

NORFOLK SOUTHERN
Supervisor Guidelines
for Conducting Efficiency Checks
and
Accessing the Rules Program

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GENERAL NOTICE

Norfolk Southern's Efficiency Check Program is required by Federal Regulations 49 CFR 217.9. The program's intended purpose is to establish and maintain a safe and efficient work environment for all employees. Checks are to be conducted in a fair and impartial manner, and under no circumstances will the Efficiency Check Program be used as a tool for harassment. As a matter of practice, Officers involved in conducting efficiency checks should periodically commend employees when they consistently demonstrate proper knowledge and understanding of operating rules and instructions. On the other hand, an employee found in violation of an operating test or inspection must be advised of the non-compliance and corrective action taken as soon as possible without compromising the efficiency check activity. The integrity of the program rests with each Officer. Officers are expected to maintain Norfolk Southern's policy for handling such matters in a fair but firm manner.

The following guidelines will become effective July 1, 2004, and supercede those dated November 1, 1998. The guidelines will be applicable to NORAC and Norfolk Southern Rules. A copy must be provided to each Officer whose duties include conducting efficiency checks.

M. D. Manion

Senior Vice President Transportation -
Operations

THE PROGRAM

This booklet provides basic guidelines and establishes minimum requirements for the quality and type of efficiency checks to be conducted when monitoring compliance with:

- Operating Rules
- Safety and General Conduct Rules
- Equipment Operation and Handling Rules
- Hazardous Materials Rules

Officers will be expected to conduct and record checks to ensure compliance with rules having application to their territory.

Quality checks are of paramount importance. Quality checks must be conducted:

- At various times
- On various dates
- At various locations
- On weekends and holidays
- On safety sensitive rules
- For procedural compliance with the rules

BASIC REQUIREMENTS FOR EFFICIENCY TESTING

The monthly number of tests conducted on each Division in Categories 1, 2, and 3 must be equivalent to the average number of freight trains operated on the Division each day as reported in the NS Morning Report. (See the Section entitled 'CREWS' under the Subsection 'FREIGHT'.)

An Officer will be required to conduct monthly efficiency checks in accordance with the following guidelines:

- 60% of the total checks will be conducted on rules listed in Categories 1 through 6.

- 30% of the total checks will be conducted on rules listed in Categories 7 through 15.
- 10% of the total checks will be conducted on rules listed in Category 16.

NOTE: Each Locomotive Engineer, Locomotive Engineer Trainee, Remote Control Operator, and Remote Control Operator Trainee must be monitored on an Approach and Stop Signal Rule in Category 1 and any rule in Category 2 and 3 at least once every 60 days. In addition, each Locomotive Engineer, Locomotive Engineer Trainee, Remote Control Operator, and Remote Control Operator Trainee must be tested once every six (6) months on a Stop Signal Rule in Category 1.

Efficiency checks on a Control Operator must be entered with the appropriate control station zone code and the appropriate employee type.

A rule check must **NOT** be recorded unless the Officer personally observes the employee in the performance of his/her duty.

A **TEST** results from one of the following:

- An operating condition caused to exist by the reporting Officer(s), e.g., setting a signal to display a Stop indication, placement of a banner, etc.
- The reporting Officer(s) going to specific locations with the intended purpose to monitor compliance with a particular rule(s) in Categories 1 through 16.
- Speed checks using radar.

TYPES AND METHODS OF EFFICIENCY CHECKS

Saturation Rule Checks will be conducted by a Team of Supervisors on each divisional zone not less than once every 60 days. The checks must be

conducted at various times and on various days of the week including weekends and holidays. The Team will consist of at least two Officers (not to exceed three) as designated by the Division Superintendent or Assistant Division Superintendent. The Team Captain must not be directly assigned on the territory being checked. Team checks will cover a consecutive 12-hour period.

If the Saturation Rules Test period is less than the required 12 hour period, the Team Captain will forward an explanation within 5 days to the Assistant Division Superintendent who will forward a copy to the appropriate General Manager and the Assistant Vice President – Operating Rules.

Assistant Division Superintendents will furnish the AVP-Operating Rules and the appropriate General Manager copies of the Saturation Rule Check Summary Reports for the territories checked during the month. These reports must be received within 10 days after the month in which the tests were conducted.

Officers will enter all Saturation Rule Checks into the system by keying the letter “S” into the “S/P/I/R” field.

Planned Rule Checks will be conducted by one or more Officers who are at a specific location for the purpose of monitoring rules compliance.

Officers will conduct Planned Rule Checks on a regular basis. Thirty percent of all Planned Rule Checks must be conducted between 10:00 p.m. and 6:00 a.m. except when the duty assignment of a particular Officer makes compliance impractical.

Officers will enter all Planned Rule Checks into the system by keying the letter “P” into the “S/P/I/R” field.

Incidental Rule Checks are observations of rules activities.

When Officers conduct observations for compliance on rules in Categories 1 through 16, the checks are to be entered as Incidental.

Officers will enter all Incidental Checks into the system by keying the letter "I" into the "S/P/I/R" field.

Remote Control Locomotive Operation Checks will be conducted by one or more officers to monitor remote control crews for rules compliance.

Using the appropriate Division Code, Officers will enter checks on Remote Control Locomotive Operations in Zone 49. Checks are to be reported as Saturation, Planned, or Incidental.

Event Recorder Printouts may be evaluated to monitor Locomotive Engineers, Locomotive Engineer Trainees, Remote Control Operators, and Remote Control Operator Trainees.

Checks from Event Recorder printouts are to be reported as Planned or Incidental.

Rules monitored will be entered into the mainframe "rules program" by completing all necessary fields with the following exceptions:

- Enter "P" or "I" in the "S/P/I/R" field
- Enter "Tape" in the "Milepost" field
- Enter "nnnn" (reporting time of the crew) in the "Time" field

Voice Tape Recordings may be used to monitor Control Operators for compliance with applicable rules. Checks from Voice Tape Recordings are to be reported as Saturation, Planned, or Incidental.

Rules monitored for compliance will be entered by completing the necessary fields with the following exceptions:

- Enter either “S,” “P,” or “I” as appropriate in the “S/P/I/R” field
- Enter “VTAPE” in the “Milepost” field
- Enter the actual date and time of the event

Train Ride Checks will be conducted to monitor rules compliance while riding trains.

Rules in Categories 1 through 16 may be monitored.

Officers will enter all Train Ride Checks into the rules system by keying the letter “R” into the “S/P/I/R” field. The program will automatically record and report a Train Ride Check as an Observation.

REPORTING CATEGORIES

The Norfolk Southern Efficiency Check Program is divided into sixteen reporting categories. An explanation of each category follows:

CATEGORY 1 - Approach/Stop Signals

Rules Table:

240	308	N244	N401b
285	355	N285	312
286	356	N286	
288	358	N288	
307	BANNER	N293c	

Purpose:

Evaluate crew members’ ability to:

- Comply with Approach signal indications
- Stop train or engine short of a Controlled Signal or an Automatic Block Signal displaying a Stop indication.
- Stop train or engine short of an Obstruction Banner

Preparation:

- Advise control station unless included in the check
- Secure extra Event Recorder Data Pack Cartridges and/or PC Memory Cards
- Calibrate radar gun
- Determine location of train or engine
- Review Track Chart
- Review Train Consist
- Review Crew Management Records

Procedure:

- Apply track shunts
- Verify signal aspects (Approach and Stop)
- Erect Obstruction Banner, if applicable
- Take a position which permits observation
- Determine that movement stops short of signal or banner
- Remove track shunts after test

CATEGORY 2 – Restricted Speed

Rules Table:

11	360	N80	N241b	N550
93	361	N93	N290	N562b
105	402	N96	N291	N562c
180	403	N97	N402a2	N562e
185.2	461	N98	N402a3	N562f
239	462	N107	N500c	
245	N14	N133d	N501	

Purpose:

Evaluate crew members' ability to comply with Restricted Speed.

Preparation:

- Advise control station unless included in the check

- Determine location of trains or engine
- Calibrate radar gun
- Review Track Chart
- Review Train Consist
- Review Crew Management Records
- Secure extra Event Recorder Data Pack Cartridges and/or PC Memory Cards

Procedure:

- Signaled territory
 - Apply track shunts
 - Verify signal aspects
 - Erect Obstruction Banner, if applicable
 - Take position which permits observation
 - Remove track shunts after test
- Non-signaled territory (TWC/DCS) and Non-controlled track
 - Confirm conditions exist requiring Restricted Speed
 - Erect Obstruction Banner, if applicable
 - Take position which permits observation

CATEGORY 3 – Speed Restrictions

Rules Table:

109	N124
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Purpose:

Evaluate crew members' ability to operate trains or engines within the authorized speed.

Preparation:

- Calibrate radar gun
- Verify authorized speed, i.e., timetable, temporary, curve, equipment
- Secure copy of the current Train Dispatcher's Bulletin

- Determine location of train or engine
- Secure extra Event Recorder Data Pack Cartridges and/or Memory Cards
- Review Track Chart
- Review Train Consist
- Review Crew Management Records

Procedure:

- Utilize radar gun
- Analyze Event Recorder printouts

CATEGORY 4- Switching Operations

Rules Table:

102a	104	432	N104g
102b	104a	508.1	N104h
103	104b	508.2	N104k
103a	104c	N101	N109a
103b	104d	N102	N109b
103c	104e	N103	N711
103d	104f	N104a	
103e	104g	N104b	
103f	104h	N104d	
103g	431	N104f	

Purpose:

Monitor crew members' compliance with rules governing shoving movements, switching, and handling switches and derails.

Preparation:

- Secure operable railroad radio
- Secure copy of the current Train Dispatcher's Bulletin
- Determine the location of train or engine
- Secure signaling equipment
- Secure copy of Work Order

Procedure:

- Direct observation of switching operations

CATEGORY 5 – Control Operators

Rules Table:

26g	509.8	N137c	N400b	534
36a	N16c	N137d	N400c	
185.1	N17c	N139a	N402a4	
240a	N133a	N139b	N406a	
242	N133b	N139c	N503	
433	N133c	N139d	N554b	
440	N133e	N140	N557	
441	N135a	N162a	N602	
442	N135c	N168	N615	
442a	N135e	N169	N712	
443	N136d	N170	N713	
444	N137a	N241a	N803	
446	N137b	N241e	N810	

Purpose:

Monitor Control Operators for compliance with rules governing the movement of trains, engines, and on-track equipment.

Preparation:

- Secure operable railroad radio
- Secure voice tape recordings
- Secure Train Dispatching records
- Access a computer terminal

Procedure:

- Monitor the control station, i.e., field or voice tapes.
- Ensure required blocking is applied
- Review mandatory documents, e.g.,
 - Train Sheet
 - Track Warrant/Form D
 - Transfer

- Bulletins
- Track Authority
- Observe Control Operators performing dispatching functions
- Utilize voice tape recording playback unit
- Utilize computer

CATEGORY 6 –Communications

Rules Table:

34	504.2	506.2	N94
90	504.3	507.1	N704
90a	504.5	509.1	N705
174	504.6	509.2	N707
501.4	505.2	509.3	N708
502.1	505.3	509.4	N709
502.3	505.4	509.5	N405.1
503	506.1	509.6	181a

Purpose:

Monitor compliance with rules governing railroad communications.

Preparation:

- Secure operable railroad radio
- Secure voice tape recordings

Procedure:

- Monitor all radio channels
- Review voice tape recordings

CATEGORY 7 – Rule G

Rules Table:

G	NG
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Purpose:

Monitor employees to determine that they are fit for duty:

- No symptoms of impairment or unusual behavior due to alcohol and/or drugs
- No evidence of possession of any prohibited substance.

Preparation:

- Be knowledgeable of the signs and symptoms of alcohol and/or drug impairment

Procedure:

- Observe employees when reporting for duty and during the course of their duty

CATEGORY 8 – Train Movement

Rules Table:

12a	14o	220a	N19c	N138c
12b	14p	241	N19d	N297
12c	14q	247	N19e	N406c
12d	17.1	248	N19f	N500a
12e	18	404	N19g	N500b
12f	19	425	N19h	N504a
12g	30	N13a	N20	N504b
14a	87b	N13b	N22a	N556
14b	101f	N13c	N24b	N563
14g	102	N13d	N72	N609
14h	106a	N13e	N135d	N958
14j	110	N13f	N136a	GR9
14l	154	N13g	N136b	GR9a
14m	155	N19a	N136c	GR35
14n	212	N19b	N136e	

Purpose:

Evaluate a train crew's compliance with rules governing train or engine movements.

Preparation:

- Secure operable railroad radio
- Secure extra Event Recorder Data Pack Cartridges and/or PC Memory Cards
- Secure copy of the Train Dispatcher's Bulletin
- Determine the location of train or engine
- Review Track Chart
- Review Train Consist
- Review Crew Management Records

Procedure:

- Direct observation, i.e., train rides, switching
- Review event recorder printouts
- Review voice recording tapes

CATEGORY 9 – Form NS-1

Rules Table:

A1b1	A27	A35.4	L235.2
A1b2	A28.1	A35.5	L235.3
A1b3	A28.2	C100	L236.1
A1f	A28.3	C102	L236.2
A4	A28.4	C103	L236.3
A5	A28.5	C105	L236.4
A6	A28.6	C108	L237
A6.1	A29	C111	L238
A6.2	A30	C114	L240.1
A7	A31.4.1	L201.1	L240.2
A8	A31.4.3	L201.2	L240.3
A9	A31.5.1	L201.3	L241
A10	A31.5.3	L201.4	L242
A11	A31.5.4	L203	L243
A12	A31.5.7	L204	L243.1

Continued:			
A13	A31.5.8	L205.1	L243.2
A14	A31.6.1	L205.2	L244
A15	A31.6.2	L205.5	L245
A16.1.2	A31.6.3	L207.1	L245.1
A16.2	A31.7.1	L207.4	L245.2
A18	A31.7.2	L207.5	L248
A19	A31.7.3	L208	L251
A20.1	A31.7.4	L209	L252
A20.2	A31.8	L210.1	T400
A21.1	A31.9.4	L210.2	T401
A21.2	A31.9.5	L210.3	T402
A22	A31.102	L210.4	T403
A23	A31.103	L210.5	T404
A24	A31.11	L217	
A25	A35.2	L230	
A26	A35.3	L235.1	

Purpose:

Monitor compliance with required rules governing air brake tests, freight car inspections, and train and equipment handling.

Preparation:

- Secure operable railroad radio
- Secure air gauge
- Secure extra Event Recorder Data Pack Cartridges and/or PC Memory Cards
- Determine location of crews

Procedure:

- Direct observation of employees
- Direct observation of equipment
- Ride trains
- Review event recorder printouts
- Review voice recorder tapes

CATEGORY 10 – Blue Signals

Rules Table:

26	26d	26i	N16e
26a	26e	N16a	
26b	26f	N16b	
26c	26h	N16d	

Purpose:

Monitor compliance with rules governing Blue Signal protection when required for personal safety.

Preparation:

- Secure operable railroad radio
- Determine type of blue signal protection required

Procedure:

- Determine type of blue signal protection established
- Direct observation of employees
- Direct observation of blue signals, switches, derails, etc.
- Direct observation of Control Operators and records

CATEGORY 11 – Hazardous Materials

Rules Table:

HM2.1	HM2.11	HM3.3	HM6.1	HM7.3
HM2.4	HM3.1	HM4.1	HM6T1	HM7.4
HM2.5	HM3.2	HM5.1	HM6T2	HM8.3
HM2.6	HM3.2a	HM5.2	HM6T3	HM8.4
HM2.7	HM3.2b	HM5S1	HM6T4	HM8.5
HM2.8	HM3.2c	HM5S2	HM6T5	HM8.6
HM2.9	HM3.2d	HM5S3	HM6T6	HM8.7
HM2.10	HM3.2e	HM5S4	HM6T7	

Purpose:

Monitor compliance with rules governing the documentation and the handling, switching, and position in train of cars containing or last containing hazardous materials.

Preparation:

- Secure operable railroad radio
- Determine location of trains and engines
- Secure copy of the train consist, switch list, work order, etc.

Procedure:

- Direct observation of
 - Employees
 - Train placement
 - Documentation
 - Placards
 - Hazardous Materials cars
 - Switching

CATEGORY 12 – TWC/DCS

Rules Table:

173.2	181	N176	N403
173.3	183	N165b	N405
173.4	N161	N173	

Purpose:

Monitor compliance with requesting, transmitting, copying, repeating, and complying with Track Warrants and Form Ds.

Preparation:

- Secure operable railroad radio
- Determine location of trains and engines

Procedure:

- Review of Track Warrants and Form Ds
- Observations in the field
- Monitor radios
- Ride trains
- Review of voice recording tapes

CATEGORY 13 – ROADWAY WORKER

Rules Table:

GR37	756b	N999.4b	N999.8c
752c	756c	N999.6a	N999.9d
753a	756d	N999.6b	N999.9f
753b	757c	N999.6c	N999.10
755a	758d	N999.6d	
755b	758f	N999.7	
755c	759	N999.7a	
755d	N141	N999.7b	
756	N999.3c	N999.7c	
756a	N999.4a	N999.7d	

Purpose:

Monitor compliance with rules that prescribe minimum safety standards for the protection of Roadway Workers.

Preparation:

- Secure operable railroad radio
- Determine location of Roadway Workers
- Determine type of on-track safety procedure required

Procedure:

- Direct observation of Roadway Workers
- Determine type of on-track safety procedures in effect
- Review working limit authority

CATEGORY 14 – On-Track Equipment

Rules Table:

809	815	N805
810	821	N807
811	834	N811
812	835.1	N813
814	835.2	N815

Purpose:

Monitor compliance with rules governing the use and operation of on-track equipment.

Preparation:

- Secure operable railroad radio
- Determine location of on-track equipment
- Have Obstruction Banner accessible
- Have radar gun accessible and calibrated

Procedure:

- Direct observation of the operation of on-track equipment
- Review movement authority
- Erect Obstruction Banner, if applicable

CATEGORY 15 – Other Rules and Instructions

Rules Table:

101a	192	822	N138b	N808
101d	426	823	N138d	N814
101e	500.1	825	N138f	N942
101g	589	828	N138g	N961
107	593	N16f	N138h	N999.2
171	604	N99	N166	N999.5
172	610	N100	N400a	GR6
173.5	751	N105b	N400d	GR10
173.6	754	N105c	N402a	GR26
173.7	802	N105d	N406d	GR27

Continued:				
173.8	804	N116	N552	RC2.1
173.9	805	N121	N553	RC2.2
175	806	N134	N703	RC2.4
178	808	N137f	N801	RC2.5
179	813	N138a	N804	RC2.6
182	820	N505	GR32	RC2.7
RC2.8	RC2.9	RC2.10	RC2.11	RC3.1
RC3.2	RC4.1	RC4.2	RC5.2	RC6.1
RC6.2	GR32.3			

Purpose:

Monitor compliance with operating rules not contained in Categories 1 through 14.

Preparation:

- Secure operable railroad radio
- Determine location of trains and engines
- Review Track Chart
- Review Train Consist
- Review Crew Management Records

Procedure:

- Direct observation of employees

CATEGORY 16 – Safety Rules

Rules Table:

GR13a	1001.4	1100b	1110e	1570
GR13b	1001.5	1100c	1111	1570a
GR13c	1002	1100d	1111a	1570b
GR13d	1005	1100e	1111b	1629
GR13e	1006	1100f	1111c	1650
GR13f	1017	1100g	1203	1651
GR13g	1018	1101.1	1204	1686
GR13h	1031	1101.2	1206	
GR13i	1032	1101.3	1207	
GR13j	1033	1101.4	1208	

Continued:				
GR13k	1042	1102	1300	1570a
GR13l	1043	1102a	1300a	1570b
GR13m	1050	1102b	1300b	1629
GR13n	1051	1102c	1300c	1650
GR13o	1070	1102d	1300c1	1651
GR13p	1071	1104	1300c2	1686
GR14	1074	1105	1300c3	GR32.4
GR15	1080	1106	1300d	
GR16	1083	1110	1300e	
1001	1085	1110a	1300f	
1001.1	1088	1110b	1300g	
1001.2	1100	1110c	1327	
1001.3	1100a	1110d	1570	

Purpose:

Monitor employees for compliance with Safety Rules related to the proper discharge of their duties.

Preparation:

- Secure operable railroad radio
- Determine location of employees
- Determine activities of employees

Procedure:

- Direct observation of employees

PROGRAM ACCESS

The Norfolk Southern Efficiency Check Program is a mainframe application. Authorization from the Operating Rules Department is required to access the NS Computerized Efficiency Check Program. Access to the "Rules" system is achieved by entering "J" at the Thoroughbred Horse screen. This will display the screen requiring a **USER I. D.** and **PASSWORD.**

At the screen reading "ENTER NEXT TASK CODE," type "RULES" and enter. The **Rules Program Menu** screen will be displayed as follows:

RULES PROGRAM MENU

ENTER APPROPRIATE CHARACTER FOR YOUR REQUEST

I - INQUIRE ON RULE COMPLIANCE RECORDS
H - HELP
A - ADD RULE COMPLIANCE RECORDS
Z - ZONE HELP
R - ROSTER MAINTENANCE
D - UPDATE DIV/ZONE NAMES
E - EXCEPTION REPORTS A, B, C, D, E, F, G, H, I, and J
J - BI-ANNUAL EXCEPTION REPORT A
O - OFFICER/EMPLOYEE ACTIVITY SUMMARY
S - SATURATION SUMMARY REPORT
C - ENGINEER CERTIFICATION
T - TRAIN RIDE INQUIRY (REPORTS)
B - SAFETY AUDIT SUMMARY
V - VARIOUS SUMMARY REPORTS (SECONDARY MENU)
M - MILE POST REPORT
Q - RULE CHECK CATEGORY SUMMARY

HIT ENTER TO CONTINUE OR PF3 TO EXIT