



TRANSPORTATION

SAFETY RULES & PROCEDURES

**Issued for all North American Subsidiaries of
Genesee & Wyoming, Inc.**

Effective 11/01/01
Revised 09/18/06
Revised 12/31/06

RECEIPT

(Date)

NAME _____
(Please Print)

EMPLOYEE NUMBER _____

Received a copy of the Transportation Safety Rules and Procedures.

I understand, that I am required to have a thorough knowledge of and obey these rules while on duty, or on company property.

Conditions may arise which are not covered by a rule or instruction. Sound judgment must be applied to supplement these rules, but deviations from the rules are not permitted.

Signature of Employee

Issued by

Safety Policy Statement

This book provides rules and procedures that, when followed, will enable you to work safely and efficiently. At Genesee & Wyoming, safety is our number one concern and we are committed to achieving an injury-free environment for your workplace. To help with this effort, we endeavor to hire employees who share our commitment to create that environment.

You will find that most accidents do not just happen; they are caused. For that reason, we provide our employees with entry-level and ongoing training to help them learn and develop safe work practices. Many of those safe work practices are found in this book, but not all work situations can be anticipated and provided for in these rules. Therefore, it is always necessary to understand your job, to survey your work area for possible hazards, and to use sound judgment to minimize the risk of accidents and injuries. Additionally, you can confer with fellow employees or your supervisor and draw upon their experience to minimize hazardous situations you may be confronting for the first time.

At Genesee & Wyoming, we value excellence in everything we do. As part of our quest for excellence, all accidents and injuries will be thoroughly investigated to develop an understanding of the cause and to formulate steps to prevent a recurrence. You may be asked to participate in this process as required, and the lessons learned will be shared throughout the company.

Please remember, you have a big responsibility, not only to yourself but also to your fellow-workers. For this reason, we expect you to report to work free of any substance that may impair your on-the-job performance. In fact, we have in place a zero-tolerance policy concerning substance abuse in the workplace. Since safety is a concern to all employees, don't be afraid to correct any of your fellow employees working in an unsafe manner, and report any unsafe conditions immediately to the proper authority.

And last, remember, you play the major role in assuring that you end the day safely.

James W. Benz
Chief Operating Officer

NOTICE

Safety is of the first importance in the performance of duty. Obedience to the rules is essential to safety. These rules are effective as revised September 18, 2006 and replace any previous unmodified Transportation Safety Rules and Procedures on all regions within Genesee & Wyoming Inc.

These rules should be viewed as minimal guidelines and you are **encouraged** to make recommendations for changes or additions through your safety committee. In addition, manufacturers' recommendations and instructions shall be followed unless superseded by company rules or instructions which are more restrictive.

The safety rules in this book are grouped under headings for convenience. However, observe the applicable precautions wherever and whenever they relate in any way to the performance of your duties.

All employees affected by these rules must:

- (a) Obtain a copy from their supervisor;
- (b) Know the rules;
- (c) Understand their application;
- (d) Comply with the rules while on duty or on company property; and
- (e) Do everything in their power to prevent accidents and immediately correct any action of a co-worker not in compliance with the rules even though in doing so they may perform the duties of others.

When in doubt as to the meaning of any rule of instruction, employees must ask their supervisor for an explanation.

Supervisors will lead by example. Supervisors will hold regular job briefings to discuss applicable safety rules and collect feedback from employees. They will regularly observe work and provide the necessary assistance to ensure compliance with the safety rules. We need your help to make every day injury-free on Genesee & Wyoming.

Zero Injuries is always our Goal!

Gerald T. Gates
Vice-President – Safety & Compliance

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TERMS AND DEFINITIONS

TERM	DEFINITION
Braced Position	A standing position with feet set apart to resist movement, using a handhold if possible.
Clear of Tracks	At least four feet outside the rail of all tracks, and not between main tracks.
Close Clearance	Any obstruction (structure, object or condition) adjacent to, overhead, or converging with a track that will not permit the normal and clear passage of train movements on the track, including anyone riding on such movements. There are two basic types of close clearances, Permanent structures and Temporary or unexpected obstructions.
Derail	A track safety device placed on a rail, to guide rail equipment off the rails at a selected spot as a means of protection against collisions or other accidents.
Engine	A machine that produces power through internal combustion.
Firm Footing	A stance with feet flat and firmly on the ground, equipment, or other level place. For firm footing on a stirrup or rung, place your heels against the outside edge, when space permits; otherwise, turn your foot slightly sideways.
Handhold	A firm grip with both hands, when possible, on a handrail or other stationary support.
Hoisting Equipment	Any kind of apparatus (crane) that exerts a force for lifting or lowering, whether fixed or mobile, driven manually or by power.
Immediate Supervisor	A person in charge of the work being performed.

TERM	DEFINITION
Look in Both Directions	Turn the head and look in each direction before reaching any track, before moving your body beyond the side, end, or from under equipment, or when in any other situation demanding alertness for moving equipment or vehicle hazard.
Marker	(EOT) End of train device.
Personal Protective Equipment	Devices tested and approved for a specific purpose and designed to safeguard an individual against hazards.
Qualified	An employee who has been trained, tested and has demonstrated to representatives of his or her department the ability at a task during a designated period.
Railroad Track	The area between the rails and extending to four feet outside of each rail.
Rail Equipment	Any apparatus that moves on the track.
Safety Appliances	Stationary handholds, ladder rungs, crossover platforms are some examples. These features are designed for safety.
“3 Step” Protection	A procedure followed by an engineer used to protect transportation department and other employees prior to fouling equipment. When protection is requested, the Engineer must take three actions: <ol style="list-style-type: none"> 1. Apply the train or engine brakes. 2. Place the reverser lever in neutral position. 3. Open the generator field switch.
“3 Points of Contact”	Contacting equipment with feet placed firmly and using firm handgrips. (Two hands & one foot or one hand & two feet)
Vehicle	Self-propelled equipment designed for highway use.

WORKING AROUND TRACKS AND EQUIPMENT ON OR NEAR EQUIPMENT

- 1700.** Place feet firmly and have a secure handhold whenever you are involved in any operation or situation on the ground or on equipment when necessary to maintain stability. Some examples are:
- (a) Getting on or off equipment.
 - (b) Ascending or descending a ladder or steps.
 - (c) Crossing over between equipment.
 - (d) Riding on equipment, unless properly seated.
 - (e) Operating a hand brake.
 - (f) Riding on equipment at the time it is coupled or uncoupled.
 - (g) Lifting objects.
 - (h) Uncoupling equipment, if possible.
 - (i) Coupling or uncoupling hoses.
 - (j) Operating switches and derails.
- 1701.** Always look for Shop and or Bad Order Tickets, read them, and avoid the defects identified.
- 1702.** Getting on or off moving equipment is prohibited, except in emergencies.
- 1703.** Improper positions on equipment are dangerous. To avoid accidents, do not stand, sit, walk, or ride in the following positions:
- (a) On the roof of equipment.
 - (b) On a flat car, if other equipment is available. Do not ride the side of a flat car unless it has a handhold above the level of the deck that will allow as close to normal body position as possible while riding.
 - (c) On the load in any car.
 - (d) Straddling the side or end, or inside of an open top car.
 - (e) On handrails, uncoupling levers or brake wheels.
 - (f) On couplers.
 - (g) Side walkway of a locomotive moving at more than 15 miles per hour.
 - (h) On a locomotive leading platform or step whenever you are crossing a street or highway.
 - (i) On any equipment in a close clearance area.
 - (j) With hands or feet on any more than one piece of equipment.
 - (k) On the end sill platform of any rail car.

- (l) On any part of containers or trailers on intermodal equipment. Do not use end transfer plates, stanchions, or other movable devices for handholds or footrests.
 - (m) On two axle test weight cars.
 - (n) On any other portion of equipment that does not permit having firm footing and secure handhold on safety appliances.
 - (o) Never put your foot on knuckles, in the space between the coupler head and the end of the car, or at any other potential pinch point.
 - (p) On any equipment with defective safety appliances
- 1704.** Confirm your secure hand and foot positions before riding when using stirrups, ladders, or handholds covered with ice or other slippery substances.
- 1705.** Be careful when riding, mounting or dismounting the equipment. Observe the following procedures:
- (a) Face the equipment and turn your head in the direction in which the equipment is moving. Keep your body as close as possible to the equipment.
 - (b) Choose a safe location for getting on or off equipment, away from live tracks, main tracks, close clearances, areas of poor footing, or other potential hazards. Ride the last car's rear step if possible (trailing end of movement).
 - (c) If possible, dismount equipment prior to the time of coupling.
 - (d) Use only the handhold, ladder, step, stirrup, or other part designed and placed for the purpose of getting on or off equipment.
 - (e) When riding or climbing a car, position your heels against the outside edge of the rung or stirrup if possible. Otherwise, use the ball of your foot turned slightly sideways and pointed in the direction of movement.
 - (f) A trainman's lantern is the only item you are allowed to carry when getting on or off equipment. The lantern should rest on the back of your hand with the bale on the palm between your thumb and forefinger.
- 1706.** When mounting or dismounting equipment, use side ladders instead of end ladders. If you don't have enough side clearance, do not mount or dismount equipment. To reach or leave the brake platform, cross between the side ladder and the end ladder on the rungs that are nearest the level of the brake platform.
- 1707.** Dismount from the equipment on one track to reach the equipment on an adjacent track. Do not crossover or jump from one piece of equipment to another.

1708. When riding in a caboose or locomotive, take the following precautions:

- (a) Sit in an authorized seat at all times unless it is necessary to stand or move about.
- (b) If you are not seated, be sure of firm footing and secure handhold. Be in a braced position.
- (c) Face the direction of movement when possible.
- (d) Expect a sudden stop, movement, or slack adjustment at any time.
- (e) If you are seated in a caboose that is equipped with serviceable safety seat belts, use the belt. Unbuckle it only if required to move about.

1709. Crossing over between moving equipment is prohibited. Cross over between standing equipment after receiving protection as instructed in Rule 1710, only on equipment with a crossover platform and continuous handrail.

Employees may cross on standing equipment that is coupled together, being governed as follows:

- (a) Care must be taken to select the best car on which to cross. When practical, a car with an end platform should be selected.
- (b) Always maintain three points of contact.
- (c) Use the side sill step and side ladder to mount the car.
- (d) After mounting side sill step, move to the first rung of the side ladder, then to the end ladder and onto the end platform, keeping a firm grip and sure footing at all times.
- (e) Maintaining a firm grip on the end platform handhold and sure footing on the end platform, cross over to the opposite side.
- (f) Never step on the sliding center sill, cushion underframe device, or couplers and their components.
- (g) When opposite side of the car is reached, keeping a firm grip and sure footing, move to the end ladder and onto the first rung of the side ladder, then to the side sill step.
- (h) When dismounting on opposite side of equipment, do not jump or swing off the equipment.

If equipment does not have the necessary safety appliances to crossover, separate the equipment by at least 50 feet or walk around the end of the coupled equipment.

1710. Adjustments to moving equipment are prohibited. Before fouling, going between or under STANDING equipment, for inspection, adjustment, repairs, or any other purpose, take the following precautions.

- (a) Make arrangements for protection from the employee controlling the track and/or any locomotive coupled to the track. These arrangements must be originated and terminated only by the employee who fouls, goes between, or goes under the equipment.
- (b) Have a thorough understanding with other employees involved so that no signals to move will be given.
- (c) Make sure that protection has been provided against any approaching equipment on the same track.
- (d) Make sure that the slack has adjusted.
- (e) If a locomotive is attached, get “3 step” protection from the Engineer, either by a predetermined hand signal requesting “3 step” protection only or by radio. If you use the predetermined hand signal, wait for acknowledgement from the Engineer by one long sound of the locomotive horn. If you use a radio, assure both positive identification and acknowledgement of protection, in accordance with radio rules.

NOTE: When “3 step” protection is requested, the Engineer must take three actions:

1. Apply the train or engine brakes to ensure equipment remains stationary.
2. Place the reverser lever in neutral position.
3. Open the generator field switch.

The Engineer must maintain this protection until notified by the employee who requested it that the protection is no longer required.

- (f) Make sure that equipment is separated by at least 50 feet before making any adjustments to uncoupled equipment.
- (g) Know that the equipment will not move. Once “3 step” protection has been provided, observe the following procedures when fouling, going between, or under STANDING equipment:
 - (h) Never use your foot to make an adjustment.
 - (i) Do not stand in front of a cushioned under-frame coupler. Stand to side.
 - (j) If necessary to go under a car, keep all parts of your body at least four feet from wheels when crossing the rail. (“3 step” protection does not supersede rules requiring the use of blue flags)
- (k) Cancel the protection only after you are in the clear. Once the protection has been cancelled, you must establish it again before fouling equipment.

1711. To open a knuckle on equipment, use the following procedure:

- (a) Stand in the clear at the side of the equipment.
- (b) In a braced position, face the end of the standing equipment.
- (c) Grip the handle of the cutting lever at arm's length using only one hand, maintaining a secure handhold with the other if possible.
- (d) Check for a knuckle pin in the knuckle. If the pin is missing, do not open the knuckle. If available, replace missing knuckle pin or report missing pins to the appropriate authority.
- (e) If the knuckle pin is not missing then slowly lift the cutting lever handle a short distance until the anticreep slack is taken up (you will hear a click).
- (f) Quickly and steadily, continue lifting the cutting lever handle until the knuckle is open. Exert only the amount of pressure that will permit maintaining a secure handhold and firm footing.
- (g) Where permitted, when cutting cars off in motion or flat switching, face the direction of movement and ensure movement is made at not exceeding a fast walking speed. (4 miles per hour)

NOTE: Most knuckles will open using the above procedure. If the knuckle pin is missing, be alert as the knuckle may fall to the ground when opened. If the knuckle does not open, use the following procedure on standing equipment:

- (h) Separate equipment by at least 50 feet.
- (i) Expect movement from compressed draft gear, from the unadjusted sliding center sill, or from the cushioned underframe. Wait for the slack to adjust.
- (j) Receive protection as instructed by Rule 1710 before fouling the equipment. Place only one foot in the gauge of the track. Operate the cutting lever with one hand and grasp the center of the knuckle to pull it open. Avoid pinch points and burrs.

1712. When uncoupling equipment that has air hoses coupled, turn your head away to avoid flying particles caused by air hoses parting.

1713. Disconnect a yard air supply line from your train using the following procedure:

- (a) Receive permission from the yardmaster before fouling.
- (b) Close the angle cock on the air hose connected to the yard air.
- (c) Close the angle cock on the yard air supply hose.
- (d) Bleed the air from the yard air supply line using the bleeder valve if system is not self-bleeding.
- (e) Uncouple the air hoses and place the yard air supply line carefully to prevent a tripping hazard.

Note: Do not uncouple air hoses before bleeding. Report any supply line without bleeding devices to the transportation supervisor.

1714. Uncoupling charged trainline air hoses by hand between cars or locomotives is prohibited.

1715. When coupling air hoses, use the following procedure:

- (a) Receive protection as instructed by Rule 1710 before fouling equipment.
- (b) Place one foot in the gauge of the track.
- (c) Bend at the knees, keeping your back straight, and examine the hose gaskets. Replace missing or defective hose gaskets.
- (d) Securely grip one hose above the glad hand. Bend it upward and hold it with one hand.
- (e) Grasp the other hose above the glad hand and bend it to match the glad hands.
- (f) Firmly move both hoses downward to the lowermost position.
- (g) If the angle cock on the opposite side cannot be opened safely, crossover the equipment as instructed in Rule 1709.
- (h) Cancel protection only after you are in the clear. Once cancelled, protection must again be established before fouling equipment.

1716. Employees will be governed by rule 1710 when manually depleting brake pipe pressure by the opening of an angle cock. To manually deplete brake pipe pressure, use the following procedure:

- (a) Stand firmly and place only one foot in the gauge of the track at the end of the equipment.
- (b) Hold on to the handhold with your right hand. Grasp the air hose with your left hand above the glad hand, holding the hose firmly against the outside of your left leg.
- (c) Release the handhold and turn your head away from the angle cock. Open the angle cock smoothly with your right hand.

- (d) Cancel protection only after you are in the clear. Once cancelled, protection must again be established before fouling equipment.
- 1717.** Employees will be governed by rule 1710 when applying or removing a marker (“EOT device”). To apply or remove markers, use the following procedure:
- (a) Carefully apply or remove markers, avoiding pinch points. Place only one foot in the gauge whenever possible.
 - (b) Before uncoupling hoses, **always** close the angle cock and then deplete air pressure in the marker hose.
 - (c) Carefully position disconnected air hoses and chains to avoid injury.
 - (d) Bend your knees and keep your back straight when you are picking up or setting down markers. When you are carrying markers, keep them as close as possible to your body.
- 1718.** Before opening or closing a box car door, a plug-type door, or any other such door, use the following procedure:
- (a) Determine if the door is properly tracked. If it is not properly tracked do not attempt to move it and contact your supervisor.
 - (b) Use the handhold that is provided and push. Do not pull.
 - (c) Keep your fingers clear of the jamb, travel rail, and other pinch points.
 - (d) Keep clear of the door opening.
- 1719.** Do not lean upon standing equipment. Keep clear of it.
- 1720.** Flying switches (dropping cars) is prohibited.
- 1721.** Place ice, clothing, supplies and other items on equipment only when it is stopped. Place items on the equipment platform or hand them to a fellow employee before getting on or getting off equipment.
- 1722.** Always inspect the load on a car and lading that might shift toward the side or the end of the car. Keep your hands, feet, and other body parts clear of the top of the car and of this lading.
- 1723.** Employees will be governed by rule 1710 when manually adjusting misaligned couplers.
- Facing the car, place one foot in the gauge of track on the side of the car to which the coupler is skewed. In a braced position hold the grab iron with one hand and push the coupler back toward center with the other hand.
- 1724.** Use approved wheel chocks to secure standing equipment when required. Carefully apply and remove them to avoid pinch points. Placing wheel chocks or other material under the wheels of moving equipment is prohibited.

1725. It is the responsibility of employees to know where permanent close clearances are. When riding equipment, employees must face the direction of movement at all times and maintain a vigilant lookout for obstructions, close clearances and other conditions that may affect the safety of the movement.

OPERATING HAND BRAKES

1750. Employees are prohibited from applying handbrakes on moving equipment. Before operating any handbrake, follow the procedure below:

- (a) Determine the type of brake and know its operation.
- (b) Inspect the brake for any defects. If you find a defect, report it to your supervisor. **Never** attempt to apply a defective handbrake.
- (c) After using the handbrake, check to verify that it has either applied or released.
- (d) Handbrakes must be operated from the brake platform if the car is equipped with a usable brake platform.

1751. Brake clubs may not be used.

1752. To apply or release a vertical wheel handbrake, use the following procedure:

- (a) Get in the proper position: face the brake platform and place your right heel against the edge of the brake platform. Place your left heel against the end ladder rung closest to the level and below the brake platform.
- (b) With your left hand grip the handhold that provides you with best balance. Use your right hand to apply or release the brake.
- (c) To apply the brake, grip the wheel rim on the pull side of a spoke. **Never** put your hand in the spokes. Turn the wheel clockwise to apply the brake. Use the on/off lever if there is one.
- (d) Keep your clothing and body clear of the wheel while you are releasing the brake. To release the brake, grasp the rim at the top with your right hand at arm's length, while leaning your body slightly to the left. Maintain your balanced position at all times. If there is a release lever, use it to release the brake. If the handbrakes were applied after airbrakes were applied in emergency, you may have to apply the airbrakes in emergency again to release the brake. This is not necessary if the handbrake is equipped with a separate release lever.
- (e) Before moving from the end of the car to the side of it, **always** look around the end of the car in both directions. Look out for passing equipment or lading.