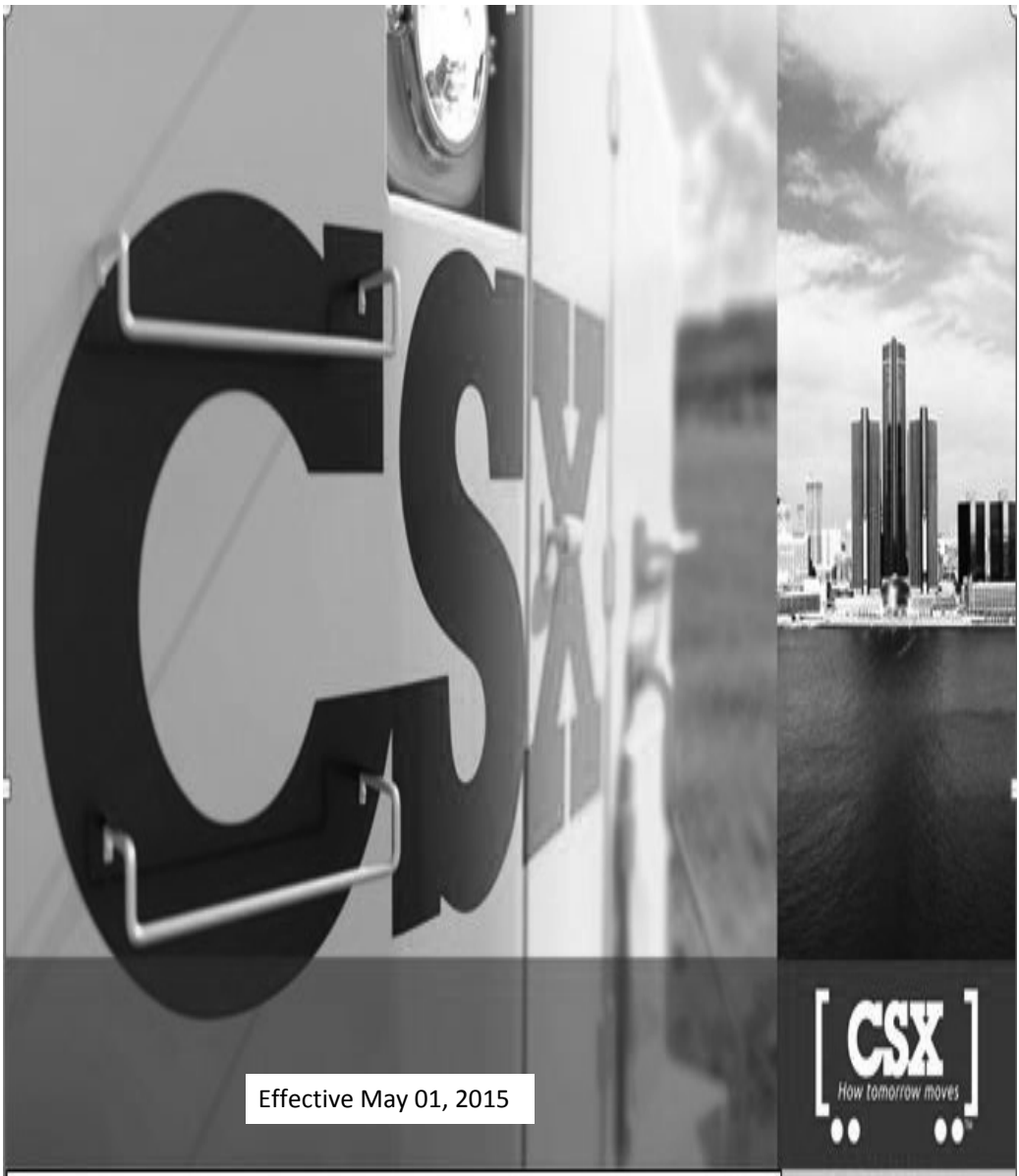

Effective May 01, 2015

Guidelines for Operational Testing and Data Reporting

Effective April 1, 2015

NO job is so important, **NO** service so urgent that we cannot take time to perform all work **SAFELY**.

CSX Vision

To be the safest, most progressive North American railroad, relentless in the pursuit of customer and employee excellence.

CSX Core Values

It Starts With the Customer

People Make the Difference

Safety Is a Way of Life

Fact Based

Right Results, Right Way

General Notice

The intended purpose of the CSX Operational Testing Program is to establish and maintain a safe and effective work environment for all employees. It is also required by federal regulation 49CFR §217.9. Operational tests are conducted to determine the extent of compliance with CSX Operating Rules, Safety Rules, Air Brake and Train Handling Rules, Equipment Handling Rules, Signal Aspect and Indication Rules, US Hazardous Material Instructions for Rail, CSX Procedural Instruction Manual, and Timetable Special Instructions (hereafter collectively designated as "Rules"). Employees working in the Transportation, Mechanical, and Engineering Departments are subject to operational testing as designated by these guidelines.

Rules are designed to be clear and explicit, and require proper execution. Rules compliance ensures the safety of all employees and the public; therefore, no short cuts or misinterpretation is acceptable. Operational tests provide employees an opportunity to demonstrate their ability to apply the rules and special instructions in the work environment, and as a matter of practice, supervisors involved in operational tests should commend employees when they demonstrate proper knowledge and understanding of rules. However, employees found in violation of rules that may compromise their personal safety or the safety of others must be addressed immediately.

The effectiveness and success of this program rests with the integrity and judgment of each supervisor. Supervisors are expected to maintain CSX policy for handling such matters in a professional manner and operational testing must not be used as a tool for harassment.

This document contains specific requirements regarding operational testing as well as lists of the most common groups of operational tests that can be performed. The requirements contained within this document will be amended as necessary through system bulletins or system notices; however, this document does not cover every conceivable operational test that can be performed. The safety of the public, the employees, and the supervisor(s) must always be the first priority when performing operational testing. Strict compliance with the rules is essential to the safe and efficient operation of the railroad. The purpose of testing is to achieve the highest level of rules compliance possible. Properly conducted tests will:

1. Reduce risk of accident caused by human error,
2. Improve and maintain employee alertness,
3. Provide supervisors with an immediate evaluation of an employee's application, understanding, and compliance with rules,
4. Assist supervisors in educating employees on the correct way to apply rules in actual operating situations, and
5. Enable the company to measure general and specific areas of rule compliance so that overall rule compliance can be maintained and improved.

The Guidelines for Operational Testing and Data Recording are issued under the authority of the Assistant Vice President Operating Practices, Tom Wolfe.

Tom Wolfe
Assistant Vice President Operating Practices

Demonstrating Leadership

In order to achieve CSX's vision, supervisors must:

1. Be Committed to What Really Matters – Operational testing demonstrates to our employees that supervisors are committed to maintaining a safe and effective work environment. When negative trends are identified by operational testing, supervisors should solicit ideas for improvement from the employees and be receptive to innovative ideas.

2. Be Where the Work Is – Supervisors must know the work and the applicable rules that affect the employees being tested. Operational testing provides the supervisor with the opportunity to lead, educate, and teach employees on a personal level.

3. Be Fair and Consistent – When performing operational tests, supervisors must ensure that everyone is held to the same standard. Supervisors must not be swayed by perceptions and previous performance, but deal strictly with the facts of the behavior being observed.

4. Practice Mutual Accountability – Supervisors must take ownership of the operational testing program. They must willingly accept that they are accountable for the actions of the employees who report to them. Before performing operational tests, supervisors will ensure they have provided the training and tools necessary for their employees to succeed.

5. Live Our Core Values – Operational testing reinforces the supervisor's commitment to the Core Values. It also gives the supervisor the opportunity to educate front line employees on how the Core Values impact performance.

6. Display Integrity and Be Ethical – Supervisors must always be professional and aware of their conduct when performing operational testing. Supervisors must ensure that their personal behavior and actions are above reproach.

7. Lead People Face to Face – Operational testing provides supervisors with the opportunity to interact and lead employees on a personal level. Supervisors must engage employees and initiate constructive discussions concerning safety and rules compliance.

8. Treat Everyone With Genuine Respect – Operational testing provides supervisors with the opportunity to get to know the employees and foster the professional relationships that lead to success. Supervisors must recognize and commend safe and compliant behavior. Unsafe and noncompliant behavior must be addressed professionally.

9. Value Excellence – Recognition of safe and rule compliant behavior as well as confronting unsafe and noncompliant behavior will demonstrate the supervisor's commitment to excellence. Supervisors must be sure their behavior exemplifies that commitment to excellence.

10. Pay Attention to the Details – Supervisors must focus on all the details of the behavior being observed when performing operational tests. By addressing every aspect of the work being performed, the supervisor creates a culture where the employees focus on those details each time they work.

Table of Contents

Operational Testing Guidelines

I. Purpose:

The purpose of this document is to support supervisors in maintaining a safe work environment by establishing operational testing standards on a system basis, affording employees an opportunity to demonstrate their knowledge and application of rules.

II. Objective:

The objective of operational testing is to prevent human factor accidents and injuries. Proper operational testing will determine employees' degree of compliance with the rules. It also allows for the identification of employees or locations that are in need of further education and training. Achieving this objective is dependent upon the feedback the testing supervisor provides to the employees—reinforcing positive behavior as well as correcting those that are noncompliant.

III. Safety:

Safety is the first and foremost responsibility of all employees at CSX. Supervisors must conduct operational tests in a manner that does not jeopardize or compromise the safety of the public, the employees, or themselves. Circumstances surrounding a test must not create a hazardous or hours of service condition for the employees being tested or the testing supervisors.

A. AFFECTING TRAIN MOVEMENTS – The appropriate train dispatching office must be informed before setting up tests that affect or stop train movements. During any signal test or other test that will require the movement to stop, a supervisor with a radio must remain positioned to stop movement or activity if necessary for safety.

B. USE OF TRACK SHUNTS – The use of track shunts is a valuable tool in performing operational tests, but they must only be used by a supervisor who is qualified on the proper procedures and use of track shunts.

NOTE: FRA REGULATION SIGNAL INSPECTION ACT, GOVERNING USE OF SIGNAL SYSTEM IN TESTS.

> Part 236 – Installation, Inspection, Maintenance, and Repair of Systems, Devices, and Appliances. Section 236.4 – Interference with normal functioning of device:
>
> The normal functioning of any device shall not be interfered with in testing or otherwise without first taking measures to provide for safety of train operation which depends on normal functioning of such device.

The removal of signal light bulbs or covering, or obstructing the view to a signal is prohibited. The opening of a switch or the removing of a derail connected to a circuit controller is also prohibited.

C. PUBLIC CROSSINGS AT GRADE – Supervisors must be aware of all highway-rail crossings and must not perform operational tests that would cause a malfunction of the automatic grade crossing warning device(s).

D. USE OF PERSONAL PROTECTIVE EQUIPMENT (PPE) – The use of required PPE is mandatory for supervisors, state and federal inspectors, foreign railroad supervisors, Amtrak supervisors, and any other person actively engaged in or observing operational testing on CSX property.

IV. Types of Operational Tests:

Planned Test – This type of test requires a planned procedure, conducted by one or more supervisors to evaluate compliance with the rules by an employee or group of employees. Testing may be conducted with or without the employee's knowledge.

Event Test – An Event Test requires the supervisor to make special arrangements to establish the desired condition that will require the employee(s) to take specific action. An Event Test anticipates that the supervisor will, at the conclusion of the test, immediately review the results of the test with the employee(s). Event Tests and the testing procedures are identified in this document.

Observation – An operational test that does not require the supervisor to change the work environment to perform the test and the supervisor's focus is exclusively on the observation of employee rule compliance.

Direct Observation – An operational test conducted by the supervisor in the direct presence of the employee as he/she performs his/her duties.

A. Employees' Knowledge of Operational Testing – It is essential that employees know they can be tested at any time or place. Therefore, it is important to conduct operational test with and without the employees' knowledge.

Anytime a supervisor notes a noncomplying rules condition, all involved must be notified of the exceptions and corrective action taken. The supervisor may require the movement or activity to be stopped safely before immediately addressing the incident.

1. **Tests Conducted Without the Employees' Knowledge** – Ensures the performance being tested is a reflection of the operations and the employees' ability to comply with the procedures described by the rules without direct supervision. Employees tested without knowledge should be made aware of the results of the testing as soon as practical.
2. **Tests Conducted With the Employees' Knowledge** – Provides the advantage of developing immediate employee contact and feedback to enhance positive attitudes and job satisfaction.
3. During this testing, supervisors must:
    1. Compliment employees on satisfactory performance(s),
    2. Address employees regarding unsatisfactory compliance to the rules,
    3. Ask questions concerning other rules and situations, and
    4. Clear up misunderstandings.

B. Employees may view – Operational tests conducted to assess their knowledge and application of the rules by accessing the Operating Practices Tracking System (OPTS).

V. Organizational Plan/Managerial Roles:

AVP Operating Practices – Administers the CSX Operational Testing Guidelines on a system-wide basis and will designate testing focuses based on system-wide accidents and personal injury trends. Testing focuses will be designated by system bulletin or system notice.

Division Department Heads – Are responsible for ensuring implementation and compliance with the CSX Operational Testing Guidelines. They may designate a supervisor to act on their behalf.

Responsibilities also include:

1. Designating the supervisors under their jurisdiction responsible for conducting operational tests,
2. Determining when a supervisor is qualified to perform operational testing,
3. Designating areas of concentration based on division or department accidents and/or personal injury trends,
4. Prescribing additional tests deemed necessary above the minimum requirements, and
5. Developing action plans to improve performance.

VI. Supervisors Required to Perform Operational Tests:

A. Qualified Officer – Designated by the Division Department Head and who has met the minimum standards required to demonstrate operational testing proficiency. Once qualified, a written record of each individual supervisor's qualification will be kept on file in the office of the Division Department Head and a copy of each record will be sent to the Director of Operating Rules.

B. Qualifications – In order to be qualified to perform operational testing, supervisors must meet the minimum standards below:

1. Attend rules training and pass required rules test at least every two years,
2. Demonstrate proficiency in performing operational tests as determined by the Division Manager or Department Head, or his or her designee, and
3. Be trained and qualified on recognizing the signs and symptoms of drug and alcohol use.

C. During the qualification period, supervisors who are not qualified may only perform operational tests under the direct supervision of a qualified fellow supervisor. The length of the qualification period is dependent on the experience and progress of the supervisor's ability to perform quality tests in accordance with this document. The Division Manager or Department Head, or his or her designee, will determine when a supervisor is qualified to perform operational tests.

D. Record Keeping – Official Record of Supervisor Operational Test qualification will be documented and kept on file by the Division and Operating Practices Department.

VII. Employees Subject to Operational Testing (but not limited to):

All CSX employees and employees of foreign carriers working on CSX property are subject to operational testing when on duty.

VIII. Frequency and Requirements for Operational Testing:

System and Division notices provide basic guidelines and establish minimum requirements for the types of operational tests to be conducted when monitoring compliance with rules.

A. Conducting Operational Testing:

1. At various times of the day, week, and month,
2. 35% of each transportation division's operational testing between 1700 and 0500,
3. At various locations,
4. On weekends and holidays,
5. On safety sensitive rules,
6. On procedural compliance with the rules, and
7. On foreign road crews and passenger operations on Divisions where such crews operate.

B. Transportation: In addition to the testing defined by system notice:

1. Ensure each certified conductor is tested on CSX rules that govern 49 CFR § 218, subpart F for:
    1. Hand-operated switches, crossovers, and derails
    2. Shoving or pushing movements
    3. Leaving equipment in the clear of adjacent tracks
2. Each certified locomotive operator is tested on the requirements of operating at one-half the range of vision, and
3. Operating employees are tested on the rules governing the use of electronic and electrical devices

C. Dispatching Offices – Forty tests per month as defined by system notice that will cover:

1. Authorities governing the movement of trains and on-track equipment,
2. Radio and wireless communication procedures,
3. Protection of on-track workers and/or equipment,
4. Emergency preparedness, and
5. Transmission of mandatory directives and Form EC-1 instructions

D. Engineering – Twenty tests per month on rules governing on-track worker safety and the operation of on-track equipment.

E. Mechanical (car and locomotive):

1. Band 6 or above:
    1. Two Mechanical department event tests, and
    2. Four additional operational tests
2. Band 5 or below:
    1. Four Mechanical department event tests, and
    2. Eight additional operational tests.

IX. Operational Test Purpose, Means, and Procedures:

Supervisors will identify the Purpose, Means, and Procedure for tests to be performed.

A. Purpose – To ensure a safe and efficient work environment by evaluating employees' ability to comply with specific rules being tested.

B. Means – Adequate preparation is essential in performing effective operational tests. In preparing for operational tests, the supervisor will:

1. Decide what tests will be performed
2. Determine which rules and procedures are applicable
3. Select a location to observe the test and ensure all observers are in place sufficiently in advance
4. Notify the control station prior to perform shunt or signal tests
5. When work forces are involved, the employee in-charge must be included, if not being tested
6. Determine what tools and documents are needed to perform the test
7. Determine what person(s) will be involved in conducting the test
8. Where applicable determine the location of other trains that may be affected, and
9. Obtain and review all documents affecting the movement of the train or on-track- equipment

C. Procedure – Adequate procedures will ensure tests are performed safely and correctly. The procedures for performing operational tests are listed in this document. The effectiveness and success of this program rests with the integrity, judgment, and knowledge of each supervisor. They will be expected to maintain CSX policy for handling such matters in a fair and firm manner. Therefore, supervisors should be familiar with the location(s) where operational testing will be performed. This includes understanding the expected work activities of the employees who are to be tested. Supervisors must also understand the application of the rules governing the employees and situations being tested as well as what actions or lack of actions constitute compliance and failure with the rules. If any doubt exists on the application of the appropriate rules, the supervisor or test team leader must secure clarification prior to performing the operational test.

X. Operational Test Equipment and Documents:

1. Appropriate PPE is mandatory,
2. The appropriate rules and special instructions applicable to the craft of employee being tested are also mandatory, including:
    1. Applicable rule books and/or operating procedure manual (updated with latest revisions),
    2. Current bulletins (System and Division),
    3. Timetable Special Instructions, and
    4. Dispatcher bulletins in effect.

3. Other equipment may be necessary depending upon the type of operational test being performed:
    a. Simulated Obstruction Device, or
    b. Fusees and flagging equipment (for day and night), or
    c. Shunt cables for signal territory, or
    d. Necessary communication devices, or
    e. Radar Gun – When using a radar device (gun) to conduct speed tests, the officers must:
        1. Maintain the radar device calibration in accordance with manufacturer's recommendations,
        2. Pretest the radar gun, using procedure recommended by the manufacturer,
        3. Test the radar gun after each test to determine that it is operating as designed by the manufacturer,
        4. Make sure the angle between the officer's position and the train does not exceed 15 degrees,
        5. Make sure no radar tests are made from moving vehicles unless the radar gun is designed for moving use, and
        6. Where available, use downloads to verify any noncompliance.

XI. Recordkeeping:

A. Supervisors Records – Supervisors will record results of operational tests in the OPTS. Tests must be entered into OPTS within 5 days.

Note: Documentation of an employee's failure to comply with the applicable rules or special instructions in the OPTS system requires additional documentation to ensure fairness and consistency. Supervisors must be familiar with these requirements.

B. Reports and Periodic Reviews – Supervisors may review operational testing records in the OPTS or Business Objects reporting systems. To identify trends, develop action plans, and for record retention purposes:

A). The Operating Practices department will perform six month reviews and annual summary reviews.

B). Each Division will perform a quarterly review within 30 days of the end of a quarter and retain the review for one year about which they relate. The quarterly review must:
    1. Be in writing,
    2. Determine supervisors have met the minimum number of operational tests,
    3. Include a review of the following:
        1) Results of operational tests and inspections,
        2) FRA Human Factor Accident/Incident data, and
        3) Events resulting in revocation of employee certification
    4. Include:
        1) Name of each testing supervisor,
        2) Number of tests conducted by each supervisor, and
        3) Determination that each supervisor met the minimum requirements
    5. Determine if any adjustments to the division's operational testing are required.

C). Company Operational Testing records (OPTS) and reviews must be available during regular business hours for FRA inspectors furnished upon request to the Operating Practices Department.

The CSX operational testing program consists of a series of event tests and standardized test categories. A series of instructions for each event test provides instruction to a supervisor on how to conduct the test, what rules the test should cover, and what constitutes a failure of that test. This gives system-wide consistency and provides supervisors with guidelines for conducting tests. Each event test is identified using an acronym that identifies the event test on which the employee(s) were tested. Rules can be identified by either individual rule or event test and sorted accordingly to identify trends and audit for compliance. The categories for operational tests are:

1. **Event Tests:**

    - OPSWDEHA – Operating switches and derails by hand
    - SCARS – Securing cars
    - STRAIN – Securing a train
    - SKEYT – Securing a KEY train
    - SILS – Shoving or pushing/encountering an improperly lined switch
    - SSBS – Shoving or pushing/encountering a Blue Signal
    - SSSH – Shoving or pushing/encountering a Stop Signal
    - SODABSOLUTE – Simulated Obstruction Device Test / Permission Past a Stop Signal
    - SODSHUNT – Simulated Obstruction Device Test / Performed Using Shunts
    - SODSIDING – Simulated Obstruction Device Test / Operating in a Controlled Siding
    - SILNOSHOVE – Improperly Lined Switch Other than Shoving on Non-controlled tracks
    - Mechanical Department

2. **Standardized Test Categories (other than Event Tests):**

    - General Requirements
    - Signals and Their Use
    - Movement of Trains
    - Utility Employees, Switches, Switching, Shoving, and Securement
    - Centralized Train Dispatching System and Authorities for Movement
    - Train Dispatching
    - Roadway Worker and On-Track Safety
    - On-Track Worker Qualifications
    - Remote Control Operations
    - Electronic Devices and Radio Communication
    - Protection in Bowls and Blue Signal Protection
    - Signal Aspects and Indications

3. **Event Recorders –** Event recorders or other analytical software may be utilized as a means to determine the employee's compliance with current operating rules such as, but not limited to, the following:

    1. Authorized speeds,
    2. Throttle position,
    3. Use of dynamic braking,
    4. Use of air braking, and
    5. Proper train handling techniques.

4. **Tests Conducted Using Information Obtained from Data Sources** – Operational testing can be conducted using information obtained from locomotive cameras, official recorded CSX radio or other CSX communication or dispatching systems, or any other authenticated technological means used to retrieve data. All applicable rules may be monitored using this data. The test date will be the date the event occurred.

5. **Rule 106 (Rule G) Test** – When a supervisor who is trained in drug and alcohol recognition has had face-to-face contact with an employee during operational tests, the supervisor must observe the employee for signs and symptoms. The supervisor must record this observation under the appropriate rule in OPTS. This will enhance CSX efforts to prevent accidents and injuries resulting from the impairment of employees from alcohol or controlled substances. Should the supervisor feel it necessary to conduct a federal reasonable suspicion drug or alcohol test as a result of the Rule G observation, the FRA Mandatory Reasonable Suspicion Testing Guidelines must be followed as outlined in the CSX Transportation Toxicological Testing Manual.

Operational Event Tests

Operating Switches and Derails by Hand: Non-controlled track (OPSWDEHA)

Introduction: This document describes how to perform planned operational event tests when it is known that employees will be operating switches or derails by hand on non-controlled track.

Objective: The objective is to evaluate employees' knowledge and compliance with the operating rules governing operating switches and derails by hand. In addition to the specific rules identified in each step, employees must also comply with all other applicable rules and special instructions.

Addressing Compliance and Failure

Required Actions:

- ✓ **Compliance**: All employees demonstrate compliance with all observed rules:
  1. At the conclusion of the test, stop the movement if necessary and approach the tested crew,
  2. Introduce yourself and identify all members of the test team,
  3. Review the purpose of conducting the operational test and related operating rules with each employee,
  4. Review the risks associated with noncompliance,
  5. Review the results of the operational testing, and
  6. Conduct a job briefing with all crewmembers discussing work activity or any conditions that have changed as a result of this test.

- ✓ **Noncompliance** is observed *at any point* during the operational test:
  1. Stop the test and restrict any further movement,
  2. Introduce yourself and identify all members of the test team,
  3. Review the results of the operational tests,
  4. Discuss observations and rule violations,
  5. Review the risks of noncompliance,
  6. Where appropriate, officers must demonstrate the correct procedures,
  7. Ask the employees if they have any questions or additional concerns,
  8. Determine that the employees understand the requirements of the rules discussed, and
  9. Conduct a job briefing with all crewmembers discussing work activity or any conditions that have changed as a result of this test.

Additional Work Activity	Observations Employees must be evaluated on the activities below when performed	Applicable Operating Rules
On or About Tracks and Fouling Equipment	Did the employee comply with all rules associated with fouling equipment, crossing tracks, keeping clear of movements, and crossing within 25' of the end of equipment? **Y/N** • **Yes**, continue • **No, stop the test and initiate defined corrective actions**	**Primary Rule:** GS-10 TS-15 **Companion Rules:** GS-8
Getting On or Off Equipment	Did the employee comply with all rules associated with getting on or off equipment? **Y/N** • Before getting on equipment, did the employee scan the area of the equipment you will get on to make certain that it was free of hazards? • **Yes**, continue • **No, stop the test and initiate defined corrective actions** • Before getting off equipment, did the employee stop at the bottom step or ladder rung to observe where they were going to place their feet. • **Yes**, continue • **No, stop the test and initiate defined corrective actions** • Did the employee comply with dismounting equipment in an area that provides solid footing and does not have any object or condition that would cause you to stumble or fall***?*** • **Yes**, continue • **No, stop the test and initiate defined corrective actions** • Did the employee comply with facing the equipment? • **Yes**, continue • **No, stop the test and initiate defined corrective actions** • Did the employee maintain three points of contact (two hands and one foot or one hand and two feet)? • **Yes**, continue • **No, stop the test and initiate defined corrective actions** • Did the employee maintain a handhold until their feet were firmly positioned? • **Yes**, continue • **No, stop the test and initiate defined corrective actions** • Did they employee keep clear of adjacent tracks? • **Yes**, continue • **No, stop the test and initiate defined corrective actions**	**Primary Rule:** GS-12 **Companion Rules:** GS-8

	• Did the employee make certain to mount or dismount on the off side away from any: - live track - main track - close clearance - hazards that may be present • **Yes**, continue **No, stop the test and initiate defined corrective actions**	
Personal Protective Equipment (PPE)	Did the employee comply with all rules associated with approved PPE? **Y/N** • **Yes**, continue • **No, stop the test and initiate defined corrective actions**	**Primary Rule:** TS-1 **Companion Rules:** GS-6

Operating Switches and Derails by Hand Event Test:

Operating Switches and Derails by Hand	Equipment did not foul a track until it was visually determined: 1. Switches and derails were properly lined? 2. Route was clear? • **Yes,** continue • **No, stop the test and initiate defined corrective actions**	**Operating Rule** 401.3
	Before lining a switch or derail, did the employee ensure: 1. No conflicting movements? 2. Preceding movement passed the clearance point? 3. Device was not locked, clamped, spiked, or tagged out of service? 4. No obstructions that would interfere with normal operation? • **Yes,** continue • **No, stop the test and initiate defined corrective actions**	**Operating Rule** 401.2 
	After operating a switch or derail, the employee made certain: 1. Device was properly lined? 2. Switch points fit properly? 3. Target, if equipped, corresponds? 4. Lever was latched? 5. Device was locked, if equipped? • **Yes,** continue • **No, stop the test and initiate defined corrective actions**	**Operating Rule** 401.8

Operational Event Tests

Securement of Equipment (SCARS, STRAIN, SKEYT)

Introduction: This document describes how to perform planned operational event tests when it is known that employees will be required to secure equipment.

Objective: The objective is to evaluate employees' knowledge and compliance with the operating rules governing securement. In addition to the specific rules identified in each step, employees must also comply with all other applicable rules and special instructions.

Addressing Compliance and Failure

Required Actions:

- ✓ **Compliance**: All employees demonstrate compliance with all observed rules:
  1. At the conclusion of the test, stop the movement if necessary and approach the tested crew,
  2. Introduce yourself and identify all members of the test team,
  3. Review the purpose of conducting the operational test and related operating rules with each employee,
  4. Review the risks associated with noncompliance,
  5. Review the results of the operational testing, and
  6. Conduct a job briefing with all crewmembers discussing work activity or any conditions that have changed as a result of this test.

- ✓ **Noncompliance** is observed *at any point* during the operational test:
  1. Stop the test and restrict any further movement,
  2. Introduce yourself and identify all members of the test team,
  3. Review the results of the operational tests,
  4. Discuss observations and rule violations,
  5. Review the risks of noncompliance,
  6. Where appropriate, officers must demonstrate the correct procedures,
  7. Ask the employees if they have any questions or additional concerns,
  8. Determine that the employees understand the requirements of the rules discussed, and
  9. Conduct a job briefing with all crewmembers discussing work activity or any conditions that have changed as a result of this test.

Additional Work Activity	Observations Employees must be evaluated on the activities below when performed	Applicable Operating Rules
On or About Tracks and Fouling Equipment	Did the employee comply with all rules associated with fouling equipment, crossing tracks, keeping clear of movements, and crossing within 25' of the end of equipment? **Y/N** • **Yes**, continue • **No, stop the test and initiate defined corrective actions**	**Primary Rule:** GS-10 TS-15 **Companion Rules:** GS-8
Personal Protective Equipment (PPE)	Did the employee comply with all rules associated with approved PPE? **Y/N** • **Yes**, continue • **No, stop the test and initiate defined corrective actions**	**Primary Rule:** TS-1 **Companion Rules:** GS-6

Getting On or Off Equipment	Did the employee comply with all rules associated with getting on or off equipment? **Y/N**
	• Before getting on equipment, did the employee scan the area of the equipment you will get on to make certain that it was free of hazards?
	  • **Yes**, continue
	  • **No, stop the test and initiate defined corrective actions**
	• Before getting off equipment, did the employee stop at the bottom step or ladder rung to observe where they were going to place their feet.
	  • **Yes**, continue
	  • **No, stop the test and initiate defined corrective actions**
	• Did the employee comply with dismounting equipment in an area that provides solid footing and does not have any object or condition that would cause you to stumble or fall***?***
	  • **Yes**, continue
	  • **No, stop the test and initiate defined corrective actions**
	• Did the employee comply with facing the equipment?
	  • **Yes**, continue
	  • **No, stop the test and initiate defined corrective actions**
	• Did the employee maintain three points of contact (two hands and one foot or one hand and two feet)?
	  • **Yes**, continue
	  • **No, stop the test and initiate defined corrective actions**
	• Did the employee maintain a handhold until their feet were firmly positioned?
	  • **Yes**, continue
	  • **No, stop the test and initiate defined corrective actions**
	• Did they employee keep clear of adjacent tracks?
	  • **Yes**, continue
	  • **No, stop the test and initiate defined corrective actions**
	• Did the employee make certain to mount or dismount on the off side away from any:
	  - live track
	  - main track
	  - close clearance
	  - hazards that may be present
		Primary Rule:
		GS-12
		Companion Rules:
		GS-8

	• **Yes**, continue • **No, stop the test and initiate defined corrective actions**	
Hand-Operated Switch **Or** **Derail**	Did the employee comply with all rules associated with operating a hand-operated switch or derail? **Y/N** • **Yes**, continue • **No, stop the test and initiate defined corrective actions**	**Primary Rule:** Rule Group 401 **Companion Rules:** GS-18, TS-7, 402, 403
Leaving Equipment in the Clear	Did the employee comply with all rules associated with leaving equipment in the clear of adjacent tracks? **Y/N** • **Yes,** continue • **No, stop the test and initiate defined corrective actions**	**Primary Rule:** 407.1 **Companion Rule:** 407.2

Securement Event Tests:

Securement of Cars	Did the employees conduct a job briefing prior to securing equipment? • **Yes,** continue • **No, stop the test and initiate defined corrective actions**	**Operating Rule** 408.1
	Before hand brakes were applied, did the locomotive operator: 1. Bunch/stretch the slack (whichever is applicable)? 2. Fully apply the independent brake? and 3. Make a full service application of the automatic brake? • **Yes,** continue • **No, stop the test and initiate defined corrective actions**	**Operating Rule** 409.1
	Did the employee apply hand brakes to the required number of cars to be left unattended? • **Yes,** continue • **No, stop the test and initiate defined corrective actions**	**Operating Rule** 409.3
	Was a test for sufficient hand brakes to hold the equipment performed? • **Yes,** continue • **No, stop the test and initiate defined corrective actions**	**Operating Rule** 409.4
	Before cutting away from cars connected to air: 1. Was a full service brake reduction made? 2. Did the employee verify the brake pipe exhaust stopped before closing the angle cock? and 3. Was the angle cock on the equipment to be left unattended left open? • **Yes,** continue • **No, stop the test and initiate defined corrective actions**	**Operating Rule** 409.6

Securement of Trains	Did the employees conduct a job briefing prior to securing equipment? • **Yes,** continue • **No, stop the test and initiate defined corrective actions**	**Operating Rule** 408.1
	Before hand brakes were applied to cars, did the locomotive operator: 1. Bunch/stretch the slack (whichever is applicable)? 2. Fully apply the independent brake? and 3. Make a full service application of the automatic brake? • **Yes,** continue • **No, stop the test and initiate defined corrective actions**	**Operating Rule** 409.1
	Did the employee apply hand brakes to the required number of cars to be left unattended? • **Yes,** continue • **No, stop the test and initiate defined corrective actions**	**Operating Rule** 409.3
	Was a test for sufficient hand brakes to hold the equipment performed on the cars? • **Yes,** continue • **No, stop the test and initiate defined corrective actions**	**Operating Rule** 409.4
	Did the employee position the switches and levers of the controlling locomotive positioned correctly? • **Yes,** continue • **No, stop the test and initiate defined corrective actions**	**Operating Rule** 410.7
	Did the employee apply hand brakes on each locomotive in the consist equipped with a hand brake? • **Yes,** continue • **No, stop the test and initiate defined corrective actions**	**Operating Rule** 411.1, bullet 3

Securement of Key Trains	Was the location where the Key train was to be left unattended authorized by special instructions or was permission received from the train dispatcher? • **Yes,** continue • **No, stop the test and initiate defined corrective actions**	**Operating Rule** 412.1
	Did the employees conduct a job briefing prior to securing equipment? • **Yes,** continue • **No, stop the test and initiate defined corrective actions**	**Operating Rule** 408.1
	Before hand brakes were applied to cars, did the locomotive operator: 1. Bunch/stretch the slack (whichever is applicable)? 2. Fully apply the independent brake? and 3. Make a full service application of the automatic brake? • **Yes,** continue • **No, stop the test and initiate defined corrective actions**	**Operating Rule** 409.1
	Did the employee apply hand brakes to the required number of cars to be left unattended? • **Yes,** continue • **No, stop the test and initiate defined corrective actions**	**Operating Rule** 409.3
	Was a test for sufficient hand brakes to hold the equipment performed on the cars? • **Yes,** continue • **No, stop the test and initiate defined corrective actions**	**Operating Rule** 409.4
	Did the employee position the switches and levers of the controlling locomotive correctly? • **Yes,** continue • **No, stop the test and initiate defined corrective actions**	**Operating Rule** 410.7
	Did the employee apply hand brakes on each locomotive in the consist equipped with a hand brake? • **Yes,** continue • **No, stop the test and initiate defined corrective actions**	**Operating Rule** 411.1, bullet 3
	If the Key train was left unattended on a controlled track outside of a yard or terminal, was the correct information reported to the train dispatcher? • **Yes,** continue • **No, stop the test and initiate defined corrective actions**	**Operating Rule** 412.3
	Did the locomotive operator: 1. Remove the reverser from the controlling locomotive? 2. Keep the reverser in his or her possession? • **Yes,** continue • **No, stop the test and initiate defined corrective actions**	**Operating Rule** 412.5

Operational Event Test

Shoving or Pushing Equipment – Non-controlled tracks (SILS, SSBS, SSSH)

Introduction: This document describes how to perform planned operational event tests when it is known that employees will shove or push equipment on non-controlled tracks at a location that ***requires*** a crewmember or other qualified employee to provide ***point protection for the leading end of the movement*** to determine the track is clear.

Objective: The objective is to evaluate employees' knowledge and compliance with the operating rules governing shoving or pushing movements. These event tests are designed to present realistic and controlled operating conditions established by the testing officers on non-controlled tracks. In addition to the specific rules identified in each step, employees must also comply with all other applicable Rules and Special Instructions.

Addressing Compliance and Failure

Required Actions:

- ✓ **Compliance**: All employees demonstrate compliance with all observed rules:
  1. At the conclusion of the test, stop the movement if necessary and approach the tested crew,
  2. Introduce yourself and identify all members of the test team,
  3. Review the purpose of conducting the operational test and related operating rules with each employee,
  4. Review the risks associated with noncompliance,
  5. Review the results of the operational testing, and
  6. Conduct a job briefing with all crewmembers discussing work activity or any conditions that have changed as a result of this test.

- ✓ **Noncompliance** is observed *at any point* during the operational test:
  1. Stop the test and restrict any further movement,
  2. Introduce yourself and identify all members of the test team,
  3. Review the results of the operational tests,
  4. Discuss observations and rule violations,
  5. Review the risks of noncompliance,
     I. Collisions,
     II. Derailments,
     III. Personal injury,
     IV. Potential for decertification
  6. Where appropriate, officers must demonstrate the correct procedures,
  7. Ask the employees if they have any questions or additional concerns,
  8. Determine that the employees understand the requirements of the rules discussed, and
  9. Conduct a job briefing with all crewmembers discussing work activity or any conditions that have changed as a result of this test.

Additional Work Activity	Observations Employees must be evaluated on the activities below when performed	Applicable Operating Rules
On or About Tracks and Fouling Equipment	Did the employee comply with all rules associated with fouling equipment, crossing tracks, keeping clear of movements, and crossing within 25' of the end of equipment? **Y/N** • **Yes**, continue • **No, stop the test and initiate defined corrective actions**	**Primary Rule:** GS-10 TS-15 **Companion Rules:** GS-8
Personal Protective Equipment (PPE)	Did the employee comply with all rules associated with approved PPE? **Y/N** • **Yes**, continue • **No, stop the test and initiate defined corrective actions**	**Primary Rule:** TS-1 **Companion Rules:** GS-6
Hand-Operated Switch Or Derail	Did the employee comply with all rules associated with operating a hand-operated switch or derail? **Y/N** • **Yes**, continue • **No, stop the test and initiate defined corrective actions**	**Primary Rule:** Rule Group 401 **Companion Rules:** GS-18, TS-7, 402, 403
Employee's Position and Determining Track is Clear	Is the employee directing the move in the proper position to determine track is clear and provide point protection? **Y/N** • **Yes**, continue • **No, stop the test and initiate defined corrective actions**	**Primary Rule:** 406.1, 406.2, 406.3 **Companion Rules:** 300.4
	If riding equipment, is the employee positioned properly on the equipment and facing the direction of the movement? **Y/N** • **Yes**, continue • **No, stop the test and initiate defined corrective actions**	**Primary Rule:** GS-13, **Companion Rules:** GS-11, GS-12,
	Are all of the employees involved in the shoving and pushing movement focused on the movement and not engaged in unrelated tasks? **Y/N** • **Yes**, continue • **No, stop the test and initiate defined corrective actions**	**Primary Rule:** 406.1, 406.2 **Companion Rules:** 300.4, GS-10

Getting On or Off Equipment	Did the employee comply with all rules associated with getting on or off equipment? **Y/N**
	• Before getting on equipment, did the employee scan the area of the equipment you will get on to make certain that it was free of hazards?
	  • **Yes**, continue
	  • **No, stop the test and initiate defined corrective actions**
	• Before getting off equipment, did the employee stop at the bottom step or ladder rung to observe where they were going to place their feet.
	  • **Yes**, continue
	  • **No, stop the test and initiate defined corrective actions**
	• Did the employee comply with dismounting equipment in an area that provides solid footing and does not have any object or condition that would cause you to stumble or fall***?***
	  • **Yes**, continue
	  • **No, stop the test and initiate defined corrective actions**
	• Did the employee comply with facing the equipment?
	  • **Yes**, continue
	  • **No, stop the test and initiate defined corrective actions**
	• Did the employee maintain three points of contact (two hands and one foot or one hand and two feet)?
	  • **Yes**, continue
	  • **No, stop the test and initiate defined corrective actions**
	• Did the employee maintain a handhold until their feet were firmly positioned?
	  • **Yes**, continue
	  • **No, stop the test and initiate defined corrective actions**
	• Did they employee keep clear of adjacent tracks?
	  • **Yes**, continue
	  • **No, stop the test and initiate defined corrective actions**
	• Did the employee make certain to mount or dismount on the off side away from any:
	  - live track
	  - main track
	  - close clearance
	  - hazards that may be present
	  • **Yes**, continue
	  • **No, stop the test and initiate defined corrective actions**
		Primary Rule:
		GS-12
		Companion Rules:
		GS-8

Initiating a Shoving or Pushing Movement	Officers must perform the "initiating a shove or pushing movement" test at the beginning of each planned event test. **Prior to Test:** 1. Identify a reference point to determine distance of the movement (car counts). 2. Start recording device **(not a cell phone)** prior to the instructions being given to the locomotive operator. **Begin Test:** ✓ Confirm the employee directing the shoving movement states: 1. Physical location, 2. The employee is in the clear of all tracks, 3. Position of switches and derails involved in the movement, and 4. The distance of the movement to be made or the sight distance available, whichever is less, in 50' car lengths. Did the employee comply? Y/N • **Yes**, continue • **No, stop the test and initiate defined actions for noncompliance** ✓ Confirm the locomotive operator does not initiate movement prior to receiving proper instruction from the employee directing the movement. Did the employee comply? Y/N • **Yes**, continue • **No, stop the test and initiate actions for noncompliance** ✓ Continue to the planned event test.	**Primary Rule:** 406.5 **Companion Rules:** 1008.1, 1008.2

Improperly Lined Switch	In this example, an officer has set up an operating condition where an intervening switch for the shove move is not properly lined for the designated track. This will require the crew to stop a minimum of 50' short of the improperly lined facing point switch or stop before proceeding past the clearance point of the affected track if a trailing point switch. **Tools Needed:** 1. Measuring device 2. Chalk or paint 3. Radio 4. Recording device **(not a cell phone)** **Prior to Test:** 1. Ensure crew will encounter a switch that conflicts with the designated route, 2. Measure and mark: a. 50' prior to the improperly lined facing point switch in the direction of movement, or b. If necessary, mark the clearance point of the affected track if a trailing point switch 3. Measure and mark reference points to allow evaluation of instructions given by employee directing the movement, and 4. Maintain the reference points that identify compliance with the last distance specified by the employee directing the movement. **Begin Test:** ✓ Perform Initiating a Shoving or Pushing Movement Event Test ✓ Did the employee controlling the movement stop the movement in one-half of the last specified distance unless additional instructions were given? Y/N • Yes, continue • **No, stop the test and initiate actions for noncompliance** ✓ Did movement stop: a. Minimum of 50' short of improperly lined facing point switch?, or b. Before passing the clearance point if a trailing point switch? • **Yes,** continue • **No, stop the test and initiate actions for noncompliance** **End Test Review:** 1. **Test Purpose:** 1. Compliance with current operating rules governing shoving or pushing movements, 2. Crew stops 50' prior to encountering a facing point switch that is not properly lined for their route or stops before passing the clearance point of a trailing point switch, 3. Prevent run through switches, collisions, and test the employee's situational awareness, and 4. Test employee's knowledge of physical characteristics of the location. 2. **Risks:** 1. Run through switch, 2. Personal injury, derailment, or collision with other equipment, and 3. Discipline within the IDPAP and possible decertification. 3. **Test Results:** Comply or Fail 4. **Required Job Briefing** **Note:** Video instruction provided here - Improperly lined switch.exe	**Primary Rule:** 406.4, 406.5, 406.6 401.3 **Companion Rules:** 300.4, 1008.1, 1008.2 

Simulated Blue Signal	In this example, an officer has set up an operational condition in which the movement must be stopped 50' feet short of a Blue Signal where mechanical forces are employed. **Tools Needed:** 1. Blue Signal: A clearly distinguishable blue flag and illuminated blue light 2. Measuring device 3. Chalk or paint 4. Radio 5. Recording device **(not a cell phone)** **Prior to Test:** 1. For the purpose of this test, both a blue flag and illuminated blue light must be displayed by day or night. 2. Measure and mark a distance of 50' prior to the blue signal in the direction of movement. 3. Ensure the crew will encounter a Blue Signal displayed between the switch point and the clearance point of the track affected. The blue signal must NOT be beyond the clearance point. **Begin Test:** ✓ Perform Initiating a Shoving or Pushing Movement Event Test ✓ Did the employee controlling the movement stop the movement in one-half of the last specified distance unless additional instructions were given? Y/N • **Yes**, continue • **No, stop the test and initiate actions for noncompliance** ✓ Did the movement stop a minimum of 50' short of the Blue Signal? Y/N • **Yes**, continue • **No, stop the test and initiate actions for noncompliance** ✓ Did the crew notify the proper authority of the operational condition encountered? Y/N • **Yes**, continue • **No, stop the test and initiate actions for noncompliance** ✓ No other employee instructed the crew to remove Blue Signal protection? Y/N • **Yes**, continue • **No, other employee instructed crew to remove Blue Signal: stop the test and initiate actions for noncompliance** ✓ Crew did not attempt to remove the blue signal? Y/N • **Yes**, continue • **No, crew attempted to remove Blue Signal: stop the test and initiate actions for noncompliance** Continued on next page…	**Primary Rule:** 406.4, 406.5, 406.6, 1101.3, **Companion Rules:** 300.4, 1008.1, 1008.2, 1102.1,1102.2

Simulated Blue Signal (Continued)	**End Test Review:** 1. **Test Purpose:** 1. Compliance with current operating rules governing shoving or pushing movements, 2. Simulates proper compliance with Blue Signal protection, and 3. Simulates workmen are on, under, or between equipment. 2. **Risks:** 1. Injury to workmen or crew members, 2. Derailment or collision with other equipment, and 3. Decertification and possible discipline up to and including dismissal. 3. **Test Results:** Comply or Fail 4. **Required Job Briefing** **Note:** Video instruction provided here - Otesting Chapter 2.exe	**Primary Rule:** 406.4, 406.5, 406.6, 1101.3, **Companion Rules:** 300.4, 1008.1, 1008.2, 1102.1,1102.2

Stop Movement by Hand Signal	In this example, an officer has set up an operational condition in which the movement will be stopped using a flag or lantern signal. **Tools Needed:** 1. Measuring device 2. Chalk or paint 3. Radio 4. Recording device (**not a cell phone)** 5. Flag or Lantern **Prior to Test:** 1. Determine the route of movement, 2. Identify and mark a safe location for the officer to be positioned where the stop signal can be given sufficiently in advance to permit compliance, 3. Mark the physical location where the movement will be in the line of sight of the crewmember; the hand signal must be initiated at this point, and 4. Measure and mark the distance between reference points. **Begin Test:** ✓ Perform Initiating a Shoving or Pushing Movement Event Test ✓ Did the employee controlling the movement stop the movement in one-half of the last specified distance unless additional instructions were given? Y/N • **Yes**, continue test, • **No, stop the test and initiate actions for noncompliance** ✓ When the movement enters line of sight begin swinging a flag by day or a lantern by night. Flag or lantern must be swung at a right angle to the track, indicating a stop signal. Continue giving signal until movement stops or passes your physical location. Did the movement stop prior to any part of the equipment passing the location of the officer giving the stop signal? Y/N • **Yes**, continue to "End Test", • **No, stop the test and initiate actions for noncompliance** **End Test Review** 1. **Test Purpose:** 1. Compliance with current operating rules governing shoving or pushing movements, and 2. Proper compliance with receiving flag and lantern signals indicating stop. 2. **Risks:** 1. Personal injury, derailment, or collision with other equipment, and 2. Discipline within the IDPAP and possible decertification. 3. **Test Results:** Comply or Fail 4. **Required Job Briefing** **Note:** Video instruction provided here - Otesting chapter 3.exe	**Primary Rule:** 202.2.A , 300.4, **Companion Rules:** 406.1, 406.2, 406.5

Operational Event Tests

Simulated Obstruction Device (banner) Event Tests

Introduction: This document describes how to perform planned operational event tests where the testing supervisor(s) set a condition that requires a train to operate at a speed that permits stopping within ½ the range of vision on a controlled track.

Objective: The objective is to evaluate employees' knowledge and compliance with the operating rules governing operating at a speed that requires stopping within ½ the range of vision. In addition to the specific rules identified in each step, employees must also comply with all other applicable Rules and Special Instructions.

Addressing Compliance and Failure: Officers must notify tested employees of the results at the time the test is ended. Testing officers must take immediate action to ensure safety if non-compliant behavior is observed.

Required Actions:

- ✓ **Compliance**: All employees demonstrate compliance with all observed rules:

  1. At the conclusion of the test, approach the tested crew,
  2. Review the results of the operational testing and recognize employee compliance with observed operating rules,
  3. Review the purpose of conducting the operational test and related operating rules with each employee,
  4. Review the risks associated with non-compliance,
  5. Ask for employee commitment to continue working safely in compliance with all operating rules, and
  6. Conduct a job briefing with all crewmembers discussing work activity or any conditions that have changed as a result of this test.

- ✓ **Non-compliance** is observed *at any point* during the operational test:

  1. Stop the test,
  2. Immediately contact the locomotive operator using positive identification and instruct the locomotive operator to stop any movement, and
  3. Initiate corrective action and instruction with all crewmembers:

     I. Review the appropriate operating rule(s) specifically addressing the behavior observed to be non-compliant,
     II. Review the risks associated with non-compliance,
     III. Review expected compliant behavior.

  4. Recognize compliant behaviors observed,
  5. Ask for employee commitment to work safely in compliance with all operating rules, and
  6. Conduct a job briefing with all crewmembers discussing work activity or any conditions that have changed as a result of this test.

Operational Event Tests

SODABSOLUTE – Simulated Obstruction Device Test / Permission Past a Stop Signal

SODABSOLUTE – is an event test where the testing supervisors ensure the employees to be tested will encounter a STOP signal at a control point signal and receive permission from the control station to pass the STOP signal. The test will also determine the employees' compliance with APPROACH signals, radio communications, and other rules listed with the event test.

Tools Required:

- ✓ Approved Simulated Obstruction Device (SOD)
- ✓ Portable radio for each participating supervisor
- ✓ Two radar guns

Procedures required prior to performing the Event Test:

1. Contact the affected dispatching office to ensure the train to be tested will receive a STOP signal at the selected location
2. Position supervisors to conduct the test:
    I. Signal that will display APPROACH
    II. Signal that will display STOP
    III. Location where SOD will be placed

Work Activity	Observations Employees must be evaluated on the activities below when performed	Applicable Operating Rules
Authorized Speed	The supervisor positioned at the APPROACH signal must use a radar gun to determine if the train is being operated not to exceed authorized speed before reaching the APPROACH signal. **Y/N** • **Yes**, continue • **No, stop the test and initiate defined corrective actions**	**Primary Rule:** 300.2 **Companion Rules:** 300.1
APPROACH Signal Requirements	The supervisor positioned at the APPROACH signal must determine employees comply with the following requirements: ✓ Employee at controls of the locomotive announces signal by radio ✓ Train immediately begins reduction to MEDIUM speed as soon as the locomotive passes the APPROACH signal **Y/N** • **Yes**, continue • **No, stop the test and initiate defined corrective actions**	**Primary Rules:** 503.10 1285, C1285, CR1285 **Companion Rules:** 203.2, 203.3, 204.1, 204.2, 204.7, 204.8, 205.1
STOP Signal Requirements	The supervisor positioned at the STOP signal must determine employees comply with the following requirements: ✓ Employee announces the signal by radio ✓ Train stops before any part of the movement passes the STOP signal ✓ Train receives permission from the train dispatcher to pass the STOP signal ✓ Train crew and train dispatcher use proper radio procedures **Y/N** • **Yes**, continue • **No, stop the test and initiate defined corrective actions**	**Primary Rule:** 503.9, 503.10, 504.20, 504.21 1006.1, 1008.3
Restricted Speed **Having Books and Documents** **Electronic and Electrical Devices** **Personal Protective Equipment**	The supervisor located at the SOD must determine employees comply with the following requirements: ✓ Train is operated at RESTRICTED SPEED (radar gun to measure train speed) ✓ Train stops before making contact with the SOD Y/N • **Yes**, continue • **No, stop the test and initiate defined corrective actions**	Primary Rule: 504.22, 300.3 (d) 
	After the train stops, the supervisor located at the SOD must board the cab of the lead locomotive and determine employees comply with the following requirements: ✓ Required books and documents ✓ Electronic and Electrical devices ✓ Personal Protective Equipment Y/N • **Yes**, continue • **No, stop the test and initiate defined corrective actions**	Primary Rule: 100.4, 108.1 Rule groups 1000, 1001, 1002 Safe Way GS-6, TS-1 Companion Rules: Rule Group 106

Operational Event Tests

SODSHUNT – Simulated Obstruction Device Test / Performed Using Shunts

SODSHUNT – is an event test where the testing supervisors ensure the employees to be tested will encounter a RESTRICTED PROCEED signal at an intermediate signal by the placement of track shunts. The test will also determine the employees' compliance with APPROACH signals, radio communications, and other rules listed with the event test.

Tools Required:

- ✓ Approved Simulated Obstruction Device (SOD)
- ✓ Approved track shunts (consisting of two shunt cables)
- ✓ Portable radio for each participating supervisor
- ✓ Two radar guns

Procedures required prior to performing the Event Test:

1. Inform the affected dispatching office that shunt testing will be performed and the location.
2. Position supervisors to conduct the test:
    I. Signal that will display APPROACH
    II. Location where shunts will be placed and signal will display RESTRICTED PROCEED
    III. Location where SOD will be placed.

Procedure for placing shunts: After selecting the signal to be shunted and location for SOD:

1. Attach the first shunt cable to the rail in front of the signal and insulated joints (from the direction of travel of train to be tested)
2. Attach the second shunt cable to the rail behind the signal and insulated joints
3. Observe that the signal displays RESTRICTED PROCEED
4. Remove the first shunt cable and observe the signal remains set at RESTRICTED PROCEED
5. Observe that no highway-rail crossing warning devices are activated by the shunts. If so remove shunts and select another testing location.

Work Activity	Observations Employees must be evaluated on the activities below when performed	Applicable Operating Rules
Authorized Speed	The supervisor positioned at the APPROACH signal must use a radar gun to determine if the train is being operated not to exceed authorized speed before reaching the APPROACH signal. **Y/N** • **Yes**, continue • **No, stop the test and initiate defined corrective actions**	**Primary Rule:** 300.2 **Companion Rules:** 300.1
APPROACH Signal Requirements	The supervisor positioned at the APPROACH signal must determine employees comply with the following requirements: ✓ Employee at controls of the locomotive announces signal by radio ✓ Train immediately begins reduction to MEDIUM speed as soon as the locomotive passes the APPROACH signal **Y/N** • **Yes**, continue • **No, stop the test and initiate defined corrective actions**	**Primary Rules:** 503.10 1285, C1285, CR1285 **Companion Rules:** 203.2, 203.3, 204.1, 204.2, 204.7, 204.8, 205.1
RESTRICTED PROCEED Signal Requirements	The supervisor positioned at the RESTRICTED PROCEED signal must determine employees comply with the following requirements: ✓ Employee at the controls of the equipment announces the signal by radio ✓ Use a radar gun to determine train is operated at RESTRICTED speed as soon as the leading end reaches the RESTRICTED PROCEED signal **Y/N** • **Yes**, continue • **No, stop the test and initiate defined corrective actions**	**Primary Rule:** 300.2, 503.10, 504.5, 1291, 1298, C1291, C1298, CR1291
Restricted Speed **Having Books and Documents** **Electronic and Electrical Devices** **Personal Protective Equipment**	The supervisor located at the SOD must determine employees comply with the following requirements: ✓ Train is operated at RESTRICTED SPEED (radar gun to measure train speed) ✓ Train stops before making contact with the SOD Y/N • **Yes**, continue • **No, stop the test and initiate defined corrective actions**	Primary Rule: 504.5, 300.3 (d) 
	After the train stops, the supervisor located at the SOD must board the cab of the lead locomotive and determine employees comply with the following requirements: ✓ Required books and documents ✓ Electronic and Electrical devices ✓ Personal Protective Equipment Y/N • **Yes**, continue • **No, stop the test and initiate defined corrective actions**	Primary Rule: 100.4, 108.1 Rule groups 1000, 1001, 1002 Safe Way GS-6, TS-1 Companion Rules: Rule Group 106

Operational Event Tests

SODSIDING – Simulated Obstruction Device Test / Operating in a Controlled Siding

SODSIDING – is an event test where the testing supervisors ensure that employees to be tested enter a controlled siding and the train is operated at a speed that will permit stopping within ½ the range of vision. The test will also determine the employees' compliance with APPROACH signals (if in signal territory), radio communications, and other rules listed with the event test.

Tools Required:

- ✓ Approved Simulated Obstruction Device (SOD)
- ✓ Portable radio for each participating supervisor
- ✓ Two radar guns

Procedures required prior to performing the Event Test:

1. Inform the affected dispatching office that Simulated Obstruction Device testing will be performed in the controlled siding.
2. Position supervisors to conduct the test:
    I. Signal that will display APPROACH (if in signal territory). If in non-signaled territory, at a location to determine compliance with authorized speed
    II. Location where train will enter the controlled siding
    III. Location where SOD will be placed

Work Activity	Observations Employees must be evaluated on the activities below when performed	Applicable Operating Rules
Authorized Speed	The supervisor positioned to observe the APPROACH signal in signal territory, or if not in signal territory at another location, must use a radar gun to determine if the train is being operated not to exceed authorized speed before reaching the APPROACH signal. **Y/N** • **Yes**, continue • **No, stop the test and initiate defined corrective actions**	**Primary Rule:** 300.2 **Companion Rules:** 300.1
APPROACH Signal Requirements	The supervisor positioned at the APPROACH signal in signal territroty must determine employees comply with the following requirements: ✓ Employee at controls of the locomotive announces signal by radio ✓ Train immediately begins reduction to MEDIUM speed as soon as the locomotive passes the APPROACH signal **Y/N** • **Yes**, continue • **No, stop the test and initiate defined corrective actions**	**Primary Rules:** 503.10 1285, C1285, CR1285 **Companion Rules:** 203.2, 203.3, 204.1, 204.2, 204.7, 204.8, 205.1
RESTRICTING Signal Requirements **Or** **Requirements to Operate a Main Track Switch by Hand**	Signal Territory The supervisor positioned at the RESTRICTING signal must determine employees comply with the following requirements: ✓ Employee at the controls of the equipment announces the signal by radio ✓ Use a radar gun to determine train is operated at RESTRICTED speed as soon as the leading end reaches the RESTRICTING signal **Y/N** • **Yes**, continue • **No, stop the test and initiate defined corrective actions** Non-Signal Territory The supervisor positioned at the entrance to the siding must determine employees comply with the following requirements: ✓ Switch is not operated with the verbal authority of train dispatcher ✓ Train does not enter siding without verbal authority of train dispatcher ✓ Employee operates switch properly ✓ Use a radar gun to determine train is operated at the speed authorized by operating 300.4 or Timetable special instructions on the siding	**Signal Territory Primary Rule:** 300.2, 503.10, 504.5, 1291, 1298, C1291, C1298, CR1291 **Non-Signal Territory Primary Rule:** 401.4, 401.2, 401.8, 401.14, 503.4, 503.5, 300.2, 300.4, 300.4 (a)
Restricted Speed **Having Books and Documents** **Electronic and Electrical Devices** **Personal Protective Equipment**	The supervisor located at the SOD must determine employees comply with the following requirements: ✓ Train is operated at RESTRICTED SPEED (radar gun to measure train speed) ✓ Train stops before making contact with the SOD Y/N • **Yes**, continue • **No, stop the test and initiate defined corrective actions**	Primary Rule: 504.5, 300.3 (d) 

	After the train stops, the supervisor located at the SOD must board the cab of the lead locomotive and determine employees comply with the following requirements: ✓ Required books and documents ✓ Electronic and Electrical devices ✓ Personal Protective Equipment Y/N • **Yes**, continue • **No, stop the test and initiate defined corrective actions**	Primary Rule: 100.4, 108.1 Rule groups 1000, 1001, 1002 Safe Way GS-6, TS-1 Companion Rules: Rule Group 106

Operational Event Test

Improperly Lined Switches Other than Shoving on Non-controlled tracks - SILNOSHOVE

Introduction: This document describes how to perform planned operational event tests to ensure employees operating on non-controlled tracks (yards and industries) approach a switch prepared to stop at the clearance point until it is known that the switch is lined for the intended route. The test will also determine that employees operate the associated switch properly.

Objective: The objective is to evaluate employees' knowledge and compliance with the operating rules governing operating on non-controlled track when approaching switches as well as operating switches properly. These event tests are designed to present realistic and controlled operating conditions established by the testing officers on non-controlled tracks. In addition to the specific rules identified in each step, employees must also comply with all other applicable Rules and Special Instructions.

Addressing Compliance and Failure
Required Actions:

- ✓ **Compliance**: All employees demonstrate compliance with all observed rules:

  1. At the conclusion of the test, stop the movement if necessary and approach the tested crew,
  2. Introduce yourself and identify all members of the test team,
  3. Review the purpose of conducting the operational test and related operating rules with each employee,
  4. Review the risks associated with non-compliance,
  5. Review the results of the operational testing, and
  6. Conduct a job briefing with all crewmembers discussing work activity or any conditions that have changed as a result of this test.

- ✓ **Non-compliance** is observed *at any point* during the operational test:

  1. Stop the test and restrict any further movement,
  2. Introduce yourself and identify all members of the test team,
  3. Review the results of the operational tests,
  4. Discuss observations and rule violations,
  5. Review the risks of non-compliance,
     I. Collisions,
     II. Derailments,
     III. Personal injury,
     IV. Potential for decertification
  6. Where appropriate, officers must demonstrate the correct procedures,
  7. Ask the employees if they have any questions or additional concerns,
  8. Determine that the employees understand the requirements of the rules discussed, and
  9. Conduct a job briefing with all crewmembers discussing work activity or any conditions that have changed as a result of this test.

Additional Work Activity	Observations Employees must be evaluated on the activities below when performed	Applicable Operating Rules
On or About Tracks and Fouling Equipment	Did the employee comply with all rules associated with fouling equipment, crossing tracks, keeping clear of movements, and crossing within 25' of the end of equipment? **Y/N** • **Yes**, continue • **No, stop the test and initiate defined corrective actions**	**Primary Rule:** GS-10 TS-15 **Companion Rules:** GS-8
Getting On or Off Equipment	Did the employee comply with all rules associated with getting on or off equipment? **Y/N** • Before getting on equipment, did the employee scan the area of the equipment you will get on to make certain that it was free of hazards? • **Yes**, continue • **No, stop the test and initiate defined corrective actions** • Before getting off equipment, did the employee stop at the bottom step or ladder rung to observe where they were going to place their feet. • **Yes**, continue • **No, stop the test and initiate defined corrective actions** • Did the employee comply with dismounting equipment in an area that provides solid footing and does not have any object or condition that would cause you to stumble or fall**?** • **Yes**, continue • **No, stop the test and initiate defined corrective actions** • Did the employee comply with facing the equipment? • **Yes**, continue • **No, stop the test and initiate defined corrective actions** • Did the employee maintain three points of contact (two hands and one foot or one hand and two feet)? • **Yes**, continue • **No, stop the test and initiate defined corrective actions** • Did the employee maintain a handhold until their feet were firmly positioned? • **Yes**, continue • **No, stop the test and initiate defined corrective actions** • Did they employee keep clear of adjacent tracks? • **Yes**, continue • **No, stop the test and initiate defined corrective actions** • Did the employee make certain to mount or dismount on the off side away from any: - live track - main track - close clearance - hazards that may be present • **Yes**, continue • **No, stop the test and initiate defined corrective actions**	**Primary Rule:** GS-12 **Companion Rules:** GS-8

Personal Protective Equipment	Did the employee comply with all rules associated with approved personal protective equipment? **Y/N** • **Yes**, continue • **No, stop the test and initiate defined corrective actions**	**Primary Rule:** TS-1 **Companion Rules:** GS-6
Improperly lined switch **&** **Operating switches by hand**	This test can be performed on train or locomotive movements operating on a non-controlled track (not making a shoving or pushing movement) that will traverse hand-operated switches. **Tools Needed:** 5. Radar gun 6. Chalk or paint 7. Radio **Prior to Test:** 5. Ensure crew will encounter a switch that conflicts with the designated route, 6. Measure and mark: a. Facing point move: Mark the switch points of the switch that conflicts with the designated route. Measure 25 feet in front of the switch points and place a second mark. b. Trailing point move: If the clearance point if not already identified, determine the clearance point and mark it. 7. Select a safe location to observe the crew and measure train speed. **Begin Test:** ✓ Is the movement operating at 10 MPH or less? Y/N • Yes, continue • **No, stop the test and initiate actions for non-compliance** ✓ Did movement stop before fouling any connecting track? a. Facing point move: Did the movement stop prior to occupying the switch? b. Trailing point move: Did the movement stop prior to passing the clearance point? • Yes, continue • **No, stop the test and initiate actions for non-compliance** ✓ **NOTE:** *FACING POINT MOVE ONLY*: If the movement proceeded past the 25 foot mark, did the employee obtain 3-step protection before fouling the equipment to check the switch? **Yes,** continue. **No, stop the test and initiate actions for non-compliance** ✓ Before lining the switch, did the employee ensure: 1. No conflicting movements? 2. Preceding movement passed the clearance point? 3. Device was not locked, clamped, spiked, or tagged out of service? 4. No obstructions that would interfere with the normal operation? • **Yes,** continue • **No, stop the test and initiate actions for non-compliance**	**Primary Rule:** **300.4 (d)** **401.2** **401.3** **401.8** **Companion Rules:** **401.10**

Improperly line switch & Operating switches by hand	✓ After operating the switch, did the employee make certain? 1. Device was properly lined? 2. Switch points fit properly? 3. Target, if equipped, corresponded, 4. Lever was latched, 5. Device was locked, if equipped? • **Yes,** continue • **No, stop the test and initiate actions for non-compliance** **End Test Review:** 4. **Test Purpose:** 5. Compliance with current operating rules governing movements on non-controlled tracks, 6. Crew stops before occupying a facing point switch that is not properly lined for their route or stops before passing the clearance point of the track when trailing point switch that is not properly lined, 7. Prevent run through switches, collisions, and test the employee situational awareness, 8. Test employee knowledge of physical characteristics of the location. 5. **Risks:** 5. Run through switch, 6. Personal injury, derailment, or collision with other equipment, 7. Discipline within the IDPAP and possible decertification. 6. **Test Results:** Comply or Fail **Required Job Briefing**	**Primary Rule:** **300.4 (d)** **401.2** **401.3** **401.8** **Companion Rules:** **401.10**

Mechanical Department Event Test

Compliance with Safe Job Procedures (SJP)/System Maintenance Regulations (SMR)/Car Maintenance Regulations (CMR) Procedures	In this example, an officer has read and understands all steps of a SJP, CMR, or SMR. The officer will then observe the work while it is being performed. **Tools Needed:** 1. Applicable SJP/SMR/CMR **Prior to Test:** 1. Review SJP/SMR/CMR, 2. Identify what PPE is required, and 3. Identify what the process steps are. **Begin Test:** ✓ Perform Compliance with SJP/SMR/CMR Procedures Test ✓ Did the employee wear all of the required and/or recommended PPE? Y/N • **Yes**, continue test, • **No, stop the test and initiate actions for noncompliance** ✓ Does the employee complete all of the process steps as outlined in the SJP/SMR/CMR? Y/N • **Yes**, continue to "End Test", • **No, stop the test and initiate actions for noncompliance** ✓ Does the employee foul any Red Zones or pinch points with any part of their body? Y/N • **Yes**, continue to "End Test", • **No, stop the test and initiate actions for noncompliance** **End Test Review** 1. **Test Purpose:** 1. Compliance with SJP/SMR/CMR PPE, and 2. Proper compliance with SJP/SMR/CMR procedures. 2. **Risks:** a. Personal injury, improper repair resulting in derailment, or collision with other equipment, or b. Discipline within the IDPAP. 3. **Test Results:** Comply or Fail 4. **Required Job Briefing**	**Primary Rule:** 100.1, 100.2, 100.3 GS-7 **Companion Rules:** SJPs, SMRs, CMRs

General Requirements

PURPOSE:

These tests determine compliance by an employee(s) with the following Operating Rules:

- Application of Rules and Special Instructions 100-100.6
- System and Division Bulletins and Notices 101-101.3
- CSX Standard Time 102-102.3
- CSX Property and Interest 103-103.8
- Employee Behavior 104-104.12
- Reporting 105-105.3
- Drugs and Alcohol (Rule G) 106-106.3
- Use of Tobacco 107-107.2
- Certification and Licenses 108-108.5
- Hours of Service Act 109-109.2
- Trains and On-Track Equipment 110-110.5
- Sleeping and Napping While on Duty 111-111.6
- Train and Engine Service Employees 112-112.6
- Yardmasters 113-113.5
- Operators 114-114.7
- Duties When Providing Flag Protection at Work Locations 115-115.9

In addition to the rules listed above, the applicable rules and procedures contained in the CSX Safe Way for General Safety, Engineering, Mechanical, and Transportation Safety Rules must also be observed.

TOOLS:

There are no specific tools required to conduct these tests.

PROCEDURE:

These tests can be performed at any time while an employee is on duty on CSX property. Observe that the employee is in compliance with all CSX Operating Rules. Observations should be made on, but not limited to, the following:

a. Readiness to perform work safely, or
b. Actions during work process, or
c. Signs or symptoms of drug and/or alcohol use, or
d. Maintenance of situational awareness.

FAILURE DEFINED:

An employee(s) who does not comply with any of the Safety Rules fails the test, the work must be stopped, and the results discussed with the employee(s).

Signals and Their Use

PURPOSE:

These tests determine an employee(s) compliance with the following Operating Rules:

- Flagging Appliances for Providing Warning 200-200.4
- Providing Warning Against Approaching Trains 201-201.6
- Hand, Flag, and Lantern Signals 202-202.6
- Locomotive Bell and Horn 203-203.4
- Locomotive Lights 204-204.8
- End-of-Train Marker 205-205.9
- Two-Way Telemetry 206-206.12
- General Radio Rules 1003-1003.9
- Radio Requirements for Trains and On-Track Equipment 1004-1004.2
- Testing Radio Equipment 1005-1005.3
- Positive Identification 1006-1006.3
- Transmitting by Radio 1007-1007.3
- Receiving, Acting Upon, and Ending Radio Transmissions 1008-1008.4
- Information that Must be Copied 1009-1009.5
- Emergency Transmissions 1010-1010.4

In addition to the rules listed above, the applicable rules and procedures contained in the CSX Safe Way for General Safety, Engineering, Mechanical and Transportation Safety Rules must also be observed.

TOOLS:

There are no specific tools required to conduct these tests.

PROCEDURE:

These tests can be performed at any time while an employee is flagging, providing warning for approaching trains, relaying signals, or using two-way telemetry. Observe that the employee is in compliance with all CSX Operating Rules regarding these rule sets. Observations should be made on, but not limited to, the following:

a. Having proper flagging equipment, or
b. Providing warning against approaching trains, or
c. Properly arming, disarming, or testing two-way telemetry.

FAILURE DEFINED:

An employee(s) who does not comply with any of the Safety Rules fails the test, the work must be stopped, and the results discussed with the employee(s).

Movement of Trains

PURPOSE:

These tests determine the employee's compliance when operating a train, engine, or on-track-equipment in compliance with the maximum speed permitted, wayside signs, work limits, trains in emergency, and providing protection at highway crossings at grade.

• Authorized Train Speed	300-300.5
• Control of Train Speed	301-301.8
• Locations That Must Be Approached Prepared to Stop	302-302.1
• Permanent and Temporary Track Speeds	303-303.2
• Wayside Signs	304-304.7
• Working Limits on Controlled Tracks	305-305.9
• Train Coordination	306-306.2
• Out-of-Service Limits	307-307.6
• Train in Emergency	308-308.12
• Protecting Passenger Train Station Stops	309-309.3
• Flagged Work Locations	310-310.2
• Railroad Crossings at Grade	311-311.2
• Highway-Rail Crossings at Grade	312-312.6
• Malfunction of Highway-Rail Crossings Warning Systems	313-313.2
• Providing Protection at Highway-Rail Crossings at Grade	314-314.9
• Use of Electronic and Electrical Devices by Railroad Operating Employees	1000-1000.3
• Use of Personal Electronic and Electrical Devices	1001-1001.3
• Use of Railroad Supplied Electronic and Electrical Devices	1002-1002.4
• General Radio Rules	1003-1003.9
• Radio Requirements for Trains and On-Track Equipment	1004-1004.2
• Testing Radio Equipment	1005-1005.3
• Positive Identification	1006-1006.3
• Transmitting by Radio	1007-1007.3
• Receiving, Acting Upon, and Ending Radio Transmissions	1008-1008.4
• Information that Must be Copied	1009-1009.5
• Emergency Transmissions	1010-1010.4
• 1280 to 1298 – Standard	1280-1298
• C1280 to C1298 – Chessie	C1290-1298
• CR1277 to CR1295 – Conrail	CR1277-CR1298
• Wayside Signs	Wayside Signs

1. Air Brake Train Handling & Equipment Handling Rules:
   5403, 5411, 5559, 6301, 6404, 4105, 4154, 4303, 4304-B, 4350, 4354, 4400, 4408-D, 4453, 4472, 4478, 4480, 4551, 4556, 4558, 4560, 4562,

2. In addition to the rules listed above, the applicable rules and procedures contained in the CSX Safe Way for General Safety, Engineering, Mechanical, and Transportation Safety Rules must also be observed.

TOOLS:

Adequate procedures will ensure tests are performed safely and correctly. Supervisors and test team captains will test for compliance using the following tools:

1. Speed measuring device – Select a safe position that allows for an accurate measurement. Under no circumstances should a supervisor foul a live track when performing a test using a speed measuring device. Verify the speed recorded is in compliance with the maximum authorized speed at the testing location.
2. Event recorder measurement – If speed infractions are noted on the event recorder data, verify the accuracy of the locomotive wheel measurement. If the wheel measurement is accurate, record as a failure, and contact the employee tested.

NOTE: When event recorder is used, the date entered into OPTS should be the date the event occurred.

FAILURE DEFINED:

The test is a failure if the movement is not controlled, as prescribed by rule, at the testing location. Any speed failure with a speed measuring device should be verified by equipment download if available.

PROCEDURE:

Malfunction of Highway-Rail Crossings Warning Systems:

This test should be conducted where employees will be:

a. Restricted when operating over a highway crossing at grade due to false or partial activation or in cases of an activation failure prescribed by existing dispatcher message or Form EC1, or
b. Shoving cars or engines over public crossings, or
c. Engaged in switching operations over public crossings, or
d. Stopped within 4000 feet of public crossings, or
e. Stopped or leave equipment standing near public crossings.

Careful consideration must be placed on location and time that the test will occur. Supervisors should:

1. Be in a position where the performance of employee(s) can be observed fairly and accurately,
2. Coordinate testing events with dispatcher and engineering personnel if necessary,
3. When selecting test locations, consider such items as grade, train tonnage, and weather,
4. Include all rules, planned, or others observed during the test, and
5. Contact the control station upon completion of the operational test.

FAILURE DEFINED:

An employee(s) who does not comply with the rules regarding Highway-Rail Crossing, fails the test.

Utility Employees, Switches, Switching, Shoving, and Securement

PURPOSE:

These tests determine the employee's compliance with the requirements of utility employee rules, switching, and handling switch appliances in accordance with Operating Rules.

- Utility Employee 400-400.6
- Operating Switches and Derails by Hand 401-401.16
- Spring Switches 402-402.8
- Electrically Locked Switches 403-403.3
- Releasing Hand Brakes 404-404.1
- Switching Equipment 405-405.9
- Shoving or Pushing 406-406.6
- Leaving Equipment in the Clear 407-407.2
- General Securement Requirements 408-408.2
- Securement of Cars 409-409.6
- Securement of Locomotives 410-410.7
- Securement of Trains 411-411.1
- Securement of Key Trains 412-412.5
- Defective Hand Brakes 413-413.1
- Use of Electronic and Electrical Devices by Railroad Operating Employees 1000-1000.3
- Use of Personal Electronic and Electrical Devices 1001-1001.3
- Use of Railroad Supplied Electronic and Electrical Devices 1002-1002.4
- General Radio Rules 1003-1003.9
- Radio Requirements for Trains and On-Track Equipment 1004-1004.2
- Testing Radio Equipment 1005-1005.3
- Positive Identification 1006-1006.3
- Transmitting by Radio 1007-1007.3
- Receiving, Acting Upon, and Ending Radio Transmissions 1008-1008.4
- Information that Must be Copied 1009-1009.5
- Emergency Transmissions 1010-1010.4

In addition to the rules listed above, the applicable rules and procedures contained in the CSX Safe Way for General Safety, Engineering, Mechanical, and Transportation Safety Rules must also be observed.

TOOLS:

Adequate procedures will ensure tests are performed safely and correctly. Supervisors and test team captains will test for compliance using the following tools:

1. Measuring device
2. Chalk or paint
3. Radio
4. One or more of the following tools or devices:
   a. Flag, or
   b. Lantern, or
   c. Blue Signal: A clearly distinguishable blue flag and illuminated blue light.

PROCEDURE:

These tests can be performed any time an employee is actively engaged in switching of cars and equipment, handling of switches and derails, shoving equipment, or securing equipment.

The following event tests will be used to test for compliance:

a. OPSWDEHA – Operating switches and derails by hand
b. SCARS – Securing cars
c. STRAIN – Securing a train
d. SKEYT – Securing a KEY train
e. SILS – Shoving or pushing/encountering an improperly lined switch
f. SSBS – Shoving or pushing/encountering a Blue Signal
g. SSSH – Shoving or pushing/encountering a Stop Signal
h. SILNOSHOVE – Improperly Lined Switch Other than Shoving on Non-controlled tracks

Centralized Train Dispatching System and Authorities for Movement

PURPOSE:

These tests determine the employee(s) compliance with the requirements of operating on controlled tracks, signaled and non-signaled tacks, and authorities for movement.

• Dispatcher Bulletins, Dispatcher Messages, and Release Forms	500-500.10
• Form EC-1	501-501.7
• Other than Main, Signaled, or Siding Tracks	502-502.2
• Main, Signaled, and Siding	503-503.13
• General Signal	504-504.40
• Track Warrant Control Non-Signaled (TWC-D)	505-505.17
• Track Warrant Control with Automatic Block Signals (TWC-ABS)	506-506.12
• Main Track Yard Limits Non-Signaled (YL)	507-507.5
• Main Track Yard Limits Signaled (YL-S)	508-508.5
• Current of Traffic (COT) - Track Signaled in One Direction	509-509.7
• Traffic Control (TC)	510-510.6
• Controlled Point (CP)	511-511.6
• Cab Signal System (CSS)	512-512.16
• Cab Signal System with Wayside Intermediate	513-513.11
• Cab Signal Without Wayside Intermediate	514-514.11
• 1280 to 1298 – Standard	1280-1298
• C1280 to C1298 – Chessie	C1290-1298
• CR1277 to CR1295 – Conrail	CR1277-CR1298
• Wayside Signs	Wayside Signs

In addition to the rules listed above, the applicable rules and procedures contained in the CSX Safe Way for General Safety, Engineering, Mechanical, and Transportation Safety Rules must also be observed.

TOOLS:

A laptop capable of downloading the locomotive event recorder may be needed.

PROCEDURES:

Supervisors should observe employees that are operating on controlled tracks to determine level of compliance with the applicable rule sets.

This test can be performed while:

a. The testing officer is riding the train, or
b. The testing officer can verify action by a remote download or through applicable technology.

FAILURE DEFINED:

An employee(s) who fails to operate the train properly in accordance with the operating rules that apply, fails the test.

Train Dispatching

PURPOSE:

These tests determine the dispatching employee(s) compliance with the operating rules, special instructions, and procedural instruction manual when managing dispatcher bulletins, dispatcher messages, Form EC-1, dispatching controlled tracks, issuing authorities, and reporting unsafe conditions.

• General Train Dispatcher Rules	600-600.6
• Train Dispatching System	601-601.5
• Managing Dispatcher Bulletins, Dispatcher Messages, and Form EC-1	602-602.8
• Managing Signals and Signal Appliances	603-603.5
• Controlled Point (CP) Signals	604-604.2
• Controlled Point Appliances	605-605.4
• Permission to Pass a Stop Signal	606-606.1
• Managing Train Movements	607-607.4
• Train Authorities	608-608.9
• Permission to Make a Reverse Movement	609-609.1
• Protecting a Train Within Track Segment Limits	610- 610.3
• Blocked Sidings and Main Tracks	611-611.1
• Train Stopped by Emergency Brake Application	612-612.5
• Managing Engineering Work	613-613.3
• Track Authorities	614-614.8
• Permission for Non-Insulated On-Track Equipment to Pass a Stop Signal at a Remotely Controlled Railroad Crossing at Grade	615-615.1
• Controlled Track Removed from Service	616-616.4
• Highway-Rail Crossings at Grade	617-617.5
• Defect Detectors Verification Process	618-618.1
• Removing Defect Detectors from Service	619-619.1
• Restoring Defect Detectors to Service	620-620.1
• Managing Unusual Situations	621-621.4
• Report of Track Irregularities or Rough Track	622-622.1
• Signals Not Functioning Properly and Unexplained Occupancy Lights	623-623.5
• Weather	624-624.2
• Use of Electronic and Electrical Devices by Railroad Operating Employees	1000-1000.3
• Use of Personal Electronic and Electrical Devices	1001-1001.3
• Use of Railroad Supplied Electronic and Electrical Devices	1002-1002.4
• General Radio Rules	1003-1003.9
• Radio Requirements for Trains and On-Track Equipment	1004-1004.2
• Testing Radio Equipment	1005-1005.3
• Positive Identification	1006-1006.3
• Transmitting by Radio	1007.1-1007.3
• Receiving, Acting Upon, and Ending Radio Transmissions	1008-1008.4
• Information that Must be Copied	1009-1009.5
• Emergency Transmissions	1010-1010.4

In addition to the rules listed above, the applicable rules and procedures contained in the CSX Safe Way for General Safety, Engineering, Mechanical, and Transportation Safety Rules must also be observed.

TOOLS:

Adequate procedures will ensure tests are performed safely and correctly. Supervisors and test team captains will test for compliance using an Electronic Recording Device.

PROCEDURES:

This test will be performed by:

a. Observing the dispatching employee face to face, or
b. Radio monitoring to ensure compliance with the operating rules, or
c. Auditing reading/reporting file.

FAILURE DEFINED:

The test is a failure when the dispatching employee does not comply with the operating rules or special instructions pertaining to the position or job task.

Roadway Worker and On-Track Safety

PURPOSE:

The objective of operational testing is to determine the employee's compliance for establishing and maintaining on-track worker safety including adjacent track protection.

- General Requirements of Engineering Department Employee 700-700.14
- On-Track Safety and Job Briefing Requirements 701-701.4
- Adjacent Track Protection 703-703.10
- EC-1/EC-1e Line 1 Authority 704-704.15
- Individual Train Detection, Train Approach Warning, and Train Coordination 705-705.10
- Working Limits on Non-Controlled Tracks 706-706.4
- Working Limits on Controlled Tracks (Conditional Stop) 707-707.14
- Flag Protection to Establish Emergency Working Limits 708-708.4
- Maintenance Lock-Out, No Check Functions, and Local Control 709-709.6
- Removing a Controlled Track from Service 710-710.5
- Railroad Crossings at Grade and Drawbridges 711-711.5
- Operating Machines and On-Track Equipment 712-712.36
- Operating Cranes 713-713.5

In addition to the rules listed above, the applicable rules and procedures contained in the CSX Safe Way for General Safety and Engineering Safety Rules must also be observed.

TOOLS:

There are no specific tools required to conduct these tests.

PROCEDURE:

This test can be conducted anytime a roadway worker is required to establish and maintain on-track safety. The testing supervisor must verify the appropriate type of protection is established and maintained. The supervisor must also verify the Statement of On-Track Safety form has been completed.

FAILURE DEFINED:

Failure occurs anytime a roadway worker is found to be fouling a track without the appropriate on-track safety. In the event a roadway worker is found to be in noncompliance, the supervisor must take immediate action to ensure the safety of employees.

Remote Control Operations

PURPOSE:

These tests determine the employee's compliance with rules regarding remote control operations.

- General Requirements 900-900.5
- Required Safety Tests 901-901.7
- Remote Control Zones 902-902.8
- Positive Stop Protection (PSP) 903-903.5
- Operating Remote Control Equipment 904-904.7

In addition to the rules listed above, the applicable rules and procedures contained in the CSX Safe Way for General Safety, Engineering, Mechanical, and Transportation Safety Rules must also be observed.

TOOLS:

There are no specific tools required to conduct these tests.

PROCEDURE:

These tests will be performed by observing the employee testing or operating remote control equipment.

FAILURE DEFINED:

This test is considered a failure when the employee testing or operating the remote control equipment fails to comply with the operating rules that apply.

Electronic Devices and Radio Communication

PURPOSE:

These tests determine the employee's compliance with rules regarding the use of electronic devices and proper radio communication.

- Use of Electronic and Electrical Devices by Railroad Operating Employees 1000-1000.3
- Use of Personal Electronic and Electrical Devices 1001-1001.3
- Use of Railroad Supplied Electronic and Electrical Devices 1002-1002.4
- General Radio Rules 1003-1003.9
- Radio Requirements for Trains and On-Track Equipment 1004-1004.2
- Testing Radio Equipment 1005-1005.3
- Positive Identification 1006-1006.3
- Transmitting by Radio 1007-1007.3
- Receiving, Acting Upon, and Ending Radio Transmissions 1008-1008.4
- Information that Must be Copied 1009-1009.5
- Emergency Transmissions 1010-1010.4

In addition to the rules listed above, the applicable rules and procedures contained in the CSX Safe Way for General Safety, Engineering, Mechanical, and Transportation Safety Rules must also be observed.

TOOLS:

A CSX standard radio or audio recorded device is required to perform these tests.

PROCEDURE:

These tests can be conducted anytime employees communicate by radio. Observe that all radio transmissions are consistent with existing rules including:

1. Transmission begins with positive identification,
2. Instructions are repeated as required,
3. Employee(s) make proper use of the terms "Over" and "Out", and
4. Radio communications are not misused and prohibited communications do not occur.

FAILURE DEFINED:

This test is a failure any time a radio communication is not consistent with existing rules.

Protection in Bowls and Blue Signal Protection

PURPOSE:

These tests determine employee compliance with the requirements to acquire and provide the necessary protection when:

a. Employees will foul tracks and equipment in the bowl of a hump yard, or
b. Blue signal protection is necessary.

- Required Protection in Bowl Tracks 1100.1-1100.4
- Blue Signal Protection General Rules 1101.1-1101.3
- Establishing Blue Signal Protection 1102.1-1102.3
- Remotely Controlled Switches 1103.1-1103.2
- Locomotive Servicing Track Area 1104.1-1104.5
- Car Shop Repair Track Area 1105.1-1105.2

PROCEDURE:

These tests can be conducted anytime employees will work in bowl tracks of a hump yard or when blue signal protection is necessary. Verify that protection is requested and provided prior to employees fouling equipment.

FAILURE DEFINED:

This test is a failure if employees do not request and provide protection as required by rule prior to fouling equipment. Immediate action to be taken to ensure the safety of employees anytime a failure is observed.

Safety Rules

PURPOSE:

These tests determine employee compliance with rules contained within the CSX Safe Way.

- General Safety Rules GS-1 to GS-33
- Engineering Safety Rules ES-1 to ES-24
- Mechanical Safety Rules MS-1 to MS-26
- Transportation Safety Rules TS-1 to TS-15

PROCEDURE:

These tests can be performed in conjunction with other tests or observed individually when employees are on-duty.

FAILURE DEFINED:

A failure occurs anytime an employee behavior or actions are not in compliance with the governing Safe Way rule.

Air Brake Train Handling

PURPOSE:

These tests determine employee compliance with rules contained within the CSX Air Brake Train Handling.

- Air Brakes – General 5001-5007
- Locomotive Air Brake Equipment 5051-5060
- Air Brake Tests – General Requirements 5101-5106
- Making Locomotive Air Brake Tests 5151-5153
- Make Train Air Brake Inspections and Tests 5201-5212
- Locomotives 5301-5310
- Locomotive Conditioning 5351-5357
- Locomotive Operation 5401-5411
- Fundamentals of Train Handling 5501-5559
- Helper Service 5601-5605
- Special Train Handling Procedures 5651-5656

PROCEDURE:

These tests can be performed anytime employees are operating locomotives or are required to perform air brake tests.

TOOLS:

A laptop capable of retrieving and analyzing locomotive event recorder data may be necessary. A railroad radio may be necessary to perform operational tests on performing air brake tests.

FAILURE DEFINED:

A failure occurs anytime an employee behavior or actions are not in compliance with the governing rule.

Equipment Handling

PURPOSE:

The purpose of these tests is to determine employee compliance with the requirements of the Equipment Handling rules.

- Equipment Handling Rules – General 4001-4006
- Car Inspection 4050-4053
- Hot Bearings 4100-4106
- Flat Spots 4150-4154
- Car Air Brakes 4200-4203
- Observation of Trains 4250-4251
- Defect Detectors and Clearance Detectors 4300-4307
- Locomotices 4350-4358
- Train Rules 4400-4408
- Car Rules 4450-4480
- Clearance Implicated Shipment Rules 4500-4510
- Engineering Department Work Equipment Rules 4550-4562
- Surveillance Service 4600

PROCEDURE:

These tests can be performed in conjunction with other tests or observed individually when employees are on-duty.

FAILURE DEFINED:

A failure occurs anytime an employee behavior or actions are not in compliance with the governing Equipment Handling rule.

United States Hazardous Materials

PURPOSE:

The purpose of these tests is to determine employee compliance with the requirements of the United States Hazardous Materials rules.

- Required Documentation 6100-6112
- Inspection 6150-6153
- Placards and Markings 6200-6213
- Switching 6300-6304
- Train Placement 6350-6354
- Key Trains 6400-6404
- Emergency Response 6500-6505
- Rail Security Awareness 6600-6604

PROCEDURE:

These tests can be performed in conjunction with other tests or observed individually when employees are on-duty.

FAILURE DEFINED:

A failure occurs anytime an employee behavior or actions are not in compliance with the governing United States Hazardous Materials rules.