



**UNION PACIFIC
FIELD TRAINING EXERCISES
MANAGERS GUIDE / CFR 217.9 SUBMISSION**

Program of Operational Tests, Inspections, and Record Keeping as required by 49CFR Part 217.9

■ CONCEPTS & POLICIES ■ SPECIAL REQUIREMENTS
■ REVIEW REQUIREMENTS ■ RECORD KEEPING ■ TESTS
■ DISPATCHING ■ ENGINEERING GUIDELINES

For the guidance of supervisors responsible for conducting Field Training Exercises on UP lines

Field Training Exercise Program

Manager's Guide

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OP Development and Training

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Program of Operational Testing 49CFR217.9

Field Training Exercises Overview

Introduction



As an Operating Department manager, one of your main ongoing responsibilities is to participate in the Company's Field Training Exercise (FTX) Program. This handbook should answer most of your questions about the program, and provide you with the necessary guidelines and procedures for conducting the individual tests.

FTX Scope

Although job performance procedures for train, engine, and yard crews are defined in our rules and instructions, the absence of direct supervision may result in an employee's failure to comply with those prescribed standards. To provide the supervision that generates job performance feedback, motivates, and ensures compliance, the company has instituted Field Training Exercise Programs for all service units.

The FTX program places emphasis on the process of debriefing after structured simulations (set-up tests), or in instances when a below standard performance is recognized. Essentially, these testing programs are an on-site sampling of job performance. Field Training Exercises are standardized observations which assess the individual's ability to apply knowledge to job-related tasks. Each test evaluates a crew's, or a particular crew member's, ability to complete a specific task in compliance with the rules.

SITUATIONAL AWARENESS:

Situational Awareness is KEY to ensuring rules compliance and understanding of the process for conducting the exercise or observation. Do not focus on only one test, e.g. restricted speed, when many other rules such as radio procedure and train handling are involved.

FTX Objectives

Field Training Exercises are designed to:

- Evaluate an employee's ability to perform a task in compliance with the rules and procedures under normal operating conditions
- Evaluate an employee's ability to demonstrate the proper application of rules and procedures within a controlled environment
- Identify training needs through analysis of the FTX data
- Provide feedback to the employee about his or her performance
- Evaluate risk associated with performing various tasks and determine proper method to mitigate risk

Testing Requirements and Measurements

Testing Manager Qualifications

Testing managers must successfully complete the training course, examination, and field training listed in the chart below.

Required Training Courses

Course Code	Title	Length of Course	Exam Code	Final Sign off by DRO Code
OPFTI	Operational Testing (FTX) for Non-Agreement	5 Hours	OPFXI	OPFTX
OPFTA	Operational Testing (Air Brake Test)	1 Hour	OPFXA	OPFTXA
OPFTD	Operational Testing (Detector)	1 Hour	OPFXD	OPFTXD
OPFTS	Operational Testing (Signal)	1 Hour	OPFXS	OPFTXS
OPFTR	FTX Refresher Course and Exam	4 Hours	OPFTR	OPFXR

NOTE: Field training is conducted by the service unit's DRO or designee.

Each manager must demonstrate required skills by assisting a qualified testing manager performing each test type prior to being qualified to conduct the test alone. After receiving initial training, each manager must complete a qualified refresher course every three years.

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The person attempting to be qualified must be listed as an assisting manager in EQMS for documentation purposes.
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Field Training

Additionally, a qualified FTX manager will accompany any person attempting to qualify for any or all testing segments, for a minimum of three testing sessions. A manager(s) new to a territory must be accompanied by a manager of signal maintenance or a testing manager prior to performing signal tests and/or detector tests.

A notation must be made documenting the names of all managers participating in the testing event.

The following managers must accompany each direct report who has testing responsibilities and provide performance feedback to the manager at least once each calendar year:

- Superintendent
- Director of Road Operations/Director of Terminal Operations
- Sr. Mgr. of Operating Practices/Sr. Mgr. of Terminal Operations

Supervisors Responsible for Conducting Field Training Exercises (Tests)

- Directors (DTO and DRO)
- Transportation Managers (MOP, MTO, MRO, MYO)
- Mechanical Managers
- Other supervisors as directed by the Superintendent
- Operating Practices

System Requirements and Testing Plan Considerations

The General Superintendent or Superintendent will determine the number of Field Training Exercises to be conducted by each manager.

System Requirements

- All active train and engine employees will have at least one Field Training Exercise every 120 days.
- Active Engineers and RCL Operators will be tested with a structured stop test at least once every 180 days. Engineers and RCL Operators that are setback and have exceeded 180 days since their last structured stop test as an Engineer or RCL Operator, must have a structured stop test within 10 days of retuning to service as an Engineer / RCO.

FTX Testing Plan Considerations

- Number of employees required to be tested
- Areas of focus identified by your Risk Identification and Mitigation (RIM) process
- Foreign crews operating on UP trackage, or UP crews operating on foreign lines, regular joint testing exercises must be conducted
- Human factor incidents
- Skill evaluation exceptions noted
- Focus on quality structured tests
- Focus on quality of the test as opposed to the number of tests

Manager Requirements

Senior Management

General Superintendent	10 assists per month
Superintendent	10 assists per month
Director of Road Operations	20 assists per month
Director of Terminal Operations	20 assists per month
Senior MTO	10 assists per month
Senior MOP	10 assists per month

Managers

Senior MTO	10 FTX events per month (6 Structured)
Senior MOP	10 FTX events per month (6 Structured)
MRO	20 FTX events per month (12 Structured)
MOP	20 FTX events per month (12 Structured)
MTO	15 FTX events per month (9 Structured)
MYO	10 FTX events per month (6 Structured)

Reminders:

Minimum monthly testing requirements should be prorated to account for vacation time and time away from the regular assignment for periods of two weeks or more.

Minimum requirements are mandatory unless relief is granted by Regional AVPO and General Director Operating Practices.

System Measurements

Measurements are based on exposure, frequency, and severity of accident data and risk assessment. Below are the minimum monthly requirements for testing on each territory.

Service Unit Goals

- Meet monthly required testing goal (based on total monthly requirement for managers)
- Active TE&Y Employees must be tested at least once every 120 days
- Active Engineers and RCL Operators must be stop tested at least once every 180 days
- Ensure quality testing with focus on structured tests, 60% of all tests must be structured tests
- A debriefing is required for each structured testing event or when a below standard behavior is noted; however, debriefings are encouraged for all testing events
- Ensure hands-on testing requirements (RXABH) are met for TE & Y employees

Manager Monthly Requirement(s) Tests

- Structured tests
- FTX testing plan
- Assists

Note: *Reference previous section for details.*

FTX Preparation

Employees Subject to Operational Testing

- Engineers, Student Engineers, Hostlers
- Remote Control Operators
- Conductors, Brakemen, Switchmen, Hostler Helpers, Student Trainmen
- Yardmasters
- Train Dispatchers
- Control Operators
- Mechanical Department Employees
- Maintenance of Way Employees
- Managers holding a valid certificate as required by 49CFR240
- Foreign line TE&Y

Foreign line railroad employees are governed by operating rules and timetable/special instructions of the railroad they are operating on. Safety, airbrake, and train-handling rules may only be entered when the requirements are identical to UP's requirements. Operational tests must not be performed on contractors, vendors, etc. except when the employee is performing a task that he or she is qualified to perform that would be considered a transportation function.

Recommended Equipment and Documents (Testing Kit)

- ✓ General Code of Operating Rules
- ✓ Rules and Instructions Governing Air Brake System and Train Handling
- ✓ Safety and General Rules for All Employees
- ✓ Hazardous Materials Instructions
- ✓ Instructions Governing Train Dispatchers and Control Operators
- ✓ Rules for Maintenance of Way and Structures
- ✓ Current Timetable and all General Orders in effect
- ✓ Track charts of operating district
- ✓ List of measured mile post locations and any measured distances between block signals
- ✓ List of block signals equipped with switches for conducting light-out and signal tests
- ✓ Keys for switches, signal boxes, and detectors
- ✓ Approved device to simulate obstruction in switch
- ✓ Hand-held red flag, yellow-red flag(s), yellow flags, red flag, green flag, and appropriate flag holders
 - Flags should be made of the prescribed materials and be the appropriate size and color.
- ✓ At least two shunt cords
- ✓ Adequate light, fusee stand, and fusees
- ✓ Radar device and portable battery pack
- ✓ A supply of materials that crews are required to carry: GCOR, General Orders, Air Brake Rules, etc.

Note: When appropriate, electronic documents may be used if accessed through a non-wireless source (e.g. hard drive, flash drive, or memory card).

FTX Planning and Application

Frequency of Testing

One of the principle goals of the program is to create the awareness that job performance can and will be evaluated at any given time. Therefore, testing should be conducted at all hours of the day and night, on weekends, and holidays. Your testing schedule should not be predictable and should be based on train operations.

Testing should be spread out over the entire month. Conducting a large number of tests in one or two days does not provide a true reflection of rules compliance. Efficiency testing is one of your most important daily duties; you're always in a position to observe employee performance.

Location of Testing

Job performance may be evaluated at any time over the entire operating territory; however, most efforts should be concentrated in the following areas:

- Location(s) with train accidents
- Location(s) of personal injuries
- Remote locations (e.g. not tested within the previous 120 days)
- RIM locations identified in the risk analysis
- Locations with similar characteristics to the items above that are potential risks

FTX Manager Pre-Testing Documentation

Prior to conducting any FTX event, you must review the rules that are to be tested and obtain the following documents where applicable to the territory and employees tested:

- Train lineup
- List of employees requiring testing (120-day lists for tests or 180-day list for stop tests or Air Brake)
- List of employees requiring follow-up tests
- A copy of all track bulletins in effect at that location
- Information regarding any trains known to be experiencing train handling or air brake problems

FTX Manager Job Briefing Questions for Understanding

- Will test create an unsafe condition?
- What Rules are involved in conducting this test?
- What would be considered a below standard behavior?
- How would a below standard behavior (e.g. decertification) be handled?
- Will the test cause the hours-of-service limit to be exceeded for the crew being tested?
- Will the test cause the hours of service limit to be exceeded for the crews of other trains?
- Does the train to be tested have any air or train handling problems that could create an unsafe condition?
- Will the test location provide the sight distance desired for the type of test that is being conducted?
- Which signals are equipped with light-out and or signal test switches?
- Has a job briefing with all members of the test team been completed, reviewing rules related to the test and each team member's role in the test?

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It is important that all tests be conducted fairly, under normal operating conditions, and that no attempt ever be made to entrap an employee.

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Reminders:

- If changes occur with the test team or the test changes, additional job briefings must be performed.
- Debriefing must include any outside agencies that participated in or observed the test(s).
- Ensure that all testing events are properly documented.
- All members of the test team are to be in agreement with the handling of each test.

FTX Application Requirements

- Under normal operating conditions
- As randomly as possible
 - Unannounced
 - Without prior notice to the employee(s) being tested
 - At various locations throughout the day and month
 - Under all types of weather conditions

- Ensure the testing program is unpredictable and samples actual employee performance
 - Avoid testing at familiar locations, during the same time of day, or on the same days of the week
- In a fair and impartial manner
 - Ensure that the testing event is a fair assessment of the employee's knowledge and skill
 - Do not setup in a manner that will result in a violation of the operating rules, regardless of the skill of the employee(s)
 - Always comply with all rules and do not violate any rule in the setup or when conducting a test
- As safely as possible
 - Set up in such a manner that minimizes the hazard of a potential train accident or personal injury

Note: Testing Managers are relieved of the requirement for establishment of Track Breach Protection while setting up and performing a structured test.

FTX Feedback

Field Training Exercises consist of observations of employee performance, assessment of an individual's ability to carry out specific responsibilities, and providing immediate feedback.

Feedback usually is one of three types:

Positive reinforcement is given to those employees who properly apply the rules.

Additional training is provided to those employees who lack sufficient understanding of the rules or an inability to demonstrate proper application of the rules. Additional training is typically conducted during a coaching session at the conclusion of the exercise. When appropriate, a formal training session may be scheduled.

Additional supervision is required for those employees who do not understand or apply the rules. To ensure rule compliance, employees are subject to random on-the-spot checks of performance and immediate feedback regarding the observed performance.

Debriefing Form Information

The field debriefing form must be completed for each structured and below standard testing event:

- Employee is to be afforded the opportunity to make comments and sign the field debriefing form. Managers must sign the field debriefing form to acknowledge the employees have been debriefed. A copy will be retained for the manager's records for 60 days from the date the test was entered, and a copy will be given to each employee tested.
- An employee's signature is not a requirement on the field debriefing form; however, a notation must be made as to why a signature is not on the form. Field Debriefing Forms involved in a challenge must be retained until challenge has been resolved.

Additional FTX Information

Routine observations are not considered structured tests. It is not necessary to stop and debrief a crew or crewmember for a routine observation, unless a substandard performance is noted. For at standard performance it is permissible to allow the train or job to continue and to communicate with the crew members at the earliest opportunity. The program squarely rests on employee/manager engagement and without face-to-face or real-time communication the process will not be fully realized.

Once the performance evaluation has been made, managers will announce their presence. FTX managers are strongly encouraged to take these opportunities to compliment the crewmembers on performances observed, as well as coach all below standard behaviors noted. An additional evaluation, where crews are questioned about other rules and regulations they are required to know, may also be conducted at this time. The last question that should be asked by the manager is, "How will you proceed from this point?"

FTX testing events are separated *by time and distance*.

Note: A testing event includes all activities required to complete the test. An example of a testing event would be a Stop test, where the train passes an Advance Approach and Approach, stops for the Stop indication and then stops for a red flag. These activities would all be considered one testing event.

Generally, tests are conducted without the knowledge of those employees who are being observed. This procedure ensures that the performance being tested is an accurate reflection of the employee's ability to apply the correct procedures and comply with the related rules and regulations, without direct supervision.

The typical testing procedure requires that you and/or a team of managers position yourselves in a location where the performance of the train crew or individual employee can be observed fairly and accurately. Usually this will be done as train and engine crewmembers carry out their responsibilities without your presence known to them.

You are required to assess the employee's performance, based on the standards prescribed by the following:

- General Code of Operating Rules
- Air Brake and Train Handling Rules
- Timetable Special Instructions
- System Special Instructions
- General Orders, Safety Rule Book
- Hazardous Materials Instructions
- Maintenance of Way, and Signal Rules Book.

However, when evaluating train dispatchers and control operators, you are required to assess their performance based on the procedures outlined in the Rules and Instructions for Train Dispatchers and Control Operators, in addition to those procedures dictated by the General Code of Operating Rules, Timetable, and General Orders.

Managers conducting onboard skill evaluations and training may only conduct "Hands-on Air Brake Tests" and Drug and Alcohol Tests on those employees, and observations on other employees. Structured tests may be performed by a separate manager who is not performing the skill evaluation. The manager conducting the skill evaluation will be listed as the assisting manager. Structured tests can be performed on employees who will be evaluated during a ride, but only prior to or after the ride evaluation. Once again, the evaluating manager will be listed as an assisting manager.

Structured tests are tests that require the manager to make special arrangements to set up the test with the anticipation of stopping the train or job to interview the crew as part of the test.

A train crew that is observed for a minimum of 20 minutes *while actively involved in switching* may also be shown as a "Structured Test." The 20-minute observation should focus on rules contained within the testing plan and not more than ten rules per event, per employee, should be entered.

Exception: when a below standard is noted, additional rules may be entered to address exceptions. **Not more than 50% of structured requirement or 5 events may be counted as structured tests.**

All structured events require a debriefing regardless of whether the performance is at standard (To Standard) or below standard (Coach to Improve, At Risk).

Shunting Tracks



Prior to shunting the track for the FTX event, the manager must call 1-800-877-5591 or 402-636-1099, and select the option for the geographical region they are working in.

Dangers of placing shunts improperly at road crossings:

- Shortens the approaches and reduces warning time to motorist
- Could potentially be considered as Intentional Interference with the functioning of the Warning System by FRA
- Causes FRA reportable Activation Failure

FRA Decertification

Rule violations involving decertification events as defined by the FRA will be handled according to the existing discipline policy. FRA regulations will apply to all employees.

Structured Test	Decertification	Conditions
Rule 6.32.2 XG	Below standard behaviors will be reviewed by regional staff and Operating Practices to determine handling.	Must be a structured FTX event.
Rule 6.32.2 XS		All crossing protection must be functioning properly.
Rule 13.7.2 Disabling the exit message	Below standard behaviors will be reviewed by regional staff and Operating Practices to determine handling.	Review required if crew exceeds maximum authorized speed by more than 10 MPH. Key trains only.

Failure to contact dispatcher in connection with a structured unannounced yellow flag will not be considered a decertification event when all other requirements are met.

All decertifiable or mitigating events must be reviewed by Regional DTOP and Operating Practices.

A testing manager must review each employee's testing history to determine whether the below standard event will be handled as a Coaching to Improve or At Risk.

FTX Data Entry

Entering Testing Events

All tests should be entered through the EQMS/FTE tab within 72 hours.

- **Cardinal Rules, 4C Rules and Decertification Rules (conductor or engineer):** Below standard performance of these rules must be documented as an At Risk.
- Under no circumstance should a test be entered later than the 4th day of the following month. Tests will not be accepted or edited after 90 days, or after January 31st of the following year.
- No more than 10 rules per event per employee should be entered, unless below standard performance is observed.
- When FRA or other agencies are present during a testing event, include their names in the comment section.
- Testing records may be reviewed by accessing FTX Reports through EQMS/FTE tab.

To Standard =

Successful compliance with all rules observed.

Coaching to Improve =

A below standard behavior was noted on one or more rules that may be handled as a coaching event.

At Risk =

A below standard behavior was noted for a rule that will require additional handling.

Test Exception Challenge Process

An employee may challenge exceptions entered within 60 days of the event, using the following process:

- Request the manager who entered the exception to review for accuracy
- The exception may be appealed to the service unit DRO if agreement cannot be reached
- The exception may be appealed to the service unit Superintendent or his or her designated representative
- The exception may be appealed to the region DTOP after Superintendent review, for final decision

FTX events in excess of 60 days are not subject to being challenged.

Use good judgment and never compromise safety when setting up testing situations.

WHAT ARE THE DO'S AND DON'TS OF FTX

Do:

1. Conduct the tests fairly.
2. Conduct the tests safely.
3. Make sure the employee takes every opportunity to demonstrate correct rules knowledge and application.
4. Coordinate your testing plans with the train dispatcher/control operator when appropriate.
5. Use every opportunity to improve an employee's knowledge and ability to apply the rules.
6. Communicate the results of the test through a debriefing of the crew.
7. Focus crew members back on rule requirements before leaving.
8. Conduct only tests listed in this guide.
9. Separate all test, primary and assist, by time and distance.

Don't:

1. Set up a testing situation that is outside the realm of the employee's normal operating conditions.
2. Set up a situation that can result in an unsafe act or condition.
3. Conduct a test to entrap an employee.
4. Create situations that will adversely disrupt the dispatcher/control operator's train movement without notification.
5. Violate a rule in order to set up or conduct a test situation.
6. Fail to notify and/or follow up with a debriefing with the employee(s).
7. Allow crew to become distracted by your presence.
8. Conduct tests other than those described in the FTX Training without the approval of General Director OP.
9. Split FTX, this is prohibited. The primary testing manager will conduct the test and debrief the entire train crew / job.

Test Type, Rules, and Procedures

Test No.	Type of Test	Purpose of Test	Means & Procedures For Conducting The Test
01A	Stop Test–Red Flag/Fusee/Switch Rules: 5.4.7, 5.6, 8.2, 8.20, 8.9.1	Determine that movement is made at a speed that will allow stopping short of a stop signal or improperly lined switch.	A red flag/fusee will be displayed to the right of, or between, the rails of the track as viewed from an approaching train or engine. The red flag/fusee will be in combination with a signal or other rule requiring the train to stop short of the flag/fusee, unless verbal permission to pass without stopping is given. Train crew must move prepared to stop short of switch or derail that is improperly lined. <i>Note: Fusee may only be used at night and must be placed in a fusee stand.</i>
	Compliance with Yellow-Red Flag Rules: 5.4.3, 5.4.4, 5.4.7	Determine that train is moving prepared to stop short of a red flag or men or equipment that may be fouling the track.	Restriction not specified in writing: Two miles beyond a yellow-red flag, train or engine may enter restricted area at Restricted Speed until leading wheels are four miles beyond yellow-red flag and dispatcher has verified that no track restriction is in affect at that location. A red flag or hand signal may be displayed to the right of track as viewed by an approaching train or engine between two and four miles from where the yellow-red flag was displayed. Restriction in writing: Two miles beyond yellow-red flag, a red flag must be displayed to right of track as viewed by an approaching train or engine. Flags must be displayed in connection with structured test.
01B	Stop Test with signal given by hand. Rule 5.3.1	Determine that train is moving prepared to stop short of a stop signal given by hand.	The hand signal to stop will be in combination with a signal or other rule requiring the train to stop short of the employee giving the stop signal. Attended red flag/fusee must be acknowledged. <i>Note: Acknowledgement of Rule 5.3.5 is entered as a 15A.</i>
02	Restricted Speed/Movement on Other Than Main Track Rules: 6.27,6.28	Determine that movement is made at Restricted Speed/Movement on Other Than Main Track when required by rule.	Stop signal will be displayed by hand, red flag, or fusee to train or engine required by rule to be moving at Restricted Speed/Movement on Other Than Main Track.
03A	Signal Displaying Stop Rules: 9.2, 9.2.15, 9.2.19, 9.5, 9.12.1, 9.12.2, 9.12.3, 9.12.4, 9.12.4A, 9.12.4B, 9.12.4C, 9.12.4D, 9.16, 11.2, 17.6	Determine that stop is made when required and that train or engine stops before any part of train or engine passes the signal.	Set up condition (shunts or test switches may be used) or take advantage of circumstance that requires a signal to display Stop. Train or engine must stop before any part of the equipment passes the signal.

Test No.	Type of Test	Purpose of Test	Means & Procedures For Conducting The Test
03B	Signal Displaying Restricted Proceed indication where stop is not required. Rule 9.2.14	Determine that train or engine passes signal at restricted speed, when by rule or prior signal, is already required to make movements at restricted speed.	Set up condition (shunts or test switches may be used) or take advantage of circumstance that requires movement at Restricted Speed in advance of a signal to display a Restricted Proceed indication. Train may pass signal at Restricted Speed without stopping. <i>Note: Stopping for signal would not constitute a below standard.)</i>
03C	Light extinguished in light-type signal. Rules: 5.15, 9.4, 9.5	Determine that movement stops short of signal with light extinguished where required.	Extinguish light in test signal (use test switches where equipped) and determine that signal in advance displays an Approach. <i>Note: Bulb must not be removed from signal to perform test.</i>
04	Restricting Indication Rules: 9.2.7, 9.2.13, 9.2.17, 9.2.18, 9.3.1, 17.5.1, 17.5.2, 17.5.3	Determine that movement proceeds past signal at Restricted Speed. In ATC territory, ensure that train reduces to Restricted Speed when required.	Set up condition (shunts or test switches may be used) or take advantage of condition that requires signal to display a Restricting indication/aspect. Stop signal will be displayed by hand, red flag, or fusee to crew member(s) to determine compliance with Restricted Speed.
05A	Signal Displaying Approach and Diverging Approach Indication. Rules: 9.2.6, 9.2.11, 9.3.2	Determine that train or engine immediately reduces to required speed.	Set up condition (shunts or test switches may be used) or take advantage of condition that requires signal to display an Approach indication.
05B	Other Block or Interlocking Signal Indications Rules: 9.1.1, 9.1.2, 9.1.3, 9.2.2, 9.2.3, 9.2.4, 9.2.4P, 9.2.5, 9.2.8, 9.2.9, 9.2.10, 9.2.10P, 9.2.12, 9.2.16, 9.3.3, 9.4.1	Determine that train crew member(s) complies with required signal	Set up conditions (shunts or test switches may be used) or take advantage of condition that requires signal to display a signal less favorable than clear.
06	Absolute Block Rules: 11.1, 11.2, 13.1.2, 13.3.1	Determine that train crew member(s) complies with absolute block requirements.	Set up conditions (shunts or test switches may be used) or take advantage of condition that requires an absolute block to be established. Determine that train or engine does not pass Stop, Restricted Proceed, or Restricting indications unless authorized by dispatcher.

Test No.	Type of Test	Purpose of Test	Means & Procedures For Conducting The Test
07	Train Defect Detectors Rules: Item 13.1, Item 13.2, Item 13.3, Item 13.4, Item 13.5, Item 13.6, Item 13.7.1 a – f, Item 13.7.2	Determine that train crew member(s) complies with detector instructions, communicates with the control operator, reduces speed (key train), and inspects train if required.	Defect: Use test switches to set axle count. Train must be stopped and indicated locations inspected for defects. Detector Failure: Use test switch. Note: manager must remain inside signal house to listen for defects when test switch limits radio transmission. Manager must have radio or other communications readily available to contact train if a defect is detected. Contact dispatcher immediately and comply with special instructions.
08	Check Speed of Train Rules: 5.4.2A, 5.4.2B, 5.5, 6.31, 7.4, Item 8-1	Determine speed of train by use of radar or time check evaluation.	Make an accurate check of speed of train or engine.
09A	Road Crossing At Grade. Rules: 5.8.1, 5.8.2(7), 5.9.1, 5.9.5, 6.32.1, 6.32.2, 6.32.3, 6.32.4, 6.32.5, 6.32.6, 6.32.7, 6.32.8, 81.1.3, Item 9	Determine that whistle, bell, and head light are used as required. Determine that crossing protection is provided when required.	Monitor train crews while passing over or switching around road crossings. Note: Do not <i>shunt track near crossings, without proper protection</i> . Do not <i>create any unsafe condition while performing FTX events</i> . Always use extra caution when <i>shunting tracks near interlockers or rail/highway grade crossings</i> . Anytime a manager is shunting the track for an FTX event, he or she must call 1-800-877-5591 or 402-636-1099 then select the option for the geographical region they are working.
09B	Approaching Men or Equipment Rules: 5.8.2(4), 5.8.2(8)	Determine that whistle is sounded when approaching men or equipment and continued until head end of the train has passed the work location.	Monitor train crews while approaching men and equipment. Note: <i>Work location is defined as the area where Men or Equipment are located</i> .
10A	Switching/Switches Rules: 6.4.2, 6.5, 7.1, 7.2, 7.3, 7.4, 7.7, 7.8, 7.10, 7.12, 8.2, 8.3, 8.8, 8.12, 8.20, 82.3	Determine that train crews are switching properly, and handling switches properly.	Monitor train crews while switching.
10B	Remote Control Operation Rules: 6.5.1, 6.5.2, 6.7 A-C, 7.4.1, 35.1, 35.2, 35.3, 35.3.1, 35.3.2, 35.3.3, 35.3.4, 35.4, 35.4.1, 35.4.2, 35.4.3, 35.4.4, 35.4.5, 35.5, 35.5.1, 35.6, 35.6.1, 35.6.2, 35.6.3, 35.6.4, 35.7, 35.7.1	Determine that train crews are switching with RCL equipment properly.	Monitor train crew member(s) for compliance with the proper setup, operation, and securement of the RCL equipment, the use of the RTC, and the logging and establishing of Zone(s).

Test No.	Type of Test	Purpose of Test	Means & Procedures For Conducting The Test
10C	Position of Switches in Non-Signaled Territory Rules: 1.47, 1.47.1, 1.47A, 1.47B, 1.47C, 1.47ER, 8.2, 8.3, 8.6, 8.20, 9.14.1, 9.15, 14.1, 14.2, 14.6, 14.7, 6.32.2, Item 10K, Item 10K1, Item 10K2, Item 10K3	Determine that train crew members(s) are complying with rules specific to non-signaled territory. Determine that switches are returned to the proper position and documented.	Monitor train crew members(s) for compliance with rules specific to non-signaled territory.
11A	On Board Assessment Rules: 1.5, 1.3.2, 1.10, 1.47, 1.47.1, 1.47A, 1.47B, 1.47C, 1.47ER, 1.48, 2.21, 3.2, 6.3, 10.1, 10.3, 14.1, 14.6, 15.1, 15.3, 15.4, 15.9, 15.10, 31.2, 31.2.1, 31.2.3, 70.3, Item 7A, Item 14A, 17.3, 17.4	Determine that train crew member(s) is complying with, and understanding of, required documents, use of drugs and alcohol, certification, and identification. Determine that cell phones are off as required by rule and regulation.	Observe and interview crew for: <ul style="list-style-type: none"> • Required documents • Certificate to operate a locomotive • Photo ID • Compliance with drug and alcohol policy • Cell phones are off
11B	Passenger Train Emergency Preparedness Rule EP239	Determine dispatcher(s) and train crew member(s) are complying with Emergency Preparedness Plan.	Inspect and monitor dispatcher and crew member compliance with Emergency Preparedness Plan.
12	Equipment Unattended Rules: 7.6, 32.1, 32.1.1, 32.1.2, 32.1.3, 32.1.4, 32.1.5 SSI ITEM 10L	Determine that train crew member(s) are complying with securement requirements.	Monitor crew member(s) for proper securement. Event recorder may be used to evaluate a release test.
13A	Radio Rules Tests Rules: 2.1, 2.2, 2.3, 2.4, 2.5, 2.6, 2.8, 2.9, 2.10, 2.11, 2.12, 2.14, 2.14.1, 2.15, 2.16, 2.17, 2.18, 6.5, 10.3, 14.7, 14.9	Determine that train crew member(s) are complying with proper radio procedure.	Monitor use of radio with special attention given to mandatory directives, proper read back, shoving moves, and proper identification. Verify that each crew member has a copy of the mandatory directives.
13B	Dispatcher Efficiency Tests Rules: 10.3, 14.7, 14.9, 20.2, 20.3, 20.6, 20.8.2, 22.5, 22.6, 22.9, 22.11, 23.5, 23.7, 23.8, 23.9, 23.10, 23.11, 27.3	Determine that limits of authority are correctly repeated by dispatcher. Determine compliance with Dispatcher Rules.	Dispatchers will be tested for compliance with requirements to repeat back the limits of authority correctly. Dispatchers will be tested for rules applicable to their responsibility.

Test No.	Type of Test	Purpose of Test	Means & Procedures For Conducting The Test
14A/14T ER	Train Air Brake Test Class I – 49 CFR 232.203 Class 1A Rules: 1.33, 30.1, 30.11.2, 30.3.2, 30.10.1, 30.3.3, 30.11, 30.11.1, 32.9.1, 32.9.2, 32.9.3, 32.9.4, 32.9.5, 32.9.6.	Determine that train crew member(s) are complying with Air Brake Test requirements.	Monitor crew member(s) while conducting the following tests: 1. Initial Terminal Air Brake Test. 2. Adding cars to a train that have not been pre- tested. Event recorder may be used to monitor air brake requirements but will not fulfill the “Hands on Training.” Note: <i>When test is used for FRA 49 CFR part 232.203 refresher training “hands on”, a field debriefing MUST occur and all crew members questioned on proper knowledge and application of rules. Failure to properly answer will result in crew not qualifying for passing score for “refresher hands on training.”</i>
14B/14T ER	Train Air Brake Tests Class 3 Transfer Air Brake Test Rules: 1.33, 30.1.1, 30.11.1, 30.5, 30.5.1, 30.10.1, 30.7, 30.7.1, 30.10.1, 30.8, 30.8.1	Determine that train crew member(s) are complying with Air Brake Test requirements.	Monitor crew member(s) while conducting the Air Brake test: Application and Release Test. Event recorder may be used to monitor air brake requirements.
14C/14T ER	Locomotive Air Brake Tests/Inspections Rules: 17.4.1, 31.2.1, 31.8, 31.3.1, 31.8.4, 31.1, 33.8.4, 34.4	Determine that train crew member(s) are complying with Locomotive Air Brake test requirements.	Monitor crew for Locomotive Inspection, Air Test, and Documentation. Event recorder may be used to monitor air brake requirements.
14D	All Other Air Brake Tests including DPU	Determine that train crew member(s) are complying with all other air brake tests.	Monitor train crew member(s) for compliance with air brake rules. DP air brake tests.
14E	Electronically Controlled Pneumatic Brakes Item 25	Determine that train crew member(s) are complying with Electronic Brake Test requirements and rule modifications related to the handling of ECP trains.	Monitor train crew member(s) for compliance with rule modifications related to the handling of ECP trains. Comments must be included with all tests describing the type of test conducted and modified rules when applicable involved in the test.
15A	All Other General Code Rules	Determine that train crew member(s) are complying with all other General Code rules.	Monitor train crew member(s) for compliance with General Code of Operating Rules.
15B	All Other Safety Rules	Determine that train crew member(s) are complying with all other Safety Rules.	Monitor train crew member(s) for compliance with Safety Rules.

Test No.	Type of Test	Purpose of Test	Means & Procedures For Conducting The Test
15C	Train Handling Rules: 33.2.1, 34.5, 34.5.2, 34.6.2, 34.6, 34.2, 34.2.1, 34.2.6, 34.2.2, 34.2.8, 34.2.11, 34.2.6, 31.6.2, 31.8.3	Determine that train crew member(s) are complying with proper train handling performance.	Monitor proper train handling procedures, including but not limited to maximum EPA/DBA, use of air brakes, and position of restricted cars.
15D	Car Placement and Train Makeup Restrictions Rules: 31.8.7	Determine that train crew member(s) are complying with proper placement of helper and restricted cars.	Review train makeup for restricted cars on the head end, rear end, and ahead of any helpers. Check crew to ensure proper tonnage restrictions, EPA, TPA, and coupler limits are met.
15E	All Other Special Instructions/Timetable Rules	Determine that train crew member(s) are complying with all other Special Instructions/Timetable Rules.	Monitor train crew member(s) for compliance with Special Instructions/Timetable Rules.
15H	Hazardous Materials	Determine that train crew member(s) are complying with the Handling and Placement of Hazardous Materials	Monitor train crew member(s) for compliance with instructions for Handling and Placement of Hazardous Materials.
15P	Passenger CM10JI, CM2NDLOOK, CMADA, CMDETRAINPASS, CMDOORLOCKED, CMDOORSHUT, CMOBTRIDE, CMPLATFORM	Determine that train crew member(s) are complying with rules specific to Passenger/Commuter operations.	Monitor train crew member(s) for compliance with rules specific to passenger train operations.
16	Fuel Tests Rules: 31.8.7, 31.8.7.1, 34.6.2, 34.2, 34.2.2, 31.8.7	Determine that train crew member(s) are complying with fuel conservation procedures.	Monitor train crew member(s) for compliance with shut down, having the reverser centered when stopped, train handling, and speed requirements.
19	Other On Track Equipment Rules: 5.4.7, 9.5	Stop Test–Red Flag/Fusee/Switch for Engineering Equipment	A red flag/fusee will be displayed to the right of, or between, the rails of the track as viewed from approaching engineering equipment.

Regarding Conductor Certification, CFR 242, and Union Pacific Discipline Policy, certain FTX events in the past that were “coachable / ACT 2” items are no longer valid for coaching and must be handled as ACT 3. These rules include:

- GCOR: 6.5, 7.1, 8.2, 8.5, 8.8, 8.9.1, 8.11, 8.12, 8.19, 8.20, 9.13, 9.13.1, 9.17, 10.1
- SAFETY RULE: 81.8.1 and SSI Item 10K

These rules must be assessed according to the UP discipline policy and assigned the appropriate discipline level. Please note the following when assigning discipline:

- Increased assessed levels
- Staggered effective dates
- Whether or not the item is considered a decertification

Prescribed Testing Equipment with Item Numbers:

MATERIAL ITEM NUMBER FOR EQUIPMENT

270-4595-0	Star Lantern	(1)
270-3300	Fusee Stand	(1)
270-1456	Flag	(1)
270-1480-0	Super Bright Reflective Flag	(1)
270-2692	Handle-Flag	(2)
270-2693	Flag Holder	(1)
520-7569	Shunt (request black)	(2)
410-9006	Tool Bag (optional)	(1)
417-5991	Signal Wrench	(1)
20128	Switch Tag	
Local MSM	Signal Key	(1)
	"SW USE RR SSS"-Efficiency Test SW. Key	(1)
	K-15 Radar Gun	(1)
	Battery Pack w/Charger	(1)
	Carrying Case for Radar Gun	(1)
	Tuning Fork	(1)
	Optional Radar Gun:	
	Railmaster by Decatur Electronics	
	Includes: Battery Pack w/Charger	
	Carrying Case	
	Tuning Fork	

NOTES:

Appendix

TITLE 49-TRANSPORTATION

CHAPTER II-FEDERAL RAILROAD ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

PART 217-RAILROAD OPERATING RULES

Sec. 217.9 Program of operational tests and inspections; recordkeeping.

(a) Requirement to conduct operational tests and inspections. Each railroad to which this part applies shall periodically conduct operational tests and inspections to determine the extent of compliance with its code of operating rules, timetables, and timetable special instructions in accordance with a written program retained at its system headquarters and at the division headquarters for each division where the tests are conducted.

(b) Written program of operational tests and inspections. On or after November 21, 1994, or 30 days before commencing operations, whichever is later, each railroad to which this part applies shall retain one copy of its current program for periodic performance of the operational tests and inspections required by paragraph (a) of this section and one copy of each subsequent amendment to such program. These records shall be retained at the system headquarters of the railroad and at the division headquarters for each division where the tests are conducted, for three calendar years after the end of the calendar year to which they relate. These records shall be made available to representatives of the Federal Railroad Administration for inspection and copying during normal business hours. The program shall—

Provide for operational testing and inspection under the various operating conditions on the railroad:

1. Describe each type of operational test and inspection adopted, including the means and procedures used to carry it out;
2. State the purpose of each type of operational test and inspection;
3. State, according to operating divisions where applicable, the frequency with which each type of operational test and inspection is conducted;
4. Begin within 30 days after November 21, 1994, or the date of commencing operations, whichever is later; and
5. Include a schedule for making the program fully operative within 210 days after it begins

(c) Records of individual tests and inspections. Each railroad to which this part applies shall keep a record of the date, time, place, and result of each operational test and inspection that was performed in accordance with its program. Each record shall specify the officer administering the test and inspection and each employee tested. These records shall be retained at the system headquarters of the railroad and at the division headquarters for each division where the tests are conducted for one calendar year after the end of the calendar year to which they relate. These records shall be made available to representatives of the Federal Railroad Administration for inspection and copying during normal business hours.

(d) Annual summary on operational tests and inspections. Before March 1 of each calendar year, each railroad to which this part applies, except for a railroad with less than 400,000 total manhours, shall retain, at each of its division headquarters and at the system headquarters of the railroad, one copy of a written summary of the following with respect to its previous year's activities: The number, type, and result of each operational test and inspection, stated according to operating divisions where applicable, that was conducted as required by paragraphs (a) and (b) of this section. These records shall be retained for three calendar years after the end of the calendar year to which they relate and shall be made available to representatives of the Federal Railroad Administration for inspection and copying during normal business hours.

(e) Electronic recordkeeping. Each railroad to which this part applies is authorized to retain by electronic recordkeeping the information prescribed in paragraphs (b) through (d) of this section, provided that all of the following conditions are met:

1. The railroad adequately limits and controls accessibility to such information retained in its electronic database system and identifies those individuals who have such access;
2. The railroad has a terminal at the system headquarters and at each division headquarters;
3. Each such terminal has a desk-top computer (i.e., monitor, central processing unit, and keyboard) and either a facsimile machine or a printer connected to the computer to retrieve and produce information in a usable format for immediate review by FRA representatives;
4. The railroad has a designated representative who is authorized to authenticate records retrieved from the electronic system as true and accurate copies of the electronically kept records; and
5. The railroad provides representatives of the Federal Railroad Administration with immediate access to these records for inspection and copying during normal business hours and provides printouts of such records upon request.

NOTES: