

## 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.
<b>TRAIN SPEED COMPLIANCE GUIDELINES</b>			
	<b>SPEED LIMIT</b>	<b>VARIANCE</b>	<b>DISCIPLINE</b>
	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>	<b>FRA §218 SUBPART F</b> 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>	<b>FRA §218 SUBPART F</b> 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>	<b>FRA §218 SUBPART F</b> 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>	<b>FRA §218 SUBPART F</b> 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>	<b>FRA §218 SUBPART F</b> 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>	<b>FRA §218 SUBPART F</b> 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>	<i>FRA §218 SUBPART F</i> 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.

TEST	NAME	APPLICABLE RULES	MEANS & PROCEDURES
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><b><u>SPEECH</u></b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Slurred, thick, slow</li> <li><input type="checkbox"/> Not understandable</li> <li><input type="checkbox"/> Exaggerated enunciation</li> <li><input type="checkbox"/> Loud, boisterous</li> <li><input type="checkbox"/> Rapid, pressured</li> <li><input type="checkbox"/> Excessively talkative</li> <li><input type="checkbox"/> Silly, nonsensical</li> <li><input type="checkbox"/> Inappropriate, including cursing</li> </ul>		
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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>	<b>FRA §220</b> GCOR 2.21  SAFETY 74.3	Direct observation of employee on-duty use of electronic devices.  <b>IMPORTANT:</b> 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"> <li>- If employees properly notify the dispatcher that main track switch(s) within TWC territory have been restored to normal position.</li> <li>- 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.</li> </ul>
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"> <li>- Identification of timetable in effect</li> <li>- Location and date</li> <li>- Identification of dispatchers and their times on duty</li> <li>- Weather conditions at 6-hour intervals</li> <li>- Identification of enginemen and conductors and their times on duty</li> <li>- Station names and office designations</li> <li>- Identification of trains and engines</li> <li>- Distances between stations</li> <li>- Direction of movement and the time each train passes all reporting stations (OS'ing)</li> <li>- Arrival and departure times of trains at all reporting stations</li> <li>- Unusual events affecting movement of trains and identification of trains affected.</li> </ul>

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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.