



RP-1

Supervisor Guidelines for Conducting Efficiency Checks

7/1/2015

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GENERAL NOTICE

Norfolk Southern's Efficiency Check Program is required by Federal Regulation 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, Supervisors involved in conducting efficiency checks should commend employees when they consistently demonstrate proper knowledge and understanding of operating rules and instructions. Employees found in violation of an operating test or inspection must be advised of the non-compliance and corrective action taken as soon as practicable. The integrity of the program rests with each Supervisor. Supervisors are expected to maintain Norfolk Southern's policy for handling such matters in a fair and consistent manner.

The following guidelines will become effective **July 1, 2015**. A copy of this program must be provided to each Supervisor whose duties include conducting efficiency checks.

Mark. D. Manion
Executive Vice President, and
Chief Operating Officer

THE PROGRAM

The RP-1 provides basic guidelines and establishes minimum requirements for the quality and type of efficiency checks to be conducted when monitoring compliance with:

- NS Operating Rules
- NS Safety and General Conduct Rules
- NS-1 – Equipment Operation and Handling Rules
- HM-1 – Hazardous Materials Rules
- System Timetable Instructions
- HV-1 – Highway Vehicle Operators Guide
- MSBs – Mechanical Safety Bulletins

Quality checks are of paramount importance. Prior to conducting efficiency checks, Supervisors must receive appropriate field training and demonstrate proficiency in conducting each operational test the Supervisor is authorized to conduct. Quality checks must be conducted:

- at various times and days of the week
- on various dates
- at various locations
- on weekends and holidays
- on safety sensitive rules
- for procedural compliance with the rules

Assistant Division Superintendents, Chief Engineers, Division Managers of Mechanical Operations (DMMO), and Mechanical Assistant Shop Managers are responsible for oversight and administration of the efficiency check program on their respective division, region, work group, or shop. **Senior Manager Operating Rules Corey J. Veal** is responsible for the oversight and administration of the efficiency check program for the system.

TRANSPORTATION DEPARTMENT

TYPES AND METHODS OF EFFICIENCY CHECKS

TEST – any unannounced Efficiency Check that results from one of the following:

- An operating condition caused to exist by the reporting Supervisor(s), e.g., setting a signal to display a Stop indication, placement of a BANNER, etc.
- The reporting Supervisor(s) going to a pre-determined location, with the intended purpose to conduct efficiency checks for employee compliance with rules in Group A or Group B categories.
- Speed checks using radar

INSPECTION – any Efficiency Check performed during a Train Ride, review of Event Recorder Download or review of Voice Tape Recordings.

OBSERVATION – any Efficiency Check that doesn't qualify as a TEST or INSPECTION performed during the Employee's normal performance of duty. Observations do not remove employees from Exception Reports.

SATURATION RULE CHECKS must be conducted on each Transportation Divisional Zone not less than every other month and must not cover more than one zone. The checks must be conducted at various times and on various days of the week including weekends and holidays. The Saturation Team will consist of two (2) or three (3) supervisors and must include one supervisor directly assigned to the zone being checked. The supervisor assigned to the zone being checked will not serve as the Team Captain. Team checks will cover a consecutive 6 to 9-hour period from the start of the first efficiency check to the end of the last efficiency check.

If the Saturation Rules Test period is less than the required period, the Team Captain will forward an explanation within five (5) days to the Assistant Division Superintendent who will forward a copy to the appropriate General Manager and the Senior Manager Operating Rules.

BANNER TESTS must be conducted to test an Engineer's compliance with Restricted Speed. Banner Tests must be conducted throughout the month on various days, times, and locations across a terminal or territory to maintain unpredictability. Except during Blitzes, conducting multiple Banner Tests within close proximity in time or location to one another should be avoided.

When planning a Banner Test, Supervisors should focus on QUALITY rather than QUANTITY, and establish realistic conditions where compliance with Restricted Speed is most critical to the safety of operations.

Banner Tests must not be conducted on shove movements.

Based on Quarterly Reviews or traffic patterns, the Assistant Division Superintendent may reduce or redirect the required Banner Tests.

RULE CHECK GROUPS

The following Rule Check Groups should be flagged when documenting the corresponding type of check (Mark All That Apply):

- Remote Control Operations
- Event Recorder Download
- Voice Tape Review
- Saturation Rule Check
- Foreign Line Employees

The category rules tables in the RP-1 are current the effective date of this program, however they are subject to edits. Therefore, the most updated rules tables can be accessed in Rules Admin and in T.R.A.I.N.

TRANSPORTATION DEPARTMENT REQUIREMENTS FOR EFFICIENCY TESTING

Transportation Supervisors are required to conduct and record checks on Transportation employees, in accordance with the RP-1, to ensure compliance with rules having application to their territory and to maintain safety of operations. Checks may also be conducted on any NS or foreign railroad employee when working or operating on NS tracks.

Rule violations that result in an accident/incident must not be recorded as rule checks, unless the supervisor personally observed the rule violation and the accident/incident. A rule check must **NOT** be recorded unless the Supervisor personally TESTS, INSPECTS, or OBSERVES the employee in the performance of their duties. All checks must be entered into **T.R.A.I.N.** within 15 days of the check. Rule check input errors must be corrected in **T.R.A.I.N.** before submission when noticed. Rule check edits after submission must be made in **Rules Admin**.

Except where efficiency testing efforts have been redirected as a result of Department, Division or System reviews, the following guidelines are provided to assist Supervisors in properly directing their efforts to reduce accidents/incidents.

GROUP	PERCENTAGE OF TESTS
A	Minimum of 60 percent
B	Minimum of 20 percent
Night Checks (2200-0600)	Minimum of 30 percent

TRANSPORTATION DEPARTMENT

TRAIN RIDES & OTHER

MONITORING ACTIVITY

TRAINMASTER

- TRAIN RIDES: minimum of four (4) Train Rides per month. For Road Trains these rides must cover a minimum of fifty (50) miles unless riding with a Local. Local Train Rides must be at least three (3) hours. Terminal Train Rides must be at least two (2) hours.
- BANNER TESTS: minimum of four (4) BANNER TESTS per month. Road Trainmasters must conduct a minimum of two (2) BANNER TESTS on the line of road.

ROAD FOREMAN of ENGINES

- TRAIN RIDES: minimum of ten (10) Train Rides per month, each lasting a sufficient length to evaluate the Engineer.
- BANNER TESTS: minimum of four (4) BANNER tests per month, including a minimum of two (2) BANNER TESTS conducted on the line of road.
- EVENT RECORDER DOWNLOADS: download and evaluate data from Event Records from a minimum of five (5) trains per month.
- LOCOMOTIVE ENGINEER TRAINEES: minimum once per month ride with each LET on their assigned territory a sufficient length to evaluate.
- ANNUAL MONITOR: perform Annual Monitoring on each Engineer on their assigned territory once per year. The Annual Monitoring of Terminal Engineers will be a minimum of three (3) hours.

CHIEF DISPATCHER

- Perform a minimum of one (1) hour of OBSERVATIONS per week with at least one (1) Train Dispatcher.

OST & MT

- Upon successful completion of CT School, conduct a minimum of one (1) Train Ride per month from origin to destination, or for yard jobs a minimum of 8 hours.

OTHER REQUIREMENTS:

- Conductor Trainees must be ridden with or have a "Field Observation" conducted at least 4 times during their training period. These 4 events must include at a minimum 2 train rides.

Train rides must cover at a minimum 50 miles for a road train, 3 hours for a local, and 2 hours for a terminal assignment.

A "Field Observation" consists of a supervisor directly observing the trainee during switching operations, making couplings, protecting shove movements, mounting / dismounting equipment, sufficient to evaluate the employee's progress.

- RCOs must be annually monitored on their assigned territory. The Annual Monitoring of RCO's will be a minimum of three (3) hours.
- Each territory must be ridden in its entirety monthly.
- All Yard Jobs and Locals must be ridden with every other month.

Excluding Exception Reports and Annual Monitoring requirements, Transportation Supervisors are relieved from the above "Train Rides and Other Monitoring Activity" during an extended absence of one week or longer due to vacation, sickness, or special assignments, etc.

TRANSPORTATION DEPARTMENT EXCEPTION REPORTS

Employees will periodically be **TESTED** or **INSPECTED** on various Rules and/or Rule Categories as directed.

ENGINEERS:

Engineers must be:

1. **TESTED** or **INSPECTED** for compliance with a Stop Signal, an Approach Signal, Restricted Speed and an Authorized Speed rule at least once every 90 days.
2. **TESTED** once every 180 days for compliance with a Stop Signal rule.
3. **TESTED** once every 365 days for compliance with a BANNER.

CONDUCTORS:

Conductors must be **TESTED** for compliance with any rule in “SWITCHING OPERATIONS” at least once every 365 days. A Conductor who is not performing service that requires certification is not required to be tested. However, a Conductor who was not tested in the previous calendar year must be **TESTED** within 30 calendar days of return to conductor service.

TRAINMEN:

Trainmen must be **TESTED** or **INSPECTED** for compliance with any rule in Group A categories at least once every 90 days.

ALL TRAIN AND ENGINE SERVICE EMPLOYEES:

All Train & Engine Service employees, including RCO's and hostlers, must be **TESTED** or **INSPECTED** for compliance with electronic device rules at least once every 365 days.

TRAIN DISPATCHERS:

Train Dispatchers must be:

1. **TESTED** or **INSPECTED** for compliance on any rule in the “TRAIN DISPATCHERS” or “TRACK AUTHORITY RULES” categories at least once every 90 days.
2. **TESTED** for compliance with the “Passenger Train Emergency Response Plan” at least once every 365 days. Note: This applies only to those divisions that host passenger trains.

POLICE COMMUNICATION CENTER EMPLOYEES:

Police Communication Center Employees must be **TESTED** for compliance with the “Passenger Train Emergency Response Plan” at least once every 365 days.

TRANSPORTATION DEPARTMENT VIOLATIONS

Rule violations will be entered in T.R.A.I.N. as: Letter of Caution, S.T.A.R.T., or Investigation.

LETTER OF CAUTION: Letters of Caution are to be sent to the employee as soon after the event as possible. These letters are not to be placed in the employee's Virtual Personnel File (VPF) nor documented in their Career Service Record (CSR).

S.T.A.R.T.: Once the S.T.A.R.T. process has been completed, the signed S.T.A.R.T. form will be scanned into the employee's Virtual Personnel File (VPF) and documented in their Career Service Record (CSR). S.T.A.R.T. handling will apply on a per craft agreement basis.

INVESTIGATION: Results of the investigation must be updated in Rules Admin by adding the discipline assessed, if applicable, to the record. If necessary, additional updates should be made to replace Investigation with Compliance, Letter of Caution or S.T.A.R.T, as applicable, if the handling was changed.

TRANSPORTATION DEPARTMENT REPORTING CATEGORIES

The Norfolk Southern Transportation Department Efficiency Check Program is divided into two (2) Groups containing sixteen (16) categories as follows:

GROUP A

Approach/Stop Signals

Restricted Speed

Authorized Speed

Switching Operations

Train Dispatchers

Equipment Operation, Handling and Securement

Personal Safety

GROUP B

Rule G

Train Movement

Communications

Blue Signals

Hazardous Materials

Mandatory Directive Rules

Roadway Worker Protection

On-Track Equipment

Remote Control Operations

GROUP A

APPROACH/STOP SIGNALS

Rules Table:

314	315	317	319	321	331	332
333	335	337	339	346	347	349
351	BANNER					

Purpose: Evaluate crew members' ability to:

- Comply with Approach signal indications
- Stop train or engine short of 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(s) or engine(s)
- Review Track Chart
- Review Train Consist
- Review Crew Management Records

Procedure:

- Apply track shunts
- Verify signal aspect (Approach and Stop)
- Take a position which permits observation
- Determine that movement stops short of signal or banner
- Remove track shunts after test

RESTRICTED SPEED

Rules Table:

93B	93C	111	192B2	217C	277E	279
281A	281B	287A3	318	336	344	345
348	356B2	550B	550C	SP-5B2		

Purpose: Evaluate crew members' ability to comply with Restricted Speed.

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(s) or engine(s)
- Review Track Chart
- Review Train Consist
- Review Crew Management Records

Procedure:

- Signaled territory:
 - Apply track shunts
 - Verify signal aspects
 - Erect Obstruction Banner, if applicable
 - Take a position which permits observation
 - Remove track shunts after test
- Non-signaled territory (**Rules 171 & 271**) and Non-controlled track:
 - Confirm conditions exist requiring Restricted Speed
 - Erect Obstruction Banner, if applicable
 - Take position which permits observation

BANNER TEST

Following are examples of conditions where a BANNER TEST may be used to test for compliance with Restricted Speed:

- When governed by a Restricting Signal.
- When operating on other than main track. This is especially important where the switch route is unknown (sidings, yards, switching leads, industrial leads, etc.). [SYS TT SP-5-(b)2]
- When operating on Main track within Yard limits. [OR 93(b)]
- When operating on Main track against the current of traffic in Yard Limits. [OR 93(c)]
- When a train occupies the same or adjacent block when following another train (i.e. dropping a shunt behind the lead train to establish a STOP or RESTRICTING Signal for a following movement).
- When an RCO is riding the lead locomotive in direction of movement in position to visually observe conditions ahead and conditions require operating at Restricted Speed. [OR 850(f)]
- When operating under a Track Authority requiring movement at Restricted Speed.
- While passing a train on an adjacent track that has been stopped by an emergency brake application (until it is determined that the track is clear). [OR 111]
- When entering a block between signals. [OR 279]
- When delayed in the block in 251 and 271 territory. [OR 281(a)]
- When delayed in the block in 261 territory where a crew change occurred and there is not a leaving signal. [OR 281(b)]
- When operating past a Stop signal on verbal permission from the Train Dispatcher / Operator. [OR 277(e)]

AUTHORIZED SPEED

Rules Table:

SP-3	SP-5A					
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Purpose: Evaluate crew members' ability to operate trains or engines within the authorized speed.

Preparation:

- Secure extra Event Recorder Data Pack cartridges and/or PC Memory Cards
- Calibrate radar gun
- Determine location of train(s) or engine(s)
- Review Track Chart
- Review Train Consist
- Review Crew Management Records
- Verify authorized speed, i.e., timetable, temporary, curve, equipment
- Secure copy of the current Train Clearance

Procedure:

- Utilize radar gun
- Analyze Event Recorder Downloads
- Direct observation of Speed Indicator

SWITCHING OPERATIONS

Rules Table:

181	182	185	186	187	188	197
198	199	200	202A	202B1	202B2	204
208	212	213	215A	215B	223A	223B
229B						

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

Preparation:

- Secure operable railroad radio
- Secure copy of the current Train Clearance
- Determine location of train(s) or engine(s)
- Secure signaling equipment
- Secure copy of Work Order

Procedure:

- Direct observation of switching operations

TRAIN DISPATCHERS

Rules Table:

103	112	116	125	252	272	277
291	293	299	510	527	530	540
541	551	552	561	575	590	630
632	659	737A	737C	844	EQ-32	PSSGTRN

Purpose: Monitor Train Dispatchers/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 Authority Form
 - Transfer
 - Bulletins
 - Train Clearance
- Observe Train Dispatchers/Control Operators performing dispatching functions
- Utilize voice tape recording playback unit
- Utilize computer

PASSENGER TRAIN EMERGENCY PREPAREDNESS

Purpose: Monitor dispatchers and police communication center employees for compliance with instructions governing Passenger Train Emergency Preparedness.

Preparation:

- Secure copy of the NS Passenger Train Emergency Preparedness Plan

Procedure:

- Either during a Passenger Train Emergency Preparedness Drill or during a planned Efficiency Test, direct visual observation and questioning to determine that the dispatcher and/or police communication center employee understands and is in compliance with the procedures outlined in the NS Passenger Train Emergency Preparedness Plan.

EQUIPMENT OPERATION, HANDLING & SECUREMENT

Rules Table:

224A	224B	225	227	238	A-1	A-2
A-6	A-6-1	A-6-2	A-7	A-8	A-9	A-10
A-11-2	A-13A	A-13C	A-19	A-20B	A-21	A-22
A-31B	A-31C	A-31F	A-31G	A-31K	A-34	C-100
C-102A	C-102B	C-102C	C-103	C-106	DP-1	DP-2
DP-6	DP-8	DP-9	DP-10	E-1	E-2	E-3
E-4	L-202	L-203	L-205B	L-207	L-210A	L-210B
L-210C	L-213	L-217	L-235	L-236A	L-236C	L-237
L-238	L-240	L-241	L-242	L-243	L-244	L-245
L-246	L-248	L-251	L-252	T-400	T-401	T-402
T-405	T-406					

Purpose: Monitor compliance with rules governing air brake tests, freight car inspections and train/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

PERSONAL SAFETY

Rules Table:

1	5	20A1	20A2	20A4	20A5	20A6
20B1	20B2	21C	21D	22A	22B	22C
22D1	22D2	22D3	22D4	22E	26B	1040
1044	1050	1050A	1070	1071	1072	1080
1083	1100A	1100C	1100F	1100G	1102A	1102B
1102C	1102D	1105	1110	1110B	1110C	1111
1111A	1111B	1112				

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 activity of employees

Procedure:

- Direct observation of employees

ELECTRONIC DEVICES

Purpose: Monitor employees for compliance with rules governing use of Personal and Railroad-Supplied Electronic Devices.

Preparation:

- Secure operable railroad radio
- Determine location of employees
- Review Crew Management Records
- Determine activity of employees

Procedure:

- Direct visual observation to determine that the device is stored out of sight, when required. If use is prohibited and the device is out of sight, the supervisor will consider the employee in compliance.
- If use is prohibited and the device is in view or there is reason to believe the device is on, a failure has occurred. The supervisor will allow the employee to demonstrate that the device is turned off and that no prohibited use has occurred. Employees declining this opportunity will be considered in violation of prohibited use.
- Following a major accident or serious rule violation incident where prohibited use is suspected, the supervisor may request the employee show the electronic device call log noting the times and duration of use of that device. If the employee refuses or the electronic call log is unsatisfactory, after consulting with Labor Relations and Law and approval received from VP-Transportation, a supervisor may request the employee provide records of the times and duration of use of that device. These records are readily available from the employee's service provider upon the employee's request. The employee may blackout any private personal information other than the number of calls/texts, the time of those calls/texts, and the duration of the calls/texts. Failure to timely provide these records on request will be considered evidence of prohibited use.

GROUP B

RULE G

Rules Table:

G						
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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

TRAIN MOVEMENT

Rules Table:

70F	72	73	74	81	110	113
120	126	127	140A	140C	145	155
156	172	174	176	177	178	179
192	195	217A	217B	241	242	275
276A	276B	276C	282	357	732	

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

Preparation:

- Secure operable radio
- Secure extra Event Recorder Data Pack Cartridges and/or PC Memory Cards
- Secure copy of the current Train Clearance
- Determine location of train(s) or engine(s)
- 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

COMMUNICATIONS

Rules Table:

30	33	34	36	45	52	57
58	59	60	69	216A	216B	216C
219						

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

BLUE SIGNALS

Rules Table:

651	652	653	654	655	657	658
660	661	662	670	SP-5B4		

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

HAZARDOUS MATERIALS

Rules Table:

HM 2.0	HM 3.0	HM 4.0	HM 5.0	HM 6.0	HM 7.0	HM 9.0
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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 train(s) or engine(s)
- Secure copies of the train consist, switch list, work order, etc.

Procedure:

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

MANDATORY DIRECTIVE RULES

Rules Table:

502	503	504	505	506	507	520
521	523	529	531	542	573	574
576	577					

Purpose: Monitor compliance with requesting, transmitting, copying, repeating and complying with Mandatory Directives, including Track Authorities.

Preparation:

- Secure operable railroad radio
- Determine location of train(s) or engine(s)

Procedure:

- Review of Train Clearances and Bulletin Items
- Review of Track Authority Forms
- Observations in the field
- Monitor radios
- Ride trains
- Review of voice tape recordings

ROADWAY WORKER PROTECTION

Rules Table:

700	701	710	725	737	740	745
751	756	760	761	762	780	

Purpose: Monitor compliance with rules establishing 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

ON-TRACK EQUIPMENT

Rules Table:

802	804	806	807	808	809	810
812	813	814	817	818	819	822
826	828					

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 Stop Obstruction Banner accessible
- Have radar gun accessible and calibrated

Procedure:

- Direct observation of the operation of On-Track equipment
- Review movement authority
- Erect Stop Obstruction Banner, if applicable

REMOTE CONTROL OPERATIONS

Rules Table:

850C	850D	850E	850F	850H	851	852
854	855	856	857	L-236F		

Purpose: Monitor compliance with Remote Control Operations.

Preparation:

- Secure operable radio
- Secure copy of the current Train Clearance
- Determine location of train(s) or engine(s)
- Secure signaling equipment
- Secure copy of Work Order

Procedure:

- Direct observation of remote control operations

ENGINEERING DEPARTMENT

TYPES AND METHODS OF EFFICIENCY CHECKS

TEST – Any unannounced Efficiency Check that results from the reporting Supervisor(s) going to a pre-determined location, with the intended purpose to conduct efficiency checks for employee compliance with rules.

REQUIREMENTS FOR EFFICIENCY TESTING

Engineering Department Supervisors are required to conduct and record checks on Engineering Department employees, in accordance with the RP-1, to ensure compliance with rules having application to their territory and to maintain safety of operations. Checks may also be conducted on any NS or Foreign railroad employee when working on or operating on NS tracks.

Rule violations that result in an accident/incident must not be recorded as rule checks, unless the supervisor personally observed the rule violation and the accident/incident. A rule check must **NOT** be recorded unless the Supervisor personally TESTS the employee in the performance of their duties. All checks must be entered into T.R.A.I.N. within 15 days of the check. Rule check input errors must be corrected in T.R.A.I.N. before submission when noticed. Rule check edits after submission must be made in Rules Admin.

EXCEPTION REPORTS

Engineering Department employees whose duties require compliance with at least one rule noted in each designated category will be tested for conformity with rules in each applicable category once every quarter. Any Engineering Department employee whose duties do not require performance of rules in a given category is not required to be tested on that category.

ENGINEERING DEPARTMENT VIOLATIONS

Documented violations will be entered in T.R.A.I.N. as either a Letter of Caution or an Investigation.

LETTER OF CAUTION: Letters of Caution are to be sent to the employee as soon after the event as possible. These letters are to be placed in the employee's Virtual Personal File (VPF) and documented in their Career Service Record (CSR).

INVESTIGATION: Results of the investigation must be updated in Rules Admin by adding the discipline assessed, if applicable, to the record. If necessary, additional updates should be made to replace Investigation with Compliance or a Letter of Caution, if the handling was changed.

ENGINEERING DEPARTMENT REPORTING CATEGORIES

The Norfolk Southern Engineering Department Efficiency Check Program is divided into four categories as follows:

Category A - Rule G

Category B – Work Procedures and Safeguards

Category C – Job Safety Briefings, Track Authorities & Roadway Worker Protection

Category D - On-Track Equipment, Switches, Derails, & Electronic Devices

Category A - RULE G

Rules Table:

G						
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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 B – WORK PROCEDURES & SAFEGUARDS

Rules Table:

1070	1150	1156	1157	1192	1261	1263
1269	1493	1540	1544	1556	1558	

Purpose: Monitor employees for compliance with Safety Rules related to the discharge of their duties

Preparation:

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

Procedure:

- Direct observation of employees
- Review of Rescue Plan in place
- Direct observation of Fall Arrest system and Fall Rescue system

Category C – JOB SAFETY BRIEFINGS, TRACK AUTHORITIES & ROADWAY WORKER PROTECTION

Rules Table:

1	524	529	563	574	584	701
703	710	712	720	726	729	731
737	741	743	746	752	757	758
759	760	761	762	764	780	782
783	785					

Purpose: Monitor employees for compliance with Operating Rules that govern Job Safety Briefings, Track Authorities and Roadway Worker Protection.

Preparation:

- Secure operable railroad radio
- Determine location of employees
- Determine activity of employees
- Determine Form Y limits and approach board locations, if applicable

Procedure:

- Direct observation of employees for required communication
- Determine type of On-Track Safety procedures in effect
- Review Track Authority Forms
- Review voice tape recordings
- Review of Individual Train Detection Forms
- Review of Joint Occupancy Forms
- Direct observation of Inaccessible Track procedures

Category D – ON-TRACK EQUIPMENT, SWITCHES, DERAILS, & ELECTRONIC DEVICES

Rules Table:

5	182	183	186	188	190	192
197	199	204	206	212	223	802
806	808	809	811	812	813	814
818	819	822	828	842	1220	

Purpose: Monitor employees for compliance with Operating & Safety Rules related to the proper handling of Electronic Devices, Switches & Derails, On-Track Equipment, and Lock-Out/Tag-Out procedures.

Preparation:

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

Procedure:

- Direct observation of employees
- Direct observation of On-Track Equipment

ELECTRONIC DEVICES

Purpose: Monitor employees for compliance with rules governing use of Personal and Railroad-Supplied Electronic Devices.

Preparation:

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

Procedure:

- Direct visual observation to determine that the device is stored out of sight, when required. If use is prohibited and the device is out of sight, the supervisor will consider the employee in compliance.
- If use is prohibited and the device is in view or there is reason to believe the device is on, a failure has occurred. The supervisor will allow the employee to demonstrate that the device is turned off and that no prohibited use has occurred. Employees declining this opportunity will be considered in violation of prohibited use.
- Following a major accident or serious rule violation incident where prohibited use is suspected, the supervisor may request the employee show the electronic device call log noting the times and duration of use of that device. If the employee refuses or the electronic call log is unsatisfactory, after consulting with Labor Relations and Law and approval received from VP-Engineering, a supervisor may request the employee provide records of the times and duration of use of that device. These records are readily available from the employee's service provider upon the employee's request. The employee may blackout any private personal information other than the number of calls/texts, the time of those calls/texts, and the duration of the calls/texts. Failure to timely provide these records on request will be considered evidence of prohibited use.

ON-TRACK EQUIPMENT SPEED, SPACING, & FLAG STOPS

Purpose: Evaluate On-Track Equipment operators' ability to operate in accordance with Operating Rules, including stopping within half the range of vision.

Preparation:

- Secure operable railroad radio
- Secure signaling equipment (red flag)
- Determine location of On-Track Equipment
- Review Track Chart
- Review Track Authority

Procedure:

- Position yourself where movement of On-Track Equipment can be observed
- Use radio to monitor transmissions of On-Track Equipment operator(s) being observed
- Determine the location for half the range of vision for the operator of approaching On-Track Equipment
- To determine if OTE movement can stop within half the range of vision, give the movement STOP signals with a red flag and observe if the stop is made within half the range of the operator's vision
- For proper spacing:
 - observe movement of OTE behind a train or engine and determine if it maintains proper spacing behind such movement.
 - observe On-Track Equipment when working to maintain proper separation from other On-Track Equipment and/or workers in the foul of the track

MECHANICAL DEPARTMENT

TYPES AND METHODS OF EFFICIENCY CHECKS

TEST – Any unannounced Efficiency Check that results from the reporting Supervisor(s) going to a pre-determined location, with the intended purpose to conduct efficiency checks for employee compliance with rules.

OBSERVATION – Any Efficiency Check that does not qualify as a TEST performed during the Supervisor’s normal performance of duty. Observations do not remove employees from Exception Reports.

REQUIREMENTS FOR EFFICIENCY TESTING

Mechanical Department Supervisors are required to conduct and record checks on Mechanical Department employees, in accordance with the RP-1, to ensure compliance with rules having application to their territory and to maintain safety of operations. Checks may also be conducted on NS and foreign line employees when working on or operating on NS tracks.

Rule violations that result in an accident/incident must not be recorded as rule checks, unless the supervisor personally observed the rule violation and the accident/incident. A rule check must **NOT** be recorded unless the Supervisor personally TESTS or OBSERVES the employee in the performance of their duties. All checks must be entered into T.R.A.I.N. within 15 days of the check. Rule check input errors must be corrected in T.R.A.I.N. before submission when noticed. Rule check edits after submission must be made in Rules Admin.

Except where efficiency testing efforts have been redirected as a result of Department, Division or System reviews, the following guidelines are provided to assist Supervisors in properly directing their efforts to reduce accidents/incidents.

GROUP	PERCENTAGE OF TESTS
A	Minimum of 60 percent
B	Minimum of 20 percent
Night Checks (2200-0600)	As Directed By Department

MECHANICAL DEPARTMENT EXCEPTION REPORTS

Employees will be periodically TESTED in various Rule Categories as directed.

ALL MECHANICAL DEPARTMENT EMPLOYEES:

All Mechanical Department employees must be TESTED for compliance:

1. On any rule in GROUP "A" at least once every 90 days.
2. With an Electronic Device rule at least once every 365 days.

EMPLOYEES WHOSE DUTIES REQUIRES THE PERFORMANCE OF SWITCHING:

Mechanical Department employees whose duties require the performance of Switching Operations must be TESTED for compliance with any rule in the "SWITCHING OPERATIONS" category at least once every 365 days. A Mechanical Department employee whose duties do not require performance of Switching Operations is not required to be tested.

MECHANICAL DEPARTMENT VIOLATIONS

Documented violations will be entered in T.R.A.I.N. as: Letter of Caution, S.T.A.R.T., or Investigation.

LETTER OF CAUTION: Letters of Caution are to be sent to the employee as soon after the event as possible. These letters are not to be placed in the employee's Virtual Personnel File (VPF) nor documented in their Career Service Record (CSR).

S.T.A.R.T.: Once the S.T.A.R.T. process has been completed, the signed S.T.A.R.T. form will be scanned into the employee's Virtual Personnel File (VPF) and documented in their Career Service Record (CSR).

INVESTIGATION: Results of the investigation must be updated in Rules Admin by adding the discipline assessed, if applicable, to the record. If necessary, additional updates should be made to replace Investigation with Compliance, Letter of Caution or S.T.A.R.T, as applicable, if the handling was changed.

MECHANICAL DEPARTMENT

REPORTING CATEGORIES

The Norfolk Southern Efficiency Check Program is divided into two (2) Groups containing eleven (11) categories as follows:

GROUP A

Switching Operations

Equipment Operation, Handling & Securement

Personal Safety

Blue Signal

Fall Protection

Lock Out/Tag Out

Electrical and Line Work

Coal Piers and Barney Yards

GROUP B

Rule G

Communications

Highway Vehicle Operations

Proper Use of Tools

Working on Equipment, Locomotives & Freight Cars

SWITCHING OPERATIONS

Rules Table:

181	182	186	187	188	204	212
213	215A	215B	223A	223B	MSB 26	MSB 87
MSB 88						

Purpose: Monitor employees' compliance with rules governing switching, shoving, securing equipment, handling switches and derails, and leaving equipment in the clear.

Preparation:

- Secure operable radio
- Determine location of employees(s) performing activity

Procedure:

- Direct observation of switching operations

EQUIPMENT OPERATION, HANDLING & SECUREMENT

Rules Table:

1033	1195	1206	1301	1309	1310	1316
1318	1320	1325	1540	1541	1543	1544
1545	1546	1547	1548	1549	1550	1551
1552	1553	1554	1555	1556	1557	1559
A-6	A-6-1	A-6-2	A-7	A-8	A-9	A-10
A-13	A-31K	C-102	L-236	MSB 18	MSB 28	MSB 42
MSB 45	MSB 86					

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

Preparation:

- Secure operable railroad radio
- Secure air gauge
- Determine location of employee(s)

Procedure:

- Direct observation of employees
- Direct observation of equipment

PERSONAL SAFETY

Rules Table:

1	2	5	20	21	22	922
1001	1007	1016	1017	1020	1027	1030
1040	1041	1042	1043	1050	1051	1070
1071	1072	1083	1100	1102	1105	1106
1110	1110A	1110B	1110C	1111	1111A	1111B
1112	1160	1165	1167	1170	1315	1317
1319	1323	1325	1326	1327	1341	1420
MSB 01	MSB 03	MSB 04	MSB 09	MSB 10	MSB 11	MSB 15
MSB 22	MSB 27	MSB 29	MSB 30	MSB 33	MSB 40	MSB 48
MSB 59	MSB 62	MSB 63	MSB 64	MSB 65	MSB 68	MSB 70
MSB 72	MSB 78	MSB 79	MSB 80	MSB 81	MSB 85	

Purpose: Monitor employees for compliance with Safety Rules & Mechanical Safety Bulletins related to the proper discharge of their duties.

Preparation:

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

Procedure:

- Direct observation of employees

ELECTRONIC DEVICES

Purpose: Monitor employees for compliance with rules governing use of Personal and Railroad-Supplied Electronic Devices.

Preparation:

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

Procedure:

- Direct visual observation to determine that the device is stored out of sight, when required. If use is prohibited and the device is out of sight, the supervisor will consider the employee in compliance.
- If use is prohibited and the device is in view or there is reason to believe the device is on, a failure has occurred. The supervisor will allow the employee to demonstrate that the device is turned off and that no prohibited use has occurred. Employees declining this opportunity will be considered in violation of prohibited use.
- Following a major accident or serious rule violation incident where prohibited use is suspected, the supervisor may request the employee show the electronic device call log noting the times and duration of use of that device. If the employee refuses or the electronic call log is unsatisfactory, after consulting with Labor Relations and Law and approval received from VP-Mechanical, a supervisor may request the employee provide records of the times and duration of use of that device. These records are readily available from the employee's service provider upon the employee's request. The employee may blackout any private personal information other than the number of calls/texts, the time of those calls/texts, and the duration of the calls/texts. Failure to timely provide these records on request will be considered evidence of prohibited use.

BLUE SIGNALS

Rules Table:

650	651	652	658	660	662	663
1301	1302	1303	1305	MSB 41	MSB 57	

Purpose: Monitor compliance with rules governing blue signal protection when required for personal safety.

Preparation:

- Secure operable 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.

FALL PROTECTION

Rules Table:

1156	MSB 32	MSB 35	MSB 84			
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Purpose: Monitor compliance with rules governing all work requiring fall protection.

Preparation:

- Secure operable radio
- Determine location of fall protection usage

Procedure:

- Inspect fall protection apparatus before and after each use
- Direct observation of employee(s)

LOCK-OUT/TAG-OUT

Rules Table:

MSB 37	MSB 38	MSB 44	MSB 47			
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Purpose: Monitor employees for compliance with Lock-Out/Tag-Out rules related to the proper discharge of their duties.

Preparation:

- Secure operable railroad radio
- Secure proper Lock-Out/Tag-Out tags and locks
- Inspect lock strength
- Inspect tags for similarity

Procedure:

- Train employee(s) on the basics of Lock-Out/Tag-Out
 - Perform shutdowns
 - Isolate equipment
 - Locate energy sources
 - Apply & remove Lock-Out devices
 - Release residual energy
 - Verify that procedures were done
- Direct observation of employees

ELECTRICAL & LINE WORK

Rules Table:

1250	1250A	1250B	1252	1253	1255	1259
1260	1261	1263	1266	1269	1271	1272
1321	MSB 02	MSB 05	MSB 06	MSB 12	MSB 16	MSB 25
MSB 61	MSB 77					

Purpose: Monitor employees with rules governing all electrical safety procedures and protocol.

Preparation:

- Secure operable radio
- Secure work area
- Determine location of employee(s)

Procedure:

- Monitor job briefing
- Direct observation of employees

COAL PIERS AND BARNEY YARDS

Rules Table:

1700	1701	1702	1703	1706	1707	1716
1718	1719	1750				

Purpose: Monitor compliance with rules governing operations at coal piers and barney yards.

Preparation:

- Secure operable radio
- Secure work area
- Determine location of employee(s)

Procedure:

- Direct observation of employees

RULE G

Rules Table:

G						
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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

COMMUNICATIONS

Rules Table:

30	36	45	52	57	58	59
60	69	216A	216B	216C	221	502

Purpose: Monitor compliance with rules governing railroad communications.

Preparation:

- Secure operable railroad radio
- Secure voice tape recordings

Procedure:

- Monitor all radio channels
- Monitor Job Briefings

HIGHWAY VEHICLE OPERATIONS

Rules Table:

1002	HV-3	HV-4	HV-6	HV-7		
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Purpose: Monitor compliance with rules governing procedure and protocol for highway vehicle operation.

Preparation:

- Secure operable radio
- Determine location of employee(s) that will operate highway vehicles

Procedure:

- Direct observation of employees operating highway vehicles
- Determine location of HV manual in vehicles
- Conduct vehicle inspections including, but not limited to:
 - Seatbelts
 - Fire Extinguisher
 - First Aid Kit
 - Mirror Positioning
 - Condition of seats
 - Tire Pressure
 - Windshield wiper blades
 - Lights

PROPER USE OF TOOLS

Rules Table:

1009	1029	1150	1192	1193	1200	1213
1219	1220	1226	1230	1234	1254	1256
1257	1258	1262	1264	1265	1267	1268
1270	1314	1322	1342	1343	1344	1345
1346	1347	1348	1349	1350	1351	1352
1353	1354	1355	1356	1357	1358	1359
1360	1361	1362	1363	1364	1365	1366
1367	1368	1369	1370	1371	1400	1401
1402	1403	1404	1405	1406	1407	1408
1421	1422	1423	1424	MSB 13	MSB 20	MSB 21
MSB 23	MSB 24	MSB 31	MSB 36	MSB 43	MSB 46	MSB 51
MSB 52	MSB 53	MSB 54	MSB 55	MSB 67	MSB 69	MSB 74
MSB 76	MSB 83					

Purpose: Monitor compliance with rules governing tool specification limits.

Preparation:

- Secure operable radio
- Determine location of employee(s) that will use tools in the performance of their duties

Procedure:

- Direct observation of employees

WORKING ON EQUIPMENT, LOCOMOTIVES, AND FREIGHT CARS

Rules Table:

1324	1327	MSB 07	MSB 34	MSB 39	MSB 58	MSB 60
MSB 66	MSB 71	MSB 73	MSB 75	MSB 82		

Purpose: Monitor compliance with rules establishing minimum safety standards for the protection of employees working on equipment, locomotives, and freight cars.

Preparation:

- Secure operable radio
- Determine location of employee(s) performing work on equipment, locomotives, or freight cars.

Procedure:

- Direct observation of employees
- Determine the safety procedure necessary to be in effect
- Review working limit authority