A SUPERVISOR'S GUIDE TO

T.E.S.T.S.

TOTAL
EFFICIENCY and
SAFETY
TESTS
SYSTEM

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1. INTRODUCTION

T.E.S.T.S. is an acronym for Total Efficiency and Safety Tests System, Amtrak's program for conducting and recording operational tests and inspections. An operational test or inspection is a supervisor's observation of an employee's application of the rules pertaining to train operations. Supervisors may perform operational tests and inspections (herein simply referred to as TESTS) on any applicable ***Operating Rule, Special Instruction***, or ***Air Brake and Train Handling Instruction,*** or on one of the ***RWP or SOFA Safety Rules, Emergency Preparedness Procedures***, or ***Mechanical Department Procedures*** referenced in this manual.

"TESTS" is a federally mandated system (Federal regulation 49 CFR 217.9) for recording observations of employee compliance or non-compliance with a railroad's operating rules and procedures. Therefore, records entered into Amtrak's 1872 "Efficiency Test" system are a matter of Federal record. Falsifying or improperly altering these records can result in FRA fines being levied upon the responsible individual and/or the employing railroad (Appendix "B" to Part 217.9).

Efficiency Tests are intended to enhance railroad safety by serving as a feedback mechanism between supervisors and the employees they supervise. Their purpose is to make employees promptly aware of proper and improper job behaviors, and enable the supervisor to take immediate action to correct improper behaviors. Therefore, if a supervisor performs an "1872" observation, but fails to inform the employee regarding the results of the observation (compliance or non-compliance), the primary purpose of the Efficiency Test is defeated.

For tests to be successful, supervisors must make tests a regular part of their supervisory activities. Employees who know that their supervisor is taking an active interest in ensuring that they are performing their duties correctly are much more likely to comply with applicable rules. Regular testing of employees also gives supervisors the opportunity to give employees additional guidance when needed.

Strict compliance with the rules is essential to the safe and efficient operation of the railroad. The purpose of tests is to achieve the highest level of rule compliance possible. Properly conducted tests will:

1. Reduce the risk of accidents and casualties caused by human error, or resulting from impairment of employees by alcohol or drugs.
2. Improve and maintain employee alertness.
3. Provide supervisors with an immediate evaluation of an employee's application, understanding and compliance with the rules.
4. Assist supervisors in educating employees on the correct way to apply the rules in actual operating situations.
5. Enable the company to measure general and specific areas of rules compliance, so that overall rules compliance can be maintained or improved.

Tests must be conducted in a fair and impartial manner, keeping in mind that one of the greatest benefits is the educational value. Rules must be enforced in a firm, fair and consistent manner, without regard to personalities or emotions.

Employees who are observed complying with the rules should be commended for their attention to their duties. When the test does not permit immediate face-to-face meeting with the employees being tested, every effort should be made to provide positive feedback in a timely manner by letter or personal contact.

Employees who are observed failing to comply with the rules must be promptly coached, verbally instructed or counseled on the correct manner in which to apply the procedures. If an employee has been recently coached (Result code "0") for the same infraction they should receive counseling with a Result code "1". Likewise, if counseled recently for the same infraction, the second counseling session should be followed up with a letter to the employee and a Result code "2" entry. Formal disciplinary action must be taken when a violation is serious, or is a repetitive action on the part of the employee. Formal disciplinary records are maintained by the local Disciplinary Hearing offices.

Note: Code "0" must not be used for general coaching where a non-compliance has not been observed.

2. QUALIFICATIONS OF SUPERVISORS CONDUCTING TESTS

A. TEST 136: Supervisor Qualified On TESTS Program (Required to enter observations into the Efficiency TESTS System)

Supervisors who perform TESTS must attend an Amtrak course of instruction on the applicable rules/instructions (the operating rules or instructions that are being observed) and pass the required examination. After achieving the required rules qualification, such supervisors must attend a course of instruction (conducted by a qualified TESTS instructor) and pass the required examination on the on the contents and procedures listed in this "Supervisor's Guide to T.E.S.T.S." The qualification of each supervisor must be documented by a TEST 136. (Federal Requirement)

B. TEST 137: Supervisor Field Training On TESTS (Required to perform "One-Half the Range of Vision", "Set-up" or "Controlled Communication" tests)

In addition to the general TESTS qualification covered by Test 136, supervisors must receive appropriate ***field training*** and demonstrate competency in conducting any of the TESTS listed in this Guide as "One-Half the Range of Vision", Set-up" or "Controlled Communication" tests (as described in sections 7C and 7D of this Guide) before actually performing such tests. Field training for On-Half the Range of Vision, Set-up & Controlled Communications tests must be documented by a TEST 137. (Federal Requirement)

NOTE: Testing officers may participate in "field training" prior to attending the required courses, but must not enter a test record until completing the training requirements.

3. OVERVIEW OF AMTRAK'S TESTING PROGRAM

The Amtrak testing program consists of four different standardized test categories for four distinct groups of employees: T&E, Train Dispatchers/Train Directors, MW, and Mechanical. A three-digit number series has been assigned to each employee category: 100 for T&E, 200 for Train Dispatchers, 300 for MW, and 400 for Mechanical. Additional number series (e.g., 600 for T&E and Dispatchers/Operators) have been assigned to tests, such as Emergency Preparedness.

Each test category is fully explained in this "Supervisor's Guide to T.E.S.T.S." A section on each test category gives detailed direction to a supervisor on how to conduct the test, what rules the test should cover, and what constitutes a non-compliance for that test, to ensure system-wide consistency and provide newer supervisors with clear guidelines for conducting tests.

Although TESTS allows recording an observation on specific rules or instructions, most observations can be recorded using one of the standard test numbers, which group TESTS observations into categories by function and craft.

For example, a test on a T&E employee that involves switches or switching can be recorded as TEST 117, regardless of railroad or governing rule book. The instructions for TEST 117 list all of the applicable rules that comprise this test. This reduces the number of entries that a supervisor has to make while at the same time ensuring that a wide variety of rules are observed. However, if compliance with a specific aspect of a rule is observed but is not described in the instructions for this TEST, the specific nature of the observation can be noted in the Comments field.

A non-compliance always requires a specific rule reference in the Noncompliance Rule Number field.

An employee observation that does not seem to fall under one of the standard test numbers may be shown as a TEST 199 (All Other Tests), but the specific operating rule or instruction number must be noted in the Comments field. Test 199 should be used sparingly and only for safety critical rules that cannot be located in any other TEST category.

4. METHODS FOR CONDUCTING TESTS

Various methods may be 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. Also see Section 7, paragraph D, on "Controlled Communication Testing".

Approved shunting devices 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.

5. CONTROL OF ALCOHOL AND DRUG USE

Only testing officers who have completed Amtrak's Reasonable Suspicion Testing Training Program are qualified to perform Test 128 for compliance with the rules that prohibit the use or possession of drugs and alcohol.

Whenever a **trained and qualified** supervisor conducts a direct personal observation of an employee, they must monitor the employee to determine whether they are in compliance with the Company policies (Amtrak Policy & Instruction Manual P/I # 7.3.0) and Federal regulations (49CFR219) that prohibit alcohol and drug use. While such monitoring is a required and essential supervisory function, it is not mandatory that each direct personal observation be documented in the TESTS system using Test 128 – Drug & Alcohol.

If it is determined that an employee is not in compliance with Company policies or Federal regulations, the observation must not be recorded in the TESTS system. Such instances of non-compliance must be handled in accordance with the applicable Company or Federal guidelines (see Test # 128).

6. EMERGENCY PREPAREDNESS TESTING

Amtrak is required by Federal regulation (49CFR239.301) to conduct operational tests of our on-board (T&E) and control center (Dispatch) employees to determine the extent of compliance with our Emergency Preparedness Plan.

Emergency Preparedness tests are intended to document whether our employees know how to respond in the event of an emergency. **Test 699** has been developed to enable supervisors to record these observations on T&E and Dispatch employees, and is described at the end of this Guide (Appendix A).

7. INSTRUCTIONS FOR RECORDING TESTS

A. 1872, 1875, 1876 and 1877 SCREENS

- **1872:** Selected from the Efficiency T.E.S.T.S. Main Menu, the 1872 "Employee Efficiency Tests" screen is used when one supervisor performs one or more tests on the same employee. **Note:** The TESTS software can also be used to record the same test on multiple employees, by checking the "Multiple Employee Test" checkbox on the 1872 Test Entry screen (located under "Test Time"), and adding the additional employees after completing the first 1872 entry. *When more than one Amtrak supervisor is performing tests on the same crew or employee, only one supervisor may enter the same test on the same employee.*
- **1875:** Selected from the Efficiency T.E.S.T.S. Main Menu, the 1875 "Engineer Evaluation" screen is used to record a supervisor's evaluation of an Amtrak Locomotive Engineer or Engine Certified Supervisor's performance in operating a train or engine. One of the half-year evaluations for Engineers in road service must cover the entire route that the Engineer is operating. All other evaluations must be made a significant distance, minimum of 50 miles or roundtrip in commuter service. Evaluations for Engineers in yard service must last for at least 4 hours. When the evaluation has been completed, a copy of the evaluation must be given to the Engineer.
- **1876:** Selected from the Efficiency T.E.S.T.S. Main Menu, the 1876 "Student Engineer Evaluation" screen must be used to record a supervisor's evaluation of an Amtrak Locomotive Student Engineer's performance or knowledge in operating a train or engine.
    - Evaluations must be made twice monthly (not in the same week).

- Evaluations for Student Engineers in *Road Service* must be made over the segments or route on which the Student Engineer has pre-qualified on the physical characteristics, for a distance of not less than 50 miles, or a round trip in commuter service.
- Evaluations for Student Engineers in *Yard Service* must last for at least 4 hours.

- **1877:** Selected from the Efficiency T.E.S.T.S. Main Menu, the 1877 "Conductor Evaluation" screen is used to record a supervisor's evaluation of an Amtrak Conductor's performance or knowledge of rules and instructions pertaining to passenger safety and/or equipment movement. Evaluations for Conductors must last a sufficient distance or time to properly evaluate a Conductor's ability to perform services. When the evaluation has been completed, a copy of the evaluation must be given to the Conductor.

B. Completing and Entering TESTS and Evaluations

1872, 1875, 1876 and 1877 details must be entered into the TESTS database as soon as practical. The TESTS system *will not permit entry of a "Personally Observed" record greater than 10 days old*. Tests performed using event recorder tapes, audio or video tape, or other similar records are not subject to the 10-day limitation. Questions regarding test record input into the TESTS system should be directed to an Operating Practices Department representative.

1872, 1875, 1876 and 1877 entries will not be accepted by the TESTS system unless all involved employees and supervisors are in the TESTS system's Employee Database. Employees and supervisors may be added to the TESTS system employee/supervisor database through use of the TESTS "Employee Database" screen *(see Sections 12 & 17 for more information).*

C. Listing Employees Tested for a Stopping within One-Half the Range of Vision, Set Up, or Controlled Communication TEST, and All Other Tests:

When a "Stopping within One-Half the Range of Vision" (Method "B"), "Set-up" (Method "C"), or "Controlled Communication" (Method "M") test is performed on a train, the same TEST number may be used for all members of the crew directly involved in and responsible for the application of the rule. Show a "B", "C", or "M" in the method field only for employee(s) qualified on the Rules and physical characteristics and responsible for directing or controlling the movement of the train.

Example 1: A "Stopping within One-Half the Range of Vision" test is performed during a shoving movement with the Conductor directing the move from the point. The Conductor and Engineer may be listed under TEST 101, but the "B" should only be placed in the Method field for Conductor. The Engineer is involved in the test because he/she is expected to comply with the directions of the Conductor. An AC, unless on the point assisting the Conductor or in the cab of the locomotive monitoring the communications and the Engineer, and therefore equally responsible for stopping the move, should not be entered for Test 101.

Example 2: A "Stopping within One-Half the Range of Vision" test is performed during a forward movement with 1) two Engineers, or 2) the Engineer and Conductor, or 3) the Engineer, Conductor and another qualified employee on the leading end. In all three cases, all qualified employees on the leading end may be listed under TEST 101 with a "B" in the Method field because all employees are equally responsible for compliance with the applicable rules.

In other words, you can show each employee responsible for ensuring compliance with the rules as tested under TEST 101, but put a "B" in the Method field only for employees who were able to control the movement. A crew member who was not in a position to influence compliance (e.g. an Assistant Conductor in the body of the train) should not be credited with a test. The same applies for any "set up" test.

For all other tests, only the employee(s) directly responsible for compliance with a rule may be listed as being tested under that rule. Many TESTS, however, include observation of the entire crew and in those cases it is appropriate to list all employees as tested.

Only the Engineer (but all Engineers on the head end, regardless of who was actually operating at the time) may be listed for a "Radar" or "Event Recorder" test.

D. Controlled Communication Testing (Check Method M):

Compliance with the rules that require specific communication between crew members is a safety- critical component of many procedures, but is especially important during back up and shoving movements. Since observations of employees may not always detect unsafe practices, supervisors should use controlled "set-up" type tests as part of their testing program. The following description of "Controlled Communication Testing" reflects the test procedure that must be used.

In order to realistically test for compliance with a rule that requires communication with another employee, a supervisor may instruct an employee to withhold such communication, or to provide incomplete information. ***Such tests may be performed only when the supervisor has determined that no unsafe condition will result.***

Examples of such tests are:

- TEST 118: Instructing the employee who is directing a shoving move not to give the required information prior to starting the movement.
- Expected response - Engineer should not start move.
- TEST 118: Instructing the employee who is directing a shoving move to stop giving the required distance.
- Expected response - Engineer should stop within half of the last distance given.
- TEST 119 (or other applicable TEST): Instructing an employee who is required to provide any other type of communication not to give such communication.

Expected response - Other crew members should notice and question the omission.

Employees are expected to cooperate with the supervisor's instructions under these test conditions, and will not be considered in violation of the rule being tested. The supervisor who conducts such a test will be considered in charge of the movement and **must be qualified on the operating rules and physical characteristics of the territory**. The supervisor in charge must ensure that ample safety margins are established.

The primary purpose of such tests is educational and the supervisor will initially handle any exceptions verbally, using Test Result "0". However, if the employees being tested have previous infractions in the TESTS system for the test that you are conducting, a Code 1 or 2 may be more appropriate.

Recording Controlled Communication TESTS:

- Use the applicable TEST No.
- Enter "M" in the Method field (for credit for a "controlled communication" test)

E. Event Recorder Tests (Check Method T):

The event recorders that are in use on most Amtrak locomotives are sophisticated devices that record much more than simply the speed of the train. Downloading these event recorders will usually provide information on not only the speed, but also the throttle position, brake application, load (amperage), sounding of the horn, and several other parameters.

Supervisors must do the following when conducting event recorder tests:

1. The entire trip of the engineer(s) must be covered when reviewing the event recorder download. You need print only the pages that contain the events on which you entered a test. In other words, instead of printing the entire download or portion of the trip, you may print only the applicable pages that contain the air test, speed restriction, etc. that you used to enter the "T" method TEST.
2. Verify engine number, train number, date and operating crew (use CMS and/or Train Register records). Record this information on the printout (or disk label, if applicable).
3. Verify actual arrival/departure times at identifiable locations (usually stations - use Arrow and Conductor Delay Reports).
4. Obtain information on temporary speed restrictions and other instructions in effect for the specific trip.

5. Make notations directly on the printout to identify the time, location and event (see below) that is being checked.
6. File the annotated printout with the train, date and engineer(s) name, and retain for 1 year.

Downloads may be reviewed and retained electronically, subject to the following conditions:

- Approval by the Subdivision, and
- Provided that the individual supervisor has demonstrated his or her ability to print and annotate these event recorder downloads as instructed.

An electronic copy of the annotated download must be held available for audit for one year.

To get the maximum benefit from spending the time to download and then analyze the data from an event recorder, multiple events must be reviewed. Each event recorder review must include at least ***FIVE*** Speed Compliance TESTS and ***FIVE*** additional different TESTS. Examples of acceptable TESTS are:

1. Temporary speed restrictions – must include at least one such test, if applicable (Enter as TEST 108 SPEED).
2. Permanent speed restrictions (TEST 108 SPEED).
3. Maximum authorized speed - no more than one such test per trip (TEST 108 SPEED).
4. Restricted speed (TEST 108 SPEED, or other applicable TEST).
5. Speeds required by known signal indication (TESTS 102 – 105)
6. Speed required by known delayed in block situation (TEST 107)
7. Required running brake test or standing brake test (TEST 110)
8. Use of horn or bell - no more than one such test per trip (TEST 122)

Other events that are identifiable can also be used when possible.

If more than one engineer is assigned to the train, event recorder tests are applicable to both engineers.

Enter each TEST in the normal manner but follow these specific instructions:

Test Date: Use the actual date when each event being observed occurred.

Time: Use the actual time as indicated on the event recorder (corrected as necessary) at the location where the event being observed occurred.

Nearest: Use the three letter ARROW abbreviation of the nearest location to event being observed.

Speed: Use the actual speed observed.

Check Method: Use "T". This is the only way to ensure proper credit for this test.

Comments: Document the specific nature of the speed observation, for example: "30 MPH temp. S/R".

F. Joint Tests:

When tests are performed jointly with officers of another railroad, put the word "joint" in the "Comments" field. This ensures credit for joint tests on specific railroads, when the applicable Railroad Code where the test took place is used in the Railroad/Rule field. (Example: A joint test on the Union Pacific would be properly credited when "UP102" is used as the Railroad/Rule/Test No. and the word "joint" is placed in the Comments field).

When more than one Amtrak supervisor is performing tests on the same crew or employee, they must not have duplicate test entries on the same employee. (Example: If supervisor "A" enters a TEST 101 on the Engineer, supervisor "B" must not enter TEST 101 on the Engineer, but may enter a TEST 102. Supervisor "A" must not enter TEST 102 if it is entered by supervisor "B".)

A job briefing among Amtrak and host railroad supervisors must be held prior to performing joint tests, so that any discrepancies between Amtrak's program and the host railroad's program can be resolved. For example, Amtrak's "One-Half the Range of Vision" test requires that an approaching train be required to operate at

Restricted Speed by signal or rule. If the host railroad does not have this requirement and insists on conducting the test as per their requirement, it should not be entered by Amtrak supervisors.

G. Crew Resource Management (CRM) Element in TESTS:

A key element in Amtrak's Crew Resource Management program is the assessment of employee performance in CRM. Many of the TESTS contained in this Supervisor's Guide include strong CRM components and following the testing guidelines will automatically provide criteria for observing compliance with CRM procedures. Many tests have a reminder to "Check for good CRM procedures", especially where crew communication is required. However, testing officers should take advantage of the opportunity to observe employee performance in CRM during all tests.

Show the applicable CRM "Tool" in the Comments field (Tool No.1 Technical Proficiency, Tool No.2 Situational Awareness, or Tool No. 3 Teamwork/Communications).

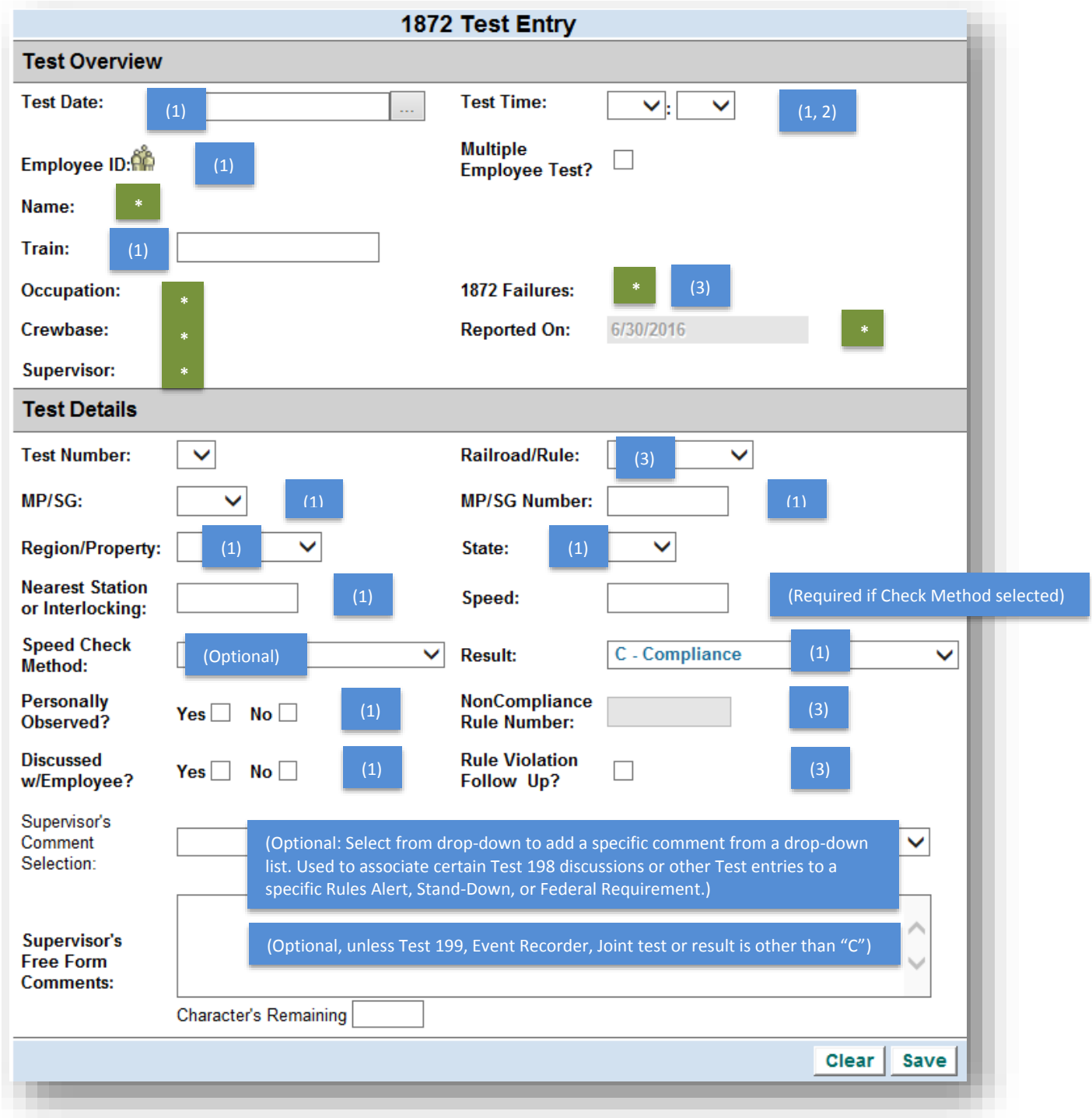
Obviously, the CRM component of a test non-compliance should be handled as part of the counseling process. However, even when the criteria for a test non-compliance has not been met, there may be opportunities to reinforce positive CRM behavior or to provide instruction to employees whose CRM performance is in need of improvement.

For example, a crew member who goes beyond the minimum communication required to ensure that all employees involved fully understand the moves to be made or the rules involved should receive positive feedback. On the other hand, an employee who does not fully share information with other crew members, even if the test is otherwise passed, should receive counseling. This is an important part of the ongoing reinforcement of CRM principles at Amtrak.

8. SAMPLE 1872 AND LINE-BY-LINE INSTRUCTIONS

A. 1872 Entry Screen

The following example depicts the 1872 Test Entry screen, as viewed when using either the Intranet or laptop based applications.



The fields shown with a number (**1**) indicate that an entry MUST be made. Fields shown as "Optional" indicate optional fields that need to be completed only as explained below, or if information is available or necessary for the specific test.

B. Required Fields

(1) Use the button to the right of the **Test Date** field to surface the date selection calendar. Use the "people" icon to the right of the **Employee ID** field to select the desired employee. Check the **Multiple Employee Test** checkbox if the same rule or instruction was simultaneously observed as being complied with or not being complied with by multiple employees, such as multiple members of a train's crew. Enter the **Train** number, or other movement identifier as appropriate. The fields marked with an asterisk **(*)** will automatically appear, based on data contained in the TESTS system.

(2) Time: Select time from 24 hour clock drop-down. ("1430" for 2:30 PM)

(3) Test Details:

- Once an employee is selected, a craft specific list of **Test Numbers** will be available in the drop- down list. The **Railroad Rule** should indicate which railroad's rules are in effect where the test occurred (see list below). Use of a mile post or signal indicator is optional. Enter the other required data.
- MP/SG and MP/SG number: If a milepost location is used to identify the test location, enter "MP" and the mile post number. If a signal number is used (to identify a particular signal used in a test), enter "SG" and identify the signal number.
- **"Personally Observed"** means a real-time observation where the supervisor was in position to watch the employee's performance and intervene if necessary. The "Personally Observed" checkbox must be checked only when the employee behavior was personally observed by the supervisor entering the test. *Such tests must be entered within 10 days of the observation/test.*
- The **"Discussed w/Employee"** checkbox is to be checked only when the observation has been discussed with the employee. *This checkbox can be changed at any time after the initial TESTS entry as it may not be possible or convenient to speak to the employee at the time of the observation.*
- A **NonCompliance Rule Number** must be entered whenever the result is other than "C".
- The **Rule Violation Follow Up** checkbox must be checked whenever the test observation is being made to satisfy the monthly goal to check an employee who has had a major rule violation within the previous 12 months.
- If the **Result** is other than "C", any **Non-compliances** listed in the Overview section must be reviewed before the test record can be saved. Before finalizing the non-compliance code, carefully review any prior non-compliances that were previously recorded for the same test number as being entered.
- If the **Result** is other than "C", **Supervisor's Comments** must be entered to provide non-compliance details; completion is optional for test records where compliance is indicated.
- If the **Result** is other than "C", a specific rule reference must be entered in the *Noncompliance Rule Number* field.
- Use test Result **"Code V"** to indicate the date of an employee's return to service following a major operating rule violation (MORV). If result code "V" is selected, the 1872 is not a record of an observation, it is a recordkeeping notation on the employee's history in order to permit accurate reporting and testing of an employee who has returned to work following a major operating rule violation. *See Appendix F.*

(4) Employee Database Railroad Code / 1872 Rule Book Codes

Railroad / Rule Book	Rule Book Code	RR Empl. Code
Amtrak	AM	AM
Altamont Commuter Express		AC
Buckingham Branch	BB	
Bay Colony	BC	BC
BNSF	BN	BN
Canadian Code (CROR)	CA	
Conn.DOT	CD	CD
Chicago South Shore		CH
Canadian National (USOR)	CN	CN
Connecticut Southern	CO	CO
CP Rail	CP	CP
Conrail	CR	CR
CSXT	CS	CS
Fore River	FR	FR
General Code (GCOR)	GC	
Guilford (Pan AM)	GI	GI
Kansas City Terminal	KC	KC
Kansas City Southern	KS	

Railroad / Rule Book	Rule Book Code	RR Empl. Code
LIRR	LI	LI
Louisville & Indiana	LO	LO
MARC (DC, MD)	MA	MA
MBTA (MA)	MB	MB
METRA (CHI)	ME	ME
Metro-North (NY)	MN	MN
Metrolink (CA)	MT	MT
New England Central	NE	NE
New Jersey Transit (NJ, NY, PA)	NJ	NJ
Norfolk Southern	NS	NS
Providence & Worcester	PW	PW
San Diego Northern	SD	SD
SEPTA (PA, NJ, DE)	SE	SE
Terminal RR Assoc. TRRA	TR	TR
Union Pacific	UP	UP
Virginia Rail Exp. VRE	VR	VR
Vermont Rail System	VS	

NOTES**:**

- Certain other discontinued codes have been retained in TESTS to enable historic record retrieval, but discontinued codes must not be used for new record entry.
- **Amtrak –** Use **1872** R**ule Book code "AM"** only for Amtrak properties operating under NORAC. Use ***Employee code "AM"*** for all Amtrak employees, regardless of property.
- **GCOR -** Use **Rule Book code "GC"** only for Amtrak properties operating under GCOR. Use ***Employee code "AM"*** for all Amtrak employees, regardless of property.
- **Canadian Code (CROR)** – Use as **Rule Book code "CA"** only for operations in Canada, regardless of actual railroad (BNSF, CP, CN, etc.)
- **Canadian National (USOR)** – Use **"CN" as Rule Book/Employee** code for U.S. operations on the CN, former IC or GTW.

(5) RESULT: Select one of the following:

C	Compliance
0	Non-Compliance: Coached
1	Non-Compliance: Verbal Counseling

2	Non-Compliance: Written Counseling
3	Non-Compliance: Employee Removed from Service
V	MORV Return to Service Indicator *(See Appendix F)*

(6) NEAREST: Enter the three-letter Arrow code that corresponds to location nearest to where the test was observed.

(7) REG/ PROP: Select the Amtrak Region/Subdivision in which the test was performed.

100	Bay	**300**	Southeast	**400**	Mid-Atlantic	**600**	Northeast-East
150	Northwest	**350**	Southwest	**500**	Northeast-West		
200	Central	**375**	Metrolink	**550**	Hudson		

(8) STATE: Select the two-letter code for the State/Province in which the test was performed.

C. Optional Fields:

(Opt. **A**): **MP/SG:** If a milepost location is used to help identify the test location, enter "MP" in this field. If a signal number is used (to identify a particular signal used in a test), enter "SG" in this field.

(Opt. **B**): **MP/SG Number:** If you entered either "MP" or "SG" in the previous field, you MUST enter the number of the milepost or signal in this field.

(Opt. **C**): **Speed:** If checking speed by radar or event recorder, put the observed speed in this field. You can also show a speed here if checked by watch or speedometer. This field is required whenever the "CHECK METHOD" field is used – use "0" (zero) when train was properly stopped in response to a test that required the train to stop (such as a barricade test).

(Opt. **D**): **Check Method:** See the specific TEST in this guide for information on what to enter in this field when appropriate. If you entered a speed in the previous field, you MUST enter a check method in this field. The one-letter codes that may be entered:

- **B –Tests 101, 107, 116 and 117.** See "Description of Test" under each Test for a description of what constitutes a Check Method B test.
- **C –Set-up Test- Cab / Fixed Signal**. There is one primary element for a TEST to be shown as a "Set-up" TEST: The testing condition was created by the testing officer.

  The employee being tested should be unaware of the testing officer's presence until after the test is completed.

- **M – Controlled Communication** test.
- **R – Radar Only** test.
- **T – Speed Tape.** Use for event recorder documented tests.
- **S – Speedometer.** Use for speed check using speedometer.
- **W – Watch or Clock.** Use for speed check using a watch & mileposts to gauge speed.

(Opt. E): **NonCompliance Rule Number:** A *non-compliance* always requires a specific rule reference in the *NonCompliance Rule Number* field.

(Opt. **F**): **Rule Violation Follow Up:** This box must be checked when an employee who was involved in a major operating rule violation within the last 12 months has subsequently been observed on a rule relevant to the violation. (See Section 18: Test Targets.)

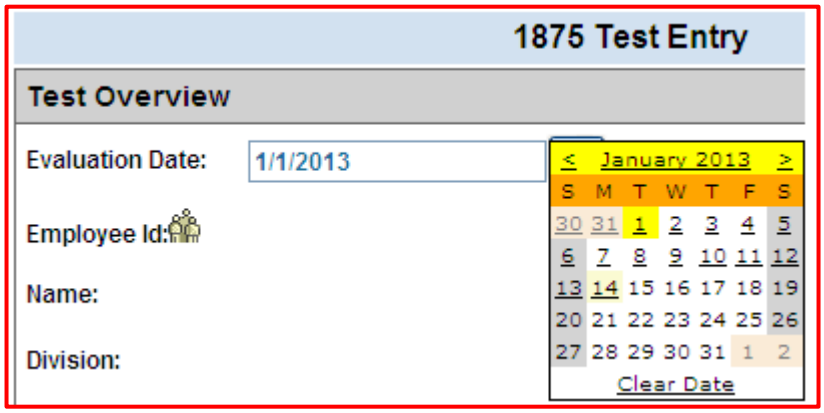
(Opt. **G**): **Supervisor's Comments:** MUST be used to provide test observation details any time the RESULT code is 0, 1 or 2 (for non-compliance). However, this 150 character field may also be used to record a specific test compliance rule reference when desired, or when required by instructions in the specific TEST found in this guide. When a rule number is entered in this field, enter the rule number first, followed by a brief explanation. Otherwise, use this field to record any comments that help to define the test, as necessary.

9. ENGINEER EVALUATION: SAMPLE 1875 AND LINE-BY-LINE INSTRUCTIONS

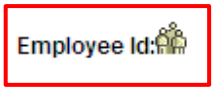
Refer to sample 1875 reference numbers at the end of this section.

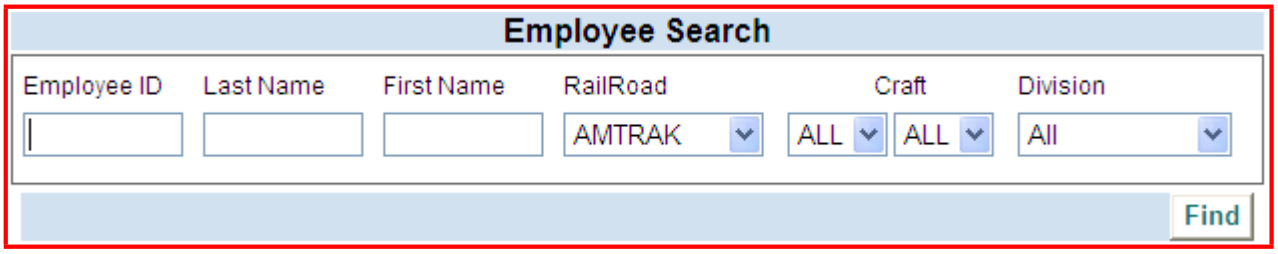
A. TESTS OVERVIEW

1. Select the actual date of the evaluation using the month pop-up window. The system will default to the current date.

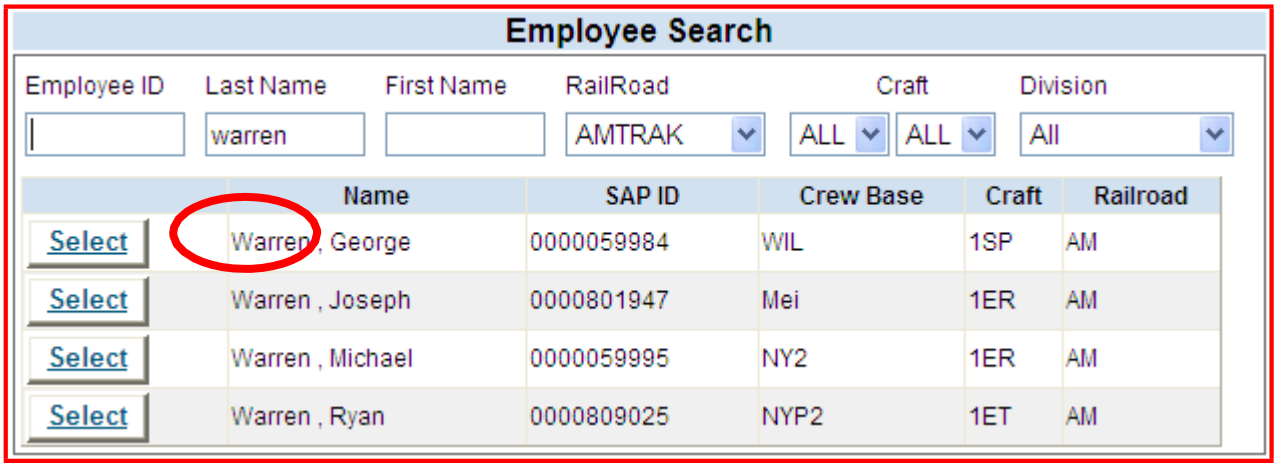


2. Clicking this icon allows you to pick the Engineer you wish to evaluate. You can Search By Sap#, First or Last Name, RR, Craft and/or Subdivision





3. Select the employee



4. Enter the locations evaluated from and to.

5. Enter the train number.

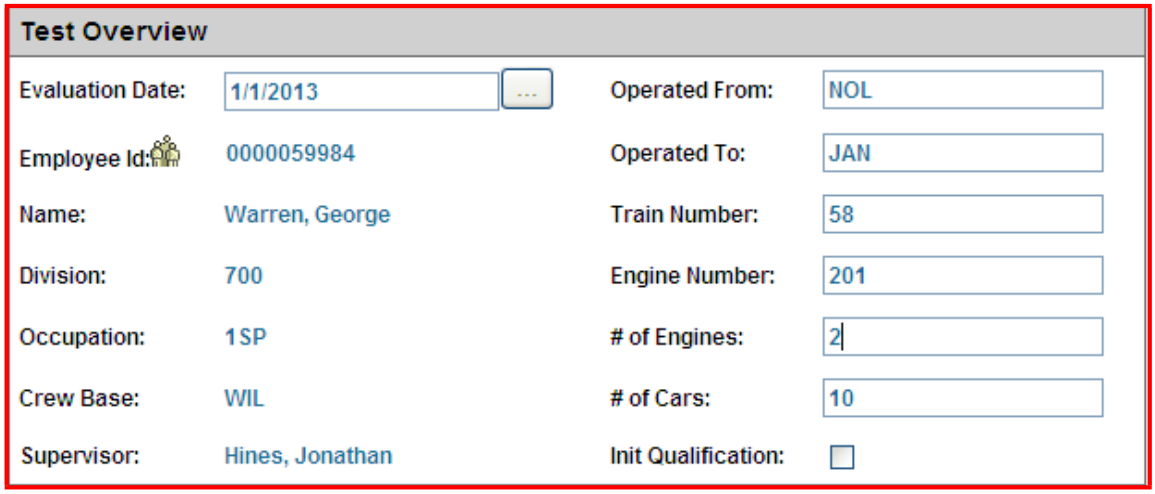
6. Enter the engine number.

7. Enter the number of engines.

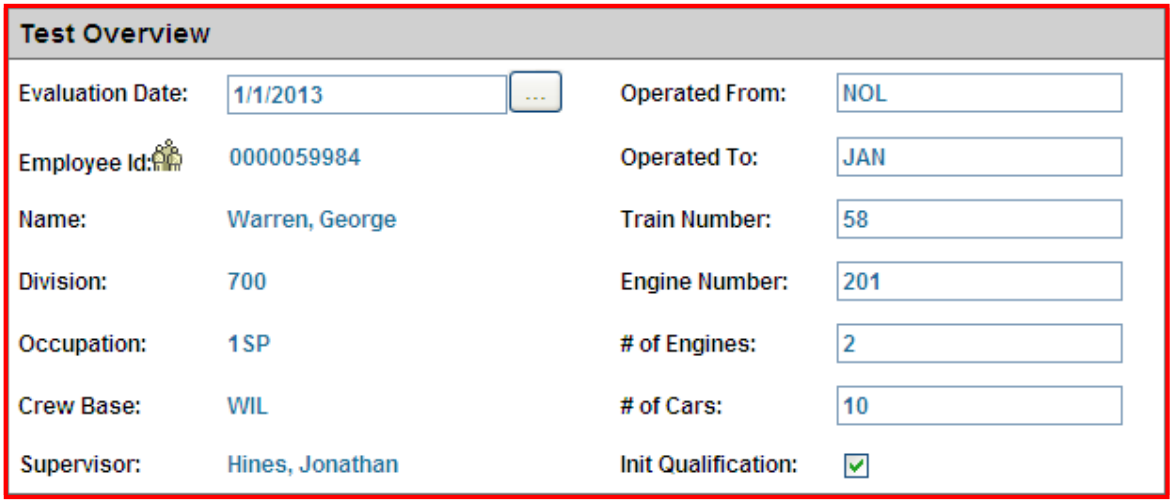
8. Enter the number of cars. Enter the locations evaluated from and to.

9. Check this box if this 1875 is an Initial Qualification evaluation.

Example of properly completed 1875 test Overview Section for a **NON** qualification evaluation:



Example of properly completed 1875 Test Overview Section for an **Initial** qualification evaluation:



B. TEST DETAILS

1. Items in the Test Details are given a rating from 0 to 4. Applicable items shall be scored a rating 1-4 as defined below (A score of 0 is "not applicable").

Use the Criteria in Items 0 through 4 below for assigning a performance level number for Test Details.

Ø Enter a ZERO if category is not applicable. (Does not apply to 'Overall Score'.)

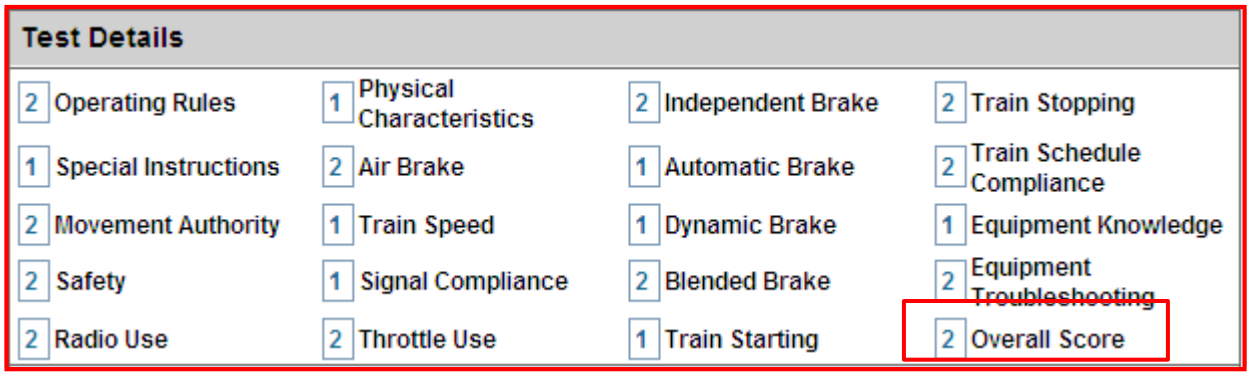
1 Employee consistently demonstrates skill and knowledge above average.

2 Employee fulfills all requirements for skill and knowledge. There may be a minor deviation above or below expectations, but the general performance level results in safe and efficient train operation.

3 An employee with sufficient time and experience who shows shortcomings in knowledge and/or skill. Also applicable to an employee who is progressing adequately but is not yet fulfilling all position requirements.

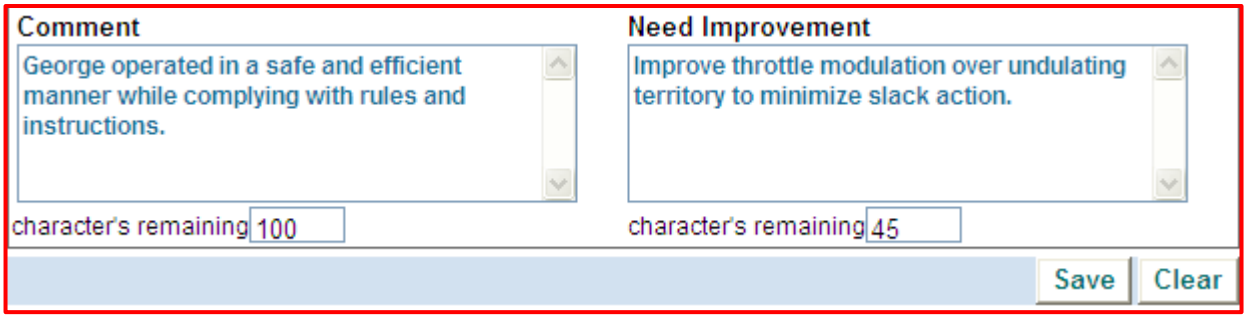
4 Performance is unsatisfactory and does not meet minimum job standards. Employee must NOT perform service as engineer of record.

2. The Overall Score must be the average of the Test Details rated. Do not include items scored as "0" in average calculation. Round up to the nearest whole number (1.5 = 2).



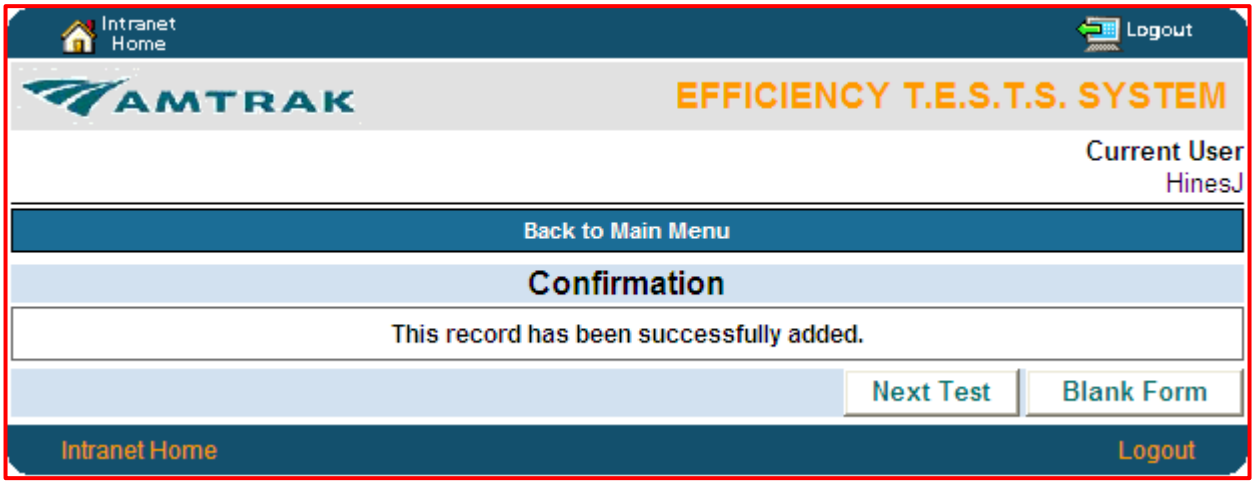
3. Enter any comments in the "Comment" section and enter need improvement comments if applicable in the "Need Improvement" section.

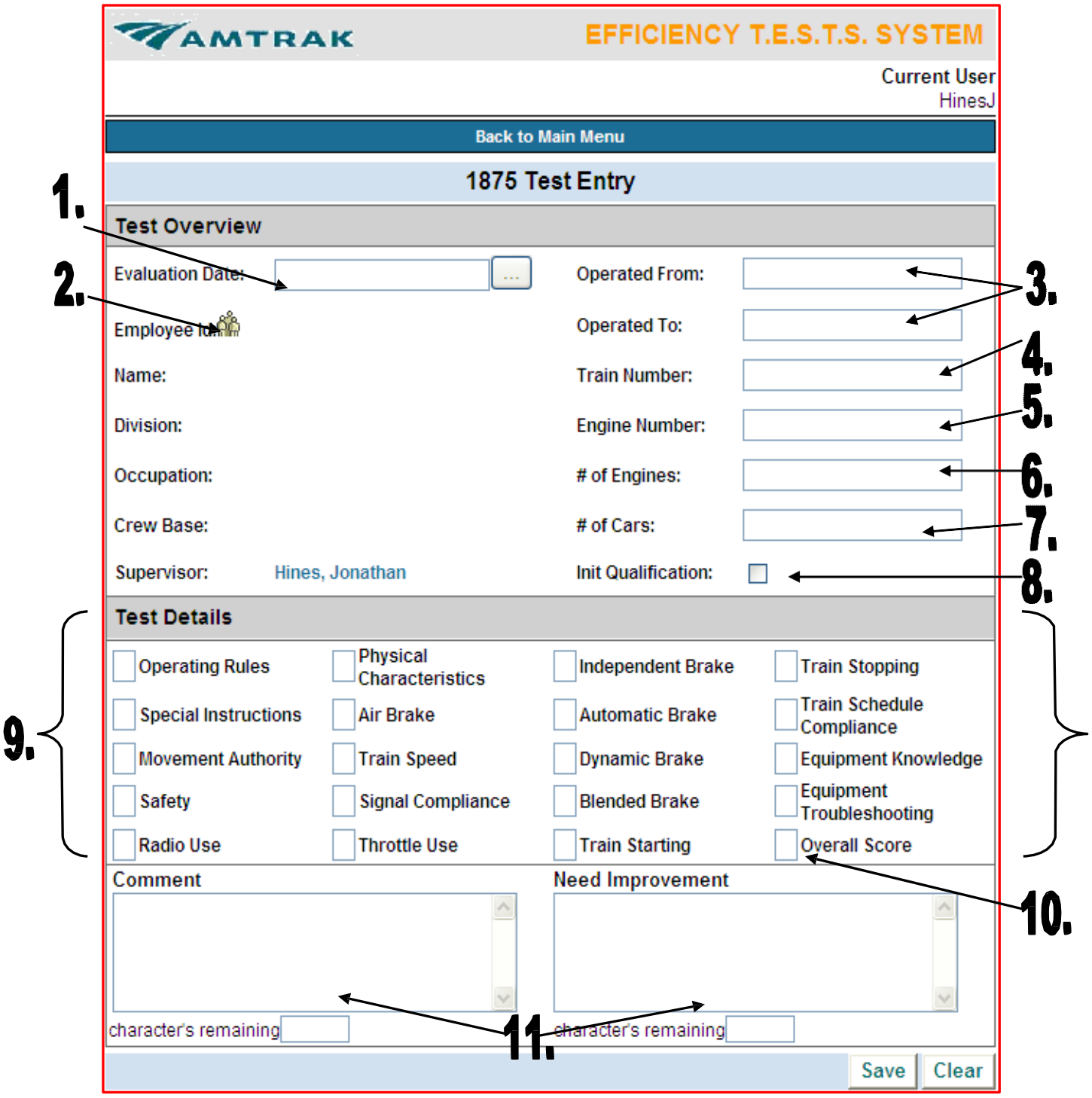
Example:



4. Make sure you press the "Save" button. If you close without saving, the 1875 is not saved. A confirmation screen will appear when the record has been saved.

Example:

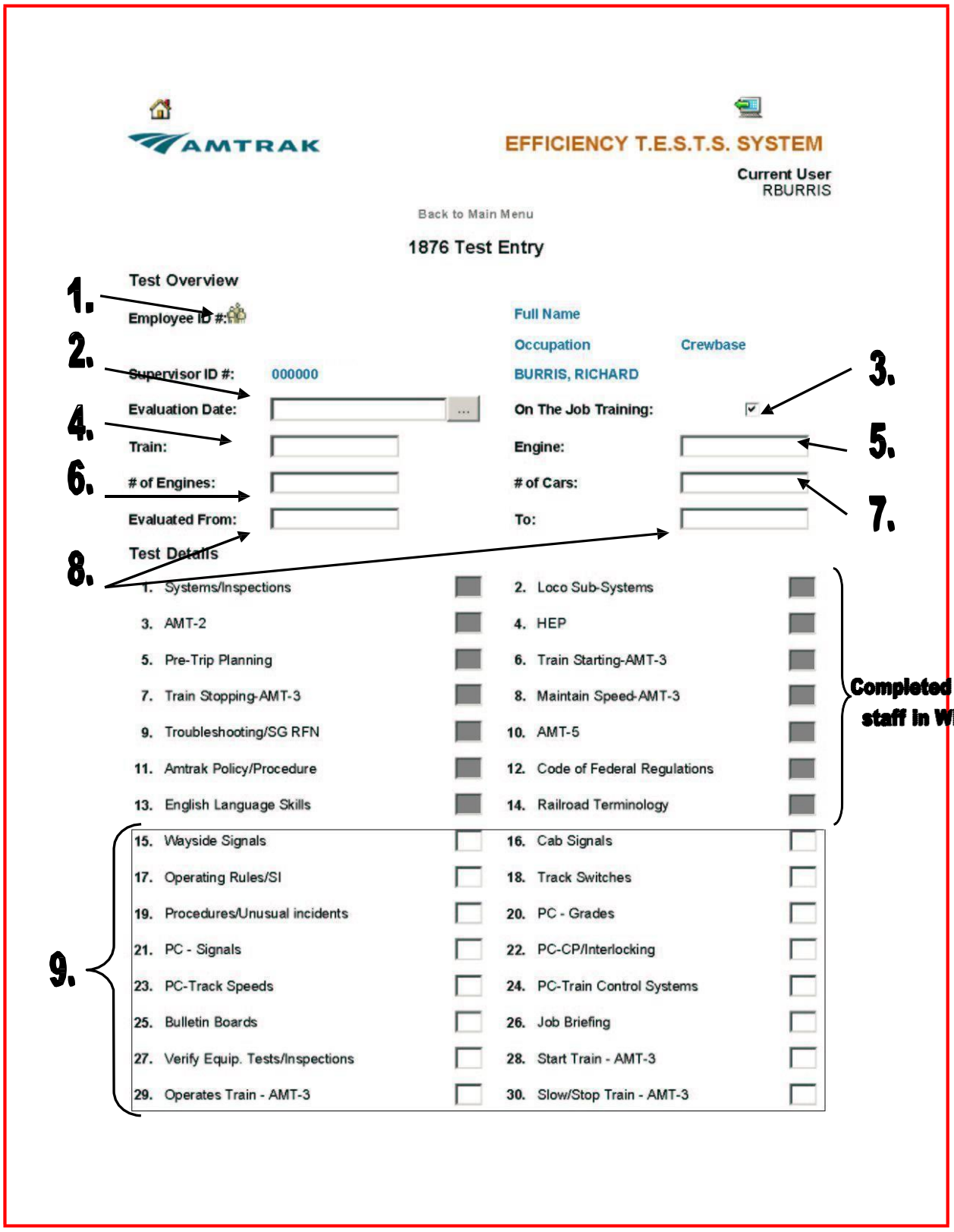


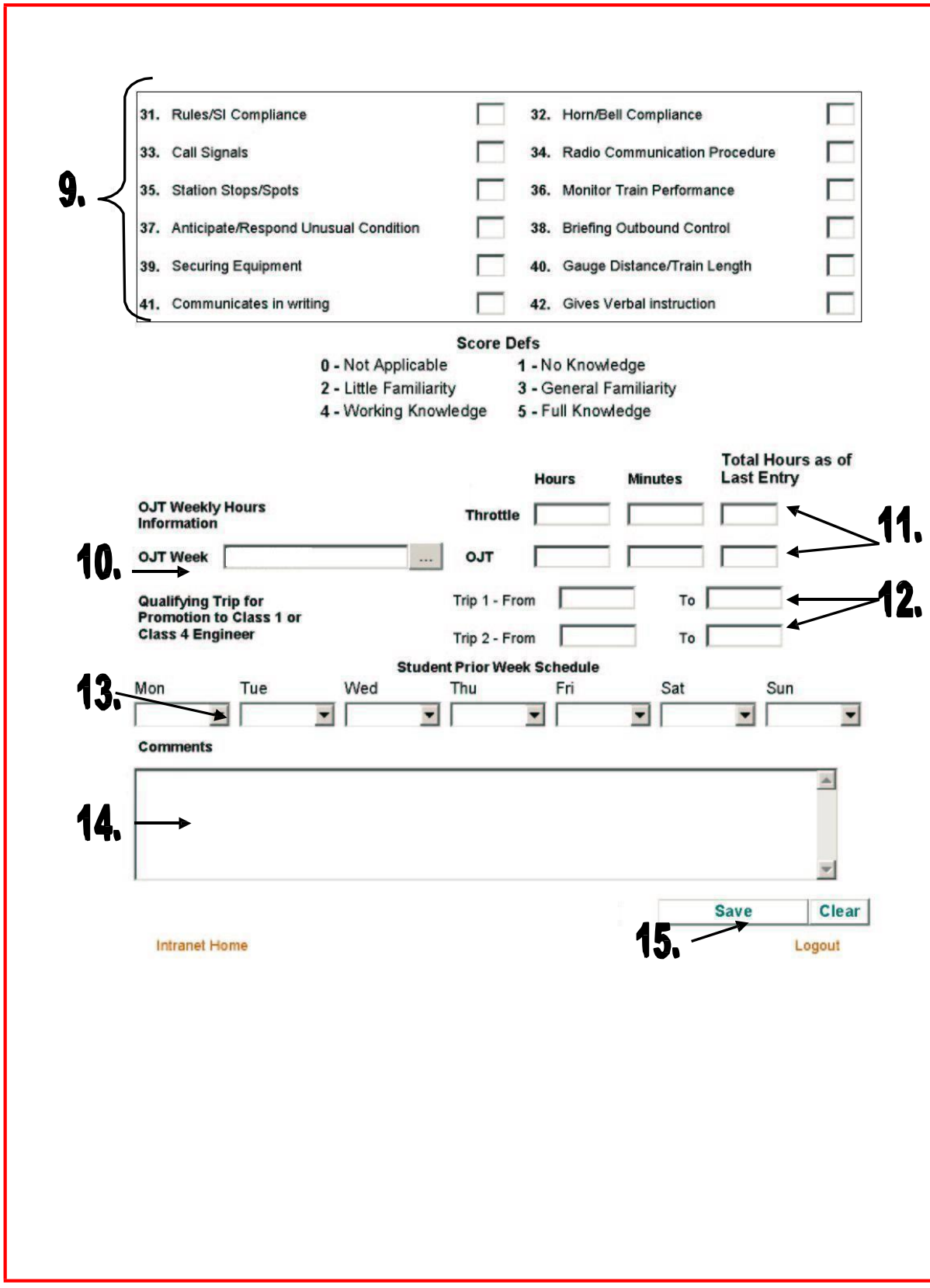

AMTRAK
EFFICIENCY T.E.S.T.S. SYSTEM
Current User
HinesJ
Back to Main Menu
1875 Test Entry
Test Overview
Evaluation Date:
Employee Id:
Name:
Division:
Occupation:
Crew Base:
Supervisor:
Hines, Jonathan
Operated From:
Operated To:
Train Number:
Engine Number:
# of Engines:
# of Cars:
Init Qualification:
Test Details
Operating Rules
Physical Characteristics
Independent Brake
Train Stopping
Special Instructions
Air Brake
Automatic Brake
Train Schedule Compliance
Movement Authority
Train Speed
Dynamic Brake
Equipment Knowledge
Safety
Signal Compliance
Blended Brake
Equipment Troubleshooting
Radio Use
Throttle Use
Train Starting
Overall Score
Comment
Need Improvement
character's remaining
character's remaining
Save
Clear
1.
2.
3.
4.
5.
6.
7.
8.
9.
10.
11.

10. STUDENT ENGINEER EVALUATION / SAMPLE 1876 AND LINE-BY-LINE INSTRUCTIONS

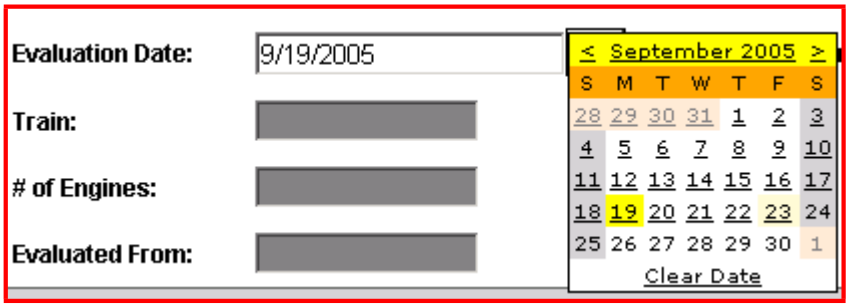
A Form 1876 must be completed each week on each student engineer, without exception!

Refer to sample 1876 reference numbers.



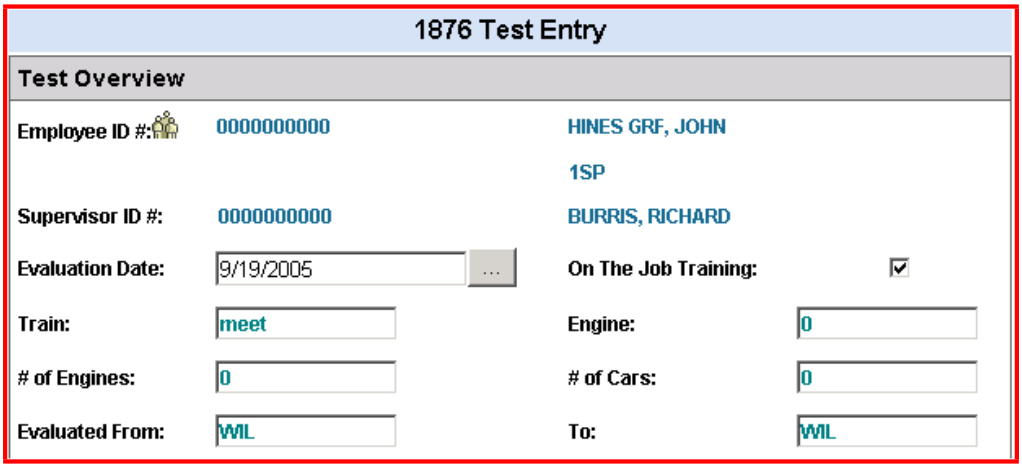

9.
31. Rules/SI Compliance
32. Horn/Bell Compliance
33. Call Signals
34. Radio Communication Procedure
35. Station Stops/Spots
36. Monitor Train Performance
37. Anticipate/Respond Unusual Condition
38. Briefing Outbound Control
39. Securing Equipment
40. Gauge Distance/Train Length
41. Communicates in writing
42. Gives Verbal instruction
Score Defs
0 - Not Applicable
1 - No Knowledge
2 - Little Familiarity
3 - General Familiarity
4 - Working Knowledge
5 - Full Knowledge
Hours
Minutes
Total Hours as of Last Entry
OJT Weekly Hours Information
Throttle
OJT Week
OJT
11.
10.
Qualifying Trip for Promotion to Class 1 or Class 4 Engineer
Trip 1 - From
To
Trip 2 - From
To
12.
Student Prior Week Schedule
13.
Mon
Tue
Wed
Thu
Fri
Sat
Sun
Comments
14.
Save
Clear
15.
Intranet Home
Logout

1. This item allows you to pick the student engineer you wish to evaluate.
2. Select the actual date of the evaluation using the month pop-up window. The system will default to current date.

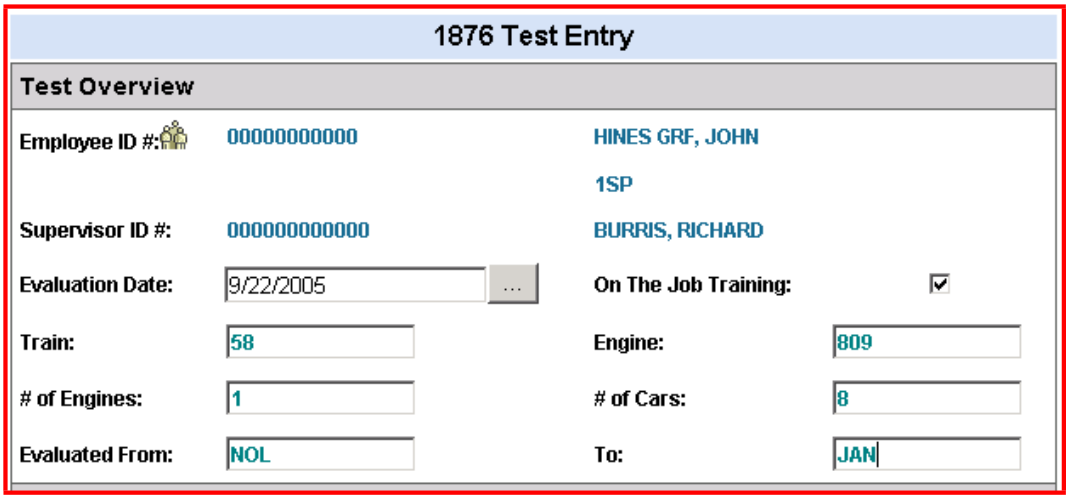


3. This checkbox will NOT be checked when 1876's are completed at the Engineer Training School Wilmington, DE. When the student engineer returns to his/her crew base for "On The Job Training", this box must always be checked for actual ride or meeting.
4. Enter the train number. If this 1876 is a meeting, enter "MEET".
5. Enter the engine number. If this 1876 is a meeting, enter "0".
6. Enter the number of engines. If this 1876 is a meeting, enter "0".
7. Enter the number of cars. If this 1876 is a meeting, enter "0".
8. Enter the locations evaluated from and to. If this 1876 is a meeting, enter the location of the meeting is both boxes.

Example of properly completed Test Overview Section for a student meeting



Example of properly completed Test Overview Section for a student ride

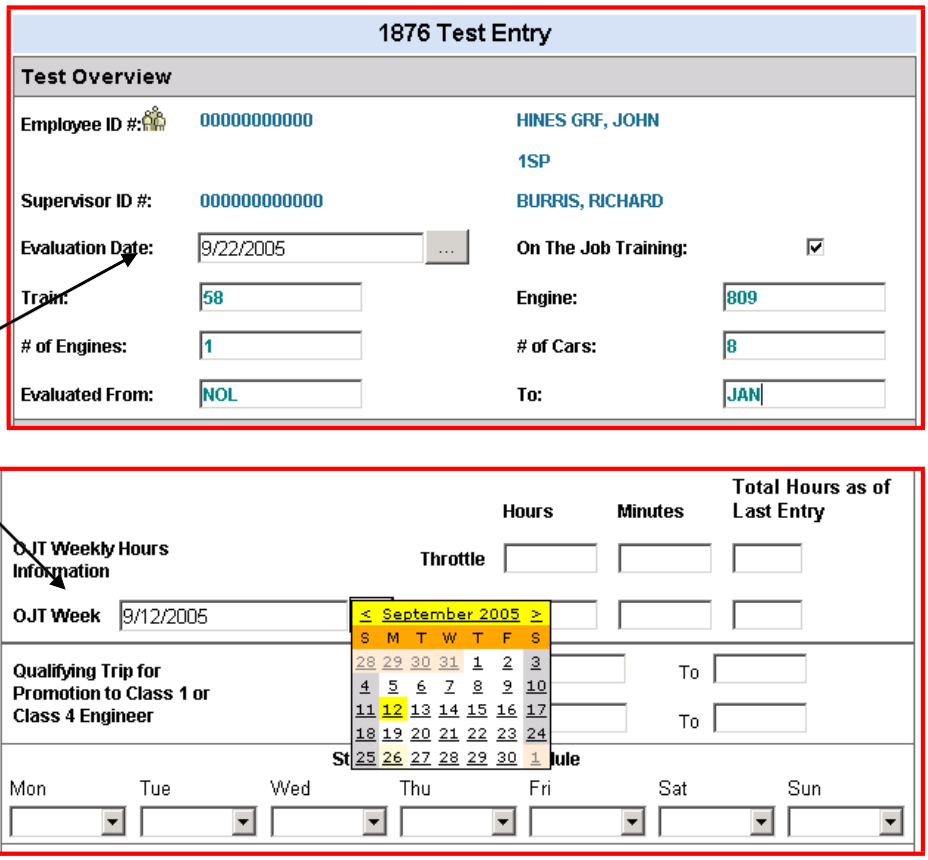


9. Items 15 thru 42 are given a rating from 0 to 5. These items will be low ratings in the beginning. As the student progresses these ratings will increase. When the student is ready for promotion, applicable items should be scored 4 or 5. Rating definitions are as follows:

Rating	Name	Description
0	Not Applicable	Subject, skill or task did not apply during this trip.
1	No Knowledge	No knowledge of subject, skill or task
2	Little Familiarity	Has little knowledge of subject, skill or task
3	General Familiarity	Is aware of general principles subject, skill or task and be able to efficiently locate pertinent details in source documents, rule books, and/or seek guidance from others
4	Working Knowledge	Able to apply general principles and specific details from memory of subject, skill or task in typically encountered occurrences, but can refer to documents, rule books, and/or seek guidance from others for applying specifics in unusual occurrences
5	Full Knowledge	Able to apply both general principles and specific details of subject, skill or task in a wide variety of occurrences from memory without referring to documents, rule books, and/or without seeking guidance from others

10. This date will always be the Monday of the **previous** week **(an OJT week always begins on Monday of the week before the evaluation date and ends on the following Sunday).**

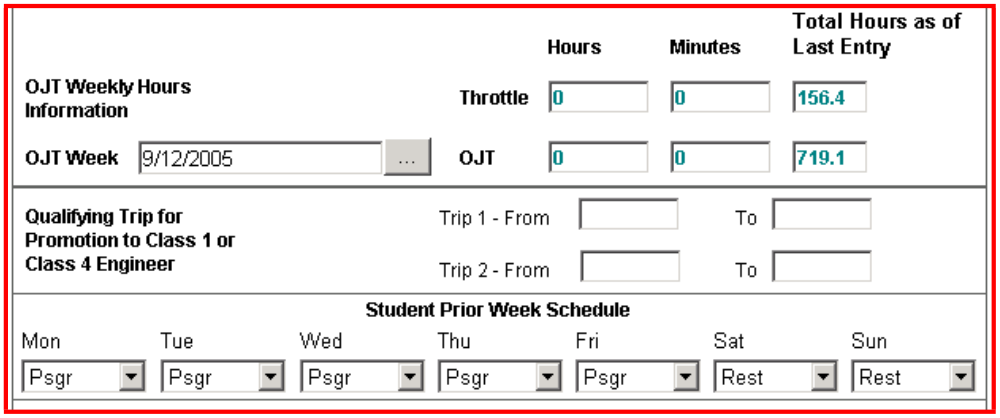
Always Monday of previous week.



11. The "Total Hours as of Last Entry" boxes display the total hours of throttle and OJT time for the selected student engineer. These boxes are calculated automatically based on previous entries in the "Hours" and "Minutes" boxes. The "Total Hours as of Last Entry" boxes are only updated **after the 1876 is saved**. In order to view the current total hours, you can open any saved 1876 for that employee.

Enter the weekly total throttle and OJT time for the selected OJT Week in the "Hours" and "Minutes" boxes (an OJT week always begins on Monday of the week before the evaluation date and ends on the following Sunday).

The weekly total throttle and OJT time are compiled from the Instructor Engineer evaluations (Form 2514). These forms are submitted to the DSLE daily or at the end of the trip.



12. These boxes are to remain blank until the student engineer makes the final qualifying trip on a particular route. In addition to completing these boxes on the 1876, an 1875 must also be completed on the same date, indicating that the student engineer is "Qualified as a Train Service Engineer between **XXX** and **YYY**".

13. Select the appropriate daily activity for the student engineer for each day.

Psgr – Use when student is working in passenger service.

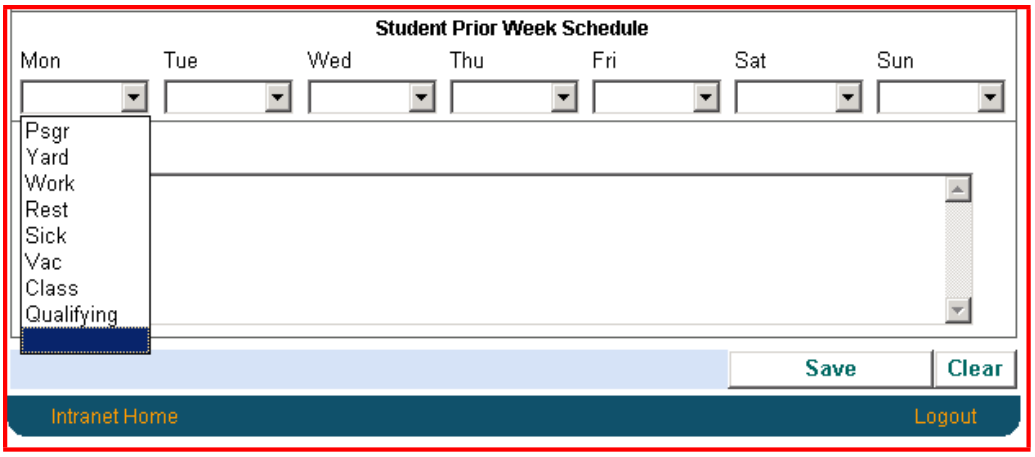
Yard – Use when student is working in yard service. Work – Use when student is working work train service. Rest – Use when student is taking a rest day.

Sick – Use when student is off sick.

Vac – Use when student is on vacation, bereavement or taking personal days. Class – Use when student is in a formal class (block training, rules, etc.)

Qualifying – Use when student is being administered one or more of the required written and/or oral physical characteristics exams.

NOTE: Always select the engine service type (Psgr, Yard, Work) when engine service is combined with Class or Qualifying in the same day.



14. Enter any comments in this section. Example: "Qualified Train Service Engineer XXX to YYY".

15. Make sure you press the "Save" button. If you close without saving, the 1876 is not saved.

11. CONDUCTOR EVALUATION / SAMPLE 1877 AND LINE-BY-LINE INSTRUCTIONS

Amtrak supervisors will be required to perform one annual evaluation ride with all employees working in the capacity of a passenger conductor or conductor. Employees that are found to be overdue for an annual evaluation ride need to be evaluated by the supervisor as soon as possible, and the ride documented by an 1877 entry.

The annual evaluation ride should be a sufficient distance or time to properly evaluate a conductor's ability to perform the services described in this instruction.

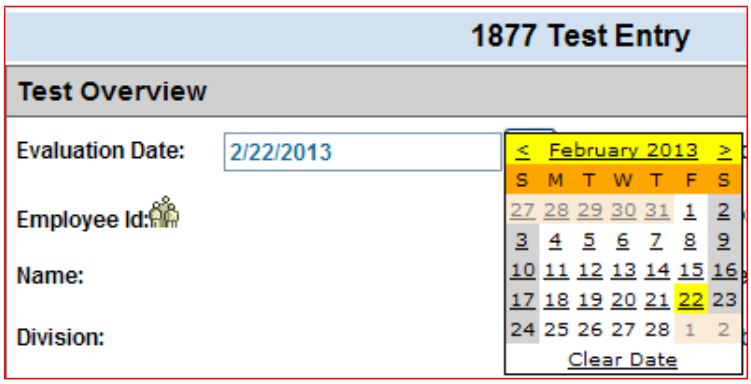
All observations must be discussed with the employee.

Non-Compliances can be handled through coaching, additional training or through Amtrak's discipline process as warranted.

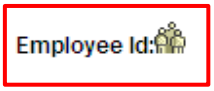
Refer to sample 1877 reference numbers at the end of this section.

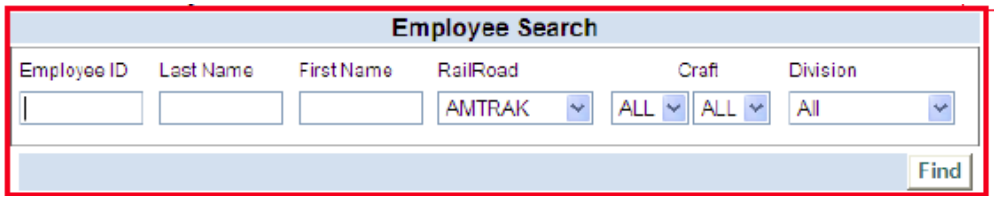
A. TEST OVERVIEW

1. Select the actual date of the evaluation using the month pop-up window. The system will default to the current date.

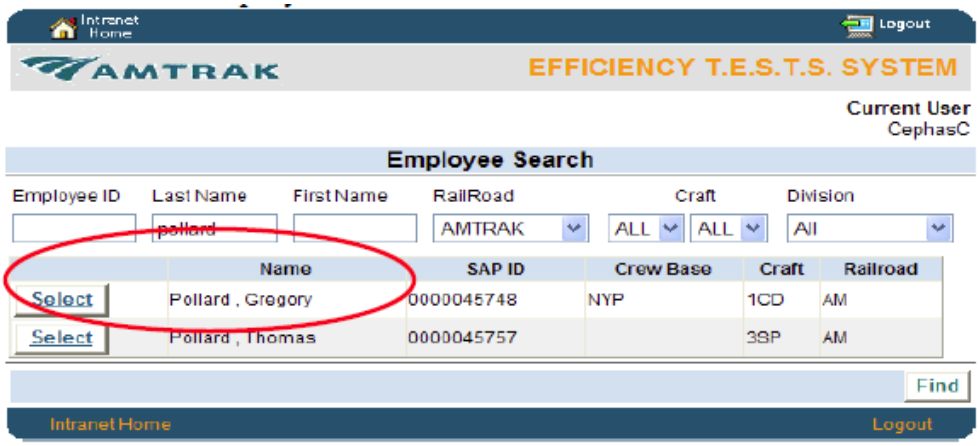


2. Clicking this icon allows you to pick the Conductor you wish to evaluate. You can search by SAP #, First or Last Name, RR, Craft and/or Subdivision.



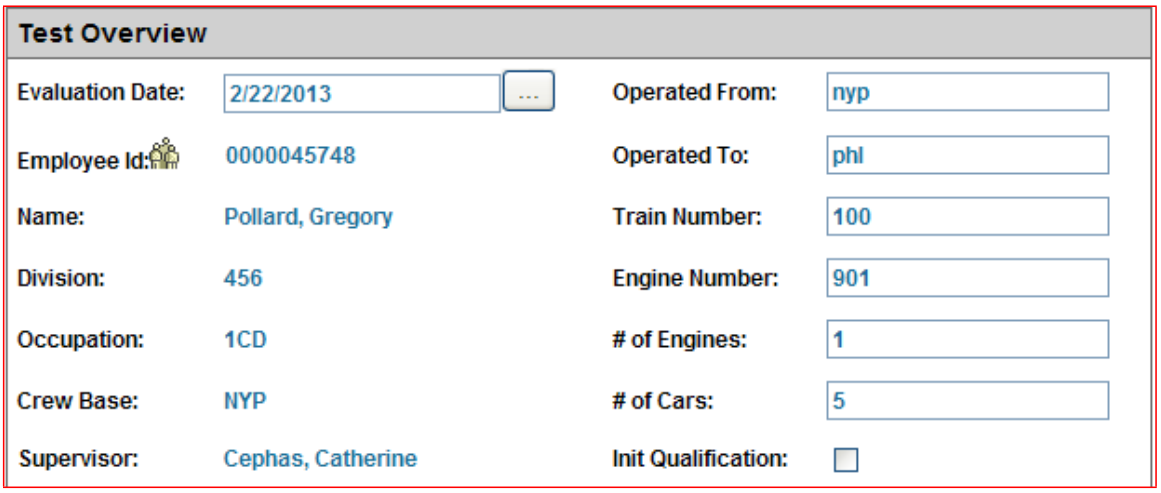


Select the employee.

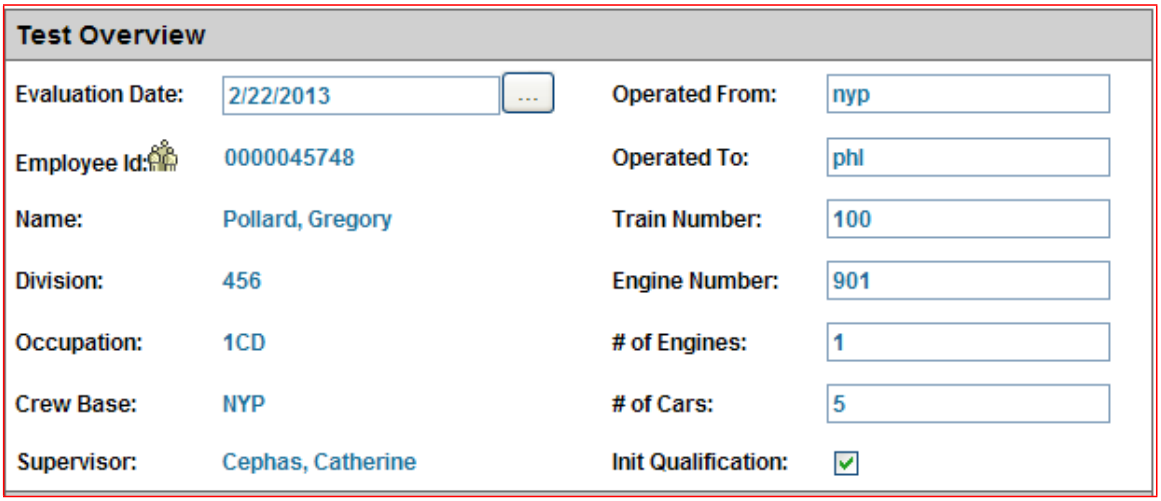


3. Enter the locations evaluated from and to.
4. Enter the train number.
5. Enter the engine number.
6. Enter the number of engines.
7. Enter the number of cars.
8. Check this box if this 1877 is an Initial Qualification evaluation.

Example of properly completed 1877 Test Overview Section for a NON qualification evaluation:



Example of properly completed 1877 Test Overview Section for an Initial qualification evaluation:

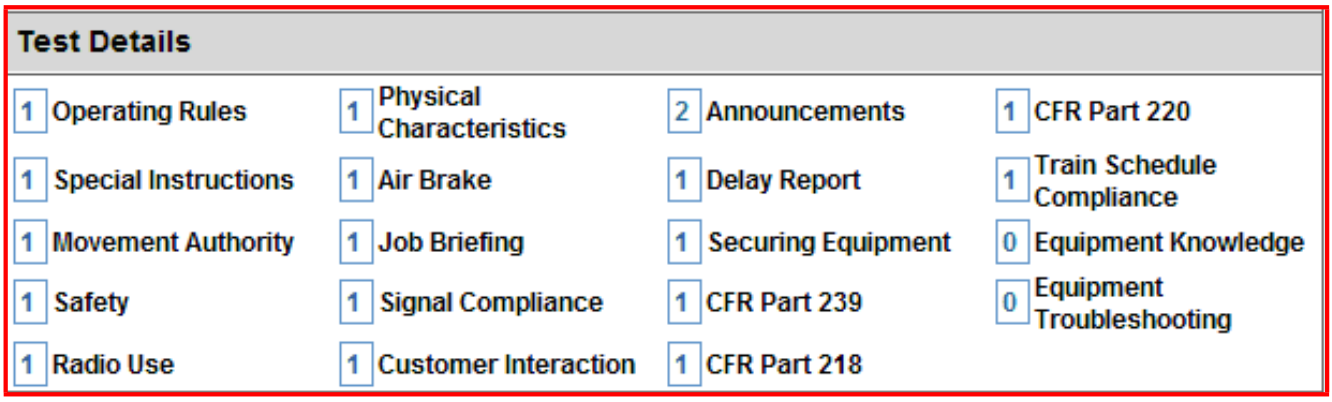


B. TEST DETAILS

1. The codes for evaluating employees in the "Test Details" section are: **Non-Applicable-0; Compliance-1; Non-Compliance-2**

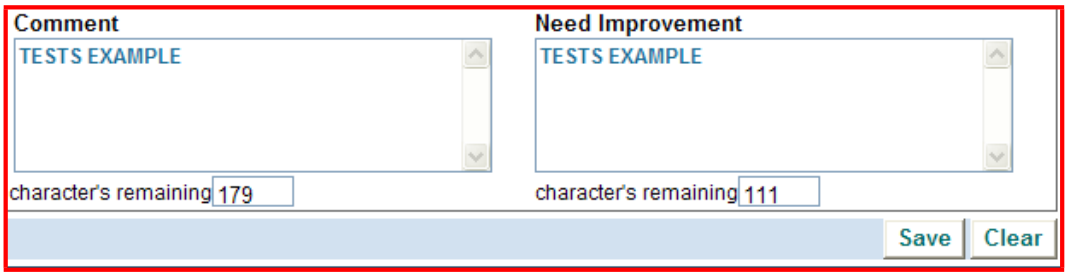
Test Details Checkboxes:

1. **Operating Rules**- Full compliance of Operating Rules while working as a Conductor.
2. **Special Instructions**- Complied with all Special Instructions during this evaluation.
3. **Movement Authority**- Complied with and had all required authorities to operate the train safely.
4. **Safety**-
   - Employee understands and abides by all safety instructions issued to them.
   - Employee understands where safety equipment is located and how to operate it.
   - Employee can make safety announcements and can articulate the instructions in the emergency card located in the seat back or signage.
   - Employee complies with all Personal Protective Equipment (PPE) required for the service he/she is engaged in.
5. **Radio Use**- Proper Radio Procedures such as using Amtrak to initiate all radio calls, repeating instructions, and using all key words during radio transmissions.
6. **Physical Characteristics**- Qualified on all physical characteristics of the territory that the employee is operating over.
7. **Air Brake**- Communicated with the Engineer, had knowledge of and performed all required Brake Tests.
8. **Job Briefing**- Used the correct Job Briefing Form properly and performed additional Job Briefings if conditions change.
9. **Signal Compliance**- Understands signal aspects and indications, and communicates signal information with the Engineer when required.
10. **Customer Interaction**- Employee is courteous, and promptly responds to passenger needs.
11. **Announcements**- Made clear and timely announcements when appropriate, this may include departure, station, delay, safety and security announcements.
12. **Delay Report**- Clear understanding of the recording and reporting procedures associated with the delay of the train.
13. **Securing Equipment**- Understands the proper procedures per AMT-3.
14. **CFR Part 239**- Employee has an understanding of the emergency egress procedures and is up to date with training requirements.
15. **CFR Part 218**- Employee has knowledge of the proper handling of equipment, switches and fixed derails.
16. **CFR Part 220**- Personal Electronic devices are turned off and properly stored, and company supplied devices are used in accordance with Federal and Company procedures.
17. **Train Schedule Compliance**- Employee observes all station departure times and reports any unscheduled delays.
18. **Equipment Knowledge**- Employee exhibited proficiency in all equipment operations. (Door operations, PA system, Baggage car operations, Special needs area, etc.).
19. **Equipment Troubleshooting**- Employee exhibited knowledge of trouble shooting procedures. (Resets, High-Low Bellows, Heating and Air Conditioning, Flat Spots, Hot Journals, etc.).

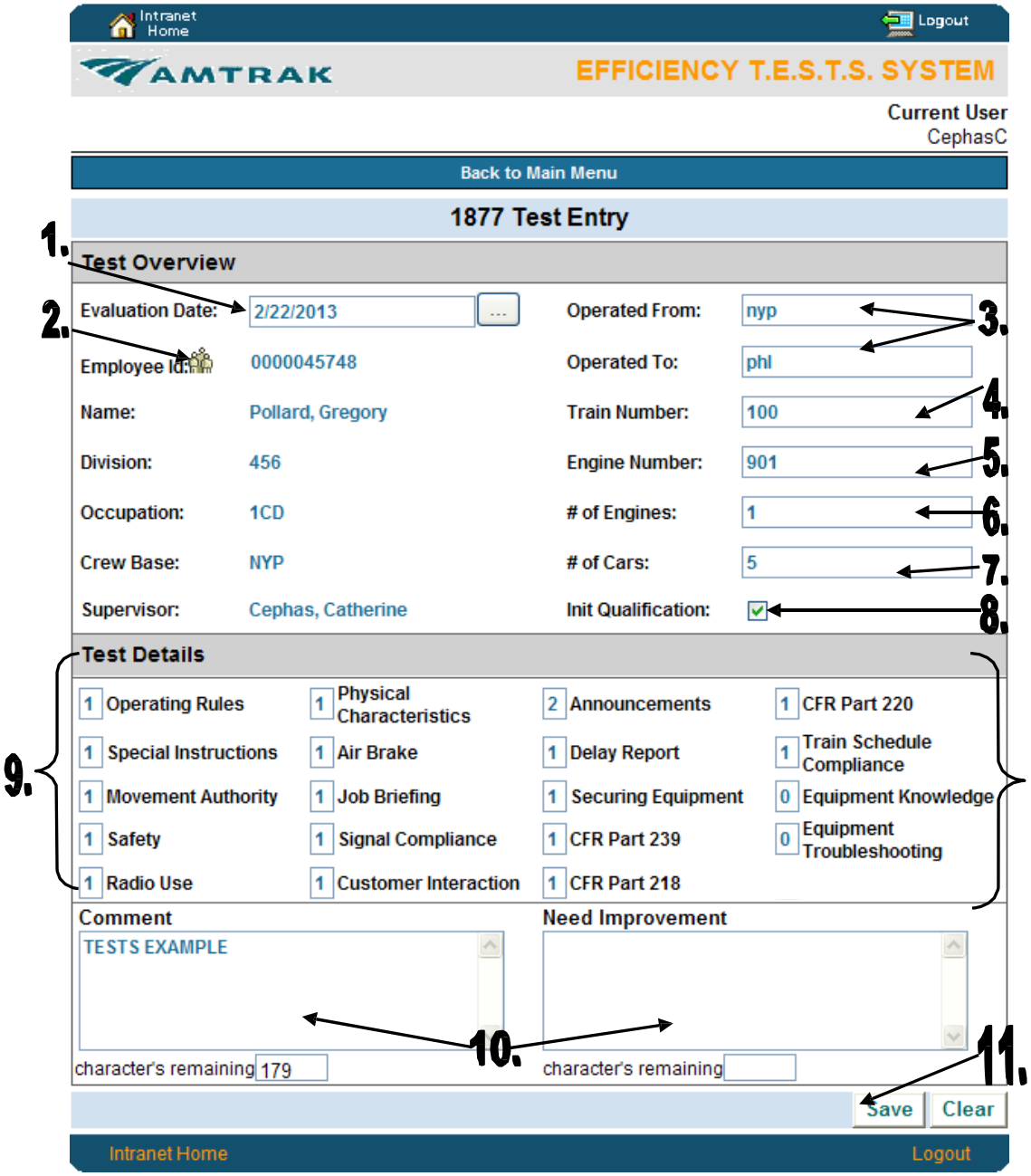


2. Enter any comments in the "Comment" Section and enter need improvement comments if applicable in the "Need Improvement" section.

Example:



3. Make sure you press the "Save" button. If you close without saving, the 1877 is not saved. A confirmation screen will appear when the record has been saved.



12. USING TESTS

Amtrak's TESTS System meets the requirements of Federal regulation 49 CFR 217.9 section (e) for **electronically recording** Efficiency Test observations. This outline deals with the record entry and retrieval processes, using Amtrak's Intranet based TESTS System.

1. TESTS users are initially assigned a unique User Name and Password that provides access to the TESTS system ***only,*** no other Amtrak system. Following your initial login to TESTS, the system will capture your "Network" ID and password. Thereafter, when you access TESTS, you'll be automatically logged in.

   IMPORTANT PRECAUTION: SHARING OR USING SOMEONE ELSE'S COMPUTER!!

   If you use another employee's computer, unless you log out of the computer owner's Windows account, and then log in to Windows using your own User Name and Password, your TESTS access will be deactivated, and/or the TESTS records you enter will not be credited to you.

   3 scenarios can occur with the TESTS automatic login function:

   (1) John Doe attempts to access TESTS from a machine that is logged in to another user's Windows/Amtrak account, Harry Smith. Harry has a valid TESTS account. When John opens TESTS and begins to enter records, they will be credited to Harry Smith, not John Doe.

   (2) John Doe attempts to access TESTS from a machine that is logged in to another user's Windows/Amtrak account, Harry Smith. Harry does not have a valid TESTS account. When John opens TESTS and attempts to begin entering records, he will be prompted to log in to TESTS. The following type message will appear on the login screen: *"If your network ID is Not AMTRAK\SmithH, please log off AMTRAK\SmithH from this computer and log on with your own Network ID before logging into Efficiency Tests."* If he does not log Harry off the computer, John's TESTS User Name will be overwritten by the system with information from the Windows/Amtrak account of Harry Smith. Subsequently, John will not be able to log in to TESTS as a result of this account change.

   (3) John Doe attempts to access TESTS from another user's machine. John gets permission from that user to log off of their account, and log into his own Windows/Amtrak user account. After logging into Windows using his personal Windows/Amtrak user account, when John opens TESTS, he will automatically be logged into TESTS with the correct User Name and Password, since the workstation is now logged into his personal Windows/Amtrak account. All TESTS records entered will be credited to him.

2. User Names and passwords in TESTS are not case sensitive.
3. Users will be assigned access only to those portions of the TESTS System applicable to their job functions.
4. **Login / Multiple Tests Issues:** Some TESTS users have had difficulty logging in or have been unable to use the multiple tests feature. If you experience either of these problems, please try the tip below:
   a. Click on the START button.
   b. Go to: Programs / Accessories / System Tools.
   c. In System Tools Copy and then Paste the "Internet Explorer No Add-ons" entry as a shortcut onto your desktop.
   d. Startup "Internet Explorer No Add-ons" by double clicking on its shortcut on your desktop.
   e. Startup the Efficiency Tests application and try using the function you were having the problem with.
   f. If this works for you, then going forward, perform steps "d" and "e" above whenever you begin to experience the issue.

5. **Bookmarking TESTS:** TESTS is located at: http://intrapp01p/TESTS/. You can add this address to your web browser's Favorites (bookmarks) list, and/or add it to your "iDesk" menu of Intranet applications. There's also a link to TESTS on the Operating Practices Library home page.
6. **Error Fields:** When entering TESTS, any field highlighted in pink after the "Save" button is clicked is an error field, meaning no entry was typed in a required field, or bad data was typed in. The error condition must be corrected before the record can be saved. The message "This record has been successfully added to the database" will appear once the record has been saved.

   EXAMPLE: Whenever you enter a test result code other than "C" (complied), you'll notice that you must click on the "Non-compliances: View" link to view any past TESTS non-compliances the employee may have, before you'll be able to save your test record.
7. **Test Number List:** The list of test numbers that appears in the 1872 screen's "Test Number" field is keyed to the craft of the selected employee. Therefore, when entering an 1872 TESTS observation, you must select the employee first. Once the desired employee has been selected, the 1872 form's "Test No." drop down list will contain all of the Efficiency Tests applicable to the selected employee's craft.
8. **Adding a new employee to TESTS:**
   a. Access the TESTS Employee Database via the "Employee Database" link on the TESTS home page, which is located under the "EMPLOYEE RECORDS" heading.
   b. Click on the "Insert a new Employee" link on the right side of the "Employee and User Maintenance" page.
   c. Carefully enter the Amtrak employee's SAP ID number. It's not necessary to enter any leading zeroes. Then select Amtrak from the Railroad dropdown menu. The name field will then be automatically populated for Amtrak employees.
      i. Social Security numbers are no longer used in TESTS, and must not be entered for any railroad employee being added to TESTS.
      ii. Employees of foreign railroads must be identified by their company's ID number.
   d. Fill in the other fields as appropriate.
   e. Medical Dates are to be entered only by an Amtrak Medical Administrator.
   f. If you're uncertain about which Department & Occupation codes to select, hover your mouse over the question marks to see explanations for each field.
   g. If the employee is currently working, be sure to check the "Active" box at the bottom of the page.
   h. If the employee is *not* currently working, leave the "Active" box unchecked, and provide a brief explanation of the employee's status in the "Inactive Status" box.
   i. When finished adding data, click the "Create" button to add the new employee.
9. **Employee is "Inactive" Due to Resignation, Medical Leave, Retired, Deceased, etc.:** Employees cannot be removed from the TESTS Employee Database. However, they must be promptly designated as "Inactive" whenever they're not on active duty due to resignation, medical leave, retirement, deceased, etc. This can be done by clearing the "Active" check box at the bottom left of the TESTS "Employee and User Maintenance" screen. Note that a dated explanation must be entered into the "Inactive Status" text box; otherwise the revised employee record cannot be saved. (Employees marked "Inactive" in the TESTS Employee Database are not subject to the TESTS targets.)
10. **Employee Returns to Active Duty:** When an employee returns to active duty, their TESTS Employee Database record must be promptly updated to indicate that they are "Active" by checking the "Active" box at the bottom left of the "Employee and User Maintenance" screen. Indicate the date and why they returned to duty by making a brief entry in the "Inactive Status" text box. Also, be sure to make any other necessary updates, such as change in Subdivision Code, Occupation Code, Crew Base, etc.

11. **Multiple Employee Selection, 1872 Screen:** If necessary (and valid) to enter the same TEST on more than one member of the same train crew, the "Multiple Employee Test?" checkbox can be selected from the 1872 screen after the initial crewmember test is entered. Once this checkbox is selected, saving the test on the initial crewmember will open a new browser window, from which additional crewmembers can be selected:

    a. Click the "People" icon

    b. Select the desired employee

    c. Click the "Select" button twice to add the employee to the shaded multiple employee list table.

    d. Repeat the above process for each desired train crew member.

    e. When all valid crewmembers have been chosen for the desired test, click the "Submit" button to record the same test for **all** selected employees (original employee, plus those added to the shaded multiple employee list).

12. Entering Multiple Tests, Same Employee: After you enter and save the first 1872 test on a selected employee, certain test information will remain on-screen to ease the entry of additional tests on that same employee: Date, Time, Employee, Train Number, Subdivision and State.

13. Changing or Deleting TEST Records: Newly entered TEST records are locked 8 hours after entry. Therefore, any desired changes to a recently entered record must be made within 8 hours of entry. Once a record is locked, it cannot be changed, except by a member of the System Operating Practices Department. In order to delete any saved TESTS record at any time after entry, a member of the System Operating Practices Department must be contacted.

    Exception: The 8 hour time limit for changes does not apply to the **"Discussed w/Employee?"** field. The box can be checked at any time after the original entry is made.

14. **Finding a Previously Entered TESTS Record to Edit It:** To find a previously entered record, you must use one of the "Find" selections on the right hand side of the Main Menu screen. In the top Test Date row, click the calendar buttons to select a date range, or just fill in the first field to create an open-ended date selection (from selected date forward). Use the bottom Test Date row to select a single date. Use the "People" icon to select a particular employee. The other fields are self-explanatory. Note that when using the "Find" function, only the first 100 records will appear on screen; therefore, "Find" cannot reliably be used as a reporting tool.

15. **Personally Observed?** – To the left of the "NonCompliance Rule Number" field is a field called *"Personally Observed?",* with checkboxes "Yes" and "No". Checking "Yes" certifies that you have personally observed the employee being tested. Whenever you are recording a test related to employee behavior that you didn't personally observe, you must check "No".

    When you record an event recorder / speed tape related test observation, the "No" check box is checked by default.

    NOTE: Failing to indicate that an observation was not personally observed by checking the "No" checkbox is considered by FRA to be a falsification of the test record – a finable violation of 49CFR217.9.

16. **Discussed w/Employee?** – Directly below the "Personally Observed" field is a field called *"Discussed w/Employee?"* with checkboxes "Yes" and "No". One of these checkboxes must be checked before the test record is saved. This checkbox can be changed at any time after the initial TESTS entry, as it may not be possible or convenient to speak to the employee at the time of the observation.

    NOTE: Indicating that an observation was discussed with the employee by checking the "Yes" **"Discussed w/Employee?"** checkbox without having the discussion is considered by FRA to be a falsification of the test record – a finable violation of 49CFR217.9.

17. **NonCompliance Rule Number** – To the right of the "Personally Observed?" field is a field called "NonCompliance Rule Number." A rule number must be entered in this field whenever the compliance result is other than "C".
18. **Rule Violation Follow Up** – Directly below the "NonCompliance Rule Number" field is a field called "Rule Violation Follow Up" with a checkbox that is to be checked whenever the test is for the purpose of following up on an employee who has had a major rule violation.
19. **TESTS Reports:** In order to check the status of a supervisor's or employee's TESTS records, the "Pre-Written" reports can be used. Menu "B" currently contains reports related to supervisor TESTS Quotas. The other Pre-Written report menus contain a variety of reports for both employees and supervisors. All of these reports can be printed, or saved in Excel format (recommended).

    Note: Running the "Pre-Written" reports requires that "Crystal SmartViewer ActiveX Control" software be installed. Otherwise, a small red "X" will appear in the upper left corner of the report screen. This software can be installed remotely by the Help Desk on computers that are LAN connected.

20. Ad Hoc Reports: Under the "AD HOC REPORTS" heading, you will see links to the various "Ad Hoc" reports. These reports can be saved in Excel format (recommended). When setting up any Ad Hoc report:
    a. **Field Selection** – The boxes on the left that are checked determine which database fields will appear in your report.
    b. **Record Selection** – The text boxes to the right into which you enter data (such as dates, employee numbers, etc.) serve as record selection criteria, and will limit the records that are retrieved to the parameters you enter. For example, entering an employee ID number ("EmpID") and a Subdivision Code (DivCode) of 400 will limit the records retrieved to Mid- Atlantic Subdivision tests on the selected employee.
    c. **Ad Hoc Reports Record Limit** – Note that the Ad Hoc reports are limited to 5,000 records per report. Therefore, if you need to use very broad record selection criteria, you may want to break your report into "chunks" so that you obtain all desired records. For example, instead of running a report to retrieve one year's worth of data, you might need to retrieve the first six month's data in one report, and the following six month's data in a second report. The separate reports can be easily joined using Excel.

13. MAINTAINING THE QUALITY OF OPERATIONAL TESTING

The following guidelines will help supervisors maintain the quality of Amtrak's testing program:

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 trains operating over the territory, including trains operated by foreign line crews operating over Amtrak property.
3. Unless a supervisor is assigned full time to a terminal, at least half of each supervisor's tests should be done away from their crew base or terminal.
4. Avoid a pattern of repeating a limited number of tests. Strive to test on a variety of safety critical rules.
5. Discuss the results of your TESTS observations with your employees, both compliances and non-compliances. Giving employees meaningful feedback on their performance is the primary purpose of TESTS.

14. 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 not equipped 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 in the block where the test will take place.
3. Verify that the signal governing the entrance to the block is displaying Stop Signal, Stop and Proceed, Restricting, or Restricted Proceed by observing the signal aspect or asking the Dispatcher or Operator if there is a track occupancy light (TOL) on the model board in the appropriate location.

Supervisors must take the following actions when placing a shunting track barricade in signaled territory **equipped with cab signals** (NEC):

1. Contact the Dispatcher to advise him of the nature of the test, and to ensure that no trains will approach the test site until the track circuit has been de-energized.
2. Have a C&S representative de-energize the appropriate track circuit.
3. Verify that the signal governing the entrance to the block is displaying Stop Signal, Stop and Proceed, Restricting, or Restricted Proceed by observing the signal aspect or asking the Dispatcher or Operator if there is a track occupancy light (TOL) on the model board in the appropriate location.
4. Place a standard track barricade in the block that has been de-energized.

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

15. RETENTION OF RECORDS

Records entered directly into TESTS via the Amtrak Intranet are immediately available for review using the TESTS Pre-Written or Ad Hoc reporting tools. At least 3 years of records are kept in this system. See Section 23 of this manual for instructions on running pre-written and ad hoc reports.

16. REPORTS AND OVERSIGHT

In accordance with 49 CFR 217.9(c)(6), Amtrak must identify the officers by name, job title, and system or subdivision, who shall be responsible for ensuring that the program of operational tests and inspections is properly implemented. The responsibilities of such officers shall include, but not be limited to, ensuring that the railroad's testing officers are directing their efforts in an appropriate manner to reduce accidents/incidents and that all required reviews and summaries are completed. There shall be at least one officer at the system headquarters who is responsible for overseeing the entire program and the implementation by each subdivision. See Appendix B for list of Responsible Officers.

In accordance with 49 CFR 217.9(e)(2), within thirty days of the close of each calendar half-year, the designated subdivision officers shall conduct a written review of the operational testing and inspection data for each subdivision to determine compliance by Amtrak's testing officers with its program of operational tests and inspections. At a minimum, this review shall include the name of each testing officer, the number of tests and inspections conducted by each officer, and whether the officer conducted the minimum number of each type of test or inspection required by Amtrak's program. This report will also review accident/incident data, the results of prior operational test and inspections and other pertinent safety data for each subdivision to identify the operating rules relevant to these accident/incidents. Based upon the results of the review, the designated subdivision officers shall make any necessary adjustments to the tests and inspections required of testing officers for the future.

Within thirty days of the close of each calendar half year, the designated system officers will conduct a written review of the implementation of the program of operational testing and inspections from the system perspective in order to ensure that the program is being used as intended, that the other reviews have been properly completed,

that appropriate adjustments have been made to the distribution of tests and inspections and that the testing officers are directing their efforts appropriately.

In addition, weekly, a summary of major operating rule violations and incidents and a status report will be issued by System Operating Practices in order to inform all testing officers of recent occurrences.

The records of the these reviews shall be retained for a period of one year after the end of the calendar year to which they relate and shall be made available to representatives of Federal Railroad Administration for inspection and copying during normal business hours.

In accordance with 49 CFR 217.9(f), Amtrak must run a report at the end of each year, which shows the number, type and result of each test conducted on Amtrak during the year. This report is available on Pre- Written Report Menu C, as Report # 7, and must be run on or before March 1.

A copy of each annual report must be retained at Amtrak System Operating Practices Department headquarters and on each subdivision, for 3 years following the end of the year in which the tests were conducted. The reports must be made available to representatives of the Federal Railroad Administration for inspection and copying during regular business hours.

17. ADDING / UPDATING EMPLOYEE & SUPERVISOR RECORDS IN TESTS

To ensure that Amtrak remains in compliance with the Efficiency Test Program we've filed with FRA, the employee and supervisor status information listed below must be shown correctly in the TESTS Employee Database. Any changes to this information must be promptly entered into TESTS. Managers are responsible for promptly entering any changes in the status of any employee or supervisor in their jurisdiction. Changes that must be entered promptly include:

1. **Inactive Status / Comments** – Uncheck the "Active Employee" status box and enter in the comment box below it the date and reason an employee or manager becomes "inactive". Include expected length of time in that status - if unknown, so state. Generally, do not change to "inactive" status unless it is expected that the duration of such status will exceed 30 days.
2. **Active Employee** – Check the "Active" status box and enter the date that an employee or manager returns to "active" status as soon as possible upon the employee's return.
3. **Permanently Inactive** – Check this box if an employee no longer works for Amtrak due to retirement, termination, etc. and add a dated explanation to the Inactive Status Comment box.
4. **Subdivision Change** – When an employee or manager changes subdivisions, change the subdivision by selecting it from the drop-down menu for "Region". **The "Receiving" subdivision is responsible for ensuring that employees transferring from another subdivision are updated in the database.**
5. **Manager Status** – When a manager returns to the craft (or vice versa) make the appropriate change by selecting it from the drop-down menu for "Craft or Occupation". Check the "Supervisor" checkbox located above the "Region" menu for new manager; Uncheck the box if the manager has returned to the craft.
6. **Department/Craft Change/Yard Service** – When an employee changes departments or crafts (e.g., promotion from A/C to CD) change the department or craft using the appropriate drop-down menu. When Transportation employees change between Yard assignments and Road assignments the "Yard Service" check box should be appropriately checked or unchecked.
7. **Certified Engineer** – Check this box to indicate that an employee is currently a certified engineer.
8. **Certified Conductor** – Check this box to indicate that an employee is currently a certified conductor.

18. TEST TARGETS

Test targets are an Amtrak objective implemented to ensure an appropriate level of testing is conducted on each affected employee and that each testing officer's activities are focused on safety and operationally critical events. The targets specified below provide general guidelines, with location management having the authority to adjust actual targets if needed to address local issues, such as operational trends, accident / incidents, testing officer availability, etc. Targets that are adjusted by location management during any individual reporting period must be noted in the location's six-month review.

Testing officers subject to test targets must report their progress toward meeting the applicable targets monthly to their designated supervisor, using the designated target tracking tool. Any test target that is not met during a reporting period must be documented in the Region/Subdivision's six-month review with an explanation as to the reason.

It is important to note that Test 198 – Employee Instructions, does not count toward any test target unless it includes "TEST 117/118" or "TEST 139" in the Comment field. Test 198 covering 117, 118 or 139 is an exception only because Federal regulations provide for instruction on Part 218 requirements when direct observation is not practical. Test 198 is a generic test intended to serve as a placeholder for records of conversations, discussions, briefings or instructional sessions of various subjects with employees. It is not a "catch all" test to be used to satisfy target requirements for a somewhat related operational issue.

A. TRANSPORTATION DEPARTMENT TEST TARGETS

1. WEEKLY

a) <u>Train Movement Office Supervisor Requirement</u>

Each Train Movement Office supervisor must perform a minimum of one observation of a Train Dispatcher each week for the duration of at least one hour. The observation must be direct, not conducted using audio and electronic/written records. During the evaluations, pay particular attention to the Train Dispatcher and receiving employee's communication skills during the issuance/repeat of mandatory directives, professionalism and safe work habits. At least one of the Tests entered for the observation must include "1Hr. Observation" from the supervisor drop-down comments.

2. MONTHLY

a) <u>Train Movement Office Supervisor Requirement</u>

Each month, each Train Movement Supervisor must:

- Perform a minimum of two (2) observations of Train Dispatcher voice tapes using Test 120, Radio Procedures. Each of these observations should involve a review of 30 minutes of transmissions and receptions. During these evaluations, attention must be paid to the Train Dispatcher and receiving employee's communication skills during the issuance/repeat of mandatory directives, professionalism and safe work habits. Select "Voice Tape Review" from the supervisor's drop-down comments.
- Review a minimum of two (2) playbacks of the computer dispatching system, focusing on proper blocking and correct/efficient train movement decisions. Observations for this target may be entered using any 200 series Core Test that requires the use of blocking devices.

b) <u>Major Operating Rule Violation Follow-Up</u>

1. Each **Engineer, Conductor, Assistant Conductor, Dispatcher** or **Block Operator** must:

If involved in a **Major Operating Rule Violation**, be tested in each of the 12 subsequent months following return to duty on a rule relevant to the violation ("Rule Violation Follow-up" checkbox must be checked).

NOTE: The following TESTS are **<u>not</u>** counted toward the targets above:

- Test FRA 123 - Engineer Certification

- Test FRA 138 - Conductor Certification
- Test 125 and FRA125 - Required Tests
- Test 128 - Drug & Alcohol
- Test 198 - Employee Instruction (unless "TEST 117/118" or "TEST 139" is specified in the Comments section).

2. For **Engineers**, follow-up testing must include at least 2 TESTS using event recorder downloads or radar ***in addition*** to the (4 annual) required quarterly event recorder/radar TESTS, for a total of 6 event recorder/radar TESTS for the year.

3. **Engineers** who have had their **certification revoked** must be evaluated in each of the 12 subsequent months following the revocation period.

c) Newly Promoted and Re-entry Engineers

Newly promoted Engineers, and Engineers who have completed re-entry to service training must be evaluated each month for their first 12 months of service.

3. EACH QUARTER

a) Main Track Barricade Test

Each quarter, each Transportation reporting Region or Subdivision must conduct at least one Test 101 – Stopping within one half the range of vision, using check method B, on each Amtrak "Line" within the boundaries of the reporting Region or Subdivision.

b) Supervisor Targets

Each Testing Officer (testing supervisor assigned to meet test targets) must conduct a minimum of 100 tests, which includes a minimum of 75 tests from the list of Core Tests identified in Appendix C.

Subdivision or system rules managers may prescribe additional test targets in areas that are indicated by rule violation or accident / incident experience.

c) Employee Targets

1. Each ***Engineer, Conductor or Assistant Conductor*** must receive at least one test on any Core Test for their craft, as identified in Appendix C.

2. **Each Engineer** must receive a minimum of one event recorder test (method "T"), as prescribed in "Event Recorder Tests" in the Supervisor's Guide. Engineers on yard engines that are not equipped with event recorders may be tested instead by radar (Method "R").

3. Each ***Dispatcher or Block Operator*** must receive at least one Test on Radio Procedures (Test 120) and one Test on Blocking Devices. The Test on blocking devices may be entered using any 200 series Core Test that requires the use of blocking devices.

d) Foreign railroad employees

Foreign railroad employees who operate over Amtrak controlled territory on the Chicago / Michigan Line, Mid-Atlantic, Hudson and Northeast Subdivisions must be regularly tested. The minimum quarterly test targets are listed in the table below:

Chicago / Michigan Line	100	Northeast (New York)	200
Hudson	40	Northeast (Boston)	200
Mid-Atlantic	200		

4. EACH HALF-YEAR

a) Hours of Service Governed Employees

Each Engineer, Conductor, Assistant Conductor, Dispatcher and Operator must have a minimum of one TEST 128 - Drugs and Alcohol observation each calendar half-year.

b) Engineers

1. Each Engineer must receive:

- Minimum of one Engineer Evaluation by a DSLE.
- One **TEST 134** – Train Handling/Fuel & Energy Conservation during their bi-annual 1875 evaluation ride.

2. Engineers in push-pull service (in signaled territory without cab signals), must receive a minimum of:

- One **TEST 119** - Calling Signals/Restrictions, and
- One **TEST 107** - Delayed in Block

*NOTE: "Push-pull" service means that a cab car is at one end of the train, or the train consists of multiple units of self-propelled cars. The FRA has indicated that an engine at each end of a consist, or a NPCU is **not** defined as push-pull service.*

c) Student Engineers

Each **Student Engineer** must receive one **Test 134 –** Train Handling/Fuel & Energy Conservation during an 1876 evaluation ride.

5. EACH CALENDAR YEAR:

a. Each **Engineer, Conductor** (49 CFR Part 242.123) and **Assistant Conductor** must receive a minimum of one of the following:

- **TEST 117 -** Switches & Switching, or
- **TEST 118 -** Shoving & Back-Up, or
- **TEST 139** - Positioning & Securing Unattended Equipment, or
- **TEST 198** - Employee Instruction with "Test 117/118/139" in the "Comment" field.

NOTE: TEST 198 should only be used when an employee cannot practically be personally observed performing an activity that would fall under either TEST 117, 118 or 139 due to the nature of their job assignment. Test 198 may not be used to satisfy this target for Conductors or ACs in Yard or Work Train Service: if necessary this target may be met by hands-on training and entered using TEST 117, 118, or 139.

b. Each **Engineer, Conductor, Assistant Conductor, Dispatcher and Operator** must receive a minimum of:

- One **TEST 135 -** Use of Electronic Devices

c. Each **Engineer** and **Supervisor** who has a Locomotive Engineer's Certificate must receive a minimum of one test that is entered under any of the following TESTS: 101 through 108 (101, 102, 103, 104, 105, 106, 107 or 108).

d. Each **Engineer** (all classes), **Conductor, Assistant Conductor**, and **Supervisors** (QP's) must receive at least one **Test 133** – FRA 232 & 238 Hands-On Brake Test/Inspection observation per calendar year while performing a Passenger Class I-A, Class II, or Non-Passenger Class I, Class II, Class III, and Transfer train brake test when required.

e. Each **Engineer, Conductor, Assistant Conductor** and **Dispatcher** who is involved with the movement of passenger trains must receive at least one **Test 699** observation (Emergency Preparedness.)

B. MECHANICAL DEPARTMENT TEST TARGETS

1. MONTHLY

a) Major Operating Rule Violation Follow-Up

Each **Mechanical Department Employee governed by the Operating Rules** must:

If involved in a **Major Operating Rule Violation**, be tested in each of the 12 subsequent months following return to duty on a rule relevant to the violation ("Rule Violation Follow-up" checkbox must be checked).

NOTE: The following TESTS are **not** counted toward the targets above:

- Test FRA 123 - Engineer Certification
- Test 125 and FRA125 - Required Tests
- Test 128 - Drug & Alcohol
- Test 198 - Employee Instruction (unless "TEST 117/118" or "TEST 139" is specified in the Comments section)

b) Class 4 Engineers

For Class 4 Engineers, follow-up testing must include at least 2 TESTS using event recorder downloads or radar**.**

2. EACH QUARTER

a) Supervisor Target

Each Mechanical Department Testing Officer (testing supervisor assigned to meet test targets) must conduct a minimum of 50 tests, which includes a minimum of 40 tests from the list of Core Tests identified in Appendix C. Included among the 40 Core Tests, each Testing Officer perform at least one test on the proper securement of equipment using TEST 139.

NOTE: Subdivision or system rules managers may prescribe additional test targets in areas that are indicated by rule violation experience.

b) Employee Targets

Each Mechanical Department Employee governed by the Operating Rules must receive at least one test on any Core Test for their craft, as identified in Appendix C.

3. EACH HALF-YEAR

a) Blue Signal Target

1. Each Mechanical Department Employee who performs work governed by Blue Signal Protection must receive at least one test on Blue Signal Protection each half-year. TEST 401 should be used for employees who establish Blue Signal Protection. TEST 109 should be used for employees who work under blue signal protection but who do not establish blue signal protection.
2. Each Mechanical Department Employee subject to the Hours of Service Laws must receive a minimum of one TEST 128 - Drugs and Alcohol each calendar half-year.

4. EACH CALENDAR YEAR:

a. Each Mechanical Department Employee who operates hand operated switches or derails, or is involved in switching or shoving movements, or the securing of unattended equipment must receive a minimum of one of the following each calendar year:

- TEST 117 - Switches & Switching, or
- TEST 118 - Shoving & Back-Up, or
- TEST 139 - Positioning & Securing Unattended Equipment, or
- TEST 198 - Employee Instruction with "Test 117/118/139" in the "Comment" field.

NOTE: TEST 198 should only be used when an employee cannot practically be personally observed performing an activity that would fall under either TEST 117, 118 or 139 due to the nature of their job assignment.

b. Each Mechanical Department Employee governed by the Operating Rules must receive a minimum of **One TEST 135** - Use of Electronic Devices

c. Each **Engineer** and **Supervisor** who has a Locomotive Engineer's Certificate (e.g. Class 4 Certificate) must receive a minimum of:

1. One test that is recorded under TEST numbers 101, 102, 103, 104, 105 or 108.
2. One Engineer Evaluation by a DSLE.
3. One Test 133 – FRA 232 & 238 Hands-On Brake Test/Inspection observation while performing a Passenger Class I-A, Class II, or Non-Passenger Class I, Class II, Class III, and Transfer train brake test when required.

C. ENGINERING DEPARTMENT TEST TARGETS

1. MONTHLY

a) Major Operating Rule Violation Follow-Up

Each **Engineering Department Employee** governed by the Operating Rules must:

If involved in a **Major Operating Rule Violation**, be tested in each of the 12 subsequent months following return to duty on a rule relevant to the violation ("Rule Violation Follow-up" checkbox must be checked).

2. EACH QUARTER:

a) Supervisor Targets

1. Each Engineering Department Testing Officer (testing supervisor assigned to meet test targets) must conduct a minimum of 50 tests, which includes a minimum of 40 tests from the list of Core Tests identified in Appendix C.

2. Each non-agreement Testing Officer responsible for on-track equipment operations must perform at least three tests each quarter on equipment operators' ability to stop within ½ the range of vision (TEST 101).

- The test should focus on proper spacing between machinery and radio communication.
- Includes hi-rail vehicles and roadway maintenance machinery.
- Applies to all groups that operate on-track equipment (Track, ET, etc.).

Subdivision or system rules managers may prescribe additional test targets in areas that are indicated by rule violation or accident / incident experience.

b) Employee Targets

1. Each Engineering Department Employee governed by the Operating Rules must receive at least one test on any Core Test for their craft, as identified in Appendix C.

2. Each Foreman and Lone Worker must receive at least one of the following Core tests directly related to Roadway Worker Protection:

- 313 - Individual Responsibility
- 316 - Job Briefings
- 321 - Exclusive Track Occupancy
- 323 - Foul Time
- 327 - Inaccessible Track

3. 180 DAY TARGETS

a) Engineering Department Gang Test

Each Engineering Department Gang consisting of eight or more members will be tested by a non-agreement Testing Officer at least once every 180 days on Roadway Worker Protection. This test must:

- Confirm with RWIC that proper protection is in place, including shunts and/or barricades where applicable. (Enter the applicable Test based on the means of protection being provided: TEST 321 – Exclusive Track Occupancy, TEST 323 – Foul Time, or TEST 327 – Inaccessible Track.)
- Must engage at least 3 members of the gang to evaluate their understanding of how on-track protection is being provided, the working limits, and any restrictions. (Enter TEST 313 – Individual Responsibility on at least three members of the gang.

NOTE: Select "Gang Test" from the Supervisor's drop down comments.

b) Territory Test

Each non-agreement Testing Officer responsible for work that requires Exclusive Track Occupancy or Foul Time Protection must perform at least one Test 321 - Exclusive Track Occupancy or 323 - Foul Time on each Amtrak "Line" within the boundaries of the reporting Region or Subdivision every 180 days. These observations must:

- Be a direct, real-time observation; no audio tapes or completed/fulfilled mandatory directives. Enter the applicable Test based on the means of protection being provided: TEST 321 – Exclusive Track Occupancy or TEST 323 – Foul Time.
- Confirm proper issuance and repeat procedures of mandatory directives, and include a review of forms (Form D, Track and Time, Foul Time authority, etc.) to ensure the forms are properly filled out and "not" filled out in advance. Enter TEST 112 – Written Directives, which includes review of radio procedures and written authority.
- Include engagement of gang members of the work group to determine their understanding how protection is being provided. Enter TEST 313 – Individual Responsibility entered on at least three members of the gang.
- Where applicable, Testing Officer must observe proper procedures when transferring authorities between RWIC's, including Transfer of Authority form.

NOTE: Select "Territory Test" from the Supervisor's drop down comments.

4. EACH CALENDAR HALF-YEAR:

Each Engineering Department employee subject to the Hours of Service Laws and those who meet the definition of Roadway Workers must receive a minimum of one TEST 128 - Drugs and Alcohol each calendar half-year.

5. EACH CALENDAR YEAR:

a. Each **Engineering Department employee who performs switching or shoving movements and/or handles hand operated switches or derails** must receive a minimum of one of the following:

- **TEST 117** - Switches & Switching, or
- **TEST 118** - Shoving & Back-Up, or
- **TEST 139** - Positioning & Securing Unattended Equipment, or
- **TEST 198** - Employee Instruction with "Test 117/118/139" in the "Comment" field.

NOTE: TEST 198 should only be used when an employee cannot practically be personally observed performing an activity that would fall under either TEST 117, 118 or 139 due to the nature of their job assignment.

b. Each **Engineering Department Employee governed by the Operating Rules** must receive a minimum of One **TEST 135** - Use of Electronic Devices

19. TESTS ON TRAIN AND ENGINE SERVICE EMPLOYEES and OTHER EMPLOYEES AS INDICATED

The TESTS in the following section apply primarily to Transportation Department employees. Where the TEST also applies to employees working in other crafts it is indicated in the heading of each TEST.

Only those TESTS so identified may be used for employees from the specified department.

Abbreviations

TD – Train Dispatchers, Train Directors, Block Operators

MW – Engineering Department (Maintenance of Way)

ME – Mechanical Department (Maintenance of Equipment)

Similarly, the following MW TESTS may also be used on T&E employees who are working as conductor flagmen protecting contractors:

- 321 Exclusive Track Occupancy
- 323 Foul Time

The following test is to be used to record Emergency Preparedness observations on T&E and Train Movement employees:

- 699 Emergency Preparedness

TEST 101 - STOPPING WITHIN ONE-HALF THE RANGE OF VISION

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

A. Description of Test

This test checks compliance with the conditional clause of Restricted Speed that requires stopping within one-half the range of vision, or the operational equivalent that requires stopping within one-half the range of vision 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.

Check Method "B" may also be used in the following TESTS, instead of TEST 101.

- TEST 116, if using track flags that normally protect track workers.
- TEST 117, if using foam derail.

*(This test is **not** to be used for the requirements of TEST 321- Exclusive Track Occupancy.)*

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 *(Section 14),* 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 with attention to 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 must 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, unobstructed and distinguishable, and remain in position, prior to the arrival of the train at a point where the signal would normally become visible to that train. The signal or deliberately placed object must be in place sufficiently in advance of the arrival of the train or equipment to ensure the crew has the ability to comply, clearly visible and capable of being illuminated by a headlight.
3. If using an unattended fusee, verify that the railroad's operating rules require that a train stop for the fusee (the operating rules on some properties may not require a stop – however, a fusee could be used to set up the requirement to be prepared to stop at another location). Also 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 in TESTS 102 or 104.
5. Red flags should be used to replicate a signal requiring stop only where the operating rules designate a red flag represents a Stop Signal.
6. For Engineering Department Testing: PC qualifications are required when placing barricades on main tracks outside working limits. PC qualification is not required when performing the test within working

limits or within the confines of a yard where Restricted Speed or the operational equivalent of stopping within ½ the range of vision is already in effect. Note: Field training and Test 137 are required for the use of barricades on main tracks outside working limits.

D. Additional Rules To Be Tested

Compliance with the following additional rules (if applicable) must 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 or required 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/conductor certificate and other required documents, including locomotive inspection cards, etc. Document as a separate TEST 121.
6. Document any Rule "G" observations as a separate TEST 128.

E. Non-Compliance Defined

The test is a non-compliance if:

1. Train, engine, or On-track Equipment fails to stop short of a stop banner or signal to stop.

   Non-compliance requires suspension of locomotive engineer certificate using NRPC Form 2943. Check box "Operating a locomotive or train past a signal indication that requires a complete stop before passing it."

   If the conductor/passenger conductor is on the leading end of the movement:

   Non-compliance requires suspension of conductor/passenger conductor certificate using NRPC Form 3374. Check box "Signal requiring a complete stop before passing."

   EXCEPTION – Failure to stop at a hand signal, radio signal indication or improperly lined switch does NOT require certificate suspension.

2. Train, engine, or On-track Equipment fails to stop short of deliberately placed obstruction such as a track barricade or fake derail. Such non-compliance would not result in suspension of certificate (Part 240 or Part 242) unless the event resulted in an FRA reportable accident.

   Placing the train in emergency to stop short of the banner or stop signal will not be considered a non-compliance for this test, but would be considered as failing to comply with train handling rules.

   Non-compliance in any other rules, or of the additional rules listed in section D, above, must be entered as non-compliances separately under the appropriate TEST number.

   In order to consider suspension and / or revocation, the signal or deliberately placed object must be in place sufficiently in advance of the arrival of the train or equipment to ensure the crew has the ability to comply, clearly visible, reflectorized, and capable of being illuminated by a headlight.

TEST 102 - STOP SIGNAL

CHECK METHOD: C (only if "set-up" 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 credited as a "set- up" 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 "set-up" test is that the employees are unaware that they are being observed – the signal could be displaying Stop for any reason. 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" *(Section 14)* any time a shunt is used.

This test must include the following, when applicable:

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. Prompt attempt to contact the train dispatcher/control operator 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 TEST 101 STOPPING WITHIN ONE-HALF THE RANGE OF VISION).
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. Additional Rules To Be Tested

Compliance with the following additional rules (if applicable) must 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 Amtrak 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 TEST 121 REQUIRED DOCUMENTS. Document any Rule "G" observations as a separate TEST 128 DRUG & ALCOHOL.

E. Non-Compliance Defined

The test is a non-compliance if:

1. Train or engine fails to stop short of Stop signal.

Non-compliance requires suspension of locomotive engineer certificate using NRPC Form 2943. Check box "Operating a locomotive or train past a signal indication that requires a complete stop before passing it."

If the conductor/passenger conductor is on the leading end of the movement:

Non-compliance requires suspension of conductor/passenger conductor certificate using NRPC Form 3374. Check box "Signal requiring a complete stop before passing."

2. Train passes Stop signal, after stopping, but without proper authority.

Non-compliance requires suspension of locomotive engineer certificate using NRPC Form 2943. Check box "Occupying main track or a segment of main track without proper authority or permission."

If the conductor/passenger conductor is on the leading end of the movement:

Non-compliance requires suspension of conductor/passenger conductor certificate using NRPC Form 3374. Check box "Occupying Main Track without Authority."

Non-compliance in any other rules, or of the additional rules listed in section D, above, must be entered as non-compliances separately under the appropriate TEST number.

TEST 103 - DARK SIGNAL

CHECK METHOD: C (only if "set-up" test)

A. Description of Test

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

B. Conditions for Test

This test requires that a block or interlocking signal is imperfectly 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 operating rules. Alternatively, a combination of lights can be displayed that are also not shown as an acceptable aspect.

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 "set- up" 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 an imperfectly displayed signal.

Coordination with the dispatcher is almost always required for a "set-up" test to avoid signal maintainers being called out unnecessarily. In addition, the assistance of signal maintainers is almost always necessary to ensure that the safety of the signal system is not compromised.

The method for this test requires that the preceding signal displays an indication that requires 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 must include the following, when applicable:

1. Compliance with the signal governing the approach to the dark/imperfectly displayed 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. Prompt attempt to contact the train dispatcher/control operator.
3. If permission to pass the dark/imperfectly 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, as per applicable railroad rules.

Note: Do not combine this test with TEST 107-Delayed in Block.

D. Additional Rules To Be Tested

Compliance with the following additional rules (if applicable) must 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 Amtrak 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 test (121 REQUIRED DOCUMENTS). Document any Rule "G" observations as a separate test (128 DRUG & ALCOHOL).

E. Non-Compliance Defined

The test is a non-compliance if:

1. Train fails to stop before passing dark/imperfectly displayed signal.

Non-compliance requires suspension of locomotive engineer certificate using NRPC Form 2943. Check box "Operating a locomotive or train past a signal indication that requires a complete stop before passing it."

If the conductor/passenger conductor is on the leading end of the movement:

Non-compliance requires suspension of conductor/passenger conductor certificate using NRPC Form 3374. Check box "Signal requiring a complete stop before passing."

2. Train proceeds, after stopping for a dark/imperfectly displayed signal whose most restrictive indication is Stop, but without proper authority.

Non-compliance requires suspension of locomotive engineer certificate using NRPC Form 2943. Check box "Occupying main track or a segment of main track without proper authority or permission."

If the conductor/passenger conductor is on the leading end of the movement:

Non-compliance requires suspension of conductor/passenger conductor certificate using NRPC Form 3374. Check box "Occupying Main Track without Authority."

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.

Non-compliance by exceeding speed by 10 MPH or more requires suspension of locomotive engineer certificate using NRPC Form 2943. Check box "Operating a locomotive or train at a speed that exceeds the maximum authorized by at least 10 miles per hour."

Non-compliance in any other rules, or of the additional rules listed in section D, above, must be entered as non-compliances separately under the appropriate TEST number.

TEST 104 - STOP AND PROCEED / RESTRICTED PROCEED SIGNAL

CHECK METHOD: C (only if "set-up" 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.

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 "set-up" 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 "set-up" 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 any other reason.

Also refer to "Instructions for Use of a Shunt or Shunting Track Barricade" *(Section 14)* any time a shunt is used.

This test must include the following, when applicable:

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, as per applicable railroad rules.

D. Additional Rules To Be Tested

Compliance with the following additional rules (if applicable) must 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 Amtrak special instructions. Look for good CRM procedures.
2. Proper radio procedure.

E. Non-Compliance Defined

The test is a non-compliance if:

1. Train or engine fails to stop short of Stop and Proceed signal.

Non-compliance requires suspension of locomotive engineer certificate using NRPC Form 2943. Check box "Operating a locomotive or train past a signal indication that requires a complete stop before passing it."

If the conductor/passenger conductor is on the leading end of the movement:

Non-compliance requires suspension of conductor/passenger conductor certificate using NRPC Form 3374. Check box "Signal requiring a complete stop before passing."

2. Train exceeds restricted speed by 5 MPH or more, after stopping for Stop and Proceed signal.

Non-compliance by exceeding speed by 10 MPH or more requires suspension of locomotive engineer certificate using NRPC Form 2943. Check box "Operating a locomotive or train at a speed that exceeds the maximum authorized by at least 10 miles per hour."

Non-compliance in any other rules, or of the additional rules listed in section D, above, must be entered as non-compliances separately under the appropriate TEST number.

TEST 105 - OTHER SIGNAL INDICATIONS

CHECK METHOD: R (if radar is used to verify compliance)
T (if event recorder is used to verify compliance)
C (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, Stop and Proceed, or a Dark/Imperfectly displayed signal (see Tests 102, 103, 104).

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:

a. The testing officer is riding the train.

b. 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".

c. 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 "T".

Use Check Method "C" for a "set-up" test only when this test specifically checks for compliance with yard limit rules that require restricted speed whenever operating under a signal indication that is <u>not</u> more favorable than Approach.

D. Additional Rules To Be Tested

Compliance with the following additional rules (if applicable) must 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 Amtrak special instructions. Check for good CRM procedures.

2. Proper radio procedure.

E. Non-Compliance Defined

The test is a non-compliance if:

1. Train exceeds the speed required by the signal indication by 5 MPH or more.

Non-compliance by exceeding speed by 10 MPH or more requires suspension of locomotive engineer certificate using NRPC Form 2943. 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.

Non-compliance in any other rules, or of the additional rules listed in section D, above, must be entered as non-compliances separately under the appropriate TEST number.

TEST 106 - MAIN TRACK AUTHORITY

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 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 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 necessarily limited to, the following rules:

1. CTC, TCS, Rule 251 or 261 territory (where signal indication is authority to operate on a main track). **This test will check for authority to enter at a location other than at a signal** – if at a signal, use TEST 102 STOP SIGNAL, instead.
2. DCS, TWC, or DTC territory (where written authority in the prescribed form is required to occupy a main track).
3. Movement against the current of traffic.
4. Yard Limits.

D. Additional Rules To Be Tested

Compliance with the following additional rules (if applicable) must 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 Amtrak special instructions. Check for good CRM procedures.

E. Non-Compliance Defined

The test is a non-compliance if:

1. Train enters a main track, or continues movement without proper authority.

   Non-compliance requires suspension of locomotive engineer certificate using NRPC Form 2943. Check box "Occupying main track or a segment of main track without proper authority or permission."

   If the conductor/passenger conductor is responsible for the non-compliance:

   Non-compliance requires suspension of conductor/passenger conductor certificate using NRPC Form 3374. Check box "Occupying Main Track without Authority."

Non-compliance in any other rules, or of the additional rules listed in section D, above, must be entered as non-compliances separately under the appropriate TEST number. 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 otherwise valid, record such non-compliances under TEST 112 WRITTEN DIRECTIVES.

TEST 107 - DELAYED IN BLOCK

CHECK METHOD: B (if test includes train stopping at stop sign/red flag)
R (if radar is used to check speed when required)
T (if event recorder is used to check speed when required)
C (if "set-up" test using stop signal)

A. Description of Test

This test checks compliance by train and engine crews with rules that govern further movement after a train stops in a signal block.

B. Conditions for Test

This test requires that a train has made a stop in a signal 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 either to or before passing the next signal. Because the "delayed in block" rules vary significantly and are dependent on the specific rule book, type of signal territory or type of train, 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 "set- up" 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.

"Set-up" 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 or controlled speed – 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.

Note: Do not combine this test with TEST 103-Dark Signal.

D. Additional Rules To Be Tested

Compliance with the following additional rules (if applicable) must 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 Amtrak 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 TEST 121 REQUIRED DOCUMENTS.

1. Document any Rule "G" observations as a separate TEST 128 DRUG & ALCOHOL.

E. Non-Compliance Defined

The test is a non-compliance if:

1. Train fails to stop short of Stop signal, or barricade.

Non-compliance requires suspension of locomotive engineer certificate using NRPC Form 2943. Check box "Operating a locomotive or train past a signal indication that requires a complete stop before passing it."

If the conductor/passenger conductor is on the leading end of the movement:

Non-compliance requires suspension of conductor/passenger conductor certificate using NRPC Form 3374. Check box "Signal requiring a complete stop before passing."

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.

Non-compliance by exceeding speed by 10 MPH or more requires suspension of locomotive engineer certificate using NRPC Form 2943. Check box "Operating a locomotive or train at a speed that exceeds the maximum authorized by at least 10 miles per hour."

Non-compliance in any other rules, above, must be entered as non-compliances separately under the appropriate TEST number.

TEST 108 - SPEED

CHECK METHOD: T (if event recorder data 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 within 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 "T" for event recorder data.

A supervisor should always be monitoring train speed while riding trains, during on-board observations use Check Method "S" 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 non-compliances under this TEST (108) and include specific rule number in the "Comments" field.

a. Event Recorder Tests (Check Method "T'). 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 10 events that were checked

3. Printed copy is filed for one year

b. Radar Test (Check Method "R"). When radar is used in conjunction with any other TEST (for example, TEST 107 DELAYED IN BLOCK or any test for compliance with signal indications), use "R" as Check Method under that TEST number. However, use this TEST (108) 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. Additional Rules To Be Tested

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

E. Non-Compliance Defined

The test is a non-compliance if speed is exceeded by 5 MPH or more. A non-compliance 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.

Non-compliance by exceeding speed by 10 MPH or more requires suspension of locomotive engineer certificate using NRPC Form 2943. Check box "Operating a locomotive or train at a speed that exceeds the maximum authorized by at least 10 miles per hour."

Non-compliance in any other rules, or of the additional rules listed in section D, above, must be entered as non-compliances separately under the appropriate TEST number.

TESTS on T&E Employees (Also MW and ME Employees – when observing blue signal protection. Use TEST 401 for ME Employees when applying blue signal protection)

TEST 109 - BLUE SIGNAL/UTILITY EMPLOYEE

CHECK METHOD: N/A

A. Description of Test

This test checks compliance with blue signal procedures by Mechanical Department employees who work under, but who do not establish blue signal protection. This test also checks train and engine crews' compliance 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, or 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.** The blue signal protection procedures for the location are properly established.
- **b.** Employees do not perform work that requires blue signal protection without blue signal protection being provided.
- **c.** Employees have participated in a job briefing and ensured that they are authorized to work under the established blue signal protection.
- **d.** Employees not from the craft or group of workmen who placed the blue signals 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.
- **e.** 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 must be met.
- **f.** 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.
- **g.** 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.

D. 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. Additional Rules To Be Tested

Compliance with the following additional rules (if applicable) must be observed during this test:

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

2. Proper radio procedures.

E. Non-Compliance Defined

The test is a non-compliance 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 NRPC Form 2943. Check box "Operating a locomotive or train past a signal indication that requires a complete stop before passing it."

If the conductor/passenger conductor is on the leading end of the movement:

Non-compliance requires suspension of conductor/passenger conductor certificate using NRPC Form 3374. Check box "Signal requiring a complete stop before passing."

Non-compliance in any of the additional rules listed in section D, above, must be entered as non-compliances separately under the appropriate TEST number.

TEST 110 - AIR BRAKE TESTS

CHECK METHOD: T (if event recorder data is used to verify compliance)

A. Description of Test

This test checks compliance with rules found in Amtrak's Air Brake and Train Handling Instructions (AMT-3) that govern air brake tests and inspections.

B. Conditions for Test

This test requires a situation where a train has less than 100% operative brakes or when a Class I, IA, II or Running Brake Test is required.

C. Testing Guidelines

This test verifies that T&E crews or Mechanical Department employees comply with rules concerning the required percentage of operative brakes, and/or the type of brake test required under specific conditions. The rules to be tested are the following:

1. Condition of Brakes (AMT-3 Rule 4.1.3): Employee complies with the percentage of operative brakes required for their train.
2. Required Air Brake Tests (AMT-3 Rule 4.2): Employee performs the required air brake test or has knowledge that test was performed in the prescribed manner (by MAP 1173 or contacting CNOC, where required). This test also includes determining the condition of brakes after change of crew, as per AMT-3 Rule 4.1.5.

Confirmation that the required air brake test has been performed may be determined by reviewing event recorder data. When this is done, use Check Method "T".

D. Additional Rules To Be Tested

When possible, compliance with the following additional rules should be observed:

1. MAP 1173 and MAP 10C Summary present in cab and properly filled out. This includes inbound engineer's notation on MAP 1173 of the condition of brakes and the "Condition En Route" section lists whether any brakes are cut out.

E. Non-Compliance Defined

The test is a non-compliance if:

1. Train proceeds with less than the required percentage of operative brakes, or without receiving instructions from a QMP, when required.
2. A required air brake test is not performed or is not performed correctly.

Failure to perform an initial terminal, intermediate terminal or transfer train and yard test, failure to perform a Class 1, Class IA or Class II brake test, or failure to perform a Running brake test after performing a required Class I, Class IA or Class II brake test requires suspension of locomotive engineer certificate using NRPC Form 2943. Check box "Operating a locomotive or train without adhering to procedures for the safe use of train or engine brakes."

Where conductor/passenger conductor is responsible for participating or confirming air brake tests, non-compliance requires suspension of conductor/passenger conductor certificate using NRPC Form 3374.
Check box "Required Air Brake Test."

Non-compliance in any other rules, or of the additional rules listed in section D, above, must be entered as non-compliances separately under the appropriate TEST number.

TEST 111 - HIGHWAY CROSSING WARNING

CHECK METHOD: C (If "set-up" test train dispatcher)

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 highway crossing warning device malfunction, or this test can be set up 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, review the appropriate rule book/special instructions for the required actions.

Check for the following:

1. Train does not occupy the crossing unless the required on-ground warning is being provided, or the appropriate rule allows a train to proceed if crossing devices are seen to be working and/or train was informed of a false activation.
2. Train proceeds at 15 MPH, when required, until the head end occupies the crossing. (The 15 MPH may be waived if a properly equipped flagger is present for each direction of highway traffic or, under some railroads' rules, a police officer is providing warning).
3. Engine whistle must be sounded.

D. Additional Rules To Be Tested

Compliance with the following additional rules (if applicable) must be observed during this test:

1. All applicable rules concerning headlights and markers.
2. When possible, procedures for copying and repeating radio instructions.

E. Non-Compliance Defined

This test is a non-compliance if:

1. Train occupies crossing without on-ground warning, when required.

   Non-compliance requires suspension of locomotive engineer certificate using NRPC Form 2943. Check box "Occupying main track or a segment of main track without proper authority or permission."

   If the conductor/passenger conductor is on the leading end of the movement or fails to provide required reminder to engineer:
   Non-compliance requires suspension of conductor/passenger conductor certificate using NRPC Form 3374. Check box "Occupying Main Track without Authority."

2. Train exceeds required speed by 5 MPH or more.

   Non-compliance by exceeding speed by 10 MPH or more requires suspension of locomotive engineer certificate using NRPC Form 2943. 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.

Non-compliance in any other rules, or of the additional rules listed in section D, above, must be entered as non-compliances separately under the appropriate TEST number.

TEST 112 - WRITTEN DIRECTIVES

CHECK METHOD: C (only if "Set-up" test)

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 (i.e., Form D's, Track & Time, Form EC-1, Track Bulletins, etc.).

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, and confirm receipt with the Dispatcher or his designee. On railroads that require that 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 sometime 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 own 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 (for Amtrak Train Dispatchers, enter separate test).
   Where available, radio recording tapes may be also used for this test.
4. "Set-up" Tests – If deliberate errors or omissions are introduced, safeguards must be put in place to prevent a crew from acting upon the written directive.

D. Additional Rules To Be Tested

Compliance with the following additional rules (if applicable) must be observed during this test:

1. Proper radio procedures

E. Non-Compliance Defined

The test is a non-compliance if:

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

Non-compliance in any other rules, or of the additional rules listed in section D, above, must be entered as non-compliances separately under the appropriate TEST number.

TEST 113 - INTERLOCKING/CONTROL POINTS

CHECK METHOD: N/A

A. Description of Test

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

B. Conditions for Test

This test requires that a rule that applies only at interlockings or control points affects a train or engine entering or moving within or through the interlocking or 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 as a TEST 113 INTERLOCKING/CONTROL POINTS.

However, when a rule that is specific only to interlockings or control points and has no other appropriate test category to use, enter it under TEST 113. Refer to the governing rule book for the appropriate rules, and show the rule book and rule number in the "Comments" field of the TESTS system.

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. Movements through an Automatic Interlocking past a Stop signal.

D. Additional Rules To Be Tested

Compliance with the following additional rules (if applicable) must be observed during this test:

1. All applicable rules concerning headlights and markers.
2. Proper radio procedures.

E. Non-Compliance Defined

The test is a non-compliance if:

1. Failure to comply with any rule specific to interlockings or control points.

Non-compliance in any other rules, or of the additional rules listed in section D, above, should be entered as non-compliances separately under the appropriate TEST number.

TEST 114 - CAB SIGNALS

CHECK METHOD: N/A

A. Description of Test

This test checks compliance with rules that are specific to cab signals. These include ATS, ACSES, CSS, and ITCS rules.

B. Conditions for Test

This test requires that a train or engine is in cab signal territory or is subject to cab signal rules concerning testing, or being equipped with, cab signal apparatus.

C. Testing Guidelines

Refer to the governing rule book for the appropriate rules, and show the rule book and rule number in the "Comments" field of the TESTS system. This test cannot be saved without the comment field completed.

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

1. Movement of train not equipped with cab signals:
   - **a.** receiving proper authority
   - **b.** proceeding at required speed.
2. Testing of the Cab Signal apparatus:
   - **a.** valid documentation checked by engineer
   - **b.** self-testing procedures followed.
   - **c.** Mechanical Dept. – daily or departure test performed properly
3. Cab signal does not conform to fixed signal:
   - **a.** more restrictive signal governs.
4. Cab signal changes between fixed signal:
   - **a.** possible requirement to take immediate action to reduce speed, or
   - **b.** run train length before increasing speed, or such other action as required by the specific rule.
5. Movement with inoperative Cab Signals, Speed Control or Automatic Train Stop:
   - **a.** recognizing when failure criteria have occurred
   - **b.** compliance with fixed signal indication, reduction to required speed
   - **c.** notification of dispatcher and conductor as required
   - **d.** compliance with speed and other requirements after dispatcher authorization
   - **e.** considering the failed apparatus as inoperative until repaired and tested

D. Additional Rules To Be Tested

Compliance with the following additional rules (if applicable) must be observed during this test:

1. Proper radio procedures

E. Non-Compliance Defined

The test is a non-compliance if:

1. Failure to comply with any rule specific to cab signals.

Non-compliance in any other rules, or of the additional rules listed in section D, above, must be entered as non-compliances separately under the appropriate TEST number.

TEST 115 - 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 Life Saver* 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 Amtrak's Safety Rules (AMT-5. A summary of the SOFA *Five Life Saver* recommendations is found in Amtrak safety Rule 5800. In addition, the following list references additional specific Amtrak 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. This test cannot be saved without the comment field completed.

1. Discuss safety at the beginning of a job and when work changes (5010). Verify that a quality job briefing is done not only at the beginning of the assignment, but whenever conditions change. Check for compliance by questioning crew members about the work that is being or will be done. Check for good CRM procedures.
2. Communicate before action is taken (5010, radio and hand signal rules). During the course of the job, additional job briefings can be done over the radio when crew members are in different locations. Verify that crew members are kept informed of changing conditions. Radio communications must be clear, concise and follow all rules for identification, repeating and confirmation before being acting upon.
3. Protect against moving equipment (5204). Observe that employees look in both directions before fouling a track, keep clear of standing equipment and move to a safe location when moving equipment is approaching or passing.
4. Secure equipment before action is taken (5316). Verify that crew members contact the engineer and receive assurance of protection before fouling equipment. This is commonly referred to "Three-Step Protection".
5. Mentor less experienced employees to perform service safely (5001). Search out employees with less than one year service and verify that their crews are providing guidance and instruction. Check for good CRM procedures. Check for orange arm band (5801).

D. Additional Rules To Be Tested - N/A

E. Non-Compliance Defined

The test is a non-compliance if:

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

TEST 116 - ROADWAY WORKER PROTECTION

CHECK METHOD: B (only if test includes train stopping at stop sign/red flag)
R (only if radar is used to check speed when required)

A. Description of Test

This test checks compliance by train and engine crews with rules that protect roadway workers. This includes whistle and bell requirements and compliance with approaching and entering working limits, and complying with instructions from the employee in charge

B. Conditions for Test

This test requires that the train be approaching or passing identifiable roadway workers on or near the tracks, or when working limits are established that require trains and engines to receive permission from the employee in charge before entering the limits. It could also include switches or derails secured and/or tagged to provide protection for roadway workers, requiring T&E crews not to operate or remove securing devices.

C. Testing Guidelines

In addition to frequent observation type tests in this category, efforts should be made to conduct regular "set-up" type tests. Examples of each type of test are shown below:

1. Observation Tests:
   - **a.** Whistle/Bell rules. Did engineer sound the prescribed whistle signal as required? This test can be done either while riding the train or from a location in proximity to roadway workers (or properly equipped supervisors performing the test).
   - **b.** Approaching/Entering working limits. Were all rules governing procedure for obtaining permission to enter limits followed (proper identification of foreman, gang or written directive number; permission received, repeated and confirmed before entering limits)? Were instructions of employee in charge followed (compliance with instructions as to speed verified)? This test can be done while riding the train or from another location where visual and/or radio monitoring allows the supervisor to determine compliance.
   - **c.** Switches/Derails secured/tagged. Did employees recognize and comply with requirement that switches found secured and/or tagged for RWP purposes (inaccessible track) not be operated or securing devices removed. This test can be done by observing employees going to operate a switch that had been secured and/or tagged.
2. Set-up Tests:
   - **a.** "Surprise" track flags. In this test, place the appropriate flags/signs that require a train to approach a specific point prepared to stop, unless permission is received from the employee in charge (on most railroads), or from the dispatcher (for example, on the CNIC). Ensure that signs are accurately placed and clearly visible. Coordination with the train dispatcher will be necessary to ensure that the appropriate response to the train is given. This test can require that the train stop short of the red flag/sign (use Check Method "B" for this type of test) or test for compliance with the requirements for movement beyond the point where the red flag/sign should have been displayed.
   - **b.** Existing working limits – withholding permission to enter. This test requires coordination with the employee in charge who must be instructed not to reply to an approaching train until the train has stopped at the entrance to the limits. Use Check Method "B" for this type of test.
   - **c.** Switches/Derails secured/tagged. Secure and properly tag a switch to indicate that the switch is out of service for RWP protection. From a location where the switch can be observed, check to ensure that employees do not attempt to operate the switch or remove securing device.

D. Additional Rules To Be Tested

Compliance with the following additional rules (if applicable) must be observed during this test:

1. Reminder to the engineer (over radio) of approaching restriction by crew member in the body of the train.
2. Communication from the engineer with crew member in body of train (over radio) of flags/signs, where required.
3. Proper radio procedure.
4. (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 (121 REQUIRED DOCUMENTS). Document any Rule "G" observations as a separate test (128 DRUG & ALCOHOL).

E. Non-Compliance Defined

The test is a non-compliance if:

1. Train or engine fails to stop short of flag/sign.

   Non-compliance requires suspension of locomotive engineer certificate using NRPC Form 2943. Check box "Operating a locomotive or train past a signal indication that requires a complete stop before passing it."

   If the conductor/passenger conductor is on the leading end of the movement: Non-compliance requires suspension of conductor/passenger conductor certificate using NRPC Form 3374. Check box "Signal requiring a complete stop before passing." EXCEPTION – Failure to stop at a hand signal, radio signal indication or improperly lined switch does NOT require certificate suspension.

2. Train enters working limits without permission.

   Non-compliance requires suspension of locomotive engineer certificate using NRPC Form 2943. Check box "Occupying main track or a segment of main track without proper authority or permission."

   If the conductor/passenger conductor is on the leading end of the movement: Non-compliance requires suspension of conductor/passenger conductor certificate using NRPC Form 3374. Check box "Occupying Main Track without Authority."

3. Train exceeds the speed authorized by the employee in charge by 5 MPH or more.

   Non-compliance by exceeding speed by 10 MPH or more requires suspension of locomotive engineer certificate using NRPC Form 2943. Check box "Operating a locomotive or train at a speed that exceeds the maximum authorized by at least 10 miles per hour."

4. Train resumes normal speed prematurely.
5. Employee removes tag or securing device on a switch.

Non-compliance in any of the additional rules listed in section D must be entered as non-compliances separately under the appropriate TEST number.

TEST 117 - SWITCHES & SWITCHING

CHECK METHOD: B (only if "Foam Derail" test)

A. Description of Test

This test checks compliance by train and engine crews, and by Mechanical and Engineering Department employees, with rules that govern the handling of switches or derails as well as rules that govern switching and the proper use of switches.

B. Conditions for Test

This test requires that employees are handling switches and/or switching cars. This could be as simple as a road crew coupling up their engines to their train. For train dispatchers/block operators, this test requires a job briefing and/or confirmation of the position of switches.

Foam Derail Test: Place foam derail only at the location of a fixed derail, ensuring that fixed derail is secured in non-derailing position. This test may not be performed when protection by a derail is actually required (for example, blue flag or RWP protection).

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 must include as many of the following as applicable:

1. Checking switch points to ensure points fit correctly and switches are lined for intended route.
2. Ensuring that switch is not operated while equipment is fouling the switch, or standing or moving over switch.
3. After operating, and before making a movement, ensure that switches are secured, as required, with hasp, keeper or lock.
4. Movement over, and testing of, spring switches, when required.
5. Movement over Variable or Semi-Automatic ("rubber") switches, if allowed: an entire car or engine has passed over the switch before changing direction.
6. Hand operation of main track switches:
   - **a.** Stopping before fouling.
   - **b.** Locking, including testing lock.
   - **c.** Position of employee relative to switch stand when train is passing over switch, as required by applicable operating rules.
   - **d.** Lining switch back after clearing main track – train clear of fouling point.
   - **e.** Reporting the position of switch to train dispatcher - for train dispatcher, job briefing/confirmation with employee about the position of the switch.
7. Handling dual control switches.
   - **a.** Obtaining permission to place in hand.
   - **b.** Operating hand throw lever as required even if switch was in desired position.
   - **c.** Restoring switch to power (some rules require movement to be clear of switch).

8. Coupling to and moving equipment:

- **a.** Safety stop, regardless of type of equipment (see AMT-3 rule 3.1.1).
- **b.** Proper coupling speed.
- **c.** Equipment secured to prevent them from rolling, where required.
- **d.** All persons notified before coupling.
- **e.** Stretch is made after coupling (see AMT-3 rule 3.1.3).
- **f.** Cars not moved until all chocks, skates, transfer plates or connections are removed and hand brakes released.

9. Foam Derail test (Check Method "B"):

- **a.** Employee controlling shoving movement communicates position of derail to engineer.
- **b.** Employee handling switch does not permit movement to enter track, or to approach derail closer than permitted by rule, if applicable, until attempting to remove derail.
- **c.** Movement stops short of derail.

D. Additional Rules To Be Tested

Compliance with the following additional rules (if applicable) must be observed during this test:

1. Compliance with the requirements for job briefings (TEST 130) must be observed during this test.

2. Radio procedures.

3. Hand signals.

4. Headlight, bell & whistle.

5. SOFA rules (due to the importance of these rules, enter as a separate test – TEST 115 - for both non-compliance and compliance).

E. Non-Compliance Defined

The test is a non-compliance if:

1. There is any 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.

Non-compliance in any other rules, or of the additional rules listed in section D, above, must be entered as non-compliances separately under the appropriate TEST number.

TEST 118 - SHOVING & BACK-UP

CHECK METHOD: C (only if "set-up" test, stopping in half remaining distance)
M (only if controlled communication (muzzle) test)

A. Description of Test

This test checks compliance by train and engine crews, and other employees when applicable, with rules governing back-up or shoving movements, or changing ends when required.

B. Conditions for Test

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

C. Testing Guidelines

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

1. Job briefing is completed before movement starts. This must include the means of communication and how point protection will be provided.
2. Employee directing the movement does not engage in any task unrelated to the movement.
3. Crew member is on the leading end of the movement, or preceding the movement when permitted. Engineer changes ends to operate from leading engine or control cab, where required. If using hand signals, crew member remains in sight of engineer.
4. Radio communication, if used, specifies 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 (if testing officer instructs employee giving signals not to issue further instructions, when safe to do so, in order to test engineer's compliance with this rule, count this as a "set-up" test – Check Method "C").
5. Some railroad operating rules, as well as special instructions found in Amtrak General Orders, require the employee using the radio for back-up moves to give specific information as to position of switches and derails, their name or position, or other information: check for compliance with these rules.
6. Speed restrictions when backing, where applicable, are observed.
7. Movement over highway or pedestrian crossings is protected as required by applicable operating rule.
8. Where back-up hoses are required (AMT-3 rule 5.4.2):
   a. Back up hose tested by placing in emergency at location where back-up move will be made.
   b. Engineer controls air brakes and makes Running Test after starting back-up move.
   c. Preliminary ("Safety") stop made 250 feet from bumping post or final stop.

D. Additional Rules To Be Tested

Compliance with the following additional rules (if applicable) must be observed during this test:

1. Radio procedures
2. If on main track, rules for reverse movement.

E. Non-Compliance Defined

The test is a non-compliance if:

1. Failure to comply with any rule specific to back-up or shoving movements.

Non-compliance in any other rules, or of the additional rules listed in section D, above, must be entered as non-compliances separately under the appropriate TEST number.

TEST 119 - CALLING SIGNALS/RESTRICTIONS

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 in the cab and/or over the radio, as well as 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 operating cab or the body of the train. It can also be performed by monitoring radio transmissions from a trackside location. The Amtrak rules for this test are found in the System Special Instructions of the subdivision General Order. However, if a railroad operating rule is more restrictive or in conflict with the Amtrak rule, the railroad rule will apply.

This test must include the following, when applicable – all aspects require good CRM procedures:

1. Between crew members on the head end: All crew members in the engine control compartment must communicate clearly to each other all signals affecting their train. This includes "Clear" signal indications.
2. Between head end and body of train: A crew member on the head end must communicate by radio to a crew member in the body of the train when a train encounters a signal requiring a reduction in speed (including track flags), movement onto a diverging route, or to be prepared to stop at the next signal or pass it at restricted speed. This transmission must be acknowledged.
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.

D. Additional Rules To Be Tested

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

1. Radio procedures

E. Non-Compliance Defined

The test is a non-compliance if:

1. Any crew member fails to comply with any requirement to communicate or to acknowledge a communication required by this test.

Non-compliance in any other rules, or of the additional rules listed in section D, above, must be entered as non-compliances separately under the appropriate TEST number.

TEST 120 - RADIO PROCEDURES

CHECK METHOD: N/A

A. Description of Test

This test checks compliance with rules governing use of the radio.

B. Conditions for Test

This test requires that employees are using the radio or are responsible to verify that a train or engine is equipped with a working radio and a redundant means of communication.

C. Testing Guidelines

Radio procedures can almost always stand improvement. It is one area where a supervisor can play a critical role in improving compliance by setting a standard that employees are expected to attain.

Checking for compliance with radio procedures is an important part of many different TESTS as listed in this guide. Use the following guidelines for checking for compliance, whether testing for radio rules alone or as an adjunct to other tests. However, record as a TEST 120 only when performing this test as a "stand-alone" test, or when a non-compliance in radio procedures is observed during another test. This test should always include as many of the following as possible:

1. When dispatched from initial terminal, verify that trains have a working radio on the leading end of the controlling locomotive and a redundant means of communication. Maintenance of Way equipment operating without locomotive assistance between work locations must have a working radio on at least one unit in each multiple pieces of MoW equipment traveling together. In addition, each lone worker or lone unit of equipment must also be radio equipped.
2. Voice test is made by employees before starting work.
3. Proper identification, including railroad and unit ID is given.
4. Information received is repeated, when required.
5. Communication that is not fully understood or completed correctly is not acted upon until clarification is received. This is a key CRM procedure.
6. Transmissions are ended using "Over" or "Out", as required (Note: some railroad operating rules exempt yard switching from this requirement).
7. No prohibited transmissions are overheard. This includes irrelevant or unnecessary communication.

D. Additional Rules To Be Tested – N/A

E. Non-Compliance Defined

The test is a non-compliance if:

- Failure to comply with any rule specific to radio procedures.

TEST 121 - REQUIRED DOCUMENTS

CHECK METHOD: C (only if "Set-up" test)

A. Description of Test

This test checks compliance by train and engine crews with rules that require that employees have in their possession or available for reference during their tour of duty certain books, instructions or documents.

B. Conditions for Test

This test may be performed at any time during an employee's tour of duty.

C. Testing Guidelines

This test can be performed during any other TEST where contact is made with an employee. Except for the engineer and conductor certificates, most documents and books are not required to be physically carried by the employee, but usually must be "with them", or "available for reference" while on duty.

Most rule books require that employees have the following with them while on duty:

- Operating rules
- Timetable/Special Instructions
- Air Brake Instructions
- Hazardous Materials Instructions, if they are involved in the shipment of hazardous materials.
- Engineer Certificate
- Conductor Certificate
- General Orders, Bulletin Orders, System Bulletins, Track Bulletins, Subdivision Notices, etc.

However, some rule books only require that employees "read and understand" these or other documents. The testing officer should know which documents the employee must have with them on the specific property on which they are performing this test. Check the specific operating rules for additional requirements.

This test must include the following, when applicable:

1. Where required, check to ascertain that the crew verified with the Dispatcher or his designee that they have all required documents in effect.
2. Documents should be checked to ascertain whether they were updated properly, and that they contain all required pages.
3. Check for knowledge/understanding of documents. For example, ask the crew members questions regarding specific content in the required documents, to determine that they have read the documents.

If the testing officer introduces deliberate errors or omissions in the documents, safeguards must be put in place to prevent a crew from acting upon the required document, or departing without all required pages and/or documents. Count this as a "set-up" test—Check Method "C"

NOTE: This test should not be used to document observations pertaining to written documents received en route, or documents that provide main track authority. Use TEST 106–MAIN TRACK AUTHORITY or TEST 112–WRITTEN DOCUMENTS for such observations.

D. Additional Rules To Be Tested – N/A

E. Non-Compliance Defined

The test is a non-compliance if:

1. Employee fails to have any of the required documents.
2. Any document is not up to date, complete and/or properly maintained, or employee cannot demonstrate knowledge/understanding of documents.
3. Crew failed to check with proper authority for required documents (where applicable).

TEST 122 - WHISTLE/BELL/HEADLIGHT/MARKERS

CHECK METHOD: T (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 except to record a non-compliance. However, if it becomes necessary to check compliance with any of these rules, supervisors may be directed to perform this TEST as a "stand alone" test. (NOTE: This TEST may also be performed on its own merits if the test includes compliance with rules governing further movement after the failure of any one of these devices).

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 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. Additional Rules To Be Tested – N/A

E. Non-Compliance Defined

The test is a non-compliance if:

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

TEST 123 - ENGINEER CERTIFICATION

CHECK METHOD: N/A

A. Description of Test

This test checks compliance by with rules governing Engineer Certification/Recertification. When TEST number is preceded by "FRA", this test indicates completion of the knowledge skills portion of the certification/recertification process.

B. Conditions for Test

This test requires that an employee is required to be certified as a locomotive engineer under 49CFR Part 240.

C. Testing Guidelines

This test would check compliance with the following:

1. **Working (123):** For employees required to be certified as locomotive engineers:
   - **a.** Employee has current certificate in their possession.
   - **a.** Employee is operating a locomotive within their certificate limitations.
   - **b.** Certificate is legible and unaltered.
   - **c.** Certificate shows date of last operational monitoring event (evaluation).

   The TEST number for the above would be entered as "123".

2. **Certification Process (FRA123):** For employees completing certification/recertification process:
   - **a.** Employee successfully passes knowledge skills test for certification/recertification.

   The TEST number for documenting successful completion of this portion of the certification/recertification process would be entered as "FRA123".

D. Additional Rules To Be Tested – N/A

E. Non-Compliance Defined

The test is a non-compliance if:

1. Employee does not have certificate in their possession while operating a locomotive.
2. Employee is operating a locomotive outside of their certification limits.

NOTE: If certificate does not indicate date of last operational monitoring event (evaluation ride), take immediate action to determine that the date of the last evaluation ride is no later than the preceding calendar year. Enter this information, or have the appropriate supervisor enter it before the employee is allowed to operate under the certificate.

Illegible or altered certificates must be immediately replaced (if alteration is willful and for the purposes of falsifying the certificate, test must be shown as a non-compliance, certificate lifted and discipline handled accordingly).

TEST 125 - REQUIRED EXAMS

CHECK METHOD: N/A

A. Description of Test

This test checks for compliance with rules which require that employees pass required examinations and be re-examined on the operating rules annually or as directed. When TEST number is preceded by "FRA", this test indicates successful completion of a closed-book examination on operating rules for purposes of Engineer or Conductor certification/recertification and for other requirements. **NOTE:** This test does not count as a test toward the targets of an operating or safety critical rule for any employee.

B. Conditions for Test

This test requires that an employee is subject to the requirement for passing an exam on operating rules or physical characteristics. This test cannot be saved without the comment field completed.

C. Testing Guidelines

1. Operating Rules Examinations

This test is used primarily to record the date, examiner and type of a closed-book exam on operating rules that is taken by an employee. The "Comments" field should read, as an example: "GCOR exam Instructor Jones".

The TEST number for documenting completion of a closed-book exam on operating rules for purposes of Engineer or Conductor certification/recertification would be entered as **"FRA125".**

2. Physical Characteristics Examinations

This test is also used to record the date of an initial or requalification written exam on physical characteristics. The instructors name and the qualification limits must be included in the comments field. The "Comments" field should read, as an example: "Phys. Char. CHI-MKE Instructor Jones".

The TEST number for documenting completion of these exams would be entered as **"125".**

3. Other Required Written Examinations

This test may also be used to record the date of any other required written examination. Examination and instructor names must be included in the "Comments" field.

4. Failure to Take a Required Examination

This test could also record the failure of an employee to take a required examination prior to the expiration of the time limit (date) allowed. In this case the "Comments" field should read, as an example: "Failed to take (or re-take) NORAC exam – disqualified".

The TEST number for documenting failure to take an exam would be entered as **"125".**

D. Additional Rules To Be Tested

Where required or instructed to bring rule book, timetable, or other instructions to class, check that all employees have the required documents and that they are properly maintained.

Failure to have a properly maintained document must be entered as a non-compliance under TEST 121 "REQUIRED DOCUMENTS".

E. Non-Compliance Defined

The test is a non-compliance if:

1. Employee fails to attain a passing grade on the Operating Rules examination (Enter TEST "FRA125").
2. Employee fails to attain a passing grade on the Physical Characteristics examination (Enter TEST "125").
3. Employee fails to take an examination, as required (Enter TEST **"125").**

TEST 126 - EQUIPMENT RESTRICTIONS/DETECTORS/INSPECTIONS

CHECK METHOD: N/A

A. Description of Test

This test checks compliance by train and engine crews with rules that impose a restriction on their train due to equipment in their consist, or for compliance with defect detector rules. It also may be used to check for compliance with rules that require employees to inspect passing trains.

B. Conditions for Test

This test requires that a train is subject to a restriction due to equipment in its consist, or a defect detector provides a message (or fails to provide a message) that requires crew members to take some kind of action, or when an employee is required to inspect a passing train.

C. Testing Guidelines

1. For equipment restrictions on Amtrak equipment, see Amtrak's Air Brake and Train Handling Instructions (AMT-3, Rule 9.2 Equipment Speeds), railroad timetable/special instructions, transportation notice or other instructions. Check that:

- **a.** Conductor and engineer, and other crew members when required, are aware of any restricted equipment in their train and the exact nature of the restriction.
- **b.** Train is handled in accordance with the restriction.

2. For action required by a message from a defect detector, or for action when required when a defect detector fails to provide a message, see rule book, railroad timetable/special instructions or other instructions. For Amtrak on-board bearing alarm system, see appropriate Amtrak instructions. Test must include the following, when applicable:

- **a.** Crew members respond properly to defect message. This usually includes checking additional axles ahead of and behind the indicated axle when no defect is found.
- **b.** Crew members respond properly to the failure of a defect detector to provide a message. Depending on the railroad, and sometimes on the specific type of detector, this requires no action except notifying the dispatcher. In other cases it may require the train to stop and make an inspection of the entire train.
- **c.** Crew member acknowledges detector message, even when defect is reported, when required.
- **d.** Further movement after a defect detector requires an inspection is done in accordance with the applicable rules. This may include a speed restriction for a specified distance, additional inspections, and reporting requirements.

3. For inspection of passing trains see rule book, departmental instructions or other instructions applicable to the craft of the employee who is required to make an inspection of a passing train.

D. Additional Rules To Be Tested

Compliance with the following additional rules (if applicable) must be observed during this test:

1. Radio procedures.

2. SOFA rules, especially Three Step Protection if necessary to foul equipment while making inspection.

E. Non-Compliance Defined

The test is a non-compliance if:

1. Conductor, engineer or other crew member, where required, is not knowledgeable about restricted equipment in their train.
2. Train is not operated in compliance with the restricted equipment.

   Non-compliance by exceeding speed by 10 MPH or more requires suspension of locomotive engineer certificate using NRPC Form 2943. Check box "Operating a locomotive or train at a speed that exceeds the maximum authorized by at least 10 miles per hour."
3. A Failure to comply with any rule that is specific to defect detectors, including on board hot bearing alarms.
4. Employee fails to perform a required inspection of a passing train, or when inspection is not performed on-ground when required.

Non-compliance in any other rules, or of the additional rules listed in section D, above, must be entered as non-compliances separately under the appropriate TEST number.

TEST 127 - HAZARDOUS MATERIALS

CHECK METHOD: N/A

A. Description of Test

This test checks compliance by train and engine crews with rules that govern employees who are involved in the shipment of hazardous materials.

B. Conditions for Test

This test requires that employees are involved in the shipment of hazardous materials or that they are required to have information that confirms that no hazardous materials are being handled.

C. Testing Guidelines

This test must include the following, when applicable:

1. Conductor must have information concerning the contents of each non-passenger carrying car on their train. Loaded cars carrying other than mail should have a statement included in the paper work (manifest, transportation notice) that states whether or not hazardous material is being carried.
2. If train includes cars carrying hazardous material, conductor must have the required shipping documents.
3. If train is carrying hazardous material, all crew members must have a copy of the Emergency Response Guide.
4. If train carrying hazardous materials is involved in an accident, the conductor must take the appropriate actions as required by the rules.

D. Additional Rules To Be Tested – N/A

E. Non-Compliance Defined

The test is a non-compliance if:

1. Failure to comply with any rule specific to hazardous materials

TEST 128 - DRUGS & ALCOHOL

CHECK METHOD: N/A

A. Description of Efficiency Test Observation

This efficiency test checks compliance with rules that prohibit the use or possession of drugs and alcohol.

B. Conditions for Efficiency Test Observation

This efficiency test generally requires that an employee be on duty or reporting for duty, or on company property.

C. Testing Guidelines

This Guide provides general information on some of the situations that can be recorded under this efficiency test. It does not take the place of the training and instructions that testing officers should have received on this topic. It is important that any testing be done strictly in accordance with Amtrak's D&A policy, as outlined in Amtrak Policy & Instruction Manual (APIM) P/I # 7.3.0 and Federal regulations.

This efficiency test must only be used by supervisors who have been trained and qualified by the company Health Services Department to properly observe employees for signs of drug or alcohol use. It must also only be used to record direct personal observations of employees who are ***in compliance*** with rules that prohibit the use or possession of drugs and alcohol.

Failure to comply with rules that prohibit the use or possession of drugs and alcohol must ***not*** be documented in the TESTS system. Such non-compliances must be documented in accordance with the applicable Amtrak D&A policy (APIM P/I # 7.3.0) and Federal regulations (49CFR219).

D. Additional Rules To Be Tested -NA

E. Non-Compliance Defined

The efficiency test is a non-compliance, and must ***not*** be documented in the TESTS system, if an employee is personally observed to be:

1. Using or possessing alcoholic beverages while on duty or reporting for duty.
2. Using or being under the influence of any drug, medication, or controlled substance – including prescribed medication – that adversely affects the performance of their duties.
3. Illegally possessing or selling a drug, narcotic or other controlled substance.
4. Refusing to comply when required to take a breath test and/or provide a urine sample.

Locomotive Engineers

Locomotive Engineers and Conductors / Passenger Conductors may be subject to suspension of their Locomotive Engineer Certificate or Conductors / Passenger Conductors Certificate using Notification of Certification Suspension forms NRPC 2943 or NRPC 3374 for the following reasons:

219.101 – Alcohol and drug use prohibited: No employee may report for covered service or remain on duty under the influence or impaired by alcohol or a controlled substance.

219.102 – Prohibition on abuse of controlled substances: No employee who performs covered service may use a controlled substance at any time, whether on or off duty. *Examples:* **(1)** Random Drug Test; **(2)** Post Accident Toxicological Test

NOTE: Notification of Certification Suspension form must not be issued for Failure to comply with 49CFR219 (drug & alcohol use) until the case has been reviewed by the System General Road Foreman's Office, and the Manager–Human Resources D&A Programs (Office: 202-906-3058; Cell: 202-821-6867). Verbal notification will be given in the case of a 219.101 violation, until test results are confirmed. Upon test result confirmation, form NRPC 2943 (Notification of Certification Suspension) must be issued to the employee.

TEST 129 - SAFETY RULES

CHECK METHOD: N/A

A. Description of Test

This test checks compliance with safety rules and instructions (AMT-5, or any safety rule book) **other than** those covered in TEST 115 SOFA RULES.

B. Conditions for Test

This test may be performed at any time.

C. Testing Guidelines

Testing officers must have a comprehensive knowledge of all safety rules and make a conscious decision to use all their powers of observation to spot unsafe acts before they lead to an injury. Before going out to observe employees, review the safety instructions that you expect to encounter. **Put the number of the safety rule (and applicable safety book) in the "comments" field.**

This test cannot be saved without the comment field completed.

D. Additional Rules To Be Tested -NA

E. Non-Compliance Defined

The test is a non-compliance if:

1. Failure to comply with any safety rule or instruction.

TEST 130 - JOB BRIEFING

CHECK METHOD: C (only if "Set-up" test)

A. Description of Test

This test checks compliance with rules requiring job briefings.

B. Conditions for Test

This test may be performed when crews are reporting for duty or when conditions change, requiring additional job briefings.

C. Testing Guidelines

Testing officers must be prepared to make a judgment on the quality of the job briefing. This TEST can be used to provide employees with a learning experience on how to make job briefings substantive and relevant to their safety. If any deficiencies are noted, the testing officer must provide immediate direction.

Ensure that a job briefing checklist, if applicable, is utilized and all items are covered. Some railroads have specific items that are required to be included – check that the job briefing complies with the railroad's instructions.

If the testing officer introduces deliberate errors or omissions in the documents to be discussed during the job briefing, such as removing a page, safeguards must be put in place to prevent a crew from acting upon the required document, or departing without all required pages and/or documents. Count this type of test as a "set-up" test—Check Method "C"

D. Additional Rules To Be Tested -NA

E. Non-Compliance Defined

The test is a non-compliance if:

1. Failure to hold a required job briefing.
2. Job briefing is incomplete.
3. All members of a crew do not attend or participate in a job briefing.

TEST 131 - EOT

CHECK METHOD: N/A

A. Description of Test

This test checks compliance by train and engine crews and M of E employees with rules governing **E**nd **O**f **T**rain telemetry devices.

B. Conditions for Test

This test requires that a train is required to have an EOT, based on consist size and the position of the rearmost car that is accessible to a member of the crew (See AMT-3, Rule 3.1.13)

C. Testing Guidelines

The most valid test of this type would be to check for compliance with the rules governing further movement after an EOT non-compliance. Otherwise, testing officers should verify that trains that are required to have an EOT are so equipped and the EOT is properly armed and functioning.

This test would check compliance with the following:

1. Trains required to have an EOT:
   - **a.** Train is equipped with an EOT.
   - **a.** EOT is armed and functioning, as indicated by display in cab of controlling locomotive (if not, was non-compliance reported and actions shown below taken?).
2. EOT fails en route:
   - **a.** Dispatcher notified.
   - **a.** Crew member with radio stationed in rearmost accessible car.
   - **b.** Periodic running brake tests performed.
   - **c.** Train must not descend a 2% grade that is 2 or more miles in length.

D. Additional Rules To Be Tested – N/A

E. Non-Compliance Defined

The test is a non-compliance if:

1. When a train that is required to have an EOT is not so equipped, and train has left the initial terminal or crew change point, unless otherwise instructed.
2. When a train that is required to have an EOT does not have a functioning EOT (including being turned off) and no attempt to notify dispatcher has been made.
3. If, after the en route failure of an EOT, the train continues without taking the required actions, or proceeds down a 2% grade.

TEST 132 - ELECTRICAL OPERATING INSTRUCTIONS (AMT-2)

CHECK METHOD: N/A

A. Description of Test

This test checks compliance with any Electrical Operating Instruction (AMT-2).

B. Conditions for Test

This test may be performed at any time on employees working in electrified territory.

C. Testing Guidelines

These tests are especially important for those employees who perform work on or near overhead wires or third rails, but are also important for all employees working in electrified territory. Note that there are numerous rules in the AMT-2 that require thorough job briefings and place additional responsibility on conductors, engineers, pilots and foremen to practice good CRM procedures to protect other employees. These are safety critical rules that warrant regular testing.

Put the number of the AMT-2 rule in the "comments" field.

This test cannot be saved without the comment field completed.

D. Additional Rules To Be Tested -NA

E. Non-Compliance Defined

The test is a non-compliance if:

Failure to comply with the specified rule or instruction.

TEST 133 - FRA 232 & 238 HANDS-ON BRAKE TEST/INSP

CHECK METHOD: C (only if "Set-up" test)

A. Description of Test

This test checks for compliance with rules that require hands-on training for air brake tests and inspections, as contained in Amtrak's AMT-3 Air Brake and Train Handling Instructions, Passenger and Non-Passenger sections 4.0 (based on Federal regulations 49 CFR 232 & 238).

B. Conditions for Test

Supervisors will monitor and observe these standing brake tests conducted by Conductors, Asst. Conductors, all classes of Engineers, and Supervisors qualified as QP's. The test may be a Passenger Class I-A, Class II, or Non-Passenger Class I, Class II, Class III, and Transfer train test. For Engineers, event recorder downloads may be used to verify performance of a standing brake test. **For Conductors and Asst. Conductors, only direct observation can be used**, **not** event recorder downloads. Follow up with Engineer by asking questions pertaining to the brake test performed.

C. Testing Guidelines

Qualified Persons (QP) must have **at least one Test 133 observation per calendar year.** This test shall be performed on Conductors, Asst. Conductors, all classes of Engineers and Supervisors while performing a Passenger Class I-A, Class II, or Non-Passenger Class I, Class II, Class III, and Transfer train brake test when required.

D. Additional Rules To Be Tested

When possible, compliance with the following additional rules must be observed:

1. MAP 1173 present in cab and properly filled out. This includes inbound Engineer's notation on MAP 1173 of the condition of the brakes after a Passenger Class IA has been performed and the "Condition En Route" section lists whether any brakes are cut out.
2. Running brake test section P4.2.4 or NP 4.2.5 that is required after performing a Passenger Class I-A, Class II, or Non Passenger Class I, Class II, Class III, and Transfer train brake test.

E. Non-Compliance Defined

The test is a non-compliance if a required air brake test is not performed correctly.

Note: Failure to perform a NP-Class I, NP-Class II, NP-Class III or transfer train and yard test, or Failure to perform a P-Class IA or P-Class II brake test, or Failure to perform a Passenger Running brake test after performing the required P-Class I, P-Class IA or P-Class II brake test requires **suspension of Locomotive Engineer Certificate** using NRPC Form 2943. Check the box labeled "Operating a locomotive or train without adhering to procedures for the safe use of train or engine brakes."

Non-compliance in any other rules, or of the additional rules listed in section D, above, must be entered as non-compliances separately under the appropriate TEST number.

TEST 134 - TRAIN HANDLING/FUEL & ENERGY CONSERVATION

CHECK METHOD: T (only if "Set-up" test)

A. Description of Test

This test checks for compliance with AMT-3 Air Brake and Train Handling instructions and System General Road Foreman Notices pertaining to fuel conservation and isolating locomotives.

B. Conditions for Test

Supervisors/DSLE will observe all Engineers **at least twice a year** during their bi-annual 1875 evaluation ride for compliance with train handling using dynamic brake, blended brake, cruise control, unit isolation, and unit shut down.

Supervisors/DSLE will observe all Student Engineers **at least twice a year** during an 1876 evaluation ride for compliance with train handling using dynamic brake, blended brake, cruise control, unit isolation, and unit shut down.

C. Testing Guidelines

Test must be conducted **at least twice a year** during bi-annual Engineer 1875 ride evaluations or Student Engineer 1876 evaluations. Quarterly event recorder downloads may be used for additional tests.

D. Additional Rules To Be Tested

AMT-3 Air Brake and Train Handling instructions section 5, and other instructions that apply.

E. Non-Compliance Defined

The test is a non-compliance if:

- Braking with power applied on passenger trains that are not mixed consist. (When applicable – Supervisor must use discretion when small speed reductions are required or unusual conditions such as cab signal drop or second station stop.)
- Not using blended brake (When applicable – Supervisor must use discretion when small speed reductions are required or unusual conditions such as cab signal drop or second station stop.)
- Not using cruise control properly.
- Not isolating units as per System General Road Foreman Notices.
- Not shutting units down as per System General Road Foreman Notices.

Note: Follow up testing must be done when these procedures have not been complied with.

Non-compliance in any other rules, or of the additional rules listed in section D, above, must be entered as non-compliances separately under the appropriate TEST number.

TEST 135 - USE OF ELECTRONIC DEVICES

(49 CFR 220 Subpart C)
CHECK METHOD: N/A (Note: "Set-up" Tests are specifically prohibited)

A. Description of Test

This test checks for compliance with the regulations and related Amtrak rules and special instructions that pertain to the use of electronic and electrical devices.

B. Conditions for Test

This test applies to T&E employees and other employees engaged in or connected to the movement of trains, or of on-track and other maintenance of way machinery.

C. Testing Guidelines

Although this test checks for compliance with the regulations, the related Amtrak rules and special instructions as found in the Subdivision General Order or Bulletin Order are in many cases more restrictive and will govern.

1. When employees are required to perform service, observe that all personal electronic devices are turned off and stowed out of sight, off the employee's body, including any earpieces, headphones, etc. (NOTE: You may ask to see but, may not call an employee's cell phone to determine compliance).
2. When in the cab of a moving locomotive or on-track equipment observe that:
   a. The employee at the controls does not use any electronic device, other than a specifically approved railroad-supplied device (radio, remote control transmitter to control switches, etc.) **Note:** Cell phones, including railroad-supplied cell phones, may never be used by the employee at the controls of a moving locomotive or on-track equipment.
   b. Other employees in the cab who are not at the controls use railroad-supplied electronic devices only after a safety briefing with all assigned crew members who agree that it is safe to do so, and only for authorized business purposes.
3. When the employee is on duty and required to perform service (not on an approved break) observe that:
   a. The employee using a railroad-supplied electronic device is using it for an approved business purpose.

AND

   b. Such use does not interfere with any safety related duties (reminding engineer of restrictions, acknowledging signals, etc.)

D. Additional Rules To Be Tested – N/A

E. Non-Compliance Defined

The test is a non-compliance if there is any Failure to comply with the related procedures listed in Section C, above. The following are specific examples of non-compliances of this test.

- Use of an Amtrak-supplied electronic device for other than an authorized business purpose;
- A personal electronic device in plain sight;
- A personal electronic device not turned off, regardless of where it is located;
- A personal electronic device on the employee's person, regardless of whether it is on or off.

TEST 136 - SUPERVISOR QUALIFICATION ON TESTS PROGRAM

CHECK METHOD: N/A

A. Description of Test

This test is used to document a supervisor's qualifications to perform and record in TESTS the employee observations described in this Guide.

B. Conditions for Test

Before a supervisor is permitted to begin performing the tests in this Guide, a TEST 136 must be entered on that supervisor (by a qualified TESTS instructor) to document that the supervisor is qualified to perform these tests. This determination may be made by personally interviewing the supervisor to determine his or her qualifications, by reviewing the supervisor's record of testing, or by conducting a class with the supervisor.

C. Testing Guidelines

The manager who enters a TEST 136 on a supervisor must ensure that the supervisor understands:

1. That he or she must be qualified on the operating rules, instructions or procedures that govern the employee behaviors that they document in TESTS.
2. That he or she must be qualified on the specific TESTS procedures described in this Guide, and that the tests must be performed in accordance with this Guide and any other supplemental instructions that may be issued.
3. That before performing a "One-Half the Range of Vision", "Set-up" or Controlled Communication" test, appropriate field training in the type of test being performed must be received.

D. Additional Rules To Be Tested – N/A

E. Non-Compliance Defined – N/A

This test will only be entered after all conditions and testing guidelines described above have been met. A separate training record must be created in SAP for the appropriate course.

TEST 137 - SUPERVISOR FIELD TRAINING ON TESTS

CHECK METHOD: N/A

A. Description of Test

This test is used to document additional field training received by a supervisor before performing any of the TESTS listed in this Guide as "One-Half the Range of Vision", Set-up" or "Controlled Communication".

B. Conditions for Test

A supervisor who is qualified to perform the TESTS listed in this Guide as "One-Half the Range of Vision", Set-up" or "Controlled Communication" will be in charge and must ensure that the conditions and testing guidelines for the specific test are met.

C. Testing Guidelines

The supervisor in charge must review the testing guidelines of the specific test being performed with the supervisor being trained. Instruction on how to properly perform the test must be provided and all applicable procedures demonstrated. Any tasks assigned to the supervisor being trained must be observed for compliance with all operating and safety rules and instructions.

Record a TEST 137 on the supervisor receiving this training, and enter the number of the specific TEST(S) in the Comments field, adding "CCT" if the test included a "Controlled Communication Test". NOTE: The Comments field may contain more than one TEST if the training being provided covered the applicable procedures for all TESTS listed. For example, TEST 107 Delayed in Block could include all of the procedures applicable to TEST 101 Stopping within One-Half the Range of Vision Test and both should be listed. This test cannot be saved without the comment field completed.

Record separately the actual test performed under the appropriate TEST number, by the supervisor(s) qualified to perform such test.

D. Additional Rules To Be Tested – N/A

E. Non-Compliance Defined – N/A

This test will only be entered after all conditions and testing guidelines described above have been met. A separate training record must be created in SAP for the appropriate course.

TEST 138 - CONDUCTOR CERTIFICATION

CHECK METHOD: N/A

A. Description of Test

This test checks compliance with rules governing Conductor Certification. When TEST number is preceded by "FRA", this test indicates completion of the knowledge skills portion (inclusive of the requirements of 49CFR Part 218 Subpart F) of the certification/recertification process.

B. Conditions for Test

This test requires that an employee is required to be certified as a passenger conductor or conductor under 49CFR Part 242.

C. Testing Guidelines

This test checks for compliance with the following:

1. **Working (138):** For employees required to be certified as passenger conductors or conductors:
   - **a.** Employee has current certificate in their possession.
   - **b.** Employee is in charge of a train within their physical characteristics qualifications.
   - **c.** Certificate is legible and unaltered.
   - **d.** Certificate shows date of last annual calendar year evaluation ride.
   - **e.** Employee is in compliance with hearing and/or vision restrictions listed on their certificate.

   The TEST number for the above should be entered as "138".
2. **Certification (FRA138):** For employees completing the certification/recertification process:
   - **a.** Employee successfully passes knowledge skills test for certification/recertification for passenger conductors or conductors (including 49CFR Part 218 Subpart F requirements).
   - **b.** Passenger Conductors must also be current on CFR Part 239 (Test 699)

   The TEST number for documenting successful completion of this portion of the certification/recertification process should be entered as "FRA138".

D. Additional Rules To Be Tested – N/A

E. Non-Compliance Defined

The test is a non-compliance if:

1. Employee does not have certificate in their possession while in charge of a train.
2. Employee is in charge of a train outside of their physical characteristics qualifications.
3. Employee does not have the relevant corrective device(s) notated on their certificate (corrective lenses or a hearing aid or both).

NOTE: If an employee is out of date for their evaluation ride, take immediate action to determine whose accountability roster the employee belongs to and notify that supervisor. If you are riding with the employee and have observed operational performance then sign the certificate. Evaluation must last a sufficient distance or time to properly evaluate a conductor's ability to perform the services described in this instruction.

Illegible or altered certificates must be immediately replaced (if alteration is willful and for the purposes of falsifying the certificate, test must be shown as a non-compliance, certificate lifted and discipline handled accordingly).

TEST 139 - POSITIONING & SECURING UNATTENDED EQUIPMENT

CHECK METHOD: N/A

A. Description of Test

This test checks compliance by train and engine crews, and by Mechanical and Engineering Department employees, with rules that govern the positioning and securement of equipment left unattended. This test can be done in conjunction with Test 117, ensuring equipment is left in the clear.

B. Conditions for Test

This test requires equipment to be left unattended.

C. Testing Guidelines

This test checks for compliance with the following:

1. **Positioning of equipment:**
   - **a.** Unattended equipment is left in the clear of a connecting track where fouling points are identified.
   - **b.** Unattended equipment is left in the clear of a connecting track where fouling points are not identified.
   - **c.** Employee demonstrates proper procedures for determining fouling points where not marked.
2. **Securing equipment:**
   - **a.** Unattended equipment is secured by other than air brakes.
   - **b.** Proper number of hand brakes applied (see AMT-3 Rule 3.5).
   - **c.** Employee followed the proper procedure for determining the effectiveness of the securement.
   - **d.** Chocks or skates are used where required.

Note: Supervisor must enter Test 198 with "Test 139" in the "Comment" field, instead of entering Test 139 when determining fouling points involves a discussion rather than an observation of the employee performing the task. If the discussion also involves leaving the equipment in the clear, Test 117 should also be entered in the comment section of Test 198.

D. Additional Rules to be Tested

- **a.** Compliance with the requirements for job briefings (TEST 130) must be observed during this test.
- **b.** Compliance with AMT-3 Instruction 3.5, (if applicable) must be observed during this test.

E. Non-Compliance Defined

The test is a non-compliance if:

1. The equipment is left beyond a fouling point or fouling a connecting track.
2. The employee does not follow the prescribed procedure for determining a fouling point, or cannot explain or demonstrate the proper procedure.
3. Unattended equipment is not properly secured, or securement is not properly tested for effectiveness.

TEST 140 - ATTENTION TO DUTY WHILE OCCUPYING AN OPERATING CAB

CHECK METHOD: V (Review of Inward Facing Locomotive Camera Records)

A. Description of Test

This test checks compliance by any individual located in a locomotive cab, with rules that govern prohibited behaviors and attention to duty while occupying the cab of a locomotive equipped with an inward facing camera. The test involves the use of audio and/or video recordings from the locomotive's inward facing camera.

B. Conditions for Test

This may be performed any time one or more individuals are occupying a locomotive cab or other on-track equipment with an inward facing camera system.

Note: Only those supervisors who have successfully completed training on the camera download procedures are authorized to perform this test.

C. Testing Guidelines

This test requires audio/video download(s) from the locomotive inward facing camera system. It checks for compliance with the rules associated with attention to duty, the operation of the train, directing the movement from the cab, and/or occupying the head end of the train. While compliance with any applicable rule can be documented, the following are areas of focus.

1. Alertness / Attention to Duty
   - **a.** All employees comply with the requirements for attention to duty, observance of signals, reading or possessing material or documents that are not authorized, etc.
2. Unauthorized Persons on Equipment
   - **a.** Only authorized persons are occupying the operating cab.
   - **b.** Number of people occupying the operating cab does not exceed the maximum allowed.

Note: Supervisor must enter information in the Comment field indicating the specific tasks observed/evaluated.

D. Additional Rules to be Tested

1. Electronic devices:
   - a. All employees comply with the requirements for personal and railroad-supplied electronic devices.
2. Communications:
   - a. All employees comply with the requirements for communicating information relevant to the operation of the train, such as mandatory directives, signals, temporary speed restrictions, etc.
   - b. If applicable, all employees comply with restrictions on communications and non-safety critical duties, such as rules for Sterile Cab, Red Cab, Quiet Cab, Two Mile Focus Zone, etc.
3. Tampering (Test 199):
   - a. All employees comply with the prohibitions against tampering with, nullifying or altering the intended function of a safety device.
4. Compliance with any rule may be observed and documented.

E. Non-Compliance Defined

The test is a non-compliance if:

1. An employee does not comply with the requirements to remain attentive to duties.
2. An employee does not comply with the rules governing the number of people authorized to occupy the cab.
3. An employee violates any rule.

Non-compliance in any other rules, or of the additional rules listed in section D, above, must be entered as non-compliances separately under the appropriate TEST number. The non-compliance must be entered under that test, with the note added to the Comment field "Non-compliance observed during a Test 140."

TEST 198 - EMPLOYEE INSTRUCTION

CHECK METHOD: N/A

A. Description of Test

This test serves to record specific instructions that are delivered to employees.

B. Conditions for Test

This test is to be used when you are directed to document that specific instructions have been conveyed to employees. This has formerly been known as a "briefing" or as a "blitz". You may also use this TEST number to record face-to-face conferences with, or instructions given, to an employee on any operating rule, safety rule, or other instruction.

C. Testing Guidelines

This TEST is only for oral reviews or to document receipt of written instructions. Use TEST 125 Required Exams for any written exam.

Any test that is entered as a TEST 198 EMPLOYEE INSTRUCTION must include information in the "Comments" field. Enter either the prescribed information (letters and/or numbers used to identify the precise activity) that you have been provided or the specific rule book and the rule number, followed by a brief description. This test cannot be saved without the comment field completed. The "Discussed w/Employee?" checkbox must be checked when TEST 198 is entered to document employee acknowledgement of conversation or receipt of instructions.

This TEST is **not** counted toward any TESTS target, except as provided for when used to document discussion of requirements of TESTS 117, 118 and 139.

D. Additional Rules To Be Tested -NA

E. Non-Compliance Defined

The test is a non-compliance if:

1. When applicable, if employee fails to obtain a copy of written instructions when notified to do so, or otherwise refuses to accept the instruction given.

TEST 199 - ALL OTHER TESTS

CHECK METHOD: N/A

A. Description of Test

This test is for all other tests or observations not included in the previous list of tests for T & E, TD, MW or ME employees.

B. Conditions for Test

As applicable.

C. Testing Guidelines

Verify that the rule or instruction being tested here is not included in any other TEST as shown in this Guide. The preceding TESTS are broad categories that should encompass most activities.

Any test that is entered as a TEST 199 ALL OTHER TESTS **must** identify the specific rule in the "Comments" field. **Enter the specific rule book and the rule number, followed by a brief description.** This test cannot be saved without the comment field completed.

D. Additional Rules To Be Tested -NA

E. Non-Compliance Defined

The test is a non-compliance if:

Failure to comply with the specified rule or instruction.

20. TESTS on Train Dispatchers/Train Directors and Block Operators

T&E TESTS THAT APPLY TO TRAIN DISPATCHERS AND BLOCK OPERATORS:

- 120 Radio Procedures
- 121 Required Documents
- 125 Required Exams
- 126 Equipment Restrictions/Defect Detectors
- 127 Hazardous Materials Rules
- 128 Drug & Alcohol
- 129 Safety Rules
- 130 Job Briefings
- 132 Electrical Operating Instructions (AMT-2)
- 135 Use of Electronic Devices
- 198 Employee Instruction
- 199 All Other Tests or Observations
- 699 Emergency Preparedness

TEST 201 - FORM D (WRITTEN DIRECTIVES)

A. Description of Test

This test checks compliance by train directors/train dispatchers/operators with the requirements of issuing, completing, addressing, delivering and canceling Form D's. Where other than NORAC rules are in effect, this test applies to other forms of written directives that are issued to restrict or authorize movements.

B. Conditions for Test

This test requires that a Form D (or other written directive) is being, or has been, issued.

C. Testing Guidelines

This test can be performed while the testing officer is riding a train, in the train dispatcher office, or while monitoring radio or taped transmissions.

A valid test could include, when appropriate safeguards are provided, instructing employees to repeat information incorrectly to determine other employee's compliance with the rules. This must only be done on foreign railroads when accompanied, or authorized by, the appropriate officers of the host railroad.

This test must include the following, when applicable:

1. Form D is properly numbered and addressed.
2. Additional written copies are repeated correctly and initialed.
3. Delivery procedures are followed.
4. Only prescribed additions are made to a Form D that has been given a "Time Effective".
5. Canceling a Form D is done in the prescribed manner and marked with an "X".

D. Additional Rules To Be Tested

Compliance with the following additional rules (if applicable) must be observed during this test:

1. Proper radio procedure.
2. Application of blocking devices, when required.
3. Records retained as required.

E. Non-Compliance Defined

The test is a non-compliance if:

1. Form D is improperly numbered, addressed or canceled.
2. Errors in repeating are not corrected.
3. Failure to deliver a Form D, or to protect delivery where required.
4. Additions are made that are not prescribed by the rules.

Non-compliance in any other rules, or of the additional rules listed in section D, above, must be entered as non-compliances separately under the appropriate TEST number.

TEST 202 - BLOCKING DEVICES

A. Description of Test

This test checks compliance by train directors/train dispatchers/operators with the requirements for placing, recording and removal of blocking devices.

B. Conditions for Test

This test requires that the use of blocking devices is required by rule at the time of the test. Examples of such rules include blue signal protection, RWP protection, additional restrictions issued to trains, reverse movements, and authorization to pass stop signal. If testing after the fact by checking the record of blocking devices, enter that type of test under TEST 213 RECORDS.

C. Testing Guidelines

This test looks for technical proficiency in compliance with the rules for the actual placement, recording and removal of blocking devices. It can be performed either as a "stand-alone" test or in conjunction with a test on the rule that requires the blocking devices (blue signal protection, RWP protection, etc.).

This test must include the following, when applicable:

1. Blocking devices are applied before protection is confirmed to the requesting employee.
2. Written record (where required) is made at once.
3. Proper blocking is used and remains applied until protection is no longer required.
4. Alternate blocking is used properly if necessary to route a train around the protected track.

D. Additional Rules To Be Tested

Compliance with the following additional rules (if applicable) must be observed during this test:

1. Proper radio procedure.

E. Non-Compliance Defined

The test is a non-compliance if:

1. Blocking devices are not applied before confirming protection to the employee requesting it.
2. Written record (when required) is not made at once.
3. Blocking applied was not sufficient to provide protection or it was removed prior to the time it was no longer required.

Non-compliance in any other rules, or of the additional rules listed in section D, above, must be entered as non-compliances separately under the appropriate TEST number.

TEST 203 - BLUE SIGNAL PROTECTION

A. Description of Test

This test checks compliance by train directors/train dispatchers/operators with the requirements for providing blue signal protection by lining a remote control switch against movement to the track being protected.

B. Conditions for Test

This test requires that blue signal protection is being requested or released, or that it is in effect at the time of the test.

C. Testing Guidelines

This test looks for compliance with rules that are specific to providing blue signal protection. It can be performed either as a "stand-alone" test or in conjunction with TEST 202 BLOCKING DEVICES.

This test must include the following, when applicable:

1. The confirmation of protection to the employee requesting it must be in the proper format.
2. Protection is provided by a remote control switch lined against movement onto the track and blocking devices applied.
3. Ensure that the releasing employee has permission from the requesting employee, if not the same person.

Most of these tests will be done while the testing officer is directly observing the train director/train dispatcher. However, this test can be performed while reviewing tapes and/or computer records to verify the timing of the protection being applied and the proper position of switches. Another valid method for this test would be when the testing officer is in the field at the location of the protected track, when the position of the switch providing protection can be observed and communications between the train director/dispatcher and the employee requesting protection can be monitored. In this case the appropriate records should also be reviewed as soon as possible to confirm that all the requirements of this test had been met.

D. Additional Rules To Be Tested

Compliance with the following additional rules (if applicable) must be observed during this test:

1. Proper radio procedure.

E. Non-Compliance Defined

The test is a non-compliance if:

1. Protection is not provided by lining remote control switches against movement onto the affected portion of track, and then applying blocking devices to those switches.

   NOTE: If track, interlocking, segment or signal type blocking is used *without also lining and blocking switches against movement onto* the affected portion of track, the blocking is not adequate for Blue Signal purposes, and constitutes a non-compliance for this test.

Non-compliance in any other rules, or of the additional rules listed in section D, above, must be entered as non-compliances separately under the appropriate TEST number.

TEST 204 - RWP PROTECTION

A. Description of Test

This test checks compliance by train directors/train dispatchers/operators with the requirements for RWP protection by Exclusive Track Occupancy, Foul Time or Inaccessible Track.

B. Conditions for Test

This test requires that RWP protection is being requested or released, or that it is in effect at the time of the test.

C. Testing Guidelines

This test looks for compliance with rules that are specific to providing RWP protection. It can be performed either as a "stand-alone" test or in conjunction with TEST 202 BLOCKING DEVICES. This test can cover any of the following three situations:

1. **Exclusive Track Occupancy**
   - **a.** Written authority is issued using proper procedure and in proper format.
   - **b.** Blocking devices applied when applicable
   - **c.** Trains and additional equipment admitted into limits only with permission of employee in charge.
   - **d.** Protection, when applicable, is not removed until released by employee in charge.

1. **Foul Time**
   - **a.** Foul Time authority is issued using proper procedure, identifying track and limits to be fouled.
   - **b.** Foul Time is not issued when the train dispatcher is aware that work will disturb the track structure or affect the proper operation of the signal system.
   - **c.** Protection, when applicable, is not removed until released by employee in charge

2. **Inaccessible Track**
   - **a.** Protection is provided by a remote control switch lined against movement onto the track and blocking devices applied.
   - **b.** Protection is not removed until released by employee in charge

Most of these tests will be done while the testing officer is directly observing the train director/train dispatcher. However, this test can be performed while reviewing audio/visual tapes and/or computer records to verify the timing of the protection being applied and the proper position of switches.

Another valid method for this test would be when the testing officer is in the field at the location of the protected track, when the position of the switch providing protection can be observed and communications between the train director/dispatcher and the employee requesting protection can be monitored. In this case the appropriate records should also be reviewed as soon as possible to confirm that all the requirements of this test had been met.

D. Additional Rules To Be Tested

Compliance with the following additional rules (if applicable) must be observed during this test:

1. Proper radio procedure.

E. Non-Compliance Defined

The test is a non-compliance if:

1. Failure to comply with any rule governing the issuance, protection, or releasing of RWP protection.

Non-compliance in any other rules, or of the additional rules listed in section D, above, must be entered as non-compliances separately under the appropriate TEST number.

TEST 205 - TRACK CAR PROTECTION

A. Description of Test

This test checks compliance by train directors/train dispatchers/operators with the requirements for providing protection for the movement of track cars.

B. Conditions for Test

This test requires that the movement of track cars on a main track occurs for other than work that is covered by RWP rules.

C. Testing Guidelines

Protection for track cars and other on-track equipment performing work under the scope of RWP rules should be tested under TEST 204 RWP PROTECTION.

This test checks for compliance with the specific rules that govern the movement of track cars. Because track cars do not reliably activate track circuits, the train dispatcher or control operator must provide protection in signaled territory that is not normally required for train or engine movements. This test includes authorization and protection for track cars making movements at interlockings or control points.

This test must include the following, when applicable:

1. The authority for movement is provided in the proper format, either written or verbal as applicable.
2. No trains or other track cars have been authorized in the same limits except as provided for in the rules.
3. Signals governing opposing and following movements have been placed in Stop position and blocking devices applied.
4. The route is properly lined and blocking devices applied until movement over switch(es) has been verified to be completed.

Most of these tests will be done while the testing officer is directly observing the train director/train dispatcher. However, this test can be performed while reviewing audio/visual tapes and/or computer records to verify that proper protection had been applied. Another valid method for this test would be when the testing officer is in the field with the track car or observing its operation and communications between the train director/dispatcher and the employee in charge of the track car can be monitored.

D. Additional Rules To Be Tested

Compliance with the following additional rules (if applicable) must be observed during this test:

1. Proper radio procedure.

E. Non-Compliance Defined

The test is a non-compliance if:

1. Failure to comply with any rule governing the issuance, protection, or releasing of track car protection.

Non-compliance in any other rules, or of the additional rules listed in section D, above, must be entered as non-compliances separately under the appropriate TEST number.

TEST 206 - AUTHORITY TO PASS STOP SIGNAL

A. Description of Test

This test checks compliance by train directors/train dispatchers/operators with the requirements for authorizing a movement to pass a Stop signal.

B. Conditions for Test

This test requires that a movement must be authorized to pass a signal displaying Stop.

C. Testing Guidelines

This test checks that the train dispatcher provides the required protection before authorizing a movement to pass a stop signal.

This test must include the following, when applicable:

1. Authorization to pass Stop signal is given only when the proper signal indication could not be displayed or when Stop signal was required by the rules.
2. The train dispatcher determines that there are no conflicting or opposing movements and none have been authorized.
3. The route is properly lined and blocking devices have been applied (as prescribed by the rules). If necessary to issue instructions to operate a dual control switch in hand, enter separate test under TEST 207 DUAL CONTROL SWITCHES.
4. If signal governs movement over a drawbridge, requirements for inspection by a qualified employee are followed, when applicable.
5. Authorization to pass stop signal is given in proper format, after verifying the train has come to a stop when required.
6. Blocking devices are not removed until the train clears the route or the next controlled location, as appropriate.

D. Additional Rules To Be Tested

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

1. Proper radio procedure.

E. Non-Compliance Defined

The test is a non-compliance if:

1. There is any failure to provide the required protection before, during or after movement.
2. Authorization to pass Stop signal is not given in the prescribed manner, or is given before train has stopped at the signal.

Non-compliance in any other rules, or of the additional rules listed in section D, above, must be entered as non-compliances separately under the appropriate TEST number.

TEST 207 - DUAL CONTROL SWITCHES

A. Description of Test

This test checks compliance by train directors/train dispatchers/operators with the requirements for giving permission to operate dual control switches by hand.

B. Conditions for Test

This test requires that permission to operate dual control switches by hand is given.

C. Testing Guidelines

This test looks for compliance with rules that are specific to giving permission to operate dual control switches by hand. It can be performed either as a "stand-alone" test or in conjunction with TEST 202 BLOCKING DEVICES.

This test must include the following, when applicable:

1. If the position of a dual control switch cannot be determined by control machine indication, movement must not be authorized until an employee is instructed to place it in hand position.
2. Before giving permission, the train dispatcher determines that there are no conflicting or opposing movements and none have been authorized.
3. Signals governing movement over the switch are placed in Stop position and blocking devices applied.
4. Permission is given in the proper format and properly identifies the switch(es) that are to be placed in hand.

Most of these tests will be done while the testing officer is directly observing the train director/train dispatcher. However, this test can be performed while reviewing tapes and/or computer records to verify the timing of the protection being applied and the proper position of switches.

D. Additional Rules To Be Tested

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

1. Proper radio procedure.

E. Non-Compliance Defined

The test is a non-compliance if:

1. Movement over a dual control switch, when its position cannot be determined by control machine indication, is allowed without instructing an employee to place it in hand.
2. Failure to provide proper protection against other movements or to properly apply blocking devices.
3. Failure to use the proper format when giving permission to place switch in hand that could lead to an unsafe condition.

Non-compliance in any other rules, or of the additional rules listed in section D, above, must be entered as non-compliances separately under the appropriate TEST number.

TEST 208 - REVERSE MOVEMENTS

A. Description of Test

This test checks compliance by train directors/train dispatchers/operators with the requirements for giving permission to make a reverse movement.

B. Conditions for Test

This test requires that permission to make a reverse movement is being given.

C. Testing Guidelines

This test looks for compliance with rules that are specific to giving permission to make a reverse movement. It can be performed either as a "stand-alone" test or in conjunction with TEST 202 BLOCKING DEVICES.

This test must include the following, when applicable:

1. Before giving permission, the train dispatcher determines that there are no conflicting or opposing movements and none have been authorized.
2. Signals governing opposing movements are set on Stop and blocking devices applied.
3. Blocking devices are applied on any switches on the affected route.
4. Permission is given in the proper format.

Most of these tests will be done while the testing officer is directly observing the train director/train dispatcher. However, this test can be performed while reviewing tapes and/or computer records to verify the timing of the protection being applied and the proper position of switches.

D. Additional Rules To Be Tested

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

1. Proper radio procedure.

E. Non-Compliance Defined

The test is a non-compliance if:

1. Failure to determine that track is clear of other movements.
2. Failure to provide proper protection against other movements or to properly apply blocking devices.

Non-compliance in any other rules, or of the additional rules listed in section D, above, must be entered as non-compliances separately under the appropriate TEST number.

TEST 209 - CHANGING ESTABLISHED ROUTE

A. Description of Test

This test checks compliance by train directors/train dispatchers/operators with the requirements for taking safeguards before changing an established route.

B. Conditions for Test

This test requires that an interlocking or controlled point signal has been cleared for an approaching train and it is changed to Stop.

C. Testing Guidelines

This test must include the following, when applicable:

1. Signal is not changed to Stop, except in an emergency, until the train has stopped or the engineer advises that the train can stop before reaching the signal.
2. The route is not changed until the train has stopped.

D. Additional Rules To Be Tested

Compliance with the following additional rules (if applicable) must be observed during this test:

1. Proper radio procedure.

E. Non-Compliance Defined

The test is a non-compliance if:

1. Signal is changed to Stop, except in an emergency, before the train stops or before the engineer advises that the train can stop before reaching the signal.
2. Route is changed before train has stopped.

Non-compliance in any other rules, or of the additional rules listed in section D, above, must be entered as non-compliances separately under the appropriate TEST number.

TEST 210 - INTERLOCKING/CONTROL POINTS

A. Description of Test

This test checks compliance by train directors/train dispatchers/operators with rules that govern the use of signals and appliances within interlockings and controlled points, dangerous conditions and the closing of interlocking stations.

B. Conditions for Test

This test requires that the employee charged with operating signals or appliances of an interlocking is observed performing one of the functions listed in item "C" below.

NOTE: Do not use this TEST for other interlocking/controlled point rules that are specifically addressed in

- TEST 204 RWP PROTECTION,
- TEST 205 TRACK CAR PROTECTION,
- TEST 206 AUTHORITY TO PASS STOP SIGNAL,
- TEST 208 REVERSE MOVEMENTS, and
- TEST 209 CHANGING ESTABLISHED ROUTE.

C. Testing Guidelines

This test must include the following, when applicable:

1. Signals are cleared sufficiently in advance of approaching trains to avoid delay.
2. Signals or appliances that are not operating properly, unable to be locked, are damaged, or are undergoing repair are properly protected.
3. Control mechanisms of interlocking appliances are not operated when a train is standing or closely approaching the appliance.
4. Train movements or Rusty Switches / Track that might not shunt are properly protected.
5. When an interlocking station is closed, routes and signals are set to comply with instructions of the dispatcher and building secured.

NOTE: Since the rules observed may vary depending on the actual conditions existing at the time of this TEST, it is recommended that a rule reference be included in the Comments field.

D. Additional Rules To Be Tested

Compliance with the following additional rules (if applicable) must be observed during this test:

- Proper radio procedure.

E. Non-Compliance Defined

The test is a non-compliance if:

1. Failure to follow any of the rules governing interlockings or controlled points, as indicated in section C, above.

Non-compliance in any other rules, or of the additional rules listed in section D, above, must be entered as non-compliances separately under the appropriate TEST number.

TEST 211 - RESTRICTION TO TRAINS

A. Description of Test

This test checks compliance by train directors/train dispatchers/operators with the requirement for ensuring that all trains that could be routed to an affected track are notified of a temporary speed restriction.

B. Conditions for Test

This test requires that a temporary speed restriction must be issued to a train.

C. Testing Guidelines

This test must include the following, when applicable:

1. Blocking devices are applied until all trains en route have been notified
2. The train dispatcher ensures that all trains are notified.

D. Additional Rules To Be Tested

Compliance with the following additional rules (if applicable) must be observed during this test:

1. Proper radio procedure.

E. Non-Compliance Defined

The test is a non-compliance if:

1. The train dispatcher fails to apply blocking devices, when required.
2. The train dispatcher fails to notify all trains that could be affected.

Non-compliance in any other rules, or of the additional rules listed in section D, above, must be entered as non-compliances separately under the appropriate TEST number.

TEST 212 - HIGHWAY CROSSING DEVICES

A. Description of Test

This test checks compliance by train directors/train dispatchers/operators with taking the required actions when notified that automatic highway crossing warning devices are not functioning properly.

B. Conditions for Test

This test requires that a report is received from any source that automatic highway crossing warning devices are not functioning properly.

C. Testing Guidelines

This test must include the following, when applicable:

1. The train dispatcher notifies all trains approaching the crossing in both directions, using proper format (for example, NORAC Form D Line 12).
2. The appropriate C & S personnel are notified.
3. All required records are completed.
4. Notification discontinued only after C & S personnel at the crossing confirm that the crossing warning devices are functioning properly.

D. Additional Rules To Be Tested

Compliance with the following additional rules (if applicable) must be observed during this test:

1. Proper radio procedure.

E. Non-Compliance Defined

The test is a non-compliance if:

1. Failure to notify all trains approaching the crossing.
2. Failure to make any required record or notification.
3. Notification discontinued before receiving confirmation from C & S personnel at the crossing.

Non-compliance in any other rules, or of the additional rules listed in section D, above, must be entered as non-compliances separately under the appropriate TEST number.

TEST 213 - RECORDS

A. Description of Test

This test checks compliance by train directors/train dispatchers/operators with all rules that require records to be made or retained

B. Conditions for Test

This test checks that required records are properly completed and available.

C. Testing Guidelines

This test must include the following, when applicable:

1. Transfer record is completed properly and signed.
2. Record of Train Movement is properly completed, using black ink except for track car movements and blocking devices, which must be recorded in red ink.
3. Hours of service record is properly completed by indicating actual times on duty, off duty, etc.
4. Unusual conditions and weather, when required, are recorded.

D. Additional Rules To Be Tested – N/A

E. Non-Compliance Defined

The test is a non-compliance if:

1. Any required record is not properly completed.

Non-compliance in any other rules, or of the additional rules listed in section D, above, must be entered as non-compliances separately under the appropriate TEST number.

TEST 214 - MAIN TRACK AUTHORITY

A. Description of Test

This test checks compliance by Train Dispatchers with rules for authorizing occupancy of a main track.

B. Conditions for Test

This test requires that a dispatcher is authorizing a train to occupy or operate on a main track by issuance of an authority other than a controlled signal.

C. Testing Guidelines

This test covers compliance with rules for authorizing the occupancy of a main track, issuing the proper authority, conveying proper movement instruction, and ensuring track is clear of other movements, as required by, but not limited to, the following:

1. CTC or ABS territory - when permission is required to pass a Stop Signal or enter at a location other than at a controlled signal.
2. DCS, TWC, or DTC territory - where written authority on the prescribed form is required to occupy a main track.
3. Movement against the current of traffic.
4. Movement in territory where block system / signal system operation has been temporarily suspended and non-signaled territory operating procedures have been instituted.

D. Additional Rules To Be Tested

Compliance with the following additional rules (if applicable) must be observed during this test:

1. Blocking Device Protection.
2. Written Directives, properly completed as per the situation.
3. Proper radio procedures.

E. Non-Compliance Defined

The test is a non-compliance if:

1. Train is permitted to occupy a main track or continue movement without proper authority.
2. Authority is issued on a segment of track on which another movement authority remains in effect when prohibited by rule.
3. Tracks are not clear of other movements, when required.

Non-compliance in any other rules, or of the additional rules listed in section D, above, must be entered as non-compliances separately under the appropriate TEST number. Blocking Devices – TEST 202; Written Directives – TEST 201; Radio Procedures – TEST 120; Highway Crossing Devices - TEST 212.

T&E TESTS THAT APPLY ENGINEERING DEPARTMENT EMPLOYEES

- 101 Stopping within One-Half the Range of Vision Test*
- 102 Stop Signal*
- 103 Dark Signal*
- 104 Stop & Proceed Signal*
- 105 Other Signal Indications*
- 109 Blue Signal
- 110 Air Brake Tests*
- 112 Written Directives
- 113 Interlocking/Control Points
- 117 Switches & Switching
- 118 Shoving & Back-Up Moves
- 119 Calling signals/restrictions*
- 120 Radio Procedures
- 121 Required Documents
- 122 Whistle/Bell/Headlight/Markers
- 125 Required Exams
- 126 Equipment Restrictions/Detectors/Inspections
- 128 Drug & Alcohol
- 129 Safety Rules
- 132 Electrical Operating Instructions (AMT-2)
- 135 Use of Electronic Devices
- 139 Positioning & Securement of Equipment
- 198 Employee Instruction
- 199 All Other Tests or Observations

* TESTS marked with an asterisk (*) apply to Brandt Truck, Specialized MW Equipment and any on track equipment that is operated under train and engine rules as regards signal indications, and/or air brake instructions.

TEST 313 - INDIVIDUAL RESPONSIBILITY

A. Description of Test

This test checks compliance by roadway workers with the general requirements of Amtrak's on-track safety program, including the individual's responsibility for following the program.

B. Conditions of Test

This test may be performed anytime that roadway workers are on duty.

C. Testing Guidelines

This test may be performed by observation or by directly questioning an employee. It can be used as a "stand alone" test or used in conjunction with other tests. For example, a good test would be for the testing officer to approach an employee fouling a track while performing work and ask for a description of the on-track safety being provided. If the answer is "Individual Train Detection", then TEST 337 LONE WORKER should also be performed.

This test could include any of the following:

1. Employee does not foul a track except when necessary for the performance of duty.
2. Employee does not foul a track until ascertaining that on-track safety is being provided.
3. Employee refuses to violate Amtrak's on-track safety program.
4. Employee informs employer whenever a good faith determination that on-track safety to be applied on a job does not comply with Amtrak's on-track safety program.

D. Additional Rules To Be Tested – N/A

E. Non-Compliance Defined

The test is a non-compliance if:

1. Employee is fouling a track while performing work without knowing if on-track safety is being provided.
2. Employee is fouling a track while performing work without the applicable on-track safety being provided.
3. Employee knowingly violates Amtrak's on-track safety program.

TEST 316 - JOB BRIEFINGS

A. Description of Test

This test checks compliance by roadway workers with the requirement to participate in an RWP job briefing prior to performing any task that requires fouling a track or has the potential to foul a track.

B. Conditions of Test

This test requires that roadway workers are setting up or performing any task that requires fouling a track or has the potential to foul a track.

C. Testing Guidelines

This test is best performed by observing the actual job briefing, verifying that all employees participated. Another way to perform this test would be for the testing officer to approach an employee fouling a track while performing work and ask for a description of the job briefing. This test must include the following, when applicable:

1. Job briefing includes the means by which on-track safety will be provided.
2. Job briefing is conducted by the designated employee and properly logged by the supervisor.
3. Job briefing includes all roadway workers, including those who arrive after the initial job briefing.
4. Job briefing is not complete until all roadway workers acknowledge understanding of the on-track safety being used.

D. Additional Rules To Be Tested – N/A

E. Non-Compliance Defined

The test is a non-compliance if:

1. Job briefing is not performed, or is not performed properly.
2. Roadway worker does not participate in a job briefing.

TEST 321 - EXCLUSIVE TRACK OCCUPANCY

A. Description of Test

This test checks compliance by roadway workers (or conductor flagmen) with the rules governing establishment of exclusive track occupancy on controlled tracks, under the applicable rules of the rule book under which they are working.

B. Conditions of Test

This test requires that roadway workers (or conductor flagmen) are setting up or working under rules governing exclusive track occupancy.

C. Testing Guidelines

This test should include all applicable rules governing the establishment and working under exclusive track occupancy. Testing officers should have a copy of the written authority to occupy the track and should attempt to remain unseen by the employees for at least an initial period of observation of items 1-4, below.

The following should be verified:

1. Written authority properly completed and in possession of employee in charge.
2. Track flags/signs are properly displayed, at the specified locations, when required.
3. Barricades are properly erected where required. When *shunting* barricades are required, the shunt must be properly verified.
4. Permission to trains or other employees to enter the limits is given in the proper format.
5. Roadway workers within the working limits are notified before trains are permitted to enter the limits and either leave the track or have been afforded on-track safety through train approach warning.
6. Roadway workers can demonstrate knowledge of on-track safety being provided. If an employee is seen to be working after a train has been given permission to enter the limits, question that employee about the on-track safety being provided.

D. Additional Rules To Be Tested

Compliance with the following additional rules (if applicable) must be observed during this test:

1. Radio procedures, including proper terminology and prescribed formats, where applicable.
2. Personal protective equipment in use.

E. Non-Compliance Defined

The test is a non-compliance if:

1. Written authority is incomplete, improper, or not in possession of employee in charge.
2. Track is fouled or occupied before exclusive track occupancy is in effect or track flags/signs are displayed.
3. Track flags/signs are improperly displayed.
4. Barricades are not properly erected or shunt is not properly verified.
5. Roadway workers are not notified or fail to clear the track before a train is permitted to enter the working limits.

Non-compliance in any other rules, or of the additional rules listed in section D, above, must be entered as non-compliances separately under the appropriate TEST number.

TEST 323 - FOUL TIME

A. Description of Test

This test checks compliance by roadway workers, including conductor flagmen, with the rules that govern the establishment of working limits on controlled tracks, using "Foul Time".

B. Conditions of Test

This test requires that a roadway worker, including conductor flagmen, is providing on-track safety using "Foul Time".

C. Testing Guidelines

This test must include all applicable rules governing the establishment and working under "Foul Time". Testing officers should first determine that "Foul Time" is the appropriate form of on-track safety.

The following should be verified:

1. Work does not disturb the track structure or affect the proper operation of the signal system.
2. On-track equipment is not fouling or occupying main tracks.
3. "Foul Time" is being used only on controlled track.
4. Employee contacts train dispatcher to request foul time, identifying the track to be fouled, the track limits required and the time desired.
5. Foul time authority is obtained before occupying or fouling track.
6. Supplemental Shunting Devices (SSD) are used when required, and shunt is properly verified.
7. Foul time is released only after clear of track.

D. Additional Rules To Be Tested

Compliance with the following additional rules (if applicable) must be observed during this test:

1. Proper job briefing conducted for on-track safety
2. Radio procedures, including proper terminology and prescribed formats, where applicable.
3. Personal protective equipment in use.

E. Non-Compliance Defined

The test is a non-compliance if:

1. Use of "Foul Time" is not appropriate for type of work being performed, or on non-controlled track.
2. Track is fouled or occupied before "Foul Time" is obtained.
3. Supplemental Shunting Devices are not used when required or shunt not properly verified
4. "Foul Time" is released before clear of track.

Non-compliance in any other rules, or of the additional rules listed in section D, above, must be entered as non-compliances separately under the appropriate TEST number.

TEST 325 - TRAIN COORDINATION

A. Description of Test

This test checks compliance by roadway workers with the rules that govern the establishment of working limits on controlled tracks using "Train Coordination".

B. Conditions of Test

This test requires that roadway workers providing on-track safety are using Train Coordination, in which working limits are established by a roadway worker through the use of a train's authority on a main track or other controlled track.

C. Testing Guidelines

Train Coordination is a significantly different method of providing on-track safety since it relies on the train's authority to provide working limits. This should not be confused with exclusive track occupancy where the employee in charge must give authority to any train or equipment to enter the limits. Train Coordination will most often be used in situations where it is necessary for a roadway worker to assist or work with a train and when other means of providing working limits are not practical. Therefore, testing officers should be alert for opportunities to perform this type of test whenever the situation arises. Note that an important part of this test includes ensuring that the train crew has a full understanding of the restrictions on their train's movement. When possible, question train crew members to verify that this information has been conveyed to them by the roadway worker.

The following should be verified:

1. Only one train holds exclusive authority to move on the segment of controlled track where working limits have been established under train coordination.
2. The train is visible to the roadway worker before working limits using train coordination are established.
3. The roadway worker must communicate with a crew member of the train and reach an understanding that the train is stopped and will make further movements only as permitted by the roadway worker in charge, and that the train will not give up its exclusive authority until released by the roadway worker in charge.

D. Additional Rules To Be Tested

Compliance with the following additional rules (if applicable) must be observed during this test:

1. Radio procedures, including proper terminology and prescribed formats.
2. Personal protective equipment in use.

E. Non-Compliance Defined

The test is a non-compliance if:

1. Any of the required conditions for train coordination have not been met, or roadway worker fails to determine that train crew understands all required conditions under which working limits are to be established.

Non-compliance in any other rules, or of the additional rules listed in section D, above, must be entered as non-compliances separately under the appropriate TEST number.

TEST 327 - INACCESSIBLE TRACK

A. Description of Test

This test checks compliance by roadway workers with the rules that govern the establishment of working limits on non-controlled tracks by making the track physically inaccessible to trains.

B. Conditions of Test

This test requires that roadway workers are providing on-track safety on a non-controlled track by using "Inaccessible Track", in which working limits are established by a roadway worker by making the track physically inaccessible to trains. If the work being performed will disturb the track structure, then "Inaccessible Track" must be used. Otherwise, Individual Train Detection or Train Approach Warning by Watchman/Lookouts may be used on non-controlled track.

C. Testing Guidelines

When working limits are established on non-controlled track, verify that the requirements of "Inaccessible Track" have been met by one or more of the following methods:

1. A switch lined against movement to that track and secured with an effective locking device.
2. A remote control switch lined against movement to that track and the switch operator confirms that locking devices have been applied to the controls of that switch.
3. A derail capable of restricting access to the portion of track where working limits are established and secured with an effective locking device.
4. A discontinuity in the rail capable of restricting access to the portion of track where working limits are established.

NOTE: Methods 3 & 4 also require that a red flag be placed at the derail or rail discontinuity location and that there is at least 150 feet between that location and the nearest location where track may be fouled by roadway workers.

1. A flagman with instructions to hold all trains and equipment.

D. Additional Rules To Be Tested

Compliance with the following additional rules (if applicable) must be observed during this test:

1. Radio procedures, including proper terminology and prescribed formats.
2. Personal protective equipment in use.

E. Non-Compliance Defined

The test is a non-compliance if:

1. Working limits using "Inaccessible Track" were not established when required.
2. Working limits using "Inaccessible Track" were not protected as specified.

Non-compliance in any other rules, or of the additional rules listed in section D, above, must be entered as non-compliances separately under the appropriate TEST number.

TEST 328 - PROTECTION IN MECHANICAL FACILITIES

A. Description of Test

This test checks compliance by roadway workers with the rules that govern work within mechanical facilities or on a non-controlled track with rolling equipment/locomotives occupying the working limits.

B. Conditions of Test

This test requires that roadway workers are providing on-track safety on a non-controlled track that is within a mechanical facility or on a track with rolling equipment/locomotives occupying the working limits. In most cases on-track safety will be provided by "Inaccessible Track", and tests for compliance with these requirements should be entered under Test 327 INACCESSIBLE TRACK. This test (328) covers the additional requirements when roadway workers are in areas where mechanical employees may be working and it is important to ensure that RWP and Blue Signal protection is not shared. This test also covers the securing of rolling equipment that is occupying the working limits of roadway workers.

C. Testing Guidelines

This test must include the following, when applicable:

1. When roadway workers are performing work in a mechanical facility with no rolling equipment in working limits:
    a. The RWP employee in charge has notified the Mechanical Foreman and/or Yardmaster of the intended work.
    b. Switches or derails are locked with an effective RWP securing device and tag. Where applicable, protection by remotely controlled switches must be requested by the RWP employee in charge.
2. When roadway workers are performing work in a mechanical facility or any non-controlled track with rolling equipment in working limits:
    a. If working in conjunction with Mechanical employees who are using Blue Signal protection, RWP employees will also apply RWP effective securing devices, using multiple locking devices where provided.
    b. Rolling equipment must be secured against movement and locomotives secured by utilizing RWP tags attached to the Operator's console.

D. Additional Rules To Be Tested

Compliance with the following additional rules (if applicable) must be observed during this test:

1. Personal protective equipment in use.

E. Non-Compliance Defined

The test is a non-compliance if:

1. Required protection is not provided by the RWP employee in charge.

Non-compliance in any of the additional rules listed in section D, above, must be entered as non-compliances separately under the appropriate TEST number.

TEST 329 - WARNING PROVIDED BY WATCHMAN

A. Description of Test

This test checks compliance by roadway workers with the rules governing train approach warning provided by gang watchmen/advance watchmen.

B. Conditions of Test

This test requires that roadway workers are using train approach warning for on-track safety. Train approach warning is always required when working limits are established and adjacent tracks are unprotected.

C. Testing Guidelines

This test must include all applicable rules governing the establishment and working under train approach warning. Testing officers should verify that the conditions for use of train approach warning are met and that watchmen are in proper position and properly equipped.

1. Verify that the conditions for train approach warning are met:
   - **a.** Roadway workers have sufficient time to be in the clear at least 15 seconds before the arrival of a train.
   - **b.** The place of safety must be in the clear of all tracks, or onto a track where working limits are established for on-track safety.
   - **c.** The warning method must not require that an employee be looking in any particular direction at the time of warning and it must be detected regardless of noise or distraction.
2. Verify that watchmen are properly equipped and positioned:
   - **a.** Watchmen give their entire attention to watching for trains and stay in position until instructed.
   - **b.** Watchmen are equipped with prescribed signaling devices.
   - **c.** Advance watchmen, or additional watchmen prescribed for use with noisy machinery or other conditions, are provided when required.

D. Additional Rules To Be Tested

Compliance with the following additional rules (if applicable) must be observed during this test:

1. Personal protective equipment in use.

E. Non-Compliance Defined

The test is a non-compliance if:

1. Train approach warning is used when conditions for this type of on-track safety have not been met.
2. Watchmen are not in proper position, not properly equipped, or not attentive to their duties.

Non-compliance in any of the additional rules listed in section D, above, should be entered as non-compliances separately under the appropriate TEST number.

TEST 337 - LONE WORKER / INDIVIDUAL TRAIN DETECTION

A. Description of Test

This test checks compliance of roadway workers with the rules governing on-track safety procedures for lone workers.

B. Conditions of Test

This test requires that a roadway worker is performing work involving routine inspection or minor correction and is not being afforded on-track protection by another roadway worker, is not a member of a roadway work group, and is not engaged in a common task with another roadway worker.

C. Testing Guidelines

This test should first determine that all of the above conditions are met by a roadway worker who is using "Individual Train Detection" for on-track safety. If any of the above conditions are not being met, instruct the employee to remain clear of the track until another form of on-track safety is provided and record this test as a non-compliance.

Tests on a lone worker using "Individual Train Detection" must include:

1. The position or activity does not interfere with the worker's ability to maintain a vigilant lookout for and detect a train moving in either direction.
2. The lone worker is able to visually detect a train moving at the maximum authorized speed and move to a place of safety not less than 15 seconds before the train would arrive at the location of the lone worker.
3. The place of safety is not on a track, unless working limits are established on that track.
4. Written Statement of On-Track Safety has been properly completed and is in the possession of the roadway worker.
5. Individual Train Detection is not being used inside the limits of a manual interlocking or controlled point.

D. Additional Rules To Be Tested

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

1. Personal protective equipment in use.

E. Non-Compliance Defined

The test is a non-compliance if:

1. Individual Train Detection is being used when conditions do not permit its use.
2. Written Statement of On-Track Safety has not been properly completed or provided to the testing officers when requested.

Non-compliance in any of the additional rules listed in section D, above, must be entered as non-compliances separately under the appropriate TEST number.

TEST 341 - ON-TRACK EQUIPMENT

A. Description of Test

This test checks compliance by roadway workers with the specific provisions of the on-track safety program for those who operate or work near roadway maintenance machines.

B. Conditions of Test

This test requires that roadway workers are operating or working near roadway maintenance machines.

C. Testing Guidelines

This test should include all applicable rules governing on-track safety on or near roadway maintenance machines.

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

1. Operators have been trained and qualified on the roadway maintenance machine and have complete knowledge of the safety instructions applicable to that machine.
2. Roadway machines are known to be in in safe operating condition before being operated, and are not operated if an unsafe condition is found.
3. Roadway machines are kept clear of trains and equipment passing on adjacent tracks. If required to foul an adjacent track, working limits must be established on the track to be fouled.
4. Roadway workers working near roadway maintenance machines must be informed of the applicable safety procedures and participate in a job briefing with the machine operators.
5. Roadway workers stay ten (10) feet from equipment when it is in working mode, unless otherwise specified by the operator.
6. Two or more pieces of equipment must maintain a ten (10) foot clearance between each other unless otherwise instructed by the employee in charge.
7. On-track equipment is operated at the appropriate speed for equipment type and/or operating conditions (see table in RWP Manual).
8. On-track equipment complies with all precautions when operating over highway grade crossings.
9. When roadway machines are not continuously attended by the employee in charge of the equipment, the equipment is secured to prevent movement.

D. Additional Rules To Be Tested

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

1. Personal protective equipment in use.

E. Non-Compliance Defined

The test is a non-compliance if:

1. Failure to comply with any rule specific to operating or working near roadway maintenance machines.

Non-compliance in any of the additional rules listed in section D, above, must be entered as non-compliances separately under the appropriate TEST number.

22. TESTS on M of E (Mechanical Dept.) Employees

T&E TESTS THAT APPLY MECHANICAL DEPARTMENT EMPLOYEES

- 101 Stopping within One-Half the Range of Vision
- 102 Stop Signal
- 108 Speed
- 109 Blue Signal (Observance)
- 110 Air Brake Tests/Inspections
- 114 Cab Signals
- 117 Switches & Switching
- 118 Shoving & Back-Up Moves
- 120 Radio Procedures
- 121 Required Documents
- 123 Engineer Certification (for Class 4 Engineers)
- 125 Required Exams
- 128 Drug & Alcohol
- 129 Safety Rules
- 130 Job Briefings
- 132 Electrical Operating Instructions (AMT-2)
- 133 FRA 232 & 238 Hands-On Brake Test/Insp
- 134 Train Handling/Fuel & Energy Conservation
- 135 Use of Electronic Devices
- 138 Conductor Certification (for Class 4 Engineers)
- 139 Positioning & Securement of Equipment
- 198 Employee Instruction
- 199 All Other Tests or Observations

TEST 401 - BLUE SIGNAL PROTECTION

A. Description of Test

This test checks compliance by mechanical department employees with the rules governing the proper establishment of blue signal protection, including the proper placement of blue signals.

B. Conditions of Test

This test requires that mechanical department employees are working on, under or between rolling equipment.

C. Testing Guidelines

This test must include all applicable rules as well as Amtrak standards governing blue signal protection. Testing officers should note that the method of establishing blue signal protection is dependent on whether the track is a main track or not, whether the switches leading into the protected track are hand operated or remote controlled, and that the type of protection can differ at each end of the protected track.

1. Blue Signal Protection on a Main Track:

a. A blue signal is required to be placed at each end of rolling equipment. Note: Amtrak standards require that such signal be located either at the extreme end of the equipment or in advance of the equipment. Displaying a blue signal on either side of the equipment, including a blue flag attached to the engineer's window, will NOT be considered as being displayed at the end of rolling equipment.

b. A blue signal must be attached to the controlling engine at a location where it is readily visible to the operator at the controls. Note: Amtrak standards require that such signal be located on the control stand or console. Displaying a blue signal on the exterior of the locomotive, such as a blue flag attached to the engineer's window, will NOT be considered to be readily visible to an employee at the controls.

2. Blue Signal Protection on Other than Main Track:

a. Access to the protected track must be restricted by one or a combination of the following:

- Lining a manually operated switch against movement onto the track, securing it with an effective locking device (for example, a mechanical department lock) and placing a blue signal at or near the switch.
- Positioning a derail at least 150 feet from the end of rolling equipment (50 feet on a designated engine servicing track or car shop repair track where speed is limited to not more than 5 MPH), locking it with an effective locking device and displaying a blue signal at each derail.
- Lining a remotely controlled switch against movement onto the track by requesting the switch operator to do so and receiving confirmation from the switch operator that switch has been so lined and secured. A blue signal is NOT required to be placed at a remotely controlled switch.

b. A blue signal must be attached to the controlling engine at a location where it is readily visible to the operator at the controls. Note: Amtrak standards require that such signal be located on the control stand or console. Displaying a blue signal on the exterior of the locomotive, such as a blue flag attached to the engineer's window, will NOT be considered to be readily visible to an employee at the controls.

3. Movement in Engine Servicing Area:

If an engine is be moved within an engine servicing track area, or cars repositioned within a car shop repair track area verify that:

a. Movement was under the direction of the employee in charge of the workmen.

b. The blue signals have been removed from the equipment to be repositioned or coupled.

c. Employees on the affected track are informed of the movement.

D. Additional Rules To Be Tested

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

1. Personal protective equipment in use.

E. Non-Compliance Defined

The test is a non-compliance if:

1. Failure to establish blue signal protection when required.

2. Display of blue signals not in accordance with Amtrak standards.

3. Requirements for movement of equipment in an engine servicing area or car shop were not met.

Non-compliance in any of the additional rules listed in section D, above, must be entered as non-compliances separately under the appropriate TEST number.

23. RUNNING TEST REPORTS

A. PREWRITTEN REPORTS

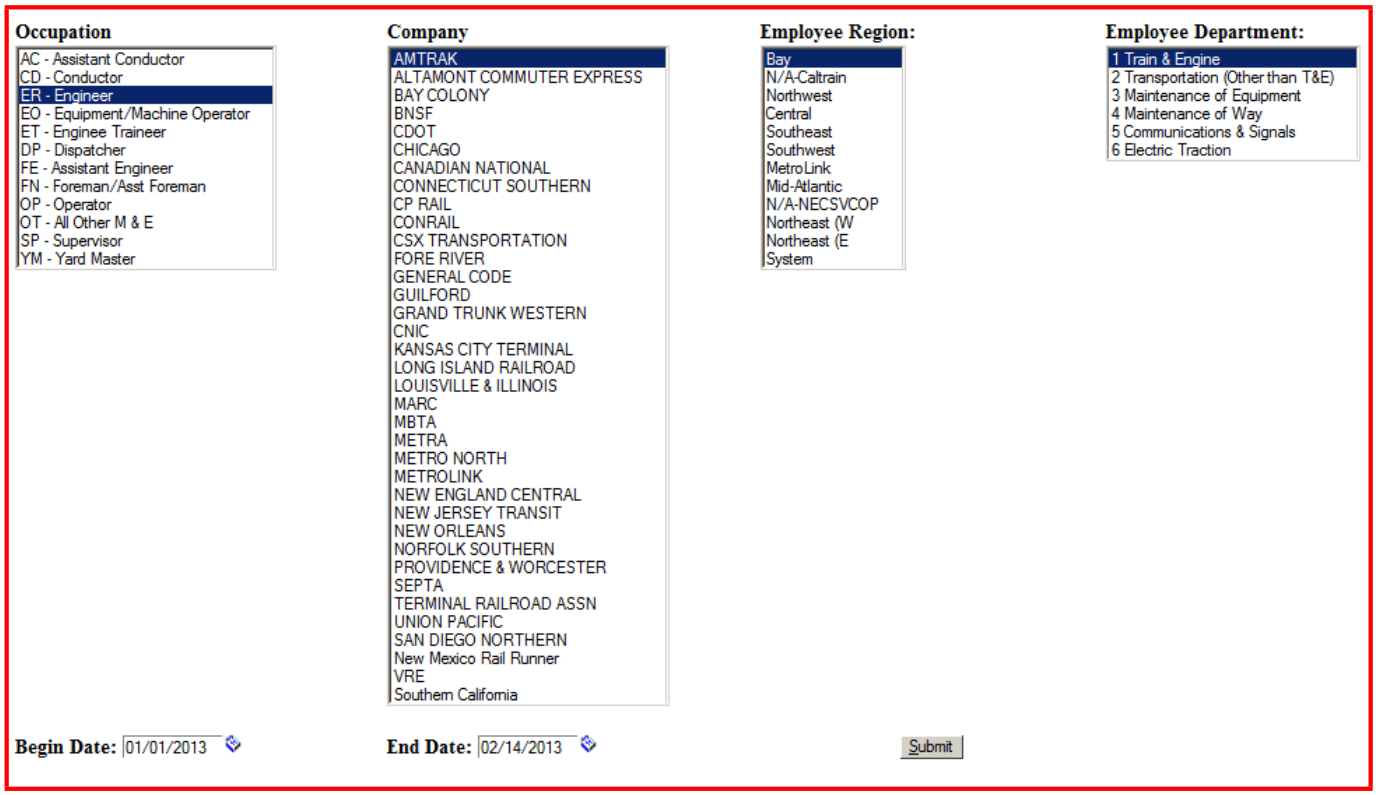
There are many prewritten reports that can be run from the TESTS program that will provide you with information on TESTS that have been entered on employees in the database. The ability to retrieve this information can assist you in successfully ensuring that you have completed the previously outlined "TEST Targets." These reports are accessed from the Main Menu side bar under "Prewritten Reports", Report Menus A, B, C, & D. Each menu has a list of reports that have a brief description (upon mouse over) of what information they provide. When run, the reports are displayed using Crystal Reports and may require you to install the Crystal Report Viewer on your computer. Once the report is displayed, it may be exported to a more usable format. The most useful export format is the Excel spreadsheet (.xls), which will allow you to sort and filter the acquired data in the manner which is most useful to you.

Below are screen shots of Report Menus A, B, C, & D, and some report examples.

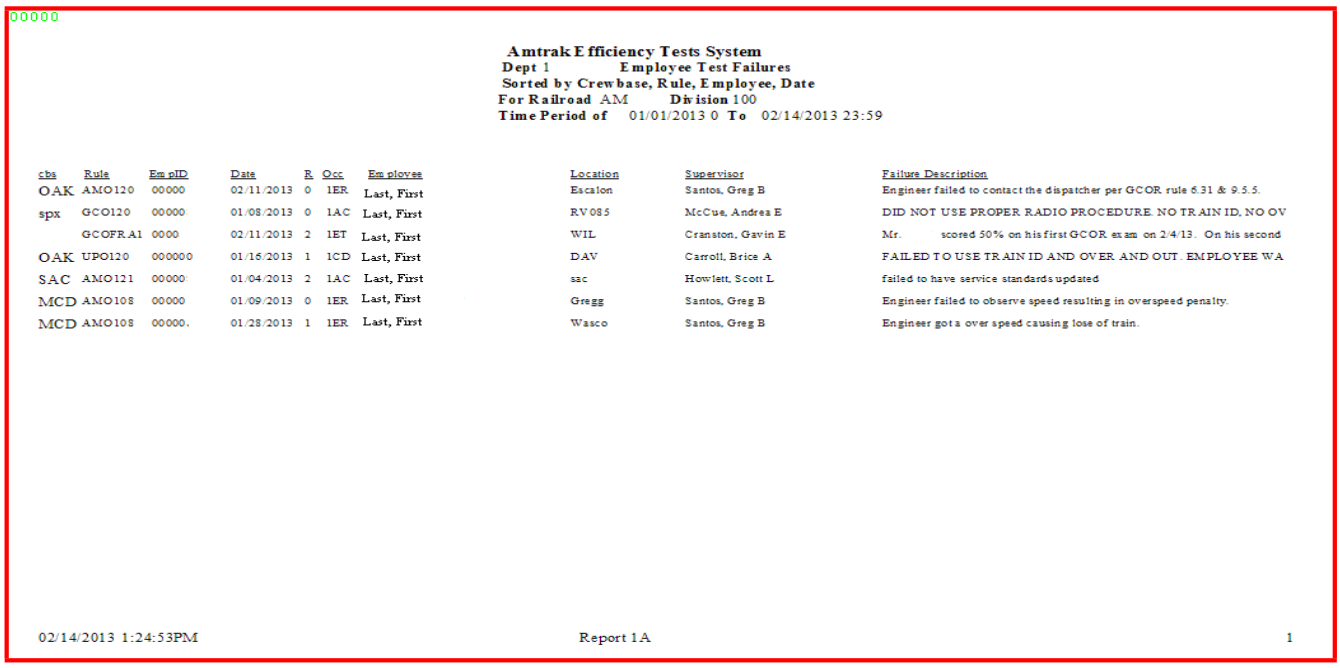
(NOTE: Reports may be deleted or added without notification as deemed necessary by the TESTS Administrator.)

1. TESTS Report Menu A

Report 1A: This report requires selection of the Employee Occupation, Company, Region and Department, and the entry of begin and end date.



When submitted this report provides a list of employees who have had TESTS non-compliances entered on them. The report includes their crewbase if listed in their database profile, the Rule (TEST #), Employee SAP #, Date of the TEST observation, Result code (0, 1. 2), Employee Occupation, Last and First Names, the location of the observation, the supervisor's name, and a description of the non-compliance.

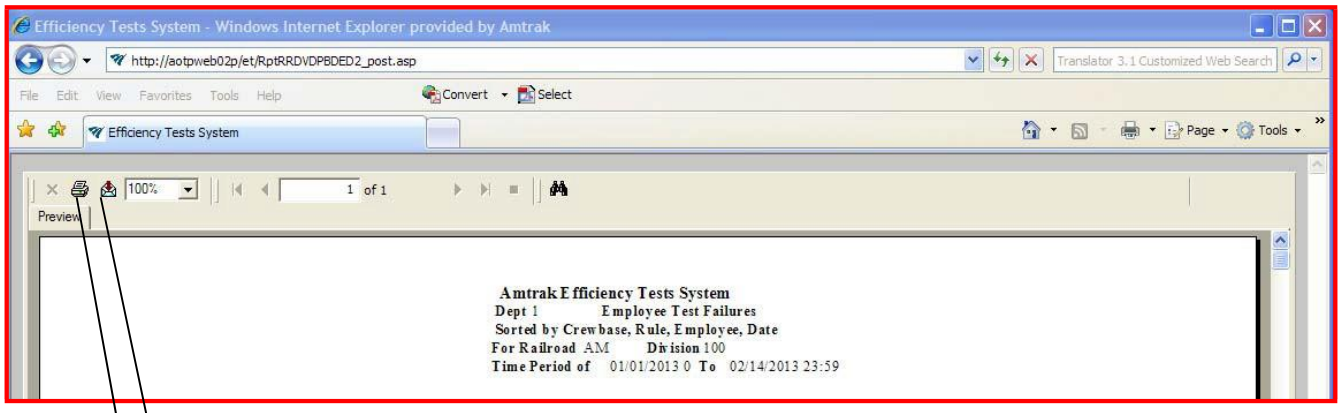


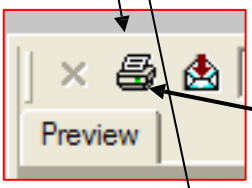
00000

Amtrak Efficiency Tests System
Dept 1 Employee Test Failures
Sorted by Crewbase, Rule, Employee, Date
For Railroad AM **Division** 100
Time Period of 01/01/2013 0 **To** 02/14/2013 23:59

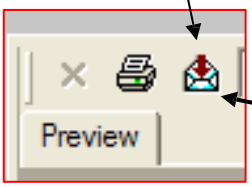
cbs	Rule	Emp ID	Date	R	Occ	Employee	Location	Supervisor	Failure Description
OAK	AMO120	00000	02/11/2013	0	1ER	Last, First	Escalon	Santos, Greg B	Engineer failed to contact the dispatcher per GCOR rule 6.31 & 9.5.5.
spx	GCO120	00000	01/08/2013	0	1AC	Last, First	RV085	McCue, Andrea E	DID NOT USE PROPER RADIO PROCEDURE. NO TRAIN ID, NO OV
	GCOFR.A1	0000	02/11/2013	2	1ET	Last, First	WIL	Cranston, Gavin E	Mr. scored 50% on his first GCOR exam on 2/4/13. On his second
OAK	UPO120	000000	01/16/2013	1	1CD	Last, First	DAV	Carroll, Brice A	FAILED TO USE TRAIN ID AND OVER AND OUT. EMPLOYEE WA
SAC	AMO121	00000	01/04/2013	2	1AC	Last, First	sac	Howlett, Scott L	failed to have service standards updated
MCD	AMO108	00000	01/09/2013	0	1ER	Last, First	Gregg	Santos, Greg B	Engineer failed to observe speed resulting in overspeed penalty.
MCD	AMO108	00000.	01/28/2013	1	1ER	Last, First	Wasco	Santos, Greg B	Engineer got a over speed causing lose of train.

02/14/2013 1:24:53PM Report 1A 1



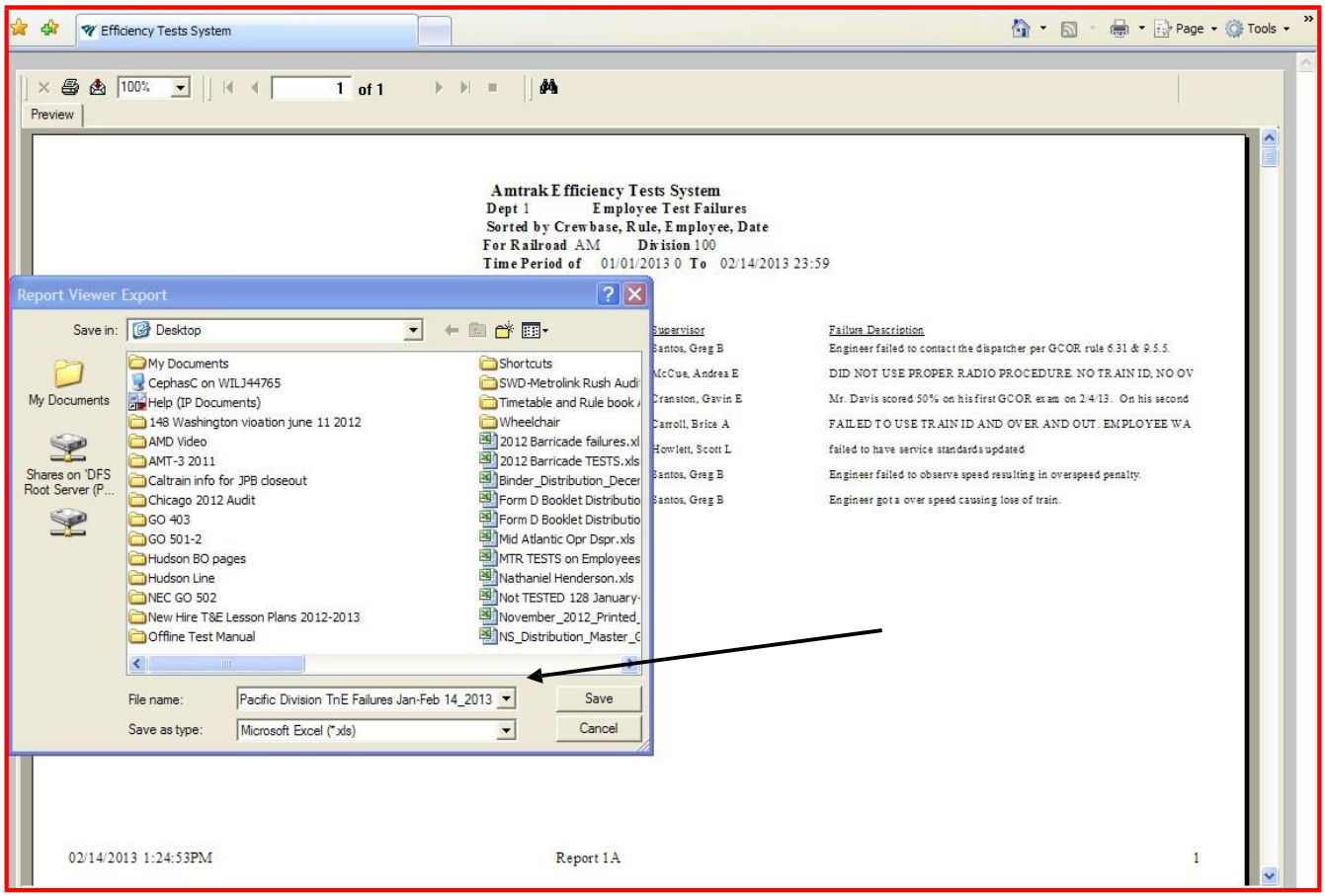


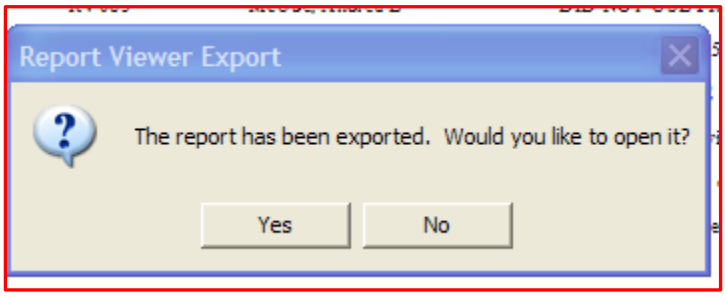
To Print directly from the Crystal report you must use the printer icon located on the upper left corner of the preview screen.



To export the file for saving you must use the download icon located next to the printer icon on the upper left corner of the preview screen.

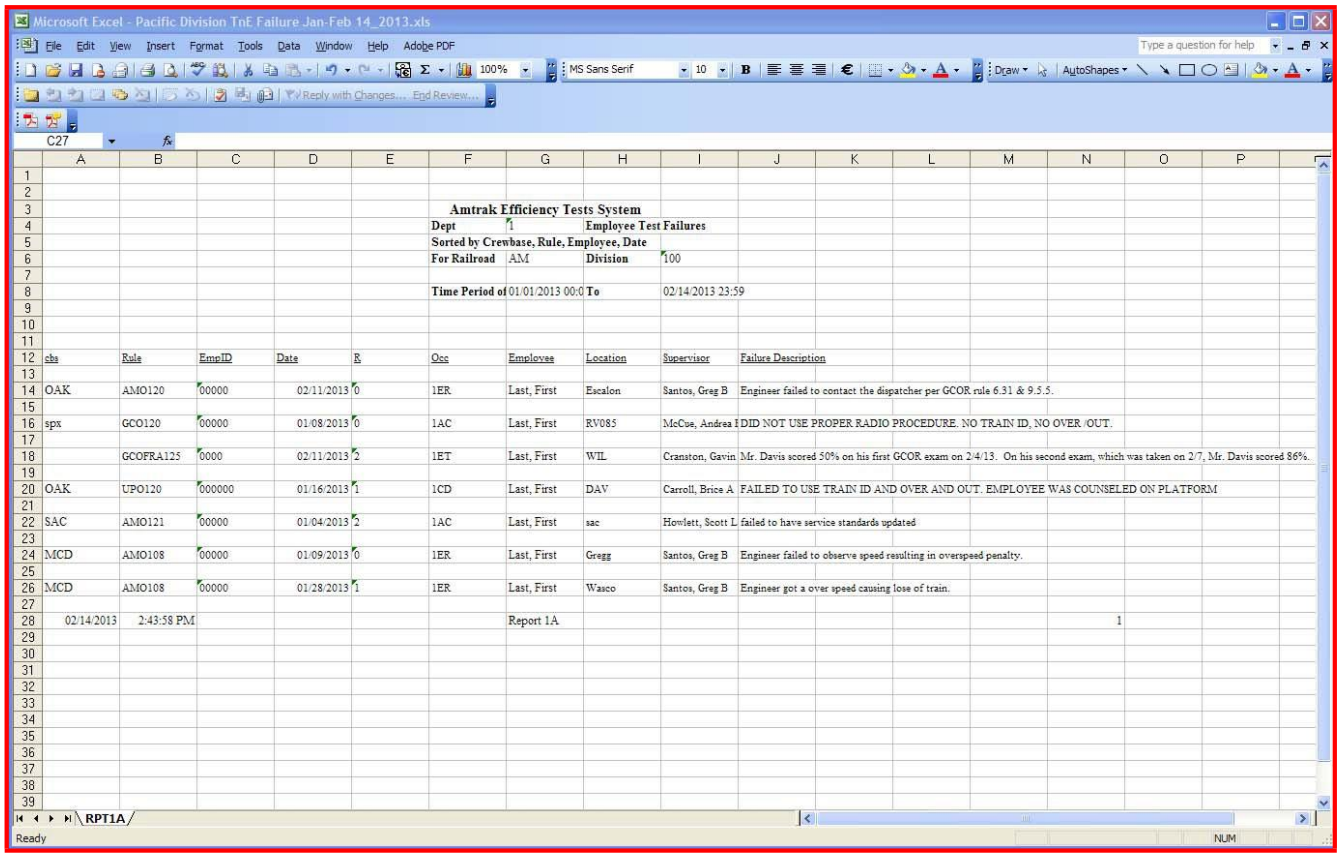
In the "Report Viewer Export" window: Insert File Name and Save as Microsoft Excel (*.xls).





Once the report has been exported you will be asked if you would like to open it.

When the file is opened it will look like the spreadsheet below: (Employee names and SAP# removed for privacy.)



Microsoft Excel - Pacific Division TnE Failure Jan-Feb 14_2013.xls

Amtrak Efficiency Tests System

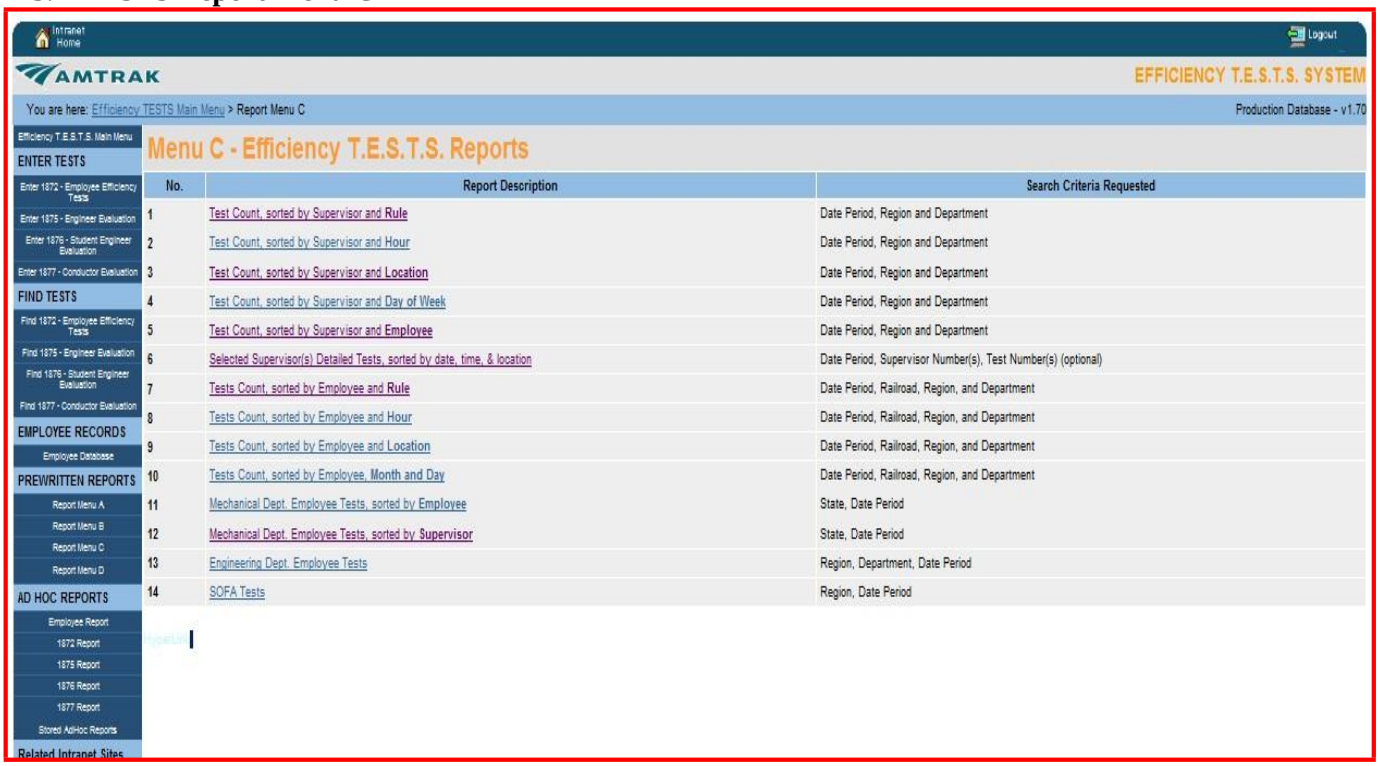
Dept	1	**Employee Test Failures**	
Sorted by Crewbase, Rule, Employee, Date			
For Railroad	AM	**Division**	100
Time Period of	01/01/2013 00:0	**To**	02/14/2013 23:59

cbs	Rule	EmpID	Date	R	Occ	Employee	Location	Supervisor	Failure Description
OAK	AMO120	00000	02/11/2013	0	1ER	Last, First	Escalon	Santos, Greg B	Engineer failed to contact the dispatcher per GCOR rule 6.31 & 9.5.5.
spx	GCO120	00000	01/08/2013	0	1AC	Last, First	RV085	McCue, Andrea I	DID NOT USE PROPER RADIO PROCEDURE. NO TRAIN ID, NO OVER /OUT.
	GCOFRA125	0000	02/11/2013	2	1ET	Last, First	WIL	Cranston, Gavin	Mr. Davis scored 50% on his first GCOR exam on 2/4/13. On his second exam, which was taken on 2/7, Mr. Davis scored 86%.
OAK	UPO120	000000	01/16/2013	1	1CD	Last, First	DAV	Carroll, Brice A	FAILED TO USE TRAIN ID AND OVER AND OUT. EMPLOYEE WAS COUNSELED ON PLATFORM
SAC	AMO121	00000	01/04/2013	2	1AC	Last, First	sac	Howlett, Scott L	failed to have service standards updated
MCD	AMO108	00000	01/09/2013	0	1ER	Last, First	Gregg	Santos, Greg B	Engineer failed to observe speed resulting in overspeed penalty.
MCD	AMO108	00000	01/28/2013	1	1ER	Last, First	Wasco	Santos, Greg B	Engineer got a over speed causing lose of train.
02/14/2013	2:43:58 PM					Report 1A			1

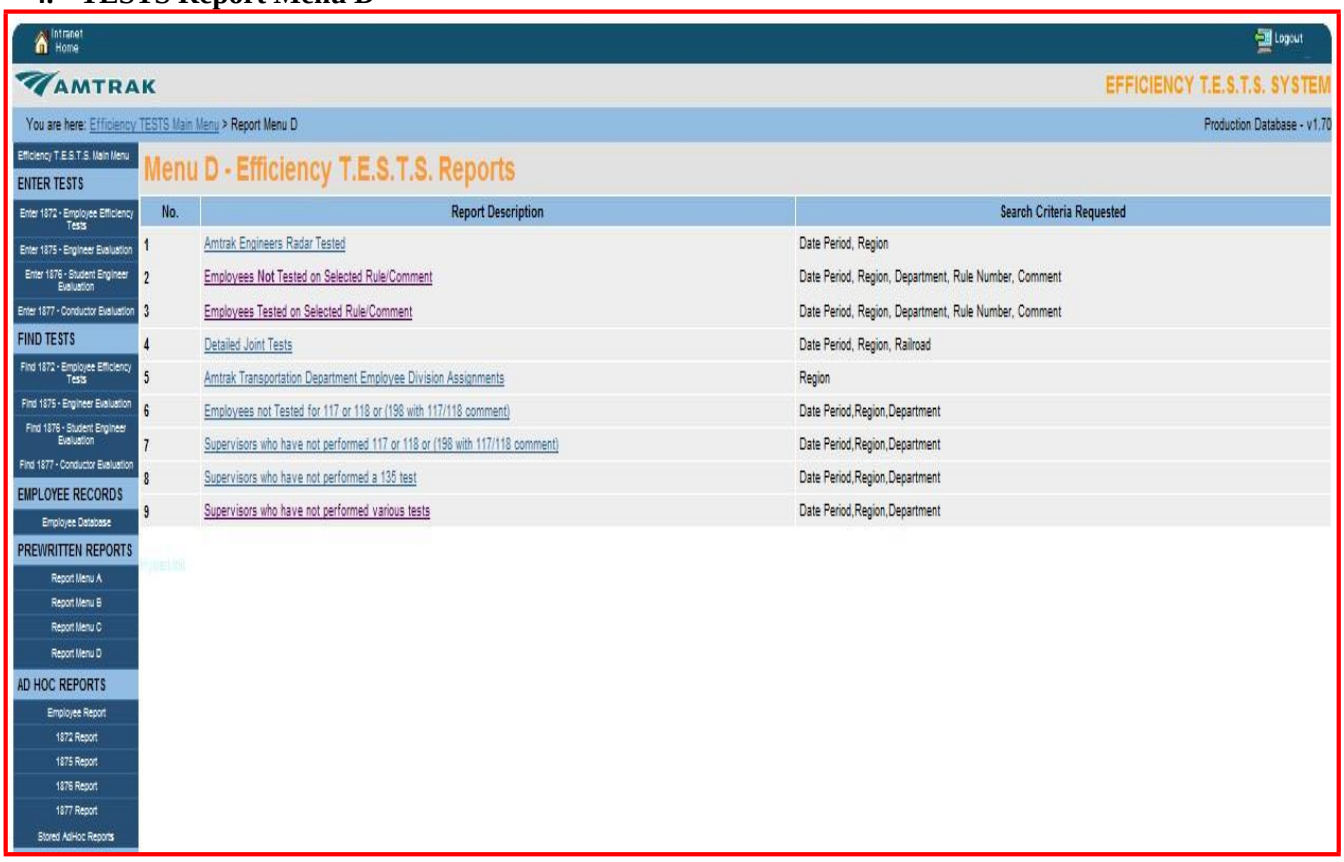
The other prewritten reports function in much the same manner. Select the information that you want from the drop down menus and if necessary insert a TEST number in the appropriate field, then submit.

2. TESTS Report Menu B

3. TESTS Report Menu C



4. TESTS Report Menu D



B. ADHOC REPORTS

Ad Hoc reports can be run to perform an employee search, and to obtain 1872, 1875, 1876, and 1877 information not available as a prewritten report. However, Ad Hoc reports, unlike the Prewritten Crystal reports, will present only the first 5000 records found which meet your record selection criteria. If you are looking for more information than one report can hold, you will need to adjust your date range and/or the number of employees, tests, or subdivisions that you are researching.

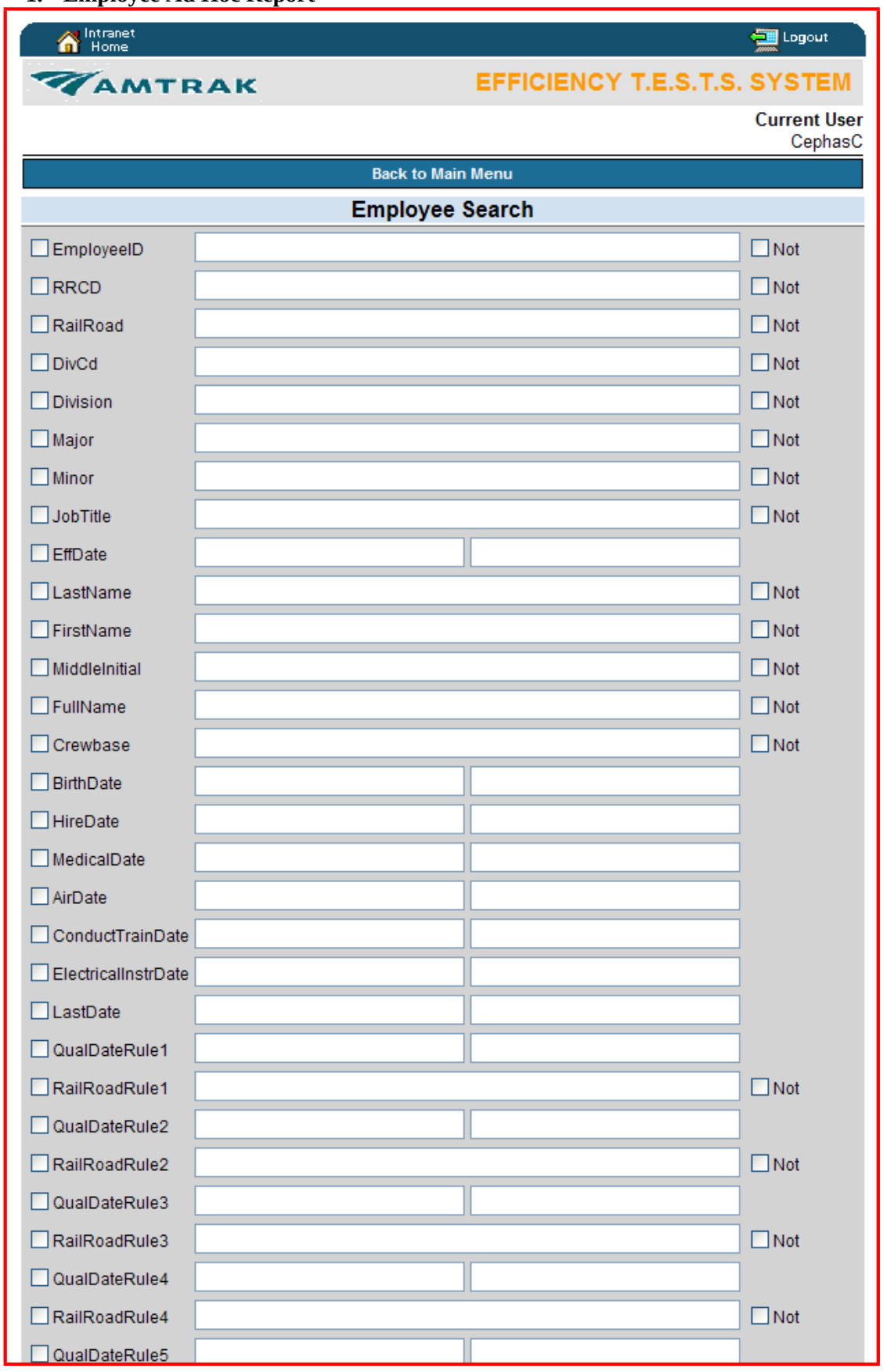
Ad Hoc reports that you run can also be saved to run at a later period as "Stored Ad Hoc Reports."

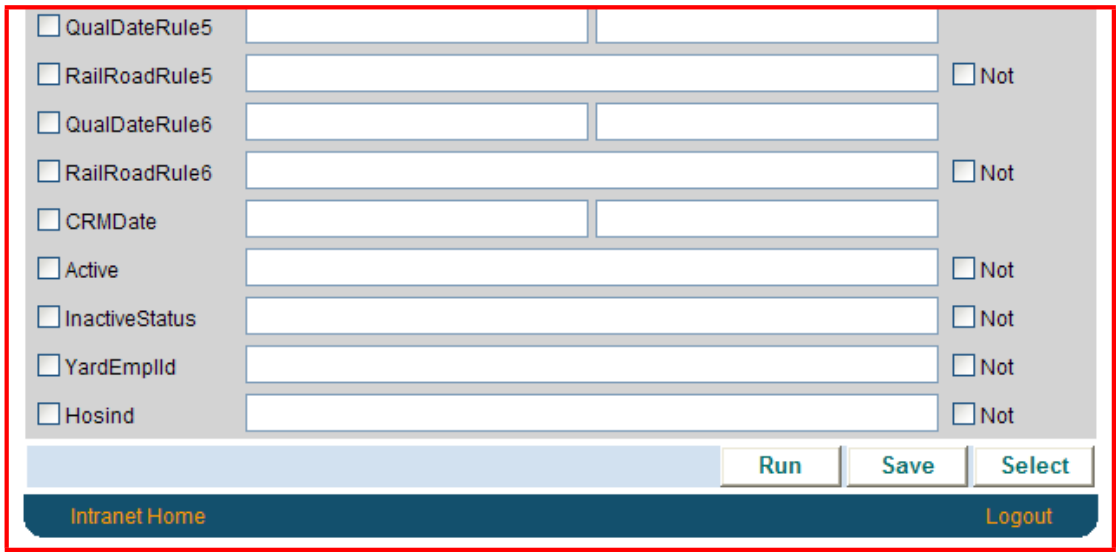
NOTES:

a. When filling in a field that would appear to require a "Yes", "True", "No", or "False", enter "1" for "Yes" or "True", and use "0" for "No" or "False."
b. Ad Hoc reports can only be exported to Microsoft Excel.
c. Separate multiple search criteria items with a comma, but do not insert any spaces (e.g.: 100,200,300),

The Ad Hoc report menu is located on Main Menu sidebar at the lower left side of the screen.

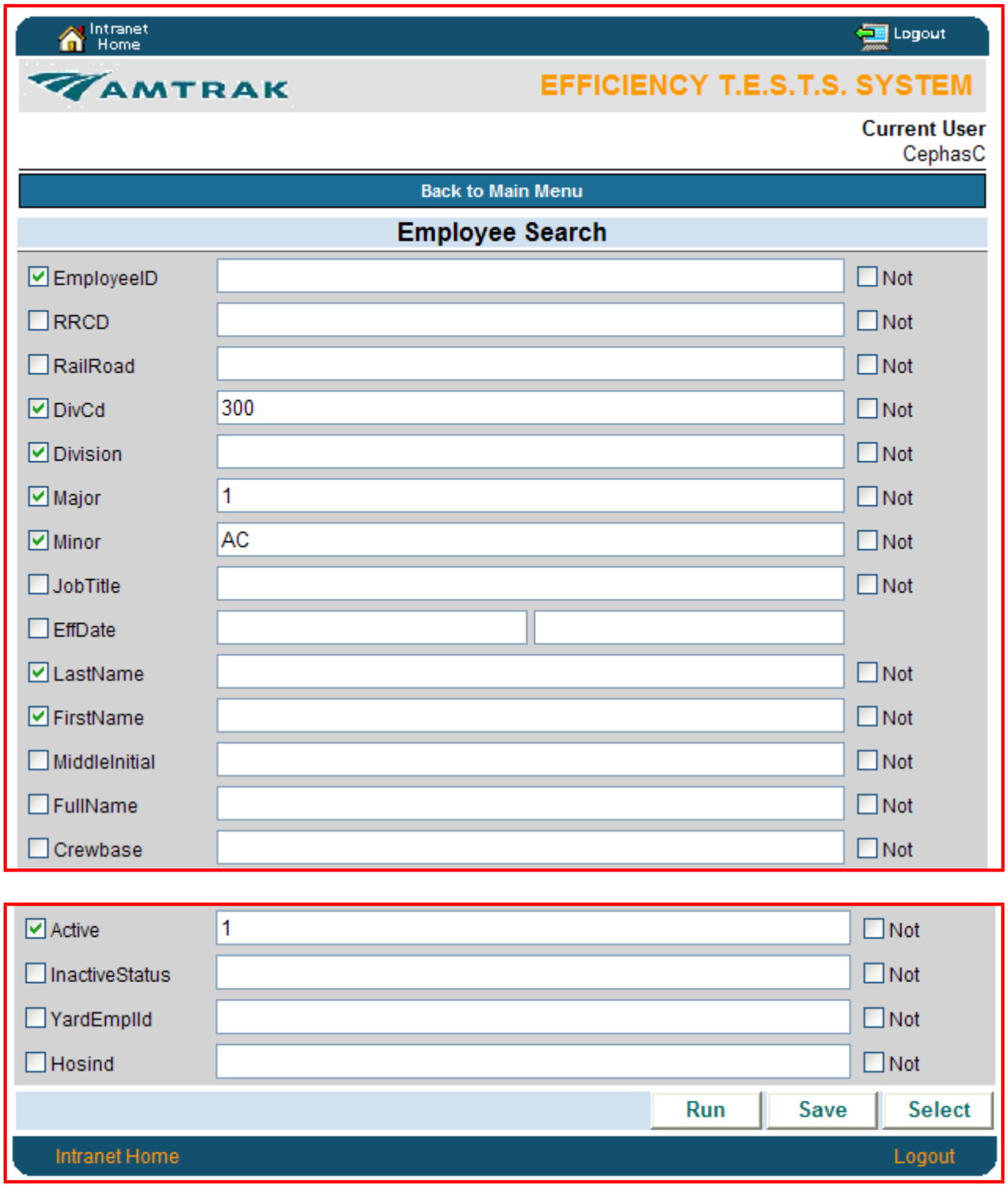
1. Employee Ad Hoc Report



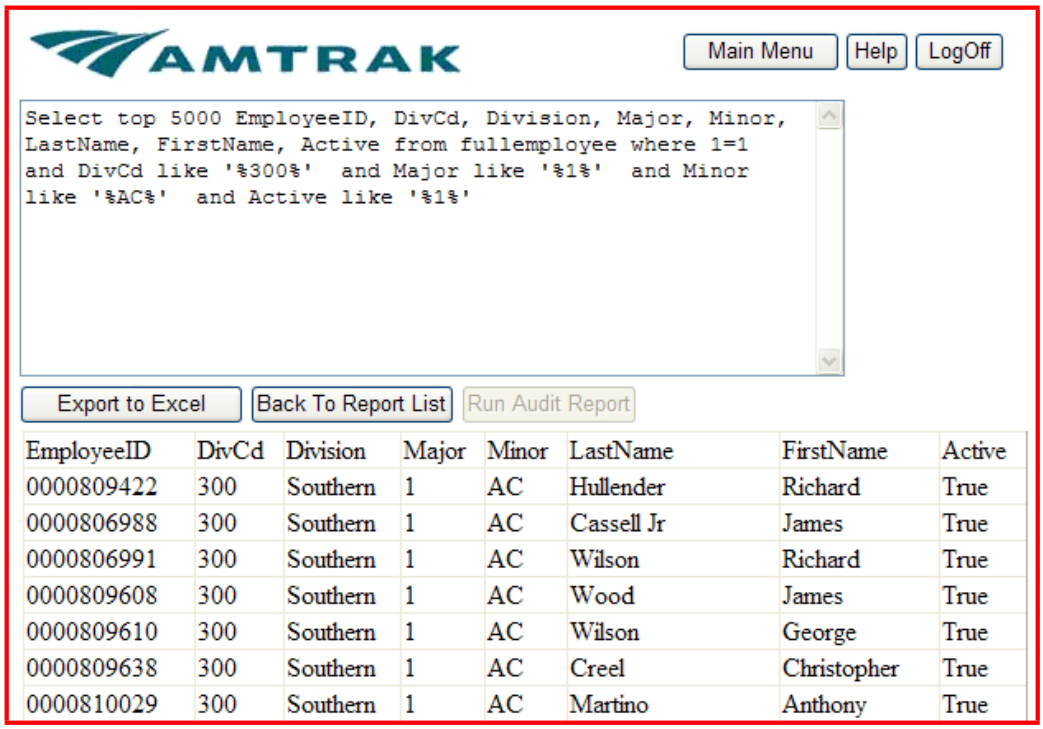


Check the boxes on the left next to the information that you would like to show in your report. Include the information that you'd like to use as record selection (search) criteria in the applicable fields. For example, selecting "Employee ID", "DivCd", "Major", "Minor", "LastName", "FirstName", and "Active", and inserting subdivision code "300" next to "DivCD", a "1" next to "Major", "AC" next to "Minor", and "1" next to "Active" and clicking the "Run" button will provide a list of all the active Assistant Conductors on the Southeast Subdivision. See below:

NOTE: To select records using multiple criteria, separate each selection with a comma. For example, to select multiple crafts ("Minor" field), you'd enter something like this: AC,CD,ER


Intranet Home
Logout
AMTRAK
EFFICIENCY T.E.S.T.S. SYSTEM
Current User
CephasC
Back to Main Menu
Employee Search
EmployeeID
RRCD
RailRoad
DivCd
300
Division
Major
1
Minor
AC
JobTitle
EffDate
LastName
FirstName
MiddleInitial
FullName
Crewbase
Not
Active
1
InactiveStatus
YardEmpId
Hosind
Run
Save
Select
Intranet Home
Logout

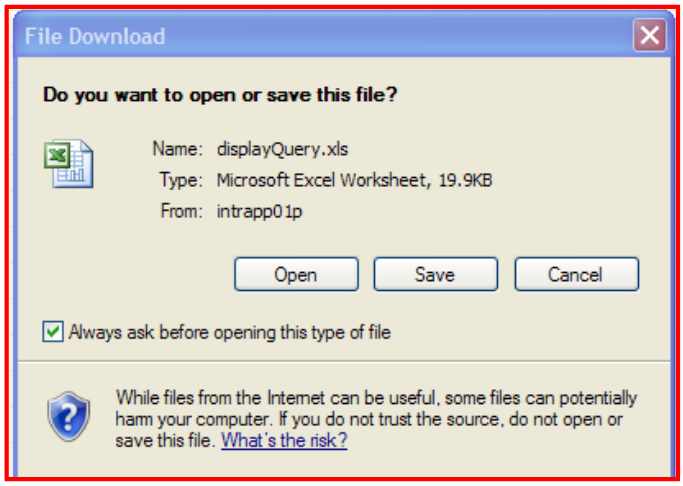
The report will look like this:



EmployeeID	DivCd	Division	Major	Minor	LastName	FirstName	Active
0000809422	300	Southern	1	AC	Hullender	Richard	True
0000806988	300	Southern	1	AC	Cassell Jr	James	True
0000806991	300	Southern	1	AC	Wilson	Richard	True
0000809608	300	Southern	1	AC	Wood	James	True
0000809610	300	Southern	1	AC	Wilson	George	True
0000809638	300	Southern	1	AC	Creel	Christopher	True
0000810029	300	Southern	1	AC	Martino	Anthony	True

To export the file, click the "Export to Excel" button.

A pop-up window will appear asking if you want to open or save the file. The file may be saved before or after it is opened.



The report will look like this in Excel:

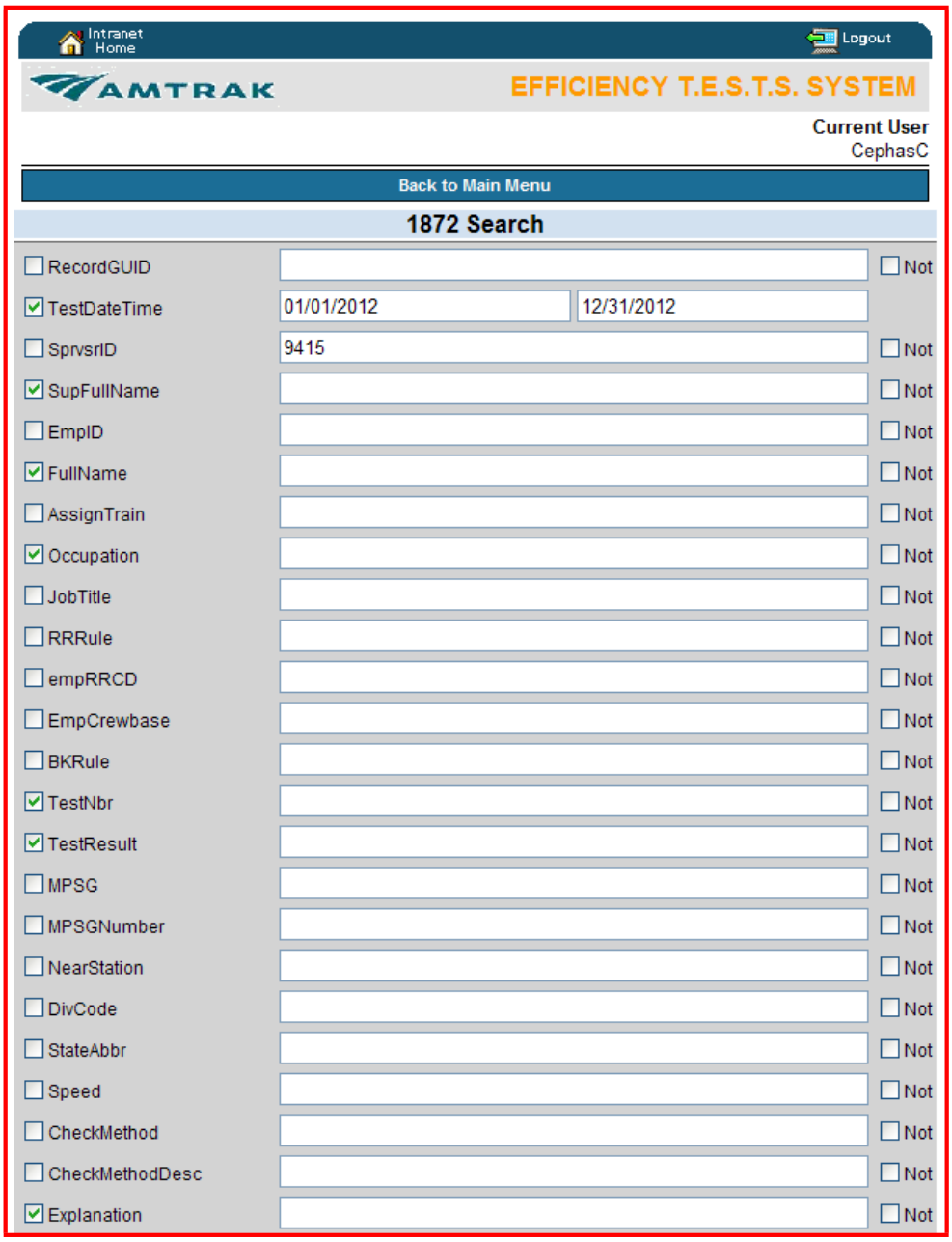
	A	B	C	D	E	F	G	H
1	EmployeeID	DivCd	Division	Major	Minor	LastName	FirstName	Active
2	809422	300	Southern	1	AC	Hullender	Richard	TRUE
3	806988	300	Southern	1	AC	Cassell Jr	James	TRUE
4	806991	300	Southern	1	AC	Wilson	Richard	TRUE
5	809608	300	Southern	1	AC	Wood	James	TRUE
6	809610	300	Southern	1	AC	Wilson	George	TRUE
7	809638	300	Southern	1	AC	Creel	Christopher	TRUE
8	810029	300	Southern	1	AC	Martino	Anthony	TRUE

2. 1872 Ad Hoc Report

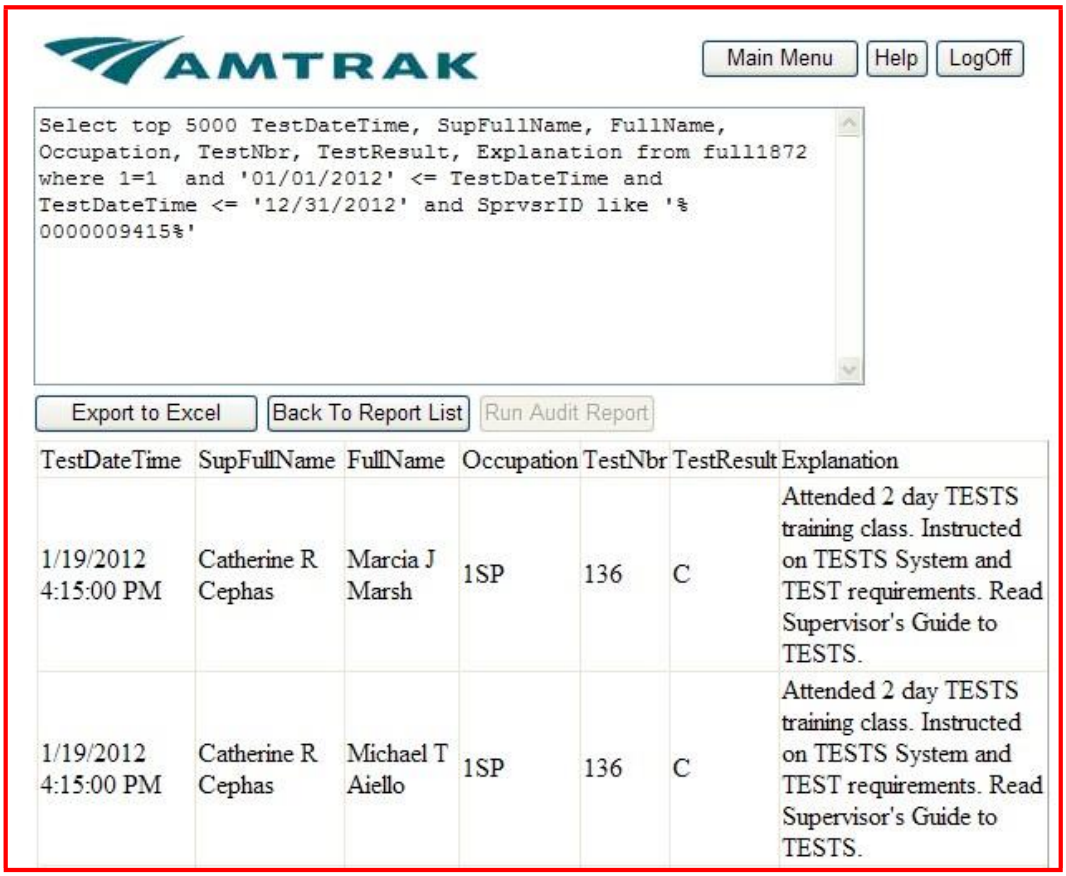
This report can show 1872's that were entered by a specific or multiple supervisors, or on specific or multiple employees. Check the boxes on the left next to the information that you would like to show in your report. Include the information that you'd like to use as record selection (search) criteria in the applicable fields. Some information that you place in the fields may not be needed to show on the report, but may be needed to guide the search.

NOTE: To select records using multiple criteria, separate each selection with a comma. For example, to select multiple test numbers ("TestNbr" field), you'd enter something like this: 108,120,135

Below is an example of how to set up and export an 1872 Ad Hoc report.



This search will produce a list of all the employees on who the supervisor with ID 9415 has entered an 1872, and will include their occupation, the TEST number and result, and an explanation.



AMTRAK

Main Menu | Help | LogOff

```
Select top 5000 TestDateTime, SupFullName, FullName,
Occupation, TestNbr, TestResult, Explanation from full1872
where 1=1  and '01/01/2012' <= TestDateTime and
TestDateTime <= '12/31/2012' and SprvsrID like '%
0000009415%'
```

Export to Excel | Back To Report List | Run Audit Report

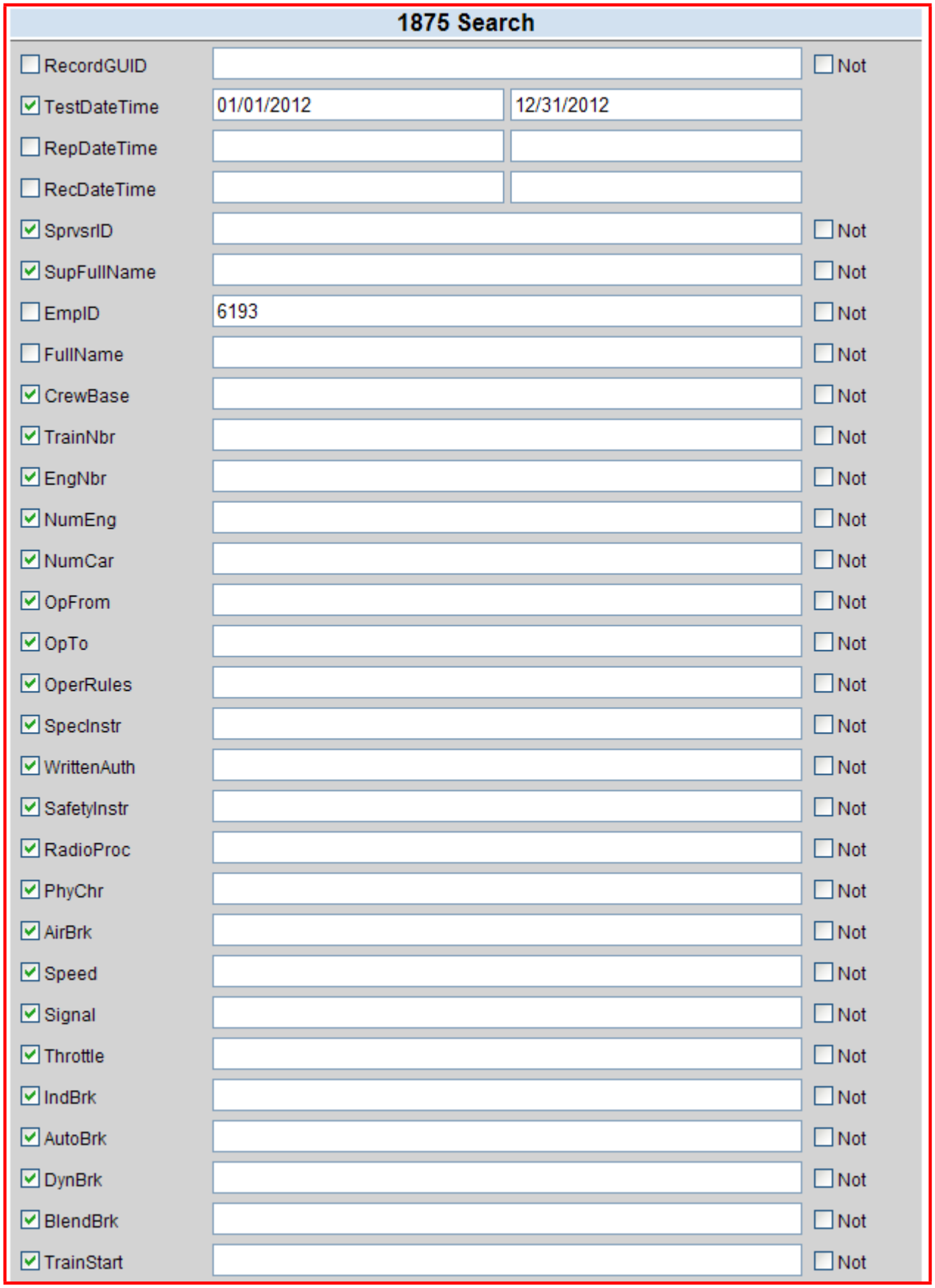
TestDateTime	SupFullName	FullName	Occupation	TestNbr	TestResult	Explanation
1/19/2012 4:15:00 PM	Catherine R Cephas	Marcia J Marsh	1SP	136	C	Attended 2 day TESTS training class. Instructed on TESTS System and TEST requirements. Read Supervisor's Guide to TESTS.
1/19/2012 4:15:00 PM	Catherine R Cephas	Michael T Aiello	1SP	136	C	Attended 2 day TESTS training class. Instructed on TESTS System and TEST requirements. Read Supervisor's Guide to TESTS.

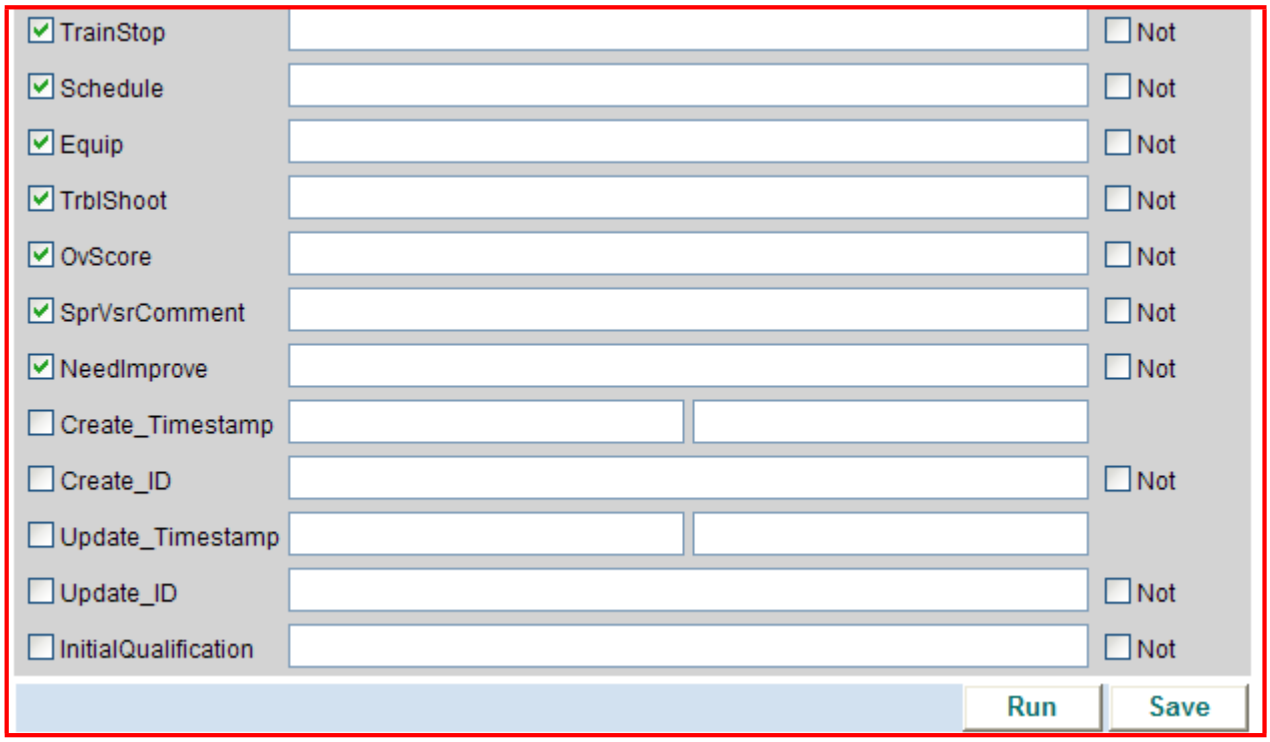
Export to Excel by clicking the "Export to Excel" button. Then open or save the file to get the following spreadsheet.

	A	B	C	D	E	F	G
1	TestDateTime	SupFullName	FullName	Occupation	TestNbr	TestResult	Explanation
2	1/19/2012 16:15	Catherine R Cephas	Marcia J Marsh	1SP	136	C	Attended 2 day TESTS training class. Instructed on TESTS System and TEST requirements. Read Supervisor's Guide to TESTS.
3	1/19/2012 16:15	Catherine R Cephas	Michael T Aiello	1SP	136	C	Attended 2 day TESTS training class. Instructed on TESTS System and TEST requirements. Read Supervisor's Guide to TESTS.

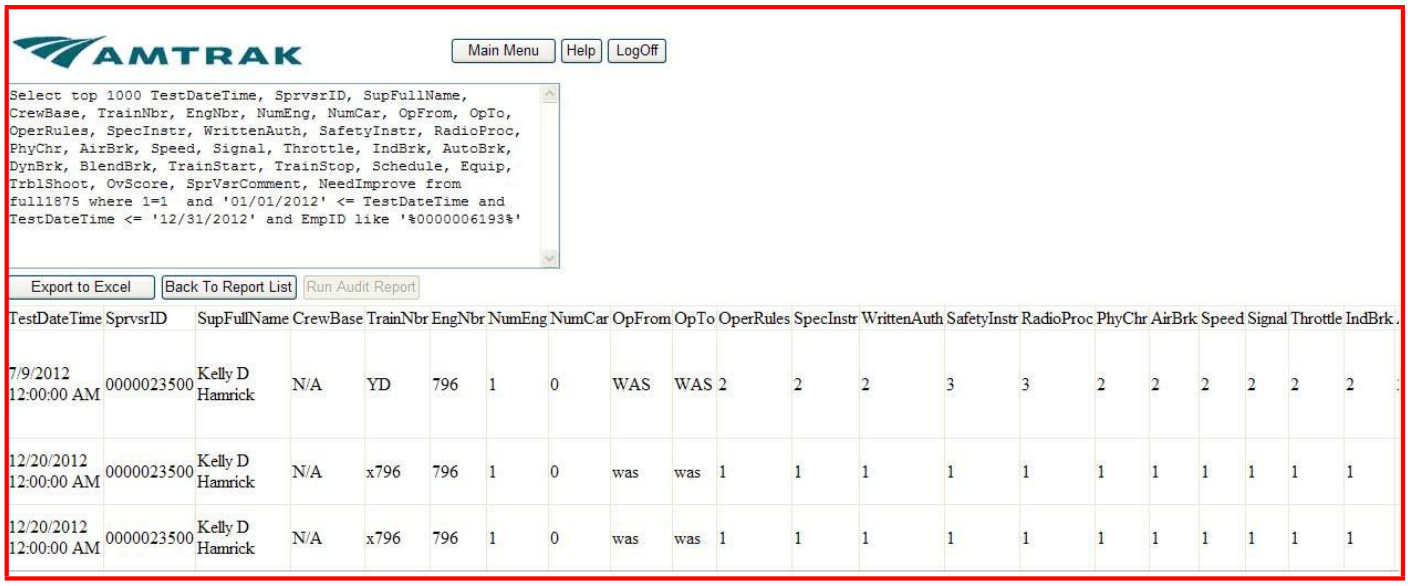
3. 1875 Ad Hoc Report – Engineer Evaluation

This report details the scores received on an Engineer evaluation.





The report will look like this. (Report is split for document spacing.)

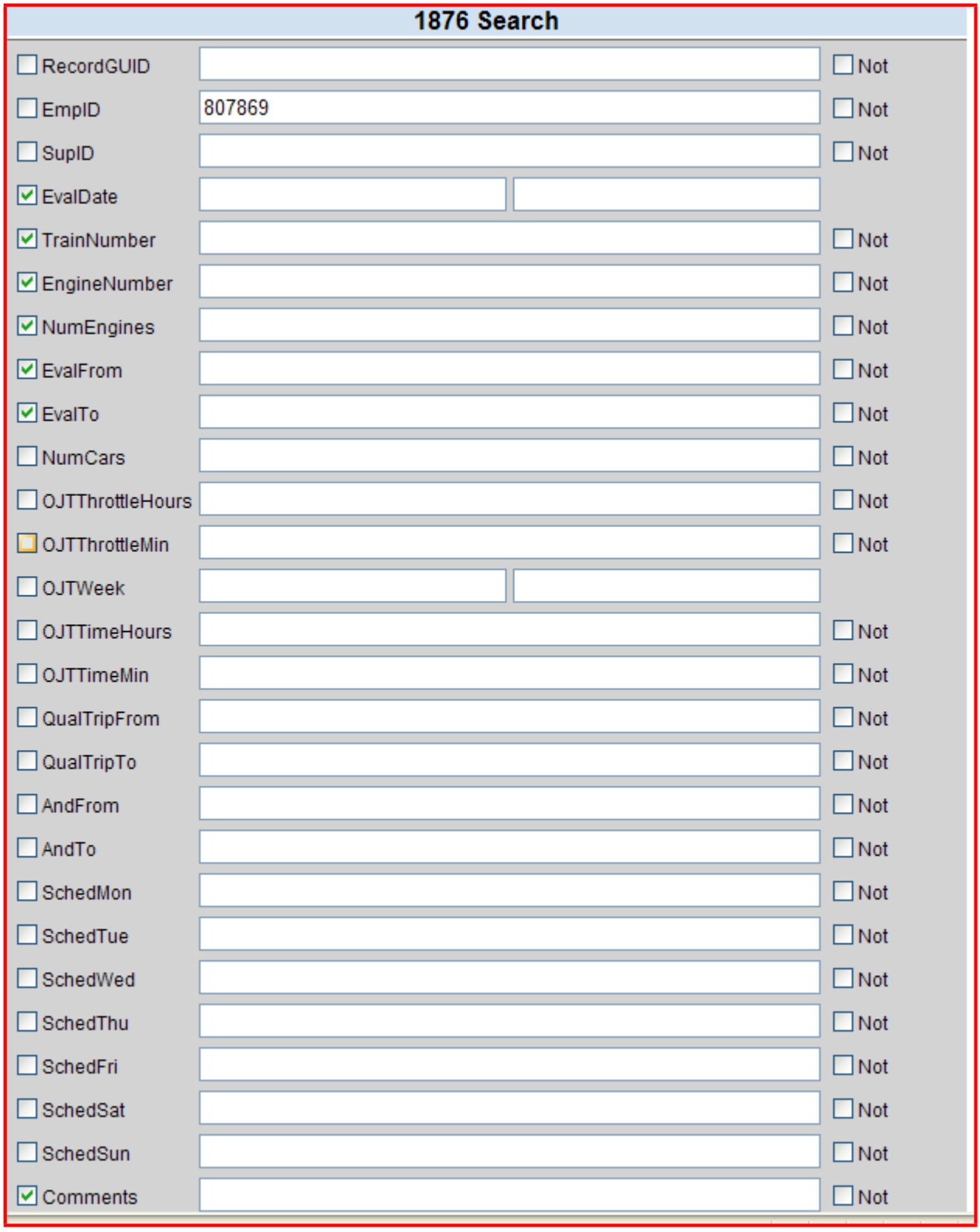


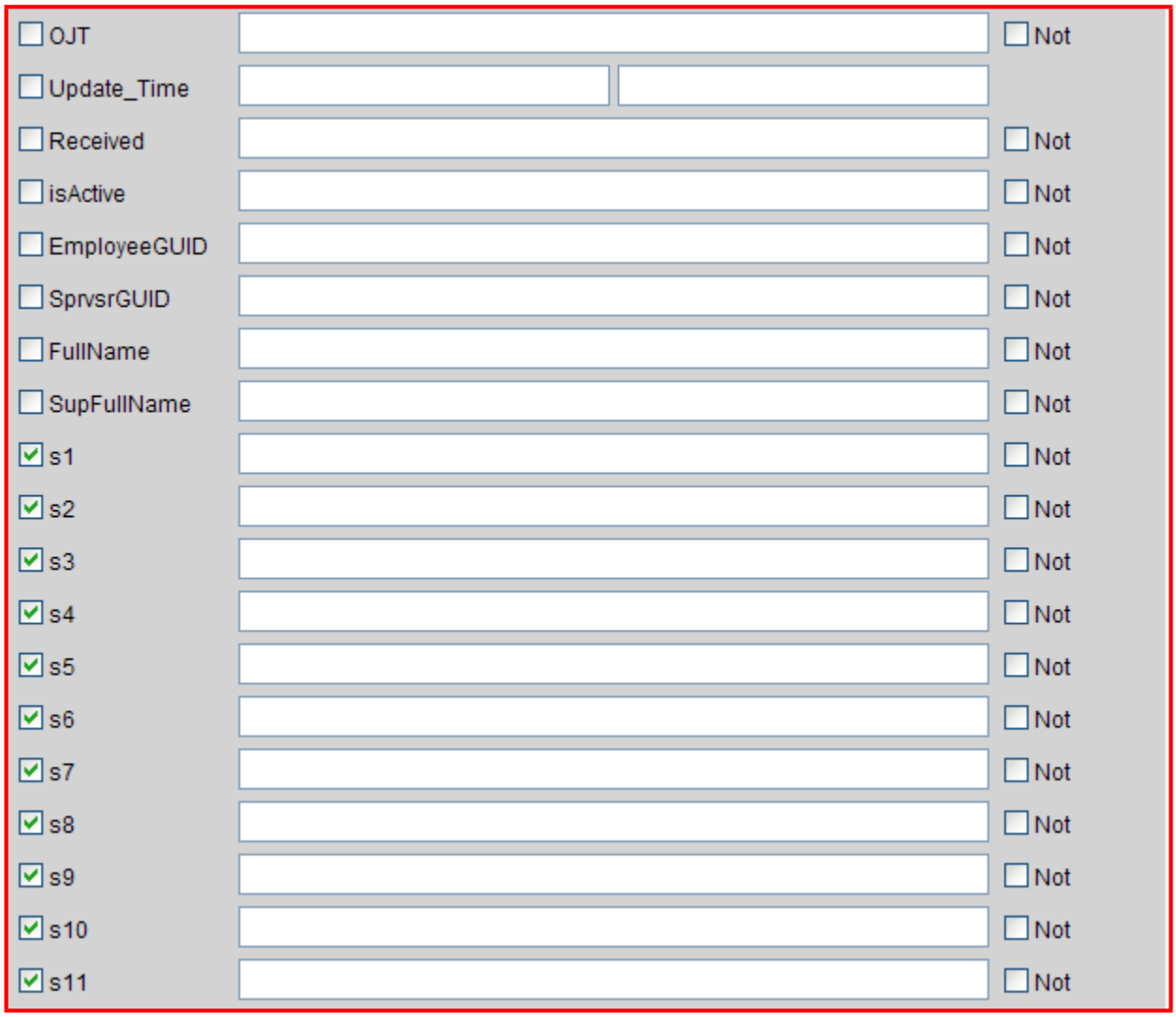
TestDateTime	SprvsrID	SupFullName	CrewBase	TrainNbr	EngNbr	NumEng	NumCar	OpFrom	OpTo	OperRules	SpecInstr	WrittenAuth	SafetyInstr	RadioProc	PhyChr	AirBrk	Speed	Signal	Throttle	IndBrk
7/9/2012 12:00:00 AM	0000023500	Kelly D Hamrick	N/A	YD	796	1	0	WAS	WAS	2	2	2	3	3	2	2	2	2	2	2
12/20/2012 12:00:00 AM	0000023500	Kelly D Hamrick	N/A	x796	796	1	0	was	was	1	1	1	1	1	1	1	1	1	1	1
12/20/2012 12:00:00 AM	0000023500	Kelly D Hamrick	N/A	x796	796	1	0	was	was	1	1	1	1	1	1	1	1	1	1	1

AutoBrk	DynBrk	BlendBrk	TrainStart	TrainStop	Schedule	Equip	TrblShoot	OvScore	SprVsrComment	NeedImprove
2	0	0	2	2	0	2	0	2	Fine Job, Complied with all Norac Rules SI. Excellent Job Briefing	NONE
1	0	0	1	1	0	1	0	1	Complies with all Norac Operating Rules /SI	
1	0	0	1	1	1	1	0	1	Complied with all Norac rules /SI	

4. 1876 Ad Hoc Report – Student Engineer Evaluation

This report details the evaluation scores given to student engineers during on the job training.



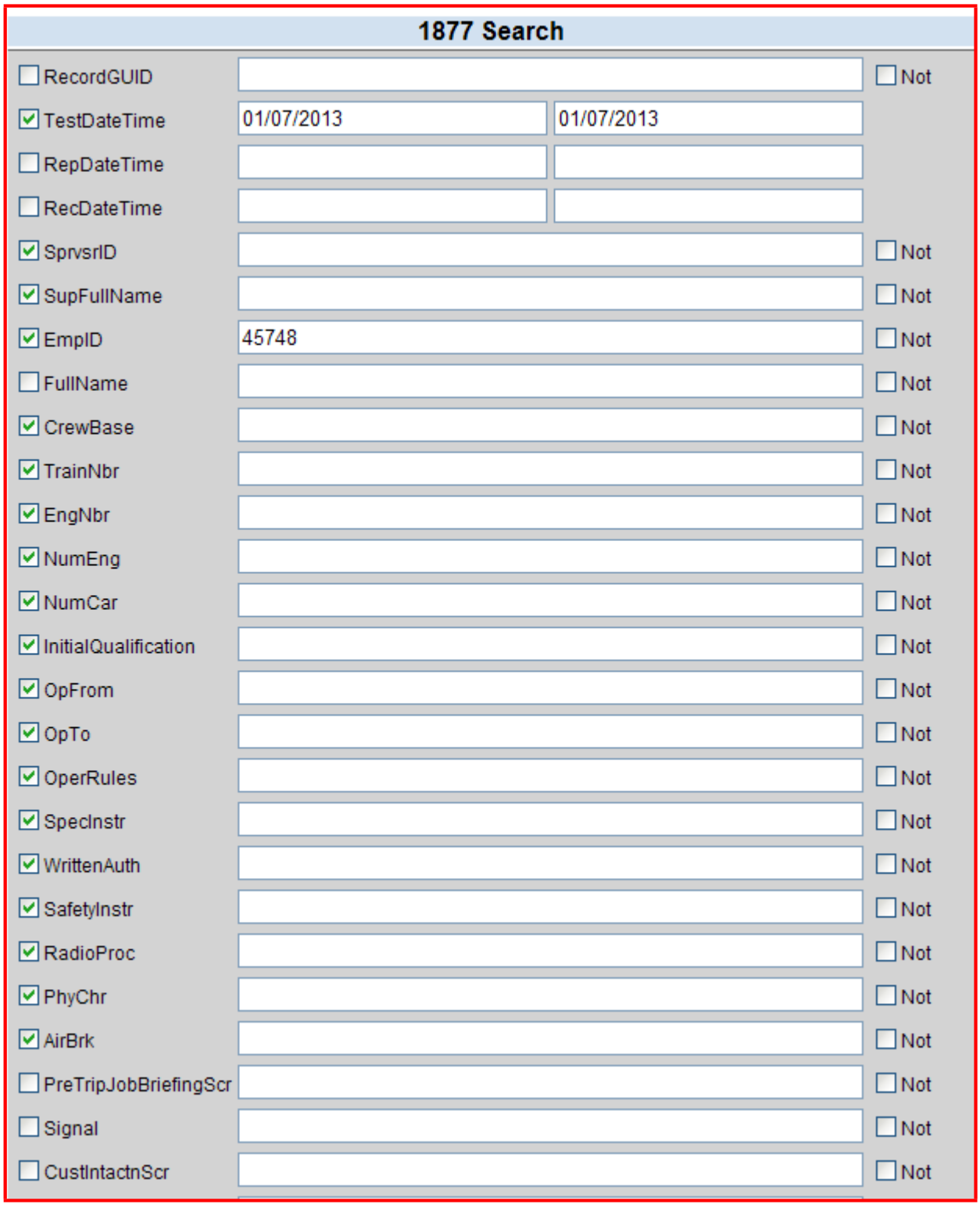


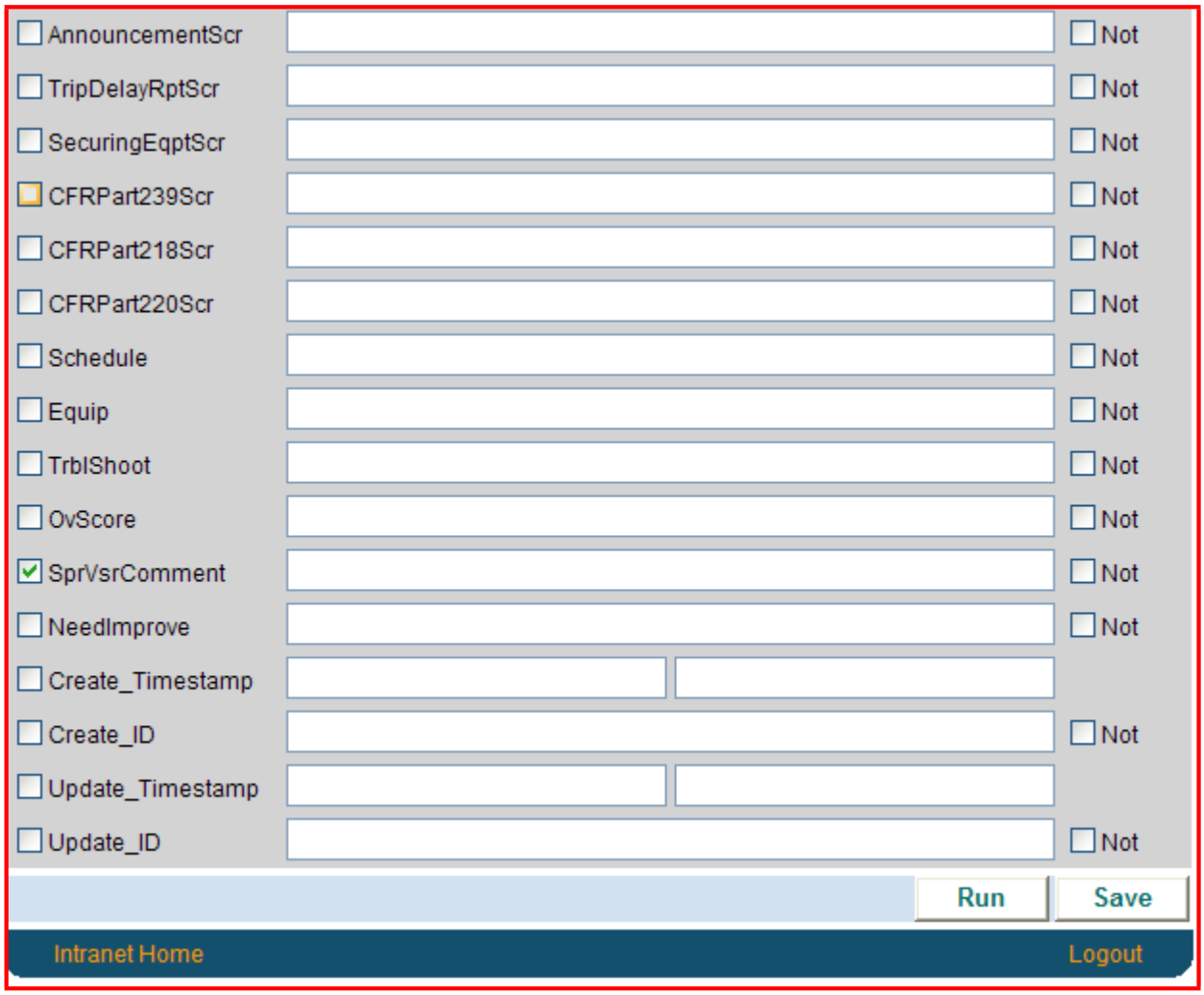
The report will look like this in Excel:

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R
1	EvalDate	TrainNumber	EngineNumber	NumEngines	EvalFrom	EvalTo	Comments	s1	s2	s3	s4	s5	s6	s7	s8	s9	s10	s11
2	8/31/2012 0:00							0	0	0	0	0	0	0	0	0	2	2
3	9/7/2012 0:00							0	0	0	0	0	0	0	0	0	2	2
4	10/19/2012 0:00							2	2	2	2	2	2	2	2	2	2	2
5	10/5/2012 0:00							2	2	2	2	2	2	2	2	2	2	2
6	8/24/2012 0:00							0	0	0	0	0	0	0	0	0	2	2
7	11/2/2012 0:00			0				2	2	2	2	2	2	2	2	2	2	2
8	10/12/2012 0:00							2	2	2	2	2	2	2	2	2	2	2
9	10/26/2012 0:00			0				2	2	2	2	2	2	2	2	2	2	2
10	9/14/2012 0:00							2	2	2	2	2	2	2	2	2	2	2
11	9/21/2012 0:00							2	2	2	2	2	2	2	2	2	2	2
12	9/28/2012 0:00							2	2	2	2	2	2	2	2	2	2	2

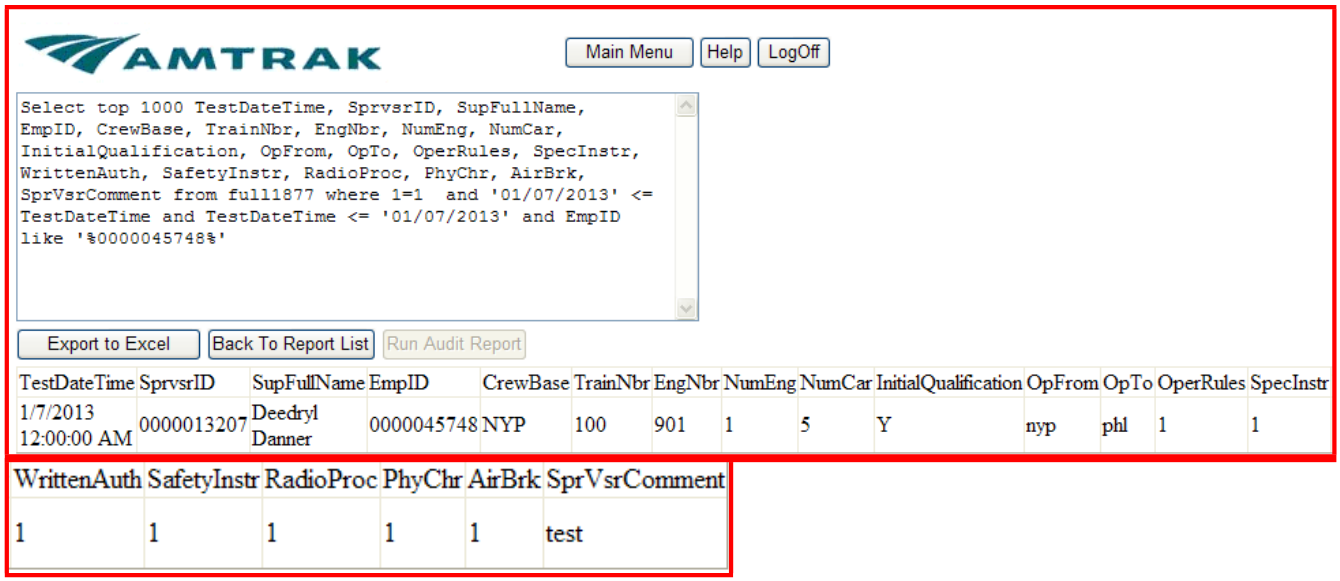
5. 1877 Ad Hoc Report – Conductor Evaluation

This report searches for details of the knowledge/skills checks given to Conductor Certification Candidates.

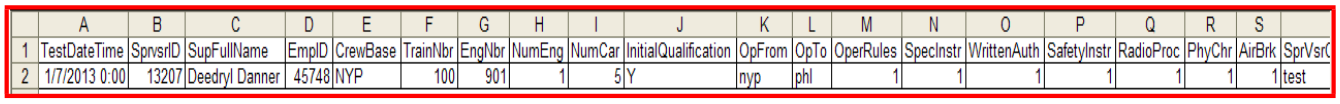




The report will look like this. (Report is split for document spacing.)



The report will look like this in Excel:



	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S	
1	TestDateTime	SprvsrID	SupFullName	EmpID	CrewBase	TrainNbr	EngNbr	NumEng	NumCar	InitialQualification	OpFrom	OpTo	OperRules	SpecInstr	WrittenAuth	SafetyInstr	RadioProc	PhyChr	AirBrk	SprVsr(
2	1/7/2013 0:00	13207	Deedryl Danner	45748	NYP	100	901	1	5	Y	nyp	phl	1	1	1	1	1	1	1	test

24. THE OFFLINE EFFICIENCY TESTS LAPTOP PROGRAM

Section Reserved

25. APPENDIX A

TEST 699 – EMERGENCY PREPAREDNESS

A. Description of Test

This test checks for compliance by employees with their responsibilities regarding passenger safety announcements, emergency equipment, on-board emergency communications, emergency communications with or by the control center, and passenger evacuation procedures.

B. Conditions for Test

Emergency preparedness tests may be conducted while an employee is required to actually perform an Emergency Preparedness Plan requirement (an "**A**" test), they may be conducted as part of a question and answer session with a supervisor (a "**Q**" test), or they may be conducted as part of a full-scale passenger train emergency simulation (an "**S**" test).

C. Testing Guidelines

Each T&E employee and Dispatcher who is involved with the movement of passenger trains must receive at least one Test 699 observation per calendar year. There are five categories of emergency preparedness tests:

1. **Passenger Safety Announcements**
   - **a.** Did conductor or his designee make the required announcement?
2. **Emergency Equipment**
   - **a.** Does each crew member have a working flashlight?
   - **b.** Does each car have the following equipment, or if not, was it noted on the appropriate form (MAP-21A): One type ABC fire extinguisher; One pry bar; One (only one required per train) standard Amtrak first aid kit?
3. **On-board Emergency Communications**
   - **a.** Does the conductor or his designee know what announcement to make in the event of an emergency situation?
   - **b.** Do other crew members and OBS employees know that they must promptly notify the conductor in the event of an emergency situation?
4. **Emergency Communications with or by the Control Center**
   - **a.** Does the conductor or his designee (including the engineer) know how to contact the appropriate control center in the event of an emergency?
   - **b.** Does the Control Center employee know whom to notify in the event of an emergency?
5. **Passenger Evacuation Procedures; Tunnels**
   - **a.** Does the conductor or his designee (including the engineer) know the passenger evacuation procedures and alternatives associated with their train's consist?

b. Does the conductor or his designee (including the engineer) know the passenger evacuation procedures and alternatives for their operating territory, including tunnel locations?

When recording Tests 699, **you must include in the "Comments" field** the number of the test shown in this section (**1-5**), preceded by the letter that indicates the type of test, as shown in section B ("**A**", "**Q**" or "**S**"). **Example:** If the Conductor has made the required safety announcement, record code **A1** in the "Comments" field.

D. Additional Rules To Be Tested – N/A

E. Non-Compliance Defined

The test is a non-compliance if:

1. Any Failure to comply with any rule or instruction specific to emergency preparedness. Supervisor's Test Guide – Appendix A – Page I

26. APPENDIX B

49 CFR 217. 9 - RESPONSIBLE OFFICERS

Officers Responsible for Ensuring Proper Implementation of the Operational Testing and Inspection Program

SYSTEM

SYSTEM OFFICER RESPONSIBLE FOR OVERSIGHT OF ENTIRE OPERATIONAL TESTING AND INSPECTION PROGRAM

Director, Operating Practices (Wilmington): T. J. Spratt

TRANSPORTATION

NEC BUSINESS LINE OPERATIONS - BOSTON
Superintendent – Operations (Boston, MA): J. DellaPietro

NEC BUSINESS LINE OPERATIONS - NEW YORK
Superintendent – Operations (New York, NY): D. Hamby
Superintendent – Operations and Commuter Services (New York, NY): S. P. Caliciotti

NEC BUSINESS LINE OPERATIONS – EMPIRE
Deputy General Manager (Albany, NY): K. M. Chittenden

NEC BUSINESS LINE OPERATIONS – WASHINGTON
Superintendent – Operations (Washington, DC): M. V. Carrino
Superintendent – Terminal Services (Washington, DC): J. Alston
Superintendent – Commuter Services (Washington, DC): H. W. Carter

LONG DISTANCE SERVICE OPERATIONS - SOUTHEAST
Superintendent – Operations (Jacksonville, FL): S. E. Kenner

CENTRAL REGION
Superintendent – Operations (Chicago, IL): J. Morris

SOUTHWEST SUBDIVISION
Superintendent – Commuter Operations (San Dimas, CA): E. B. Hosey
Superintendent – Operations (Los Angeles, CA): E. Smith

BAY SUBDIVISION
Superintendent (Oakland, CA): A. J. Chapa

NORTHWEST SUBDIVISION
Asst. Superintendents (Seattle, WA): J. Ward and J. Greenwell

ENGINEERING

SYSTEM ENGINEERING
Deputy Chief Engineer – Maintenance (Philadelphia, PA): A. J. Keefe
Deputy Chief Engineer – Track (Philadelphia, PA): A. J. Cloutier
Deputy Chief Engineer – Construction (Philadelphia, PA): R. G. Verrelle Jr.
Acting Deputy Chief Engineer – C&S (Philadelphia, PA): N. J. Croce III
Sr. Director Business Improvements – (Philadelphia, PA) W. S. Bates

ENGINEERING PRODUCTION
Director Engineering Production & Constructions (Philadelphia, PA): J. A. Pielli

NEW ENGLAND DIVISION
Division Engineer (Hamden, CT): G. W. Fitter

NEW YORK DIVISION (NY)
Division Engineer (New York, NY): R. J. Puciloski

EMPIRE CORRIDOR
Division Engineer (Albany, NY): J. Kessler

MID-ATLANTIC DIVISION
Division Engineer MAD-North (Philadelphia, PA): W. P. Stafford
Director Engineer MAD-South (Baltimore, MD): M. W. Moore

CENTRAL
Division Engineer (Chicago, IL): D. B. Klouda

SOUTHWEST
Division Engineer (Los Angeles, CA): C. Mamoon

MECHANICAL OPERATIONS

NEC BUSINESS LINE, BOSTON
Superintendent, Mechanical (Boston, MA): C. Purcell Superintendent,

NEC BUSINESS LINE, NEW YORK
Superintendent, Mechanical (Long Island City, NY): F. Ross

NEC BUSINESS LINE, ALBANY
Superintendent, Mechanical (Albany, NY): J. D. Shelgren

NEC BUSINESS LINE, WASHINGTON
Superintendent – Locomotives (Washington, DC): J. Gross
Superintendent – Turnaround S&I (Washington, DC): T. J. Galinato Jr.
Superintendent – Preventative Maintenance (Washington, DC): R. T. Frank
Superintendent Mechanical (Philadelphia, PA): C. Barns

NEC BUSINESS LINE, WASHINGTON - COMMUTER SERVICES
Asst. Superintendent Mechanical, Commuter Services: C. E. Rocke

SOUTHEAST SUBDIVISION
Master Mechanic (Sanford, FL): H. B. Hibbert

CENTRAL SUBDIVISION
Master Mechanic (Chicago, IL): R. C. Herdegen

WEST REGION
Superintendent, Mechanical (Los Angeles): C. Everly
Superintendent, Mechanical (Oakland): R. D. Hitchcock
Asst. Superintendents, Mechanical (Seattle): R. L. Williams and A. D. Smith

BACK SHOPS
Plant Manager Delaware Shops: D. P. Ruppert
Plant Manager Beech Grove: R. A. Moriarty

HIGH SPEED RAIL
Asst. Superintendent Mechanical HSR (Boston, MA): R. C. Glidden
Asst. Superintendent Mechanical HSR (New York, NY): J. L. Cason
Asst. Superintendent Mechanical HSR (Washington, DC): F. M. Hindman

27. APPENDIX C

LIST OF CORE TESTS

1. **Train and Engine Service Employees: (Minimum 75 Core Tests per Calendar Quarter)**
   - 101 Stop Within ½ the Range of Vision
   - 102 Stop Signal
   - 103 Dark Signal
   - 104 Stop & Proceed / Restricted Proceed Signal
   - 105 Other Signal Indications
   - 107 Delayed In Block
   - 108 Speed
   - 110 Air Brake Tests
   - 111 Highway Crossing Warning
   - 115 SOFA
   - 116 Roadway Worker Protection
   - 117 Switches & Switching*
   - 118 Shoving & Back-up*
   - 119 Calling Signals / Restrictions
   - 120 Radio Procedures
   - 130 Job Briefings
   - 133 FRA 232 & 238 Hands-On Brake Test/Insp
   - 135 Use of Electronic Devices
   - 139 Positioning & Securing Unattended Equipment*

   * Test 198 - Employee Instruction is counted as a Core Test when "TEST 117/118" or "TEST 139" is specified in the comments section. Use of Test 198 in this way is permitted if the employee cannot practically be observed performing an activity that would fall under either TEST 117, 118 or 139 due to the nature of their job assignment.

2. **Movement Office Employees: (Minimum 75 Core Tests per Calendar Quarter)**
   - 120 Radio Procedures
   - 130 Job Briefings
   - 135 Use of Electronic Devices
   - 201 Form D / Written Directives
   - 202 Blocking Devices
   - 203 Blue Signal Protection
   - 204 RWP Protection
   - 205 Track Car Protection
   - 206 Authority to Pass Stop Signal
   - 207 Dual Control Switches
   - 208 Reverse Movements
   - 209 Changing Established Route
   - 210 Interlocking / Control Points
   - 211 Restriction to Trains
   - 212 Highway Crossing Devices
   - Records

3. **Engineering Department Employees: (Minimum 40 Core Tests per Calendar Quarter)**
    - 101 Stopping within One-Half the Range of Vision Test
    - 102 Stop Signal
    - 104 Stop & Proceed Signal
    - 110 Air Brake Tests
    - 112 Written Directives
    - 117 Switches & Switching*
    - 118 Shoving & Back-Up Moves*
    - 120 Radio Procedures
    - 135 Use of Electronic Devices
    - 139 Positioning & Securement of Equipment*
    - 313 Individual Responsibility
    - 316 Job Briefings
    - 321 Exclusive Track Occupancy
    - 323 Foul Time
    - 327 Inaccessible Track

    * Test 198 - Employee Instruction is counted as a Core Test when "TEST 117/118" or "TEST 139" is specified in the comments section. Use of Test 198 in this way is permitted if the employee cannot practically be observed performing an activity that would fall under either TEST 117, 118 or 139 due to the nature of their job assignment.

4. **Mechanical Department Employees: (Minimum 40 Core Tests per Calendar Quarter)**
    - 101 Stopping within One-Half the Range of Vision
    - 102 Stop Signal
    - 108 Speed
    - 110 Air Brake Tests/Inspections
    - 114 Cab Signal Rules
    - 117 Switches & Switching*
    - 118 Shoving & Back-Up Moves*
    - 120 Radio Procedures
    - 129 Safety Rules
    - 130 Job Briefings
    - 132 Electrical Operating Instructions (AMT-2)
    - 133 FRA 232 & 238 Hands-On Brake Test/Insp
    - 135 FRA Emergency Order 26 - Electronic Devices
    - 139 Positioning & Securing Unattended Equipment*
    - 401 Blue Signal Protection

    * Test 198 - Employee Instruction is counted as a Core Test when "TEST 117/118" or "TEST 139" is specified in the comments section. Use of Test 198 in this way is permitted if the employee cannot practically be observed performing an activity that would fall under either TEST 117, 118 or 139 due to the nature of their job assignment.

28. APPENDIX D

AMTRAK TESTS SIX-MONTH REVIEW OUTLINE

The outline below identifies information that must be included in each six-month review. The requirements are derived from 49 CFR Part 217.9 and FRA inspection protocols listed in FRA's Inspection Activity Objectives – 217(P) document. The entire review must be submitted to Operating Practices, in electronic form, within 30 days of the end of the review period.

Section 1. Presentation of Data

Section 1 consists primarily of reports generated directly from TESTS, supplemented by commentary explaining variances or potential anomalies. The requirement for this information is derived from 49 CFR Part 217.9 (e) (2).

Part 1. General Summary

- **a.** List of designated "Testing Officers": supervisors on the region or subdivision responsible for achieving Tests targets.
- **b.** Include the quarterly progress report for each Testing Officer, showing progress toward achieving test targets, and a "Summary of Missed Targets" page identifying all Testing Officer shortfalls and the reason for the missed target. (Note: Missed Targets are addressed in Section 2 Part 8 below).
- **c.** Statement explaining any "0" totals for the Region/Subdivision (not individual testing officer) in any Core Test category.
- **d.** A summary of all tests by test number and test result (compliance or non-compliance type).

Part 2. Accident / Incident Data / Major Operating Rule Violation Summary

- **a.** List of major operating rule violations (MORV) by type that occurred during the prior 12 months, and the test numbers that are determined to be relevant to the follow-up testing associated with those violations.
- **b.** Report showing the number of observations entered for each of the test numbers determined to be relevant to the follow-up the MORVs that occurred the previous 12 months.
- **c.** Statement indicating the testing activity changes/response intended for the Region/Subdivision to address the MORVs that occurred during the review period.
- **d.** Name, SAP #, craft, and date of return to service following the MORV, for any employee(s) required to have MORV follow-up testing during the period.
- **e.** Report showing the MORV follow-up testing for each employee required to have MORV follow-up tests during the period. (TESTS Report B15)

Section 2. Data Analysis

Section 2 consists of an analysis of the data presented in Section 1. The requirement for this review is based on FRA's internal guidelines for conducting inspections/reviews of testing activities. The Region/Subdivision is responsible for indicating the outcome a review of the testing activities in each of the categories listed below as part of the six-month review submission.[1]

Operating Practices will generate reports for each category listed below, and submit them to the Region/Subdivision no later than the close of each review period, and on a monthly basis when possible. The TESTS Reports that can also be used for the review of each category are identified in the footnote to that section heading.

Part 1. Testing Activity by Location

Statement indicating the outcome of the review of the distribution of testing activity by locations, and what if any changes are needed during the following six-month period.

- Look for a pattern indicating testing activities are conducted too regularly at the same or a small number of locations, or not conducted at a sufficient variety of locations.
- Where relevant, consider the distance traveled by the testing supervisor, where the elapsed time between tests conducted on the same day at different locations is too little.

Part 2. Testing Activity by Time Periods

Statement indicating the outcome of the review of the distribution of testing activity by time of day, specifying what if any changes are needed during the following six-month period.

Part 3. Testing Activity by Days of the Week

Statement indicating the outcome of the review of the distribution of testing activity by the days of the week on which the tests were conducted, specifying what if any changes are needed during the following six-month period.

- Test distribution should roughly approximate the operational activity across weekdays, week nights, weekends, holidays, etc.

Part 4. Testing Activity by Types of Tests Conducted

Statement indicating the outcome of the review of the distribution of testing activity by the types of tests conducted, specifying what if any changes are needed during the following six-month period.

- Consideration must be given to the Core Tests, location needs or trends, as well as local/industry issues.
- Are there any safety critical rules not being sufficiently monitored?

Part 5. Testing Activity by Number of Tests Conducted Per Testing Officer

Statement indicating the outcome of the review of the testing activity of all Testing Officers, specifying what if any changes are needed during the following six-month period.

- Consider the number of tests reported by each testing officer, and look for significant differences or fluctuations in test number.

[1] The goal of the analyses required in this section is to ensure oversight and review of testing activity sufficient to identify unintended patterns, and/or aspects of the operation that require but may not have received adequate testing oversight. For example, it is not required that all tests must be equally distributed by times of day or by location, but it is expected that the distribution of testing activity should approximate the activity of the craft/employee group being monitored, and reflect the identified priorities of the Region/Subdivision. If testing activity in a category reflects the identified needs of the Region/Subdivision operation, the statement could indicate "Testing activity for the current 6 month is sufficiently distributed by time of day". If a change is required it must be specified, i.e. "Testing activity will be increased at nonterminal locations (or at X, Y, and Z locations) during the next 6 month period".

Part 6. Testing Activity: Observation vs. Set-up Tests

Statement indicating the outcome of the review of the distribution of the number and type of "set-up" type tests, specifying what if any changes are needed during the following six-month period.

- Consider the number of "observation" vs. "set-up" type tests.

Part 7. Foreign Line Employees Tested (Amtrak Owned/Dispatched Territories Only)

Statement indicating the outcome of the review of the testing conducted on foreign line carriers, specifying what if any changes are needed during the following six-month period.

- Are all foreign railroads tested?
- Whether or not "key" or "hot" trains are tested.

Part 8. Region/Subdivision Target Evaluation

Statement indicating whether Region/Subdivision/Craft/Department TESTS targets were achieved. With a "Summary of Targets" identifying shortfalls in any monthly, quarterly, six-month, or Annual Region/Subdivision targets that fall within the reporting period, the reason for the missed target, changes are needed during the following six-month period.

Part 9. Non-compliance by Test Number

Statement indicating the outcome of the review of the non-compliances, specifying what if any changes are needed to the focus of testing activities during the following six-month period.

- Consider whether the exceptions are taken for safety critical vs. non safety critical rules, and the exceptions as a percentage of the total number of checks made.

Part 10. Data Entry Review

Statement indicating whether any obvious data entry errors were identified during the review of the various reports required for this report.

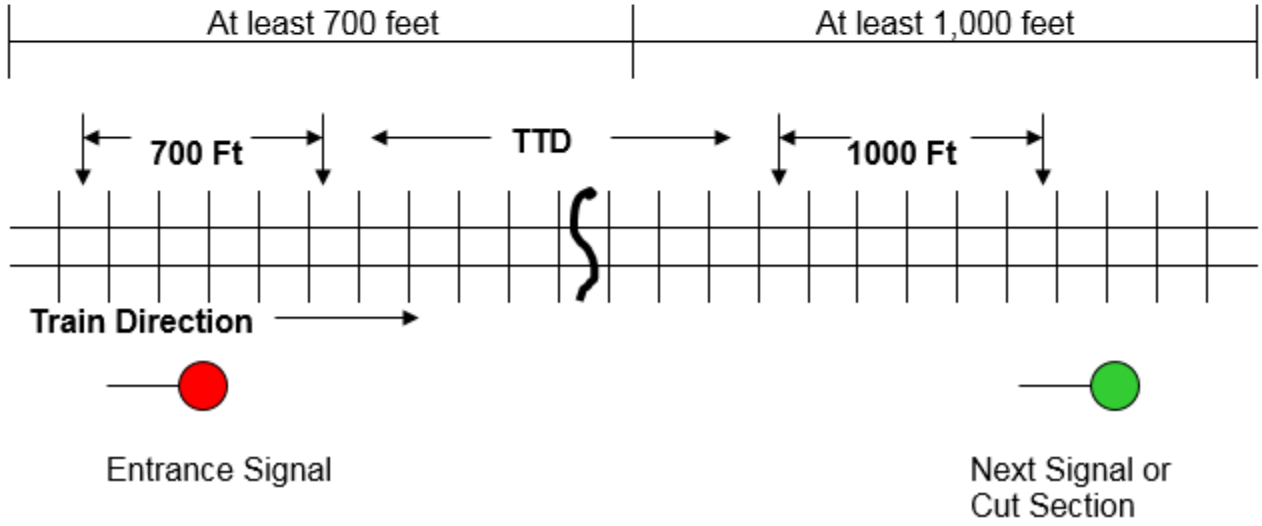
29. APPENDIX E

RESTRICTED SPEED BARRICADE TESTS IN CAB SIGNAL TERRITORY

Supervisors conducting Restricted Speed Barricade Tests in cab signal system territory and/or all Amtrak operated territory must take the following actions, **in the order specified**. These tests must be performed with at least two supervisors and a C&S Maintainer. One of the supervisors must be qualified to operate the train that will be tested to the next crew change location, should the Engineer fail to comply with the test and strike the Barricade.

1. Contact the Dispatcher by means other than radio to advise him/her of your intentions, and also to determine the direction, track, and current location of the next train to arrive at the test site. Do not erect the Barricade when an approaching train is within three blocks of the test site.

2. Position and **securely fasten** a Transportation Test Device (TTD/Shunt) to the rails at least 700 feet beyond the fixed signal you want to shunt, and at least 1,000 feet before the next fixed signal or cut section that an approaching train would encounter. Cut sections can be identified by a set of insulated joints with a signal box nearby. The TTD or Shunt will be provided by and connected by C&S.

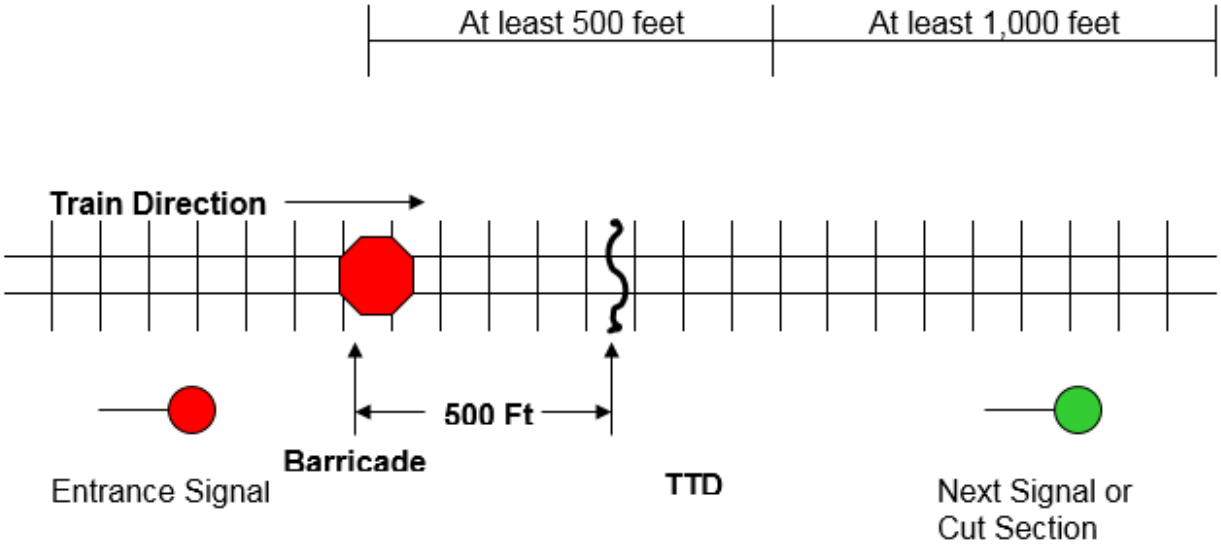


3. The C&S Maintainer and Supervisor **MUST** verify that the TTD has shunted the track circuit, using the following methods:

   a. Contact the Dispatcher or Operator, by means other than radio, to ensure that a track circuit occupancy light "TOL" is displayed on their control machine at the location of the "TTD/Shunt".

   b. Next view the aspect of the fixed signal governing entrance to the block to ensure that the signal is displaying Stop and Proceed. This method may be used only when the governing signal is an automatic block signal.

4. Next position and **securely fasten** an approved shunting Barricade at least 500 feet before the TTD, but obviously somewhere within the block you have already shunted with the TTD. Mark the location of the Barricade. As outlined in step (7)(f)(1) below, you may have to back the train to this location after a train has struck, and probably destroyed the Barricade.



5. Position yourself in an inconspicuous location and await the arrival of the train to be tested.

6. If the approaching train stops short of the Barricade, one supervisor must mount the engine to inform the Engineer of the purpose of the test, to thank him/her for his/her vigilance, and to ensure that the train is not moved until the Barricade is removed from the track. The other supervisor must remove the Barricade.

7. If the approaching train strikes the Barricade, the following actions must be taken:

   a. Immediately instruct the Engineer to stop.

   b. Mount the engine and ask the Engineer and other employees in the cab if the train's cab signals were operable prior to striking the Barricade, and if so, what aspect was displayed.

   c. If the train was operating with failed cab signals before it arrived at the test site, the question of possible cab signal code leakage is irrelevant, and the Engineer must be removed from service and D&A'd for failing to comply with the fixed signal indication.

   d. If the train's cab signals were working, and the Engineer admits to having a Restricted cab signal when the Barricade was struck, remove the Engineer from service and have him/her D&A'd.

   e. If the Engineer claims to have had a more favorable cab signal aspect before striking the Barricade, **and the present cab signal aspect is Restricting**, move the train forward to determine whether the cab signal aspect changes to a more favorable aspect when conditions ahead change.

      (1) If the cab signal aspect changes to a more favorable aspect when conditions ahead change, you must assume that the cab signal was working properly when the Barricade was struck and must therefore remove the Engineer from service and have him/her D&A'd.

      (2) If the cab signal does not change from Restricting when conditions become more favorable, this is an indication that the cab signal receiver on the engine may have been damaged when the Barricade was struck. If the engine is equipped with an event recorder, remove the Engineer from service and have him/her D&A'd, pending a review of the event recorder data. If the engine is not equipped with an event recorder, take the Engineer at his/her word and allow him/her to complete his/her assignment.

   f. If the Engineer claims to have had a more favorable cab signal aspect before striking the Barricade, **and the present cab signal aspect is more favorable than Restricting**, take the following actions:

      (1) Back the train in accordance with the applicable rules, until the head end of the train clears the location where the Barricade was positioned before it was hit.

30. APPENDIX F

TESTS RESULT CODE V, MAJOR OPERATING RULE VIOLATION FOLLOW-UP INDICATOR

When an employee returns to service following a Major Operating Rule Violation (MORV), an 1872 with a Result Code "*V – MORV, Return to Service Indicator*" must be entered. This code V 1872 entry is not reflected in the system as an observation, and does not count toward any target. It is a recordkeeping trigger that permits the tracking of the required follow-up testing once the employee returns to service.

Instructions for Entry:

1. **1872 Test Date:** Should be the date on which the employee was first available for follow-up testing after the MORV. The monthly follow-up requirement begins on the date selected for the Result Code V Test. Note: Only one Code V Test is required. Follow-up observations are indicated by checking the "*Rule Violation Follow up?*" Check box.
2. **Test Number:** Enter the Test number most closely associated with the violation for which the employee was charged.
3. **Test Result:** Select result code "V – MORV, Return to Service Indicator".
4. Violation follow-up check box must NOT be checked for the code V test.
5. **Comments:** Document any information in the comments immediately relevant to the follow-up Testing needed for the violation. For example, other Test numbers relevant to the required follow-up.

The entry of a Code V Test is not required if an employee does not return to the same craft for any reason following a MORV (ex: retirement, termination, change of craft). Verify in the employee is checked as inactive in the TESTS employee database, and add a comment indicating the reason for being unavailable for follow-up testing.

Once the Code V Test is entered, the Violation Follow-up check box must be checked on one test per month during that is directly related to the original violation, each of the 12 months during the follow-up period.