



BUILDING AMERICA®



UNION PACIFIC FIELD TRAINING EXERCISES MANAGERS GUIDE

Program of Operational Tests, Inspections and Record Keeping as Required by CFR49 Part 217.9

- CONCEPTS & POLICIES ■ SPECIAL REQUIREMENTS
- REVIEW REQUIREMENTS ■ RECORD KEEPING ■ TESTS
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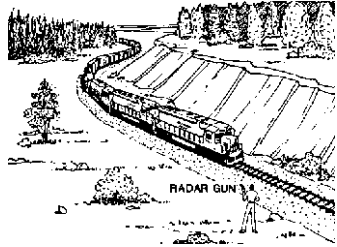
For the guidance of supervisors responsible for conducting field training exercises on UP lines

PB-20503

EMPLOYEE FIELD TRAINING EXERCISE PROGRAM

INTRODUCTION

As an Operating Department Manager, one of your main on-going responsibilities is to participate in the Company's Field Training Exercise (FTX) Program. This handbook should answer most of your questions about the program and provide you with the necessary guidelines and procedures for conducting the individual tests.



WHAT IS FTX?

Due to the unstructured nature of many jobs within the Operating Department, many of our employees must perform their duties without the benefit of any direct on-the-job supervision. This is particularly true of train, engine and yard employees.

To some, a job without supervision is *the ideal* assignment, but in reality, a job without supervision places an employee in a situation where very little feedback is received regarding one's job performance. For many employees, especially new ones, this is a very uncomfortable position to be in.

Although job performance procedures for train, engine and yard crews are defined in our rules and instructions, the absence of direct supervision may result in an employee's failure to comply with those prescribed standards. To provide the supervision that generates job performance feedback, motivates and ensures compliance, the Company has instituted Field Training Exercise Programs on all service units.

The FTX program places an emphasis on the process of debriefing after structured simulations (set up tests) or in instances when a below standard performance is recognized. Essentially, these testing programs are an on-site sampling of job performance. Unlike the traditional paper-and-pencil tests which merely assess an individual's knowledge of the correct procedures, Field Training Exercises are standardized observations which assess the individual's ability to apply knowledge to job related tasks. Each of the separate tests which make up the FTX Program evaluates a crew's or a particular crew member's ability to complete a specific task without supervision, while in compliance with the rules. The duties singled out for testing have been identified as critical performances, since failing to comply with the rules that govern these tasks can lead directly to accidents or injuries.

SITUATIONAL AWARENESS:

Situational Awareness is KEY to ensuring that all rules are being complied with and understood in the process of conducting the exercise or observation. Do not focus only on one test i.e. Restricted Speed, when many other rules such as radio procedure and train handling are involved.

WHAT ARE THE OBJECTIVES OF THE FIELD TRAINING EXERCISE PROGRAM?

As with all system-wide efforts, the FTX Program has both immediate and long-term objectives.

Immediate Objectives

- Eliminate Accidents caused by human error.
- Improve and maintain the alertness of employees.
- Improve employee knowledge and application of operating rules and procedures.
- Provide positive feedback to employees on proper rule compliance.

Long-Term Objectives

- Measure rules proficiency and isolate areas of noncompliance for corrective action.
- Identify those employees who need additional rules training, or appropriate discipline, to encourage rules compliance.
- Establish a set of expectations that promotes professionalism.
- Develop a lasting awareness that rule compliance directly relates to safety.
- Identify rules and procedures that will require additional employee training.

HOW ARE THESE OBJECTIVES MET?

Each of the tests in the FTX Program is designed to identify those employees who:

- Correctly apply the rules during the performance of their duties.
- Lack a thorough understanding of the rules and, therefore, fail to apply them during the performance of their duties.
- Know the rules yet fail to apply them during the performance of their duties.

Since Field Training Exercises consist of actual on-the-job observations of employee performance, it is possible to instantly assess an individuals' ability to carry out specific responsibilities and, therefore, immediately provide the necessary feedback. That feedback usually takes the form of one of the following:

- Positive reinforcement for those employees who comply with the rules. (It is critical to the success of the FTX Program, that employees who do comply with rules are recognized).
- Additional training for those employees who lack sufficient understanding of the rules. Usually handled at the Debriefing session on the ground at the time of the performance or, if appropriate, in a Formal Training Session.
- Additional supervision for those employees who choose to ignore the rules. Continual on-the-spot checks of employee performance, coupled with immediate feedback regarding the observed performance, are the principal methods used to meet both the immediate and long-term objectives of the program.

SUPERVISORS RESPONSIBLE FOR CONDUCTING FIELD TRAINING EXERCISE (TESTS):

- Directors (DTO and DRO)
- Transportation Managers (MOP, MTO, MRO, MYO)
- Mechanical Managers
- Other Supervisors as directed by the Superintendent
- Operating Practices

"For the things we have to learn before we can do them, we learn by doing them." Aristotle

TESTING MANAGER QUALIFICATIONS

Each manager that will conduct operational tests (FTX) will be instructed on the Rules they are required to test and inspect and must be knowledgeable of carrier's submission (PB-20504) to the FRA.

The manager must:

- Complete and pass required examinations.
- Be instructed on the operational testing program (FTX) requirements and procedures relevant to the tests they will conduct.
- Assist a qualified testing manager, demonstrating required skills for each test type prior to being qualified to conduct test alone.

Example: Demonstrating the knowledge of how to set and roll shunts would qualify the manager for Stop, Restricted Proceed and Dark Signal tests.

Note: Document student assist by entering student in FTE as an assisting manager.

Additionally, a qualified manager will accompany each new manager for at least three testing sessions. Each new manager or manager assigned to a new territory must be qualified by a manager of signal maintenance or qualified testing manager prior to performing signal tests and / or detector tests.

Service Unit Superintendent will accompany each direct report that are designated as testing managers at least once each calendar year to evaluate their performance in making tests. DTO and/or DRO must accompany each direct report at least once each calendar year while performing Field Training Exercise. Senior MOP and/or MTO must accompany direct report once each calendar year. Evaluations will include remedial actions to correct deficiencies and actions to improve FTX program administration.

Senior Management Requirements:

General Superintendent or Superintendent will determine through job agreement the number of Field Training Exercises to be conducted by each manager, with the requirement that ALL **active** train and engine employees will have at least one Field Training Exercise every 120 days. **Active** Engineers will be tested with a structured stop test at least once every 180 days.

Manager Requirements:

Consideration must be made to the overall population of train and engine employees assigned to each service unit for the purpose of determining the number of exercises. The overall distribution of structured and / or routine observations made by each manager and service unit should be mindful of areas of focus. Those areas requiring observations for Safety rules for instance will have more routine tests versus an area requiring stop signal exercises which would have a greater number of structured simulations. Also, regular joint exercises must be accomplished in an organized and measurable manner with all foreign crews operating on Union Pacific trackage. Conversely, UP managers should jointly test with managers on foreign lines where UP crews are operating.

Senior Management should strive for quality in testing and not focus on the quantity of tests. Set the standards in such a manner to allow the manager adequate time to perform a quality set of testing activities that will focus on those areas and activities of importance to improving the safety and derailment prevention in the areas in which they operate. Directors and Sr. Managers must be held accountable for the quality of the testing activities of their subordinates.

The following are suggested requirements for service unit personnel:

Suggested Requirements:

- Senior Management:
 - General Superintendent 10 Assists Per-Month
 - Superintendent 10 Assists Per-Month
 - Director of Road Operations 20 Assists Per-Month
 - Director of Terminal Operations 20 Assists Per-Month
 - Senior Manager of Train Operations 10 Assists Per-Month
 - Senior Manager of Operating Practices 10 Assists Per-Month
- Managers:
 - Sr. MTO 10 FTX Events Per-Month (6 Structured)
 - Sr. MOP 10 FTX Events Per-Month (6 Structured)
 - MRO 20 FTX Events Per Month(12 Structured)
 - MOP 20 FTX Events Per-Month(12 Structured)
 - MTO 20 FTX Events Per-Month(12 Structured)
 - MTO 15 FTX Events Per-Month (9 Structured)
 - MYO 15 FTX Events Per-Month (9 Structured)

No More than ten rules per event per employee should be entered.

Note: *Monthly requirements should be prorated to account for vacation time and time away from the regular assignment for periods of two weeks or more.*

Measurements:

- Service Units Goals:
 - Meet monthly required testing goal. (Based on total monthly requirement for managers.)
 - **Active** TE & Y Employees must be tested at least once every 120 days.
 - **Active** Engineers must be stop tested at least once every 180 days.
 - 60% of all tests should be structured tests.
 - Representative amount across service unit concentrating on focus areas. Majority of tests should be conducted within identified focus areas where activities are concentrated i.e. Terminals, Interlockings, Congested areas, etc.
 - Ensure quality testing with focus on structured tests that includes a “**HIGH QUALITY DEBRIEFING**”.
- Managers:
 - Monthly testing requirement.
 - Meet monthly requirement for structured tests.
 - Meet monthly testing goal.
 - Meet monthly FTX plan requirements.

Note: Measurements are based on monthly requirement.

WHO GETS TESTED?

Employees subject to Efficiency Testing:

- Engineers, Student Engineers, Hostlers
- Remote Control Operators
- Conductors, Brakemen, Switchmen, Hostler Helpers, Student Trainmen
- Yardmasters
- Train Dispatchers
- Control Operators
- Mechanical Department Employees
- Maintenance Of Way Employees
- Managers holding a valid Engineer Certification

FIELD TRAINING EXERCISES REQUIREMENTS

Points will be added or subtracted as a result of employee observations in the following areas:

- FTX Events
 - Rides
 - Event Recorder Evaluations.
- Employee EQMS score and testing history must be reviewed during “Employee Development Reviews” (EDR).
Review to include:
 - Current EQMS Score.
 - Testing History.
 - Process for employee to be able to review their EQMS Score and Testing History.
 - Challenge process for test entries.
 - Service Units, at their discretion, may require a formal debriefing when an employee is exited from the FTX process.

FRA De-Certification: Rules violations involving de-certification events as defined by the FRA will be handled according to the existing discipline policy. FRA regulations will apply to all employees.

FTX testing events involving Rule 6.32.2 (XG / XS) will no longer be handled as a decertification for occupying the main track without authority when the following conditions are met:

- Must be a Structured FTX testing event.
- All crossing protection must be functioning properly.

Exceptions will be handled as a coaching event with employees that are eligible for FTX.

Note: *Events that do not meet the conditions listed above will continue to be handled as a decertification. Incidents that are not part of a FTX testing event will be handled as a decertification.*

FTX testing events involving Item 13.7.2 (Disabling the exit message) will no longer be handled as a decertification for speed when the crew fails to reduce the train speed to 35 MPH.

Note: *Events that are not involved in a FTX test will continue to be handled as a decertification.*

4C Rules and Cardinal Rules: Below standard performance of these rules must be documented as an ACT 3. (Managers must read the qualifiers in FTE)

FTX Exercises will:

- Be conducted under normal operating conditions.
- Be unannounced.
- Be conducted without prior notice to the employee(s) being tested.
- Be conducted in a fair and impartial manner.
- Be conducted at various locations throughout the day and month. To ensure the testing program is unpredictable and samples actual employee performance, testing at familiar locations, during the same time of day, or on the same days of the week, must be avoided.
- Be conducted under all types of weather conditions.
- Be setup in such a manner as to minimize the hazard of a potential train accident or personal injury.
- Not be setup in a manner that will predictably result in a violation of the rules regardless of the skill of the employee(s).
- Not be setup in violation of operating rules.
- Field debriefing form must be completed for each structured and below standard testing event. Employees will be afforded the opportunity to make comments and sign the field debriefing form and managers will sign the field debriefing form to acknowledge the employees have been debriefed. A copy will be retained for the manager's records for 60 days from the date the test was entered and a copy will be given to each employee tested.

Note: *Employee signature is not a requirement for their participation in the FTX program, but a notation must be made on the Field Debriefing form as to why a signature is not on the form. Field Debriefing form(s) involved in a challenge must be retained until challenge has been resolved.*

HOW ARE EXERCISES (TESTS) CONDUCTED?

Generally, tests are conducted without the knowledge of those employees who are being observed. This procedure ensures that the performance being tested is an accurate reflection of the employee's ability to apply the correct procedures and comply with the related rules and regulations without direct supervision.

The typical testing procedure requires that you and/or a team of managers situate yourselves in a position where the performance of the train crew or individual employee can be viewed fairly and accurately. Usually this will be done as train and engine crewmembers carry out their responsibilities without your presence known to them. Managers conducting on board evaluations and training may also make on-board efficiency tests. You are required to assess the employees performance based on the procedures required by the **General Code of Operating Rules, Air Brake and Train Handling Rules, Timetable Special Instructions, System Special Instructions, General Orders, Safety Rule Book, Hazardous Materials Instructions, Maintenance of Way and Signal Rules Book.**

Note: *Managers conducting on board evaluations and training may not conduct structured tests while riding train.*

However, when evaluating train dispatchers and control operators, you are required to assess their performance based on the procedures prescribed by the **Rules and Instructions for Train Dispatchers and Control Operators**, in addition to those procedures dictated by the **General Code of Operating Rules, Timetable** and **General Orders**.

Structured Simulations are tests that require the manager to make special arrangements to "set up" the test and which anticipate stopping the train or job and interviewing the crew as part of the test. A crew that is observed for **20 minutes while actively involved in switching** may also be shown as a "Structured Simulation". The train or job will be stopped and debriefed regardless of whether the performance is at standard (Pass) or below standard (Conference or Hearing).

Note: *20 minute observation should focus on rules contained within the testing plan and not more than **ten rules per event per employee** should be entered. (Exception: when a below standard is noted, additional rules may be entered to address exceptions.) Not more than 50% of structured requirement or 5 events may be counted as structured tests.*

Routine observations are not to be considered structured simulations. It is not necessary to stop and debrief for a routine observation unless substandard performance is noted. For "at standard" performance it is permissible to allow the train or job to continue and to communicate with the crew members at the earliest opportunity.

It is important that all tests be conducted fairly, under normal operating conditions and that no attempt ever be made to entrap an employee.

Once you have made the performance evaluation, you should as soon as practicable make your presence known to the crew. This, of course, reinforces the fact that you are out there and they are being observed, which is one of the major goals of the FTX program. FTX managers are encouraged to **take these opportunities to compliment the crew members on satisfactory performances** you have observed, as well as to review any rule violations that you may have witnessed. An additional evaluation involving the questioning of crews about other rules and regulations they are required to know may also be conducted at this time.

WHERE ARE FIELD TRAINING EXERCISES CONDUCTED?

Job performance can and will be evaluated at any given time throughout the entire operating territory, but most efforts should be concentrated in those areas:

- Which have experienced a high frequency of train accidents.
- Which have experienced an unusual number of personal injuries.
- Where employees have not been tested recently (i.e., within the previous 120 DAYS).
- Areas of High Risk such as Mountain Grade, High Density or Hazardous Materials routes, Interlocking or Switching locations.
- Areas with similar characteristics to the items above that are potential risks.

WHEN ARE TESTS CONDUCTED?

As an administrator of Field Training Exercises (tests), you must ensure that **your schedule is not predictable**. This is one of the most important aspects of efficiency testing, as again, one of the principal goals of the program is to create an awareness that job performance can and will be evaluated at any given time. Therefore, testing should be conducted at all hours of the day and night, on weekends and holidays.

Scheduling should be spread out over the **entire month**. Making a large number of tests in one or two days does not provide adequate information regarding rules compliance. For efficiency testing to become an easy task and a habit, it must be done on a **daily** basis. Efficiency testing is one of your most important daily duties. When out on the property, you are always in position to observe employees walking around equipment, employees lining switches, etc.



HOW SHOULD YOU PREPARE FOR FTX (TESTING)?

Before conducting any Exercise, you must KNOW the rules, which are to be tested. You cannot expect 100% compliance with the rules and regulations if YOU do not fully understand how to apply and comply with them. Prior to conducting efficiency tests on trains it is recommended that you should obtain the following documents where applicable to the territory and employees tested:

- A train lineup.
- List of Employees requiring testing (120 day lists for tests or 180 day list for stop tests or Air Brake).
- List of employees needing follow up tests.
- A copy of all track bulletins in effect at that location.
- Information regarding any trains known to be experiencing **train handling or air brake problems**.
- The train profile/consists for the trains you expect to test.

Train handling and delay to a train being tested or to other trains in the area **should not prevent** a test from being performed. Ask the following questions to determine if a test should be made, and if so, the type of test to be made.

- What Rules are involved in conducting this test?
- Is this a safe test?
- What would be considered a below standard behavior?
- How would a below standard behavior be handled? (De-Certification, handled with employee, etc.)

- Will the test cause the hours of service limit to be exceeded for the crew being tested?
- Will the test cause the hours of service limit to be exceeded for the crews of other trains?
- Does the train to be tested have any air or train handling problems that could create an unsafe condition?
- Will the test location provide the limited sight distance desired for the type of test that is being conducted?
- Will the test locations allow the testing manager to safely display an easy stop signal (restricted speed tests) prior to train or engine coming into view?
- Which signals are equipped with light-out and or signal test switches?
- Has a job briefing with all members of the test team been completed, reviewing rules related to the test and each team members roll in the test? Additional job briefings must be preformed if changes occur with the test team or the test changes.
- Debrief test team including any outside agencies that may have participated or observed the testing. Ensure that all testing events are properly documented and that all members of the test team are in agreement with the handling of each test.

Entering Testing Events

All tests should be entered through FTE, as soon as possible. Below standards should be entered within 48 hours and at standards within 72 hours. Under no circumstance should a test be entered later than the 4th day of the following month. Tests will not be accepted or edited after 90 days or after January 31st of the following year.

Testing Record

Testing records may be reviewed by accessing FTX through EQMS/FTX tab.

Test Exception Challenge Process

Employee may challenge exceptions entered within the past sixty days using the following process:

- Request the manager that entered the exception to review for accuracy.
- The exception may be appealed to the service unit DRO if agreement cannot be reached.
- Exception may be appealed to the service unit Superintendent or his designated representative.
- Exception may be appealed to the region DTOP after Superintendent review, for final decision.

Note: *Exceptions may not be challenged that are over 60 days old and will stand as entered.*

Use good judgement and never compromise safety when setting up testing situations.

WHAT EQUIPMENT IS NEEDED TO CONDUCT EFFICIENCY TESTS?

You should keep a "Testing Kit" available for use. The recommended standard supplies for most efficiency test situations are:

TESTING KIT

- General Code of Operating Rules.
- Rules and Instructions Governing Air Brake System and Train Handling.
- Safety and General Rules For All Employees.
- Hazardous Materials Instructions.
- Instructions Governing Train Dispatchers and Control Operators.
- Rules for Maintenance of Way and Structures.
- Current Timetable and all General Orders in effect.
- Track charts of your operating district.
- List of measured mile post locations and any measured distances between block signals.
- List of block signals equipped with switch(s) for conducting light-out and signal tests.

Note: *Disabling a signal by removing the bulb may only be done by qualified personnel.*

- Keys for switches, signal boxes, and detectors.
- Approved device to simulate obstruction in switch.
- Hand-held Red Flag, Yellow Red Flags, Yellow Flags, Red Flag, Green Flag and appropriate Flag holders. Flags should be made of the prescribed materials and be the appropriate size and color.
- At least two shunt cords.
- Hand lantern, Fusee Stand and Fusees
- RADAR device and portable battery pack.
- A supply of materials that crews are required to carry; GCOR, GO's, Air Brake Rules, etc.

WHAT ARE THE "DO'S AND DON'TS" OF FTX?

DO'S

1. **Do** conduct the tests fairly.
2. **Do** conduct the tests safely.
3. **Do** make sure that an employee has every opportunity to demonstrate correct rules knowledge and compliance.
4. **Do** coordinate your testing plans with the train dispatcher/control operator when appropriate.
5. **Do** use every opportunity to improve an employee's knowledge and respect for the rules.
6. **Do** communicate the results of the test through a high quality debriefing of the crew.
7. **Do** focus crew members back in on rule requirements before leaving.

DON'TS

1. **Don't** setup a testing situation that is outside the realm of the employee's normal operating experience.
2. **Don't** setup a situation that can result in an unsafe act or condition.
3. **Don't** conduct a test to entrap an employee.
4. **Don't** create situations, which will adversely disrupt the dispatcher/control operator's train movement plans.
5. **Don't** violate a rule in order to setup a test situation.
6. **Don't** walk away without letting the crew know that a test was performed and how they did.
7. **Don't** allow crew to become distracted by your presence.

Article I. Testing Means & Procedures

Test NO.	Type of Test	Purpose of Test	Means & Procedures For Conducting The Test
01A	Stop Test – Red Flag / Fusee/Switch	To determine that movement is made at a speed that will allow stopping short of a stop signal or improperly lined switch.	A red flag/fusee will be displayed to the right of or between the rails of the track as viewed from an approaching train or engine. The red flag/fusee will be in combination with a signal or other rule requiring the train to stop short of the flag/fusee, unless verbal permission to pass without stopping is given. Crew must move prepared to stop short of switch or derail that is improperly lined. Note: fusee may only be used at night and must be placed in a fusee holder.
	Rules: 5.4.7, 5.6, 8.2, 8.20, 8.9.1		<p>Restriction not specified in writing: 2 miles beyond yellow/red flag, train or engine may enter restricted area at Restricted Speed until; leading wheels are 4 miles beyond yellow-red flag and dispatcher has verified that no track restriction is in affect at that location.</p> <p>A red flag or hand signal may be displayed to the right of track as viewed by an approaching train or engine between 2 and 4 miles from where the Yellow/Red Flag was displayed.</p> <p>Restriction in writing: 2 miles beyond yellow-red flag, a red flag must be displayed to right of track as viewed by an approaching train or engine.</p>
	Compliance with Yellow/Red Flag Rules: 5.4.3, 5.4.4, 5.4.7		

01B	Stop Test with signal given by hand.	To determine that train is moving prepared to stop short a stop signal given by hand.	The hand signal to stop will be in combination with a signal or other rule requiring the train to stop short of the employee giving the stop signal. Attended red flag/fusee must be acknowledged. (Note: Acknowledgement of Rule 5.3.5 is entered as a 15A)
	Rule 5.3.1		
02	Restricted Speed / Movement on Other Than Main Track	Determine that movement is made at Restricted Speed / Movement on Other Than Main Track when required by rule.	Stop signal will be displayed by hand, red flag or fusee to train or engine required by rule to be moving at Restricted Speed / Movement on Other Than Main Track.
	Rules: 6.27 / 6.28		
03A	Signal Displaying Stop	Determine when movement is required to stop, that movement stops before any part of crew member(s) or engine passes the signal when moving prepared to stop short of signal.	Set up condition (shunts or test switches may be used) or take advantage of circumstance that requires a signal to display Stop. Trains or engine must stop before any part of the equipment passes the signal.
	Rules: 9.2, 9.2.15, 9.2.19, 9.5, 9.12.1, 9.12.2, 9.12.3, 9.12.4, 9.12.4A, 9.12.4B, 9.12.4C, 9.12.4D, 11.2, 17.6		
03B	Signal Displaying Restricted Proceed indication where stop is not required.	Determine when movement is required to move at restricted speed by rule or signal prior to passing signal under conditions that would allow movement to pass signal without stopping at Restricted Speed.	Set up condition (shunts or test switches may be used) or take advantage of circumstance that requires movement at Restricted Speed in advance of a signal to display a Restricted Proceed indication. Train may pass signal at Restricted Speed without stopping. (Stopping for signal would not constitute a failure.)
	Rule 9.2.14		

03C	Light extinguished in light-type signal. Rules: 5.15, 9.4, 9.5	Determine that movement stops short of signal with light extinguished where required.	Extinguish light in test signal (use test switches where equipped) and determine that signal in advance displays an Approach.
	04	Restricting Indication Rules: 9.2.7, 9.2.13, 9.2.17, 9.2.18, 9.3.1, 17.5.1, 17.5.2, 17.5.3	Determine that movement proceeds past signal at Restricted Speed. In ATC territory ensure that train reduces to Restricted speed when required.
05A	Signal Displaying Approach and Diverging Approach Indication. Rules: 9.2.6, 9.2.11, 9.3.2	Determine that train or engine immediately reduces to required speed.	Set up condition (shunts or test switches may be used) or take advantage of condition that requires signal to display an Approach indication.
	05B	Other Block or Interlocking Signal Indications Rules: 9.1.1, 9.1.2, 9.1.3, 9.2.2, 9.2.3, 9.2.4, 9.2.4P, 9.2.5, 9.2.8, 9.2.9, 9.2.10, 9.2.10P, 9.2.12, 9.2.16, 9.3.3, 9.4.1	Determine that crew member(s) complies with required signal
06	Absolute Block Rules: 11.1, 11.2, 13.1.2, 13.3.1	Determine that crew member(s) complies with absolute block requirements	Set up conditions (shunts or test switches may be used) or take advantage of condition that requires an absolute block to be established. Determine that train or engine does not pass Stop, Restricted Proceed or Restricting indications unless authorized by dispatcher.

07	Train Defect Detectors	Determine that crew member(s) comply with detector instructions. Communicate with the control operator, reduce speed and inspect if required.	<p>Defect: Use test switches to set axle count. Train must be stopped and indicated locations inspected for defects.</p> <p>Detector Failure: Use test switch or disable radio antenna. Note: manager must remain inside signal house to listen for defects when test switch or antenna limits radio transmission. Manager must have radio or other communications readily available to contact train if a defect is detected. Contact dispatcher immediately and comply with special instructions.</p>
	Rules: Item 13.1, Item 13.2, Item 13.3, Item 13.4, Item 13.5, Item 13.6, Item 13.7.1 a – f, 13.7.2		
08	Check Speed of Train	An accurate check of speed of train or engine will be made.	Determine speed of train by use of radar or time check evaluation.
	Rules: 5.4.2A, 5.5, 6.31, 7.4, Item 8-1		
09A	Road Crossing At Grade.	Crews will be monitored while passing over or switching around road crossings.	Determine that whistle, bell and head light are used as required. Determine that crossing protection is provided when required.
	Rules: 5.8.1, 5.8.2(7), 5.9.1, 5.9.5, 6.32.1, 6.32.2, 6.32.3, 6.32.4, 6.32.5, 6.32.6, 6.32.7, 6.32.8, 70.8, Item 9		
09B	Approaching Men or Equipment	Crews will be monitored while approaching men and equipment.	Whistle must be sounded when approaching men or equipment and continued until head end of the train has passed the work location. (Note: Work location is defined as the area where Men or Equipment are located.)
	Rules: 5.8.2(4), 5.8.2(8)		

10A	Switching / Switches	Crews will be monitored while switching.	Crews will be monitored for proper switching and handling of switches.
	Rules: 5.3.7, 6.4.2, 6.5, 7.1, 7.2, 7.3, 7.4, 7.8, 7.10, 7.12, 8.2, 8.3, 8.8, 8.12, 8.20, 82.3		
10B	Remote Control Operation	Crews will be monitored while switching with RCL equipment.	Crews will be monitored for the proper setup, operation and securement of the RCL equipment, the use of the RTC and the logging and establishing Zone(s).
	Rules: 6.5.1, 6.5.2, 6.7 A-C, 7.4.1, Item 10BA1, Item 10BA2, Item 10BA3, Item 10BB1, Item 10BB2, Item 10BB3, Item 10BB4, Item 10BC1, Item 10BC2, Item 10BC3, Item 10BC4, Item 10BC5, Item 10BC6, Item 10BC7, Item 10BD, Item 10BE1, Item 10BE2, Item 10BE3, Item 10BE4, Item 10BF1, Item 10BF2		
10C	Position of Switches in Non-Signaled Territory	Monitor crew members(s) for compliance with rules specific to Non-Signaled territory	Ensure compliance with rules specific to non-signaled territory
	Rules: 1.47, 1.47.1, 1.47A, 1.47B, 1.47C, 1.47ER, 8.2, 8.3, 8.6, 8.20, 9.14.1, 9.15, 14.1, 14.2, 14.6, 14.7, 6.32.2, Item 10K, Item 10K1, Item 10K2, Item 10K3		

11A	On Board Assessment	Crew member(s) will be interviewed to ensure compliance with and understanding of required documents, use of drugs and Alcohol, certification and identification.	Observe and interview crew for compliance with the requirement to have required publication and /or a certificate to operate a locomotive when accompanied with a photo ID.
	Rules: 1.5, 1.3.2, 1.47, 1.47.1, 1.47A, 1.47B, 1.47C, 1.47ER, 3.2, 6.3, 10.1, 10.3, 14.1, 14.6, 15.1, 15.3, 15.4, 15.9, 15.10, 31.2, 31.2.1, 31.2.3, 70.3, Item 7A, 17.3, 17.4		
11B	Passenger Train Emergency Preparedness	Determine dispatchers and crew member(s) compliance with Emergency Preparedness Plan.	Inspect and monitor dispatcher and crew member compliance with Emergency Preparedness Plan.
	Rule EP239		
12	Equipment Unattended	Check crew member(s) for compliance with securement requirements.	Monitor crew member(s) for proper securement, and testing brakes for cars, engines and trains that are left unattended.
	Rules: 7.6, 32.1, 32.1.1, 32.1.2, 32.1.3,		
13A	Radio Rules Tests	Monitor crew member(s) for proper radio procedure.	Monitor use of radio with special attention given to mandatory directives, shoving moves, and proper identification.
	Rules: 2.1, 2.2, 2.3, 2.4, 2.5, 2.6, 2.8, 2.9, 2.10, 2.11, 2.12, 2.14, 2.14.1, 2.15, 2.16, 2.17, 2.18, 5.3.7, 10.3, 14.9		

13B	Dispatcher Efficiency Tests	Ensure limits of authority are correctly repeated by dispatcher. Ensure compliance with Dispatcher Rules.	Dispatchers will be tested for compliance with requirements to repeat back the limits of authority correctly. Dispatchers will be tested for rules applicable to their responsibility.
	Rules: 10.3, 14.7, 14.9, 20.2, 20.3, 20.6, 20.8.2, 22.5, 22.6, 22.9, 22.11, 23.5, 23.7, 23.8, 23.9, 23.10, 23.11, 27.3		
14A/ 14T ER	Train Air Brake Test	Monitor crew member(s) for compliance with air brake test requirements. Note: When test is used for FRA CFR 49 part 232.203 refresher training "hands on" a field debriefing MUST occur and all crew members questioned on proper knowledge and application of rules. Failure to properly answer will result in crew not qualifying for passing score for "refresher hands on training".	Monitor crew member(s) while conducting the following tests: 1. Initial Terminal Air Brake Test. 2. Adding cars to a train that have not been pre-tested. Event recorder may be used to monitor air brake requirements.
	Class I – CFR 49 232.203 Class IA		
	Rules: 1.33, 30.1, 30.9.1, 30.9.2, 30.10.2, 30.10.3, 30.18, 30.18.1, 30.18.2, 32.13.1, 32.13.2, 32.13.3, 32.13.5, 32.14, 32.14.1		

14B/ 14T ER	Train Air Brake Tests Class 3	Monitor crew member(s) for compliance with air brake test requirements	Monitor crew member(s) while conducting the Air Brake test: Application and Release Test. Event recorder may be used to monitor air brake requirements.
	Transfer Air Brake Test		
	Rules: 1.33, 30.2, 30.11, 30.14, 30.15, 30.15.1, 30.15.2, 30.17		
14C/ 14T ER	Locomotive Air Brake Tests / Inspections	Monitor crew member(s) for compliance with locomotive air brake test requirements.	Monitor crew for locomotive inspection, air test and documentation. Event recorder may be used to monitor air brake requirements.
	Rules: 17.4.3, 30.19.2, 31.2.1, 31.2.2, 31.6.1, 31.6.2, 31.10, 33.3.2		
14D	All Other Air Brake Tests including DPU	Monitor crew member(s) for compliance.	Ensure compliance with air brake rules. DPU Continuity Test
15A	All Other General Code Rules.	Monitor Crew Member(s) for compliance.	Ensure compliance with General Code of Operating Rules.
15B	All Other Safety Rules	Monitor Crew Member(s) for compliance.	Ensure compliance with Safety Rules.
15C	Train Handling	Monitor crew member(s) for proper train handling performance.	Monitor proper train handling procedures, including but not limited to maximum EPA/DBA, use of air brakes, and position of restricted cars.
	Rules: 33.2.1, 33.3, 33.3.3, 33.4, 33.5, 33.6, 33.6.1, 33.6.2, 33.6.3, 33.6.4, 33.6.6, 33.7.3, Item 4, Item 8-2		

15D	Car Placement and Train Makeup Restrictions	Check crew for proper placement of helper and restricted cars.	Review train makeup for restricted cars on the head end, rear end and ahead of any helpers. Check crew to ensure proper tonnage restrictions, EPA, TPA and coupler limits are met.
	Rules: SSI Item 5A, Item 5B, Item 5C		
15E	All Other Special Instructions / Timetable Rules	Monitor crew member(s) for compliance.	Ensure compliance with Special Instructions / Timetable.
15H	Hazardous Materials	Monitor crew member(s) for compliance with the handling and placement of Hazardous Materials	Ensure compliance with Instructions For Handling and placement of Hazardous Materials.
15P	Passenger	Monitor crew member(s) for compliance with rule specific to Passenger / Commuter operations.	Ensure compliance with rules specific to passenger train operations.
	CM10JI, CM2NDLOOK, CMADA, CMDTRAINPASS, CMDOORLOCKED, CMDOORSHUT, CMOBTTRIDE, CMPLATFORM		
16	Fuel Tests	Monitor crew member(s) for compliance with fuel conservation procedures.	Ensure compliance with shut down, having the reverser centered when stopped, train handling, and speed requirements.
	Rules: 32.20, 32.20.2, 33.4, 33.6, 33.6.3 A-F, Item 2E, Item 2F		

