

RIO GRANDE PACIFIC CORPORATION



OPERATIONAL TESTING AND TRAINING PROGRAM

49 CFR PART 217

Effective January 1, 2017

TABLE OF CONTENTS

SECTION I – INTRODUCTION	3
Purpose	3
Scope	3
Regulatory Procedure	4
Operating Rules	4
Instruction	4
Operational Tests & Inspections	4
Administration	4
Recordkeeping	4
Review and Summary	4
SECTION II – TRAINING PROGRAM	5
SECTION III – OPERATIONAL TESTING PROGRAM	6
General Principles & Philosophy	6
Qualification Procedure	6
Testing Procedure	7
Test Types	7
Testing Frequency	7
Testing Periods	7
Testing Records	8
Testing Instructions	8
OPERATIONAL TESTING GUIDE	Appendix A
OPERATIONAL TESTING FORMS	Appendix B

SECTION I – INTRODUCTION

PURPOSE:

Strict compliance with operating rules, instructions and policies is required for the safe and efficient operation of the railroad. The purpose of this program is to achieve and maintain the highest degree of safety in the railroad's operations by:

- Reducing accidents and incidents caused by human error.
- Determining and improving the degree of compliance and proficiency with rules, instructions and policies.
- Providing education and instruction on the proper meaning and application of the rules, instructions and policies.

SCOPE:

This program applies to all employees and other persons, including contractors, assigned to perform operating duties for the respective Class III railroad of Rio Grande Pacific Corporation indicated below (hereinafter in this program referred to as "Railroad"):

IDAHO NORTHERN & PACIFIC RAILROAD COMPANY (INPR)
119 N. Commercial Avenue
Emmett, Idaho 83617
PROGRAM MANAGER: Linda Iverson – General Manager

NEBRASKA CENTRAL RAILROAD COMPANY (NCRC)
304 N. 5th Street
Suite RR
Norfolk, NE 68701
PROGRAM MANAGER: Eldon Vohs – Vice President Operations

NEW ORLEANS & GULF COAST RAILWAY COMPANY (NOGC)
9387 Highway 23
Belle Chasse, La. 70037
PROGRAM MANAGER: Michael Agee – General Manager

WICHITA, TILLMAN & JACKSON RAILWAY COMPANY (WTJR)
700 Jefferson
Wichita Falls, Texas 76306
PROGRAM MANAGER: Martin Cicalla – General Manager

REGULATORY PROCEDURE:

Operating Rules

The Railroad will keep one copy of and each subsequent amendment to its current code of operating rules, timetables, and timetable special instructions at the railroads General Office.

Instruction on Operating Rules

In accordance with Section II – TRAINING PROGRAM of this program, the Railroad will initially and periodically instruct each employee on the meaning and application of the rules, instructions and policies by which they are governed.

Operational Tests and Inspections

In accordance with Section III – OPERATIONAL TESTING PROGRAM and Appendix A OPERATIONAL TESTING GUIDE of this program, the Railroad will periodically conduct operational tests and inspections to determine the extent of employee compliance and proficiency with the rules and instructions by which they are governed. Particular emphasis will be placed on rules determined to cause or are likely to cause the most accidents/incidents and compliance with the requirements of 49 CFR Part 218 Subpart F, as identified in periodic reviews.

Administration

The following Program Administrator is responsible for ensuring the proper administration of this program: Mitch Harris – RGPC Director Safety, Training & Regulatory Compliance

Additionally, the individual Program Managers listed in the SCOPE section of this program are responsible for ensuring that this program is properly implemented on their railroad and that the testing officers are directing their efforts in an appropriate manner to reduce accidents/incidents.

Recordkeeping

One copy of this written program and one copy of each subsequent amendment to the program will be retained at the railroads General Office for a minimum of three calendar years after the end of the calendar year to which they relate.

Records of the results of each operational test and inspection performed in accordance with this program will be retained at the railroads General Office for a minimum of one calendar year after the end of the calendar year to which they relate.

Records documenting qualification of each railroad testing officer will be retained at the railroad's General Office where the officer is assigned.

Records of the results of employee instruction (training) will be retained at the railroads General Office where the employee is assigned.

All rules and records will be made available to representatives of the Federal Railroad Administration (FRA) for inspection and copying during normal business hours.

Review and Summary

The railroad has less than 400,000 total man-hours annually, and is therefore not required to prepare periodic reviews and an annual summary pursuant to 49 CFR Part 217.9.

SECTION II – TRAINING PROGRAM

All employees must receive initial and recurrent instruction on the meaning and application of railroad operating rules that apply to their department.

For purposes of this section, the departments of the railroad are:

1. Transportation
 - Locomotive Engineers
 - Conductors
 - Trainmen
2. Dispatching
 - Train Dispatchers
3. Maintenance of Way
 - Track
 - Signal
4. Mechanical
 - Car
 - Locomotive
5. Administrative
 - Customer Service
 - Office Administration

Initial instruction for new-hire employees will occur throughout the probationary period.

Recurrent instruction will occur on a triennial schedule unless otherwise specified by federal regulation(s). The basis for determining this frequency is to ensure compliance with federal regulatory training requirements.

Instruction will be conducted in classroom, computer based (CBT), simulator lab, briefing, and on-job environments. CBT examinations or quizzes may be given in lieu of written examinations or quizzes. Instruction records will be maintained to indicate the date, duration, scope of instruction, instructor(s) and employee(s) in attendance.

Unless otherwise specified, the minimum pass rate for examinations is 85%.

Any individual failing to achieve a minimum passing score will not be permitted to perform related duties pending completion of a successful reexamination. Failure to achieve a passing score after two attempts will result in the employee becoming disqualified to perform the duties of the position to which the test was administered. Further training and/or re-testing may be conducted only under authority of the highest ranking railroad official.

SECTION III – OPERATIONAL TESTING PROGRAM

GENERAL PRINCIPLES & PHILOSOPHY:

Operational testing plays a vital role in railroad rule and policy compliance. To be effective it requires the cooperation and personal effort of all railroad officials concerned.

Operational testing, when properly conducted, provides the following benefits in day-to-day operations:

- Reduction in human-error incidents and accidents relating to lack of knowledge of the rules, lack of proper application of the rules and/or lack of respect for the rules.
- Education of employees, including both those who pass and those who may fail a particular test.
- Identification of which rules, policies or subjects require increased emphasis for training.

Operational testing should be regarded as an opportunity for railroad officers to leverage influence as safety advocates. During testing, officers must observe employees during their normal course of duties for absolute compliance with rules, instructions and/or policies, and:

- Not be indifferent to violations observed.
- Not entrap an employee into making an error.
- Not make any hazardous tests – Example: reversing of a main track switch or the changing of a switch target.
- Not instruct employees to violate rules, nor violate rules themselves – even for testing purposes.
- Clearly and firmly indicate to employees that full compliance is a condition of employment.
- Take time to bring to the attention of the employee all successes, any violations observed, and the corrective measures the employee must take to avoid future violations.

QUALIFICATION PROCEDURE:

Each railroad officer who conducts operational tests and inspections must:

- Be qualified on the railroad's operating rules.
- Be qualified on the operational testing and inspection program requirements and procedures relevant to the testing and inspections the officer will conduct.
- Receive appropriate field training, as necessary to achieve proficiency on each operational test or inspection that the officer is authorized to conduct.
- Conduct operational tests and inspections in accordance with the railroad's program of operational tests and inspections.

Railroad officials who do meet these qualifications may not perform operational testing. This does not preclude non-qualified officials from accompanying trained officials during testing events.

TESTING PROCEDURE:

Purpose

An operational test (or efficiency test) is a planned, scheduled procedure for the purpose of determining the extent of compliance with railroad rules and instructions, including operating rules, timetables, special instructions, and specifically including tests and inspections sufficient to verify compliance with the requirements of 49 CFR Part 218 Subpart F (Handling Equipment, Switches, and Fixed Derails) and 49 CFR Part 220 Subpart C (Electronic Devices). Any additional information concerning the purpose of a particular test will be noted under “Means & Procedures” of the testing guide.

Test Types

There are two types of operational tests:

- 1) Observation Test – Any test recorded by a qualified railroad official while witnessing for compliance with the rules, instructions and/or policies during the normal course of the employee and/or officials duties. This type of test may be conducted with or without the employee's knowledge (announced or unannounced).
- 2) Setup Test – Any test recorded by a qualified railroad official where the conditions are physically changed by that official to test for rules, instructions and/or policy compliance. This type of test must be conducted without the employee's knowledge (unannounced).

Testing Frequency

Each employee from all operating departments of the railroad is required to receive a minimum of two (2) operational tests annually (of either type of test listed above).

Additionally:

- Tests on rules designed to ensure compliance with FRA Human Factors (indicated by “FRA §218 SUBPART F” in the testing guide) and Electronic Devices (indicated by “FRA §220” in the testing guide) must be performed at a minimum rate of 25% of the total number of employees governed by the requirement(s).

EXAMPLE: 100 employees normally expected to handle switches and derails = 25 tests per year on rules governing handling switches and derails.

- Each Certified Conductor will receive a minimum of one (1) Unannounced Observation or Setup Test annually which meets the requirements of 49 CFR Part 242.123(d).
- Each Certified Locomotive Engineer will receive a minimum of one (1) Setup Test annually which meets the requirements of 49 CFR Part 240.129(e).

Testing Periods

All testing must be accomplished at different times, locations and throughout the entire period of normal operations of the railroad. The period of normal operations are:

INPR: Monday–Friday / 0700–1900

NOGC: Monday–Friday / 0600–0330

NCRC: 7days / 24hours

WTJR: Monday–Friday / 0700–1900

Testing Records

Test results must be recorded on the provided form(s) and entered into the company compliance database system as soon as possible after testing is completed.

Testing Instructions

1. Each test shown in this guide is a specific test on a particular requirement of a rule, instruction or policy. The requirements of the tests are:
 - Test Number: Describes the test number as it relates to the company compliance database.
 - Test Name: Describes the test name as it relates to the company compliance database.
 - Applicable Rules: Describes the rules, instructions and/or policies associated with the test.
 - Where an entire rule chapter number is indicated, all or any of the rules within that chapter may apply (example: GCOR 2.0 (ALL)).
 - Tests associated with Federal Regulations are noted accordingly (example: FRA §219).
 - Tests associated with Federal Human Factor Regulations are noted accordingly in bold italics (example: ***FRA §218 SUBPART F***).
 - The precise rule number(s), instructions and/or policies observed must be indicated in the COMMENTS section of the testing form.
 - Means & Procedures: Describes the means and procedures required for conducting the test.
NOTE: All tests are observation tests unless otherwise noted.
2. Results of tests, both successes and failures, must be reviewed with the tested employee(s) as soon as possible upon completion and verified by employee(s) signature on the testing form.
3. Test failures must be recorded on the testing form with as much detail as possible describing the exact nature of the failure.
4. Test failures should be retested within 30 days to ensure future compliance. Exceptions are granted for an employee off on discipline or for an employee who does not again perform the tested task.
5. Operational testing must not be used as a method to evaluate trainee progress during the probationary period.
6. Failures found by accidents or incidents must not be recorded as a test failure.
7. If an error has been made on an operational test that needs to be corrected or deleted, contact the Program manager.
8. To ensure data integrity and consistency in reporting, all requests for operational testing data by a governmental agency must be immediately forwarded to the Program Manager.

APPENDIX A

OPERATIONAL TESTING GUIDE

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.

TEST	NAME	APPLICABLE RULES	MEANS & PROCEDURES
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.

TEST	NAME	APPLICABLE RULES	MEANS & PROCEDURES
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>	FRA §218 SUBPART F 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>	FRA §218 SUBPART F 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>	FRA §218 SUBPART F 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>	FRA §218 SUBPART F 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>	FRA §218 SUBPART F 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>	FRA §218 SUBPART F 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.

TEST	NAME	APPLICABLE RULES	MEANS & PROCEDURES
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><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 		
TEST	NAME	APPLICABLE RULES	MEANS & PROCEDURES
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.

TEST	NAME	APPLICABLE RULES	MEANS & PROCEDURES
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.

TEST	NAME	APPLICABLE RULES	MEANS & PROCEDURES
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.

TEST	NAME	APPLICABLE RULES	MEANS & PROCEDURES
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.

APPENDIX B

OPERATIONAL TESTING FORMS

OPERATIONAL TESTING FORM – Dispatching/Administrative

Tester Name _____ Railroad _____ Date _____
 Employee (E1) Name _____ Signature _____
 Employee (E2) Name _____ Signature _____
 Employee (E3) Name _____ Signature _____
 Employee (E4) Name _____ Signature _____
 Location _____ Time _____

TEST	TEST DESCRIPTION	Complied / Failed				COMMENTS
		E1	E2	E3	E4	
11	Proper Radio Procedures					
20	Hazardous Materials Compliance					
20.1	Hazardous Materials Proper Placement in Train					
22	Ready for Duty					
22.1	Drug & Alcohol Compliance					
23	Blue Signal Compliance					
24	Job Briefing					
27	<i>Electronic Devices</i>					
28	PPE					
31	Mandatory Directives					
32	Main Track Switch Awareness Job Briefing					
33	Train Sheets					
34	Weather Notifications					
35	Emergency & Incident Reporting					
36	Disabled and Malfunctioning Crossings					
37	Dispatcher Transfer					
41	HOS Recordkeeping					
42	Precautions Around Tracks/Equipment					
43	Tools & Machinery					
44	Vehicle Operations					
45	Good Housekeeping					
46	Electrical Safety					
47	Lifting and Moving Materials					
48	Office Equipment					
49	Ladders					
99	Other (list in comments)					
99	Other (list in comments)					
99	Other (list in comments)					
99	Other (list in comments)					
99	Other (list in comments)					
§239	Passenger Train Emergency Preparedness Plan					

OPERATIONAL TESTING FORM – Maintenance of Way/Signal

Tester Name _____ Railroad _____ Date _____
 Employee (E1) Name _____ Signature _____
 Employee (E2) Name _____ Signature _____
 Employee (E3) Name _____ Signature _____
 Employee (E4) Name _____ Signature _____
 Location (Sub/MP) _____ Time _____

TEST	TEST NAME	Complied / Failed				COMMENTS
		E1	E2	E3	E4	
1	Speed Limit Compliance					
2	Main Track Authority					
3	Track Bulletins					
4	OTS – Exclusive Track Occupancy					
5	OTS – Inaccessible Track					
6	OTS – Train Approach Warning					
7	OTS – Individual Train Detection					
8	OTS – Train Coordination					
9	OTS – Operating/Working Near Roadway Machines					
11	Proper Radio Procedures					
16	<i>Controlling/Protecting Shoving Moves</i>					
17	<i>Fouling/Close Clearances</i>					
18	<i>Handling of Switches/Derails</i>					
18.1	<i>Main Track Switches</i>					
18.2	<i>Crossover Switches</i>					
18.3	<i>Fixed Derails</i>					
19	<i>Road/Grade Crossings</i>					
22	Reporting for Duty					
22.1	Drug & Alcohol Compliance					
24	Job Briefing					
26	Sufficient Distance					
27	<i>Electronic Devices</i>					
28	PPE					
29	Getting On/Off and Riding Equipment					
30	Applying/Releasing Handbrakes					
31	Mandatory Directives					
32	Main Track Switch Awareness Job Briefing					
38	Displaying Flags/Signals					
39	Operator Responsibilities					
40	Foreman Responsibilities					
42	Precautions Around Tracks/Equipment					
43	Tools & Machinery					
44	Vehicle Operations					
45	Good Housekeeping					
46	Electrical Safety					
47	Lifting and Moving Materials					
49	Ladders					
99	Other Rules (list in comments)					
99	Other Rules (list in comments)					
99	Other Rules (list in comments)					
99	Other Rules (list in comments)					

OPERATIONAL TESTING FORM – Mechanical

Tester Name _____	Railroad _____	Date _____
Employee (E1) Name _____	Signature _____	
Employee (E2) Name _____	Signature _____	
Employee (E3) Name _____	Signature _____	
Employee (E4) Name _____	Signature _____	
Location (Sub/MP) _____	Time _____	
Engine Numbers _____	Train ID _____	

TEST	TEST DESCRIPTION	Complied / Failed				COMMENTS
		E1	E2	E3	E4	
1	Speed Limit Compliance					
2	Main Track Authority					
3	Track Bulletins					
10	Tampering					
11	Proper Radio Procedures					
12	Air Brake Test – Locomotive					
15	Locomotive Daily Inspection					
16	<i>Controlling/Protecting Shoving Moves</i>					
17	<i>Fouling/Close Clearances</i>					
18	<i>Handling of Switches/Derails</i>					
18.1	<i>Main Track Switches</i>					
18.2	<i>Crossover Switches</i>					
18.3	<i>Fixed Derails</i>					
19	<i>Road/Grade Crossings</i>					
21	Securing Unattended Cars/Locomotives					
22	Ready for Duty					
22.1	Drug & Alcohol Compliance					
23	Blue Signal Compliance					
24	Job Briefing					
25	Red Zone Compliance					
26	Sufficient Distance					
27	<i>Electronic Devices</i>					
28	PPE					
29	Getting On/Off and Riding Equipment					
30	Applying/Releasing Handbrakes					
31	Mandatory Directives					
32	Main Track Switch Awareness Job Briefing					
41	HOS Recordkeeping					
42	Precautions Around Tracks/Equipment					
43	Tools & Machinery					
44	Vehicle Operations					
45	Good Housekeeping					
46	Electrical Safety					
47	Lifting and Moving Materials					
49	Ladders					
99	Other (list in comments)					
99	Other (list in comments)					
99	Other (list in comments)					

OPERATIONAL TESTING FORM – Transportation

Tester Name _____	Railroad _____	Date _____
Employee (E1) Name _____	Signature _____	
Employee (E2) Name _____	Signature _____	
Employee (E3) Name _____	Signature _____	
Employee (E4) Name _____	Signature _____	
Location (Sub/MP) _____	Time _____	
Engine Numbers _____	Train ID _____	

TEST	TEST DESCRIPTION	Complied / Failed				COMMENTS
		E1	E2	E3	E4	
1	Speed Limit Compliance					
2	Main Track Authority					
3	Track Bulletins					
10	Tampering					
11	Proper Radio Procedures					
12	Air Brake Test – Locomotive					
13	Air Brake Test – Class I					
13.1	Air Brake Test – Class III					
14	Air Brake Test – Transfer					
15	Locomotive Daily Inspection					
16	<i>Controlling/Protecting Shoving Moves</i>					
17	<i>Fouling/Close Clearances</i>					
18	<i>Handling of Switches/Derails</i>					
18.1	<i>Main Track Switches</i>					
18.2	<i>Crossover Switches</i>					
18.3	<i>Fixed Derails</i>					
19	<i>Road/Grade Crossings</i>					
20	Hazardous Materials Compliance					
20.1	Hazardous Materials Proper Placement in Train					
21	Securing Unattended Cars/Locomotives					
22	Ready for Duty					
22.1	Drug & Alcohol Compliance					
23	Blue Signal Compliance					
24	Job Briefing					
25	Red Zone Compliance					
26	Sufficient Distance					
27	<i>Electronic Devices</i>					
28	PPE					
29	Getting On/Off and Riding Equipment					
30	Applying/Releasing Handbrakes					
31	Mandatory Directives					
32	Main Track Switch Awareness Job Briefing					
41	HOS Recordkeeping					
42	Precautions Around Tracks/Equipment					
44	Vehicle Operations					
45	Good Housekeeping					
46	Electrical Safety					
47	Lifting and Moving Materials					
99	Other (list in comments)					
99	Other (list in comments)					
99	Other (list in comments)					
99	Other (list in comments)					