



BNSF Railway Safety Vision

We believe every accident or injury is preventable. Our vision is that BNSF Railway will operate free of accidents and injuries. BNSF Railway will achieve this vision through:

A culture that makes safety our highest priority and provides continuous self-examination as to the effectiveness of our safety process and performance...

A work environment, including the resources and tools, that is safe and accident-free where all known hazards will be eliminated or safe-guarded...

Work practices and training for all employees that make safety essential to the tasks we perform...

An empowered work force, including all employees, that takes responsibility for personal safety, the safety of fellow employees, and the communities in which we serve.

This version contains the following updated pages:

September 1, 2015: Title page, 2, 4, 6, 9, 16.

Operations Testing Reference Guide

Remote Operations Testing / Audit Supplement

In Effect at 0001
Central, Mountain and Pacific
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* Indicates test / audit is a qualifying event for locomotive engineers under CFR 49, Part 240.

** Indicates test / audit is a qualifying event for Conductors under CFR 49, Part 242.

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Introduction

This Remote Operations Testing / Audit Supplement to the [BNSF Operations Testing Reference Guide](#) defines those tests / audits designed to be recorded through remote processes only. Remote operations tests / audits are performed utilizing data derived from BNSF resources including, but not limited to, locomotive event recorder data, traffic management systems, and audio communications archives.

All general instructions in the BNSF Operations Testing Reference Guide apply to this supplement. Any operating rule deficiencies noted, other than those defined by these test / audit descriptions, may also be recorded as described.

Operations Test / Audit Procedure

The testing / auditing supervisor will retrieve and utilize data from various sources as required to determine the extent of compliance with associated rules and procedures. The date recorded will be the actual event occurrence.

Test / Audit Results

An important aspect of operations testing / auditing is employee feedback regarding their performance as related to BNSF expectations. Test /audit results are provided to employees through various means.

Exceptions for all remote tests / audits are communicated to the employee via the appropriate supervisor. This communication will include data file(s) supporting the exception. Test / audit exceptions are initially recorded indicating "07 – Pending Officer Update" in the action taken field. Upon notification by division supervisors of follow up handling with the employee, the database will be updated to properly reflect the appropriate action taken code.

Guidelines for [removal or correction of a record](#) that cannot be accomplished by the primary supervisor are contained in the [Operations Testing Reference Guide](#).

803 * TWC Authority Limit

OBJECTIVE

This test / audit determines employee compliance with requirements to operate within limits of Track Warrant Authority in TWC territory.

APPLICABLE RULES

GCOR: 6.3, 14.1, 14.2, 14.3.

PREPARATION / PROCEDURE

This test / audit applies to all train crew members.

Determine track authority limits requiring train to stop.

Verify that train or engine stops before exceeding limits of authority provided by TW.

RECORDING INFORMATION

Record a passing test when train or engine stops where required in relation to the authority granted. Enter an exception when any part of the applicable rule is not followed..

* Indicates test / audit is a qualifying event for locomotive engineers under CFR 49, Part 240.

805 Track Bulletin Form B

OBJECTIVE

This test / audit determines employee compliance relating to Form B track bulletins; specifically when obtaining a Form B, and approaching or operating within the limits.

APPLICABLE RULES

GCOR and MWOR: 5.4.3, 5.4.7, 15.2

PREPARATION / PROCEDURE

This test / audit applies to all train crew members and Maintenance of Way Employee-In-Charge (EIC). The supervisor or manager will verify the following:

EIC properly briefs with Control Operator to:

- Verify Track Bulletin information is correct including track(s), MP locations, switch(es), routing, etc. (MWOR 15.1.1)
- Determine need, if any, for switches to be blocked when Form B limits include dual control switch(es) (MWOR 15.1.2)
- Ascertain blocks have been applied, when required, prior to occupying the track (MWOR 15.1.2)
- The Track Bulletin information indicates proper display of the Yellow / Red flag (MWOR 5.4.3) and / or Red flag (MWOR 5.4.7).

When a train approaches and operates within a track bulletin Form B verify that a crew member:

- Contacts the EIC to avoid delay, giving the train's location and track being used (GCOR 15.2)
- Repeats instructions back to the EIC and receives acknowledgement (GCOR 15.2 B)
- Contacts the EIC with track route changes from previous instructions received, does not change direction until validating new route instructions and permission with EIC (GCOR 15.2 B)
- Contacts the EIC 1 hour before and / or after a track bulletin Form B is in effect, if audio review indicates yellow-red flags are displayed complying with instructions provided (GCOR 5.4.3)

A train:

- Within the limits at the time the Form B goes into effect does not make further movement until instructed by the EIC (GCOR 15.2 C)
- Enters limits with proper permission (GCOR 15.2 C)

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The EIC:

- Includes required information when establishing initial communication with train crew member regarding the Form B. The EIC must give the Track Bulletin Number (specifying line number when necessary), and mileposts (specifying subdivision when necessary) (MWOR 15.2 A)
- Communicates all required information when granting train permission to proceed within the Form B limits (MWOR 15.2 A)
- Communicates instructions pertaining to flag display 1 hour before and 1 hour after effective time (MWOR 5.4.3)

RECORDING INFORMATION

Record a passing test when the employee complies with all the applicable Form B rule requirements. Use the appropriate rule book code 'GCOR' or 'MWOR' depending on employee craft, then for a passing entry enter or select from the menu 'Form B'.

Enter an exception when any part of the applicable rule is not followed. The supervisor will select the appropriate rule book code, then enter or select the specific rule number.

809 Whistle Signal / Grade Crossing

OBJECTIVE

This test / audit determines employee compliance with whistle signal requirements approaching road crossings at grade with engine in front and whistle signal is required (i.e., no Quiet zone in effect).

APPLICABLE RULES

GCOR 5.8.2

PREPARATION / PROCEDURE

Verify that:

- 809-1** Lead locomotive traveling in excess of 45 MPH starts whistle signal (7) at or about the crossing sign, but not more than 1/4 mile before the crossing.
- 809-2** Lead locomotive traveling 45 MPH or less sounds whistle signal (7) at least 15 seconds, but not more than 20 seconds before lead locomotive enters the crossing, unless movement starts less than 1/4 mile from a crossing.
- 809-4** Whistle signal (7) is sounded as two long, one short and one long.
- 809-5** Whistle signal (7) is prolonged or repeated from the time whistle is required to be initiated until lead locomotive passes through the crossing.
- Note:** For 809-1 through 809-5; in addition to the locomotive engineer, other crew members present in the cab should only be included when a noted exception has occurred at multiple crossings.
- 809-6** This test / audit may only be recorded as an exception. Record this test / audit only when whistle is not sounded for a grade crossing where required. Other crew members should also be included when present in the cab of the locomotive.
- 809-7** Verify that no whistle signal is sounded at crossings that are established Quiet Zone locations.

RECORDING INFORMATION

Record a passing test when the required whistle signal is sounded as required by rule. The supervisor will use the rule book code 'GCOR', then enter the appropriate segment number.

Enter an exception when any part of the applicable rule is not followed.

811 * Block Signal – Stop

OBJECTIVE

This test / audit determines employee compliance with rules governing stop indications at absolute signals.

APPLICABLE RULES

GCOR: 9.1.15, 9.12.1, 9.12.2, 9.12.4

PREPARATION / PROCEDURE

This test applies to all train crew members.

Determine location train or engine is required to stop at signal indicating stop.

Verify that the train or engine stops before passing signal requiring stop:

RECORDING INFORMATION

Record a passing test when the movement stops before passing signal indicating stop. Enter an exception when the movement does not stop before passing signal indicating stop.

* Indicates test / audit is a qualifying event for locomotive engineers under CFR 49, Part 240.

815 Block Signal – Approach

OBJECTIVE

This test / audit determines employee compliance with rules governing approach signal indications.

APPLICABLE RULES

GCOR: 9.1.6, 9.1.7, 9.1.8, 9.1.10, 9.1.11, 9.1.12.

PREPARATION / PROCEDURE

This test / audit applies to all train crew members.

Determine location of signal displaying “Approach” indication.

Verify via locomotive event recorder analysis, traffic management replay, and/or audio archives that:

- Approach signal condition exists due to next signal requiring stop
- Determine appropriate speed reduction as required by signal indication
- Proper train handling techniques are utilized when next signal requires a stop.

RECORDING INFORMATION

Record a passing test when the required speed reduction is made and / or maintained. Enter an exception when any part of the applicable rule is not followed.

821 Speed Requirement

OBJECTIVE

This test / audit determines employee compliance with maximum authorized speed requirement for a given location.

APPLICABLE RULES

GCOR: 6.31, SSI, and Division Timetable Instructions

PREPARATION / PROCEDURE

This test / audit applies to all train crew members.

Determine maximum authorized speed for train or engine including permanent speed restrictions.

Verify that train or engine does not exceed maximum authorized speed for a given location or portion of territory.

821-1 Maximum Authorized train speed.

821-2 Permanent speed restriction.

RECORDING INFORMATION

Record a passing test when the train or engine does not exceed the maximum authorized speed for a given location or portion of territory.

An exception is to be recorded for a single event(s), or when frequent or prolonged infractions are noted.

823 Temporary Speed Restriction

OBJECTIVE

This test / audit determines employee compliance with rules related to temporary speed restrictions.

APPLICABLE RULES

GCOR: 2.14, 5.4.1, 14.0, 15.0, 15.2; SSI Item 33

PREPARATION / PROCEDURE

This test / audit applies to all train crew members.

Determine maximum authorized speed for train or engine where a temporary speed restriction effects train movement.

Verify that:

- Train is issued a temporary speed restriction by mandatory directive or temporary restriction (including flags: yellow or yellow-red)
- Movement complies with speed defined by the temporary speed restriction
- Train is issued a flash flood warning and complies with speed requirements through the given location.

RECORDING INFORMATION

Record a passing test when the speed does not exceed the maximum authorized by the temporary speed restriction. An exception is to be entered when the speed exceeds the maximum allowed.

Use the rule book code 'GCOR' and the appropriate segment number to record the entry.

823-1 All temporary speed restrictions except Form B or flash flood related

823-2 Form B associated temporary speed restriction

823-3 Flash Flood Warning temporary speed restriction

824 Restricted Speed

OBJECTIVE

This test / audit determines employee compliance when a train or engine is operating under rule GCOR 6.27 Movement at Restricted Speed.

APPLICABLE RULES

GCOR 6.27

PREPARATION / PROCEDURE

This test / audit applies to all train crew members.

Conduct this test / audit in conjunction with other tests / audits where movement at restricted speed is required by rule.

Determine location where movement at restricted speed is required.

Verify that movement does not exceed 20 MPH where required and train is operated at a speed that allows stopping within half the range of vision short of requirements for GCOR 6.27.

RECORDING INFORMATION

Record a passing test when the speed does not exceed 20 MPH before the leading wheels of the movement reach a location where the speed may be increased. An exception is to be entered when the speed exceeds the maximum allowed.

830 Train Handling

OBJECTIVE

This test / audit determines employee compliance with proper train handling techniques when operating a train or engine.

APPLICABLE RULES

ABTH 103.0 through 103.12, excluding ABTH 103.3B, 103.6.3F and 103.8.4

PREPARATION / PROCEDURE

This test / audit may be conducted by reviewing various technology based sources in review of performance of the employee operating a train or engine.

The supervisor / manager should evaluate overall performance and make a single entry when choosing to use this OPT for the employee's given tour of duty (or shift).

RECORDING INFORMATION

Record a passing test when the employee operates a train or engine in accordance with the train handling rules. The supervisor will use rule book code 'ABTH', then enter rule number 103.0 for passing entries where overall performance exhibited employee adherence to train handling rules.

Should it be necessary to record an exception the supervisor will again use the rule book code, then enter the specific train handling rule number pertaining to the given exception.

Note: Entries for ABTH 103.6.3F should be recorded under OPT 891-4, and ABTH 103.8.4 under OPT 869.

850 Track Occupancy (Critical Decision)

OBJECTIVE

This test / audit is conducted to determine employee compliance with track authority while occupying or fouling the track, or using the authority as a method of protection.

APPLICABLE RULES

MWOR 6.2.1, 6.3.1, 2.14.2

PREPARATION / PROCEDURE

This test / audit may be conducted anytime employees are occupying or fouling the track, or using the authority as a method of protection.

Verify via track authority archive, audio archive or other sources that a work event requires employees to occupy or foul a track, or use the authority as a method of protection.

850-1 MWOR 6.3.1 – When a main track, controlled siding, or any track where a block signal system is in effect is occupied or fouled by roadway workers, verify proper authority has been granted consistent with the type of operation for that location as identified in the timetable/special instructions.

Segments 850-2, 850-3, 850-4 not used.

850-5 MWOR 6.2.1 - Before occupying or fouling the track, or using the authority as a method of protection for which an employee is authorized behind a train(s), the employee must:

- Establish direct radio contact with a crew member of the train(s)
- Confirm the train's identity by engine initials and number
- Ascertain the train's MP location confirming the train has passed the location where the track will be occupied or fouled, or authority will be used as a method of protection.
- When an authority is issued voiding a previous authority and identifying additional train(s) to be followed, movement must stop until direct radio contact is established to ascertain the location of the additional train(s)

850-6 MWOR 2.14.2 – Monitor audio or electronic communications to determine compliance with requirements for reporting clear of authority limits.

RECORDING INFORMATION

Record a passing test when the employee follows the rules for compliance with track authority while occupying or fouling the track, or using the authority as a method of protection. Enter an exception when any part of the applicable rule is not followed. Focus items include:

- 850-1** Men or equipment are occupying or fouling a track with proper authority as required by MWOR 6.3.1.
- 850-5**
- Employee authorized behind a train(s) occupies or fouls the track, or uses the authority as a method of protection after establishing direct radio contact with a crew member of the train(s), ascertaining the train(s) identity, MP location and that it has passed the location where the track will be occupied or fouled.
 - Employee is issued an authority voiding a previous authority and identifying additional train(s) to be followed, and the employee stops movement until direct radio contact is established to ascertain the train's identity and location of the additional train(s).
- 850-6** Employee reporting clear of authority informs the dispatcher / control operator that all employees and any multiple work groups are clear of track(s).

The entry process will prompt the supervisor to provide the rule book code (MWOR) and segment number (850-1, 850-5 or 850-6).

851 Multiple Work Group / Working Limits Briefing

OBJECTIVE

This test / audit determines employee compliance with procedures when multiple work groups may occupy the same limits.

APPLICABLE RULES

MWOR 6.3.1

PREPARATION / PROCEDURE

This test / audit applies to employees governed by MWOR who have authority to occupy the same or overlapping limits. Verify a job briefing between the EIC of authority and EIC of other work group contains proper information.

Verify via track authority archive, audio archive and HLCS analysis.

RECORDING INFORMATION

Record a passing test when employee(s) occupies overlapping limits after contacting / briefing all employee(s) and / or trains listed on the overlapping limits. An exception is to be entered when any part of the applicable rule is not followed.

852 Main Track Switches (Critical Decision)

OBJECTIVE

This test / audit determines employee returns main track switches to normal position, proper documentation occurs, and proper communication to the train dispatcher occurs regarding the switch.

APPLICABLE RULES

MWOR 8.2, 8.3, 14.12

PREPARATION / PROCEDURE

This test / audit applies to employees governed by MWOR who are required to change the position of a main track switch, derail, or switch point lock.

Verify via HLCS analysis, audio archive, track authority archive, and/or position of switch form that a switch, derail or switch point lock has been used.

RECORDING INFORMATION

Record a passing test when all applicable rule requirements regarding main track switches are met. Enter an exception when any part of the applicable rule is not followed. Focus items include:

- In non-signaled TWC or Double Track ABS territory after switch has been returned to normal position, the employee makes a facing point movement over the switch to validate switch is properly restored, if authority and conditions allow.
- A job briefing with the train dispatcher is performed when required, about the position of main track switches and those switches operated are locked within the limits being released, referencing completion of the "Position of Switch/Derail" form or stating no entries required.
- Main track switch, derail, or switch point lock is used and proper documentation is entered on appropriate form.

853 On-Track Speed Requirement

OBJECTIVE

This test / audit determines employee compliance with maximum authorized speed while operating on track equipment.

APPLICABLE RULES

MWOR 6.50.1, 6.50.4

PREPARATION / PROCEDURE

This test / audit applies to employees operating Hy-Rail vehicle on track.

Verify via HLCS analysis. Territory and vehicle operating on track must be HLCS equipped and functioning as intended.

RECORDING INFORMATION

Record a passing test when all applicable rule requirements regarding On-Track Speed are met. Enter an exception when any part of the applicable rule is not followed. Focus items include:

- Employee does not exceed the maximum authorized speed for specific location or equipment including 5 MPH over switches.
- Hy-rail vehicle does not reduce to half their maximum authorized speed when operating over hand operated switches and frogs.

854 Mandatory Directive

OBJECTIVE

This test / audit determines employee has repeated or reported clear of mandatory directives correctly.

APPLICABLE RULES

MWOR 2.14, 2.14.1, 2.14.2, 6.1, 6.3.1, 9.15, 10.3, 14.9, 14.12, 15.2, 17.0

PREPARATION / PROCEDURE

This test / audit applies to employees governed by MWOR who copy or report clear of any mandatory directive.

Verify via audio archive and track authority archive that a mandatory directive has been issued or reported clear.

RECORDING INFORMATION

Record a passing test when all applicable rule requirements regarding Mandatory Directives are met. Enter an exception when any part of the applicable rule is not followed. Focus items include:

- Employee copying mandatory directive informs the dispatcher when ready to copy, stating employee's name, identification and location.
- Employee copying mandatory directive is not at the controls of moving equipment.
- Mandatory directive is repeated properly including using the correct procedure.
- Briefing occurs between employee copying / releasing mandatory directive and train dispatcher providing a clear understanding of the authority that will be granted or released.
- Employee's name, track warrant number, track warrant limit, and time cleared are provided when releasing track warrant limits.

855 HLCS Compliance (Critical Decision)

OBJECTIVE

The testing / audit protocol determines that required HLCS briefings take place and HLCS on-track equipment is activated and associated with an authority where required.

APPLICABLE RULES

MWOR 6.50.5

PREPARATION / PROCEDURE

The supervisor making this observation may do so during any activity or event where the use of HLCS is required. Verify field employee/dispatcher briefings and communication exchanges take place as required. Verify that all HLCS equipped on-track equipment that fouls or occupies the track when using Track and Time, Track Warrant or Track Permit authority have HLCS equipment activated and associated with the authority.

RECORDING INFORMATION

Record a passing test when the identified rule requirements regarding HLCS operations are met. Enter an exception when any part of the applicable rule is not followed. Focus items include:

- A required briefing between the EIC and train dispatcher is conducted, advising of any HLCS equipped vehicles to be associated with the authority.
- EIC of an authority reports to the train dispatcher the HLCS vehicle numbers of multiple work groups that will foul or occupy the track to be associated with the authority.
- Employee fouls or occupies track with functional HLCS equipped vehicle after utilizing HLCS equipment as required.
- Employee fouls or occupies a track as a multiple work group with a functional HLCS equipped vehicle after notifying the EIC and utilizing HLCS equipment as required.

859 Vehicle / On-Track Equipment Operation – Critical Decision

OBJECTIVE

This test is conducted to determine that employees are in compliance with rules regarding the use of seat belts

APPLICABLE RULES

MW Safety Rules S-12.5 and S-14.1.2

PREPARATION / PROCEDURE

859–5 Seat Belts (S-12.5 and S-14.1.2) – This test may be conducted any time employees are observed to be operating or riding in vehicles, on-track equipment,(including Hy-rails) or other equipment that is equipped with seat belts; on or off track.

RECORDING INFORMATION

Record a passing test when the applicable rule requirements regarding seat belt use are met. Enter an exception when any part of the applicable rule is not followed.

861 TWC Non-Signaled Radio Transmission

OBJECTIVE

This test / audit determines compliance with requirement to announce train's approach approximately 2 miles in advance of siding or junction in non-signaled TWC territory.

APPLICABLE RULES

SSI Item 15 - GCOR and MW Operating Rules, Supplemental Instructions.

PREPARATION / PROCEDURE

This test / audit applies to all train crew members.

Determine crew member announces train's approach approximately 2 miles in advance of a siding or junction in non-signaled territory.

Verify via locomotive event recorder analysis, track authority form, and / or audio archive review.

RECORDING INFORMATION

Record a passing test when the required radio transmission is correctly made at the appropriate location. Enter an exception when any part of the applicable rule is not followed.

862 After Arrival Communication – TWC

OBJECTIVE

This test / audit determines compliance with communication requirements when after arrival authority is issued in TWC non-signalized territory.

APPLICABLE RULES

SSI Item 15 - GCOR and MW Operating Rules, Supplemental Instructions

PREPARATION / PROCEDURE

This test / audit applies to all train crew members.

Determine compliance with communication requirements when after arrival authority is issued in TWC non-signalized territory including the following key points:

- Briefing occurs between train dispatcher and train crew receiving after arrival authority with reference to specific identification of train to be met (by both parties)
- Train crew to receive TW containing after arrival authority establishes the location of train to be listed in after arrival authority, advising dispatcher direct communication has been made
- Recipient of TW with after arrival authority is stopped prior to TW being issued
- Train crew with after arrival authority establishes positive radio contact confirming identity of passing train listed in after arrival authority after the meet has occurred. (Note: If radio communication cannot be established, train dispatcher may provide confirmation.)

RECORDING INFORMATION

Record a passing test when the required after arrival communication is made in non-signalized TWC territory. Enter an exception when any part of the applicable rule is not followed.

863 Signal – Radio Transmission

OBJECTIVE

This test / audit determines employee compliance with requirement to transmit specific information by radio when passing signals in advance of control points as defined by individual division instructions.

APPLICABLE RULES

Individual Division Instructions, General Orders, or Notices

PREPARATION / PROCEDURE

This test / audit applies to all train crew members.

Determine radio transmission of specific signal information is required by division instructions at the location tested / audited

Verify that crew member transmits information defined by division instructions.

RECORDING INFORMATION

Record a passing test when the required radio transmission is correctly made at the appropriate location. Enter an exception when any part of the applicable rule is not followed.

864 Mandatory Directive – Repeat

OBJECTIVE

This test / audit determines employee compliance with proper repeat of verbally issued Mandatory Directives.

APPLICABLE RULES

GCOR: 2.14, 2.14.1

PREPARATION / PROCEDURE

This test / audit applies to crew member repeating Mandatory Directive.

Determine a Mandatory Directive has been verbally issued.

RECORDING INFORMATION

Record a passing test when all required information for a mandatory directive (including name, identification, exact location, etc.) are provided as required; and the repeat is correctly stated as required by rule. Enter an exception when any part of the applicable rule is not followed.

866 Radio Communication

OBJECTIVE

The Radio Communication test / audit determine that employees practice proper radio procedures.

APPLICABLE RULES

All radio related rules not included in other Operations Test observations.

PREPARATION / PROCEDURE

This test can be conducted anytime employees are using radio communications.

Verify that all transmissions are consistent with existing rules including:

- Transmission begins with required identification
- Instructions are repeated as required
- Employees make proper use of the terms “Over” and “Out”
- Radio communications are not misused and prohibited communications do not occur
- During shove movements the word “STOP” is used to instruct the employee at the controls of locomotive to stop.

RECORDING INFORMATION

Record a passing test when the required radio transmissions are completed consistent with the applicable rules. Enter an exception when any part of the applicable rule is not followed.

Use the appropriate rule book code (GCOR or MWOR as applicable) and the appropriate segment number listed below to record the entry.

- 866-1** Radio communication is consistent with existing rules (excluding GCOR 6.5)
- 866-2** TY&E employee uses the word “STOP” to instruct the engineer to stop under GCOR 6.5
- 866-3** Crew member correctly repeats instructions provided by the dispatcher when verbally authorized past a signal displaying ‘STOP’.

868 ** Shoving Movement

OBJECTIVE

This test / audit determines employee compliance with requirements when making shoving movement.

APPLICABLE RULES

GCOR: 5.3.7, 6.5.

PREPARATION / PROCEDURE

This test / audit applies to employees communicating, acknowledging, and reacting to instructions during shoving movement as verified via locomotive event recorder analysis and / or audio archive review.

RECORDING INFORMATION

Record a passing test when the shove movement requirements are consistent with the applicable rules. Enter an exception when any part of the applicable rule is not followed.

Use the appropriate rule book code 'GCOR' and the appropriate segment number listed below to record the entry.

868-1 Not used.

868-2 Employee providing protection properly controls the shoving movement using proper communication. The employee at controls of engine controls the movement based on communication; consider the following:

- Does communication include distance in car counts; identify who will be protecting the move (when required), direction (ahead/backup), and how movement will be protected?
- During shoving movement, the radio communication from employee providing protection is acknowledged by engineer if distance specified is more than 4 cars.

868-3 During shoving movement, employee at controls of engine operates in a manner that facilitates stopping within half the distance specified if additional instructions are not received or exceeds maximum allowable speed for track condition.

** Indicates test / audit is a qualifying event for Conductors under CFR 49, Part 242.

869 Reporting Emergency Brake Application

OBJECTIVE

This test / audit determines employee compliance with the requirement to notify train dispatcher, warn others by radio when an emergency brake application occurs and completes the walking inspection of train when required.

APPLICABLE RULES

GCOR: 2.10, 6.23, ABTH 103.8.4

PREPARATION / PROCEDURE

This test / audit applies to all train crew members.

Determine the emergency brake application has occurred.

Review communication to determine the following requirements have been met when required:

869-1 Warn others by radio when:

- Possible obstruction to adjacent main track or controlled siding (GCOR 6.23)
- Train overruns limit of authority or stop indication (GCOR 2.10)

869-2 Train dispatcher is notified of emergency brake application (ABTH 103.8.4).

869-3 Train inspection is performed if required (GCOR 6.23).

RECORDING INFORMATION

Record a passing test when the required warning, notification and inspection (if required) occurs following an emergency brake application. Enter an exception when any part of the applicable rule is not followed.

Use the appropriate rule book code and segment number to record the entry.

872 Between Equipment

OBJECTIVE

This test / audit determines employee compliance with requirements when going between or working on the end of rail equipment.

APPLICABLE RULES

TYSR S-13.1.1

PREPARATION / PROCEDURE

This test / audit applies to all crew members as applicable to their roles.

Determine radio communication is used to signal an employee will be going between or working on the end of rail equipment.

Verify that:

- If locomotive is coupled to the rail equipment:
 - Movement is stopped prior to a crew member announcing, “going between”.
 - Movement is stopped, reverser centered, and independent brake fully applied prior to employee controlling locomotive stating, “set and centered” when acknowledging an employee will be going between or working on the end of rail equipment.
 - Brakes remain applied and the reverser centered until the crew member requesting protection gives a signal indicating, “in the clear.”
- If locomotive is not coupled to rail equipment:
 - Crew member notifies all members of the crew by radio that the crew member will be going between or working on the end of rail equipment on any track.
 - Members of the notified crew acknowledge by radio that they understand a crew member will be going between or working on the end of rail equipment.

RECORDING INFORMATION

Record a passing test when the employee complies with the rule requirements when employee(s) are in between or are working on the end of rail equipment. Enter an exception when any part of the applicable rule is not followed.

874 ** Crossing Warning Notification

OBJECTIVE

This test / audit determines employee compliance with requirements to protect movement over road crossings when notified that crossing warning devices have an activation failure, are disabled, or malfunctioning.

APPLICABLE RULES

GCOR: 1.13, 6.32.2, Crossing Warning Notification Instructions

PREPARATION / PROCEDURE

This test / audit applies to all crew members occupying the controlling locomotive cab.

Determine location crew members are required to protect movement over grade crossing as instructed by train dispatcher when notified that crossing warning devices have an activation failure, are disabled, or malfunctioning.

Supervisor may coordinate test / audit with signal department to notify train dispatcher of crossing protection requirement.

Verify that Train dispatcher issued written or verbal instructions for train to protect crossing.

874-1 Unless otherwise provided, movement does not exceed 15 MPH until head end of train completely occupies the crossing.

874-2 ** If required, movement stops before occupying crossing

RECORDING INFORMATION

Record a passing test when the movement complies with crossing warning notification instructions and applicable rules. Enter an exception when any part of the applicable rule is not followed.

** Indicates test / audit is a qualifying event for engineers under CFR 49, Part 240.

876 TWD – Overheated Equipment Inspection

OBJECTIVE

This test / audit determines employee compliance with requirements for trains receiving overheated equipment alarms.

APPLICABLE RULES

SSI Item 8 (D)

PREPARATION / PROCEDURE

This test / audit applies to all train crew members.

Determine occurrence of train receiving overheated equipment alarm reported to the Signal Call Desk.

Verify that:

- Train is stopped following receipt of overheated equipment alarm.
- Train crew immediately informs train dispatcher of the alarm.
- Train moved at no more than 10 MPH during inspection.
- Crew member communicates all required information to NOC Warm Bearing desk.
- Crew member communicates all required information to train dispatcher.
- Train crew receives inspection release from NOC Warm Bearing desk and permission from train dispatcher before departing inspection location.

RECORDING INFORMATION

Record a passing test when the employee complies with requirements for trains receiving overheated equipment alarms. An exception is to be entered when any part of the applicable rule requirement is not followed.

877 ** Hand Operated Main Track Switch Communication

OBJECTIVE

This test / audit determines employee compliance with communication requirements when main track switches are hand operated in TWC non-signaled or double track ABS territory.

APPLICABLE RULES

SSI Item 43

PREPARATION / PROCEDURE

This test / audit applies to all crew members.

Determine communication occurs between the crew member hand operating the main track switch and the locomotive engineer.

RECORDING INFORMATION

Record a passing test for the employee when the required communication in the proper format takes place with other crew members. Enter an exception when any part of the applicable rule is not followed.

** Indicates test / audit is a qualifying event for Conductors under CFR 49, Part 242.

878 ** Reporting Clear of Limits/ Specific Location

OBJECTIVE

This test / audit determines employee compliance with requirements for reporting clear of authority limits or having passed a specific location in TWC territory.

APPLICABLE RULES

GCOR: 14.7, 14.10, SSI Item 14 - GCOR Changes and Additions, SSI Item 15 - GCOR and MW Operating Rules Supplemental Instructions.

PREPARATION / PROCEDURE

This test / audit applies to all crew members.

Determine location and time reported clear or having reported passed

Verify that:

- Job briefing clearly identifies which authority is being reported clear.
- Train is completely clear of limits reported clear or having passed.
- ETD and HTD indicate brake pipe continuity at time of report.
- Job briefing includes position of MT switch information and reference to completion of Position of Switch Form, when required.

RECORDING INFORMATION

Record a passing test when the all the requirements are completed correctly for reporting clear of authority limits; or passing a specific location in TWC territory. Enter an exception when any part of the applicable rule is not followed.

** Indicates test / audit is a qualifying event for Conductors under CFR 49, Part 242.

881 Air Brake – Application & Release

OBJECTIVE

This test / audit determines employee compliance with Class 3 Air Brake Test requirements.

APPLICABLE RULES

ABTH: 100.8, 100.15

PREPARATION / PROCEDURE

This test / audit applies to all crew members.

Verify that an application and release test was properly completed when a train's consist changes en route as defined by rule including the following.

- Air brake system is charged to within 15-psi of regulating valve setting, evidenced by ETD.
- A 20-psi brake pipe reduction is made with the automatic brake valve.
- ETD indicates a brake pipe pressure decrease of at least 5-psi, indicating brakes applied and at least a 5-psi increase, indicating brakes released.

RECORDING INFORMATION

Record a passing test when all Class III air brake test requirements are met. Enter an exception when any part of the applicable rule is not followed.

885 Separating Train

OBJECTIVE

This test / audit determines employee compliance with procedures when a portion of train is left standing, detached from locomotives or yard air, to ensure brake pipe pressure is not maintained (bottling air).

APPLICABLE RULES

ABTH 102.1.2

PREPARATION / PROCEDURE

This test / audit applies to all crew members.

Verify that:

- A 20-psi automatic brake application is made.
- ETD pressure drops to zero at an emergency rate.
- When separating a train in temperatures below zero degrees F and the train is on a light grade, (see Glossary) follow the steps in Rule 100.17 (Inbound Train Inspection) to prevent vent valves from sticking open.

RECORDING INFORMATION

Record a passing test when a standing portion of a train or cut of cars that are detached do not have any remaining brake pipe pressure (bottling the air). Enter an exception when any part of the applicable rule is not followed.

889 Delayed Departure

OBJECTIVE

This test / audit determines employee compliance with requirement to apply air brakes on a train that has been stopped and movement has been delayed for any reason, when operating conditions permit.

APPLICABLE RULES

ABTH 103.3 (B)

PREPARATION / PROCEDURE

Verify that:

- Air brakes are applied when a train is stopped and operating conditions permit.
- Brake pipe reduction is increased to at least 15-psi, when operating conditions permit.
- HTD and ETD indicate brake pipe continuity at time of release and departure.

Note: An example of an operating condition that may not allow brakes to remain applied until ready to depart, or no additional increase in brake pipe reduction after stopping would be when near a long descending heavy or mountain grade and brake system requires full charge before proceeding.

RECORDING INFORMATION

Record a passing test when the train's air brakes are applied as required by rule when stopped and delayed. Enter an exception when any part of the applicable rule is not followed.

891 Fuel Efficiency

OBJECTIVE

This test / audit determines employee compliance with train handling procedures and crew member responsibilities that optimize fuel conservation practices.

APPLICABLE RULES

ABTH 100.7, 103.4, 103.6.3F, and 106.9

PREPARATION / PROCEDURE

This test / audit is segmented to address various facets of fuel conservation. Operating conditions should be verified to determine which segment most accurately records test / audit results. Segments 891-1 through 891-4 apply to locomotive engineer only. Segments 891-5 through 891-7 apply to all crew members.

RECORDING INFORMATION

Record a passing test when the employee complies with fuel conservation practices. An exception is to be entered when any part of the applicable conservation practices are not followed.

Use the rule book code 'ABTH' and the appropriate segment number (see below) to record the entry.

- 891-1** If required, engine RPM is not unnecessarily increased (Revvling) when charging air brake system. Consider the following:
- Does throttle exceed Run 1 if at least 1 locomotive in consist is equipped with an electric air compressor (for example, GE C40-8 or C44-9)?
 - Does throttle exceed position 4 if no locomotives in consist are equipped with electric air compressors?
 - Unless the train is DP, is more than one automatic brake valve cut in?

- 891-2** Reverser handle is centered when train is stopped and throttle is in idle. Consider the following:
- After centering reverser, does employee maneuver reverser to over-ride AESS?
- 891-3** Employee does not apply power to a stopped train, resulting in a stall.
- Consider the following:
- Does employee neglect to reduce power to idle after train stops?
 - When stopped, does remote DP consist continue producing power?
 - Does employee apply power to hold a train stationary on a grade?
- 891-4** Employee operating controls of locomotive does not utilize power above throttle 4 (Power Braking) when train brakes are applied. Consider the following:
- Is Stretch Braking (applying train brakes while in power) utilized to control train speed when more efficient means are available?
 - If stretch braking is necessary, does throttle position exceed four (4)?
 - If stretch braking is necessary, does train handling limit in train forces as outlined in ABTH 103.6.3F?
- 891-8** Employee does not initialize and or use EMS equipped locomotive and utilize to the fullest extent possible during their trip.

896 Hazardous Shipments

OBJECTIVE

This test / audit determines compliance with instructions for handling hazardous material shipments including “Key Train” and “IH Train” designations.

APPLICABLE RULES

US Hazardous Material Instructions for Rail (HAZM), SSI 1, 8D, 38; GCOR 6.23, Subdivision Timetable (SDTT)

PREPARATION / PROCEDURE

This test / audit applies to all train crew members except where crew member responsibilities are otherwise designated. The supervisor will verify train crew compliance with one or more of the following when the train is restricted:

Speed

A Key Train:

896-1 50 MPH on main track or the designated speed for turnout and siding (SSI)

896-2 35 MPH within specific subdivision milepost limits (in designated municipal area limits) (SDTT)

A designated IH Train:

896-3 35 MPH on the restricted portion of identified subdivisions in non-signaled track warrant control territory (with two or more loaded tank cars containing TIH or PIH) (SSI)

896-4 Operating instructions

A designated IH Train operating on the restricted portion of identified subdivisions in non-signaled TW territory requiring:

o Train on a siding is stopped prior to an IH train passing (SSI)

o Conductor of the IH train verifies a train being passed in the siding is stopped prior to the IH train passing it (SSI)

A Key Train:

o Stops the train to inspect if stopped by trackside / wayside warning device or emergency brake application (HAZM)

o Sets out an indicated car if stopped by trackside / wayside warning device (HAZM)

RECORDING INFORMATION

Record a passing test when the applicable requirements are met. Enter an exception when any part of the applicable rule is not followed.

Use the appropriate rule book code (in parenthesis) and segment designation (896-1, etc.).

899 All Other Exceptions

Any rule violation noted other than those defined by the Remote Operations Supplement may be recorded in the operations testing database to allow management access to information regarding rule compliance. Violations of this manner may be recorded using this test / audit number, with identification of the specific rule number in the data base.

Exceptions are recorded using both the rule book code and rule number. The supervisor recording the exception will be required to utilize the free form ‘Notes’ section providing any necessary information regarding the specific exception being recorded.

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