

# **Critical Incident Stress Plan**

**National Railroad Passenger  
Corporation**

On Behalf of

**Connecticut Department of Transportation  
Shore Line East (SLE) Service**

ConnDOT officer responsible for matters concerning this plan is  
Richard Jankovich, [richard.jankovich@ct.gov](mailto:richard.jankovich@ct.gov)

# Table of Contents

---

Section 1: Introduction

Section 2: Purpose, Intent and Objectives

Section 3: Rule Requirements

Section 4: Program Scope: Employees and Events Covered Under Plan

Section 5: Plan Response Protocols

Section 6: Plan Communication and Training

Section 7: Coordination with Host Railroads

Section 8: Program Review

Section 9: Definition of Terms

Appendix A: Critical Incident Checklist

Appendix B: Critical Incident Card

## **Section 1: Introduction**

Shore Line East (SLE) is a commuter passenger train service operated by the National Railroad Passenger Corporation (Amtrak) on behalf of the Connecticut Department of Transportation (CDOT). Amtrak operates SLE service on the Amtrak-owned and operated Northeast Corridor between New Haven, Connecticut and New London, Connecticut.

The CISP will be administered by Amtrak Human Capital through the Employee Assistance Program. The National Railroad Passenger Corporation, (herein referred to as Amtrak) recognizes employees as the organization's most valuable resource and is committed to their wellbeing. Critical incidents occur with unfortunate regularity on the railroad and employees can be exposed to potentially traumatic events. This exposure can in some cases result in detrimental cognitive, physical and/or emotional reactions. This document serves to outline processes developed by Amtrak to support employees involved in critical incidents, and to comply with Title 49, Code of the Federal Regulations (CFR), Part 272 Critical Incident Stress Plans. This program will be administered by Amtrak Human Capital through the Employee Assistance Program.

## **Section 2: Purpose, Intent and Objectives**

### **Purpose:**

This plan is adopted by Amtrak, in fulfillment of requirements set forth in 49 CFR Part 272, *Critical Incident Stress Plans*. The purposes of the regulation, as stated in 49 CFR Part 272.1, are to promote:

1. safety in railroad operations, and
2. health and safety of railroad employees, specifically those directly involved in critical incidents as defined in 49 CFR Part 272.9.

### **Intent:**

Amtrak has a long standing commitment to employee health, safety, and welfare which is reflected in its **CARE** program, recognized as a model program for critical incident response in the railroad industry. Amtrak intends for this plan to operationalize the key elements involved in responding to critical incidents, ensure its consistent and effective application, provide for its maintenance and continuity, and document its conformance to all requirements of 49 CFR Part 272.

### **Objectives:**

Amtrak's Critical Incident Plan seeks to apply evidence-supported best practices to:

1. reduce the likelihood of employees developing disorders such as Post Traumatic Stress Disorder (PTSD) and Acute Stress Disorder (ASD) as a result of experiencing a critical incident in the workplace; and
2. provide clear pathways to access evaluation and treatment as indicated to decrease symptoms and to promote resilience and recovery.

### **Section 3: Rule Requirements**

Amtrak as required by 49 CFR Part 272 will:

1. Inform each directly-involved employee as soon as practicable of the relief options available in accordance with this plan;
2. Offer timely relief from the balance of the duty tour for each directly-involved employee, after the employee has performed any actions necessary for the safety of persons and contemporaneous documentation of the incident;
3. Offer timely transportation to each directly-involved employee's home terminal, if necessary;
4. Offer counseling, guidance and other appropriate support services to each directly-involved employee;
5. Permit relief from the duty tour(s) subsequent to the critical incident; for an amount of time determined by each railroad, if requested by a directly-involved employee as may be necessary and reasonable;
6. Permit each directly involved employee such additional leave from normal duty as may be necessary and reasonable to receive preventive services or treatment related to the incident or both provided that the employees clinical diagnosis support the need for additional time off or the employee is in consultation with a health care professional related to the incident and such health care professional supports the need for additional time off in order for the employee to receive preventive services or treatment related to the incident, or both; and
7. Address how the railroad's employees operating or otherwise working on track owned by or operated over by a different railroad will be afforded the protections of the plan.

### **Section 4: Program Scope: Employees and Events Covered Under Plan**

Amtrak is responsible to administer the CISP for Amtrak employees covered under this Plan for Shore Line East Operations. To be covered, employees must meet

criteria under “Covered Employee Classifications” and “Directly Involved Employee” as outlined below:

**Critical Incidents covered by this plan include:**

1. accidents reportable to the Federal Railroad Administration under 49 CFR Part 225 resulting in fatality, loss of limb, or similarly serious bodily injury; or
2. a catastrophic accident reportable to the Federal Railroad Administration under 49 CFR Part 225 that could reasonably be expected to impair the ability of a directly involved employee to safely perform his or her job duties.

**Covered Employee Classifications:**

The provisions of the plan apply to directly involved employees in the following job classifications:

1. employees covered under 49 CFR Part 228 by hours of service (HOS) laws who are:
  - a. locomotive engineers, conductors, and assistant conductors;
  - b. signal employees; or
  - c. dispatching service employees.
2. railroad employees who inspect, install, repair, or maintain railroad right-of-way or structures;
3. railroad employees, who inspect, repair or maintain locomotives, passenger cars, or freight cars.

**Directly Involved Employees means:**

A directly involved employee for purposes of this plan includes employees in classifications outlined above who:

1. are closely connected to the critical incident;
2. witness the critical incident in person as it occurs; or
3. witness in person the immediate effects of the critical incident; or
4. are charged directly to intervene or respond to the critical incident, with the exception of Amtrak Police Officers.

**Section 5: Response Protocols**

1. The Critical Incident Stress Plan will be initiated when a critical incident occurs. Upon initiation, Amtrak’s Consolidated National Operations Center (CNOOC) is advised by Amtrak personnel that a critical incident has occurred.

2. CNOC issues a text and/or email advising of the train number, location, and time of the incident. Included on the distribution list will be:
  - a. road foreman, trainmaster and/or manager responsible for responding to the event including appropriate Maintenance of Way (MoW) and Maintenance of Equipment (MoE) managers ;
  - b. the Employee Assistance Program.
  
3. Primary non-agreement supervisor/manager responding to event will, as soon as practical at the site of the critical incident:
  - a. Identify covered employees;
  - b. take extra care to connect with and support covered employees;
  - c. offer/remind directly involved employees of the following support services, including relief options:
    - i. Relief from the balance of the duty tour for each directly-involved employee, after the employee has performed any actions necessary for the safety of persons and contemporaneous documentation of the incident;
    - ii. Timely transportation for each directly-involved employee to the employee's home terminal, (*the employee's home reporting station, specifically the employee's regular reporting point at the beginning of the tour of duty*), after the employee has performed any actions necessary for the safety of the persons and contemporaneous documentation of the incident;
    - iii. Counseling, guidance and other appropriate support services.
    - iv. Relief from duty tours subsequent to the critical incident for a period up to three days, without necessitating a diagnosis, including contact information for the Employee Assistance Program Counselors who will grant the relief to each directly-involved employee;
    - v. Additional leave (relief) from normal duty as may be necessary and reasonable to receive preventive services or treatment related to the incident or both, provided the employee's clinical diagnosis supports the need for additional time off, or the employee is in consultation with a health care professional related to the incident and such health care professional supports the need for additional time off in order for the employee to receive preventive services or treatment related to the incident or both;
  - d. complete checklist of notifications, documenting time executed;
  - e. provide timely transportation for each directly-involved employee to the employee's home terminal, after the employee has performed any actions necessary for the safety of persons and contemporaneous documentation of the incident.

4. Documentation (i.e., the checklist documenting actions taken) will be transmitted to EAP as soon as practicable.
5. Employee Assistance Program Counselor will make an outreach call or text to covered employees within a timely manner of the incident to:
  - a. offer counseling, guidance and support;
  - b. review additional relief options, and
  - c. facilitate assessment, referral, and treatment as requested by employee.
  - d. Amtrak will not restrict the employee's choice of health care practitioners, (e.g., certified employee assistance professional, or personal licensed psychiatrist, clinical psychologist, clinical social worker, or physician), although treatment must be consistent with applicable standards of care, collective bargaining agreements, and pertinent regulations.

### **Section 6: Plan Communication and Training**

1. Employees will receive initial information explaining the core features of the new Critical Incident Stress plan through a variety of system-wide communication outlets including the following:
  - a. creation of internal and external web pages,
  - b. Amtrak this Week (national email), Amtrak Ink (delivered to employees' homes), regional newsletters, postings, and other e-mail notices.
2. A training program has been developed to educate employees, supervisors and other involved groups on the Critical Incident Stress Plan; details of the program include:
  - a. Employee pre-incident training will educate all covered employees on resilience, normal reactions to stress, ways to cope with stress and the core features of the Critical Incident Stress Plan. Employee training will be provided through the following:
    - i. Block training for engineers and conductors, assistant conductors and train movement personnel;
    - ii. Training camps for engineering employees;
    - iii. Rules Class for mechanical employees; and
    - iv. New Employee Orientation.
  - b. Non agreement supervisors and managers of covered employees will receive training on their responsibilities in enacting the Critical Incident Stress Plan and the principles of Stress First Aid directing them how to interact with employees involved in critical incidents. Supervisory training will be provided through the following:
    - i. Computer-based training;
    - ii. DSLE/TM/MTO class for new trainmasters, road foremen and managers of train operations;

- iii. Training at job briefings and staff meetings; and
- iv. Mandatory directives.
- c. EAP Counselors will receive training on plan elements, concentrating on case management and advanced Stress First Aid an application of Psychological First Aid (PFA); assessment and treatment for PTSD, ASD and depression. EAP Counselor training will be provided through:
  - i. Staff training classes;
  - ii. Review at staff meetings; and
  - iii. EAP Conferences.

### **Section 7: Coordination with Host Railroads**

Amtrak has supervisory personnel throughout its system who will assume responsibility for covered employees as soon as practicable and will, upon assumption of responsibility, ensure that all covered notifications and offers of service are executed and documented.

### **Section 8: Program Review**

The Employee Assistance Program will maintain documentation of compliance with the Critical Incident Stress Plan and partner with the Chief Transportation Office to ensure ongoing organizational compliance. Additionally, the Plan will be reviewed regularly and changes will be made as deemed necessary. Any substantial changes to the plan will be submitted to the FRA and international/national presidents of labor organizations representing crafts covered by the Critical incident Stress Plan.

### **Section 9: Definition of Terms**

1. **Critical Incident**: accidents reportable to the FRA under 49 CFR Part 225 resulting in fatality, loss of limb, or similarly serious bodily injury; or catastrophic accident reportable to the Federal Railroad Administration under 49 CFR Part 225 that could reasonably be expected to impair the ability of a directly involved employee to safely perform his or her job duties.
2. **Directly Involved Employee**: employees covered under 272.7 whose actions are closely connected to the critical incident; who witness the critical incident in person as it occurs or who witness in person the immediate effects of the critical incident; or are charged directly to intervene or respond to the critical incident, with the exception of Amtrak Police Officers.
3. **FRA**: Federal Railroad Administration;
4. **Home Terminal**: the employee's home reporting station, specifically the employee's regular reporting point at the beginning of the tour of duty,



5. **In person:** employees who were present on-site or immediately proximal to the critical incident locale and observed the immediate prelude, actual incident, and/or immediate effects therefrom.
6. **Non-Agreement Supervisor or Manager:** A management employee in a supervisory role (this excludes ARASA Supervisors as they may be covered under the Plan), who is responsible to respond to the critical incident.
7. **Psychological First Aid (PFA):** PFA is a flexible, evidence-informed intervention which is tailored to the individual who has experienced a traumatic event. PFA emphasizes a nonintrusive and compassionate approach to providing an individual who has experienced a critical incident practical assistance with immediate needs, safety and comfort, and assistance in establishing connections with primary support networks and social resources, as well as information about common reactions to trauma, ways to cope with stress, follow-up, and how to access additional support services, including treatment (if needed). PFA does not encourage or require individuals to express their experience, including their emotional reactions and symptoms, to peers in a group setting. The goals of PFA are to decrease the initial distress associated with exposure to a traumatic event and to improve adaptive functioning.
8. **Stress First Aid (SFA):** SFA is an application of psychological first aid (PFA) developed in conjunction with staff from the National Center for Posttraumatic Stress Disorder to facilitate ready acceptance and efficacious utilization in the railroad workplace.

# Appendix A: Critical Incident Checklist

## **Part 272 – Critical Incident Response Checklist** (For Directly Involved Employees Covered by Part 272)

| Part I – Critical Incident (Completed by On Site Supervisor) |          |              |
|--|----------|--------------|
| Date   | Location | Train Number |

Brief Description of Critical Incident

| Part II – On Site Supervisor (Completed by On Site Supervisor) |          |            |   |
|--|----------|------------|---|
| Name   | Position | SAP Number | Time Arrived (HH:MM)<br><input type="checkbox"/> AM <input type="checkbox"/> PM |

| Part III – Directly Involved Employees (Completed by On Site Supervisor) |  |  |  |  |
|--|--|--|--|--|
|--|--|--|--|--|

| Name /Position Preferred Contact No. | Received CI Card             | Relief Offered/Accepted: Time Offered: (HH: MM)                    | Transportation to Home Terminal                                    | Departed Scene At (HH:MM)                               |
|--------------------------------------|------------------------------|--|--|---|
| Name:                                | <input type="checkbox"/> Yes | Offered: <input type="checkbox"/> Yes <input type="checkbox"/> No  | Offered: <input type="checkbox"/> Yes <input type="checkbox"/> No  | _____:  |
| Position:                            | <input type="checkbox"/> No  | Accepted: <input type="checkbox"/> Yes <input type="checkbox"/> No | Accepted: <input type="checkbox"/> Yes <input type="checkbox"/> No | <input type="checkbox"/> AM <input type="checkbox"/> PM |
| Contact Number:                      |                              | _____:   | <input type="checkbox"/> AM <input type="checkbox"/> PM            |   |
| Name:                                | <input type="checkbox"/> Yes | Offered: <input type="checkbox"/> Yes <input type="checkbox"/> No  | Offered: <input type="checkbox"/> Yes <input type="checkbox"/> No  | _____:  |
| Position:                            | <input type="checkbox"/> No  | Accepted: <input type="checkbox"/> Yes <input type="checkbox"/> No | Accepted: <input type="checkbox"/> Yes <input type="checkbox"/> No | <input type="checkbox"/> AM <input type="checkbox"/> PM |
| Contact Number:                      |                              | _____:   | <input type="checkbox"/> AM <input type="checkbox"/> PM            |   |
| Name:                                | <input type="checkbox"/> Yes | Offered: <input type="checkbox"/> Yes <input type="checkbox"/> No  | Offered: <input type="checkbox"/> Yes <input type="checkbox"/> No  | _____:  |
| Position:                            | <input type="checkbox"/> No  | Accepted: <input type="checkbox"/> Yes <input type="checkbox"/> No | Accepted: <input type="checkbox"/> Yes <input type="checkbox"/> No | <input type="checkbox"/> AM <input type="checkbox"/> PM |
| Contact Number:                      |                              | _____:   | <input type="checkbox"/> AM <input type="checkbox"/> PM            |   |
| Name:                                | <input type="checkbox"/> Yes | Offered: <input type="checkbox"/> Yes <input type="checkbox"/> No  | Offered: <input type="checkbox"/> Yes <input type="checkbox"/> No  | _____:  |
| Position:                            | <input type="checkbox"/> No  | Accepted: <input type="checkbox"/> Yes <input type="checkbox"/> No | Accepted: <input type="checkbox"/> Yes <input type="checkbox"/> No | <input type="checkbox"/> AM <input type="checkbox"/> PM |
| Contact Number:                      |                              | _____:   | <input type="checkbox"/> AM <input type="checkbox"/> PM            |   |
| Name:                                | <input type="checkbox"/> Yes | Offered: <input type="checkbox"/> Yes <input type="checkbox"/> No  | Offered: <input type="checkbox"/> Yes <input type="checkbox"/> No  | _____:  |
| Position:                            | <input type="checkbox"/> No  | Accepted: <input type="checkbox"/> Yes <input type="checkbox"/> No | Accepted: <input type="checkbox"/> Yes <input type="checkbox"/> No | <input type="checkbox"/> AM <input type="checkbox"/> PM |
| Contact Number:                      |                              | _____:   | <input type="checkbox"/> AM <input type="checkbox"/> PM            |   |

| Part IV – EAP Counselor (Completed by EAP Counselor) |          |                                   |   |
|--|----------|-----------------------------------|---|
| Name   | Location | Time of Notification              | <input type="checkbox"/> AM <input type="checkbox"/> PM |
|  |          | Time of First Contact w/ Employee | <input type="checkbox"/> AM <input type="checkbox"/> PM |

| Part V – Care Workplace Peer (Completed by EAP Counselor) |          |   |         |
|---|----------|---|---------|
| Name  | Location | Time of Notification (HH:MM)<br><input type="checkbox"/> AM <input type="checkbox"/> PM | By Whom |

## Instructions for Form NRPC 3446 – Critical Incident Response Checklist

To be completed by On Site Supervisor for Critical Incidents as required by 49 CFR Part 272 for Covered Employees who were Directly Involved in a Critical Incident as defined below.

### Critical Incidents covered by this plan include:

1. accidents reportable to the Federal Railroad Administration under 49 CFR Part 225 resulting in fatality, loss of limb, or similarly serious bodily injury; or
2. a catastrophic accident reportable to the Federal Railroad Administration under 49 CFR Part 225 that could reasonably be expected to impair the ability of a directly involved employee to safely perform his or her job duties.

### Covered Employee Classifications:

The provisions of the plan apply to directly involved employees in the following job classifications:

1. employees covered under 49 CFR Part 228 by hours of service (HOS) laws who are:
  - a. locomotive engineers, conductors, and assistant conductors;
  - b. signal employees; or
  - c. dispatching service employees;
2. railroad employees who inspect, install, repair, or maintain railroad right-of-way or structures;
3. railroad employees, who inspect, repair or maintain locomotives, passenger cars, or freight cars.

### Directly Involved Employees means:

A directly involved employee for purposes of this plan includes employees in classifications outlined above who:

1. are closely connected to the critical incident;
2. witness the critical incident in person as it occurs; or
3. witness in person the immediate effects of the critical incident; or
4. are charged directly to intervene or respond to the critical incident, with the exception of Amtrak Police Officers.

### To be completed by on site Supervisor:

Part I – Brief Description of the Critical Incident

Part II – Name of Primary on site Supervisor

Part III – List of Directly Involved Employees

Complete all boxes for each employee and *ensure each receives a Critical Incident (CI) Card.*

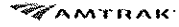
Forward the completed form to EAP Program at Amtrak\_EAP@amtrak.com.

Parts IV & V are to be completed by EAP Counselor

**Remember - This is the time to begin the 5 Basic Principles of Stress First Aid by providing: Cover, Calm, Connect, Competence and Confidence, see the Supervisors Guide for First Contact First Aid.**

## Appendix B: Critical Incident Card

1. You are entitled to timely relief from your tour of duty after you have completed actions necessary for the safety of passengers and employees and required documentation of the incident;
2. We will provide you with timely transportation to your home crew base as needed;
3. You have access to counseling and other support services should you request them;
4. You may be entitled to additional relief from duty, per the Critical Incident program, but you must be in contact with an Internal EAP counselor;
5. You may be entitled to additional relief time as may be required, contingent upon ongoing involvement of Amtrak's Employee Assistance Program.



### Critical Incident Employee Information Card

Amtrak EAP numbers:  
East Region – 215-349-1487  
Central Region – 312-544-5254  
Western Region – 213-891-3438



24 hour number  
1-844-AMTRAK1 (844-268-7251)