



## Safety Intervention Process (SIP)

**Compliance with rules and company policies is the foundation of our safety process. Compliance is critical to our own safety as well as to the safety of our fellow employees. In the past, we have utilized the Discipline Process as a key tool to address rule and policy violations. We will continue to use discipline as warranted; however the intent of any intervention is to change behavior. Consequently, we are introducing the Safety Intervention Process (SIP). This process is a limited alternative to discipline and is designed to enhance skills and knowledge through training and education. If a rule violation falls within a defined set of criteria, employees will be offered training, separate and apart from discipline. This training will continue for a limited number of subsequent rule violations, in line with the guidelines described below.**

**SIP** will replace the "in Lieu of" feature that currently resides in UPGRADE. If an employee's actions or behavior causes or contributes to:

- Injury,
- Human Factor Derailment,
- Significant damage to company property,
- Cardinal rules violation or,
- Level 4 or 4C rule infraction,

the employee may elect to waive a hearing and apply for **SIP**. If management and labor approve the employee's application, the employee will receive training and education with no discipline assessed. Only employees with a current discipline status of level 3 or less are eligible for SIP. This would be considered **Event #1** for the individual.

If the employee has a subsequent violation (**Event #2**) as described above, the employee may elect to waive a hearing and again apply for **SIP**. Upon approval, the employee will receive training and education with no discipline assessed.

If a third violation, (**Event #3**), as described above occurs, the incident will be handled through the discipline process. Depending on the circumstances, the person could be charged with being careless of the safety of him/herself or others. The level of disciplinary action will be determined by the Sr. Manager of the region or Department.

If an employee who has participated in the SIP chooses to leave the SIP after a subsequent violation, his/her current discipline status will reflect the level of discipline that would have been assessed for the first SIP entry event.

In all cases, if an employee who has a qualifying event **does not** apply for **SIP** and chooses to go through the UPGRADE process, the employee will not be eligible for **SIP** for any subsequent events until their cumulative discipline level is at zero. The employee will be still be required to participate in training.

Below standard FTX events or other auditing procedures will not result in discipline or an offer of Safety Intervention unless the below standard contributes to an employee injury, HF derailment, damage to company property or the infraction observed is a level 4, 4C or a Cardinal Rule.

Employees who choose to participate in the SIP will be paid a basic day/shift for all days in training in the process. The training will be infraction specific with other rules training included.

Manager will participate in the training sessions as well as Peer Trainers.

SIP does not replace Safety Analysis Process in Engineering or requirements for CFR 240 and 242 Decertification events.

Once in the SIP progression, if an employee works five years without a subsequent event, the SIP process will start over with the next eligible event.