

OPERATIONAL TESTING GUIDE

| TEST | TEST NAME | APPLICABLE RULES | MEANS & PROCEDURES |
|--|---------------------------------|---|--|
| 1 | Speed Limit Compliance | FRA §240/242 GCOR 6.31 MOW 42.2 (ALL) | UNANNOUNCED OBSERVATION Determine train speed or on-track equipment speed by means of radar device, event recorder, or company approved GPS technology. |
| TRAIN SPEED COMPLIANCE GUIDELINES | | | |
| | SPEED LIMIT | VARIANCE | DISCIPLINE |
| | 5 MPH | 7.1 MPH – 14.9 MPH | RULES VIOLATION |
| | | >15.0 MPH | RULES VIOLATION & CERTIFICATE REVOCATION |
| | 10 MPH | 12.1 MPH – 19.9 MPH | RULES VIOLATION |
| | | >20.0 MPH | RULES VIOLATION & CERTIFICATE REVOCATION |
| | 20 MPH | 23.1 MPH – 29.9 MPH | RULES VIOLATION |
| | | >30 MPH | RULES VIOLATION & CERTIFICATE REVOCATION |
| | 25 MPH | 28.1 MPH – 34.9 MPH | RULES VIOLATION |
| | | >35.0 MPH | RULES VIOLATION & CERTIFICATE REVOCATION |
| 2 | Main Track Authority | FRA §240/242 GCOR 6.3 | Direct observation of employee(s) obtaining proper authority prior to entering main track or when main track is already occupied and movement is stopped, by inspection of the authority. |
| 3 | Track Bulletins | GCOR 15.0 (ALL) | Direct observation of employee(s) obtaining and verifying required track bulletin(s) and/or Daily Operating Bulletin (DOB) prior to entering track or when track is already occupied and movement is stopped, by inspection of the bulletin(s) or DOB. |
| 4 | OTS - Exclusive Track Occupancy | FRA §214 OTS 136.4.1; Matrix | Verify required On-Track Safety (OTS) protection has been established for employees working on controlled track, including adjacent track(s) where applicable. |
| 5 | OTS – Inaccessible Track | FRA §214 OTS 136.4.2; Matrix | Verify required On-Track Safety (OTS) protection has been established for employees working on non-controlled track, including adjacent track(s) where applicable. |

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| 6 | OTS – Train Approach Warning | FRA §214 OTS 136.4.4; Matrix | Verify proper procedures for On-Track Safety (OTS) using Train Approach Warning (TAW); verify workgroup members fouling the track are able to receive TAW. |
| 7 | OTS – Individual Train Detection | FRA §214 OTS 136.4.3; Matrix | Verify proper procedures for On-Track Safety (OTS) by a Lone Worker using Individual Train Detection, including completion of written statement of OTS. |
| 8 | OTS – Train Coordination | FRA §214 OTS 136.4.7; Matrix | Verify proper procedures for On-Track Safety (OTS) using Train Coordination, including communications with the engineer/train crew. |
| 9 | OTS – Operating/Working Near Roadway Machines | FRA §214 OTS 136.7 (ALL) MOW 42.0 (ALL) MOW 43.0 (ALL) | Direct observation of roadway workers who operate or work near roadway machines. |
| 10 | Tampering | FRA §240/242 GCOR 1.23.1 | Direct observation of employee(s) while in the cab and/or inspection of locomotive-mounted safety devices. |
| 11 | Proper Radio Procedures | GCOR 2.0 (ALL) Dispatcher Procedures Manual | Monitor radio communications between employees. |
| 12 | Air Brake Test – Locomotive | FRA §232 ABTH 31.3.1, 31.8.4 | Direct observation of crew performing this test on the ground and/or in the locomotive cab. |
| 13 | Air Brake Test – Class 1 | FRA §232 GCOR 1.33 ABTH 30.1 (ALL), 30.2 (ALL), 30.3 (ALL), 30.10.1, 30.11.1, 30.11.2 | Direct observation of crew performing this test on the ground and/or in the locomotive cab. |
| 13.1 | Air Brake Test – Class 3 | FRA §232 GCOR 1.33 ABTH 30.1 (ALL), 30.2 (ALL), 30.3 (ALL), 30.7.1, 30.10.1, 30.11.1, 30.11.2 | Direct observation of crew performing this test on the ground and/or in the locomotive cab. |
| 14 | Air Brake Test – Transfer | FRA §232 GCOR 1.33 ABTH 30.1 (ALL), 30.2 (ALL), 30.3 (ALL), 30.5.1, 30.10.1, 30.11.1, 30.11.2 | Direct observation of crew performing this test on the ground and/or in the locomotive cab. |

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| 15 | Locomotive Daily Inspection | FRA §232 ABTH 31.2 | Direct observation of engineer performing ground/bottom and top/cab level locomotive inspection and/or inspection of all written documentation (inspection report, daily inspection card, etc.). |
| 16 | <i>Controlling/Protecting Shoving Moves</i> | <i>FRA §218 SUBPART F</i> GCOR 6.5 | UNANNOUNCED OBSERVATION FOR ANNUAL CONDUCTOR QUALIFICATION PURPOSES Direct observation of crew members providing proper protection and communications (job briefings) during shoving movements. |
| 17 | <i>Fouling/Close Clearances</i> | <i>FRA §218 SUBPART F</i> GCOR 7.1 SAFETY 70.1 | UNANNOUNCED OBSERVATION FOR ANNUAL CONDUCTOR QUALIFICATION PURPOSES Direct observation of employees leaving equipment standing and/or inspection of equipment left standing. |
| 18 | <i>Handling of Switches/Derails</i> | <i>FRA §218 SUBPART F</i> GCOR 8.0 (ALL) SAFETY 82.0 (ALL) | UNANNOUNCED OBSERVATION FOR ANNUAL CONDUCTOR QUALIFICATION PURPOSES Direct observation of employees handling switches and/or derails of any type and/or approaching and stopping equipment at switches and/or derails. |
| 18.1 | <i>Main Track Switches</i> | <i>FRA §218 SUBPART F</i> GCOR 8.3, 8.4, 8.6, 8.7 | UNANNOUNCED OBSERVATION FOR ANNUAL CONDUCTOR QUALIFICATION PURPOSES Direct observation of employees handling main track switches and/or inspection of main track switches, locks and latches. |
| 18.2 | <i>Crossover Switches</i> | <i>FRA §218 SUBPART F</i> GCOR 8.12 | UNANNOUNCED OBSERVATION FOR ANNUAL CONDUCTOR QUALIFICATION PURPOSES Direct observation of employees handling crossover switches and/or inspection of crossover switches, locks and latches. |
| 18.3 | <i>Fixed Derails</i> | <i>FRA §218 SUBPART F</i> GCOR 8.20 | UNANNOUNCED OBSERVATION FOR ANNUAL CONDUCTOR QUALIFICATION PURPOSES Direct observation of employees handling fixed derails and/or inspection of fixed derails, locks and latches. |

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| 19 | <i>Road/Grade Crossings</i> | FRA §218 SUBPART F 6.32 (ALL) FRA §222 GCOR 5.8.2 MOW 42.6 | UNANNOUNCED OBSERVATION FOR ANNUAL CONDUCTOR QUALIFICATION PURPOSES Direct observation of trains/engines or on-track equipment approaching and entering highway, private and/or railroad crossings, including shoving movements. |
| 20 | Hazardous Materials Compliance | FRA §174 FORM 8620 (ALL) | Train Crew & Mechanical Inspectors: - Direct observation of employees handling and/or inspecting hazardous material railcars in yards, industries or at interchange points. - Inspection of hazardous materials railcars left in yards, industries or at interchange points. - Inspection of shipping papers and emergency response information. Customer Service: Direct observation of employees issuing or receiving shipping papers and emergency response information and/or inspection of documents for accuracy. |
| 20.1 | Hazardous Materials Proper Placement in Train | FRA FORM 8620 Section II #5, Section VI (ALL) | Inspection of hazardous material railcars for proper placement in train and/or inspection of documentation for accuracy. |
| 21 | Securing Unattended Cars/Locomotives | FRA §232 GCOR 7.6 ABTH 32.1 (ALL), 32.2 (ALL) | Direct observation of employees leaving cars or locomotives unattended and/or inspection equipment left unattended. |
| 22 | Reporting for Duty | GCOR 1.15 | Direct observation and inspection of employees for required tools and equipment, current rules and instructions, proper PPE, and all other required materials at beginning of shift. |

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| 22.1 | Drug & Alcohol Compliance | FRA §219 RGPC Drug/Alcohol Policy GCOR 1.5 | Direct observation of employees for signs & symptoms of drug and/or alcohol influence when reporting for or while on duty. IMPORTANT: This test may only be performed by officials trained and qualified on Reasonable Suspicion guidelines. Alcohol determinations require one (1) qualified official; drug determinations require two (2) qualified officials. Refer to the RGPC Drug & Alcohol Manager Instructions for further instructions. |

SIGNS & SYMPTOMS CHECKLIST

BEHAVIOR

- Stumbling, Unsteady Gait
- Drowsy, Sleepy, Lethargic
- Agitated, Anxious, Restless
- Hostile, Belligerent
- Irritable, Moody
- Depressed, Withdrawn
- Unresponsive, Distracted
- Clumsy, Uncoordinated
- Tremors/Shakes
- Persistent runny nose or flu-like symptoms
- Suspicious, paranoid
- Hyperactive, Fidgety
- Frequent use of mints, mouthwash, breath sprays, eye drops
- Inappropriate, uninhibited behavior
- Forgetful, slow responses
- Asks to have things repeated

APPEARANCE

- Flushed or pale complexion
- Sweaty for no reason
- Cold, Clammy
- Bloodshot eyes
- Tearing, Watery Eyes
- Enlarged Pupils
- Pinpoint Pupils
- Unfocused, blank stare
- Messy Clothing
- Dirty, messy appearance

ODOR

- Smell of alcohol on breath
NOTE: If alcohol smell is the only symptom – breath test only allowed
- Smell of marijuana on clothes
NOTE: If marijuana smell is the only symptom - drug test only allowed

| | <p><u>SPEECH</u></p> <ul style="list-style-type: none"> <input type="checkbox"/> Slurred, thick, slow <input type="checkbox"/> Not understandable <input type="checkbox"/> Exaggerated enunciation <input type="checkbox"/> Loud, boisterous <input type="checkbox"/> Rapid, pressured <input type="checkbox"/> Excessively talkative <input type="checkbox"/> Silly, nonsensical <input type="checkbox"/> Inappropriate, including cursing | | |
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| 23 | Blue Signal Compliance | FRA §218 GCOR 5.13 | Observe employees working around tracks/equipment protected by blue signals; observe “workmen” applying or removing blue signals. |
| 24 | Job Briefing | SAFETY 70.3 OTS 136.3 (ALL) | Observe employees conducting and/or participating in face-to-face and radio communication job briefings. |
| 25 | Red Zone Compliance | SAFETY 81.5.4 | Observe crew members when ground employees are entering the “Red Zone” (between, under, on or around equipment that is attached to an occupied locomotive). |
| 26 | Sufficient Distance | SAFETY 81.2.2 | Direct observation of employees going in front of, behind, or between standing equipment. |
| 27 | <i>Electronic Devices</i> | FRA §220 GCOR 2.21 SAFETY 74.3 | Direct observation of employee on-duty use of electronic devices. IMPORTANT: When conducting this test, managers are prohibited from calling the electronic device (whether personal or railroad supplied) used by a locomotive engineer while the train is moving. In addition, when the test is conducted after a train has been stopped or a switching operation has been interrupted (e.g., “stop test”) GCOR 2.21 still applies even though operations may be temporarily suspended. |
| 28 | PPE | SAFETY 71.0 (ALL) | Direct observation of employees when they are in areas that require the use of personal protective equipment. |

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| 29 | Getting On/Off and Riding Equipment | SAFETY 81.4 SAFETY 81.7 (ALL) | Direct observation of employees when they are mounting, dismounting or riding equipment. |
| 30 | Applying/Releasing Handbrakes | SAFETY 81.11 (ALL) | Direct observation of employees when they are applying or releasing handbrakes for proper safety procedures, including inspection of the appliance for defects and proper body placement and mechanics. |
| 31 | Mandatory Directives | GCOR 2.14, 6.1, 9.15, 10.3, 14.9, 15.7, 18.1 Dispatcher Procedures Manual | Direct observation of directives in accordance with radio transmissions to review the tested employee for compliance, consistency, accuracy, and legibility. |
| 32 | Main Track Switch Awareness Job Briefing | GCOR 8.3, 14.7 Dispatcher Procedures Manual | Direct observation or listening to recordings to determine: <ul style="list-style-type: none"> - If employees properly notify the dispatcher that main track switch(s) within TWC territory have been restored to normal position. - If the dispatcher completed a job briefing with the employee(s) in charge of an authority concerning the position of all main track switches handled prior to releasing said authority. |
| 33 | Train Sheets | FRA §228.17 Dispatcher Procedures Manual | Direct observation of dispatcher to determine if the following are being accurately recorded: <ul style="list-style-type: none"> - Identification of timetable in effect - Location and date - Identification of dispatchers and their times on duty - Weather conditions at 6-hour intervals - Identification of enginemen and conductors and their times on duty - Station names and office designations - Identification of trains and engines - Distances between stations - Direction of movement and the time each train passes all reporting stations (OS'ing) - Arrival and departure times of trains at all reporting stations - Unusual events affecting movement of trains and identification of trains affected. |

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| 34 | Weather Notification | Dispatcher Procedures Manual | Direct observation of dispatcher to determine if following proper procedures for notifying railroad employees of inclement weather alerts. |
| 35 | Emergency & Incident Reporting | GCOR 1.2 Dispatcher Procedures Manual | Direct observation, listening to recordings, and/or researching the incident book for information to determine if the dispatcher is following the proper procedure in a timely manner in recording and reporting any incident and/or emergency situations. |
| 36 | Disabled and Malfunctioning Crossings | GCOR 6.32.2 Dispatcher Procedures Manual | Direct observation, listening to recordings, and/or researching previously issued bulletins to determine that the dispatcher followed the procedure correctly and relayed all information to appropriate crews, and management. |
| 37 | Dispatcher Transfer | Dispatcher Procedures Manual | Direct observation at the work station at the beginning/end of a shift to determine if the dispatcher completed the morning reports, removed any bulletins that needed to be removed, and updated the DOB with information pertaining to the next day's DOB. |
| 38 | Displaying Flags/Signals | GCOR 5.4 (ALL) | Direct observation of employees placing flags or signals. |
| 39 | Operator Responsibilities | MOW 41.2 (ALL) | Direct observation of MOW operators and roadway machines/work equipment for efficient operation and proper care, including maintenance, lubrication, and thorough inspections prior to operating the equipment. |
| 40 | Foreman Responsibilities | MOW 41.1 (ALL) | Direct observation of MOW foremen for proper supervision and engagement in all work and activities performed by their gang. |
| 41 | HOS Recordkeeping | FRA §228 GCOR 1.17 | Inspection of Hours of Service documentation for accuracy. |

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| 42 | Precautions Around Tracks/Equipment | SAFETY 81.0 (ALL) | Direct observation of employees as they work around tracks or equipment. NOTE: Refer to the following specific tests included in this rule chapter: Test 26 (Sufficient Distance) Test 29 (Getting On/Off and Riding Equipment) Test 30 (Applying/Releasing Handbrakes) |
| 43 | Tools & Machinery | SAFETY 76.0 (ALL) | Direct observation of employees as they use tools, equipment and machinery; inspection of tools, equipment and machinery for proper condition, storage and placement. |
| 44 | Vehicle Operations | SAFETY 74.0 (ALL) | Direct observation of employees as they inspect, maintain, drive and/or ride in company vehicles; inspection of vehicle inspection reports and condition of vehicles. NOTE: Particular emphasis should be placed on backing vehicles, seat belt use, and cell phone use (Test 27). |
| 45 | Good Housekeeping | GCOR 1.24 SAFETY 80.1 | Direct observation of employees and inspection of railroad property which must be kept in a clean, orderly, and safe condition. |
| 46 | Electrical Safety | SAFETY 78.0 (ALL) | Direct observation of employees working with or around and/or inspection of electrical apparatus and equipment. |
| 47 | Lifting and Moving Materials | SAFETY 70.6, 70.6.1 | Direct observation of employees lifting and moving materials. |
| 48 | Office Equipment | SAFETY 70.10, 70.11 | Direct observation of employees using and/or inspection of cabinets, office equipment and furniture. |
| 49 | Ladders | SAFETY 80.11 (ALL) | Direct observation of employees using and/or inspection of ladders. |
| 99 | Other Rules (list in comments) | | |
| §239 | Passenger Train Emergency Preparedness Plan | FRA §239.101 | Direct observation of dispatcher to determine compliance with various components of the plan. |