenger Corporation provide, to the extent that the Corporation’s budget allows, modern, cost-efficient, and energy-efficient intercity railroad passenger service between crowded urban areas” to alleviate “the overcrowding of airways, airports, and highways,” and to afford travelers in America the “freedom to choose the mode of transportation most convenient to their needs.” 45 U.S.C. 501, now recodified at 49 U.S.C. 24101, 24301. Amtrak has been charged with fully developing “the potential of modern rail service in meeting the nation’s intercity and commuter passenger transportation requirements.” 45 U.S.C. 541, now recodified at 49 U.S.C. 2401, 24301. This means that Amtrak is required to travel great distances, at high speeds. It is obligated to implement schedules based on a system-wide average speed of at least 60 miles per hour that can be “achieved with a degree of reliability and passenger comfort,” and to operate its trains to the extent feasible to all station stops within 15 minutes of the times established in public timetables, 49 USC 24101(c)(4), (6).

Because of its national character, Amtrak operates primarily on tracks owned and maintained by other railroads. Exceptions to this include the Northeast Corridor – the area between Washington/Boston and Philadelphia/Harrisburg; the Springfield Line between New Haven, Connecticut and Springfield, Massachusetts; and a portion of the route used for “Michigan Services” that includes a 100-mile section of single main line track between Kalamazoo, Michigan and Porter, Indiana. In each instance Amtrak maintains track right-of-way and any associated automated grade crossing protection. All told, Amtrak has responsibility for 214 grade crossings, the overwhelming majority located in Connecticut, Michigan, and Indiana. A total of 53 of these crossings are located in California for which Amtrak has maintenance responsibility but not ownership. A complete listing of Amtrak grade crossings is included at the end of this section.

22-B. SAFETY PROGRAMS AND INITIATIVES

Grade-crossing safety is promoted and supported by a number of federally mandated and Amtrak initiated programs. Included are:

1-800 Emergency Response Signs

The exterior of signal cases/houses at each grade crossing are identified with a 1-800 phone number for the dispatch office responsible for train movement in that area. The dispatcher will advise trains in the vicinity of potential/existing hazards and summon emergency response personnel if required. The signage also contains the street name and the DOT/AAR crossing number to ensure the correct crossing is identified.

Maintenance, Inspection and Testing

Amtrak complies with FRA regulations found in CFR 49, Part 234 that impose minimum maintenance, inspection, and testing standards for highway-rail grade crossings. This section also prescribes standards for the reporting of failures of such systems and prescribes minimum actions railroads must take when such warning systems malfunction.

Vegetation Control

Amtrak's engineering department conducts an annual vegetation/weed control program along its right-of-way by contractor application of corporate-approved herbicides.

Crossing Accident Reporting and Investigation

All grade crossing incidents involving Amtrak equipment must be investigated and reported internally to Central Reporting by means of an Unusual Occurrence Report – NRPC 2673 (see Section 3). In compliance with CFR 225.19, Amtrak reports each grade crossing incident to the Federal Railroad Administration in the prescribed manner.

Additionally, all grade crossing incidents are identified daily both on Amtrak's "Status Report" and Amtrak Police Department's "Duty Officer Notification Log." A weekly report is compiled by Amtrak's Operation Lifesaver Manager for review by the Chief of Police and Security that describes each grade crossings/trespass incident. The Operation Lifesaver Officer also receives a report generated by other railroads listing the date and location of "close calls" at grade crossings as reported by locomotive engineers.

22-C. OPERATION LIFESAVER

Amtrak is an active participant in Operation Lifesaver (OL), a national organization chartered to enhance railroad grade crossing and trespass safety through the principles of education, enforcement and engineering. Amtrak contributes financially to OL on an annual basis and provides free transportation on Amtrak trains to OL presenters and free shipment of OL materials and supplies.

Four Senior Safety Coordinators {New York, Washington, Chicago and Los Angeles} are Amtrak's primary field support for OL activities. The Senior Safety Coordinator in Washington guides Amtrak's participation in OL events including regional conferences and workshops, national symposiums and Program Development Council meetings. This individual works directly with the various OL State Coordinators and Amtrak's 81 presenters to prioritize and ensure delivery of effective outreach activities. Amtrak's Chief of Police and Security is currently one of the eleven members of Operation Lifesaver's Board of Directors. An Amtrak employee currently serves on the Operation Lifesaver Program Development Council. Additionally, OL State Coordinators for Rhode Island and New Mexico are Amtrak employees.

Amtrak's three Emergency Preparedness Managers are certified OL Presenters and include OL material as part of training to emergency response groups. Approximately 100 first responder classes are conducted annually.

22-D. AMTRAK GRADE CROSSINGS

	<u>CROSSING NAME</u>	<u>MP</u>	<u>DOT/AAR.</u>	<u>CITY</u>	<u>STATE</u>
1	Porter Rd.		912961B	Newark	DE
2	Irishtown Rd.	59.2	518155C	Lancaster	PA
3	Eby Chiques Rd.	77.8	518008P	Lancaster	PA
4	Newcombers Rd.	79.3	518009W	Lancaster	PA
5	Market St.	81.2	518027O	Lancaster	PA
6	Route 441	94.2	518065D	Dauphin	PA
7	Miners Lane	120.2	500307S	Waterford	CT
8	Banks St. Ext	122.5	500297N	New London	CT
9	State St.	122.8	500295A	New London	CT
10	Gov'n'r Winthrop.Blvd.	123.0	500294T	New London	CT
11	School St.	131.2	500278J	Groton	CT
12	Broadway Ext.	132.3	500277C	Stonington	CT
13	Latimer Pt. Rd.	133.4	500275N	Stonington	CT
14	Wamphassusk	134.9	500272T	Stonington	CT
15	Walkers Dock	136.6	500269K	Stonington	CT
16	Freemans	136.7	500267W	Stonington	CT
17	Palmers St.	140.6	500263U	Stonington	CT
18	Widdett Circle	227.1	Unassigned	Boston	MA
19	Beton St.	003.2	500619A	Hamden	CT
20	Plasticrete	003.9	500620U	Hamden	CT
21	Winchesters	005.1	500621B	Hamden	CT
22	Sackett Pt. Rd.	005.8	500622H	North Haven	CT
23	Stiles Lane	006.3	500623P	North Haven	CT
24	Devine St.	006.5	500625D	North Haven	CT
25	Toelles Rd.	010.6	500637X	Wallingford	CT
26	Ward St.	012.3	500640F	Wallingford	CT
27	Quinnipiac St.	012.6	500641M	Wallingford	CT
28	Hall Ave	012.7	500642U	Wallingford	CT

	<u>CROSSING NAME</u>	<u>MP</u>	<u>DOT/AAR.</u>	<u>CITY</u>	<u>STATE</u>
29	Parker St.	013.1	500643B	Wallingford	CT
30	Hosford St.	013.3	500644H	Wallingford	CT
31	No. Plains Hwy	013.8	500645P	Wallingford	CT
32	Pent Hwy	014.5	500617D	Wallingford	CT
33	Cooper St.	018.3	500653G	Meriden	CT
34	Cherry St.	018.4	500654N	Meriden	CT
35	So. Colony St.	018.5	500655V	Meriden	CT
36	East Main Sts	018.6	500656C	Meriden	CT
37	Brook St.	018.8	500657J	Meriden	CT
38	Cross St.	019.0	500658R	Meriden	CT
39	Brittania St.	019.4	500661Y	Meriden	CT
40	No. Colony St.	019.5	500665B	Meriden	CT
41	Oakwood Ave.	033.6	500697G	West Hartford	CT
42	Flatbush Ave.	033.9	500698N	West Hartford	CT
43	Hamilton St.	035.0	500700M	Hartford	CT
44	Flower St.	036.2	500710T	Hartford	CT
45	Meadow Rd.	039.7	500725H	Windsor	CT
46	Wilson Ave.	039.9	500726P	Windsor	CT
47	E. Barber St.	040.2	500727W	Windsor	CT
48	Island Rd.	042.3	500729K	Windsor	CT
49	Central St.	042.9	500731L	Windsor	CT
50	Pierson Lane	043.6	500734G	Windsor	CT
51	Mackton Rd.	045.1	500739R	Windsor	CT
52	Hayden Sta. Rd.	045.7	500741S	Windsor	CT
53	Dexter's	048.1	500746B	Windsor Locks	CT
54	Bridge St.	048.5	500747H	Windsor Locks	CT
55	Parsons Lane	051.4	500749W	Enfield	CT
56	Bridge Lane	052.3	500750R	Enfield	CT
57	Emerson Rd.	058.2	501940X	Longmeadow	MA
58	King St.	000.62	754749Y	San Francisco	CA
59	16th St.	001.0	754746D	San Francisco	CA
60	Linden Ave.	010.2	754866V	San Bruno	CA
61	Scott St.	010.6	754867B	San Bruno	CA
62	San Bruno Ave.	011	754869P	San Bruno	CA
63	San Mateo Ave.	011.1	754870J	San Bruno	CA
64	Angus Ave.	011.4	754871R	San Bruno	CA
65	Center St.	012.8	754873E	Millbrae	CA
66	Broadway	015.2	754879V	Burlingame	CA
67	Oak Grove Ave.	015.9	754886F	Burlingame	CA
68	North Lane	016.2	754887M	Burlingame	CA
69	South Lane	016.3	754890V	Burlingame	CA
70	Howard Ave.	016.4	754891C	Burlingame	CA
71	Bayswater Ave.	016.5	754892J	Burlingame	CA

	<u>CROSSING NAME</u>	<u>MP</u>	<u>DOT/AAR.</u>	<u>CITY</u>	<u>STATE</u>
72	Peninsula Ave.	016.6	754893R	Burlingame	CA
73	Villa Terrace	016.9	754894X	San Mateo	CA
74	Bellevue Ave.	017.1	754895E	San Mateo	CA
75	1st Ave.	017.7	754900Y	San Mateo	CA
76	2nd Ave.	017.8	754901F	San Mateo	CA
77	3rd Ave.	017.9	754902M	San Mateo	CA
78	4th Ave	018	754903U	San Mateo	CA
79	5th Ave.	018.1	754904B	San Mateo	CA
80	9th Ave.	018.3	754905H	San Mateo	CA
81	25th Ave.	019.7	754910E	San Mateo	CA
82	Ralston Ave.	022	754914G	Belmont	CA
83	Holy St.	023.2	754922Y	San Carlos	CA
84	Brittan Ave.	023.9	916053G	San Carlos	CA
85	Howard Ave.	024.1	754934T	San Carlos	CA
86	Whipple Ave.	024.8	754935A	Redwood City	CA
87	Brewster Ave.	025.2	754936G	Redwood City	CA
88	Broadway	025.4	754937N	Redwood City	CA
89	Maple St.	025.7	754940W	Redwood City	CA
90	Main St.	025.8	754941D	Redwood City	CA
91	Chestnut St.	026	754942K	Redwood City	CA
92	Fair Oaks Lane	027.7	754986K	Menlo Park	CA
93	Watkins Ave.	028	754987S	Atherton	CA
94	Encinal Ave.	028.4	754988Y	Menlo Park	CA
95	Glenwood Ave.	028.6	754989F	Menlo Park	CA
96	Oak Grove Ave.	028.8	754990A	Menlo Park	CA
97	Ravenswood Ave.	029	754991G	Menlo Park	CA
98	Alma Ave.	029.8	754992N	Palo Alto	CA
99	Churchill Ave.	031	754998E	Palo Alto	CA
100	East Meadow Dr.	033	755010S	Palo Alto	CA
101	Charleston Rd.	033.4	755011Y	Palo Alto	CA
102	Rengstorff Ave.	034.7	755013M	Mountain View	CA
103	Castro St.	035.9	755015B	Mountain View	CA
104	Mary Ave.	037.9	755037B	Sunnyvale	CA
105	Pedestrian X-ing	038.7	Unassigned	Sunnyvale	CA
106	Sunnyvale Ave.	038.9	755042X	Sunnyvale	CA
107	Stockton Ave.	045.6	755082V	San Jose	CA
108	Lenzen Ave.	046.3	755086X	San Jose	CA
109	Auzerais St.	047.4	755097K	San Jose	CA
110	Virginia St.	047.6	755099Y	San Jose	CA
111	Dupre St.	1.5	Unassigned	New Orleans	LA
112	Edwards St.	143.3	545458H	Kalamazoo	MI
113	North Burdick St	143.37	545459P	Kalamazoo	MI
114	North Rose St.	143.45	545460J	Kalamazoo	MI

	<u>CROSSING NAME</u>	<u>MP</u>	<u>DOT/AAR.</u>	<u>CITY</u>	<u>STATE</u>
115	Church St.	143.55	545461R	Kalamazoo	MI
116	Park St. (us 131)	143.6	545462X	Kalamazoo	MI
117	Westnedge Ave	143.75	545463E	Kalamazoo	MI
118	West Kalamazoo Ave	143.8	545464L	Kalamazoo	MI
119	Elm Conn.	143.97	545465T	Kalamazoo	MI
120	Elm St.	144.00	545466A	Kalamazoo	MI
121	West Main St.	144.08	545467G	Kalamazoo	MI
122	Academy St.	144.2	545468N	Kalamazoo	MI
123	Lovell St.	144.35	545469V	Kalamazoo	MI
124	Michigan Ave	144.45	545470P	Kalamazoo	MI
125	Eldred St.	144.48	545471W	Kalamazoo	MI
126	Campus Conn. (Elm St.)	144.9	545472D	Kalamazoo	MI
127	Stadium Dr.	145.00	507882A	Kalamazoo	MI
128	Howard St.	145.55	545473K	Kalamazoo	MI
129	Drake Rd.	147.33	901126V	Kalamazoo	MI
130	Eleventh St.	147.7	545476F	Kalamazoo	MI
131	ML Ave	150.7	545479B	Oshtemo	MI
132	Fourth St.	151.9	545480V	Oshtemo	MI
133	East McGillen St.	155.70	545490B	Mattawan	MI
134	Webster St.	156.15	545491H	Mattawan	MI
135	Nursery St.	160.15	545496S	Lawton	MI
136	North Main St. (M-40)	160.65	545497Y	Lawton	MI
137	Walker St.	160.88	545498F	Lawton	MI
138	C.R. 665	162.95	545500E	Lawton	MI
139	38th St.	164.78	545502A	Decatur	MI
140	39th St.	165.31	545503A	Decatur	MI
141	East Sherwood St.	167.7	545507C	Decatur	MI
142	George St.	168.15	545509R	Decatur	MI
143	Williams St.	168.42	545511S	Decatur	MI
144	45th St.	169.15	545512Y	Decatur	MI
145	46th St.	169.48	545513F	Decatur	MI
146	Glenwood St.	172.72	545514M	Decatur	MI
147	Dewey Lake St.	173.15	545515V	Glenwood	MI
148	Twin Lake St.	174.45	545516B	Glenwood	MI
149	Morton St.	174.96	545517H	Twin Lakes	MI
150	Gage St.	176.22	545519W	Twin Lakes	MI
151	Prairie Rhonde St.	178.67	545523L	Dowagiac	MI
152	Division St.	179.3	545525A	Dowagiac	MI
153	Park St.	179.60	545527N	Dowagiac	MI
154	High St.	179.65	545528V	Dowagiac	MI
155	Peavine St.	181.66	545531D	Dowagiac	MI
156	Beeson St.	182.8	545532K	Dowagiac	MI
157	Wells St.	184.80	545534Y	Pokagan	MI

	<u>CROSSING NAME</u>	<u>MP</u>	<u>DOT/AAR.</u>	<u>CITY</u>	<u>STATE</u>
158	Pokagan Hwy	185.40	545535F	Pokagan	MI
159	Thompson Rd.	187.05	545538B	Niles	MI
160	White St.	187.8	545539H	Niles	MI
161	Korn St.	188.96	545540C	Niles	MI
162	Fifth St.	192.01	545542R	Niles	MI
163	Lincoln St.	192.60	545545L	Niles	MI
164	Phillip Rd.	193.97	545547A	Niles	MI
165	Portage Rd.	195.53	545549N	Niles	MI
166	Mayflower	196.30	545561V	Niles	MI
167	Red Bud Trail Rd.	198.45	544179J	Buchanan	MI
168	Bakertown Rd.	200.15	545563J	Buchanan	MI
169	Hass	200.62	545564R	Buchanan	MI
170	Batton Rd.	204.66	545571B	Galien	MI
171	Gardner Rd.	204.8	545572H	Galien	MI
172	Cleveland Rd.	206.05	545573P	Galien	MI
173	Grant St.	206.1	545574W	Galien	MI
174	Smith Rd.	207.18	545575D	Galien	MI
175	Pardee Rd.	207.85	545576K	Three Oaks	MI
176	Avery Rd.	209.8	545577S	Three Oaks	MI
177	Mile Rd.	210.85	545578Y	Three Oaks	MI
178	Elm St.	211.88	545580A	Three Oaks	MI
179	Schwark Rd.	212.5	545583V	Three Oaks	MI
180	Basswood Rd.	213.95	545586R	Three Oaks	MI
181	Lakeside Rd.	214.87	545589L	Three Oaks	MI
182	Whittaker St.	218.9	545598K	New Buffalo	MI
183	Willard St.	219.18	545599S	New Buffalo	MI
184	Eagle St.	219.48	908349K	New Buffalo	MI
185	Forest Beach Rd.	220.31	545600J	New Buffalo	MI
186	Grand Beach Rd.	221.88	545602X	Grand Beach	MI
187	Michigan Shores St.	224.0	545603E	Michianna Shores	IN
188	Duneland Beach Rd.	224.58	545604L	Michianna Shores	IN
189	Moore Rd.	224.95	545605T	Michigan City	IN
190	Karwick Rd.	226.1	545606A	Michigan City	IN
191	Woodruff Rd.	226.83	545607G	Michigan City	IN
192	Washington Park Blvd	227.38	545608N	Michigan City	IN
193	Center St.	228.30	545609V	Michigan City	IN
194	Franklin St.	228.77	545610P	Michigan City	IN
195	Wabash St.	228.95	545611W	Michigan City	IN
196	Michigan Ave.	229.13	341985L	Michigan City	IN
197	Eight St.	229.58	341981J	Michigan City	IN
198	Ninth St.	229.68	341978B	Michigan City	IN
199	Tenth St.	229.70	341977U	Michigan City	IN
200	Chicago/Green St.'s	229.84	341973S	Michigan City	IN

	<u>CROSSING NAME</u>	<u>MP</u>	<u>DOT/AAR.</u>	<u>CITY</u>	<u>STATE</u>
201	Western Ave.	230.1	545612D	Michigan City	IN
202	Hitchcock Rd.	230.39	545613K	Michigan City	IN
203	County Line Rd.	231.67	545614G	Michigan City	IN
204	Arendale Rd.	232.71	545617M	Porter	IN
205	Brown Rd.	233.98	545620V	Porter	IN
206	Rte 365 East	235.59	545619B	Porter	IN
207	Rte 310 East	236.3	545621C	Porter	IN
208	Rte 275 East	236.75	545622J	Porter	IN
209	Rte 200 East	237.71	545624X	Porter	IN
210	Rte 1400 North	238.02	545626L	Porter	IN
211	Waverly St.	240.19	548528F	Porter	IN
212	Francis St.	240.49	548529M	Porter	IN
213	Canal St.	466.3	523004K	Chicago	IL
214	Lumber St.	469.0	863849D	Chicago	IL

SECTION 23. TRESPASSERS

23-A. INTRODUCTION

The laws of the various states through which Amtrak travels vary as to the legal duties owed to a trespasser. Under the law of most states, a trespasser is someone who enters upon another's land without the owner's consent.

Although under the applicable law there may not be a general duty to take precautions to safeguard property against trespass, and the complete elimination of trespass on railroad property is an unreasonable expectation, increased enforcement, education and when appropriate, the posting of no trespassing signs and fencing can help reduce the frequency of trespass. The Amtrak Police Department (APD) is tasked with the primary enforcement and education duties for trespass abatement efforts on Amtrak owned property. They also serve on task forces and support other railroad police departments and municipal/state law enforcements agencies in mutually beneficial activities that reduce trespass activity.

23-B. POLICE OUTREACH

Designated Amtrak detectives and Police Community Relations Officers (New England, New York, Philadelphia, Baltimore/Washington, Chicago, San Jose, New Orleans) regularly present grade crossing and trespass safety awareness classes to public/private schools, community centers, neighborhood watch groups, and a variety of public/civic organizations. Additionally, Amtrak's Operation Lifesaver (OL) presenters discuss the dangers of trespassing on railroad property during OL presentations and events.

23-C. ENFORCEMENT

Amtrak police officers have authority to issue warnings/citations and, when required, to make arrests relative to trespass on railroad property. Dispatch and response to all emergency situations is coordinated through the APD radio desk (1-800-331-0008).

23-D. FENCING

Much of Amtrak's Northeast Corridor right-of-way is fenced; most recently sections of track in New England in conjunction with electrification and increased train speeds between New Haven and Boston. Areas targeted for fencing include those requested by local communities; locations identified by Amtrak police/local communities; and other potential trespass areas where appropriate. Informal guidelines for fencing railroad rights-of-way include[s] the following:

- At stations to prevent passengers from crossing tracks to access boarding platforms or parking areas

- To provide security at rail facilities and yards
- On over grade structure to prevent individuals from falling, jumping or throwing objects onto the right of way
- When appropriate, at other locations.

23-E. SIGNAGE

A variety of warning signs have been placed on/about railroad property to discourage trespass. Examples include “No Trespassing” signs attached to catenary poles along Amtrak’s Northeast corridor and “Do Not Cross Tracks” signs placed at stations and attached to intertrack fencing. “Danger – High Voltage” signs are found at overhead bridges to discourage access to electrical wires and on fencing surrounding electrical substations.

SECTION 24. INTERNAL SAFETY MANAGEMENT ASSESSMENT

24-A. INTRODUCTION

A primary responsibility of Amtrak's EHS Department is to continually evaluate and improve the entire System Safety Program and its administration. This will be accomplished by a program of on-going formal/informal assessments of the Plan. The purpose of the internal safety assessment process is to provide senior management with a mechanism for documenting the level of compliance with the Program's elements and ensuring that members of the organization are performing required functions.

The assessment process is a tool that provides assistance to management in identifying possible problem areas. The results of internal assessments are intended to be used for positive corrective actions and not as an internal regulatory or decision-making process. Final authority for all decisions rests within the management structure of the individual department or functional area.

Assessment reports will be provided to the Safety Superintendent and circulated to the Senior Management. Reports will briefly describe the results of the assessment and highlight the recommendations for corrective actions, the need for new/revised procedures or improved use of existing resources. The Safety Superintendent will be asked to approve the recommended actions or to respond to the recommendations as deemed appropriate.

24-B. COMPLIANCE ASSESSMENT TEAM

The EHS Department's Chief Safety Auditor will manage a system-wide auditing program and develop necessary audit schedules, protocols and record keeping procedures. Team members will include operating department field safety officers (engineering, transportation, and mechanical), local supervision/management and labor representatives and, depending on locations, additional representatives from the EHS Department. FRA inspectors may also participate in audits addressing FRA-related regulations.

The team will utilize assessment forms targeting OSHA and FRA requirements and internally developed assessment checklists related to the safety elements included in this plan. The goal of all assessments will be to identify problem areas, ensure corrective action and to make appropriate changes to the System Safety Program or its implementing procedures in response to identified weaknesses, or observed/reported problems.

24-C. ASSESSMENT OBJECTIVES AND ACTIVITIES

The objective of the assessment is to determine compliance with safety policies, rules, regulations, standards, codes, procedures, and assigned system safety activities and requirements as prescribed within the System Safety Program. Assessment objectives include:

- Verify that safety programs have been developed and implemented
- Assess effectiveness of system safety programs
- Identify program deficiencies
- Identify potential hazards in the operational system and weaknesses in the system safety programs
- Verify that agreed upon corrective actions are being or have been accomplished
- Recommend improvements to the System Safety Program
- Provide management with an assessment of Amtrak's compliance with its System Safety Program

Key activities involved in the assessment process are:

- Examination of documents
- Analysis of safety data and information including the hazard identification process
- Observation of equipment, facilities, systems and in-process tasks
- Evaluation of employee work places and behaviors
- Interviews with management

24-D. INTERNAL ASSESSMENT PROCEDURES

Involved departments will be notified of assessments and how departmental records will be examined. While ongoing inspections may be conducted on an unannounced basis, actual assessments will be coordinated with full management support and cooperation. The following assessment components are prescribed as part of the assessment process:

CYCLES/SCHEDULE – Departments will be advised of upcoming assessments. Assessments will be scheduled so that they are unobtrusive as possible. Unannounced inspections will be included as part of the overall assessment process with concurrence of affected management.

CHECKLISTS - Assessment checklist will be developed in advance and provided to department management. When necessary, departments will be given time to produce necessary documentation. This does not preclude spot check of individual records, such as maintenance records or personnel qualification records.

DOCUMENTATION – Formal documentation of the assessments must be maintained including reports provided to general management and the respective departments.

FOLLOW-UP/CORRECTIVE ACTION – A summary of recommended corrective actions, if any, must be included in the safety compliance assessment report process. Corrective actions approved by general management must be formally tracked to ensure compliance.

The following areas are required to be evaluated as part of the Internal Safety Audit Process:

- Maintenance facilities
- Rolling stock maintenance and inspection procedures
- Safety rules and compliance procedures
- Emergency response plans, training and coordination
- Stations
- System modification design and installation process
- Application of claims and safety incident data
- Internal coordination
- Employee safety program
- Drug and alcohol programs
- Contractor safety coordination
- Procurement
- Security
- Hazardous materials programs and environmental procedures
- Employee qualification and certification
- Freight/passenger operations
- Highway-rail grade crossings
- Trespassers.