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, deleted or added pages:

August 7, 2014: 35, 36, 54a (added), 54b (added), 69, 70.

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Operations Testing Reference Guide

In Effect
July 8, 2014
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Introduction

At BNSF Railway, our vision is that we will operate free of accidents and injuries. As BNSF leaders, it is our responsibility to play a key role in achieving this vision by building a culture of commitment in regard to safety. This means each of us needs to cultivate a deep personal commitment to safety, engaging not only the minds of our employees, but also their hearts.

Rules and procedures outline expected practices and provide a basis for training; they set standards for safety. A written rule or procedure does not protect us; the commitment to it and compliance with it does; we have to make the decision and ensure the behavior is safe. Rules and procedures help us identify the risk and are tools in our tool kit to help us control or minimize it.

On the railroad, we often think that the consequence of an at-risk behavior is an Operations Test exception, or discipline. We work in a safe but unforgiving environment with real consequences for high-potential incidents. Life critical/safety critical rules were put in place because of serious injuries and fatalities. Understanding and appropriately applying rules and procedures are part of our proactive safety efforts to ensure that we all go home safely at the end of the shift.

Operations Testing is intended to be a positive experience, giving employees an opportunity to demonstrate their application of rules, processes and procedures in their work environment. It also provides an opportunity for supervisors to recognize and reinforce positive performance, provide feedback and identify areas that may need development. By working to create positive Operations Testing experiences with employees we help to gain the commitment of our employees and create the culture we desire.

Purpose Of This Document

This document provides guidance for supervisors conducting Operations Testing including proper preparation, procedures and data entry.

Regulatory Compliance

The Operations Testing Program FRA regulatory compliance provisions are available on the Operations Testing website as Operations Testing Regulatory Program. The BNSF Railway Operations Testing Program is designed to comply with CFR §217.9

Supervisors that receive communication from an authorized governmental agency regarding a violation, defect, request for operations testing records, or inquiries about the Operations Testing program should forward the information to the division Manager of Safety or the Senior Manager Operations Testing for review and handling.

To ensure data integrity and consistency in reporting, all requests for operations testing data from FRA or other authorized governmental agency will be coordinated through the Senior Manager Operations Testing unless otherwise directed.

BNSF supervisors conducting operations tests must be qualified on operating rules associated with any tests they conduct. Documentation of this program and associated testing results are privileged and confidential information of BNSF. Records of testing are retained according to the Operations Testing Program Policy and regulatory requirements.

The Senior Manager of Operations Testing is the designated officer responsible for the maintenance of the operations testing program.

Testing Safety

Before performing field operations tests, conduct a job safety briefing to ensure risk is assessed for employees, supervisors, or the general public.

If testing may have an impact on railroad operations or involve on-line train delay, coordinate as necessary with the appropriate train dispatcher before testing begins. The chief dispatcher should be involved in the communication and coordination process to aid safe and effective observations.

Be aware of the location of all road crossings and do not interfere with the operation of automatic crossing warning devices.

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General Requirements

Quality testing ensures supervisors are conducting tests at random periods throughout the entire month. Testing activities should be included on weekends and holidays. Selecting certain days for testing or performing a large number of tests at one time or location should be avoided. Where a location is a 24 hour operation, a proportional number of the tests should be conducted between the hours of 21:00 and 05:00.

Operations Testing Authorization

BNSF's testing program requires supervisors to meet established training requirements prior to being authorized to enter information in the operations testing database. To be authorized, the testing supervisor must:

- Complete on-going training and initial examination as required for rules associated with tests they may conduct.
- Complete training as appropriate for tests they may conduct

A new supervisor that will conduct operations tests will complete the requirements listed in the "OPT New Supervisor Authorization" process. The new supervisor's next level manager will then complete the associated authorization form after the supervisor has completed the listed requirements.

Supervisors that already have OPT system access needing to update their status need to select and follow the process called "OPT Supervisor Status Update". Supervisors who change jobs, locations, or division and / or group affiliations should complete this process and form.

The processes above can be found on the Operations Testing Web Site on the BNSF intranet.

Supervisors of foreign railroads with BNSF trackage rights may conduct testing of their own crews in accordance with that railroad's testing program. These supervisors are encouraged to notify the appropriate BNSF Supervisor for the locations they will be conducting testing events. All foreign railroad supervisors must comply with applicable safety and PPE requirements while conducting supervisory observations on BNSF property. BNSF supervisors contacted should know when and where the foreign supervisors will be working on BNSF property.

Any foreign railroad supervisors who conduct testing of their crews and having potential result of train delay or other impact to train performance on BNSF property requires a qualified BNSF Supervisor to be physically present and leading the joint OPT observations. Results of all operations testing that is conducted jointly between foreign line supervisors and BNSF supervisors are recorded by BNSF supervisors in the BNSF OPT system.

Testing Methods

Supervisors conduct operations testing (OPT) by observing or assessing work events. Testing can be performed at the time of the work event, or post event utilizing one or more technology tools.

Supervisors must enter one of the following codes representing the method of test:

FLD – Field

Field observation of work events.

Field testing that is later confirmed using technology tools should still be recorded using FLD as the testing method code based on the fact that the original observation was made by field observation.

The use of binoculars, radar gun, etc. is considered an observational aid in support of field observations; the use of these tools is not considered a technology based observation.

FMC – Fixed Mounted Camera

Fixed mounted camera (e.g. yard, terminal or facility camera) used to view the work event. Use of a camera may be either real time or with recorded images.

Note: Supervisors should give due consideration in judging distances when using a camera.

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MMC – Mobile Mounted Camera

Mobile mounted camera in vehicles or equipment (e.g. DriveCam, etc.) used to view the work event.

TEC – Technology Based

One or more technology tools (excluding any type of camera) are used as the primary means of evaluating work events. Examples include:

- Audio recordings
- Traffic control system replays
- Locomotive event recorder downloads
- Log files

Use of technology based tools may be either real time or with recorded information.

VER – for Verbal Re-Test

This method is reserved for specific events where an employee failed to meet the requirements during a previous observation. The supervisor may evaluate the employee using this type of demonstrated test to assess understanding and compliance when observing the employee can not be performed under the same criteria in a timely fashion.

Test Data Entry

Operations tests should be entered into the data system no later than five days after the test was performed.

The contact field is intended to represent employee contact at the time of the operations test.

- Enter a “Y” only when a testing supervisor has contacted the tested employee upon conclusion of the operations test.

Note: Electronic notification is not considered “contact” when recording operations tests.

- Enter “N” in the contact field if the employee is not contacted upon conclusion of the operations test.

The Division Code field (Div Code) will auto populate based on the subdivision entry. The testing supervisor should ensure this field accurately reflects the division on which the test was performed.

A maximum of five (5) supervisors may be recorded for any single test entry. The primary supervisor is responsible for tests entered into the system.

A test exception is recorded by entry of an Action Taken code. Available Action Taken codes are viewable during test entry using the help key while the cursor is located in the Action Taken field. Select the Action Taken code which best represents the corrective action taken with the employee regarding the exception.

Action Taken code “07 - Pending Officer Update” is used when further review is required in determining action to be taken with the employee. Action Taken “07” codes should be updated to a code most accurately describing action taken with the employee within 30 days of original test entry (unless formal investigation is pending, or there are other extenuating circumstances.) To update an action taken code “07” the supervisor should use the OPT main menu option # 2 called “Update Action Taken Code 07”

Foreign testing supervisors (such as FRA, PUC or other railroads) should be entered for all tests in which they participate. Procedures for entering foreign managers can be found on the Operations Testing web site / FAQ’s.

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Employee Feedback

The supervisor should make every effort to provide feedback and review test results with the employee. Positive feedback encourages the employee and reinforces safe behavior. Guidance feedback regarding an identified exception provides the employee with the information to correct the undesired behavior. No matter the method used the feedback should be timely, detailed and specific.

Face-to-face feedback following the test observation is the most desired method. Understanding not all circumstances allow such an opportunity, other acceptable methods are:

- Personal phone call
- Written communication
- Radio contact

In the 'Feedback' field the supervisor will enter 'Y' for yes when the employee has been provided feedback regarding the test observation result or 'N' when the employee was not provided feedback.

Recording Information

The 'Recording Information' section under each operations test / audit is a guideline for correctly identifying and recording observed behaviors. The applicable rule requirement is used in determining the outcome of the test. In some cases, the focus of a given test / audit may or may not encompass the entire rule.

An exception occurs when the employee does not follow the applicable rule, instruction, etc.

The OPT program recognizes the record being entered is an exception when the supervisor makes an entry in the Action Taken (AT) field. Select the action taken code that best represents the handing taken with the employee regarding the exception.

Use code '07' (pending update) when the final handling of the exception has not yet been determined. OPT entries with '07' should be updated once the exception handling has been determined. The supervisor uses OPT main menu option # 2 called "Update Action Taken Code 07" to browse and then update accordingly.

Other items of note when recording test entries:

- The primary supervisor is responsible for making test entries in the system
- Supervisors should enter test observation results within five days
- Automated notification provided to TY&E employees via crew management system is not considered employee feedback
- A maximum of five supervisors may be recorded for any single test entry
- Foreign testing supervisors (or regulatory officials) participating in team testing sessions may be entered for test observations in which they participate. Procedures for entering foreign supervisors are located on the Operations Testing web site / FAQ's

Data Adjustment

If a record requires additional adjustment or possible removal complete the following form located on the Operations Testing website under 'Modify / Purge Record'. Click the link provided:

http://bnsfweb.bnsf.com/departments/operations/optesting/index.html

The completed form will be automatically sent to mail box: "OPR DL OPS Testing" for processing. The request will be reviewed. An email confirmation of the modification / purge adjustment will be sent back to the originator once the request is processed.

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Testing Foreign Railroad or Contract Employees

When entering operations testing data on foreign railroad or contract employees, the employee name must be used including first initial and middle initial where applicable. If the tested employee's name is not known, the test must not be entered until that information is secured from the foreign railroad or contractor that has jurisdiction.

Employees from foreign railroads or contractors operating on BNSF may be tested on the rules that would apply to them. Foreign railroads that are governed by the GCOR may be tested in the same manner as BNSF crews on GCOR rules with BNSF amendments.

- Foreign crews are governed by safety rules of the railroad from which they are employed, not BNSF safety rules. BNSF safety rules apply only when the testing manager has verified that the same safety rule is in effect on the foreign railroad.
- When an exception of a foreign employee or contractor on BNSF property is observed, the test entry is to be recorded in the operations testing database and notification of the exception reported to the foreign railroad or the contract employee's supervisor within five (5) days of the discovery of the testing exception.

When Amtrak trains operating over BNSF territory are involved in an exception to properly sound the whistle, the testing supervisor is to contact the Passenger Operations Team at (817) 234-7332 or 800-871-0902, who will handle with the appropriate Amtrak Managers.

Qualifying Operations Tests

Engineer Certification Tests * - 202, 203 (Absolute Signal - Stop and Banner Stop), 205, 206, 209, 216, 217 and 218

* Indicates test is a CFR 49 Part 240 qualifying test for engineers by BNSF Policy

Conductor Certification Tests ** - 108, 613-2, 617, and 626

** Indicates test is a CFR 49 Part 242 qualifying test for conductors by BNSF Policy

When qualifying tests are recorded for certified engineers, hostlers or remote control operators, the employees must be physically operating the engine when the test is performed. The supervisor entering the test will use the appropriate occupation code for the class of service the employee was performing.

For example: An employee called to work as a conductor who is also a certified engineer may be given a qualifying operations test as an engineer under the requirements of CFR 49 Part 240 if the employee is operating the engine when the test is performed. The supervisor will enter the test using occupation code 01 instead of code 03 (for which the employee was called to work).

When performing qualifying operations tests that may involve the employee's certification (CFR 49 Part 240 - Engineer Certification or CFR 49 Part 242 - Conductor Certification), the testing supervisor must contact the Road Foreman of Engines and the Superintendent of Operating Practices for that territory when exceptions of this type are recorded.

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Operations Tests

101 Getting On or Off Moving Equipment

OBJECTIVE

This test determines if employee complies with the requirement for getting on or off moving equipment.

APPLICABLE RULES

TYSR S-13.5.1(2), S-13.5.2(2); MWOR 6.53

This test can be conducted at any location employee's duties require getting on or off railroad equipment. This test only applies to employees that have been in a position to get on/off moving equipment.

Verify that employees get on or off moving equipment when it is authorized; or off moving equipment in an emergency.

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.

102 Going Between or Working on the End of Rail Equipment

OBJECTIVE

The test determines employee compliance with the rules for going between or working on the end of rail equipment.

APPLICABLE RULES

TYSR 13.1.1; RCOI R-1.2

This test may be conducted where crew members go between or work on the end of cars or locomotives and place all or part of their body where it could be struck by rail equipment if the equipment were to move.

Prior to making and during testing for OPT 102 supervisors must determine:

- Crew members going between or working on the end of equipment are assigned or temporary members of the crew
- Whether crew members are going between or working on the end of equipment coupled or not coupled to the locomotive
- Whether or not work events involve remote control operations

RECORDING INFORMATION

Enter an exception when the employee does not follow the rules for going between or working on the end of rail equipment. Focus items may include:

102-1 Locomotive coupled to equipment:

- Crew member does not notify crew member at the locomotive controls by required radio or hand signal before going between or working on the end of equipment
- Crew member at the locomotive controls does not acknowledge by required radio communication or whistle signal
- Crew member does not wait for acknowledgment from crew member at the locomotive controls prior to going between or working on the end of equipment
- Crew member does not wait for equipment to stop and slack to adjust prior to going between or working on the end of equipment
- Crew member at the locomotive controls does not center or remove reverser and fully apply the independent brakes before acknowledging request to go between or work on the end of equipment

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- Crew member at the locomotive controls leaves the locomotive unattended while a member of the crew is going between or working on the end of equipment coupled to the locomotive.
- Crew member goes between uncoupled locomotives or cars when clearance between them is less than 50 feet, unless otherwise excepted
- Crew member operates controls or devices (automatic brake valve, hand brake, brake cylinder release valve, etc.) that could affect movement of equipment when employee(s) is going between or working on the end of without permission from the crew member(s) going between or working on the end of the equipment
- Crew member causes other rolling equipment to strike, couple into or affect movement of equipment when crew member(s) is working on the end of or going between

RCO only:

- Remote control operator fails to notify each member of the crew before going between or working on the end of equipment

102-2 Locomotive NOT coupled to equipment:

- Crew member does not notify all members of the crew by radio before going between or working on the end of equipment
- All members of the crew do not acknowledge by radio communication before going between or working on the end of equipment
- Crew member goes between uncoupled locomotives or cars when clearance between them is less than 50 feet, unless otherwise excepted
- Crew member operates controls or devices (hand brake, brake cylinder release valve, etc.) that could affect movement of equipment when a crew member(s) is working on the end of or going between without permission from the crew member(s) going between or working on the end of the equipment
- Crew member causes other rolling equipment to strike, couple into or affect movement of equipment when a crew member(s) is working on the end of or going between

RCO only:

- Remote control operator fails to notify each member of the crew before going between or working on the end of equipment
- Crew member goes between or works on the end of equipment on any track where RCO locomotive is moving

Use the assigned test number segment for each test.

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103 Minimum Separation of 50’ Between Equipment—ETD, Couplers, Knuckles

OBJECTIVE
This test is conducted to determine that employees are in compliance with rules that requires 50 feet of separation.

APPLICABLE RULES
Safety Rules S-13.1.11 (TY&E employees only), S-13.2.4 and S-13.2.5 (all employees).

PREPARATIONS / PROCEDURES
This test can be conducted any time employees are engaged in the activity of installing ETDs, adjusting mismatched couplers or replacing knuckles.

RECORDING INFORMATION
The test is an exception any time an employee is performing the activities described above without providing the minimum separation between equipment as prescribed by the rule.

Note: Do not enter a test for this particular OPT (pass or fail) when the distance between uncoupled locomotive or car is less than 50 feet for a train on main track or siding and:

- The equipment is not able to be moved safely
- All practical means of complying with the 50 feet requirement have been exhausted.

104 Riding Equipment

OBJECTIVE
This test is conducted to determine employee compliance with rules related to riding equipment in the performance of duties and that employees do not ride or knowingly allow others to ride when prohibited.

APPLICABLE RULES
TYSR 13.1.5

PREPARATIONS / PROCEDURES
Observe that employees ride cars or equipment only if necessary.

When necessary to ride, verify that employees do not ride:

- At prohibited sites, such as close/no clearance locations or when track condition is obscured by snow, ice, water, mud, grain, etc.
- On prohibited equipment, such as on engine exterior exceeding 20 MPH or on flat cars without a handhold extending 18 inches above deck of the car
- At prohibited locations on equipment, such as on the coupler apparatus, framework or brake platform when restricted
- Using incorrect body position, such as a lack of firm grip or 3 point contact when required

RECORDING INFORMATION
The test is an exception when the employee does not follow the rules for riding equipment. Focus items may include:

104-1
- Riding the end platform, except when permitted
- Riding the brake platform (except to operate a hand brake during a gravity switch move where specifically permitted)
- Riding the coupler apparatus, center sill, side sill, end sill, or framework
- Riding inside of a car loaded with materials susceptible to shifting upon slight impact
- Riding the engine exterior when movement exceeds 20 MPH
- Riding the engine platform or walkway with any part of the body extended beyond the exterior edge on either side of the engine

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104-2
- Riding cars or engine exterior (or knowingly allows others to ride) where the track condition cannot clearly be observed because of debris (e.g. snow, ice, water, grain, mud, etc.)
- Riding cars on a portion of track where snow and ice are observed building up, particularly at road crossings, unless movement is preceded by locomotive

104-3 Riding cars or equipment or knowingly allows others to ride when prohibited due to close/ no clearance restrictions

The entry process will prompt the supervisor to provide the rule book code (TYSR) and segment number (104-1, 104-2 or 104-3).

105 Employee Fouling Tracks

OBJECTIVE
This test is conducted to determine employee compliance with rules related to fouling track.

APPLICABLE RULES
TY&E Safety Rules S-1.1, S-1.2.3, S-1.2.6, S-1.6.1, S-12.1.2, S-13.1.3 (c); GCOR 1.1.2, GCOR 1.3.3, GCOR 1.20; and notices or other local instructions

PREPARATIONS / PROCEDURES
This test is conducted when employees are near or crossing a track. Employees must expect the movement of trains, engines, cars, or other movable equipment at any time, on any track, and in either direction. Areas of focus include:

Employee walking or standing:

105-1 Avoids walking between the rails or foul of track except when duties require and safeguards are utilized. (TYSR)

Employee operating or riding in a vehicle:

105-2 Stops before crossing the track(s) unless foul of a previously crossed track, avoids stopping foul of or on a track unnecessarily (TYSR) Exceptions when a stop is not required:
- Within mechanical servicing or repair buildings protected by Blue Signals when precautions have been taken to prevent on-track equipment movement in the building.
- Within intermodal facilities unless designated by traffic signs (e.g., stop signs, roadway stop bars, track lights, track gates).

105-3 Complies with applicable rules and / or local instructions relating to crossing tracks (TYSR)

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 (105-1, etc.).

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106 Running in the Performance of Duties

OBJECTIVE
This test determines that except in emergency, employees do not run in the performance of duty.

APPLICABLE RULES
S-1.5.3, S-13.2.2

PREPARATIONS / PROCEDURES
This test can be conducted anywhere employees are working.

Verify that employees do not run in the performance of duty.

RECORDING INFORMATION
This test is an exception when employees run in the performance of duty, except in an emergency.

107 Riding Freight Cars to a Joint

OBJECTIVE
This test determines that all safety rules and policies are followed when an employee couples freight cars.

APPLICABLE RULES
Safety Rule S-13.1.5

PREPARATIONS / PROCEDURES
This test can be conducted anywhere employees are engaged in the movement of freight cars. Observe the employee for the following:

- Movement stopped short of coupling and coupling is completed from the ground.
- Stands in the clear when coupling freight cars.
- Uses safety stop where required (passenger and roadrailer service).
- Opens a knuckle, the uncoupling lever is used and feet are kept clear of the area under the knuckle.

RECORDING INFORMATION
The test is an exception when crew member:

- Completes coupling of freight cars while riding equipment.

Note: Riding the step or platform of a locomotive to a coupling is an exception but should be recorded under OPT 699 S-13.1.5 and is not a Deadly Decision for OPT 107.

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108 Shoving Movements

OBJECTIVE
This test is conducted to determine employee compliance with rules related to shoving movements.

APPLICABLE RULES
GCOR 5.3.3, 6.5, 6.27, 6.28

PREPARATIONS / PROCEDURES
This test may be conducted any time employees are engaged in a shoving movement and not relieved of protection by special instructions, track lights, cameras, etc.

- Determine employees involved in the shoving movement have performed a job safety briefing prior to initiating the movement. The briefing must include who is protecting the movement and how protection will be provided unless who/how can be confirmed visually during the shoving movement.
- Ensure the employee providing visual protection is positioned to view the leading end (point) of the shoving movement unless relieved by:
  - Local instructions for track equipped with shove lights, cameras or other technology
  - Special instructions specific to the track involved
  - Rule 6.6 (Back Up Movements)
  - Pullout move within an activated Remote Control Zone (RCZ)
- While shoving movement is occurring, determine that employee visually protecting the movement is not distracted by any task unrelated to the oversight of the movement, such as filling out a switch list, operating a switch, multi-tasking (i.e. driving and talking on the radio) or any task that removes the employee from a location where oversight may be effectively performed.
- Ensure movement occurs at a speed that:
  - Allows stopping within half the last distance specified if additional instructions are not received
  - Is no greater than the maximum speed permitted for the type of track or method of operation on which the movement occurs

RECORDING INFORMATION
This test is an exception when the employee does not follow the rules for shoving movements. Focus items include:

108-1 Point Protection

- Employee fails to provide visual protection for a shoving movement when required
- Employee providing visual protection does not maintain a position to observe the leading end of the movement for continuous protection
- Employee providing visual protection engages in a distracting task unrelated to the shoving movement

108-2 Controlling Instructions

- Employees initiate movement without knowledge of who and how shoving movement protection will be provided (prior to recording an exception, verify if requirement was previously satisfied, such as during a face to face briefing)
- Movement is initiated without a known distance for a shoving movement, provided in car counts, using 50 ft. as standard for one car length
- Movement is initiated without using prescribed terms “ahead” or “backup”, and in proper relationship to the ‘F’ stenciling on the controlling locomotive to communicate direction
- Employee at controls of locomotive does not acknowledge specific instructions related to a shoving movement prior to initiating movement or does not acknowledge car counts when making a continuous movement when distance communicated is greater than four cars

108-3 Controlling Movement

- Employee at controls of locomotive fails to stop the movement in half the distance specified when additional instructions are not received
- Employee at controls of locomotive fails to stop the movement when employee providing hand signals or the light being used to protect a shoving movement disappears from view
- Where required, employees engaged in shoving movements fail to maintain a speed that will allow stopping within half the range of vision, short of:
  - Train
  - Engine
  - Railroad car
  - Men or equipment fouling the track
  - Stop signal
  - Derail or switch lined improperly

Note: Consideration should be given to operating conditions such as track geometry (e.g. curvature, grade and other physical conditions), weather or other conditions that may affect visibility and ability to control or stop the move.

The entry process will prompt the supervisor to provide the rule book code (GCOR) and segment number (108-1, 108-2 or 108-3).

Additional Observation considerations:

- If an employee uses any word other than 'STOP' to halt a Shove Movement, record as an exception under OPT 603-2 (Radio Usage)
- If maximum authorized speed for shoving is verified, such as through a radar device or locomotive event recorder, record OPT 601 in addition to OPT 108

When radio is used during shoving movements, testing officers are encouraged to recognize and reinforce best practices when employees are providing additional information (e.g. switch /derail position, close clearance conditions, stop signals, authority limits, etc.) beyond minimum requirements as outlined in applicable rules.

202 Blue Signal—Trains

OBJECTIVE

The Blue Signal test verifies that equipment is not coupled to or moved while under blue signal protection, In addition, the test determines that blue signals are not passed by trains or engines.

APPLICABLE RULES

GCOR 5.13

PREPARATIONS / PROCEDURES

Select a location where blue signal protection has been established.

On any track:

1. Verify that equipment protected by blue signal is not coupled to or moved.
2. Verify that trains, engines or equipment do not enter a track protected by blue signal until protection has been removed, and employees warned, where required.
3. Verify that controls on locomotive have not been changed.

Note: This test may not be conducted by a testing supervisor on board the train.

RECORDING INFORMATION

The test is an exception if TY&E employees allow the train or engine to pass a blue signal on a track protected by that signal, couple to or moves rolling equipment displaying blue signal, or changed any controls on locomotive where blue signal protection has been established.

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203 Dark Signal

OBJECTIVE

This test is conducted to determine a crew complies with rules regarding a dark (improperly displayed) signal.

APPLICABLE RULES

GCOR 5.15, 6.27, 9.4; Signal Rules 9.1.13, 9.1.15; SSI 48

PREPARATIONS / PROCEDURES

This test has three segments and is conducted where movement is governed by a signal that is dark. The test applies to all crew members riding in the controlling cab of locomotive or the employee(s) on the leading car, when shoving.

The supervisor(s) must be assisted by a signal supervisor (or a designated representative) unless the signal system has been designed to allow for manual manipulation (i.e. key control) by a testing supervisor.

Contact the train dispatcher or chief dispatcher advising your plans prior to setting up the test

The supervisor(s) must verify the following:

- No trains, engines or men and equipment are within the block
- Verify that the signal displays a red aspect before it is darkened
- Observe and confirm signal indications in advance of the dark signal display the appropriate signal sequence for the territory being tested

If the signal to be darkened is an absolute signal additional steps must be taken:

- Signal supervisor assistance is required to darken the signal
- Coordination with the chief dispatcher and train dispatcher for traffic considerations, etc.

Absolute Signal – Stop

Observe the train or engine stops short of the dark absolute signal. A manager must remain at the dark signal able to stop any train not complying with the signal.

Speed 6.27

Speed compliance at the dark number-plated signal or throughout the block may be checked using a radar speed measuring device or event recorder data. This segment choice is to be entered only in conjunction with the stop test referenced below.

Banner Stop

Confirm the train or engine stops short of the banner displayed when required to operate at restricted speed.

RECORDING INFORMATION

Record a passing test when the applicable requirements are met. Use rule book code ‘GCOR’ and the appropriate segment choice (Absolute Signal - Stop, Speed 6.27, Banner Stop). Enter an exception when any part of the applicable rule is not followed.

A stop test exception requires the supervisor to immediately notify the territory’s RFE and Superintendent of Operating Practices following communication with the chief dispatcher (when necessary).

Note: This test may not be conducted by a testing supervisor on board the train.

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205 Block Signals—Stop

OBJECTIVE

The Block Signals-Stop Test determines that crew members comply with all rules governing stopping for block signals displaying a Stop Indication.

APPLICABLE RULES

GCOR 9.5, 9.12.1, 9.12.2, 9.12.3, 9.12.4, 9.1.15

PREPARATIONS / PROCEDURES

1. Coordinate your plans to conduct this test with the chief dispatcher or train dispatcher.
2. Request the Signal Supervisor (or designated representative) to set up the Stop indication in CTC territory or request dispatcher to hold the signal at Stop. If in ABS territory, shunting the track is permissible, however, shunts should NOT be applied unless a member of the team is trained to do so.

After the necessary preparations have been made:

1. Observe that train or engine stops before any part of the equipment passes the signal displaying a Stop Indication.
2. Verify rule compliance as follows:

   If the signal selected for the test is a controlled signal verify that the crew stops for the signal and secures authority to pass the signal.

Note: Advise the chief dispatcher or Manager of Dispatcher Practices and Rules as soon as possible after test so they can listen to the audio recording and enter test on dispatcher giving verbal authority.

Note: This test may not be conducted by a testing supervisor on board the train.

RECORDING INFORMATION

The test is an exception when crew fails to stop their train or engine short of a Stop signal or in ABS signaled territory when the 5 minute wait is required, but not complied with.

206 Automatic Interlocking

OBJECTIVE

The Automatic Interlocking Test determines that, when finding a signal displaying a Stop indication, a crew member follows the proper procedure for proceeding through automatic interlocking limits.

APPLICABLE RULES

GCOR 9.12.3

PREPARATIONS / PROCEDURES

Request the Signal Supervisor (or designated representative) to display Stop indication or shunts may be used if a testing manager has been trained in the proper use of shunts.

After the necessary preparations have been made:

1. Monitor for OPT 205.
2. Verify that a crew member from the train or engine goes to the release box and follows instructions.

Note: This test may not be conducted by a testing supervisor on board the train.

RECORDING INFORMATION

The test is an exception when crew fails to read and follow the instruction in the release box prior to signaling for movement to proceed past a Stop indication at an automatic interlocking.

TOC Home

209 TWC Authority Limit

OBJECTIVE

The TWC Authority limit test determines train crews comply with requirements of trains operating with Track Warrant Control authority in signaled or non-signaled TWC territory.

APPLICABLE RULES

GCOR 6.3, 14.1, 14.2, 14.3

PREPARATIONS / PROCEDURES

1. Advise chief dispatcher and train dispatcher of plans to conduct this test.
2. Determine a location that gives the testing manager the ability to verify a train stop.
3. Coordinate with train dispatcher a location to be designated as last named point of Track Warrant authority where train will be stopped. Verify the limits of authority once in effect. This may be accomplished by monitoring radio transmission, or verbal communication with the train dispatcher.
4. Instruct train dispatcher to issue no further Track Warrant authority to train beyond predetermined location until testing supervisor has verified the train has stopped.
5. Verify the train stops within designated limits of authority. Manager may board the train and verify proper completion and content of the Track Warrant using OPT 614.
6. Verify that crew member contacts employee in charge before occupying limits of track warrant issued joint with an employee.

Note: This test may not be conducted by a testing supervisor on board the train.

RECORDING INFORMATION

This test is an exception when crew fails to stop the train within the limits designated by Track Warrant or occupies limits joint with an employee without first receiving permission to occupy limits.

TOC Home

216 Movement Prepared to Stop

OBJECTIVE
This test is conducted to determine a train or engine stops when required.

APPLICABLE RULES
GCOR 6.16, 6.32.2, 15.2 and Crossing Warning Notification

PREPARATION / PROCEDURE
Supervisors may observe a stop test for any of the following situations.

GCOR 6.16 A stop sign that protects railroad crossings at grade, drawbridges, etc.

GCOR 6.32.2 A train crew is issued a crossing warning notification that requires the crew to stop and protect movement over a road crossing equipped with an Automatic Warning Device (AWD).

A supervisor that has been authorized by their next level manager may request a crossing warning notification be issued to stop and protect movement over a road crossing equipped with an AWD after agreement and briefing with the chief dispatcher for testing purposes. The chief may communicate with the dispatcher to issue the restriction to the train.

Select the location where the movement is to be stopped well in advance of the arrival time.

GCOR 15.2 A train or engine without permission from the Employee in Charge (EIC) to proceed stops prior to entering Form B limits. Note: Do not instruct the EIC to withhold permission to proceed through a Form B in order to conduct this test.

RECORDING INFORMATION
Record a passing test when the applicable requirements are met. Enter an exception when any part of the applicable rule or instruction is not followed. Use the appropriate rule book code and number for segment choice.

A stop test exception requires the supervisor immediately notify their Superintendent and the territory's RFE. This test may not be conducted by a testing supervisor on board the train or engine.

217 Restricted Speed—Stop

OBJECTIVE
This test is conducted to determine a train or engine stops as required by the rule when moving at Restricted Speed.

APPLICABLE RULES
GCOR 6.27, SSI 48

PREPARATION / PROCEDURE
This test is conducted where movement is governed by GCOR 6.27 (Movement at Restricted Speed). Supervisors must ensure the train or engine observed is operating in compliance with this rule.

A testing condition requiring movement to stop can be established by using the 'Stop Obstruction' banner. This is the only approved method for creating a stop test situation under OPT 217.

Be sure to select the location where the train or engine is to be stopped well in advance of the arrival time.

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RECORDING INFORMATION
The test is an exception when train or engine fails to stop short as required by rule.

The entry process will prompt the supervisor to provide the rule book code 'GCOR' and the segment number based on the following method of stop and if it was in a Block Signal System:

Stop test in a Block Signal System:
217-1 'Stop Obstruction' Banner

217-2 Stop – Other (Observation of a train or engine stopping short of items listed in GCOR 6.27 not established by the testing supervisor.)

Stop test NOT in a Block Signal System:
217-3 'Stop Obstruction' Banner

217-4 Stop – Other (Observation of a train or engine stopping short of items listed in GCOR 6.27 not established by the testing supervisor.)

Test exceptions require the supervisor to immediately notify the territory's RFE and Superintendent of Operating Practices following communication with the chief dispatcher (when necessary).

Note: This test may not be conducted by a testing supervisor on board the train or engine.

218 Other than Main Track—Stop

OBJECTIVE
This test is conducted to determine movement stops as required by rule when operating on Other than Main Track.

APPLICABLE RULES
GCOR 6.28, SSI 48

PREPARATION / PROCEDURE
This test is to be conducted under any condition where movement is governed by GCOR 6.28 Movement on Other than Main Track.

A testing condition requiring movement to stop can be established by using one of the following methods:

- 'Stop Obstruction' Banner

  The 'Stop Obstruction' banner is the preferred method for creating a stop test situation.

- Flagman simulating inaccessible track protection

  A flagman may be used to stop a movement simulating a MW worker on Other Than Main Track. Supervisors should limit the use of this method to movements operating on yard or industry tracks, and in mechanical servicing areas.

- Red flag

  Use only the type of red flags specifically authorized by system standards for use in the protection of impassable track

Be sure to select the location well in advance where the movement should stop.

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RECORDING INFORMATION

The test is an exception when movement does not stop as required by rule.

The entry process will prompt the supervisor to provide the rule book code 'GCOR' and the segment number based on the following method of stop:

218-1 'Stop Obstruction' Banner

218-2 Flagman (simulating inaccessible track protection)

218-3 Red flag

218-4 Stop – Other (Observation of a movement stopping short of items listed in GCOR 6.28 not established by the testing supervisor.)

Test exceptions require the supervisor to immediately notify the territory's RFE and superintendent of Operating Practices following communication with the chief dispatcher (when necessary).

Note: This test may not be conducted by a testing supervisor on board the movement.

301 Blue Signal—Safety Absolute

OBJECTIVE

This test determines employee compliance with rules for blue signal protection.

APPLICABLE RULES

MESR S-24.2 through S-24.2.12

PREPARATION / PROCEDURE

This test can be conducted anytime employees are engaged in the activity of inspecting, testing or repairing rail cars or locomotives.

When testing employees:

- Verify all controlling locomotives, if present, are flagged as required by S-24.2.7, S-24.2.8, and S-24.2.9
- Verify ID tags are applied as required in S-24.2.10

On main track:

- Verify the presence of a blue signal at each end of the train
- Check for a blue signal on the engine, when required
- Note that blue signal protection is removed by the craft or group of workmen displaying it

On tracks other than main track:

- Verify that proper sequence is followed when applying and removing blue signal protection
- Check that the employee has properly lined manually operated switches that provide access away from track to be blue-signaled
- Determine that the same switches are secured with an effective locking device
- Verify that derails are placed the proper distance from each end of rolling equipment:
  - For rolling equipment to be protected - 150 feet
  - On an engine servicing track or car repair shop where speed limit is 5 MPH - 50 feet
- When derails are used to provide protection, verify they are locked in the derailing position and secured with an effective locking device.

Note the following:

- Blue signals of sufficient size are displayed at or near such switches or derails
- Blue flags or signs, not lights, are used near the locked derails / switches during daylight hours
- Blue signal protection is removed by the craft or group of workmen displaying it

TOC Home

Where remote control switches providing direct access are locked out:

- Check that switch is properly lined and secured
- Determine that a written record for each notification is maintained
- If workmen are on, under or between an engine or rolling equipment is coupled to an engine, verify that blue signal is displayed on the controlling locomotive where it can be readily seen by an employee at the controls
- Note that blue signal protection is removed by the craft or group of workmen displaying it

RECORDING INFORMATION
Enter an exception when the employee does not follow the rules for Blue Signal protection. The entry process will prompt the supervisor to provide the rule book code 'MESR' and the segment number based on the following rule observation breakdown:

301-1 Providing Protection on Main Track or Other Than Main Track

S-24.2.3 How to provide protection, S-24.2.5 Protection for workmen inspecting markers, S-24.2.6 Protection for emergency repair work

301-2 Derail Protection for Shops

S-24.2.4 Blue signal protection on service tracks and shops

301-3 Displaying Blue Signal on Locomotives

S-24.2.7 Blue signal readily visible to engineer, S-24.2.8 Blue signal protection for RCL's, S-24.2.9 Blue signal protection for DP units, S-24.2.10 Use of ID tags

301-4 Movement or Repositioning of Rail Equipment

S-24.2.11 Movement in engine servicing area, S-24.2.12 Movement in car shop repair area

303 Lockout/Tagout—Safety Absolute

OBJECTIVE
The test determines employee compliance with Lockout / Tagout requirements.

APPLICABLE RULES
MESR S-3.1.6, S-10.17, S-16.4; S-16.17 and S-27.13

PREPARATION / PROCEDURE
This test may be conducted anywhere employees are servicing or repairing machinery or equipment in a location that may expose them to potentially hazardous energy sources. These sources may be electrical, mechanical, hydraulic, gravitational or thermal.

The employee has readily available approved lockout / tag out device that is:

- Marked with the identity of the employee
- A standardized lock with a single, unique key that remains in the possession of the employee. (There will be NO master keys) used exclusively for lockout

The employee prior to performing task ensures the following:

- Shuts the equipment down
- Turns off the battery switch and lock it in the 'off' position
- Tests on/start button on the machine or equipment to make sure it is de-energized and will not operate
- Establishes protection against other machinery

RECORDING INFORMATION
The test is an exception when the employee does not follow the rule requirements for Lockout / Tagout. The entry process will prompt the supervisor to provide the rule book code 'MESR' and the segment number based on the following rule breakdown:

303-1 Tools and Machinery

S-3.1.6 Lockout / Tagout, S-16.4 Power Source, S-16.17 Safety Guards, S-27.13 Lockout / Tagout

303-2 Locomotive

S-3.1.6 Lockout / Tagout, S-10.17 Locomotive Lockout / Tagout procedures, S-27.13 Lockout / Tagout

314 Ladders & Platforms—Mechanical

OBJECTIVE
This test is conducted to monitor employee compliance with the use of ladders, platforms, scaffolds and aerial baskets.

APPLICABLE RULES
Mechanical Safety Rules: S-9.1 through S-9.13.2

PREPARATIONS / PROCEDURES
This test can be conducted any time employees are using ladders, platforms, scaffolds or aerial baskets

RECORDING INFORMATION
The test is an exception when the tested employee has not inspected, stored or used the ladder, platform, scaffold or aerial basket properly.

This test has been designed to require a special code to be entered that will provide specific testing information. When prompted to enter a "Rule Book Code" the code to be entered is "S". When prompted to enter a "Rule Number" use the appropriate rule number associated with the observation.

315 Hand Tools—Mechanical

OBJECTIVE
This test determines that employees are in compliance with rules addressing the use of hand tools in the performance of their job tasks

APPLICABLE RULES
Mechanical Safety Rules and Policies: S-1.4.1, S-1.4.2, S-1.4.3, S-1.4.4, S-7.1, S-7.2, S-7.3, S-7.4, S-7.6, S-7.7, S-11.5.1, S-7.9, S-7.10, and S-7.11

PREPARATIONS / PROCEDURES
This test can be conducted any time an employee is observed using hand tools including striking or struck hand tools, tools with sharp edges, swinging tools, pry/lining bars and files.

RECORDING INFORMATION
The test is an exception any time an employee:

- Fails to inspect tools for defects.
- Makes any modification to a tool without manufacturer's approval.
- Continues use of a defective tool.
- Fails to properly redress a striking or struck hand tool.
- Fails to direct sharp edges of tools away from their body or hands.
- Fails to ensure/warn others to stay clear when using swinging tools.
- Fails to remove dirt/grease from hands and handle before using swinging tools.

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- Uses a pry or lining bar improperly.
- Uses a file without a handle.
- Uses a tool for a job it is not intended for.
- Fails to use band cutters to cut steel bands.
- Fails to use a chisel or punch holder.
- Uses an unapproved knife or uses a knife when another tool is available.
- Uses a “Leatherman” subject tool or similar multipurpose tool.

316 Crane Operation/Rigging—Safety Absolute

OBJECTIVE
This test determines that employees are in compliance with rigging requirements

APPLICABLE RULES
Mechanical Safety Rules and Policies: S-17.1 through S-17.1.5, S-17.2.1 through S-17.2.6, S-17.5.1, S-17.5.2, S-17.6, S-17.7, S-17.9, S-17.2.7

PREPARATIONS / PROCEDURES
This test can be conducted anytime employees are operating cranes, hoists and rigging.

RECORDING INFORMATION
The test is an exception when:

- Employees fail to inspect new or repaired ropes, slings and other rigging daily before use.
- Slings are used that do not have the required identification tags.
- Lifting/hoisting over manufacturers load capacity.
- Employees use damaged slings.
- Load rigging is not consistent with S-17.1.3.
- Chain slings in use are not consistent with S-17.1.4.
- Below the hook lifting devices are not consistent with S-17.1.5.
- A load is moved before persons are clear.
- Appropriate power line clearance is not maintained.
- Walking, standing, or working under a suspended load.
- Moving load before all persons are clear.
- Does not comply with S-17.5.1 and S-17.5.2.
- Using improper hand signals.
- Does not comply with S-17.9.
- Does not use the steering wheel cover while boom is in use.

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318 Single Car Air Brake Test—Mechanical

OBJECTIVE
This test will verify that a qualified person is using proper techniques when testing the air brake system on a single freight car

APPLICABLE RULES
AAR Field Manual Rule 3.A.2, CFR 232.305

PREPARATIONS / PROCEDURES
This test can be conducted any time a qualified person is engaged in the activity of performing a Single Car Air Brake Test on a freight car on the repair track or in a repair shop

Perform all the tasks identified in AAR Standard S-486, latest revision which includes the following tests:

Brake Pipe Leakage, Separate Brake Pipe Venting Devices, System Leakage, Hand Brake Inspection, Service Stability, Piston Travel, Emergency, Release Test after Emergency, Retaining Valve, Minimum Application, Slow Release, Accelerated Application Valve, Recheck Piston Travel and Manual Release test

RECORDING INFORMATION
The test is an exception any time an employee is not performing all the tasks as written per AAR Standard S-486, latest revision.

319 Extended Haul Air Brake Test—Mechanical

OBJECTIVE
This test determines that a qualified person is properly performing an air brake test and inspection on trains designated as Extended Haul

APPLICABLE RULES
49 CFR 232.213

PREPARATIONS / PROCEDURES
This test must be performed on trains at no more than 1,500 mile intervals; the train has to be designated as an Extended Haul train

Inspectors must be qualified to perform the Extended Haul Air Brake Test & Inspection

Verify that the brake system is charged to within 15 psi of the regulating valve setting on the controlling locomotive, but no less than 75 psi.

Verify that the air flow meter does not exceed 60 psi or the airflow pointer is left of the calibration mark.

Verify that after a signal is received, a 20-psi brake pipe reduction is made.

If the train does not meet AFM test conditions or is equipped with Distributed Power, verify a brake pipe leakage test is conducted as follows:

- Verify that after brake pipe exhaust ceases, a 60-second waiting period is observed.
- Verify that the Automatic Brake Valve maintaining feature is cutout or lapped.
- Verify that after the valve is cutout, a 60-second waiting period is observed.
- Verify that the leakage is then observed for 60 seconds and it does not exceed 5 psi.

Verify that inspector(s) inspect both sides of the equipment while the cars are stationary to insure:

- The brakes apply on each car.
- The brake rigging does not bind or foul on each car.
- All air brake parts are properly secured on each car.
- All angle and cutout cocks are in the proper position; air hoses are not kinked nor have any other obstruction.

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- Retainer valves and pipes are secure and in the proper position.
- Brake cylinder piston travel is correct on each car. If any car is observed with brakes that are not applied, a re-test of the car can be performed and the brakes must remain applied for a period of at least 3 minutes and must not release on it's own during the observation.
- Inspect each car for FRA safety appliance and safety standard defects and either repair or have the defective car removed from the train. Inspect hazardous material cars for leaks and placarding and inspect all open top loads for proper securement and clearances. Give proper signal to have the brakes released and inspect every car to see that all brakes have released.
- Provide proper notification to the crew in writing that the test and inspection was completed successfully. The notification must include date; time, number of car(s) inspected, and identifies the qualified person(s) conducting the test and the location where the test was performed. If both sides of the car(s) were inspected with the brakes set, a roll-by inspection at no more than 10 mph may be performed to see that all brakes have released. The locomotive engineer must be notified of the results.

RECORDING INFORMATION
It is an exception any time an employee is not performing any of the required tasks.

320 Jacking Equipment—Safety Absolute

OBJECTIVE
The Jacking Equipment Test monitors employee compliance with the rules and identified best practices related jacking cars and equipment

APPLICABLE RULES
Safety Rules S-10.1 and S-10.1.1; Road Truck Jacking Certification and job safety analysis located on the following web site:

http://bnsfweb.bnsf.com/departments/mechanical/safety/road_truck.html

PREPARATIONS / PROCEDURES
Select a location where there will be activity involving jacking equipment. Review all set up and inspection procedures outlined in the job safety analysis

Be in position to see that all set up and inspection procedures outlined in the job safety analysis are followed. Focus on activity identified outlined in RED in the JSA., specifically "Employee should not be alongside or under car while jacking or when supported only by jacks."

RECORDING INFORMATION
Employee does not follow identified rules and prescribed JSA

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321 Vehicle Operations—Safety Absolute

OBJECTIVE
This test is conducted to determine employee compliance with the rules related to the operation of motor vehicles.

APPLICABLE RULES
S-1.2.6, S-1.6.1, S-11.8.2, S-11.8.3, S-11.8.5, S-11.9.1 through S-11.9.9, S-12.1.1, S.12.1.2, S-12.2, S-12.4, S-12.5, S-12.6, S-12.8, S-12.9, S-12.9.1, S-12.16 and S-13.1.3.

PREPARATIONS / PROCEDURES
Test can be conducted any time employees are operating motor vehicles where the above safety rules apply. Examples are:

- Stopping for flares and/or flashing lights in intermodal facilities.
- Forklift operation.
- Backing motor vehicles.
- Operation of all terrain vehicles and utility vehicles
- Fouling track unnecessarily without proper authority or protection
- Compliance with posted instructions, signs, or other warnings prior to approaching or crossing tracks

Employees operating or riding in a vehicle must be alert to any risks, including those that may occur when crossing or traveling near track; when crossing tracks, be prepared to stop, look and listen to ensure the way is clear.

RECORDING INFORMATION
The test is an exception when the employee did not follow applicable rule(s) during the operation of a vehicle.

This test has been designed to require a special segment code be entered. When prompted to enter a “Rule Book Code” use the letter “S”. When prompted to enter a “Rule Number” use the appropriate segment code that reflects the observation; use the following segment codes according to the observed safety rule(s):

321-1 Vehicle Operations rules S-12.1.1, S-12.5 and S-12.9
321-2 Fork Lift Operations rules S-11.8.2, S-11.8.3, S-11.8.5, S-11.9.1, S-11.9.5, and S-11.9.6
321-3 Backing rule S-11.9.3, S-12.8
321-4 Fouling Tracks or Roadways rule S-1.2.6, S-1.6.1, S-12.9.1, S-13.1.3, and S-12.16
321-5 All Terrain Vehicles (ATVs) and Utility Vehicles rules S-12.2, S-12.4

TOC Home

322 Locomotive and Car Movement—Safety Absolute

OBJECTIVE

This test is conducted to determine employee compliance with the rules related to the movement of locomotives and railroad cars including working near the tracks.

APPLICABLE RULES

MESR S-1.2.6, S-1.6.1, S-10.2.1, S-10.2.2, S-10.3.2, S-10.10, S-10.15, S-13.1.1 through S-13.1.5, S-13.1.9, S-13.2.1 through S-13.2.4, S-13.5 and S-14.3

PREPARATION / PROCEDURE

Test can be conducted any time employees are moving, spotting or chocking locomotives or cars. Supervisors should give particular attention to:

- Locomotive movement rules and procedures
- Moving cars with car movers or cables
- Riding in or on moving equipment
- Chocking cars
- Getting on or off moving equipment
- Going between cars or locomotives coupled to locomotives
- Giving signals related to moving equipment

Supervisors observing employees working or walking near or crossing tracks should give attention to:

- Compliance with posted instructions, signs, or other warnings prior to approaching or crossing tracks
- Fouling track unnecessarily without proper authority or protection
- Be alert to any risks, including being prepared to stop, look and listen to ensure the way is clear

RECORDING INFORMATION

The test is an exception when the employee does not follow the applicable rules related to movement of locomotives or cars including working near the tracks. The entry process will prompt the supervisor to provide the rule book code ‘MESR’ and the segment number based on the following rule observation breakdown:

Locomotives: Moving & Spotting:

322-1A S-10.2.1 Moving, S-10.2.2 Spotting, S-10.3.2 Sounding Alarm Bell

322-1B S-10.15 Repairing Locos and Cars on line of Road

322-1C S-13.1.1 Going Between, S-13.1.2 Signals, S-13.5 Getting On/Off Equipment

322-1D S-13.2.1 Standing Clear (during coupling) S-13.2.2 Operating Uncoupling Lever, S-13.2.3 Adjusting Lift Pin, S-13.2.4 Adjusting Mismatched Couplers

Cars: Moving & Chocking:

322-2A S-10.10 Steel Cables for Moving Cars, S-14.3 Moving Cars at Shops, S-13.1.9 Chocking Cars

322-2B S-10.15 Repairing Locos and Cars on Line of Road

322-2C S-13.1.1 Going Between, S-13.1.2 Signals, S-13.1.5 Riding in or On, S-13.5 Getting On/Off Equipment

322-2D S-13.2.1 Standing Clear (during coupling), S-13.2.2 Operating Uncoupling Lever, S-13.2.3 Adjusting Lift Pin, S-13.2.4 Adjusting Mismatched Couplers

Tracks:

322-3 S-1.2.6 Warning Signs, S-1.6.1 Movement of Equipment, S-13.1.3 Tracks, S-13.1.4 Sitting or Standing

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323 Fall Protection—Safety Absolute

OBJECTIVE

Monitors compliance with the requirement to wear and utilize personal fall protection equipment when employees are working from elevations that are unprotected, including from the roofs of locomotives, freight cars and equipment as well as other locations where fall hazards exist.

APPLICABLE RULES

Safety Rules S-9.13.2, S-21.1, S-28.20 and S-10.18

PREPARATIONS / PROCEDURES

This test requires additional monitoring of employees to verify that proper authority and a job specific briefing with a supervisor has taken place.

Review the applicable rules and observe for the following:

- Locomotive movement rules and procedures.
- Moving cars with car movers or cables.
- Riding in or on moving equipment.
- Crossing tracks.
- Chocking cars.

Note 1: Some work locations utilize mobile lift platforms with fall protection equipment. See that the employee is using a mobile system and is connected by a proper retractable lanyard to the lift connecting anchorage point.

Note 2: Where fall protection equipment is not installed or available for use then observe the employee for the following:

- Proper authority to be on the roof of the freight car, locomotive or the equipment.
- Had a job specific briefing from their supervisor or lead person, discussing the potential hazards and recommended safety precautions.
- Is not working from and icy, oily or slippery surface.
- Using tools defensively, is not over reaching and is maintaining proper balance.

See that the employee accesses the locomotive roof from the rear only or with an approved ladder from the front of the locomotive (short hood).

RECORDING INFORMATION

The test is an exception when the employee does not follow the identified rules.

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324 Freight Car Doors/Load Dividers—Mechanical

OBJECTIVE

This test determines that employees are in compliance with rules addressing the operation of freight car doors and load dividers.

APPLICABLE RULES

Mechanical Safety Rules and Policies: S-10.8, S-10.8.1, S-10.8.2 and System Mechanical Policy No: PO-980715, Securement of Plug Doors.

PREPARATION/ PROCEDURE

This test can be conducted anytime an employee is operating a freight car door or load divider

RECORDING INFORMATION

The test is an exception any time an employee:

- Opens or closes a door using the following equipment:
  - Truck,
  - Forklift,
  - Tractor,
  - Shop mule,

    or
  - Other self propelled equipment.

  Note: it is not an exception if the equipment is specifically designed for that purpose, or is being used to stabilize or control a door suspected of being under pressure or damaged
- Fails to comply with directives outlined in System Mechanical Policy No: PO-980715, Securement of Plug Doors.
- Removes or replaces doors while the car is on jack stands.
- Fails to position themselves to avoid being struck by: falling door/load dividers or mechanism/ handle under tension.
- Fails to make sure overhead carriage and gate hanger parts are intact and properly positioned, before moving load dividers.

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341 Confined Spaces (Taconite)

OBJECTIVE

This test is conducted to determine that employee's pre-entry procedures and entry into a Permit Required Confined Space (PRCS) is in accordance with applicable rules.

APPLICABLE RULES

Taconite Employee Safety Rule Supplement (TASR) T-50, T-58, T-63C and T-65

PREPARATIONS / PROCEDURES

Supervisors conducting this test should be familiar with all BNSF requirements for entering a PRCS location.

Employees must complete the following prior to entering a confined space:

- Ensure all equipment needed is placed near the PRCS location or otherwise made available to workers. The equipment required for each location is identified in Section 4.1, Entry Equipment and PPE, of the BNSF Permit Required Confined Space (PRCS) Written Program
- Establish barriers needed to protect employees from pedestrian, vehicular, or other hazards are put in place
- The isolation procedures noted on the entry permit for the PRCS location are completed
- The PRCS location is purged or ventilated in accordance with the specifications of the entry permit
- The atmosphere of the PRCS location is tested to ensure that the acceptable entry conditions specified on the entry permit are met. Monitoring results are recorded on the entry permit
- A written certification containing the date, the PRCS location, and the signature of the person providing the certification, is generated before entry and is available to each employee entering the PRCS location or to that employee's representative

After the above pre entry procedures are completed and the requirements of the entry permit satisfied, entrants can enter the permit space to perform the work specified on the entry permit.

The permit space is monitored throughout entry operations, as necessary, to ensure that acceptable entry conditions are maintained. Monitoring results are recorded on the entry permit.

"Entry supervisor" is the person responsible for determining if acceptable entry conditions are present at a PRCS location where entry is planned, for authorizing entry and overseeing entry operations, and for terminating entry. An entry supervisor also may serve as an attendant or as an authorized entrant; as long as that person is trained and equipped for each role he or she fills. The duties of entry supervisor may be passed from one individual to another during the course of an entry operation.

Note: Table 1 of the Permit Required Confined Space (PRCS) Written Program lists the affected locations at this workplace and identifies the PRCS location related entry hazards.

RECORDING INFORMATION

The test is an exception when the employee does not follow the rules for confined spaces. Focus items may include:

- Pre entry procedures are not completed before entry is made into a PRCS location
- The entry permit for the specific PRCS location is not completed and signed by the entry supervisor
- The supervisor does not name all entrants on the entry permit as "authorized entrants"
- An unauthorized entrant enters a PRCS location
- The PRCS location is not purged or ventilated in accordance with the specifications of the entry permit
- The atmosphere of the PRCS location is not tested / monitored to ensure that the acceptable entry conditions specified on the entry permit are met and/or maintained throughout the operation
- Monitoring results are not recorded on the entry permit

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342 Conveyors (Taconite)

OBJECTIVE

This test is conducted to determine the employee's work activities near conveyors are in accordance with applicable rules.

APPLICABLE RULES

Taconite Employee Safety Rule Supplement (TASR) T-50, T-53, T-57, T-63A, T-63C and T-64B

PREPARATIONS / PROCEDURES

Supervisors conducting this test should be familiar with all BNSF requirements for employees working near or with conveyor systems.

Employees involved with conveyor belt operation or maintenance activities should observe the following:

- Do not repair, work or step on a moving conveyor belt
- Do not crawl or reach under a moving conveyor belt
- Do not touch a moving conveyor belt
- Do not cross over a moving conveyor belt at a location not designed for crossover movement using the steps / platform so designated
- Install all guards upon completion of maintenance activities

Employees involved with cleaning in, on or around a conveyor should also observe the following:

- Do not clean when other personnel are directly beneath your location
- Protect traffic rights of way prior to cleaning where necessary
- When cleaning, maintain 3 foot clearance from conveyors unless Lockout / Tagout is applied
- Install all guards upon completion of cleaning activities

RECORDING INFORMATION

The test is an exception when the employee does not follow the rules for conveyors. Focus items may include:

- Repairs, works or steps on; crawls or reaches under; or touches a moving conveyor belt
- Crosses over a moving conveyor belt at a location not designed for crossover movement
- Does not reinstall all guards upon completion of cleaning or maintenance activities (unless other protection is provided)

345 Supplement Observations (Taconite)

OBJECTIVE

This test is conducted to determine the employee's work activities are in accordance with the applicable Taconite Employee Safety Rule Supplement aside from OPT 341 and OPT 342.

APPLICABLE RULES

Taconite Employee Safety Rule Supplement (TASR): T-50, T-54 through T-56, T-59 through T-62, T-63B, T-64A, T-64C and T-66 through T-68

PREPARATIONS / PROCEDURES

Supervisors conducting this test should be familiar with all TASR supplement requirements for employees.

Work activities associated with TASR rules not included in OPT 341 and OPT 342 may be recorded under this test.

RECORDING INFORMATION

The test is an exception when the employee does not follow the applicable rules.

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348 Blue Signal—Intermodal

OBJECTIVE

This test is conducted to determine intermodal employee compliance with rules for blue signal protection.

APPLICABLE RULES

EMSR S-8.2; S-8.2.1 through S-8.2.3, S-8.2.7, S-8.2.13

PREPARATION / PROCEDURE

This test can be conducted anytime intermodal employees are required to establish blue signal protection.

The method for protection is outlined in Employee Safety Rules (EMSR) S-8.2.3.

RECORDING INFORMATION

The test is an exception when blue signal protection for intermodal workmen is not properly established when necessary.

Focus items include:

- Switches used for protection are lined and locked against movement onto the track
- Derails used for protection are locked in derailing position with an effective locking device
- Blue signal is displayed

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350 Track Occupancy—MW Only (Critical Decision)

OBJECTIVE

This test is conducted to determine employee compliance with track authority while occupying or fouling the track, or establishing protection as necessary.

APPLICABLE RULES

MWOR 6.2.1, 6.3.1, 6.3.2, 6.3.3, 2.14.2, 12.1.2, 12.2, 12.3 and 12.4

PREPARATION / PROCEDURE

This test / audit may be conducted anytime employees are occupying or fouling the track, or when necessary to establish protection.

RECORDING INFORMATION

The entry process prompts the supervisor to provide the rule book code (MWOR) and segment number (i.e., 350-1) to record entries for activities associated with each segment. When employee actions are not compliant with the track authority or protection rules indicated, record as an exception. Focus items include:

350-1 Main Track Authorization – MWOR 6.3.1

- Men and equipment are properly authorized when occupying or fouling a track
- The following information is properly documented when authorized to occupy or foul a track:
  - Track and Time, Track Permit and Foul Time:
    - o Conditions of Authority (behind trains), when applicable
    - o Name or other identification of authorized track
    - o Authority limits
    - o Time limits
    - o Joint Status when applicable
  - Track Warrant:
    - o “X” is marked in the boxes specified
    - o Conditions of authority (behind trains), when applicable
    - o Name or other identification of authorized track
    - o Authority limits
    - o Joint Status (and/or overlaps), when applicable
    - o Track released (roll-ups) limits, when applicable
    - o OK Time
- Track Bulletin Form B:
  - Employee obtains information concerning all Form B’s that may overlap authority prior to occupying the track
- Working Limits Form (Generally) – when working limits are required to be established within overlapping authority limits:
  - Employee in Charge is correctly identified for each set of working limits
  - Working Limits are correctly identified

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- Working Limits Form (Multiple Work Groups) – when the Working Limits Form is required of an employee who does not hold an authority, but is using another employee's authority in a "Multiple Work Group Using the Same Authority" situation:
  - Employee in Charge is correctly identified for each set of working limits
  - Working Limits are correctly identified
  - "At" time is recorded
  - Clear Time is recorded
- Multiple Work Groups Using the Same Authority Form – EIC of the authority (written or electronic):
  - Authority Number is correctly identified
  - Name of employee in charge of each work group using the authority is recorded
  - Time Acknowledgement received recorded
  - Time Authority Limits cleared recorded

350-2 Protection on other than Main Track – MWOR 6.3.2

- Roadway workers have properly established working limits on other than a main track, controlled siding, or any track where a block signal system in effect using one or a combination of the methods.

350-3 Visual Detection of Trains – MWOR 6.3.3

- Employee using visual detection is being utilized has properly completed the Statement of On-Track Safety and/or the requirements of MWOR 6.3.3 have been met.

350-4 Adjacent Track Operations – MWOR 12.1.2, 12.2, 12.3 and 12.4

- Adjacent controlled track protection is established when necessary
- Work and machine operations cease work when a train or on-track equipment is passing the work location as required
- Roadway workers do not occupy the space between a main track, controlled siding or other track where CTC is in effect and another track with track centers of 19 feet or less while a train is passing on the main track, controlled siding or other track where CTC is in effect.
- The Sub-Group Coordinator Notification form is used as required to ensure that all employees have been notified of an approaching train

350-5 Authority behind Trains – MWOR 6.2.1

- Employee authorized behind a train(s) does not occupy or foul the track, or use the authority as a method of protection before 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 issued authority voiding a previous authority and identifying additional train(s) to be followed stops movement until direct radio contact is established to ascertain the train's identity and location of the additional train(s).

350-6 Before Reporting Clear of Authority Limits – MWOR 2.14.2

- Employee reporting clear of authority establishes that all employees and any multiple work groups are clear of track(s).
- Employee reporting clear of authority informs the dispatcher / control operator that all employees and any multiple work groups are clear of track(s).

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351 Lock Out/Tag Out—MW Only (Critical Decision)

OBJECTIVE
The Lock Out / Tag Out test determines MW employee compliance with lockout / tag out requirements when inspecting, servicing, or performing maintenance activities on machinery or equipment that may unexpectedly energize, start, or release stored energy.

APPLICABLE RULES
Engineering Instructions 1.10

PREPARATIONS / PROCEDURES
This test may be conducted anywhere employees are working with equipment that has potentially hazardous energy sources. These sources may be electrical, mechanical, hydraulic, gravitational or thermal.

RECORDING INFORMATION
The test is an exception when the tested employee is engaged in an activity that requires LOTO and they do not have an approved lockout / tag out device that is:

- Marked with the identity of the employee.
- A standardized lock. Each lock will have a single, unique key that remains in the possession of the employee. (There will be NO master keys).
- Used exclusively for lockout.

It will be considered an exception if the tested employee is engaged in an activity that places them in danger by neglecting to:

- Shut the equipment down.
- Turn off the battery switch and lock it in the off position.
- Establish protection against other machinery.

352 Main Track Switches (Critical Decision)

OBJECTIVE
This test is conducted to determine MW employees are in compliance with rules for main track switches.

APPLICABLE RULES
MWOR 8.2, 8.3, 8.20, 8.12 and 14.12

PREPARATIONS / PROCEDURES
This test may be conducted when MW employees are changing the position of main track switches, main track switch point locks, and derails protecting access to the main track.

RECORDING INFORMATION
The test is an exception when an employee does not follow the rule requirements included in the following focus items:

- Hand-operated main track switches, main track switch point locks, and derails protecting access to the main track are restored to the correct position
- Except in CTC territory or within a manual interlocking, the Employee in Charge records the name, location and time that a main track switch, main track switch point lock or derail protecting access to the main track is initially hand-operated and finally returned to the normal or correct position
- The Employee in Charge retains the completed Position of Switches/Derails form for 2 days after the tour of duty

In TWC territory:

- The Employee in Charge using a hand-operated switch to clear the main track remains at the switch location until the TW has been reported clear
- The employee restoring a hand-operated main track switch to the normal position remains at the switch location until the switch position briefing has been conducted with the Employee in Charge
- Job briefing with the train dispatcher is performed when required, including all of the following information:
  - Position of main track switches
  - Switches operated are locked within the limits being reported clear or released
  - Position of Switch/Derail form completion or stating ”No entries required”

353 Boom Equipped Vehicles and Equipment—Critical Decision

OBJECTIVE
This test is conducted to determine that employees are in compliance with rules and instructions for boom equipped vehicles and equipment.

APPLICABLE RULES
MWSR S-17.2.3, S-17.2.5, S-17.2.6 and S-17.5.3

PREPARATIONS / PROCEDURES
This test may be conducted any time employees are required to use boom equipped vehicles or equipment. Only qualified employees may operate vehicles equipped with specialized equipment.

RECORDING INFORMATION
The test is an exception when the employee does not follow the rules for boom equipped vehicles or equipment.

The entry process will prompt the supervisor to provide the rule book code (MWSR) and segment number (353-1, 353-2, 353-3 and 353-5). Focus items may include:

353-1 Outriggers are used as required by BNSF or in accordance with the manufacturer’s written instructions per S-17.2.3

353-2 Power line clearances are maintained as required per S-17.2.5

353-3 Loads are not moved until people are clear, or loads are not moved over people or occupied equipment per S-17.2.6

353-4 *Not currently used - reserved for future use*

353-5 All rails on racks are individually tied down before rail is loaded or unloaded per S-17.5.3

Note: Steering wheel cover not in place as required is an exception and should be recorded under OPT 699 using rule EI 15.4.

354 Fall Protection—MW Only (Critical Decision)

OBJECTIVE
Fall protection is a specific piece of the PPE test. It is outlined in EI 1.4 and covers various crafts engaged in activities specific to their job functions. These specific pieces of PPE will be outlined below.

APPLICABLE RULES
Engineering Instruction 1.4

PREPARATIONS / PROCEDURES
Determine the type of specific PPE required by EI 1.4:

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1.4.9 Working on Railroad Bridges

A. Use of Personal Fall Arrest Equipment

Personnel working on a railroad bridge at a height of 12 feet or more above the ground or water surface must use personal fall arrest equipment.

Exception: Where there is no deck openings through which a worker can fall, using personal fall arrest equipment is not required when:

- Walking between the outside rails.
- Performing inspections or minor repairs with center-of-balance exclusively between the rails.

  Note: Minor repairs include, but are not limited to, routine welding, spiking, anchoring, spot surfacing, and replacing joint bolts. Changing out rail is not a minor repair.
- Working on a bridge that has walkways or railings that meet the requirements of the American Railway Engineering & Maintenance of Way Association (AREMA), where a worker is performing activities between an outside rail and a walkway or railing.
- Working on a roadway attached to railroad bridges, provided that workers on the roadway deck work or move 6 feet or more from the edge of the roadway deck, or from an opening through which a worker could fall.
- Conducting bridge inspections when the inspector, qualified per Engineering Instruction 17 Structures, specifically section 17.1.2, determines through risk assessment that installing or using fall arrest equipment poses a greater exposure to risk than the work to be performed.

  Note: In such cases, unless risk assessment determines that exposure to falls from elevation is increased, personal fall arrest equipment must be worn at all times and used when:
- Working in a stationary position,

  or
- Taking a break from climbing activities.
- Tie off in a manner to allow self-rescue or, preferably, fall restraint mode.

B. Working on Railroad Bridges Over or Adjacent to Water

When working over or adjacent to water, use a life vest when:

- The water is 4 feet or more deep,

  or
- The danger of drowning otherwise exists.

Exception: Vests do not need to be worn when:

- Using a fall arrest system in an approved manner.
- Conducting inspections that involve climbing structures above or below deck, where risk assessment has determined that wearing a life vest increases the risk of a fall from elevation.
- Doing the following, where there are no openings through which a worker can fall:
  - Walking between the outside rails.
  - Performing inspections or minor repairs with center-of- balance exclusively between the outside rails.

    Note: Minor repairs include, but are not limited to, routine welding, spiking, anchoring, spot surfacing, and replacing joint bolts. Changing-out rail is not considered a minor repair.
- Working on a bridge that has walkways or railings that meet the requirements of the American Railway Engineering & Maintenance of Way Association (AREMA), where a worker is performing activities between an outside rail and a walkway or railing.
- Working on a roadway attached to railroad bridges, provided that workers on the roadway deck work or move 6 feet or more from the edge of the roadway deck, or from an opening through which a worker could fall.

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C. Using Life Vests on Railroad Bridges

When using life vests on railroad bridges:

- Have a boat available.

  Note: Risk assessment determines whether the boat is to be manned and in the water, or on the shoreline ready to go.

- Have available ring buoys with at least 90 feet of line. Space the buoys at intervals not to exceed 200 feet.

D. Safety Nets

Do not use safety nets for fall protection purposes.

1.4.10 Roof Work

Use fall protection when working on the roofs of structures and you are exposed to falls from elevation. Use the most appropriate method of fall protection that can be applied to a particular task. Use fall arrest or fall restraint, install temporary guardrail systems, or on flat roofs, establish work zones according to applicable governmental requirements. Determine the most appropriate method of fall protection on a project-specific basis during project planning and risk assessment activities.

1.4.11 Pole Work

When working on poles:

1. Use Miller Stopfall straps when ascending, descending, and working on wood poles, excluding wood poles supporting slide fences.
2. Wear full-body harnesses in addition to the Miller Stopfall straps where this equipment has been issued and training provided. Until full-body harnesses are issued, a climbing belt may be used in conjunction with the Miller Stopfall strap.

1.4.12 Telecommunications: Towers/Tops of Locomotives

When working on telecommunication towers:

1. Use personal fall arrest equipment when ascending to and descending from work locations on telecommunication towers, and when at work locations.
2. Use work positioning equipment to supplement the use of fall arrest equipment when working in a stationary location on telecommunication towers. The use of work positioning equipment is not a substitute for the use of fall arrest equipment.
3. Perform telecommunications work on the tops of locomotives where approved fall protection systems are available.

1.4.13 Signal Bridges, Cantilevers, and Wayside Signals

1. Use personal fall arrest equipment on signal bridges, cantilevers, wayside signals, and slide fence systems where fixed fall protection systems have been installed, equipment is made available, and training is completed. Where work cannot be performed from ground level, work from ladders, signal platforms, buckets, or lifts.
2. Where practical and where the location is accessible, use bucket trucks and/or ladders to access work locations.

1.4.14 Light Towers and Metal Light Poles

1. Use fall arrest equipment when ascending and descending light towers and metal light poles.
2. Where practical and where the location is accessible, use lift trucks to access work locations on light towers and metal light poles.

1.4.15 Bucket Trucks

1. Wear a full-body harness when working from bucket trucks.
2. Maintain provided bucket truck rescue kits on all bucket trucks. Trained employees use the equipment in these kits for emergency evacuation from buckets.

PREPARATIONS / PROCEDURES
Observe the employee and verify that job specific PPE requirements have been met in accordance with EI 1.4.

RECORDING INFORMATION
This test is an exception when the employee does not follow the requirements as identified by rule for Fall Protection PPE.

355 HLCS Compliance—MW Only (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

PROCEDURE
The supervisor conducting this test 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
On territory identified as having HLCS in effect, record an exception when:

- A required briefing between the EIC and train dispatcher is not conducted, advising of any HLCS equipped vehicles to be associated with the authority.
- EIC of an authority does not report 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 without utilizing HLCS equipment as required.
- Employee fouls or occupies a track as a multiple work group with a functional HLCS equipped vehicle without notifying the EIC and utilizing HLCS equipment as required.

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359 Vehicle / On-Track Equipment Operation – Critical Decision

OBJECTIVE

This test is conducted to determine that employees are in compliance with rules regarding the following:

- Protecting Leading End of On-Track Movements
- Stop Equipment
- On-track Equipment Approaching Crossings
- Maintaining Safe Braking Distance
- Seat Belts

APPLICABLE RULES

MWOR 6.5, 6.50, 6.50.2, 6.51, MW S-12.5, MW S-14.1.2

PREPARATIONS / PROCEDURES

359-1 Protecting Leading End of On-Track Movements (MWOR 6.5) – This test may be conducted on any track when view is restricted in the direction of movement and the on-track equipment operator is unable to determine movement can be made safely (e.g. while backing, shoving, etc.), requiring an employee to take an easily seen position on the leading end of the movement or be ahead of the movement to provide protection.

359-2 Stop Equipment (MWOR 6.50) - This test may be conducted on any track at any time by displaying a stop signal (e.g. Stop Obstruction Banner, red flag, flagman, etc.) requiring the on-track equipment to stop. To ensure movement is being made in such a manner to stop within half the range of vision, stop signal should be placed in a location of limited visibility. When stopping equipment, consideration must be given to situations of multiple units traveling in a group to avoid compromising the safety of following equipment.

359-3 On-track Equipment Approaching Crossings (MWOR 6.50.2) - This test may be conducted on any track when on-track equipment is approaching a road crossing. Arrange to position, or observe vehicular traffic at the road crossing. Verify on-track equipment approaches the road crossing prepared to stop and yields to vehicular traffic at the road crossing. Consideration must be given to situations of multiple units traveling in a group to avoid compromising the safety of following equipment. Do not use a Stop Obstruction Banner in the performance of this test.

359-4 Maintaining Safe Braking Distance (MWOR 6.51) – This test may be conducted on any track where multiple on-track equipment units are working or traveling to determine sufficient separation is maintained between the equipment to provide for safe braking distance.

359-5 Seat Belts (MW 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 the rail.

RECORDING INFORMATION

The test is an exception when the employee does not follow the rules for vehicle or on-track equipment. Focus items may include:

359-1 Protecting Leading End of On-Track Movements (MWOR 6.5)

- Job briefing is not completed to ensure a clear understanding of the hand signals, or the directions to be used as forward or backward movement of the on-track equipment when using radio communications
- Equipment operator moves the equipment prior to knowing who is protecting the movement and how protection will be provided
- Equipment operator does not immediately stop the movement if the employee providing signals or the light being used for signals disappears from view
- Equipment operator does not respond to specific radio instructions given for each movement

- Equipment operator does not acknowledge radio communications when distance specified is more than 300 feet
- Equipment operator does not stop movement within half the distance specified by radio unless additional instructions are received
- Employee providing radio communications does not specify the direction and distance
- Employee while providing protection, engages in a task unrelated to the movement
- Employee providing protection does not ensure the following prior to initiating movement of the equipment:
  - Switches are properly lined and derails are properly positioned for the intended movement
  - No hazards or obstructions exist that will affect safety of the movement

359-2 Stop Equipment (MWOR 6.50)

On-track equipment operator fails to stop before contacting the 'Stop Obstruction' banner, or fails to stop at the required location.

359-3 On-track Equipment Approaching Crossings (MWOR 6.50.2)

On-track equipment operator fails to yield for vehicular traffic at the road crossing.

359-4 Maintaining Safe Braking Distance (MWOR 6.51)

- On-track equipment operator fails to signal following equipment using radio or hand signals when slowing or stopping
- On-track equipment in the "travel mode" is spaced less than 300 feet apart, except when necessary for movement over road crossings
- On-track equipment in the "work mode" is spaced less than 50 feet apart, except when a shorter distance is necessary and established by job briefing
- On-track equipment is spaced less than 50 feet apart when moving over crossings

The on-track equipment operator does not:

- Dismount machine and provide hand signals to following equipment during bunching operations
- Ascertain if a back-up alarm has sounded, and/or an appropriate whistle/horn signal has been sounded prior to backing the equipment
- Ascertain that the track is clear of men or equipment prior to backing

359-5 Seat Belts (MW S-12.5 and S-14.1.2)

Employees operating or riding in equipped vehicles or equipment are not wearing their seat belts either on or off the track, except when the seat belt is temporarily removed to stand for viewing purposes or when seated in the upper rotating structure of cranes as provided by rule.

The entry process will prompt the supervisor to provide the rule book code (MWOR or MWSR) and segment number (359-1 through 359-5).

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370 Flag Display & Protection—MW Only

OBJECTIVE

The test is to verify that proper flags (yellow/red or red) have been posted and displayed when and where required. If MWOR 6.19 - Flag Protection should be required that the employee providing the protection goes at least the prescribed distance to protect access to the restriction.

APPLICABLE RULES

MWOR 5.4.3, 5.4.7, 5.4.8, 6.19, 15.2.2

PREPARATIONS / PROCEDURES

This test applies to Maintenance of Way and Signal employees. This test may be conducted anytime maintenance employees are found occupying or foul of a track

Verify that when yellow/red flags or red flags are required they are displayed, and are in the proper location. If flag protection should be required, that the flagmen must immediately go at least the distance prescribed by the special instructions or other instructions for that territory and protect all possible access to the restriction.

RECORDING INFORMATION

- The flags are absent or not displayed in the location required.
- MWOR 6.19 flag protection requirements are not met.

375 Mandatory Directive—MW & Telecom

OBJECTIVE

This test determines the employee correctly handles mandatory directives in accordance with the rules.

APPLICABLE RULES

MWOR 2.14, 2.14.1, 2.14.2, 6.1, 6.3.1, 6.11, 14.9, 14.12 and SSI

PROCEDURE

Observations should include the following:

- Confirmation of limits prior to granting verbal authority must occur between the train dispatcher/control operator and the employee requesting authority

The verbally issued mandatory directive must be transmitted according to the following:

- The employee informs the train dispatcher/control operator when ready to copy, stating the employee's name, occupation and location
- The employee operating moving equipment does not copy a mandatory directive
- A mandatory directive must not be transmitted to moving equipment if the operator of the equipment feels that the transmission could adversely affect safe operation

When verbally transmitting and repeating mandatory directives the employee will:

- State and spell single digit numbers by number and digit
- State multiple digit numbers by number and digit
- Identify decimal points as "point", "dot", or "decimal"
- When transmitting authority numbers separated by a hyphen:
  - State the first number, then state or spell each digit separately for that number
  - State the hyphen as "dash"
  - State the second number, then state or spell each digit separately for that number

  Example: Authority number 407-15; "407; 4, 0, 7 dash 15; 1, 5"

- State and spell directions

When an employee verbally reports clear or releases a portion of authority limits, and the train dispatcher/control operator accepts the information, the following must occur:

- The employee will provide their name or other identification and the authority number to the train dispatcher/control operator
- The dispatcher/control operator and employee must carefully match the verbally transmitted information against the authority form to ensure the information matches and is correct
- A mandatory directive may not be released by an employee at the controls of moving equipment

RECORDING INFORMATION

Record the exception under the appropriate segment number.

375-1 The employee does not:

- Confirm limits prior to receiving verbal authority
- Inform the train dispatcher/control operator when ready to copy stating the employee's name, occupation, and location
- State and spell single digit numbers by number and digit
- State multiple digit numbers by number and digit
- Identify decimal points as "point", "dot", or "decimal"
- State the first number, then state or spell each digit separately for that number
- State the hyphen as "dash"
- State the second number, then state or spell each digit separately for that number
- State and spell directions

375-2 The employee does not provide name or other identification and the authority number to the train dispatcher/control operator before verbally reporting clear or releases a portion of authority limits, and the train dispatcher/control operator accepts the information.

375-3 The employee verbally copies and / or releases a mandatory directive at the controls of moving equipment.

375-4 The employee does not:

- Show the "OK" time on the mandatory directive
- Indicate "VOID" on a mandatory directive that is released

This test/audit has been designed to require a special code to be entered that will provide specific testing/auditing information. When prompted to enter a "Rule Book Code" the code to be entered is "M". When prompted to enter a "Rule Number", use the appropriate segment code above that reflects your observation.

Note: Observations regarding the MW employee's validation/communication that all employees and/or multiple work groups are clear of track(s) in authority limits is to be recorded under test segment 350-6 under OPT 350 for Track Occupancy.

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376 Disable Crossing Warning—Signal

OBJECTIVE
This test is designed to determine that signal personnel have correctly disabled a highway grade crossing using approved procedures and equipment.

APPLICABLE RULES
MWOR 6.32.2; Signal Instruction 7.2

PREPARATIONS / PROCEDURES
This test should be conducted where signal personnel will be required to disable a highway grade crossing in conjunction with M/W work or crossing malfunction due to signal equipment damage. Supervisor may also test previous activity by auditing Crossing Disable Planning / Briefing worksheet.

Refer to Signal Instruction 7.2 for specific procedures to be followed depending on the number of tracks and equipment involved.

RECORDING INFORMATION
This test is an exception when the tested employee does not comply with all provisions of Signal Instruction 7.2, including:

- Proper use of jumpers and shunts
- Proper use of Crossing Disable Planning / Briefing Work Sheet
- Proper notification and use of authority from the train dispatcher
- Proper contact with the TSOC signal controller
- Proper restore procedures used and tested for proper operation

377 Specific Instructions—Signal

OBJECTIVE
Items included in OPT 377 are based on policies, regulations, and standards developed by OSHA, FRA, and various state regulatory agencies and BNSF's Signal Department. This test describes the procedures that will ensure compliance with those policies, regulations, standards and guidelines not covered in other Operations Tests.

Note: Do not perform OPT 377 tests unless you are familiar with the policies, regulations, standards and guidelines applicable to the specific test.

APPLICABLE RULES
Details change periodically and may be found by accessing the latest revision of BNSF Signal Instructions found in sections:

- 2.1 Track Circuit Maintenance
- 2.2 DC Track Circuit Adjustment Procedure
- 2.3 Connecting Wires and Equipment to the Rail
- 6.7 Data Recorders
- 10.1 Batteries

The latest revisions to the Signal Instruction Manual may be found on BNSF Intranet using the following URL:

http://engesst.bnsf.com/bnsfeng/signal/sigweb/

Rules Number Format and Data Entry–ONLY RULES LISTED ABOVE CAN BE TESTED AND ENTERED INTO THE DATABASE UNDER THIS TEST.

PREPARATIONS / PROCEDURES
Observe specific work activities and / or events relating to the applicable rules listed above.

RECORDING INFORMATION
Signal employee performs work activities and/or events that are not in compliance with part or all of one or more of the rules prescribed above.

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378 Specific Test Procedures—Signal

OBJECTIVE

Items included in OPT 378 are based on regulations and standards issued by FRA and various supplementary signal tests issued by BNSF's Signal Department. This test describes the procedures that will ensure compliance with those policies, regulations, standards and guidelines not covered in other operations tests.

Note: Do not perform OPT 378 testing unless you are familiar with the policies, regulations, standards and guidelines applicable to the specific test.

APPLICABLE RULES

Only the following procedures may be tested under OPT 378:

TP – 16 A	TP – 101	TP – 102	TP – 103
TP – 103A	TP – 103B	TP – 104	TP – 106
TP – 107	TP – 107A	TP – 108	TP – 109
TP – 110	TP – 234	TP – 377	TP – 378
TP – 379	TP – 380	TP – 381	TP – 382
TP – 387	TP – 576		

Details regarding this operations test change periodically and may be found by accessing the latest revision of BNSF Signal Test Procedures TP16A through TP 576. The latest revisions to the Signal Test Procedures may be found on BNSF Intranet using the following URL:

http://engesst.bnsf.com/bnsfeng/signal/sigweb/

Rules Number Format and Data Entry – only the rules listed above can be tested and entered into the database under this test.

PREPARATIONS / PROCEDURES

Observe specific work activities and / or events relating to the applicable rules listed above.

RECORDING INFORMATION

Signal employee performs specific work activities and/or events that are not in compliance with part or all of one or more of the rules prescribed above.

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379 PPE—MW

OBJECTIVE

This test determines employee compliance with the rules for additional Personal Protective Equipment and clothing (PPE) requirements for the specific work event.

APPLICABLE RULES

MWSR S-21.1C, S-21.2B, S-21.2C, S-21.4C, S-21.4D, S-21.4E, S-21.6B, S-21.6C, S-21.7B, S-21.8, S-21.8A, and S-21.8B

PREPARATIONS / PROCEDURES

The supervisor determines the additional PPE required for a given task / exposure specific to a work activity the employee is required to use by referencing the appropriate rule and chart(s) under S-21. Additional PPE requirements included in this test are:

- Face shields, welding jackets, etc. (S-21.1C)
- Eye and face protection for equipment and machinery (S-21.2B)
- Use of goggles (S-21.2C)
- Hand Protection:
  - Insulating gloves (S-21.4C)
  - Gloves for sharpening chain saw blades (S-21.4D)
  - High-voltage protective gloves (S-21.4E)
- Hearing protection:
  - During hot work (S-21.6B)
  - During energized electrical work (S-21.6C)
- Safety Footwear
  - Anti-Slip Winter Footwear (S-21.7B)
- Respirator:
  - Selection and use (S-21.8)
  - Protection program (S-21.8A)
  - Voluntary use (S-21.8B)

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.

When prompted use the rule book code ‘MWSR’, then the OPT test number ‘379’ for the rule / segment number to enter a passing test entry. If entering an exception again use the rule book code ‘MWSR’ then the appropriate rule number reference listed.

Note: Fall Protection PPE requirements are recorded under OPT 354.

Please note that general requirements to wear Hard Hats (S-21.3), Safety Glasses (S-21.2A), Safety Boots (S-21.7A), Enhanced Visibility Work Wear (S-21.5), Hand Protection (S-21.4A and S-21.4B), Hearing Protection (S-21.6, S-21.6A and S-21.6D) and general PPE requirements (S-21.1A, S-21.1B and S-21.1D) are not part of this test. Exceptions to these general PPE requirements may be recorded under OPT 699.

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380 Ladders & Platforms—MW Only

OBJECTIVE
This test is conducted to monitor employee compliance with the use of ladders, platforms, scaffolds and aerial baskets.

APPLICABLE RULES
Safety Rules S-9.1 through S-9.13.2

PREPARATIONS / PROCEDURES
This test can be conducted any time employees are using ladders, platforms, scaffolds and aerial baskets.

RECORDING INFORMATION
The test is an exception when the employee has not inspected, stored or used the ladder, platform, scaffold or aerial basket properly.

381 Hand Tools

OBJECTIVE
This test determines that employees are in compliance with rules addressing the use of hand tools in the performance of their job tasks.

APPLICABLE RULES
Safety Rules S-7.1, S-7.2, S-7.3, S-7.4, S-7.6, S-7.7

PREPARATIONS / PROCEDURES
This test can be conducted any time an employee is using hand tools including striking or struck hand tools, tools with sharp edges, swinging tools, pry/lining bars and files.

RECORDING INFORMATION
The test is an exception any time an employee:

- Fails to inspect tools for defects
- Continues use of a defective tool
- Fails to properly redress a striking or struck hand tool
- Fails to direct sharp edges of tools away from their body or hands
- Fails to ensure/warn others to stay clear when using swinging tools
- Fails to remove dirt/grease from hands and handle before using swinging tools
- Uses a pry or lining bar improperly
- Uses a file without a handle
- Uses a tool for a job it is not intended for
- Fails to use a chisel or punch holder
- Uses an unapproved knife or uses a knife when another tool is available

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382 Rail Adjustments—MW Only

OBJECTIVE
This test is designed to determine that all applicable Engineering Instructions involving rail replacement, rail adjustment and track stability are adhered too during operations that affect the neutral temperature of the rail.

APPLICABLE RULES
Engineering Instructions 3.5, 4.5.1, 4.8, 4.10, 6.1.4, 6.2.3, 6.2.4, 6.2.5, 6.2.6, 6.2.7, 6.2.8, 6.4, 6.4.1, 6.4.2, 6.4.3, 6.4.3, 6.4.4, 6.4.5, 6.4.6, 8.2, 8.6.2, 11.15.7, 11.15.17

PREPARATIONS / PROCEDURES
This test may be performed anywhere that MW forces are performing out of face rail renewals, adjusting rail, replacing rail that changes the neutral temperature or performing maintenance activities that change the neutral temperature of the rail.

Based upon the activity being observed, verify that the applicable Engineering Instructions are being adhered to in relation to the established best practice guidelines in regards to track stability.

RECORDING INFORMATION
Due to the extensive nature of these procedures, any of the following would constitute an exception when the MW employee does not:

- Take immediate corrective action when tight rail conditions are observed
- Adhere to the track stabilizing speed restriction tables of EI 4.10
- Properly adjust rail during out of face renewals
- Properly document rail adjustments
- Adjust rail after rail has been added to the track
- Properly anchor the rail
- Adhere to BNSF rail adjustment procedures
- Adhere to BNSF rail replacement criteria
- Adequately maintain standard ballast section

385 Fouling Track—MW & Telecom

OBJECTIVE
This test is conducted to determine employee responsibility to cross tracks safely when authority or protection is not required; employee knowledge of on-track safety being utilized where necessary through required job briefings prior to fouling tracks; and compliance with rules, instructions, warning signs, etc. when crossing a track with a vehicle or off-track equipment.

Note: This test is not to be used to document the correct application of authority or protection. Such observations are to be recorded under OPT 350 or OPT 404.

APPLICABLE RULES
MWOR 1.20, 11.3, 11.4; MW Safety Rules S-1.1, S-1.2.3, S-1.2.6, S-1.6.1, S-12.1.2, S-13.1.3

PREPARATIONS / PROCEDURES
Testing may be conducted when employees are crossing or fouling tracks.

Review local instructions pertaining to fouling tracks and operation of/or riding in vehicles on or near tracks.

Employees must expect the movement of trains, engines, cars, or other movable equipment at any time, on any track, and in either direction.

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RECORDING INFORMATION

385-1 Incidental Fouling (employees outside a vehicle or off-track equipment)

During incidental fouling of a track (such as walking across the track) the employee:

- Does not determine it is safe to do so by stopping, looking and listening prior to fouling
- Does not move directly and promptly to a position clear of the track
- Does not cross a sufficient distance from standing equipment
- Carries tools or materials restricting motion, impairing sight, hearing or ability to safely move away from approaching on-track movements

385-2 On-track Safety Job Briefing Requirements

Employee fouling track in performance of work requiring a method of authority or protection is unable to identify the:

- Employee in Charge
- Method of on-track safety being utilized as defined in the required job briefing
- Designated place of safety used to clear for on-track movement (where required)

385-3 Crossing Track with Vehicles

Employee operating or occupying a vehicle (or off-track equipment) does not:

- Comply with signs, rules or instructions before crossing or operating foul of the track
- Approach a non-public grade crossing as close to a right angle as practical to allow for optimal viewing of approaching on-track movement
- Completely stop to check for on-track movement prior to moving across a non-public grade crossing

When prompted to enter a 'Rule Book Code' enter "X", then when prompted to enter a 'Rule Number' enter the appropriate segment code for the observation (385-1, 385-2 or 385-3) based on the criteria listed above.

387 Commercial Motor Vehicle Driver Responsibilities

OBJECTIVE

This test is conducted to determine employee* compliance with Federal Motor Carrier Safety Administration (FMCSA) regulations related to commercial motor vehicles.

APPLICABLE RULES

MWSR and MESR S-12.1.1, S-12.7, S-12.11

PREPARATIONS / PROCEDURES

Supervisors determine employee compliance with commercial motor vehicle driver responsibilities. Test / audit items include:

- Hours of Service – proper driving / on-duty time reported against paid time entered and DOT logbook is kept current. (10 hour rest periods are completed daily and at least one 34 hour rest period is completed at least once every 8 days)
- Driver Credentials – current medical card and proper license for the class of vehicle driven are in the driver's possession.
- Hazardous Materials – if Hazmat is over 440 lbs., ensure there are proper vehicle placards, shipping papers completed (Form 44 Standard), registration and Emergency Response Guide is in the vehicle within arm's reach.
- Vehicle Maintenance – if there are non-compliant condition(s), ensure they are identified in post-trip inspection. (No documentation is needed if no vehicle defects are identified).
- Cargo – proper load securement both inside and outside the vehicle.

Supervisors may use the Commercial Motor Vehicle Driver Responsibility form located at the link below to cross reference FMCSA regulations. Any item marked as not in compliance is a test exception.

http://udprd.bnsf.com/cgi-bin/enme/Safety/dynamic_content.cgi?FILE=Forms/Other_References/FMCSA%20Checklist.pdf

RECORDING INFORMATION

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

Note: Hours of service limitations for driving commercial motor vehicles do not apply to signal department employees. Guidelines for signal department hours of service are provided in the Signal Instruction Manual.

402 Fall Protection—Telecom Safety Essential

OBJECTIVE

This test is designed to focus on using fall arrest system and tower rescue equipment in an approved manner. Fall protection includes specific fall protection PPE and specific procedures utilizing this equipment.

APPLICABLE RULES

Engineering Instruction 1.4; MWSR S-3.2.5, S-20.10 and S-20.11; Telecommunications Policy for Fall Protection for Towers and Other Structures Used for Telecommunications.

PREPARATIONS / PROCEDURES

402-1 Mandatory Briefings and Training

- Employees must conduct a safety job briefing before starting work.
- Employees will use a copy of the “BNSF Telecommunications Safety and Job Briefing” form to summarize details and must include all personnel and work groups at the location.
- Re-briefing is required if additional personnel arrive at the job site or if conditions change.
- The work assignments for rescue and the rescue method will be established during the safety job briefing.
- All employees must attend fall protection and rescue training prior to climbing.

402-2 Inspections and Logs

- The rescue system, complete and in its storage bag, will be inventoried/inspected and available either at the base of the structure or carried aloft and tied to the tower near the work location.
- Each worker must inspect his equipment before and after each use, and record the inspection in a logbook.
- Each worker’s equipment must be inspected annually by a competent person other than the user and the inspection must be recorded in the user’s logbook.

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402-3 Procedures and Precautions

- Use personal fall arrest equipment when ascending to and descending from work locations on telecommunication towers, and when at work locations.
- Use work positioning equipment to supplement the use of fall arrest equipment when working in a stationary location on telecommunication towers. The use of work positioning equipment is not a substitute for the use of fall arrest equipment.
- Employees who perform work on towers or other structures above four feet must protect themselves.
- Rescue system components shall not be used for any other purpose.
- The fall arrest system shall be used to limit free fall distance to six feet or less.
- A screw-pin shackle or a clevis shall not be used for any portion of a fall protection system.
- Non-self locking carabineers with a threaded gate or other manual-locking gate, and non-double locking snap hooks are not allowed for any purpose and shall be removed from the property.
- When hoisting or lowering tools, steel, or any other equipment on the tower, all workers on the tower and on the ground that are not directly involved with the hoisting or lowering operation will stop work, remove themselves from the area of operation, and watch the load.
- Personnel inside a building will stop work, vacate the building, and remove themselves from the area of operation until the load is secured to the tower or is safely on the ground.
- Perform telecommunications work on the tops of locomotives where approved fall protection systems are available.

RECORDING INFORMATION

The test result is an exception when any tasks or elements noted are not done in accordance with the rules and/or Telecommunications Policy for Fall Protection.

This test is designed to require a special code to be entered that will provide specific testing information. When prompted to enter a “Rule Book Code” the code to be entered is “T”. When prompted to enter a “Rule Number”, us the appropriate code(s) that reflects the observation made based on the segment numbers (402-1, 402-2, or 402-3) under the Preparation / Procedure section above.

403 Lock Out/Tag Out—Telecom Safety Essential

OBJECTIVE

The Lock Out / Tag Out (LOTO) OPT determines the Telecom employee is in compliance with lockout/tag out requirements when inspecting, servicing, or performing maintenance activities on machinery or equipment that may unexpectedly energize, start, or release stored energy.

APPLICABLE RULES

MOW Safety Rule S-16.17 and EI 1.10

PREPARATIONS / PROCEDURES

This test may be conducted anywhere employees are observed working with equipment that has potentially hazardous energy sources. These sources may be electrical, mechanical, hydraulic, gravitational or thermal. Observe for the following:

- Hazardous Energy Control Plan (HECP) is complete, up to date, and properly.
- Proper Lock Out Tag Out Devices were properly applied.
- Lockout-capable equipment was locked out rather than tagged.
- Verification equipment was properly locked out before beginning work.
- Locked or tagged out equipment properly returned to service when work is completed.

RECORDING INFORMATION
The test is an exception when the employee is engaged in an activity that requires LOTO and they do not meet any of the requirements by the rules noted above and noted in the Preparation/Procedure for this OPT.

404 Track Occupancy—Telecom Safety Essential

OBJECTIVE
This test is conducted to determine employee compliance with track authority while occupying or fouling the track, or establishing protection as necessary.

APPLICABLE RULES
MWOR 6.2.1, 6.3.1, 6.3.2, 6.3.3, 2.14.2, 12.1.2, 12.2, 12.3 and 12.4

PREPARATION / PROCEDURE
This test / audit may be conducted anytime employees are occupying or fouling the track, or when necessary to establish protection.

RECORDING INFORMATION
The entry process prompts the supervisor to provide the rule book code (MWOR) and segment number (i.e., 404-1) to record entries for activities associated with each segment. When employee actions are not compliant with the track authority or protection rules indicated, record as an exception. Focus items include:

404-1 Main Track Authorization – MWOR 6.3.1

- Men and equipment are properly authorized when occupying or fouling a track
- The following information is properly documented when authorized to occupy or foul a track:
  - Track and Time, Track Permit and Foul Time:
    - Conditions of Authority (behind trains), when applicable
    - Name or other identification of authorized track
    - Authority limits
    - Time limits
    - Joint Status when applicable
  - Track Warrant:
    - “X” is marked in the boxes specified
    - Conditions of authority (behind trains), when applicable
    - Name or other identification of authorized track
    - Authority limits
    - Joint Status (and/or overlaps), when applicable
    - Track released (roll-ups) limits, when applicable
    - OK Time
- Track Bulletin Form B:
  - Employee obtains information concerning all Form B’s that may overlap authority prior to occupying the track
- Working Limits Form (Generally) – when working limits are required to be established within overlapping authority limits:
  - Employee in Charge is correctly identified for each set of working limits
  - Working Limits are correctly identified

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- Working Limits Form (Multiple Work Groups) – when the Working Limits Form is required of an employee who does not hold an authority, but is using another employee's authority in a "Multiple Work Group Using the Same Authority" situation:
  - Employee in Charge is correctly identified for each set of working limits
  - Working Limits are correctly identified
  - "At" time is recorded
  - Clear Time is recorded
- Multiple Work Groups Using the Same Authority Form – (EIC of the authority):
  - Authority Number is correctly identified
  - Working Limits are correctly identified
  - Time Acknowledgement received recorded
  - Time Authority Limits cleared recorded

404-2 Protection on other than Main Track – MWOR 6.3.2

- Roadway workers have properly established working limits on other than a main track, controlled siding, or any track where a block signal system in effect using one or a combination of the methods.

404-3 Visual Detection of Trains – MWOR 6.3.3

- Employee using visual detection is being utilized has properly completed the Statement of On-Track Safety and/or the requirements of MWOR 6.3.3 have been met.

404-4 Adjacent Track Operations – MWOR 12.1.2, 12.2, 12.3 and 12.4

- Adjacent controlled track protection is established when necessary
- Work and machine operations cease work when a train or on-track equipment is passing the work location as required
- Roadway workers do not occupy the space between a controlled track and another track with track centers of 19 feet or less while a train is passing on the controlled track
- The Sub-Group Coordinator Notification form is used as required to ensure that all employees have been notified of an approaching train

404-5 Authority behind Trains – MWOR 6.2.1

- Employee authorized behind a train(s) does not occupy or foul the track, or use the authority as a method of protection before 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 issued authority voiding a previous authority and identifying additional train(s) to be followed stops movement until direct radio contact is established to ascertain the train's identity and location of the additional train(s).

404-6 Before Reporting Clear of Authority Limits – MWOR 2.14.2

- Employee reporting clear of authority establishes that all employees and any multiple work groups are clear of track(s);
- Employee reporting clear of authority informs the dispatcher / control operator that all employees and any multiple work groups are clear of track(s).

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405 Boom Equipped Vehicles and Equipment—Telecom Safety Essential

OBJECTIVE
This test determines employee compliance with rules, instructions and procedures for Boom Equipped Vehicles and Equipment.

APPLICABLE RULES
MWSR 17.2.3, 17.2.5 and 17.2.6; and ENGI 15.4

PREPARATIONS / PROCEDURES
This test may be conducted any time employees are required to use boom equipped vehicles.

Outriggers must be used on vehicles so equipped as specified by manufacturer's instructions. Only employees so qualified may operate vehicles equipped with specialized equipment such as outriggers. Employees must ensure that outriggers are in place as specified by the manufacturer of the vehicle. Loads must not be lifted or carried when they exceed weight specified in the load chart.

RECORDING INFORMATION
This test is an exception when the employee does not follow the rules, instructions or procedures for Boom Equipped Vehicles and Equipment. Focus items may include:

- Outriggers are not used as required by BNSF or in accordance with the manufacturers written instructions per 17.2.3 (segment 405-1)
- Power line clearance are not maintained as required per 17.2.5 (segment 405-2)
- Loads are moved before all people are clear or loads are moved over people or occupied equipment per 17.2.6 (segment 405-3)
- Steering wheel covers are not in place as required per 15.4 (segment 405-4)

The entry process will prompt the supervisor to provide the rule book code (MWSR or ENGI) and segment number (405-1, 405-2, 405-3 or 405-4).

406 Vehicle / On-Track Equipment Operation—Telecom Safety Essential

OBJECTIVE
This test is conducted to determine that employees are in compliance with rules regarding the following:

- Protecting Leading End of On-Track Movements
- Stop Equipment
- On-track Equipment Approaching Crossings
- Maintaining Safe Braking Distance
- Seat Belts

APPLICABLE RULES
MWOR 6.5, 6.50, 6.50.2, 6.51; MWSR S-12.5, S-14.1.2

PREPARATION / PROCEDURE
406-1 Protecting Leading End of On-Track Movements (MWOR 6.5)—This test may be conducted on any track when view is restricted in the direction of movement and the on-track equipment operator is unable to determine movement can be made safely (e.g. while backing, shoving, etc.), requiring an employee to take an easily seen position on the leading end of the movement or be ahead of the movement to provide protection.

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406-2 Stop Equipment (MWOR 6.50)—This test may be conducted on any track at any time by displaying a stop signal (e.g. Stop Obstruction Banner, red flag, flagman, etc.) requiring the on-track equipment to stop. To ensure movement is being made in such a manner to stop within half the range of vision, stop signal should be placed in a location of limited visibility. When stopping equipment, consideration must be given to situations of multiple units traveling in a group to avoid compromising the safety of following equipment.

406-3 On-track Equipment Approaching Crossings (MWOR 6.50.2)—This test may be conducted on any track when on-track equipment is approaching a road crossing. Arrange to position, or observe vehicular traffic at the road crossing. Verify on-track equipment approaches the road crossing prepared to stop and yields to vehicular traffic at the road crossing. Consideration must be given to situations of multiple units traveling in a group to avoid compromising the safety of following equipment. Do not use a Stop Obstruction Banner in the performance of this test.

406-4 Maintaining Safe Braking Distance (MWOR 6.51)—This test may be conducted on any track where multiple on-track equipment units are working or traveling to determine sufficient separation is maintained between the equipment to provide for safe braking distance.

406-5 Seat Belts (MW 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 when required; on or off track the rail.

RECORDING INFORMATION

The test is an exception when the employee does not follow the rules for vehicle or on-track equipment. The supervisor enters the rule book code ('MWOR' or 'MWSR') and then the appropriate segment number (406-1 through 406-5). Focus items may include:

406-1 Protecting Leading End of On-Track Movements (MWOR 6.5)

- Job briefing is not completed to ensure a clear understanding of the hand signals, or the directions to be used as forward or backward movement of the on-track equipment when using radio communications
- Equipment operator moves the equipment prior to knowing who is protecting the movement and how protection will be provided
- Equipment operator does not immediately stop the movement if the employee providing signals or the light being used for signals disappears from view
- Equipment operator does not respond to specific radio instructions given for each Movement
- Equipment operator does not acknowledge radio communications when distance specified is more than 300 feet
- Equipment operator does not stop movement within half the distance specified by radio unless additional instructions are received
- Employee providing radio communications does not specify the direction and distance
- Employee while providing protection, engages in a task unrelated to the movement
- Employee providing protection does not ensure the following prior to initiating movement of the equipment:
  - Switches are properly lined and derails are properly positioned for the intended movement
  - No hazards or obstructions exist that will affect safety of the movement

406-2 Stop Equipment (MWOR 6.50)

On-track equipment operator fails to stop before contacting the 'Stop Obstruction' banner, or fails to stop at the required location.

406-3 On-track Equipment Approaching Crossings (MWOR 6.50.2)

On-track equipment operator fails to yield for vehicular traffic at the road crossing.

406-4 Maintaining Safe Braking Distance (MWOR 6.51)

- On-track equipment operator fails to signal following equipment using radio or hand signals when slowing or stopping
- On-track equipment in the "travel mode" is spaced less than 300 feet apart, except when necessary for movement over road crossings
- On-track equipment in the "work mode" is spaced less than 50 feet apart, except when a shorter distance is necessary and established by job briefing
- On-track equipment is spaced less than 50 feet apart when moving over crossings

The on-track equipment operator does not:

- Dismount machine and provide hand signals to following equipment during bunching operations
- Ascertain if a back-up alarm has sounded, and/or an appropriate whistle/horn signal has been sounded prior to backing the equipment
- Ascertain that the track is clear of men or equipment prior to backing

406-5 Seat Belts (MW S-12.5 and S-14.1.2)

Employees operating or riding in equipped vehicles or equipment are observed not wearing their seat belts either on or off the track, except when the seat belt is temporarily removed to stand for viewing purposes or when seated in the upper rotating structure of cranes as provided by rule.

407 Electronic Devices – Telecom Safety Essential

OBJECTIVE

This test determines Telecom employee compliance with electronic device use.

APPLICABLE RULE

MWOR 1.10

PREPARATION / PROCEDURE

Observe electronic device use is permitted by the applicable rule. Supervisors are prohibited from calling or text messaging an electronic device to determine compliance. Areas of focus include:

Employees may not use cellular telephones for voice communications, emailing, performing any electronic text retrieval or entry, etc. when:

- On the ground, within four feet of the nearest rail of a track.
- On, under, or while involved with the operation or movement of equipment or machinery (e.g. cranes, loaders, forklifts, etc.).
- Occupying the control compartment of on-track equipment (including hy-rails) in motion.

While driving vehicles (off rail) employees may use electronic device in hands-free mode only, complying with local, state or federal laws as applicable. However, employees must not:

- Manually enter or read text from cellular or mobile telephones, or similar hand-held electronic devices
- Dial or answer cellular or mobile telephones by pressing more than a single button when operating a commercial motor vehicle.

RECORDING INFORMATION

Record a passing entry when the applicable rule requirements are met. Record an exception when any part of the applicable rule regarding electronic device use is not followed.

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410 Material and Equipment—Telecom

OBJECTIVE
This OPT determines the Telecom employee is following the proper methods in managing material and equipment.

APPLICABLE RULES
MW Safety Rules S–11, 11.1, 11.2, 11.3, 11.4, 11.5, 11.7

PREPARATIONS / PROCEDURES
This test can be conducted anywhere employees are observed handling material or equipment. The employee should be observed for the following:

- Proper lifting techniques and ensure material is stacked correctly.
  - the use of applicable lifting devices and PPE when necessary.
- Material stored so that it does not block fire exists, sprinklers, extinguishers or emergency medical equipment.
- The storage facility will have adequate clearance in the aisles and will be free of tripping, fire and pest hazards.
- When using power vehicles to handle material the vehicles will be in good working order, driven at safe speeds and operated by trained and authorized personnel.

RECORDING INFORMATION
The test is an exception when any of the proper material and equipment handling does not meet the requirements in the rule as mentioned in the Preparation/Procedure section of this OPT.

411 Vehicle Operations—Telecom

OBJECTIVE
This test is conducted to determine the employee operates motorized vehicles in accordance with identified rules.

APPLICABLE RULES
MWSR S-8.3.2, S-11.8.2, S-11.8.3, S-11.9.1 through S-11.9.9, S-12.1.1, S-12.2, S-12.4, S-12.6, S-12.8, S-12.9.1, S-13.1.3, Telecom Traffic Cone Instructions

PREPARATION / PROCEDURE
This test can be conducted any time employees are operating motor vehicles and identified rules apply some examples are:

- Stopping for flares and/or flashing lights in Intermodal facilities
- Forklift operation
- Backing motor vehicles
- Operation of all-terrain vehicles and utility vehicles
- Parking and use of traffic cones

Use the following test segment codes to record observations for the listed rules:

411-1 Vehicle Operations (rules S-8.3.2 or S-12.1.1)

411-2 Fork Lift Operations (rules S-11.8.2, S-11.803, S-11.9.1, S-11.9.5, and S-11.9.6)

411-3 Backing (rule S-11.9.3, S-12.8)

411-4 Fouling Tracks or Roadways (rule S-12.9.1, S-13.1.3)

411-5 All Terrain Vehicles (ATVs) and Utility Vehicles (rules S-12.2, S-12.4)

411-6 Parking – Use of traffic cones (rule Traffic Cone Instructions)

RECORDING INFORMATION
This test is an exception when the employee did not comply with the identified rule or instruction during the operation of a vehicle. The entry process will prompt the supervisor to provide a rule book code (use ‘MWSR’) and then the appropriate segment.

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412 PPE—Telecom

OBJECTIVE
This test determines employee compliance with the rules for Personal Protective Equipment and clothing (PPE) requirements.

APPLICABLE RULES
MWSR S-21.1A through and including S-21.8B

PREPARATIONS / PROCEDURES
The supervisor determines the PPE required for a given task / exposure specific to a work activity the employee is required to use by referencing the appropriate rule and chart(s) under S-21. PPE requirements included in this test are:

- Personal Protective Equipment:
  - Requirements (S-21.1A)
  - Off-the-Job-Use (S-21.1B)
  - Additional PPE (S-21.1C)
  - PPE Exceptions (S-21.1D)
- Safety Eyewear:
  - Requirements for Safety Eyewear (S-21.2A)
  - Eye and Face Protection for Equipment and Machinery (S-21.2B)
  - Use of Goggles (S-21.2C)
- Hard Hat:
  - Requirements (S-21.3A)
  - Exceptions (S-21.3B)
- Hand Protection:
  - Required (S-21.4A)
  - Exceptions (S-21.4B)
  - Insulating gloves (S-21.4C)
  - Sharpening chain saw blades (S-21.4D)
  - High-voltage protective gloves (S-21.4E)
- Enhanced Visibility Work Wear:
  - Requirements (S-21.5A)
  - Exceptions (S-21.5B)
- Hearing protection:
  - Required (S-21.6A)
  - During Hot Work (S-21.6B)
  - During Energized Electrical Work (S-21.6C)
  - Exceptions (S-21.6D)
- Safety Footwear
  - Safety Boots (S-21.7A)
  - Anti-Slip Winter Footwear (S-21.7B)
- Respirator Selection and Use:
  - Selection and use (S-21.8)
  - Respiratory Protection Program (S-21.8A)
  - Voluntary Respirator Use (S-21.8B)

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.

When prompted use the rule book code ‘MWSR’, then the OPT test number ‘412’ for the rule / segment number to enter a passing test entry. If entering an exception again use the rule book code ‘MWSR’ then the appropriate rule number reference listed.

Note: Fall Protection PPE requirements are recorded under OPT 402

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601 Speed Requirements

OBJECTIVE

This test is conducted to determine employee compliance with rules relating to speed when operating and / or responsible for train or engine movement.

APPLICABLE RULES

All speed related rules including: GCOR 6.31, 6.31.1, SSI and / or division timetable instruction # 1 (A, B, C, D)

PREPARATION / PROCEDURE

This test may be conducted in the field or by reviewing historical data using technology based methods. The supervisor must determine the maximum allowable speed for a given location being sure to confirm any speed restriction that may exist.

A supervisor may use a radar gun during field observations. If the observed speed exceeds the allowable speed for the given location the supervisor may confirm the identified field exception by requesting confirmation from another supervisor qualified to review technology based resources (event recorder downloads, etc.).

A field observation where the train or engine's speed is in excess of 10 mph above the maximum allowable speed require immediate contact with the territory's designated RFE and / or the division's SOP because of the potential de-certification issue, pending validation of the field observation. This additional contact is in addition to notifying the territory's Superintendent and the chief dispatcher.

A supervisor that has been authorized (by the division SOP or Operating Practices group) may set up a simulated speed restriction test (verbal Form 'A' Speed Restriction with no flags displayed) after agreement and briefing with the chief dispatcher for a given location. The chief will communicate directly with the dispatcher to issue the restriction to specific train(s).

Supervisors are not to contact the dispatcher directly seeking to issue a simulated speed restriction.

Flags will not be displayed for the simulated Form 'A' Speed Restriction. Transportation supervisors are not authorized to set up flags for the purpose of creating a speed restriction test.

RECORDING INFORMATION

Enter an exception when the employee(s) operating or responsible for train or engine movement substantially or frequently exceeds the allowable speed for a given location.

The entry process will prompt the supervisor to provide the rule book code and selecting the applicable speed check condition below:

- Temporary
- Permanent

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602 Securement Requirements

OBJECTIVE

This test is conducted to determine employee compliance with rules relating to the securement of trains, cars, locomotives or equipment left unattended.

APPLICABLE RULES

GCOR 7.6; ABTH 102.1, 102.1.1, 102.1.2, 102.3, 104.14; SSI 37, MWOR 7.6; MESR S-10.9

PREPARATION / PROCEDURE

602-1 Securement Requirements

Crew members conduct a job briefing regarding securement of cars or engines.

Cars or equipment left unattended

- A sufficient number of hand brakes are applied
- The angle cock is open on portion of train or cars not attached to locomotives

Cars with locomotives attached or unattended locomotives:

- Hand brakes have been applied on all locomotives (head end consist only) in addition to cars as required
- Controlling locomotive automatic brake valve has a 20 PSI reduction and independent brake is cut-in and fully applied
- Controlling locomotive generator field is switched “off” and isolation switch is in “isolate”

602-2 Reverser Removal / Cab Door Locks

Reverser is removed and / or locomotive cab door is locked (if required).

602-3 Securement Briefing, Key Trains / Key Train Equivalent Commodities

Briefing requirements are met for key trains or cars meeting the key train definition:

- Train dispatcher grants permission to leave train or cars on main track or siding
- Job briefing between crew members review all applicable securement requirements
- Securement briefing between crew member and train dispatcher must include:
  - Tonnage and length of train or the total number of cars
  - Grade of track at the location (as indicated by timetable chart)
  - Whether the secured equipment is located on curve or straight track
  - Any inclement weather conditions at the location the equipment is secured
  - Total number of hand brakes applied
  - Confirmation the train or car(s) are secure
  - Communication includes the statement “Conductor and engineer agree securement requirements have been met”
  - Train dispatcher blocks control machine (when required) and completes required documentation

RECORDING INFORMATION

The test is an exception when the employee does not meet the securement requirements as required by rule. Use the letter ‘X’ for the rule book code and the appropriate segment number for each observation.

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603 Radio Usage

OBJECTIVE

The Radio Usage Test determines that employees practice proper radio procedures.

APPLICABLE RULES

All radio related rules not included in other operations tests.

PREPARATIONS / PROCEDURES

This test can be conducted anytime employees are using radio communications, and 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

The test is an exception when the employee’s radio communication does not meet rule requirements.

When prompted to enter a “Rule Book Code” enter a “G” for GCOR, “M” for MWOR, or “S” for Mechanical Safety Rules depending on the employee’s craft.

When prompted to enter a “Rule Number” a supervisor may enter or choose any one of the following choices:

603-1 Use this segment for one or more radio rule for a ‘passing’ observation

603-2 TY&E employees only: when another word is used other than ‘STOP’ to instruct the employee at the controls of the locomotive during shove movements

Specific rule number (for example 2.2 for GCOR or MWOR; or 23.2 for Mechanical Safety Rules). Use this method when there is an identified ‘exception’. Select the specific rule number using the menu choice (F1 key) or enter the rule number desired.

605 Utility Employee

OBJECTIVE

This test determines that the proper communications and notification are made to ensure the safety of the utility employee.

APPLICABLE RULES

GCOR 5.13.1

PREPARATIONS / PROCEDURES

Confirm one or more of the following:

- Train or yard crew is assigned a locomotive controlled by crew’s engineer.
- Utility employee used direct verbal contact or radio communication to establish communications with the designated crew member before beginning work with crew.
- Designated crew member informs all other crew members, receives acknowledgments from crew, and informs utility employee that he/she is authorized to work.
- When utility employee is attached to the crew, the engineer is in the cab of the assigned locomotive (if the locomotive is stationary, the engineer may be replaced by another member of the same crew).
- Communications are maintained so that crew understands the work to be done and whether any crew member is on, under or between rolling equipment.
- Utility employee advises designated crew member that he/she has ceased work with the crew and is no longer on, under or between rolling equipment.
- Designated crew member then notifies crew, receives acknowledgments and releases the utility employee.

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RECORDING INFORMATION
The test is an exception when employees do not perform all of the requirements contained in Rule 5.13.1.

606 ETD

OBJECTIVE
The ETD test assesses proper compliance with various rules that require capability of emergency application of the brakes from the rear of the train by:

- ETD/HTD properly installed.
- ETD/HTD properly armed.
- Alternate means of rear-end induced emergency where required by ABTH, when two-way not armed) such as, rear end helper, remote consist, occupied caboose or other occupied car on rear of train.

APPLICABLE RULES
GCOR 5.10; ABTH 102.13, 102.13.1, 102.13.3, 102.13.4, 102.13.5, 102.14, 105.7.3.

PREPARATIONS / PROCEDURES
Arrange to be present at a location where two-way ETD/HTDs are installed. Confirm proper installation and testing of the device, including the emergency brake application test, or or check a stopped train which is required to have the capability of emergency braking from the rear end.

Determine that they have:

- A two-way ETD/HTD properly installed and armed,

  or

- Capability of causing an emergency application of the train brakes by an alternate means as prescribed by ABTH 102.14.

RECORDING INFORMATION
This test is an exception when a train which is required to have the capability to induce an emergency brake application from the rear end is not properly equipped and/or does not have the two-way ETD armed or exceeds 30 MPH when train can proceed.

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607 Signal Awareness/Position Of Switch Form

OBJECTIVE

The Signal Awareness/Position of Switch Form Test determines that crew members are in compliance with the requirements as outlined in System Special Instructions.

APPLICABLE RULES

- System Special Instructions.
- Signal Awareness/Position of Switch.
- Division instructions relating to completion and filing of the form(s).

PREPARATIONS / PROCEDURES

Ensure that the form is properly completed as required by System Special Instructions.

Anytime a train is boarded by the testing manager, a review of the Signal Awareness / Position of Switch form may be conducted validating proper completion as defined by System Special Instructions. This test may also be performed by auditing completed forms after they have been filed.

In addition, this test may be performed by use of event recorder data or Traffic Management Systems to determine that the form is complete and consistent with actual train event data.

In non-signaled or Double Track ABS territory (except in restricted limits and yard limits), the testing manager must ensure the following:

- Crew member records the name, location and time/initials of all hand operated main track switches, switch point locks and derails used as soon as practical after the initial use.
- Crew member records time/initials all hand operated switches, switch point locks and derails are finally restored to the normal position after work activity at that switch/derail is complete.
- Ensure that the conductor and engineer have initialed each entry on the form prior to departing the location.
- Ensure the form is complete and signed by the conductor when the form is turned in.
- If radio becomes inoperable, confirm that the required notation is made on the form.

RECORDING INFORMATION

This test is an exception when any of the following are noted:

Employees in the cab of the lead or controlling locomotive fail to have Signal Awareness/Position of Switch form completed as required by System Special Instructions.

Employees fail to submit an accurate completed Signal Awareness/Position of Switch form as required by division instructions.

In non-signaled or Double Track ABS territory (except in restricted limits and yard limits) any of the following did not occur:

- A crew member fails to record the name, location and time /initials of all hand operated main track switches, switch point locks, and derails as soon as practical after initially used.
- A crew member fails to record the time/initials of all hand operated main track switches, switch point locks, and derails are finally restored to the normal position after work activity at that switch / derail is complete.
- The completed Signal Awareness/Position of Switch form does not include the initials of the conductor and engineer in the proper location prior to train departure.
- The conductor’s signature is not on the form when turned in at the end of tour of duty.

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608 Void Directives

OBJECTIVE
Verify voided mandatory directives are marked “VOID”.

APPLICABLE RULES
GCOR 6.11

PREPARATIONS / PROCEDURES
Review a mandatory directive document to ensure “VOID” is written on the form when:

- Employee reports clear of authority limits, or
- Mandatory directive is made void

RECORDING INFORMATION
The word “VOID” is not written across the voided portion of each copy of the mandatory directive when reported clear or made void.

609 Whistle Signal/Grade Crossing

OBJECTIVE
The Grade Crossing Approach Test verifies that train crews observe all whistle requirements approaching all road crossings equipped with whistle posts.

APPLICABLE RULES
GCOR 5.8.2, SSI 14 (Supplement to GCOR 5.8.2) and applicable Subdivision General Order (or Notice)

PREPARATIONS / PROCEDURES
This test can be conducted at any road crossing equipped with whistle posts.

609-1 Verify that the lead locomotive traveling in excess of 45 MPH starts whistle signal (7) at the whistle post, but not more than 1/4 mile before the crossing. The test is an exception: If the whistle signal does not commence at the whistle post, but not more than 1/4 mile before the crossing.

609-2 Verify that the lead locomotive traveling at 45 MPH or less sounds whistle signal (7) at least 15 seconds, but not more than 20 seconds before the lead locomotive enters the crossing. The test is an exception: If the whistle signal is not sounded at least 15 seconds, but not more than 20 seconds before entering the crossing.

609-3 Verify that the lead locomotive is stopped less than 1/4 mile from the crossing. Verify that whistle signal (7) is sounded at least 15 seconds before the lead locomotive enters the crossing if traffic is approaching or stopped at the crossing or if the gates are not fully lowered.

Note: This may require the whistle to be sounded before actual movement of the lead locomotive. The test is an exception: If the whistle signal is not sounded at least 15 seconds before entering the crossing if traffic is approaching or stopped at the crossing or if the gates are not fully lowered.

609-4 Verify that whistle signal (7) is distinctly sounded as two long, one short and one long. The test is an exception: If whistle signal pattern of two long, one short and one long is not sounded.

609-5 Verify that whistle signal (7) is prolonged or repeated from the time the whistle is required to be initiated until the lead locomotive passes through the crossing. The test is an exception: If the whistle signal is not sounded until the lead locomotive passes through the crossing.

Note: For 609-1 through 609-5; in addition to the locomotive engineer, other crew members present in the cab of the locomotive should be failed only when the noted exception has occurred at multiple crossings.

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609-6 If the crew fails to sound any form of a whistle signal at a road crossing where the whistle signal is required to be sounded. Other crew members should also be failed when present in the cab of the locomotive.

Note: The term “lead locomotive” used above includes the following lead locomotive of a train, lite locomotive consist, individual locomotive or lead cab car.

Certain states may have different whistle requirements for private crossings.

At slow speeds, whistle signal (7) should be repeated rather than using long sounds.

609-7 Verify that no whistle signal is sounded at crossings that are established Quiet Zone locations.

Event recorder data may be used to determine compliance with the requirements of this test. Up to three events may be entered from one event recorder tape. Record the actual date, time location and outcome for each event separately.

RECORDING INFORMATION

This test has been designed to require a special code to be entered that will provide specific testing information. When prompted to enter a “Rule Book Code” the code to be entered is “G”. When prompted to enter a “Rule Number”, use the appropriate code above that reflects your observation.

If an Amtrak train operating over BNSF territory is involved in an alleged exception to properly sound the engine whistle, contact the Passenger Operations Team at (817) 234-7332 or 800-871-0902 who will handle with Amtrak CNOC and appropriate Amtrak Division Officers.

610 Horsepower Compliance

OBJECTIVE

The Horsepower Compliance test determines ensures compliance with BNSF fuel conservation policy regarding isolating horsepower.

APPLICABLE RULES

ABTH 106.1

PREPARATIONS / PROCEDURES

1. Verify that crew isolates horsepower in excess of scheduled HPT as displayed on the train profile and/or train list, unless isolating excess horsepower would cause train to fall more than .5 HPT below scheduled HPT. “Z, Q or P” trains must isolate as close to but not below scheduled HPT.
2. Verify that crew isolates excess horsepower when advised of trains scheduled HPT by the train dispatcher as above.
3. Verify that empty unit coal, taconite, grain and potash trains operate with not more than 9000 horsepower on-line.

Exception: Empty coal trains on the Black Hills, Butte, Canyon, Dalhart, Orin, and Galveston Subdivisions may operate with a maximum of 12,000 horsepower.

Event recorder data may be used to determine if locomotives are isolated.

RECORDING INFORMATION

The test is an exception when crew fails to isolate excess locomotives, except when relieved by train dispatcher.

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611 Locomotive Shutdown

OBJECTIVE

This test is conducted to determine employee compliance with rules related to Fuel Conservation.

APPLICABLE RULES

ABTH 106.3 and 106.4

PREPARATIONS / PROCEDURES

Supervisors conducting this test will verify the employee(s) responsible shuts down locomotive(s) when a locomotive will not be used within one hour and the ambient temperature is 40 degrees F or above.

A lead locomotive is not required to be shut down if it is maintaining a train's air brake system, to prevent delay of Initial Terminal air tests, or for employee comfort considerations in the cab.

Locomotives should not be shut down when train dispatcher or supervisor instructs the employee or crew that locomotives will be used within one hour.

RECORDING INFORMATION

The test is an exception when the employee(s) do not follow the rules for locomotive shutdown. Focus items may include:

611-1 General Shutdown considerations

- Locomotive(s) left idling more than one hour when not in use
- Locomotive(s) improperly shut down (i.e. when switches have been left 'On' that would drain batteries and prevent starting)

611-2 AESS / Smart Start locomotives

- Locomotive(s) equipped with AESS / Smart Start system are shut down unnecessarily (such as tagged defective, maintenance issues, etc.)

The entry process will prompt the supervisor to provide the rule book code (ABTH) and the segment number (611-1 or 611-2).

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613 Clear Of Limits—Non-Signaled/DT-ABS

OBJECTIVE

This test is designed to determine that a train crew, without a crew member at the rear of the train operating in non-signaled or double track ABS territory, has validated that the entire train is intact and properly reported all required information to the train dispatcher as outlined by the rules.

APPLICABLE RULES

GCOR 8.3, 9.15.2, 14.7, and 14.10, SSI 14 (GCOR 14.7 Supplemental Instructions - Reporting Clear / Releasing Track Warrants).

PREPARATIONS / PROCEDURES

Ascertain that the train crew has properly reported that their train is in the clear or has properly reported that the train has passed a specific location and has reported that all hand operated main track switches operated are in the normal position and locked unless relieved by track warrant/permit.

The testing manager should ascertain that the rear of the train has a rear-end telemetry device, and air pressure on the head-end device indicates brake pipe continuity, when reporting clear of the limits or when reporting having passed a specific location determine train is complete by one of the following ways:

When train does not have an operative rear-end telemetry device: If an employee, other than crew member, reports to the train crew that the train is in the clear or reports to the crew that the train has passed a specific location, ascertain that the employee has verified that the marker is on the rear of the train.

Ascertain that a crew member can observe the rear car of the train on which the marker is placed.

If the train is stopped to determine that the train is in the clear or reporting having passed a specific location, ascertain that a crew member has verified that the marker is on the rear car of the train.

Ascertain that a trackside warning detector transmits an axle count for the train, and the axle count duplicates the axle count transmitted by the previous trackside warning detector when reporting clear of limits or when reporting having passed a specific location.

Note: Train crew may only report clear to last detector location.)

Main track switches are lined and locked in normal position, before crew member reports clear of the limits unless relieved by track warrant.

Employee reporting clear of track warrant/permit authority must state name or other identification, track warrant/ permit number being released, and limits being released.

Employee must state position of main track switches when reporting clear of track warrant/permit, the track warrant/permit is made void or a portion of the track warrant is released.

In non-signaled and double track ABS territory, when reporting clear of a track warrant, employee must state the Position of Switch Form has been properly completed.

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RECORDING INFORMATION

The test is an exception (613-1) when crew reports clear of the limits or reports having passed a specific location without brake pipe continuity on the head end device and does not determine train is complete by one of the following ways:

- An employee informs the crew that the train is clear of the limits or has passed a specific location and did not verify that the marker is on the rear of the train.
- A crew member cannot observe the rear car of the train on which the marker is placed.
- The train was stopped and a crew member did not verify that the marker was on the rear car of the train.
- The trackside warning transmitted an axle count for the train, and the axle count did not duplicate the axle count from the previous trackside warning detector.

The test is an exception (613-2) when either of the following did not take place:

- A crew member did not state their name or other identification, track warrant/permit number being released or limits being released.
- A crew member did not job brief with the train dispatcher that all hand operated main track switches used by his or her crew are lined and locked within the limits being released, referencing the completion of the Position of Switch form or stating no entries required.

The test is an exception (613-3) when a crew member did not line the main track switches to normal position before reporting clear of the limits unless relieved by track warrant.

This test has been designed to require a special code to be entered that will provide specific testing information. When prompted to enter a “Rule Book Code” the code to be entered is “G”. When prompted to enter a “Rule Number”, use one of the following codes based on your testing situation:

- Determine that the entire train is intact, use code 613-1.
- Provide all required verbal information when releasing track warrant/permit authority use code 613-2.
- Restore main track switches to normal position use code 613-3.

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614 Mandatory Directives—TY&E

OBJECTIVE

This test is designed to determine that employees have copied, repeated, and reported clear of mandatory directives.

APPLICABLE RULES

GCOR 2.14, 2.14.1, 2.14.2, 6.1, 6.11, 9.15, 10.3, 14.9, 15.7

PREPARATIONS / PROCEDURES

This test should be conducted when mandatory directives are either transmitted or released by radio.

Monitor audio communications or historical voice recordings following the process for transmitting and repeating mandatory directives. Verify that employee copying informs dispatcher when ready to copy and states their name, title and location. Verify that the dispatcher / control operator and field employee have transmitted and repeated each item on the mandatory directive correctly.

- Directions—(North, East, West, South) must be pronounced, then spelled.
- Numbers— if the figure has more than one number, state the number in words then state each figure.
- When the figure has only one number, state the number then spell the word.

The testing supervisor should verify by visual inspection that the mandatory directive was copied correctly, on the proper form, using the correct format and that the proper number of copies were made.

Monitor audio communications or historical voice recordings following the process for reporting clear of authority ensuring the following takes place:

- A clear understanding of the authority being reported clear must be briefed between the field employee and train dispatcher / control operator.
- The train dispatcher / control operator and field employee must carefully match verbally transmitted information against the authority form to ensure the information matches and is correct.

RECORDING INFORMATION

The test is an exception when:

- Name, title and location of copying employee is not given before mandatory directive is issued.
- Mandatory directive is transmitted before the copying employee indicates they are ready to copy.
- Field employee does not indicate they are ready to copy.
- Any written authority does not match the issued wording.
- Any of these directives are not written on the proper form or copies required by rule have not been made.
- Transmission or repetition of directions and numbers are incorrect.
- When required the “OK” time and dispatcher / control operator’s initials are missing.
- The field copy of the mandatory directive is filled out in advance of actual radio transmission.
- The name of copying employee when required is missing from the document.

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615 Block Signal—Approach Aspects

OBJECTIVE

The Block Signal – Approach Aspects Test determines that proper speed requirements are complied with whenever a train encounters any one of the approach aspect signals. The test applies to crew members riding in the lead unit.

APPLICABLE RULES

Signal Rules 9.1.6, 9.1.7, 9.1.8, 9.1.10, 9.1.11, 9.1.12; GCOR 9.8

PREPARATIONS / PROCEDURES

This test may be conducted without special assistance from the train dispatcher or control operator in locations where a train has passed one of the signals listed above. Specific monitoring of event recorder used in comparison with the signal awareness form may also be used to determine compliance with the conditions for this test.

This test may be conducted in conjunction with a stop test but is not considered an automatic test event with these tests unless tested according to the procedure below.

After the necessary preparations have been made:

1. Observe and confirm signal indications before beginning test.
2. Signal indication in advance of signal being tested must be verified and confirmed.
3. Determine speed is in compliance at the signal being tested using radar gun or event recorder analysis in comparison of signal awareness form.

Take into consideration signal in advance and next governing signal (GCOR 9.8) may affect speed.

RECORDING INFORMATION

The test is an exception when crew fails to comply with proper speed requirements in accordance with signal indication or increases speed above 30 MPH before leading wheels pass the next governing signal while operating under 9.1.8 or 9.1.12.

616 Operating Hand Brakes

OBJECTIVE

This test determines that employees operate hand brakes properly.

APPLICABLE RULES

Safety Rules S-13.6.1 and S-13.6.3 through 13.6.8

PREPARATIONS / PROCEDURES

This test can be conducted any time employees are engaged in the activity of applying or releasing hand brakes on cars or locomotives.

RECORDING INFORMATION

The test is an exception any time an employee is observed operating a hand brake in a fashion inconsistent with existing rules. Pay particular attention to ensure:

- Feet are not used to manipulate hand brakes except to manipulate the pawl on horizontal wheel (staff) brakes.
- Feet are not placed on any moveable part of the car such as uncoupling levers or sliding sills.
- Employees do not reach through the wheel spokes to position the release lever or pawl.
- Steady pressure is used when applying hand brakes and the employee does not jerk the lever or wheel.
- The employee keeps their hands and clothing clear if the hand brake is of a design that allows the brake wheel to spin when releasing.
- Employee only operates the handbrake from the ground as prescribed by existing rules.

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617 Operating Switches and Derails

OBJECTIVE

This test is conducted to determine employee compliance with rules related to operating switches and derails.

APPLICABLE RULES

GCOR and MWOR 8.2, 8.3, 8.8, 8.12, 8.20; GCOR 14.10; SSI #43; TY&E (TYSR), Maintenance of Way (MWSR), Mechanical (MESR) and Employee (EMSR) for Safety Rules: S-13.7, S-13.7.1, S-13.7.2, S-13.7.3, S-13.7.4; MESR, EMSR S-13.7.6 and S-13.7.7

PREPARATIONS / PROCEDURES

This test can be conducted any time an employee is engaged in the activity of operating a switch or derail. Areas of focus include:

617-1 Operating the Switch or Derail

The employee stops equipment:
- Before fouling the adjacent track until the hand-operated switch is properly lined for the movement
- At least 50 feet from the switch to be lined when possible
- At least 100 feet from the derail (except in engine servicing areas)

The employee before operating the switch or derail:
- Looks in both directions for approaching equipment
- Insures equipment is not damaged, locked or spiked
- Views that switch points are free of ice, snow or other material and does not use their hand or foot to remove foreign material

The employee while operating a switch or derail:
- Is alert and exercises caution for a potentially sudden release of energy due to a switch that may be under compression, etc.
- Uses good ergonomics and lifting practices
- Maintains balance and control with slow and even effort
- Repositions as needed to maintain balance and control

The employee ensures that the switch is:
- Locked, hooked, or latched if so equipped when not in use
- Latched or secured by placing the lock or hook in the hasp before making movement over the switch in either direction
- Locked when making train movements in facing point direction when equipped with a lock

The employee ensures that the derail is:
- Placed in non-derailing position to permit movement
- Left in the derailing position regardless of whether cars are on the track they are protecting on auxiliary tracks other than sidings
- Locked in non-derailing position on sidings having hand-thrown derails except when engines or cars are left unattended
- Secured with lock (or hook in in hasp) when so equipped

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617-2 Verbal job Briefing after operation of a hand operated main track switch in nonsignaled or DT- ABS (excluding Restricted or Yard Limits)

Monitor radio communications where a hand operated main track switch is operated in nonsignaled or DT-ABS (outside of RL or YL) territory that all TY&E crew members conduct a verbal job briefing to confirm the position of the switch.

The employee after lining the main track switch provides the required briefing information by radio to the engineer as follows:

"(Crew member title and name) has lined (switch at MP location or name of switch and station name) to the (normal / reverse) position."

The employee is physically at the switch location while providing this switch briefing.

Before movement occurs the engineer responds as follows:

"Engineer (name) understands (employee title and name) has lined (switch at MP location or name of switch and station name) to the (normal/reverse) position."

617-3 Crossover Switches

The employee:
- Lines both switches of a crossover before movement begins over the switch and through the crossover
- Leaves the crossover switches lined in the normal position except when in use or to provide protection
- Leaves the crossover switches not connected to a main track or siding in a corresponding position

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 (617-1, 617-2 or 617-3).

618 Initial Terminal and Road Air Brake Test (Class 1)

OBJECTIVE

The Initial Terminal Air Brake Test and Freight Car Safety Inspection determines that initial terminal air brake test requirements are met. This test will also be used when cars that have not been pre-tested are added to the train.

APPLICABLE RULES

GCOR 1.33; ABTH Rules: 100.1, 100.2, 100.3, 100.5, 100.6, 100.7. 100.8, 100.9, 100.10, 100.10.1, 100.10.2, 100.14, 100.18

PREPARATIONS / PROCEDURES

This test may be conducted at locations outlined in rule 100.9A Requirement for Test.

From the cab of the lead or controlling locomotive:

1. Verify that air brake system is charged as prescribed by Rule 100.10 (Procedure for Initial Terminal and Road Air Brake Test and Inspection).
2. Verify that, after receiving the proper signal, a 20-PSI service application is made.
3. Verify that the air flow method is properly used (Rule 100.9B), as follows:
   - Verify that the brake system has been charged to within 15 psi of the regulating valve setting.
   - Verify that the air flow meter does not exceed 60 psi or the airflow pointer is left of the calibration mark.

- Verify that after the signal is received, a 20-psi brake pipe reduction has been made.

4. If the train does not meet AFM test conditions or is equipped with Distributed Power, verify a brake pipe leakage test (Rule 100.9C) is conducted as follows:
   - Verify that, after brake pipe exhaust ceases, 60 - second waiting period is observed.
   - Confirm that Automatic Brake Valve has been cut out or lapped.
   - Observe a second 60 - second waiting period.
   - Observe the leakage is then checked for 60 seconds and does not exceed 5 psi. Do not actuate during test.

From the ground:

5. Observe that an employee walks both sides of the train during the inspection to comply with the requirements of GCOR 1.33 and walks the set to determine:
   - The brakes apply on each car.
   - The brake riggings do not bind or foul.
   - The brake equipment parts are properly secured.
   - Brake cylinder piston travel on each car meets the requirements.
6. Verify that employee on the ground signals for release and determines brakes totally release on all cars.
7. Verify that employee walks the release or release may be observed as train departs.

Note: Observe that employee making the inspection re-tests any car whose brakes are found released prior to signal given to release the brakes and determines that brakes will remain applied on any such car for a minimum of 3 minutes.

RECORDING INFORMATION

The test is an exception when employee fails to conduct an initial terminal test as required or fails to follow all proper procedures described above.

619 Transfer Train Movements

OBJECTIVE

The Transfer Train Air Brake Test and Freight Car Safety Inspection determine that Transfer train air brake test requirements are met.

APPLICABLE RULES

GCOR 1.33; ABTH Rules 100.1, 100.2, 100.3, 100.4, 100.5, 100.6, 100.7, 100.8, 100.8.1, 100.11 and 100.18

PREPARATIONS / PROCEDURES

This test may be conducted at locations where transfer and yard train movements are required. Determine that a train making a transfer train and yard movement does not exceed 20 miles in one direction.

From the cab of the lead or controlling locomotive:

1. Verify that the air brake system has been charged to at least 60 psi as indicated by a gauge or device at the rear of the train
2. Confirm that a 15-psi brake pipe reduction has been made

From the ground:

3. Verify that brake pipe hoses have been coupled between all cars
4. Confirm that a gauge or portable device is used to measure train line pressure, that the rear of train is at least 60 psi

5. Verify that an employee walks both sides of the train during the inspection to comply with the requirements of GCOR 1.33 and walks the set to determine:
   - The brakes apply on each car
   - The brake riggings do not bind or foul
   - The brake equipment parts are properly secured
   - Brake cylinder piston travel on each car meets the requirements
6. Verify that employee on the ground signals for a release

Note: Observe that employee making the inspection re-tests any car whose brakes are found released prior to signal given to release the brakes and determines that brakes will remain applied on any such car for a minimum of 3 minutes.

RECORDING INFORMATION
The test is an exception when employee fails to conduct a Transfer Train test as required or fails to follow all proper procedures described above.

620 Remote Control Operations

OBJECTIVE
This test is conducted to determine employee compliance with rules related to operating requirements for remote control operation.

APPLICABLE RULES
SSI Item 49 and BNSF Remote Control Operating Instructions (RCOI)

This may be conducted at any location where remote control operations are in use. Supervisors making observations need to determine the employees and which locomotives they are utilizing; along with monitoring the correct radio channel(s).

Note: Testing for going between equipment or a shove movement are to be recorded using the appropriate number (OPT 102 or 108 respectively). Be sure to record a “Y” in the RCO field when testing Remote Control (RC) Operations.

Supervisors will observe RC operations for one or more of the following:

Valid Certificate (RCO-1)
Ensure the RC operator has a valid certificate in his/her possession while operating remote control equipment.

Setup and Testing (RCO-2)
Ensure RC operators are complying with prescribed setup and testing procedures prior to operating a remote control system, including verification that the remote controlled locomotive is operating on the appropriate frequency for the location. A supervisor can follow the process in part by monitoring radio transmissions. Event recorder data can also be reviewed to determine compliance. Supervisors should also verify RCT safety tests are preformed when handing off control to relieving crews.

Radios (Packsets) (RCO-4)
Ensure the RC operator has in their possession an operative hand-held radio equipped with a microphone.

Pitching from One Crew Member to Another (RCO-6)
Ensure the RC operator is being notified and acknowledging he/she is ready to receive the pitch and in a safe position to assume control before the pitch is made. Note that with some OCU’s (GE’s units for instance) this can be done via the remote control transmitter without radio transmission being necessary.

Making Couplings (RCO-7)
Ensure the RC operator at the coupling has primary control of the remote control transmitter; and couplings are being made consistently at 1 MPH using “Couple” mode.

TOC Home

Remote Control Zones (RCO-8)
Ensure before activating a remote control zone the RC operators are ensuring that all switches and derails are properly lined and the zone is clear of trains, engines, railroad cars and men or equipment fouling the track before any initial pullout movement (GCOR 6.5.1). Additionally, that the RC operators are deactivating the zone at the end of their tour of duty, or conducting a job/safety briefing with the relieving RC operators if the zone is to remain active.

Moving Motorized Vehicles (RCO-9)
Operation of the remote control transmitter must not be performed from a moving motorized vehicle. The RC operator may ride in moving vehicle, but must STOP before operating RCT.

Securing Equipment (RCO-10)
Remote control locomotives and remote control transmitters must not be left unattended unless secured and/or disabled. For remote control system purposes, “unattended” means remote control locomotive is not set up (linked) to an operating remote control transmitter in the possession of a crew member.

When leaving equipment for meal period, break, etc., the remote control operator will secure remote control locomotive as required and turn the remote control transmitter power off (CANAC) or to Sleep Mode (GE).

When ending tour of duty, the remote control operator must place the locomotive in MANUAL mode unless being relieved by another remote control operator. If another remote control operator is relieving a remote control operator, a job/safety briefing must be held between the employees

Locomotive Daily and Mid-Trip Inspection (RCO-11)
Ensure the RC operators are determining if a daily inspection is required by checking the 229.21 (locomotive cab) card; when the locomotive needs inspecting they comply with ABTH 101.2B before signing the card

Locomotive Air Brake Test (RCO-12)
Ensure a locomotive air brake test (ABTH 101.6) is performed when required if coupling to other locomotive equipment.

Proper Operating Procedures as Trained (RCO-13)
Speed Selector vs. Independent Brake Override - A preponderance of the time, the operator should be using the Speed Selector (right-hand side of the remote control transmitter), NOT the Independent Brake Override (left-hand side of the transmitter) during normal switching operations.

The Independent Brake Override should only be used during an emergency or when speed and distance to a coupling or spot has been miscalculated and more immediate independent brake cylinder pressure is required to stop the move. It should NOT be used as a consistent, normal method of operating remote control equipment.

Ending Remote Control Operations (RCO-14)
Ensure RC operators comply with procedures to end remote control operations; including properly conditioning the locomotive for lead and securing the equipment.

OCU (Operator Control Unit) “D” Rings (RCO-15)
An OCU is considered a safety device. When in use, all “D” rings on the OCU must be properly attached to the operator’s vest or belt. Improper or incomplete attachment of an OCU to the operator’s vest or belt is considered to be tampering with a safety device.

RECORDING INFORMATION
Use the assigned test number segment for each observation.

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621 Roadway Worker Compliance for TY&E Employees

OBJECTIVE

This test is designed to determine that train crew comply with the requirements regarding approach and interaction with roadway workers who may be on or near the track.

APPLICABLE RULES:

GCOR: 5.8.1, 5.8.2, 6.3, 6.3.1, 6.4.1, 15.2.

PREPARATIONS / PROCEDURES

This test may be performed anywhere it is observed that train crews are approaching roadway workers on or near the track. It may be performed where crews are working with MW employees in work train type duties or where crews have been notified that they will be governed by MW employee instructions. Additionally, this test may be performed where mandatory job safety briefings are required or when notification is made that the train is “joint” with MW employees or working limits have been established behind their train.

Supervisors may simulate roadway workers by wearing orange vests and either white or orange hard hats to test for the audible warning required by train crews.

Based upon the activity being observed, verify that the applicable GCOR rules are being applied by train crews to notify, protect and / or comply with valid instructions of roadway workers.

RECORDING INFORMATION

This test is an exception when the crew does not:

Notify MW employees or comply with instructions within the confines of a track bulletin Form B (15.2).

Sound the prescribed audible warnings when approaching roadway workers on or near track (5.8.1 and 5.8.2).

Have a job safety briefing with MW employees or determine the employee in charge (EIC) of working limits prior to occupying a track within “joint” authority limits (6.3).

Notify and have a job safety briefing with the EIC of working limits prior to making a reverse movement after having been advised that working limits are being established “behind” their train (6.4.1).

Comply with instructions from the EIC of working limits when using Train Coordination (6.3.1).

623 Class 1A Brake Test

OBJECTIVE

This test determines that employees are properly performing an air brake test and inspection on trains at intervals of not more than 1,000 miles.

APPLICABLE RULES

ABTH 100.9 and 100.12

PREPARATIONS / PROCEDURES

This test must be performed on trains at no more than 1,000 mile intervals.

Inspectors must be qualified to perform the Class 1A Air Brake Test & Inspection.

Verify that the brake system is charged to within 15 psi of the regulating valve setting on the controlling locomotive, but no less than 75 psi.

Verify that the air flow meter does not exceed 60 psi or the airflow pointer is left of the calibration mark.

Verify that after a signal is received, a 20-psi brake pipe reduction is made.

If the train does not meet AFM test conditions or is equipped with Distributed Power, verify a brake pipe leakage test is conducted as follows:

Verify that after brake pipe exhaust ceases, a 60-second waiting period is observed.

Verify that the Automatic Brake Valve maintaining feature is cutout or lapped.

Verify that after the valve is cutout, a 60-second waiting period is observed.

Verify that the leakage is then observed for 60 seconds and it does not exceed 5 psi.

Verify that inspector(s) inspect both sides of the equipment while the cars are stationary to insure:

- The brakes apply on each car.
- The brake rigging does not bind or foul on each car.
- All air brake parts are properly secured on each car.
- Brake cylinder piston travel is correct on each car. If any car is observed with brakes that are not applied, a re-test of the car can be performed and the brakes must remain applied for a period of at least 3 minutes and must not release on it's own during the observation.

RECORDING INFORMATION

It is an exception any time an employee is observed not performing any of the required tasks.

When prompted to enter a Rule Book Code, the code to enter for a mechanical employee is "M" and for an operating employee "O". When prompted to enter a Rule Number, use one of the following codes:

- For mechanical department tests, use code M-623
- For operating department tests, use code O-623

624 Locomotive Daily Inspection—TY&E and Mechanical

OBJECTIVE

The Locomotive Daily Inspection test verifies the (FRA Rule 229.21) daily inspection is properly performed and documented by the locomotive engineer, RC Operator, Hostler, or mechanical inspector as required.

APPLICABLE RULES

ABTH 101.2

PREPARATIONS / PROCEDURES

Identify locomotive(s) that required a daily inspection as outlined in ABTH 101.2

Inspect the FRA Rule 229.21 Daily Inspection form (cab card) in each locomotive for the following information being completed on the card:

- Date.
- Location.
- Time.
- Signature.

Make note of the inspected locomotive(s) number and date of inspection.

Validate that locomotive inspection reporting has been completed by one of the following methods:

- Review electronic records (TSS command LODYINQ).
- Review written daily inspection documentation as required by local instructions.

RECORDING INFORMATION

Locomotive daily inspection has not been performed as required.

Daily Inspection form (cab card) (FRA Rule 229.21) not properly completed.

Electronic reporting process not completed

or

Where required by local instructions, written locomotive inspection report form not completed and submitted at the designated location.

TOC Home

625 Emergency Breathing System Instructions

OBJECTIVE

This test will verify that employees who are operating where emergency breathing systems are required to be used are compliant with division instructions.

APPLICABLE RULES

Instructions found in division timetables, general orders or notices.

PREPARATIONS / PROCEDURES

Officers prior to conducting observations for this application must review division instructions, timetables, general orders or notices regarding use of emergency breathing systems and be familiar with their use.

Verify the location of observation does or will require the active possession by the employee of the emergency breathing system for the territory they are or will be operating on.

Verify the employee properly checks out or returns the emergency breathing system unit according to given instructions.

Verify the employee operating on the territory where the emergency breathing system is required to be carried is currently certified in its use according to division instructions.

RECORDING INFORMATION

The test is an exception when the employee does not:

- Have the emergency breathing system unit in their possession for use as required by current division instructions.
- Properly check out or return the emergency breathing system unit according to current division instructions.
- The employee required to carry the emergency breathing system unit is not currently certified regarding the use of the apparatus for the employee's particular trip.

626 Leaving Equipment in the Clear

OBJECTIVE

This test determines that employees comply with the procedures for leaving rolling equipment and on-track maintenance-of-way equipment in the clear of a connecting track

APPLICABLE RULES

GCOR 7.1, MWOR 7.1, and Mechanical Safety Rule 10.16

PREPARATIONS / PROCEDURES

This test can be conducted where employees are required to leave rolling equipment or on-track maintenance-of-way equipment in the clear of a connecting track.

Verify that employees leave equipment beyond indicated clearance points.

However, if the clearance point is not indicated or visible, the employee determines the clearance point by standing outside the rail of adjacent track and extends their arm towards the equipment, and when unable to touch the equipment, leaves equipment at least an additional 50 feet into the track to ensure equipment is beyond the clearance point.

RECORDING INFORMATION

This test is an exception when either of the following is found:

- Equipment is left standing between the indicated clearance point and the adjacent track switch.
- Where clearance point is not indicated or visible, procedure is not properly utilized to determine clearance point and location where equipment must be left standing.

Note: It is not an exception when equipment is in the foul, connected to a locomotive and an employee is attending the equipment protecting it from on track movement.

TOC Home

627 Electronic Devices

OBJECTIVE

Determine employee compliance with electronic device use (e.g., cell phones, tablets, etc.).

APPLICABLE RULES

GCOR 2.21, MWOR 1.10, MESR S-28.10, TDOCOM 40.23 and 55.22

PREPARATIONS / PROCEDURES

- Observe electronic device use is permitted by the applicable rule.

  or

- Inquire about possession of personal electronic devices and when applicable, whether or not the device is powered off when required.

Supervisors are prohibited from calling or text messaging an electronic device to determine compliance.

Craft specific focus areas:

TY&E

- Personal electronic device is turned off and stowed out of sight with any earpiece removed from the ear when on moving rolling equipment except:
  - During emergency or as a communication device provided by GCOR 2.5
  - After a job safety briefing with all crew members to confirm it is safe to reference a rulebook, timetable or other directive from the digital storage of the device. After such use, the device must be powered off and stowed.
- Electronic device is not in use while any member of the crew is engaged in switching activities, any safety-related task or on the ground foul of a track.
- Electronic device is not in use while any employee is assisting in the preparation of the train or engine.

MW & Signal

- Employees do not use cellular telephones for voice communications, emailing, performing any electronic text retrieval or entry, etc. when:
  - On the ground within four feet of the nearest rail of a track (except Signal employees for business related testing and inspection purposes within working limits)
  - On, under or while involved with the operation or movement of equipment or machinery (e.g. cranes, loaders, forklifts, intermodal hostlers, etc.)
- Employees occupying the control compartment of on-track equipment (including Hy-Rails) do not use cellular phones, similar hand-held devices or the instant messaging feature of Smart Mobile Client while the equipment is in motion
- While driving vehicles (off rail) employees use electronic device in hands-free mode only, complying with local, state or federal laws as applicable

TOC Home

Mechanical

- Employees do not use cellular telephones or similar hand-held electronic devices for voice communications, emailing, performing any electronic text retrieval or entry, etc. when:
  - On the ground within four feet of the nearest rail of a track (except for business purposes when not involved with the operation or movement of equipment or machinery and Blue Signal Protection is established on that track)
  - On, under or while involved with the operation or movement of equipment or machinery (e.g. cranes, loaders, forklifts, intermodal hostlers, etc.)
- Employees occupying the control compartment of on-track equipment (including Hy-Rails) do not use cellular phones, similar hand-held devices or the instant messaging feature of Smart Mobile Client while the equipment is in motion
- While driving vehicles (off rail) employees use electronic device in hands-free mode only, complying with local, state or federal laws as applicable

Dispatching

- Employees have personal cell phones and personal electronic devices turned off and not in use while in dispatcher work areas
- Conversations with field employees regarding train movements and / or MW work activities are conducted using only company provided communication devices except during emergencies or as provided for in GCOR 2.5.

RECORDING INFORMATION

Record a passing entry when all applicable rule requirements are met. An exception is to be entered when any part of the applicable rules or prohibited use are not followed.

696 Hazardous Shipments

OBJECTIVE

This test determines compliance with hazardous material shipments instructions.

APPLICABLE RULES

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

PREPARATIONS / PROCEDURES

The supervisor will determine that a train or yard crew complies with the identified rule requirements.

696-1 Shipping Papers

A member of the crew must have a paper copy of acceptable shipping papers when receiving or delivering shipments at a customer's facility, interchange point, or other location; when moving shipments in a train, or switching shipments outside a yard.

Any one of the following which includes the required shipping description is an acceptable shipping paper for hazardous material shipments:

- Railroad-produced documents - for example, train consists, train lists, wheel reports, waybills, industry work orders, or other similar documents
- Customer-produced documents - for example, bills of lading {including United Parcel Services (UPS) hazardous materials packets}, or switch lists
- A connecting carrier's documents
- A hand-printed document - for example, radio waybills
- A hazardous waste manifest

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The paperwork also has acceptable Emergency Response Information such as:

- Emergency response information printed as part of the train list / consist
- Emergency Response Guidebook
- Similar information provided by the customer - for example, a Material Safety Data Sheet

These papers are not required when moving shipments within a yard or at a customer's facility.

696-2 Position in Train

The train crew is responsible for the proper placement of hazardous material shipments in their train.

Before moving hazardous material shipments in a train, a member of the crew must have a document (train list) that shows the current position in the train of each hazardous material shipment (loaded and residue / empty).

A member of the crew must update the document when making pickups or setouts before departing location.

696-3 Inspection

During an inspection a crew member ensures that all required placards are consistent with the shipping paper information for each rail car(s). They ensure placards are displayed on both sides and both ends of the shipment when required.

696-4 Operating Instructions

A Loaded tank car with SCHI code 'IH' during conventional (flat) switching operations must be shoved to rest.

During humping operations a loaded tank car with SCHI code 'IH' must not:

- Be set free into a clear track
- Be cut off until preceding cars are in the clear of the lead

No cars may be cut off to follow an IH car until the lead is known to be clear of the IH car to follow until the lead is clear.

A Key Train:

- Crew member inspects train if stopped by trackside warning device or emergency brake application
- Sets out an indicated car if stopped by trackside warning device

696-5 Speed

A Key Train's maximum speed is:

- 50 MPH
- 35 MPH within designated subdivision municipal area milepost limits

RECORDING INFORMATION

Record a passing test when the applicable requirements are met. Enter an exception with any part of the applicable rule is not followed. Use the appropriate rule book code and the applicable segment designation (696-1, etc.).

TOC Home

697 Switch Point Monitoring System (SPMS)

OBJECTIVE

This test determines employee compliance with the procedures for Switch Point Monitoring System (SPMS).

APPLICABLE RULES

SSI 12(C), subdivision specific general order, dispatcher notices

PREPARATIONS / PROCEDURES

Identify the subject train and validate that train has authority beyond the switch to be tested. Contact the chief dispatcher for territory and coordinate testing event for both dispatcher and train crew. Advise the NOC signal call desk of intentions prior to performance of this test.

697-1 With the assistance of a signal supervisor or the signal supervisor's designee open the switch indication circuit. A testing supervisor may open the switch indication circuit without the assistance of signal supervisor or their designee by use of a "test key switch" installed specifically for this purpose. Each method will transmit a switch alert to the dispatcher who then must follow established train notification procedures.

At completion of testing, return the "test key switch" to the normal position and contact the train dispatcher to confirm dispatching systems indicate that SPMS does not indicate an indeterminate status before leaving the switch location.

697-2 With the assistance of a signal supervisor or the signal supervisor's designee power off the radio. Once the radio has been disabled, switch can no longer communicate with the dispatching system. Since each switch location is only polled once every five minutes and must miss three polls before an alert is generated for the switch, alert may not be received by the train dispatcher for up to 15 minutes. Due to this design, testing should be set up well in advance of a train's arrival at locations where train crew action will be tested.

Using either of the methods described above, the train dispatcher will receive an indeterminate switch status alert for that location. If the train is closely approaching the alerting switch, the train dispatcher may notify the crew verbally using the appropriate verbiage in the dialog box presented by the dispatching system. If the train is not closely approaching the alerting switch, but has passed the last station (or if no siding at the last station and is less than seven miles from the alerting switch), the train dispatcher is required to do the following: "Issue a new track warrant to the affected train that voids the authority over the alerting switch. Use box 1 in combination with box 2 or 12 to include the alerting switch.

If the train is authorized with a box 2 or 4 track warrant and is not beyond the last station (or if no siding at the last station and the train is more than seven miles from the alerting switch), the train dispatcher is required to: “Issue a new track warrant to the affected train that voids the authority over the alerting switch. Use box 1 in combination with box 2 or 4 that ends at the alerting switch.

When a train crew is notified to be prepared to stop at an alerting switch, (either verbally or with a box 12 track warrant), the train must not proceed over the switch until a crew member inspects the switch from the ground. The position of the switch must be reported to the train dispatcher as soon as possible after the inspection. The dispatcher must not “normal” an alerting switch until it has been inspected by a field employee.

(TY&E) Determine that train stops short of switch and a crew member dismounts locomotive and performs ground inspection that switch is properly lined before proceeding over a switch when instructed verbally or by track warrant to be prepared to stop until known to be in the normal position, and advised by the train dispatcher of SPMS indeterminate alert status at that switch.

Crew member must report to the train dispatcher as soon as possible the position of the switch after inspection is complete.

(Dispatcher) Trains must not be issued track warrants box 4 authority beyond any indeterminate switch. When an indeterminate switch alert is received, the dispatcher must promptly determine the location of the train with authority over the alerting switch and arrange to cancel the alert if the train has passed the alerting switch or notify the crew if train has not yet passed over the alerting switch.

TRAIN DISPATCHER PROCESSES ASSOCIATED WITH SWITCH POINT MONITORING SYSTEM (SPMS) TERRITORY

- MUST when an alert is received, promptly determine the location of the train with authority over the alerting switch. If the train has passed the alerting switch, must perform a track release with the train crew in order to cancel the alert. If the train is closely approaching the alerting switch, notify the crew verbally using the appropriate verbiage in the dialog box presented by the dispatching system. DS Notice
- MUST when an alert is received and train is determined to not be closely approaching the alerting switch but is past the last station or the last station has no siding and train is within 7 miles of alerting switch, void current authority and reissue a proceed authority with a box 12 for the alerting switch. DS Notice
- MUST when an alert is received and train is determined to not be closely approaching the alerting switch and is not past the last station or within 7 miles of the alerting switch, void current authority and reissue box 2 or 4 authority that ends at the alerting switch. DS Notice
- MUST NOT restore alerting switch to “verified normal” position until switch has been inspected by a field employee. DS Notice
- MUST NOT issue track warrants to trains authorized by box 2 beyond an indeterminate switch until the train has departed the previous station to reaching the indeterminate switch location. DS Notice

  Exception: If the last station previous to the indeterminate switch has no siding and is less than 7 miles from the indeterminate switch, authority may be issued beyond the indeterminate switch when the train is within 7 miles of the open/indeterminate switch. DS Notice
- MUST NOT issue track warrants to trains authorized by box 4 beyond any open/indeterminate switch. DS Notice

RECORDING INFORMATION

The test is an exception when rule, general order or dispatcher notice is not complied with; including the identified procedures for SPMS.

The entry process will prompt the supervisor to provide the rule book code (SSI, DVGO or DSN) and segment number (697-1 or 697-2).

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698 IH Train in Non-Signaled Territory

OBJECTIVE

This test determines compliance for IH Trains on restricted portion of identified subdivisions listed in SSI or General Order.

APPLICABLE RULES

SSI 1, 38; US Hazardous Material Instructions for Rail (HAZM); Subdivision General Orders; and Dispatcher Notices

PREPARATIONS / PROCEDURES

The supervisor will determine that a train or yard crew complies with the identified rule requirements. Supervisors should be familiar with the SSI for loaded tank cars with the "IH" SCHI code (TIH/PIH), on the restricted portion of identified subdivisions for IH train operation.

698-1 Train crew

The conductor of the IH Train operating on restricted portion of an identified subdivision contacts the train (or trains) to be met or passed in the siding and determines that the train is stopped before the IH train passes.

698-2 Engineering employee

The Engineering (MW) employee will:

- Evaluate IH train route and inform the train dispatcher that the track evaluation is complete noting exceptions if any
- Obtain authority to operate main track switches on identified subdivisions
- Not operate a main track switch while using individual train detection (lone worker, or lookout for minor work or routine inspection) on these specified subdivisions
- Not operate a main track switch within Form B limits after the IH train route has been evaluated and before the IH train has passed

698-3 Train Dispatcher

The train dispatcher will:

- Grant authority to the IH train only after receiving notification from track evaluator that the route evaluation has been completed
- Send a CAD IM to the chief dispatcher with subdivision name and route evaluation completion time following notification by the responsible engineering employee
- Grant authority with chief dispatcher approval if any exceptions are reported by the evaluator
- Update the train dispatcher transfer under heading "Listing of Hazardous Materials Instructions" if a track evaluation is being performed during shift change
- Verify that TIH / PIH Track Evaluation Form has been properly filled out and archived
- Ensure no authorities are issued after route evaluation has been completed and before the IH Train has passed location where track will be entered

698-4 Speed

The IH Train's maximum speed is 35 MPH.

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 and segment designation (698-1, etc.).

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699 All Other Exceptions

Testing can be done while performing daily activities. When positive rules compliance is observed it is not always necessary to enter that fact as an operations test. A rule violation can create risk to the employee and those around them. A supervisor may record the rule violation as an exception under this test. The supervisor will be required to provide both the rule book code and rule number to complete the exception entry.

Supervisors should re-test the employee of the exception. A “passing” observation for the employee who receives an OPT 699 exception can be entered. The 699 “passing” observation entry requires the supervisor to use the exact book code and rule number in order for the OPT system to accept the “passing” entry; and should be done within the time frame specified.

500 Series

These tests are specific to train dispatcher/control operator functions. Only those supervisors responsible for testing train dispatchers / control operators will be authorized to enter these tests.

Field supervisors can only test dispatchers with the aid of another supervisor in the respective dispatching center or on site where control operator is working.

700 Series

These tests are specific to BNSF owned passenger operations. Only those supervisors responsible for these areas will be authorized to enter tests in the 700 series.

800 Series

Designated supervisors authorized to enter tests under the 800 series utilizing technology resources.

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Attachment B—015 Alcohol & Drug Observations

Observations recorded under number 015 are not considered Operations Tests under 49 CFR Part 217 for internal or Federal Reporting purposes. Results of supervisor observations are recorded in the Operations Testing Database in order to maintain a centralized repository of records. 015 observations are intended to satisfy Federal requirements to conduct employee drug/alcohol observations under 49 CFR Part 219.

OBJECTIVE
This observation determines that employees are in compliance with GCOR Rule 1.5, MWOR Rule 1.5 and Safety Rule S-28.5.

APPLICABLE RULES
GCOR and MWOR 1.5, Safety Rule S-28.5

PREPARATIONS / PROCEDURES
The supervisor can make this observation when in close proximity with the employee and able to communicate face-to-face verbally to observe the employee's physical appearance and actions. Exception to this observation will result in handling of employee as described below.

REQUIREMENTS
Performing this observation requires that the supervisor:

- Be in a position to communicate in person with the observed employee.
- If, as a result of your observations you find that the employee exhibits any signs of impairment (see Impairment Indicators below), the observation must be turned over to a supervisor who has been trained in "Signs and Symptoms Awareness".

Note: Follow up Drug/Alcohol Testing as a result of For Cause, Post Accident, or Random testing is not considered an Alcohol and Drug Observations and Reasonable Suspicion Observation.

TESTING QUALIFICATIONS
Any supervisor may observe an employee for drug and alcohol observation purposes. If the employee exhibits any of the signs and symptoms listed under IMPAIRMENT INDICATORS, the employee must be observed by a supervisor who has completed the training program on Signs and Symptoms Awareness, or secure another supervisor who has completed the required training. If the employee exhibits any of the impairment indicators below, promptly arrange for an on-site collector to test the employee (within 2 hours), or take employee to a medical facility in accordance with BNSF's Reasonable Suspicion policy.

IMPAIRMENT INDICATORS
Impairment indicators include:

- Identifiable odor of alcohol or controlled substances
- Flushed face, neck and/or head
- Dilated pupils
- Constricted pupils
- Redness/irritation around nasal area
- Uncoordinated gait
- Thick, slurred speech
- Poor motor coordination
- Glassy eyes
- Sleepiness and drowsiness

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A complete list of impairment indicators may be found in BNSF *Manager's Guide Dealing with Substance Abuse in the Workplace*. This document, as well as Signs and Symptoms Awareness training is provided by BNSF Railway Medical Department at 817-352-1648.

- Arrange for a supervisor who has received "Signs and Symptoms Awareness" training
- Arrange for a breath alcohol test and urine drug screen
- Withhold employee from service pending results of testing and fitness for duty review
- Arrange employee's transportation off the property
- Provide for the safety and securement of the train, if required

Note: When an employee is Drug/Alcohol Tested under Reasonable Suspicion as a result of a Drug/Alcohol observation, do not enter results into the computer system until it is known if employee tests positive or negative for drugs or alcohol. If the employee results are negative, enter this test as a "pass". If the employee tests positive, enter results as an "exception."

DATA ENTRY

The supervisor will enter this observation using number '015'.

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SPEED TABLE								
Time Per Mile		Miles Per Hour	Time Per Mile		Miles Per Hour	Time Per Mile		Miles Per Hour
Min.	Sec.		Min.	Sec.		Min.	Sec.	
-	36	100	-	58	62.1	1	40	36.0
-	37	97.3	-	59	61.0	1	42	35.3
-	38	94.7	1	-	60.0	1	44	34.6
-	39	92.3	1	02	58.0	1	46	34.0
-	40	90.0	1	04	56.2	1	48	33.3
-	41	87.8	1	06	54.5	1	50	32.7
-	42	85.7	1	08	52.9	1	52	32.1
-	43	83.7	1	10	51.4	1	54	31.6
-	44	81.8	1	12	50.0	1	56	31.0
-	45	80.0	1	14	48.6	1	58	30.5
-	46	78.3	1	16	47.4	2	-	30.0
-	47	76.6	1	18	46.1	2	05	28.8
-	48	75.0	1	20	45.0	2	10	27.7
-	49	73.5	1	22	43.9	2	15	26.7
-	50	72.0	1	24	42.9	2	30	24.0
-	51	70.6	1	26	41.9	2	45	21.8
-	52	69.2	1	28	40.9	3	-	20.0
-	53	67.9	1	30	40.0	3	30	17.1
-	54	66.6	1	32	39.1	4	-	15.0
-	55	65.5	1	34	38.3	5	-	12.0
-	56	64.2	1	36	37.5	6	-	10.0
-	57	63.2	1	38	36.8	12	-	5.0

FEET	TENTHS OF A MILE
528	.1
1,056	.2
1,584	.3
2,112	.4
2,640	.5
3,168	.6
3,696	.7
4,224	.8
4,752	.9

TERMSDXO

T - Trains
E - Engines
R - Railroad cars
M - Men & equipment fouling track
S - Stop signal
D - Derail or switch lined improperly
X - Crossings at grade
O - Other crew movements

Remember “TERMSDXO” when shoving cars

To assist in determining where to start sounding the whistle as described in Whistle Signal 7, use the following:

At the speed indicated in the left column, wait the time indicated in the right column before sounding the whistle.

Train Speed	Delay to Sound Whistle
40 MPH	3 seconds
35 MPH	6 seconds
30 MPH	10 seconds
25 MPH	16 seconds
20 MPH	25 seconds
15 MPH	40 seconds
10 MPH	1 minute 10 seconds