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Connex Railroad Program of Operational Tests and Inspections

Connex Railroad

A DIVISION OF
VEOLIA
TRANSPORTATION

Program of Operational Tests and Inspections

CFR Part 217

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METHODS FOR CONDUCTING TESTS

Various methods may 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.

RESTRICTED SPEED BARRICADE TESTS

Managers conducting operational tests for the part of Restricted Speed that requires trains to be prepared to stop short of a train, will place a track barricade ("barricade" sign, red flag, fusee, hand or lantern signal, or other readily visible signal to stop) on the track ahead of the train, sufficiently in advance of its movement to determine compliance.

Instructions for use of a ***shunting*** track barricade, or any time a shunt is used:

Managers must take the following actions when placing a shunting track barricade (or shunt) in signaled territory with cab signals:

1. Contact the Dispatcher before erecting the barricade to advise him of the nature of the test, and to ensure that no trains will approach the test site until the track has been shunted.

2. Place a shunting track barricade (or shunt) in the block where test will take place.

3. Verify that the signal governing the entrance to the block is displaying *Stop*, *Stop and Proceed* or *Restricting* indication, by observing the signal aspect, or asking the Dispatcher if there is a track occupancy light (TOL) on the model board in the appropriate location.

To comply with the test, trains must stop before striking the barricade. If a train strikes the barricade, the engine crew must immediately be removed from service, D&A tested, and charged with violation of the appropriate signal rule.

INSTRUCTIONS FOR RECORDING TESTS

There is one form for recording operational tests and inspections, and one form for recording Engineer Evaluations:

- Form CXRR 172, Employee Efficiency and Safety Tests Report, is used when a manager performs one or more tests on the same employee.

- Form CXRR 175, Connex Locomotive Engineer Evaluation Form, is used to record a manager's evaluation of an Engineer or Engine Certified Manager's performance in operating a train or engine. Evaluations for Engineers in road service must last for at least half of the assigned trip. When the evaluation has been completed, a copy of the evaluation form must be given to the Engineer.

Forms 172, and 175 must be completed during or immediately following testing. Instructions are printed on the back of the forms. Once completed, the forms must be keyed into the computer system as soon as practical, but no later than 7 days following the month in which the test occurred. Questions regarding the completion of test forms, or their input into the computer system, should be directed to the Rules Department.

Information from Forms 172 or 175 will not be accepted by the computer program unless involved employees and managers are in the system employee/manager database. Employees and managers may be added to the computer system employee/manager database by contacting the Rules Department through use of CXRR Form 171, Employee Identification and Qualification Data.

TEST

Each Quarter (i.e., Jan-Mar, Apr-Jun, Jul-Sep, Oct-Dec):

Each manager who directly supervises T&E employees must conduct Operational Tests and Inspections. Managers must focus their testing efforts on safety critical rules that directly affect the movement and protection of trains, such as rules governing job briefings, movement authorities, back up moves, operation of switches and derails, maximum speeds and speed restrictions.

Each Half-Year (i.e., Jan-Jun, Jul-Dec):

1. Each Engineer who operates push-pull trains in signaled territory without cab signals must receive at least one test on the federal signal calling rule. This test must be recorded using Test Number FRA202A.

2. Each Engineer who operates push-pull trains in signaled territory without cab signals must receive at least one test on the federal delayed in the block rule. This test must be recorded using Test Number FRA201C.

Each Year (i.e., Jan-Dec):

1. Each Engineer and Manager who has a Locomotive Engineer's Certificate must receive at least one test on a signal that is more restrictive than *Clear*, or a condition less favorable than existed before the test (e.g., permanent or temporary speed restriction, hand stop signal, barricade test, etc.) This annual test should be recorded using Test Number FRA303C. The actual rule number or a description of the test must be included in the Test Comments section.

2. Each Engineer and Manager who has a Locomotive Engineers Certificate must receive at least one Engineer Evaluation by a Designated Manager of Locomotive Engineers (DSLE).

PASSENGER TRAIN EMERGENCY PREPAREDNESS TESTS

In accordance with Federal regulation 49 CFR Part 239, each railroad that operates passenger train service must periodically test its T&E employees on their responsibilities regarding the railroad's Passenger Train Emergency Preparedness Plan. The following instructions apply to these tests:

1. Passenger Train Emergency Preparedness Tests must be entered directly into the computer system (Form 172 screen).

2. T&E employees must be tested on their responsibilities regarding passenger safety announcements, emergency equipment, on-board emergency communications, or emergency communications with the control center.

3. Emergency preparedness tests may be conducted while an employee is required to actually perform an emergency preparedness plan requirement, they may be conducted as part of a question and answer session with a manager, or they may be conducted as part of a full-scale passenger train emergency simulation.

4. Emergency preparedness tests must be recorded in the usual manner.

SWITCHING OPERATIONS FATALITY ANALYSIS (SOFA) TESTS

SOFA is an acronym for a Switching Operations Fatality Analysis that was conducted by a Railroad Safety Advisory Committee (RSAC) working group, which was composed of representatives of the Federal Railroad Administration, the United Transportation Union, the Brotherhood of Locomotive Engineers, the Association of American Railroads, and the American Short Line and Regional Railroad Association.

The SOFA working group performed a thorough analysis of 76 fatalities associated with switching operations between January 1, 1992 and July 1,

1998, and developed **Five Life Saver** recommendations that may prevent future fatalities:

1. Discuss safety at the beginning of a job and when work changes.
2. Communicate before action is taken.
3. Protect against moving equipment.
4. Secure equipment before action is taken.
5. Mentor less experienced employees to perform service safely.

As a part of Connex's response to the SOFA study, Connex has incorporated the Five Life Savers into its operational testing program. Therefore, when performing operational tests and inspections, managers must include the following safety rule observations, which are related to the Five Life Saver recommendations:

- Safety Rule 5000 - Job briefings at sign up and when conditions change
- Safety Rule 5001 - Conductor's responsibility for safety instruction of employees
- Safety Rule 5204 - Keeping a look out for approaching movements
- Safety Rule 5400 - Requirements before fouling equipment
- Safety Rule 5503 - When necessary to make adjustments to knuckles/drawbars maintain firm footing and handhold, guarding against stumbling and falling

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RETENTION OF RECORDS

Records entered directly into the computer system are used to create regular and ad hoc reports. At least 3 years worth of records are kept in this system.

Regular reports are run at the end of each quota period to determine whether each quota has been met. Quota deficiencies are reported to the General Manager 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.

CFR Part 218 (New Subpart F)

In accordance with Federal regulation 49 CFR Part 218, tests will be conducted on Metrolink trains operating over all subdivisions, and trains operated by foreign line crews operating over SCRRA property to ensure complete compliance.

- Applicable Managers will provide 24 tests and inspections per year covering the requirement of Part 218.
- The frequency of tests will be 2 per month per applicable manager.
- The rule numbers are listed in a drop down menu as FRA6.5, FRA6.32.1, FRA7.1, FRA8.2, FRA8.12, FRA8.20, FRA14.7 for accurate reporting capabilities.

Connex Railroad

A DIVISION OF
VEOLIA
TRANSPORTATION

EFFICIENCY TESTING GUIDE

June 25, 2007

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This Testing Guide is designed to assist managers in understanding the importance and procedures required to conduct efficiency tests needed to maintain compliance with the Connex Program of Operational Tests and Inspections.

Visual observation of overall rule compliance is the most common form of testing, however all rules monitored will not be individually entered when complied with.

MAINTAINING THE QUALITY OF OPERATIONAL TESTING

The following guidelines will help supervisors maintain the quality of Connex's testing program. Quotas and testing requirements can be found in Connex Tests quota numbers, dated 3/13/07:

1. Tests should be spread out over all days of the week and include weekends and nights in approximate proportion to the hours of train operation on any territory. Tests should not be "bunched" into only a few days per month.
2. Tests should include all Metrolink trains operating over all territories, and trains operated by foreign line crews operating over SCRRA property.
3. Crews should be tested on Operating Rules, Special Instructions, Emergency Preparedness, Airbrake, Safety and Supplemental Rules/Instructions. 50% Operating Rules and Special Instructions, should be a minimum of your monthly quota.
4. Unless a supervisor is assigned full time to LAUPT, at least half of each supervisor's tests should be done away from their crew base or terminal.
5. Avoid a pattern of repeating a limited number of tests. Strive to test on a variety of safety critical rules.
6. Tests should be entered into the TESTS system in a timely manner throughout the month, preferably within 48 hours of the test and no later by the 7th of the following month.
7. All testing teams must perform a job briefing prior to setting up the tests, to ensure the safety of all involved. The individual team members must acknowledge their respective assignments and the integrity of the tests.

METHODS OF CONDUCTING TESTS

Various methods may be used to conduct tests. These methods include, but are not limited to, visual observation, monitoring live and previously recorded radio and telephone transmission, 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, test must be conducted without the knowledge of the employees being tested.

INSTRUCTIONS FOR RECORDING TESTS

There are two forms for recording operational tests and inspections, and one form for recording Engineer Evaluations:

- CXRR Form 172, "Employee Efficiency and Safety Tests Report," may be used when one supervisor performs one or more tests on the same employee.

- CXRR Form 175, "Locomotive Engineer Evaluation Form", is used to record a supervisor's evaluation of an Engineer or Engine Certified Supervisor's performance in operating a train or engine. Evaluations for Engineers in road service must last for at least ½ of the assigned trip. When the evaluation has been completed, a copy of the evaluation form must be given to the Engineer.

Instructions are included with the forms. Once completed, the information on the forms must be keyed into the TESTS mainframe computer system as soon as practical, but no later than 7 days following the month in which the test occurred. Questions regarding the completion of test forms, or their input into the mainframe computer system, should be directed to the Rules Department.

INSTRUCTIONS FOR RECORDING OF "OBSERVED" OR "UNOBSERVED" TESTS

Recording efficiency tests as "OBSERVED" VS "UNOBSERVED" is critical to the integrity of the information. This is based on whether you, as a manager, observed the test as it occurred or not. If you arrived after it occurred to investigate and it is confirmed to have happened or you are reading a speed tape, it should be entered as UNOBSERVED. This is **not** based on whether the crew saw or observed you, as you were testing them.

Recording efficiency tests as "Set Up" Tests has two requirements:

(1) The employee being tested is **unaware** of the testing officer's presence until after the test is complete.
(2) The testing condition was created by the testing officer or in certain cases a pre-existing condition, such as a Stop signal, may be shown as "set up" as long as the first condition is met.

INSTRUCTIONS FOR USE OF A SHUNT OR SHUNTING TRACK BARRICADE

Supervisors must take the following actions when placing a shunting track barricade in signaled territory:

1. Conduct a job briefing with all team members and assign a watchman when placing the shunt. Contact the Dispatcher before erecting the barricade to advise him/her of the nature of the test, and to ensure that no trains will approach the test site until the track has been shunted. Place testing teams to observe the initial stop of the train at the Stop signal, permission to proceed, restricted speed by radar or event recorder and the stop at the barricade.
2. Place a shunting track barricade in the block where the test will take place.
3. Verify that the signal governing the entrance to the block is displaying Stop,
   Stop and Proceed, or Restricting indication, by observing the signal aspect, or asking the Dispatcher if there is a track occupancy light (TOL) on the model board in the appropriate location.

To comply with the test, trains must stop before striking the barricade. If a train strikes the barricade, the crewmember controlling the movement must immediately be removed from service, D & A tested, and charged with violation of the appropriate signal rule.

BARRICADE TEST

CHECK METHOD: B, Barricade (for all tests in this category)

A. Description of Test

This test checks compliance with the requirement to stop short of a train or Stop signal while a train or engine is required to operate at restricted speed or while operating on other than main track. A STOP banner, track barricade sign, red flag, fusee, hand, or lantern signal, or other readily visible signal to stop may be used.

B. Conditions for Test

This test requires that the train be operating prepared to stop short of a train or "Stop signal" and such a condition must be known to be in effect. If relying on a signal indication to require such a speed, the signal indication must be confirmed by actual visual verification by one of the officers participating in the test. Also refer to the previous section on using a shunting track barricade, or any time when a shunt is used.

C. Testing Guidelines

A sufficient number of testing officers must be utilized to verify test conditions and observe all aspects of compliance. Locations should be chosen with care to ensure the safety of the testing officers and the train crew. The test must be set up well in advance of the train's arrival so that all involved are properly briefed on their role and in their assigned positions.

In addition, the following specific guidelines should be reviewed:

1. Coordination with the train dispatcher is almost always required. In many cases the train dispatcher should be instructed on what to reply to the train crew if questioned about certain conditions of the test (reason for red signal, etc.) At the very least, contact with the train dispatcher is usually required to verify the location of the train and if there are any other trains that may be in the area.
2. For an effective test, a location should be chosen that would conclusively demonstrate that the train was being operated in accordance with the rule. Performing this test on tangent track when visibility is otherwise unlimited is discouraged. On the other hand, the barricade, STOP banner, or other signal to stop must be in position, and remain in position, prior to the arrival of the train at a point where the signal would normally become visible to that train.

3. If using an unattended fusee, ascertain the correct placement of the fusee to ensure that it applies to the track on which the train is operating, and consider if it could affect other trains on other tracks.

4. When setting up this test using a signal displaying Stop or Stop and Proceed, verify compliance with all rules shown in Section C of Stop Signal and Stop and Proceed TESTS.

D. Compliance with the following additional rules should be observed during this test:

1. Communication with crew member in the body of the train (over radio) of all signal aspects, where required. Check for good CRM procedures.
2. Speed associated with restricted speed, or other rule (by radar or event recorder download)
3. Acknowledgement of signal to stop, when required (by whistle or, where allowed by rule, radio)
4. After stopping, further movement in accordance with applicable rules (previous signal indication, delayed in block, etc.)
5. (Optional, if time allows) During stop, check timetables, rule books, engineer certificate and other required documents, including locomotive inspection cards, etc. Document as a separate test. Document any Rule 1.5 observations as a separate test.
6. If crew has been operating over a 10 hour period, and the tests is unobserved, enter the tests as a FRA303C with (Fatigue) in the comment field.

E. Failure Defined

The test is a failure if:

1. Train or engine fails to stop short of track barricade, stop banner or signal to stop.
   Failure requires suspension of locomotive engineer certificate using CXRR Form 176. Check box: "Operating a locomotive or train past a signal indication that requires a complete stop before passing it." EXCEPTION – Failure to stop at a hand signal, radio signal indication or improperly lined switch does NOT require certificate suspension.

   In the case of a two person engine crew, for any failure that requires the suspension of locomotive engineer certificate, the second engineer's certification will also be suspended using CXRR Form 176. Check box: "Failure to take appropriate action to prevent a violation per 49 CFR Part 240."

Placing the train in emergency to stop short of the banner or Stop signal will not be considered a failure of this operational test, but would be considered a failure to comply with train handling rules.

Failure in any other rules, or of the additional rules listed in section D, above, should be entered as failures separately under the appropriate rule.

STOP SIGNAL

(Rule 9.12.1 CTC, 9.12.2 Manual Interlocking, 9.12.4 ABS)
CHECK METHOD: SE, Setup (only if "setup" test)

A. Description of Test

This test checks compliance by train and engine crews with rules that require that a stop be made before any part of train or engines passes a block or interlocking signal displaying Stop. This includes compliance with other signal indications in advance of the Stop Signal.

B. Conditions for Test

This test requires that a block or interlocking signal is displaying a Stop indication, requiring that a train or engine come to a full stop and not proceed until a more favorable indication, or authority to pass the Stop signal, is received.

C. Testing Guidelines

This test can be performed while the testing officer is riding the train, either in the operating cab or the body of the train. In this case, however, it is only an "observation" type test to be entered under Rule 9.12.1 (CTC), 9.12.4 (ABS), etc. because the crew is aware of your presence.

You would enter as FRA 303C only if the crew is not aware that you are present.

To be credited as a "setup" type test the testing officer must be in a position to be unobserved by the crew members of the train or engine as they approach and stop for a signal displaying Stop. The key to designating this test as a "setup" test is that the employees are unaware that they are being observed. For example, the dispatcher could have been asked to hold the signal at Stop, a shunt was used, or the signal could have been at Stop due to any other reason.

Also refer to "Instructions for Use of a Shunt or Shunting Track Barricade" any time a shunt is used.

This test should always include the following:

1. Compliance with the signal governing the approach to the Stop signal. When the rules require compliance with a speed after passing the previous signal, verify by radar when possible, or by later analysis of event recorder download.
2. Promptly attempt to contact the train dispatcher after stopping, if no conflicting movement is evident.

3. If permission to pass the Stop signal is received, verify that proper format is followed. Verify that movement is made at restricted speed by radar when possible, or by later analysis of event recorder download. (If a barricade/banner is used to test the requirement to stop while moving at restricted speed, record the entire test as a BARRICADE TEST.)
4. Verify that movement remains at restricted speed until leading wheels have passed the next signal, or end of block signal territory, as per applicable railroad rules.

D. Compliance with the following additional rules should be observed during this test:

1. Communication from the engineer with crew member in body of train (over radio) of signal indications, as required by rule or Connex Metrolink Notices. Check for good CRM procedures.
2. Proper radio procedure.
3. (Optional, if time allows) During stop, check timetables, rule books, engineer certificate and other required documents, including locomotive inspection cards, etc. Document as separate REQUIRED DOCUMENTS tests. Document any Rule 1.5 observations as a separate DRUG & ALCOHOL test.
4. If crew has been operating over a 10 hour period on their last trip or between 3:00am and 5:00am or 3:00pm and 5:00pm on last day of work week, and the test is unobserved, enter the tests as a FRA303C with (Fatigue) in the comment field.
5. If it can be determined that the prior signal required the train to be prepared to stop before passing the next signal, then Rule 9.5 would apply.

E. Failure Defined

The test is a failure if:

1. Train or engine fails to stop short of Stop signal.
   Failure requires suspension of locomotive engineer certificate using CXRR Form 176. Check box: "Operating a locomotive or train past a signal indication that requires a complete stop before passing it."
2. Train passes Stop signal, after stopping, but without proper authority.
   Failure requires suspension of locomotive engineer certificate using *CXRR Form 176. Check box: "Occupying main track or a segment of main track without proper authority or permission."*

   In the case of a two person engine crew, for any failure that requires the suspension of locomotive engineer certificate, the second engineer's certification will also be suspended using CXRR Form 176. Check box "Failure to take appropriate action to prevent a violation per 49 CFR Part 240."

Failure in any other rules, or of the additional rules listed in section D, above, should be entered as failures separately under the appropriate rule.

DARK SIGNAL
Rule 9.4 (or possibly 9.5)
CHECK METHOD: SE, Setup (only if "setup" test)

A. Description of Test

This test checks compliance by train and engine crews with rules that require that a signal that is improperly displayed or absent from the place where it is usually shown must be governed as the most restrictive indication that can be given by that signal.

B. Conditions for Test

This test requires that a block or interlocking signal is improperly displayed. Most often this means that one or more lights are not illuminated (dark) and the resulting aspect is not shown as an acceptable aspect in the railroad's Special Instructions. Alternatively, a combination of lights can be displayed that are also not shown as an acceptable aspect. Remember the revision to Rule 9.4 which includes additional colored or lunar lights are displayed on the same aspect to be improperly displayed.

C. Testing Guidelines

This test can be performed while the testing officer is riding the train, either in the operating cab or the body of the train. In this case, however, it is only an "observation" type test to be entered under Rule 9.4 because the crew is aware of your presence.

You would enter as FRA 303C only if the crew is not aware that you are there.

To be credited as a "setup" type test the testing officer must be in a position to be unobserved by the crew members of the train or engine as they approach and stop for the improperly displayed signal or dark signal. The key to designating this test as a "setup" test is that the employees are unaware that they are being observed.

The preferred method for this test would ensure that the preceding signal was displaying an indication that required a train to be prepared to stop at the next signal. This signal indication must be confirmed by actual visual verification by one of the officers participating in the test.

In that case, this test should always include the following:

1. Compliance with the signal governing the approach to the dark/improperly displayed signal (9.5). When the rules require compliance with a speed after passing the previous signal, verify by radar when possible, or by later analysis of event recorder download.
2. Promptly attempt to contact the train dispatcher.
3. If permission to pass the dark/improperly displayed signal is received, verify that proper format is followed. If the most restrictive indication of the signal is Stop and Proceed, ensure that a full stop is made. Verify that further movement is made at restricted speed by radar when possible, or by later analysis of event recorder download.
4. Verify that movement remains at restricted speed until leading wheels have passed the next signal, or end of block signal territory.

If the dark/improperly displayed signal is not preceded by a signal displaying an indication that required a train to be prepared to stop at the next signal (9.4), then the test should include the following:

1. Train is brought to a safe stop, consistent with good train handling, as soon as dark/improperly displayed signal is observed.
2. Promptly attempt to contact the train dispatcher.
3. If permission to pass the dark/improperly displayed signal is received, verify that proper format is followed. If the most restrictive indication of the signal is Stop and Proceed, ensure that a full stop is made. If train was unable to stop before passing the dark/improperly displayed signal, ensure that these same procedures are followed. Verify that further movement is made at restricted speed by radar when possible, or by later analysis of event recorder download.
4. Verify that movement remains at restricted speeds until leading wheels have passed the next signal, or end of block signal territory.

D. Compliance with the following additional rules should be observed during this test:

1. Communication from the engineer with crew member in body of train (over radio) of signal indications, as required by rule or Connex special instructions. Check for good CRM procedures.
2. Proper radio procedure.
3. (Optional, if time allows) During stop, check timetables, rulebooks, engineer certificate and other required documents, including locomotive inspection cards, etc. Document as a separate test (REQUIRED DOCUMENTS). Document any Rule 1.5 observations as a separate test (DRUG & ALCOHOL).
4. If crew has been operating over a 10 hour period, and the tests are unobserved, enter the tests as a FRA303C with (Fatigue) in the comment field.

E. Failure Defined

The test is a failure if:

1. Train fails to stop before passing dark/improperly displayed signal (when preceding signal required that a train to be prepared to stop at the next signal); Failure requires suspension of locomotive engineer certificate using CXRR Form 176. Check box "Operating a locomotive or train past a signal indication that requires a complete stop before passing it."

2. Train proceeds, after stopping for a dark/improperly displayed signal whose most restrictive indication is Stop, but without proper authority. *Failure requires suspension of locomotive engineer certificate using CXRR Form 176. Check box "Occupying main track or a segment of main track without proper authority or permission." (continued)*

3. Train exceeds speed required by 5 MPH or more, after stopping for a dark/imperfectly-displayed signal whose most restrictive indication is Stop and Proceed.
   Failure by exceeding speed by 10 MPH or more requires suspension of locomotive engineer certificate using CXRR Form 176. Check box: "Operating a locomotive or train at a speed that exceeds the maximum authorized by at least 10 miles per hour."

4. If train fails to stop, consistent with good train handling, as soon as dark/improperly displayed signal is observed. This does not require the train to stop short of the dark/improperly displayed signal, but to take action to stop. Once stopped, train fails to comply as stated in either No. 2 of this section if the improperly displayed signal was Stop or No. 3 of this section if a Stop and Proceed. In either case advise the dispatcher of the signal (9.4) and of the delay (1.1.3).

In the case of a two person engine crew, for any failure that requires the suspension of locomotive engineer certificate, the second engineer's certification will also be suspended using CXRR Form 176. Check box: "Failure to take appropriate action to prevent a violation per 49 CFR Part 240."

Failure in other rules, or of the additional rules listed in section D, above, should be entered as failures separately under the appropriate rule.

STOP AND PROCEED SIGNAL

(Rule 9.16)

CHECK METHOD: SE, Setup (only if "setup" test)

A. Description of Test

This test checks compliance by train and engine crews with rules that require that a stop be made before any part of train or engines passes a block signal displaying Stop and Proceed. This includes compliance with other signal indications in advance of the Stop and Proceed signal.

B. Conditions for Test

This test requires that a block signal is displaying a Stop and Proceed indication requiring that a train or engine come to a full stop before proceeding at restricted speed, unless operating under one of the conditions that do not require stopping.

C. Testing Guidelines

This test can be performed while the testing officer is riding the train, either in the operating cab or the body of the train. In this case, however, it is an "observed" type test and entered as Rule 9.16. If the crew is not aware you are present and that you are testing them, you can enter it as a FRA303.

To be credited as a "setup" type test, the testing officer must be in a position to be unobserved by the crew members of the train or engine as they approach and stop for a signal displaying Stop and Proceed. The key to designating this test as a "setup" test is that the employees are unaware that they are being observed – the signal could be displaying Stop and Proceed for any reason. Most tests will require that a shunt be used but the signal could have been displaying Stop and Proceed due to other reasons.

Also refer to "Instructions for Use of a Shunt or Shunting Track Barricade" any time a shunt is used.

This test should always include the following:

1. Compliance with the signal governing the approach to the Stop and Proceed signal. When the rules require compliance with a speed after passing the previous signal, verify by radar when possible, or by later analysis of event recorder download.
2. A full stop is made before passing the signal displaying Stop and Proceed.
3. Verify that further movement is made at restricted speed by radar when possible, or by later analysis of event recorder download.
4. Verify that movement remains at restricted speed until leading wheels have passed the next signal, or end of block signal territory.

Unless:
There is no requirement to stop as listed under one of the 6 exceptions to stopping listed in GCOR Rule 9.16 (2. A, B, C, D, E, F.)

D. Compliance with the following additional rules should be observed during this test:

1. Communication from the engineer with crew member in body of train (over radio) of signal indications, as required by rule or Connex special instructions. Look for good CRM procedures.
2. Proper radio procedure
3. If the crew has been operating over a 10 hour period and the crew is unaware you are there or testing them, enter the test as an FRA303C with (Fatigue) in the comment field.

E. Failure Defined

The test is a failure if:

1. Train or engine fails to stop short of Stop and Proceed signal.
   Failure requires suspension of locomotive engineer certificate using CXRR Form 176. Check box: "Operating a locomotive or train past a signal indication that requires a complete stop before passing it."
2. Train exceeds restricted speed by 5 MPH or more, after stopping for Stop and Proceed signal.
   Failure by exceeding speed by 10 MPH or more requires suspension of locomotive engineer certificate using CXRR Form 176. Check box: "Operating a locomotive or train at a speed that exceeds the maximum authorized by at least 10 miles per hour."

In the case of a two person engine crew, for any failure that requires the suspension of locomotive engineer certificate, the second engineer's certification will also be suspended using CXRR Form 176. Check box: "Failure to take appropriate action to prevent a violation per 49 CFR Part 240."

Failure in other rules, or of the additional rules listed in section D, above, should be entered as failures separately under the appropriate rule.

OTHER SIGNAL INDICATIONS

(See signal page in current Metrolink Timetable)

CHECK METHOD:
R Radar (if radar is used to verify compliance)
E Event Recorder (if event recorder is used to verify compliance)
SE, Setup (if "set up" test in Yard Limits)

A. Description of Test

This test checks compliance by train and engine crews with any signal other than Stop (9.12), Stop and Proceed (9.16), or a Dark/Improperly (9.4) displayed signal (see Stop Signal, Dark Signal, Stop and Proceed tests.)

B. Conditions for Test

This test requires that a train has encountered a signal that requires an observable and measurable action on the part of the engineer. This usually means that a specified speed, or an action to immediately reduce to a specified speed, is required.

C. Testing Guidelines

This test can be performed while:

1. The testing officer is riding the train.
2. Observing a train from trackside and verifying by radar or subsequent review of event recorder data that the appropriate speed or action was in compliance. When radar is used to verify compliance, use Check Method "R".
3. Reviewing event recorder data when signal location can be identified and signal indication is known. When event recorder data is used to verify compliance, use Check Method "E".

Use Check Method "SE" for a "setup" test only when this test specifically checks for compliance with Yard Limit rules that require restricted speed whenever operating under signal indication that is not more favorable than Approach.

D. Compliance with the following additional rules should be observed during this test:

1. Communication from the engineer with crew member in body of train (over radio) of signal indications, as required by rule or Connex special instructions. Check for good CRM procedures.
2. Proper radio procedure.

E. Failure Defined

The test is a failure if:

1. Train exceeds the speed required by the signal indication by 5 MPH or more.
   Failure by exceeding speed by 10 MPH or more requires suspension of locomotive engineer certificate using CXRR Form 176. Check box: "Operating a locomotive or train at a speed that exceeds the maximum authorized by at least 10 miles per hour."

2. Engineer fails to take "immediate" action to reduce speed when required.

In the case of a two person engine crew, for any failure that requires the suspension of locomotive engineer certificate, the second engineer's certification will also be suspended using CXRR Form 176. Check box: "Failure to take appropriate action to prevent a violation per 49 CFR Part 240."

Failure in other rules, or of the additional rules listed in section D, above, should be entered as failures separately under the appropriate rule.

MAIN TRACK AUTHORITY

(Rule 6.3)

CHECK METHOD: N/A

A. Description of Test

This test checks compliance by train and engine crews with rules for occupying a main track.

B. Conditions for Test

This test requires that a train is either entering a main track, controlled siding or continuing on a main track into territory that requires additional or different form of authority.

C. Testing Guidelines

This test covers any rule for occupying a main track or controlled siding and includes receiving the proper authority, not fouling until switch is lined, operation of electric locks, and any prescribed waiting period after lining switch.

This test also covers, but is not limited to, the following rules:

1. CTC – This test will check for authority to enter at a location other than at a signal – if at a signal, use STOP SIGNAL tests.

2. TWC, territory (where written authority in the prescribed form is required to occupy a main track.)
3. Yard Limits.

D. Compliance with the following additional rules should be observed during this test:

1. Proper format of authority received is observed.
2. Proper radio procedures.
3. Conductor reminds engineer of limits of authority, if necessary, according to rules or Connex special instructions. Check for good CRM procedures.

E. Failure Defined

The test is a failure if:

1. Train enters a main track, or continues movement without proper authority.
   Failure requires suspension of locomotive engineer certificate using CXRR Form 176. Check box: "Occupying main track, or a segment of main track without proper authority or permission."

In the case of a two person engine crew, for any failure that requires the suspension of locomotive engineer certificate, the second engineer's certification will also be suspended using CXRR Form 176. Check box: "Failure to take appropriate action to prevent a violation per 49 CFR Part 240."

Failure in other rules, or of the additional rules listed in section D, above, should be entered as failures separately under the appropriate rule. If employee fails to comply with all rules governing the requesting, issuing, repeating, completing, voiding or canceling a Written Authority, but the testing officers determine that the authority to occupy a main track is other wise valid, record such failures under WRITTEN DIRECTIVES tests.

DELAYED IN BLOCK

(FRA 202 A, TTSI 9.9A in CTC or GCOR 9.9B in ABS)

CHECK METHOD:

- **R Radar (if radar is used to verify compliance)**
- **E Event Recorder (if event recorder is used to verify compliance)**
- **SE Setup (if "set up" test in Yard Limits)**

A. Description of Test

This test checks compliance by train and engine crews with rules that govern further movement after a train stops or the speed drops below 10MPH in a signaled block.

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B. Conditions for Test

This test requires that a train has made a stop in a signaled block at a location where the next signal (and/or the track to the next signal) is not clearly visible, and an applicable "Delayed In Block" rule requires that the train proceed prepared to stop before passing the next signal. Because the "Delayed In Block" rules vary significantly and are dependent on the type of signal territory, it is extremely important that the testing officers fully understand the conditions and the rules that apply for the territory and train being tested.

C. Testing Guidelines

This test can be performed while the testing officer is riding the train, either in the operating cab or the body of the train. In this case, however, it is only an "observation" type test. To be credited as a "setup" type test the testing officer must be in a position to be unobserved by the crew members of the train or engine as they are being governed by a "Delayed In Block" rule.

"Delayed in Block" rules generally require that a train must approach the next signal prepared to stop until it is clearly visible. Therefore, it is important that testing officers choose a location where they can readily identify the point at which the next signal is visible to the approaching train.

"Setup" tests on this rule can generally be performed by one of three different methods:

1. Where the rule requires that a train proceed at a specified speed after stopping in a block, radar can be used to determine compliance with that speed (enter "R" as check method).
2. Where the rule requires that a train proceed to the next signal prepared to stop at any point prior to reaching that signal (or prior to the signal becoming clearly visible) – such as restricted – a barricade (stop sign, red flag, etc.) can be used to test compliance (enter "B" as check method).
3. Whereas most if not all "Delayed In Block" rules require that a train be prepared to stop at the next signal until it becomes clearly visible, this signal can be set to display Stop or Stop and Proceed after the train has stopped in a block. This type of test requires close coordination and attention to safety. Care should be taken to verify that the train has already passed the previous signal and is stopped in the block before the next signal is changed to display Stop or Stop and Proceed.

D. Compliance with the following additional rules should be observed during this test:

1. Communication from the engineer with crew member in body of train (over radio) of signal indications, as required by rule or Connex special instructions. Check for good CRM procedures.
2. Proper radio procedure.
3. (Optional, if time allows) During stop, check timetables, rule books, engineer certificate and other required documents, including locomotive inspection cards, etc. Document as a separate REQUIRED DOCUMENTS test. Document any Rule "G" observations as a separate DRUG & ALCOHOL test.
4. If crew has been operating over a 10 hour period on their last trip or between 3:00am and 5:00am or 3:00pm and 5:00pm on last day of work week, and the test is unobserved, enter the tests as a FRA303C with (Fatigue) in the comment field.

E. Failure Defined

The test is a failure if:

1. Train fails to stop short of Stop signal, or barricade.
   Failure requires suspension of locomotive engineer certificate using *CXRR Form 176.* Check box: "Operating a locomotive or train past a signal indication that requires a complete stop before passing it." EXCEPTION – Failure to stop at a hand signal, radio signal indication or improperly lined switch does NOT require certificate suspension.

2. Train exceeds speed required by "Delayed In Block" rule, where applicable, by 5 MPH or more.
   Failure by exceeding speed by 10 MPH or more requires suspension of locomotive engineer certificate using CXRR Form 176. Check box: "Operating a locomotive or train at a speed that exceeds the maximum authorized by at least 10 miles per hour."

In the case of a two person engine crew, for any failure that requires the suspension of locomotive engineer certificate, the second engineer's certification will also be suspended using CXRR Form 176. Check box: "Failure to take appropriate action to prevent a violation per 49 CFR part 240."

Failure in other rules should be entered as failures separately under the appropriate rule.

SPEED

(Rule 6.31)

CHECK METHOD:

- **E Event Recorder (if event recorder is used to verify compliance)**
- **R (if radar is used to verify compliance)**

A. Description of Test

This test checks compliance of employees operating trains or engines with the authorized speed at a given location.

B. Conditions for Test

This test may be performed at any location, but preference should be shown for locations where speed is being restricted below maximum authorized speed for any reason.

C. Testing Guidelines

This test can be performed using radar or while reviewing event recorder data. Use Check Method "R" for radar, Check Method "E" for event recorder data.

Since a supervisor should always be monitoring train speed while riding trains, this test should not be recorded during on-board observations unless a failure is encountered. In that case, use Check Method "SP" if speed was monitored using the speedometer, or "W" if a watch was used to time the speed of the train.

Use this test as a "stand-alone" test. When included in any other test (as required in sections "C" and "D" of each test), there is no need to record speed compliance as a separate test. However, record failures under this test and include specific rule number in the "Comments" field.

a. Event Recorder Tests (Check Method "E"). Read the "Event Recorder Tests" section at the beginning of this Guide for more details. To summarize, to count as an Event Recorder Test the following conditions must be met:

    1. Event Recorder download is printed
    2. Printed copy is marked with at least (3) events that were checked
    3. Printed copy is filed for one year
    4. Must include (1) one Delayed In Block, entered as FRA201C, If crew has been operating over 10 hours, include the word (Fatigue) in the comment field

b. Radar Test (Check Method "R"). When radar is used in conjunction with any other TEST (for example, Delayed In Block test, or any test for compliance with signal indications), use "R" as Check Method under that TEST number. However, use this test when radar is used as a "stand alone" test for one of the following:
    1. A permanent speed restriction.
    2. A temporary speed restriction, or restricted speed.
    3. A turnout speed not required by signal indication.
    4. A speed required by any rule not covered in another test.

D. Rules to use with this tests

During a radar type test, all applicable rules concerning headlights, markers, whistle and bell should be observed.

E. Failure Defined

The test is a failure if:

1. Speed is exceeded by 5 MPH or more. A failure could also be shown if excursions above the speed limit occur consistently, but are less than 5 MPH, but are deemed to warrant verbal or written counseling.

Failure by exceeding speed by 10 MPH or more requires suspension of locomotive engineer certificate using CXRR Form 176. Check box: "Operating a locomotive or train at a speed that exceeds the maximum authorized by at least 10 miles per hour."

In the case of a two person engine crew, for any failure that requires the suspension of locomotive engineer certificate, the second engineer's certification will also be suspended using CXRR Form 176. Check box: "Failure to take appropriate action to prevent a violation per 49 CFR Part 240."

Failure in other rules, or of the additional rules listed in Section D, above, should be entered as failures separately under the appropriate rule.

AUTOMATIC WARNING DEVICES MALFUNCTIONING

CHECK METHOD: SE, Setup (only if "setup" test)
(Rule 6.32.2A)

A. Description of Test

This test checks compliance by train and engine crews with rules that govern movement over a highway crossing when notified that automatic warning devices are not functioning properly.

B. Conditions for Test

This test requires that a train has been notified that automatic warning devices are not functioning properly.

C. Testing Guidelines

This test can be performed when a train has been notified of an actual warning device malfunction or this test can be setup by having the train dispatcher issue such a notification when the warning devices are not malfunctioning. Since this rule may differ from railroad to railroad when joint testing, review the appropriate rule book/special instructions for the required actions.

D. Compliance with the following additional rules should be observed during this test:

1. All applicable rules concerning headlights and markers should be observed.
2. When possible, procedures for copying and repeating radio instructions.
3. UPRR – XH, XG, XS, (entered in comments field)
   BNSF – X Box 1, 2 or 3 as instructed by T.D. (entered in comments field)

E. Failure Defined

The test is a failure if:

1. Train occupies crossing without on-ground warning, when required. *Failure requires suspension of locomotive engineer certificate using CXRR Form 176. Check box: "Occupying main track or a segment of main track without proper authority or permission."*
2. Train exceeds required speed by 5 MPH or more. *Failure by exceeding speed by 10 MPH or more requires suspension of locomotive engineer certificate using CXRR Form 176. Check Box: "Operating a locomotive or train at a speed that exceeds the maximum authorized by at least 10 miles per hour."*
3. Train fails to sound whistle as required. This is a test failure but not de-certifiable if the other requirements of the rule are complied with.

In the case of a two person engine crew, for any failure that requires the suspension of locomotive engineer certificate, the second engineer's certification will also be suspended using CXRR Form 176. Check box: "Failure to take appropriate action to prevent a violation per 49 CFR Part 240."

Failure in any other rules, or of the additional rules listed in section D, above, should be entered as failures separately under the appropriate rule.

WRITTEN DIRECTIVES

(Rule 6.11, 15.1 or 2.14)
CHECK METHOD: N/A

A. Description of Test

This test checks compliance by train and engine crews with rules governing the requesting, issuing, repeating, completing, voiding and canceling a written directive.

B. Conditions for Test

This test can be performed at locations where crews request or receive a written directive. This includes receiving documents by printer or fax, or when required to copy written directives over the radio, phone or other means of communication.

C. Testing Guidelines

Employees can be observed while they are receiving written directives; the written directives can be checked later to ensure that they have been completed correctly, or radio transmissions can be monitored to ensure compliance with proper format and repeating of instructions.

These are shown in more detail, below:

1. Employees are observed receiving written directives. If received from a fax machine or printer, ensure that employees check for completeness. On railroads that require that the message time be within a specified number of hours of the time crew went to work, check for compliance. If employee is required to copy the written directive, check that all required information is recorded and that rules for repeating and receiving confirmation are followed (OK time, dispatcher's initials, "that is correct", etc.) If on a moving train, ensure that mandatory directives are not copied by the employee at the controls.

2. Written directives are checked some time after being received. Ensure that proper format and all required information have been copied correctly. Where required, check that both engineer and conductor have their copies. Where rules require that documents be kept until end of trip or longer, check that they are retained for the required period.
3. Radio is monitored to check for compliance. Check for compliance with rules for repeating and receiving confirmation (OK time, dispatcher's initials, "that is correct", etc.). Pay particular attention to accuracy in repeating, even if the dispatcher OK's the repeat. Where available, radio recording tapes may be also used for this test.

D. Rules to use with this tests

Proper radio procedures including proper repeat of directive per 2.14.1 and they complied with whatever the restriction was they were given.

E. Failure Defined

The test is a failure if:

1. Any of the rules/procedures listed in section C, above, are not followed.

Note: If failure results in occupying a main track without proper authority, it is important that you report this test as a MAIN TRACK AUTHORITY failure and follow guidelines for suspension of engineer(s) certificate as outlined in this document.

INTERLOCKING/CONTROL POINTS

Rule 6.4.1

CHECK METHOD: N/A

A. Description of Test

This test checks compliance by train and engine crews with rules that are specific to interlocking or control points.

B. Conditions for Test

This test requires that a rule that applies only at interlocking or control points affects a train or engine entering or moving within or through the interlocking or control point. For example, 6.4.1 Permission for Reverse Movement when trailing end of train is within outer opposing limits of a control point.

C. Testing Guidelines

Tests that are performed using interlocking or control point signals (such as Stop Signal tests) or the observation of rules requiring calling out signals, and similar tests that are not specific to interlocking or control points should be entered under the appropriate test number, not in this test.

D. Rules to use with this test

Some examples of specific rules may include, but are not limited to the following:

1. Initial movements.
2. Movements not governed by fixed signal.
3. Reverse movements or change of direction.
4. Movements delayed, or stopped by the control operator.
5. All applicable rules concerning headlights and markers should be observed.
6. Proper radio procedures.

E. Failure Defined

The test is a failure if:

1. Failure to comply with rule specific to interlocking or control points. Train occupies limits of a control point without authority, when required. *Failure requires suspension of locomotive engineer certificate using CXRR Form 176. Check box: "Occupying main track or a segment of main track without proper authority or permission.*

2. Train exceeds required speed by 5 MPH or more
   Failure by exceeding speed by 10 MPH or more requires suspension of locomotive engineer certificate using CXRR Form 176. Check Box: "Operating a locomotive or train at a speed that exceeds the maximum authorized by at least 10 miles per hour."
3. Failure in any other rules, or of the additional rules listed in Section D, above, should be entered as failures separately under the appropriate.

In the case of a two person engine crew, for any failure that requires the suspension of locomotive engineer certificate, the second engineer's certification will also be suspended using CXRR Form 176. Check box: "Failure to take appropriate action to prevent a violation per 49 CFR Part 240."

BLUE SIGNAL/UTILITY EMPLOYEE
(Rule 5.13)
CHECK METHOD: N/A

A. Description of Test

This test checks compliance by train and engine crews with rules that require that equipment under Blue Signal protection is not coupled to or moved and Blue Signals are not passed by trains or engines or removed by other than an employee of the same craft that placed them. This test also checks for compliance with the rules that allow a utility employee to perform certain tasks without Blue Signal protection.

B. Conditions for Test

This test requires that Blue Signal protection is in place, emergency repair work is necessary at a location where Blue Signals are not available, or a utility employee is working, or about to work, with a train crew.

C. Testing Guidelines

1. Blue Signal Protection: This test can be performed whenever Blue Signal protection is already being provided, or Blue Signal protection can be placed specifically for the purposes of this test. If the latter is done at a location where employees who normally work under Blue Signal protection are present, it is advisable to utilize a member of the craft that usually places Blue Signals to ensure that employees of that craft are protected during and after the test.

This test would include any or all of the following:

a. Employees not from the craft or group of workmen who placed the Blue Signal must not remove them or the locking devices. T&E crews must not have keys to the locks that are used to secure switches or derails that are providing Blue Signal protection.

b. Equipment is not allowed to pass a Blue Signal or enter track protected by a Blue Signal. Note: where rules require that switch be lined away from track being protected and secured with an effective locking device, or a derail placed in derailing position and similarly secured, these conditions should be met.

c. Equipment protected by a Blue Signal is not coupled to or moved and other equipment must not be placed so as to obstruct the view of the Blue Signal.

d. When emergency repair work at a location where Blue Signals are not available is necessary, verify that engineer is notified and appropriate measures taken to provide protection.

2. Utility Employee: This test can be performed whenever a utility employee is or will be working as a temporary member of a train or yard crew.
This test would include any or all of the following:

a. The engineer, or another employee if engine is stationary, is in the cab of the assigned controlling locomotive.

b. The utility employee works with only one train or yard crew at a time and not more than three utility employees work with the one train or yard crew at the same time.

c. The utility employee communicates with the designated employee before starting work with the crew and again when the work is completed. In addition, while working with the crew, communication among crew members must be maintained to understand the work to be done. Check for good CRM procedures.

d. The designated member of the crew must notify, and receive acknowledgement, of all crew members before the utility employee may commence work and before being released.

An effective way to perform this test is to question crew members on the identity and role of a utility employee who is working with their crew.

D. Additional Rules to be tested

Compliance with the following additional rules should be observed during this test:

1. All applicable rules concerning headlights, markers, whistle and bell should be observed.

2. Proper radio procedures.

E. Failure Defined

The test is a failure if:

1. Any of the rules/procedures listed in section C, above, are not followed. *Failure to stop for a Blue Signal requires suspension of locomotive engineer certificate using CXRR Form 176. Check box: "Operating a locomotive or train past a signal indication that requires a complete stop before passing it."*

In the case of a two person engine crew, for any failure that requires the suspension of locomotive engineer certificate, the second engineer's certification will also be suspended using CXRR Form. Check box: "Failure to take appropriate action to prevent a violation per 49 CFR part 240."

Failure in of the additional rules listed in section D, above, should be entered as failures separately under the appropriate rule.

SOFA

CHECK METHOD: N/A

A. Description of Test

This test checks compliance by train and engine crews with rules that cover any of the *Five SOFA Life Savers* recommendations developed by the **S**witching **O**perations **F**atality **A**nalysis (**SOFA**) working group.

B. Conditions for Test

This test may be performed during the tour of duty of any crew assigned to switching duties, whether they are a yard, "pinup" or a road crew setting out or picking up cars. It could also be applicable to any crew entering a yard or other switching environment for any reason, such as picking up or putting away their train.

C. Testing Guidelines

The SOFA rules are incorporated in Connex's Safety Rules (A summary of the Five SOFA Life Savers recommendations is found in Connex's Safety Rule 5400). In addition, the following list references additional specific Connex Safety Rules and you should also refer to the

appropriate operating rule when necessary to ensure full compliance. Include the rule number in the "Comments" field.

- Discuss safety at the beginning of a job and when work changes (5000 Job Briefing).
- Communicate before action is taken (5501).
- Protect against moving equipment (5204).
- Secure equipment before action is taken (5500 Three Point Protection)
- Mentor less experienced employees to perform service safely (5401)

D. Failure Defined

The test is a failure if:

1. There is failure to comply with any of the specific SOFA rules.

CALLING SIGNALS/RESTRICTIONS

Rule 1.47 A or C

CHECK METHOD: N/A

A. Description of Test

This test checks compliance by train and engine crews with rules that require the engineer to call out signals to other employees over the radio and the conductor must acknowledge the transmission. Also, rules that require the conductor or other crew members to remind the engineer of approaching restrictions.

B. Conditions for Test

This test usually requires only that a train is moving on a signaled track and/or approaching a location where it will be restricted.

C. Testing Guidelines

This test can be performed while the testing officer is riding the train, either in the operator cab or the body of the train. It can also be performed by monitoring radio transmissions from a trackside location. The Connex rules for this test are found in the current Metrolink Timetable and Connex Metrolink Notices.

This test should always include the following, when possible – all aspects require good CRM procedures:

1. Crews operating Metrolink trains on the BNSF or UPRR: Crew member in cab of controlling unit must communicate all *signal* ***names*** and their locations via radio. Crew member occupying the body of passenger trains must acknowledge all signals except green (CLEAR).

2. Crews operating Metrolink trains on the SDNR: Crew member in cab of controlling unit must communicate all *signal* ***names or aspects*** and their locations via radio. Crew member occupying the body of the passenger trains must acknowledge all signals except green (CLEAR).

3. From conductor to engineer: The conductor must remind the engineer when the train is approaching an area where the train will be restricted. Unless otherwise required by a railroad operating rule, this must be done after passing the last station but not less than two miles from the restriction. A second reminder is required if the train is stopped between the first reminder and the point of restriction.

4. **Conductors and Engineers-TEAMWORK:**
Prior to departure after stopping for any reason, the Conductor and Engineer must communicate the signal name or aspect they are currently operating on. In addition, if the Conductor can see the next governing signal from the platform at a station stop, the signal aspect or name must be communicated by radio to the Engineer. These requirements are in addition to previous instructions regarding Conductors reminding Engineers of upcoming restrictions, being delayed in block, etc.

C. Rules to use with this tests

1. Radio procedures
2. Reporting unusual conditions or when delayed or stopping, immediately notifying the dispatcher of delay.

D. Failure Defined

The test is a failure if:
Any crew member fails to comply with requirements to communicate or to acknowledge a communication required by this test.

Failure in any other rules, or of the additional rules listed in Section D, above, should be entered as failures separately under the appropriate rule.

WHISTLE/BELL/HEADLIGHT/DITCH LIGHTS/MARKER
Rule 5.8.2, 5.9, 5.9.1, 5.9.5 & 5.10
CHECK METHOD:
E Event Recorder (If event recorder is used to check compliance)

A. Description of Test

This test checks compliance by train and engine crews with rules that govern the display or use of the engine whistle, bell or headlight, including ditch lights, and the display of markers.

B. Conditions for Test

This test is included in many other TESTS and should not be entered as a separate TEST every time you test a crew. This should be entered if there is a failure. This TEST should be performed if the test includes compliance with rules governing further movement after the failure of any one of these devices to ensure compliance.

C. Testing Guidelines

Refer to the specific rule book and special instructions of the property on which the test is being made. The following are general areas that this test should always include:

1. Headlight/Ditch Lights:
   a. Headlight on bright except when rules require dimming.
   b. Headlight on bright and Ditch Lights on when approaching & passing over public grade crossings.
2. Whistle/Bell
   a. Whistle/Bell sounded at the prescribed location when approaching & passing over public grade crossings.
   b. Whistle/bell sounded when approaching Roadway Workers.
   c. Whistle/bell sounded at all other locations where required.
3. Markers:
   a. Displayed at rear of train and illuminated when required.
   b. Confirmed at crew change locations.

D. Failure Defined

The test is a failure if:

1. Failure to comply with any rule specific to headlights, whistle, bell, or markers.

HANDLING CARS AHEAD OF ENGINE

Rule FRA 6.5

CHECK METHOD: SE Setup (only if "set up" test, stopping in half remaining distance)

A. Description of Test

This test checks compliance by train and engine crews with rules governing handling cars ahead of engine or shoving movements.

B. Conditions for Test

This test requires that a train or engine is making a back-up movement, either on a main track or on other than main track, including in yards.

C. Testing Guidelines

This test should always include the following:

1. Cars or engines must not be shoved until the engineer and the employee protecting the movement have completed a job briefing concerning how protection will be provided. Employee providing protection must not engage in unrelated tasks while providing protection.
2. When cars or engines are shoved, a crew member or other qualified employee must be in position to protect the movement by:

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- Visually observing leading end of the movement to location that movement will be stopped. Unless relieved by:
    A. Special instructions specific to tracks involved.
    B. Rule 6.6 (Picking up crew member)
- Being on equipment to observe leading end of the movement in the direction of movement, or being ahead of the movement.
- Employee must visually determine switches and derails are properly lined for movement.
- Main track authority allows for movement in direction of shove, provided route is known to be properly lined, road crossings will not be fouled and movement at restricted speed is not required.
- Radio communication, if used, specifies direction and distance to be traveled. Additional instructions are transmitted before movement has traveled half of the remaining distance. If no further instructions received, movement stops within half the remaining distance (when safe to do so, if testing officer instructs employee giving signals not to issue further instructions in order to test engineer's compliance with this rule, count this as a "setup" test – Check Method "SE").

3. Cars or engines must not be shoved to foul other tracks until it is know that switches are properly lined and it is safe to do so.
4. When cars are shoved on a main track or controlled siding in the direction authorized, movement must not exceed:
    - 20 MPH for freight trains.
    - 30 MPH for passenger trains.

D. Rules to use with this tests

Radio procedures (2.1)
Speed (6.31)
On main track, rules for reverse movement, if applicable (6.4).
Restricted speed, if applicable (6.27).

E. Failure Defined

The test is a failure if:

1. Failure to comply with any rule specific to back-up or shoving movements (Rule 6.5) as listed in item C Sections 1-4.
2. If train exceeds speed required by "Handling cars ahead of engine", where applicable, by 5 mph or more. *Failure by exceeding speed by 10 MPH or more requires suspension of locomotive engineer certificate using CXRR Form 176. Check box "Operating a locomotive or train at a speed that exceeds the maximum authorized by at least 10 miles per hour."*

In the case of a two person engine crew, for any failure that requires the suspension of locomotive engineer certificate, the second engineer's certification will also be suspended using CXRR Form 176. Check box: "Failure to take appropriate action to prevent a violation per 49 CFR Part 240."

Failure of other rules should be entered as a failure separately under the appropriate rule.

PROVIDE WARNING OVER ROAD CROSSINGS

FRA Rule 6.32.1

CHECK METHOD: SE, Setup (only if "setup" test)

A. Description of Test

This test checks compliance by train and engine crews with rules that govern movement while shoving over a railroad crossings.

B. Conditions for Test

This test requires that while a train is shoving, a crewmember must determine if automatic warning devices are functioning properly.

C. Testing Guidelines

This test can be performed when a train is shoved over road crossings. The crew must determine whether to provide warning based on, if warning is provided and functioning correctly, or not functioning properly by following the rule to ensure compliance.

D. Compliance with the following additional rules should be observed during this test:

1. All applicable rules concerning headlights, markers, radio procedures.
2. Instruction on distance and direction.

E. Failure Defined

The test is a failure if:

1. Failure to comply with any rule specific to back-up or shoving movements (Rule 6.5 Handling Cars Ahead of Engine as listed in Item C 1-4).
2. If train exceeds speed required by "Handling Cars Ahead of Engine", where applicable, by 5 mph or more. *Failure by exceeding speed by 10 MPH or more requires suspension of locomotive engineer certificate using CXRR Form 176. Check box: "Operating a locomotive or train at a speed that exceeds the maximum authorized by at least 10 miles per hour."*

In the case of a two person engine crew, for any failure that requires the suspension of locomotive engineer certificate, the second engineer's certification will also be suspended using CXRR Form 176. Check box: "Failure to take appropriate action to prevent a violation per 49 CFR Part 240."

Failure of other rule should be entered as a failure separately under the appropriate rule.

SWITCHING SAFELY & EFFICIENTLY
Rule FRA 7.1

A. Description of Test

This test checks compliance by train and engine crews with rules that govern the handling of switches as well as rules that govern switching and securing equipment. This test may also be performed on employees of other departments when their duties involve handling switches or moving rail equipment.

B. Conditions for Test

This test requires that employees handle switches and/or switch cars. This could be as simple as a road crew coupling up their engines to their train or coupling two trains together.

C. Testing Guidelines

This test requires the testing officer to observe all of the actions of the crew member(s) involved to ensure that *all* applicable rules are being followed.

This test should include as many of the following as applicable:

Equipment is not to be left standing where it will foul equipment on adjacent tracks or cause injury to employees riding on the side of a car or engine.

On tracks where clearance point is indicated, leave equipment beyond the clearance point.

If clearance point is not indicated or is not visible, employee may determine clearance point by standing outside of rail of adjacent track and extending their arm towards the equipment. When unable to touch equipment, leave equipment at least an additional 50 feet into the track to ensure equipment is beyond the clearance point.

However equipment may be left on a:

- *Main track, fouling a siding track switch, when the switch is lined for the siding, fouling a main track switch, when the switch is lined for the siding.
- *Yard switching lead, fouling a yard track switch when the switch is lined for the yard switching lead.
- *Industry track beyond the clearance point of the switch leading to the industry.
-

D. Compliance with the following additional rules should be observed during this test:

1. Radio procedures
2. Hand Signals
3. Headlight, bell & whistle

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E. Failure Defined

The test is a failure if:

1. There is a failure to comply with any of the rules listed in section C, or any similar operating rule not listed that is specific to handling switches or switching.

Failure in any other rules, or of the additional rules listed in section D, above, should be entered as failures separately under the appropriate rule.

POSITION OF SWITCHES

Rule FRA 8.2

CHECK METHOD: N/A

A. Description of Test

This test checks compliance by train and engine crews with rules that govern the handling of switches. This test may also be performed on employees of other departments when their duties involve handling switches or moving rail equipment.

B. Conditions for Test

This test requires that employees are handling switches correctly and leaving them in proper position when leaving the location.

C. Testing Guidelines

This test requires the testing officer to observe all of the actions of the crew member(s) involved to ensure that *all* applicable rules are being followed.

This test should include as many of the following as applicable:

- The employee handling the switch or derail is responsible for the position of the switch or derail in use.
- The employee must not allow movement to foul an adjacent track until the hand-operated switch is properly lined.
- Do not operate switch that is tagged.

Employees handling switches and derails must make sure:

- Checking switch points to ensure points fit correctly and switch is lined for intended route.
- They do not step on the latch, if equipped, except when throwing the switch and after locking switch or derail, test the lock.
- Before a train or a train crew leaves the location where a hand-operated main track switch was operated, all crewmembers

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shall have verbal communication to confirm the position of the switch.

- When possible, crewmembers on the engine must see that the switches and derails near the engine are properly lined.

D. Compliance with the following additional rules should be observed during this test:

Rules listed in Chapter 8, Switches
Requirement to obtain authority before lining main track switch

E. Failure Defined

The test is a failure if:

1. There is failure to comply with any of the rules listed in section C or current GCOR rule 8.2 or any similar operating rule not listed that is specific to handling switches or switching.

Failure in any other rules, or of the additional rules listed in section D, above, should be entered as failures separately under the appropriate rule.

HAND-OPERATED CROSSOVER SWITCHES
Rule FRA 8.12

A. Description of Test

This test checks compliance by train and engine crews with rules that govern the handling of crossover switches.

B. Conditions for Test

This test requires that employees are handling crossover switches correctly and leaving them in the correct position when work is completed.

C. Testing Guidelines

This test requires the testing officer to observe the actions of the crew member(s) involved to ensure that *all* applicable rules are being followed in lining both switches before movement begins.

1. Rules applicable in ABS by lining back when movement has been completed would apply.
2. If in CTC, both switches of the crossover must be lined before movement begins, but rules governing dual control switches under Rule 9.13 still apply where switches may be returned to power after one unit or car passes over the switch points.

D. Compliance with the following additional rules should be observed during this test:

Checking for debris in points, to see points move
Target corresponds with the switch position
Where employee stands after lining switch

E. Failure Defined

The test is a failure if:

1. There is failure to comply with any of the rules listed in Section C, current Rule 8.12 or any similar operating rule not listed that is specific to handling switches.

Failure in any other rule, or of the additional rules listed in section D, above, should be entered as failures separately under the appropriate rule.

DERAIL LOCATION AND POSITION
Rule FRA 8.20

A. Description of Test

This test checks compliance by train and engine crews with rules that govern the handling of derails.

B. Conditions for Test

This test requires that employees know the location of fixed derails, stop before operating over them and leave them in the proper position when work is completed.

C. Testing Guidelines

This test requires the testing officer to observe the actions of the crewmember(s) involved to ensure knowledge of location of derails, to stop the appropriate distance from them while they are in derailing position. And before leaving the location, they are left in the proper position.

D. Compliance with the following additional rules should be observed during this test:

Reverse movements or change of direction
Obtain authority before positioning the derail
If the derail is protecting a switch, rules concerning dual control switches may apply.

E. Failure Defined

The test is a failure if:

There is failure to comply with any of the rules listed in Section C or current Rule 8.20 or any similar operating rule not listed that is specific to handling derails.

Failure in any other rules, or of the additional rules listed in section D, above, should be entered as failures separately under the appropriate rule.

REPORTING CLEAR OF LIMITS
Rule FRA 14.7

A. Description of Test

This test checks compliance by train and engine crews when reporting clear of track warrant limits.

B. Conditions for Test

This test requires that employees operating in Track Warrant territory know their entire train has passed a specific location by the rule requirements before they report clear of that location. In addition to, the specific instances that they are required to report and confirm the switch position to the train dispatcher.

C. Testing Guidelines

This test requires the testing officer to observe the actions of the crewmember(s) in TWC while clearing at a hand operated switch ensure knowledge of the position of the switches used.

D. Compliance with the following additional rules should be observed during this test:

Rules listed in Chapter 8, Switches
Requirement to obtain authority before lining main track switch.
Radio procedures.

E. Failure Defined

The test is a failure if:

There is failure to comply with any of the rules listed in Section C or current Rule 8.3 requiring crewmembers to communicate the position of the switch before departing the location, if applicable. Failure in any other rules, or of the additional rules listed in section D, above, should be entered as failures separately under the appropriate rule.

GAMES, READING OR ELECTRONIC DEVICES
Rule 1.10
CHECK METHOD: N/A

a. Description of Test

This test checks compliance by train and engine crews with rules governing the use of electronic devices under specific circumstances while on duty. The employees must not play games or read information unrelated to their duties while on duty.

b. Conditions for Test

This test can be performed at any location while employees are on duty.

C. Testing Guidelines

The inappropriate use of electronic devices by employees on duty has been shown to be a contributing factor in personal injuries and rule violations. While you are working you are obligated to be completely focused on your job and the safe transportation of passengers. As a result, under most circumstances employees are prohibited from having personal electronic devices turned on and/or in their immediate vicinity while working.

Here are some examples of when company or personal cellular phones must not be used:

- While on the ground lining switches, meeting trains, standing next to main tracks or when performing other duties that require your undivided attention to safety and rules compliance
- While in the control compartment of a moving train
- To conduct non-railroad business while on or near trains

Here are some examples of when company or personal cellular phones may be used:

- While in a layover facility
- When communicating railroad business on a stopped train such as troubleshooting mechanical problems or reporting information relating to an incident as the incident commander
- When in a crew transportation van
- Conductors reporting information to dispatchers relating to delays, etc., as long as the Conductor is not in the control compartment of a moving train

Remember, when the train is moving or you are on the ground performing railroad business your personal electronic devices must be turned off and must not be within your reach-for example on the