SAFETY IS A COMMITMENT

Coaching, Observing, Mentoring and Motivating with Integrity and Trust

COMMIT – Operational Testing and Inspectiions

Program of Operational Tests, Inspection, and Recording as required by 49 C.F.R. Part § 217.9 and for the guidance of supervisor responsible for condcuting operational tests.

Manager's Guide / §217.9 Submission

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COMMIT Overview

Introduction

The Federal Railroad Administration (FRA) requires railroads to instruct its employees regarding proper operating practices, and to periodically conduct operating tests and inspections. Testing is conducted to verify compliance with regulations, rules, and instructions to promote safe operations. As an Operating Department manager, one of your primary responsibilities is to participate in Union Pacific's Operational Testing Program (COMMIT). The following information contains the guidelines and procedures for conducting tests.

COMMIT Scope

Job performance procedures for agreement professionals and train dispatchers are defined in the company's rules, instructions, and policies. Periodic management engagement with each agreement professional and/or train dispatchers through the COMMIT ensures that agreement professionals and/or train dispatchers understand and appropriately execute operating practices. COMMIT provides an opportunity to engage in positive, constructive job performance feedback.

The COMMIT program places emphasis on the process of debriefing and training the agreement professional and/or train dispatcher after structured testing simulations or in instances when a manager observes below standard performance. COMMIT standardized observations to evaluate an individual's ability to apply operating practices knowledge to job-related tasks. Each test evaluates an agreement professional's and/or train dispatcher's ability to complete a specific task in compliance with the rules.

SITUATIONAL AWARENESS:

Situational Awareness is KEY to ensuring rules compliance and understanding of the process for conducting the exercise or observation.

COMMIT Objectives

COMMIT is designed to:

- Foster engagement between managers and agreement professionals
- Foster engagement between managers and train dispatchers
- Evaluate the agreement professional's and/or train dispatcher's ability to demonstrate the proper application of rules and procedures within a controlled environment
- Identify training needs through analysis of the COMMIT data
- Provide constructive feedback to the employee about his or her performance including positive reinforcement for compliance
- Evaluate risk associated with performing various tasks and identify the proper method to mitigate risk
- Evaluate the agreement professional's and/or train dispatcher's ability to perform a task in compliance with the rules and procedures under normal operating conditions

Testing Requirements and Measurements

Testing Manager Qualifications

Required Training Courses

Course Code	Title	Length of Course	Exam Code	Final Sign off Code
OPFTI	Operational Testing (COMMIT) for Non-Agreement	5 Hours	OPFXI	OPFTX
OPFTA	Operational Testing (Air Brake Test)	1 Hour	OPFXA	OPFTXA
OPFTD	Operational Testing (Detector)	1 Hour	OPFXD	OPFTXD
OPFTS	Operational Testing (Signal)	1 Hour	OPFXS	OPFTXS
OPFTXR	Operational Testing Refresher Course and Exam (Annual Operating Training)	4 Hours	OPFTR	OPFXR
OROFE	Operating Rules for Engineering Managers	1 Hour	OROFE	OROFE
ESFMT	Engineering Services Federally Mandated Training	4 Hours	ESFMT	ESFMT
MECLRZ/MECCRZ	Operating Rules for Mechanical. Locomotive and Car Managers	1 Hour	MECLRZ/MECCRZ	MECLRZ/MECCRZ
DTEX	Operational Testing (COMMIT initial training and Refresher) for Train Dispatcher Managers	5 Hours	DTEX	DTEX
ORTD	Operating Rules for Train Dispatcher Managers	2 Hours	ORTD	ORTD
RUTD	Operational Testing Refresher Rules Course (Annual Operating Training)	7 Hours	RUTD	RUTD

Managers must be qualified for COMMIT no later than 6 months from graduation of their management training program.

NOTE: Field training is conducted by the Safety Department MSFO or Service Unit Superintendent or designee. Each manager must demonstrate required skills by assisting a qualified testing manager performing each test type for their assigned duties prior to being qualified to conduct the test alone. After receiving initial qualification, each manager must complete a refresher course every three years. This requirement does **not** apply to Train Dispatcher Managers.

Field Training

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

Additionally, a qualified COMMIT manager will accompany any person attempting to qualify for any or all testing segments, for a minimum of three testing sessions. The names of all managers participating in the testing event must be documented.

A manager(s) who is new to a territory must be accompanied by a manager of signal maintenance or a testing manager prior to performing automatic interlocking efficiency testing.

Each automatic interlocking must have a shunting procedure approved by a Manager 1 Signal Maintenance (MSM)

The Service Unit Sr. Leadership must accompany each direct report who has testing responsibilities and provide performance feedback to the manager at least twice each calendar year.

Supervisors Responsible for Monitoring Operational Testing

- Transportation, Engineering and Mechanical Senior Manager
- Transportation, Engineering and Mechanical Manager 1
- Transportation, Engineering and Mechanical Manager 2
- Other supervisors as directed by the General Manager or Superintendent Terminal/Train Operations
- Other supervisors as directed by the AVP or General Director
- Operating Practices as directed by supervisor
- Safety as directed by supervisor
- Human Resources Technical Team as directed by supervisor
- Mechanical Directors
- Train Dispatcher Directors

System Requirements and Testing Plan Considerations

The Superintendent, department/work group leadership, or designee will determine the number of COMMIT Operational Tests to be conducted by each manager.

System Requirements

- Active TE&Y employees will have a minimum of one test per year evaluating at least one of these rules: GCOR: 6.5, 6.27, 6.28, 7.1, 8.2, 8.12, 8.20 per 49CFR 217.9(C) (2).
- All Active TE&Y employees will have a minimum of one test per year evaluating at least one of these rules: 2.1, 2.2, 2.3, 2.4, 2.9, 2.11, 35.4.3, 2.7, 2.16, 2.14, 2.14.1 2.17. 49CFR 220.25 (C)
- Active Engineers and RCL Operators will be evaluated with a structured stop event at least once every 365 days. Engineers and RCL Operators that are setback and have exceeded 365 days since their last structured stop event as an Engineer or RCL Operator, must have a structured stop event within 10 days of returning to service as an Engineer / RCO.
  Note: *Engineers working in Signaled territory may receive a virtual COMMIT Event in line with 49CFR 240.129(e)(2)(i) which requires a response to signals that display less than a clear aspect. Engineers working in non-signaled territory may receive a virtual COMMIT Event in line with 49CFR 240.129(e)(2)(ii) which requires affirmative response by the locomotive engineer to less favorable conditions than that which existed prior to initiation of the COMMIT Event. Other than active PTC trains can have a COMMIT event requiring stop to be made using Rules identified in section Test Type, Rules, and Procedures Test No.'s 101 & 105. Virtual COMMIT Events may only be performed by members of Union Pacific Operating Practices Command Center. (OPCC)*
- Active certified conductors must have a CFR 242 test every 365 days. *Note: These rules include: GCOR 6.5, 7.1, 8.2, 8.12, 8.20, 6.27, 6.28*
- Yardmasters will have a test every 365 days
- Testing Managers will have a minimum one observation per month evaluating GCOR 2.21 and GCOR 1.5*
- Ensure hands-on air brake testing requirements (RXABH) are met for TE&Y employees

  Note: *When recording the hands-on air brake requirement, enter into FTE Application as a COMMIT event if the testing manager observes the employee perform a Class 1 Air Brake Test.*

If the employee is evaluated by simulation or other non-COMMIT type event; the requirement must be entered into the Learning Management System as code RXABH, do not create a COMMIT event for this type of evaluation.

- Active Engineering employees will have a minimum of one test per year evaluating at least one of these rules: Engineering Focus Rules or Engineering Critical Rules
- Active Mechanical employees will have a minimum of 2 tests per year evaluating at least one rule from Test No. MECHANICAL
- Active Engineering Track Field Managers will have a minimum of 2 structured stop tests per year.
- Active Engineering Bridge Managers will have a minimum of 2 Chief Engineer Bulletin Rules 122 per year
- Active Train Dispatchers will be tested at least once every 30 days
- **Monitor for Drug and Alcohol Policy compliance during all agreement professional interactions.*

COMMIT Plan Considerations

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

Manager Requirements

Senior Management - Transportation

SUPT (**10**) events per month with minimum (**2**) 30 minute OJE

DRO (**10**) events per month with minimum (**2**) 30 minute OJE

SMGR (**10**) events per month with minimum (**2**) 30 minute OJE

Note: Out of the (**10**) events required, (**2**) of the events must be an OJE.
Event: defined as an assist or test.

Managers - Transportation

MGR 1	(**10**) tests per month & (**4**) 30 min OJE
MGR 2	(**10**) tests per month & (**4**) 30 min OJE

Note: Any OJE performed that exceeds the (**4**) minimum monthly requirement will count towards the (**10**) monthly test requirement.

Senior Field Management - Engineering

Director	(**3**) events per month
SMGR	(**5**) events per month

Senior Field Management - Mechanical

Director	(**5**) events per month
SMGR	(**5**) events per month

Event: defined as an assist or test.

Field Managers - Engineering

MGR 1	(**5**) tests per month
MGR 2	(**5**) tests per month

Field Managers - Mechanical

MGR 1	(**8**) tests per month
MGR 2	(**8**) tests per month

Reminders:

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

Minimum requirements are mandatory unless relief is granted by a Service Unit Superintendent and General Director Safety for the Region.

Senior Management – Train Dispatcher

Lane Superintendent	(**5**) assists per month
Sr. Director Operations	(**5**) assists per month

Sr Corridor Manager (10) tests and (5) assists per month

Note: Out of the (**10**) tests required, (**2**) of the events must be joint field test.

Managers – Train Dispatcher

MGR 2 (15) tests per month

Note: Out of the (15) tests required, (**2**) of the events must be joint field test.

Minimum requirements are mandatory unless relief is granted by the Regional General Manager and Sr Director Operations Support.

System Measurements

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

Service Unit Goals Transportation

- Meet monthly required testing goal (based on total monthly requirement for managers).
- Managers with an assist requirement will evenly distribute assists between the beginning, middle, and end of month.
- Ensure quality testing with focus on critical rules and structured tests.
- Each manager must meet the monthly requirement for 30 minute OJE (On the Job Engagement).
- A debriefing is required for all COMMIT events.
- Written forms are not required when using Mobile COMMIT platform.
- All written COMMIT debriefing forms must be retained for one year.

Manager Monthly Requirement(s) Tests

- COMMIT Plan
- On-the-Job-Engagement
- Assists, if applicable

Engineering Sub-Department Group Goals

- Meet monthly required testing goal (based on total monthly requirement for managers).
- Managers with an assist requirement will evenly distribute assists between the beginning, middle, and end of month.
- Ensure quality testing with focus on critical rules and structured tests.
- A debriefing is required for all COMMIT events.
- Written forms are not required when using Mobile COMMIT platform.

All written COMMIT debriefing forms must be retained for 90 days.

Manager Monthly Requirement(s) Tests

- COMMIT Plan
- Assists, if applicable

Mechanical Sub-Department Group Goals

- Meet monthly required testing goal (based on total monthly requirement for managers).
- Managers with an assist requirement will distribute assists throughout the month.
- Ensure quality testing with focus Mechanical COMMIT Behavior Rules which include critical rules
- A debriefing is required for all COMMIT events.
- Written forms are not required with or without the Mobile COMMIT platform.

Manager Monthly Requirement(s) Tests

- COMMIT Plan
- Assists, if applicable

Train Dispatcher Testing Goals

- Meet monthly required testing goal (based on total monthly requirement for managers).
- Managers with an assist requirement will evenly distribute assists between the beginning, middle, and end of month.
- Ensure quality testing with focus on critical rules and structured tests.
- A debriefing is required for all COMMIT events.

Manager Monthly Requirement(s) Tests

- COMMIT Plan
- Assists, if applicable

COMMIT Preparation

Transportation Employees Subject to Operational Testing

- Engineers, Student Engineers, Hostlers
- Remote Control Operators
- Conductors, Brakemen, Switchmen, Hostler Helpers, Student Trainmen
- Yardmasters
- Clerks
- Managers holding a valid certificate as required by 49CFR240
- Foreign line TE&Y

  Foreign line railroad employees are governed by operating rules and timetable/special instructions of the railroad they are operating on. Safety, airbrake and train-handling rule performance will only be entered when they are identical to UP Requirements. COMMIT performance will be communicated to foreign line management.

Engineering Employees Subject to Operational Testing

- Inspector, Foreman, Assistant Foreman, Technician
- Welder, Welder Helper, Ironworker, Truck Driver, Maintainer, Mechanic, Electrician, Water Service
- Machine Operator, Tender, Hoisting Engineer
- Laborer, Sectionman, Carpenter, Trainees

Mechanical Employees Subject to Operational Testing

- Carman, Machinist, Electrician, Laborer
- Machine Operator, MIC, Blacksmith, Pipefitter, Sheet Metal Worker
- Foreman, Trainees

Train Dispatching Employees Subject to Operational Testing

- Train Dispatchers
- Control Operators

COMMIT is permitted for contractors on UP property. Results from the test must be communicated to the employees supervising authority.

Interdisciplinary COMMIT Not Allowed

COMMIT Qualified Managers must not perform COMMIT on other disciplines:

- Transportation Managers must only perform events on Transportation Employees.
- Mechanical Managers must only perform events on Mechanical Employees.
- Engineering Managers must only perform events on Engineering Employees.
- Train Dispatching Managers must only perform events on Train Dispatching employees.

All managers are encouraged to stop the line!

Note: Unless the transportation manager is that employee's supervisor, observe a violation of *Rules 2.21, 74.3 and 74.5,* observe any other below standard violation that requires a debrief, or an assisting manager with primary manager being from that employee's department.

TSC Observation and Testing Protocol

Once a testing manager becomes aware of a TSC observation being performed, manager may ask to join the TSC observer(s) in the observation

During TSC Observations

1. When a "To Standard" action is observed for all items during the observation:
    - Manager records in the COMMIT application as an Efficiency Observation
      And
    - TSC observer(s) records on TSC observation card
2. When a "Save" or "Stop the Line" action is observed:
    - Manager records in the COMMIT application as an Extended Observation.
    - TSC observer(s) must record in the Close Call Reporting database
3. When a "Rule Review" or "Close Call" action is required for a rules violation:
    - Manager records in the COMMIT application as an Extended Observation
      And
    - TSC observer(s) records on TSC observation card

Recommended Equipment and Documents Transportation Managers (Testing Kit)

- ✓ General Code of Operating Rules (PB-20280)
- ✓ Rules and Instructions Governing Air Brake System and Train Handling (PB-20329)
- ✓ Safety (PB-20369)
- ✓ Hazardous Materials Instructions (Form 8620) (PB-20800)
- ✓ Current Timetable and Subdivision General Orders
- ✓ System Special Instruction and System General Orders (PB-27015-S)
- ✓ Keys for switches, signal boxes, and detectors (http://home.www.uprr.com/e/operating/op-prac/FTXTestingAudits/References/index.htm)
- ✓ Switch tag (20128)
- ✓ Switch flags (2) (27029810)
    - Hand-held red flag, yellow-red flag(s), yellow flags, red flag, green flag, reflective red flag and appropriate flag holders. (0097-3)
    - Flags should be made of the prescribed materials and be the appropriate size and color
- ✓ At least two shunts (52075690)
- ✓ Fusee and stand (27032740 & 27033000)
- ✓ Hand Brake Tag (39342200)
- ✓ Radar device and portable battery pack (38024400)
- ✓ A supply of materials that crews are required to carry: GCOR, General Orders, Air Brake Rules, etc

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

COMMIT Planning and Application

Frequency of Testing

One of the goals of the program is to provide for testing under various operating conditions. Accordingly, it is important to conduct job performance evaluations 24/7 without prior notice. Testing should be conducted at all hours of the day and night, on weekends, and holidays. Risk assessments should be used as a guide to choose when to test. Your testing schedule should not be predictable.

Testing events should be distributed over the entire month. Conducting a large number of tests in one or two days will not likely encompass the varying operating conditions identified for testing. COMMIT testing is one of your most important daily duties and you have daily opportunities to observe employee performance.

Location of Testing

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

- Location(s) with train accidents
- Location(s) of personal injuries
- Isolated locations, Border locations (Regional and Service Unit)
- RIM locations identified in the risk analysis
- Locations with similar characteristics to the items above that are potential risks (ie Interlockings, Meeting Points)

COMMIT Manager Pre-Testing Documentation

Prior to conducting any COMMIT event, you must review the rules that are to be tested and obtain the documents relevant to the territory and employees tested such as:

- Train lineup*
- List of employees requiring testing (365-day list for CFR 240 or 242 test)*
- List of employees on duty*
- A copy of all track bulletins in effect at that location

**These documents may be procured in electronic format.*

COMMIT Manager Job Briefing Questions for Understanding

- Will the test create an unsafe condition?
- Which rules are involved in conducting this test?
- What is considered a Save, Close Call and Rule Review?
- Will the test cause the hours-of-service limit to be exceeded for the crew being tested?
- Will the test cause the hours of service limit to be exceeded for the crews of other trains?
- Does the train to be tested have any air or train handling issues that could create an unsafe condition?
- Will the test location provide the sight distance desired for the type of test that is being conducted?
- Which signals are equipped with light-out and or signal test switches?
- Has a job briefing with all members of the test team been completed, including: reviewing the rules related to the test, and each team member's role in the test?
- When testing affects the flow of traffic or when shunts are being used, a job briefing with the Dispatcher or Manager 1 Corridor is recommended. (Note: UP Signal Operations must be notified prior to conducting signal tests)

<u>Reminders:</u>

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

COMMIT Standards

- Under normal operating conditions
- Cameras may be used to conduct real time "observations" under the following conditions.
    - The testing manager has a radio and must attempt to stop any unsafe behavior observed immediately.
    - The testing manager must be within proximity to debrief the evaluated employees in a reasonable amount of time.
    - The testing manager must conduct a face-to- face debriefing of the event.
    - Structured tests must not be performed with a camera.
- Managers must be present at the test location, have control over the test set-up and execution, and ensure that the test is:
    - Unannounced
    - Without prior notice to the employee(s) being tested
    - At various locations throughout the day and month
    - Under all types of weather conditions
    - Ensure the testing program is unpredictable and samples actual employee performance
    - Avoid testing at familiar locations, during the same time of day, or on the same days of the week
- In a fair and impartial manner
    - Ensure that the testing event is a fair assessment of the employee's knowledge and skill
    - Do not set up the test in a manner that will result in a violation of the operating rules, regardless of the skill of the employee(s)
    - Always comply with all rules and do not violate any rule in the set up or when conducting a test
- As safely as possible
    - Set up the test in such a manner that avoids the potential hazard of a train accident or personal injury

NOTE: All tests are to be conducted fairly, under <u>normal</u> operating conditions.

Note: *Testing Managers are relieved of the requirement for establishment of Track Breach Protection while performing COMMIT activities.*

COMMIT Feedback

COMMIT to include (1) observations of employee performance, (2) assessment of an individual's ability to carry out specific responsibilities, (3) immediate feedback to the individual and (4) documentation of the event.

Every COMMIT test is an opportunity to provide positive feedback and engagement. Testing managers must emphasize good safety behaviors and provide constructive feedback to ensure railroad professionals understand the correct way to comply with the rules and the potential consequences for failing to take the safe course.

Transportation, Engineering, and Mechanical Close Out

To Standard (TS): Employee performance met standards of the rules tested or employee stopped the line.

Save (S): Employee was stopped prior to violating a critical rule or rule regarding regulatory requirements that do not meet FRA reporting thresholds under the controlling regulations (Decertification Rules).

Close Call (CC): Employee did not meet the standard of a critical rule or rule regarding regulatory requirements that do not meet FRA reporting thresholds under the controlling regulations (Decertification Rules). Testing manager will ensure the employee understands application of the rule and action required regarding proper rule compliance.

Rule Review (RR): Employee did not meet the standard of a non-critical or supplemental rule. Employee was saved from performing below standard on qualified rule(s). Testing manager will ensure the employee understands application of the rule and action required regarding proper rule compliance.

Dispatching Close Out

To Standard (TS): *See above.*

Coaching (C): Train Dispatcher's performance does not met standards of the rules tested.

Note: A Save (S) must be documented during an OJE event if:

- A critical rule is violated.
- A rule regarding regulatory requirements is violated, but the FRA reporting threshold requirements are not met (Decertification Rules).

Training is provided to employees who lack sufficient understanding of the rules or an inability to demonstrate proper application of the rules. Training is typically conducted during a coaching/training session at the conclusion of the test.

Test Debriefing Information

Use of Mobile COMMIT Application (Transportation, Engineering, Mechanical):

- Tested employees will be given the opportunity to make test comments and answer three engagement questions at tie-up on MyUP portal.
- Testing managers will describe test set-up and any below standard.
- Field Debriefing form is not required
- Testing managers are expected to monitor their data entry practices and ensure tests are recorded properly.
- Testing managers are expected to submit events near the location of the observation or structured test.
- Testing manager will collect ID badge photograph of employee when:
    - Critical rule violation is documented as a Close Call.
    - Structured test or OJE is performed.

  Note: Collect ID badge photographs of all assisting managers.
- When a tested employee does not have a valid UP Identification or FRA Certificate, the testing manager will ensure understanding on Item 7A and photograph the employee in lieu of a photo of the required ID.

Use of COMMIT Debriefing Form (Transportation, Engineering, Mechanical):

- The employee will be given the opportunity to make comments and sign the COMMIT debriefing form for all events. Managers must sign the COMMIT debriefing form. A copy will be retained for the manager's records for one year from the date the test was entered, and a copy of events will be given to each employee tested.
- An employee's signature must be requested from employee when:
    - Critical rule violation is documented as a Close Call.
    - Structured test or OJE is performed.
- An employee's signature is not a requirement on the COMMIT debriefing form; however, a notation must be made as to why a signature is not on the form e.g. "Employee declined signature".
- Must obtain signatures from all assisting managers.

Use of Dispatcher COMMIT Application (Dispatching only):

- Tested Train Dispatcher will be given the opportunity to make test comments and challenge outcome of test.
- Testing managers will describe test set-up and any below standard behavior.
- Testing managers are expected to monitor their data entry practices and ensure tests are recorded properly.

Additional Testing Information

Routine observations are not considered structured tests. It is not necessary to stop and debrief railroad professional(s) for a routine observation, unless a below standard performance is noted. When observing standard performance, it is permissible to allow the work to continue and to provide feedback to the railroad professional(s) at the earliest opportunity. The program squarely rests on employee/manager engagement and face-to-face or real-time communication is the desired outcome of the program.

Once the performance evaluation is executed, managers will announce their presence. COMMIT managers are strongly encouraged to take these opportunities to provide positive reinforcement for compliant behaviors as well as train to all below standard behaviors noted. Railroad professional(s) may be questioned about any of the rules and regulations they are required to know during a test.

The last question that should be asked by the manager is, "How will you proceed from this point?" to refocus the tested professional(s) on their work environment.

Events must be separated by time and distance.

Event: Defined as COMMIT, OJE or ride evaluation.

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

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

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

- General Code of Operating Rules
- Train Dispatcher Rules
- Train Dispatcher Standard Processes and Office Notices
- Air Brake and Train Handling Rules
- Timetable Special Instructions
- System Special Instructions
- General Orders, Safety Rule Book
- Hazardous Materials Instructions

Managers conducting onboard skill evaluations and training may only conduct hands-on air brake tests of employees being evaluated. Below standard observations of other employees can be taken if necessary.

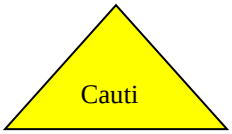
Structured Tests and OJEs

Structured tests are tests that require the manager to change the employees work environment. Structured tests require the manager to have a debriefing with the employee.

An observation by a manager walking with train crew for a minimum of 30 minutes *while actively switching or continuous work events involving safety sensitive activity*, to be documented as an On-the-Job-Engagement.

All structured tests and OJEs require a face-to-face debriefing.

Shunting Tracks



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

Dangers of placing shunts improperly at road crossings:

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

Shunts will not be placed within 2,640 feet on either side of a grade crossing.

COMMIT Data Entry

Entering Testing Events

- All tests must be entered into COMMIT Mobile Application or COMMIT Application (Desktop Version) within 72 hours
- Under no circumstance should a test be entered later than the 4th day of the following month. Tests will not be accepted or edited after 90 days, or after January 31st of the following year, whichever is sooner.
- No more than 10 rules per event per agreement professional should be entered, unless below standard performance is observed. This limit does not apply to Train Dispatcher observations.
- When persons from the FRA or other agencies are present during a testing event, include their names in the comment section
- Testing records may be reviewed by accessing testing reports through EQMS/COMMIT tab or via Train Dispatcher Testing application.
- Testing on foreign line crews will be entered into COMMIT with 9999999 as the employee ID
- Testing on contractors will be entered into COMMIT with 8888888 as the employee ID. "Contractor COMMIT" must be selected in EQMS *Contractor tests will not count towards the testing plan or manager goals.*

Note: Enter events at the location of the observation or structured test to assist with reporting accuracy.

COMMIT Field Employee Challenge Process (Transportation, Engineering, Mechanical):

A field employee may challenge a COMMIT event outcome as follows:

Step 1: The involved employee must submit a request either written or verbal to the manager who conducted the COMMIT test within ten (10) days from the date of the COMMIT event.

Step 2: The manager will promptly review the applicable rules, standards and testing procedures with the requesting employee. If the testing manager and employee do not agree that the COMMIT test was valid, the employee may ask the COMMIT manager to submit the COMMIT test event to a Service Unit Superintendent for further review.

Step 3: If the Superintendent makes a determination it is a valid COMMIT test, the employee may request further review by the Service Unit General Manager/General Superintendent.

Step 4: If the General Manager/General Superintendent determines it is a valid COMMIT test, the employee may request a **final review** by the General Director Safety for the Region.

Management review of the COMMIT test event should be completed within twenty (20) days from the COMMIT test event.

COMMIT Train Dispatcher Employee Challenge Process (Dispatching only):

A train dispatcher may challenge a COMMIT event outcome as follows:

Step 1: The involved employee must submit a challenge request via the Train Dispatcher COMMIT Application.

Step 2: A train dispatcher rules manager or director will promptly review the applicable rules, standards and testing procedures for the challenged testing event. If the train dispatcher rules manager and employee do not agree that the COMMIT test was valid, the employee may ask the to submit the COMMIT test event to Sr. Director Operations Support for further review.

Management review of the COMMIT test event should be completed within twenty (20) days from the COMMIT test event.

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

Do:

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

Don't:

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

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

Unmanned Aerial Systems (UAS's) and COMMIT

Unmanned aerial systems (UAS's) provide testing managers with a vantage point to observe employees work activities. The use of UAS's requires that UAS's qualified managers follow some basic guidelines for UAS's use during COMMIT testing event:

1. UAS must be operated at a minimum altitude of 100 ft. above ground level.
2. All COMMIT tests performed by UAS must have a face-to-face debriefing and entered as test type 305.
3. Testing managers must maintain compliance with Federal Aviation Administration (FAA) regulations and *Policies Governing the Use of Union Pacific Unmanned Aerial Systems.*
4. *Use of a visual observer (VO) is required during night flight and that VO must be Union Pacific trained and qualified as a night time VO.*

Note: *Policies Governing the Use of Union Pacific Unmanned Aerial Systems* can be found on the Union Pacific Safety, Health, and Environment webpage under subtitle: Drones.

Test Type, Rules, and Procedures

Critical Incident Type Operational Testing

Nearly all serious incidents center around six basic railroad activities. Operational testing plans will be based on the core of these six categories:

Test No.	Type of Test	Purpose of Test	Means & Procedures For Conducting The Test
101	**Use of Switches and Derails** **Applicable Rules:** 8.2, 8.3, 8.20, SSI Item 10K **Supplemental Rules:** 7.1, 8.4, 8.8, 8.9.1, 8.12, 8.19, 8.19.1, ***Item 22**, ****82.3**	Determine that train crew member(s) are complying with rules specific to hand operated switches and derails.	Monitor train crew member(s) for compliance with rules specific to hand operated switches and derails. Switch Flags will be used for all movement over switches with rule 8.2 in conjunction with Item 22. Train crew must move prepared to stop short of switch or derail that is improperly lined. ***Item 22** (Switch Flags) can be used for switch or derail movements on Other Than Main Track or within Yard Limits when movement is required to be at Restricted Speed. Switch Flag Stop tests, placement must be at switch point or in front of derail. ****Safety Rule 82.3** can be entered as 82.3 TAG when a switch tag is used for a structured test.
102	**Shoving Movements** **Applicable Rules:** 6.5, 6.5.1 **Supplemental Rules:** 7.4, 7.12	Determine that train crew member(s) are complying with rules specific to shoving movements.	Monitor train crew member(s) for compliance with rules specific to shoving movements. Train crew must move prepared to stop short of train, engine, railroad car, men or equipment fouling the track, stop signal, derail or switch lined improperly. Crew members must know where it is safe to ride on cars or equipment.
103	**Close Clearances** **Applicable Rules:** 81.8.1 **Supplemental Rules:** 81.8.3	Determine that train crew member(s) are complying with rules specific to close clearances.	Monitor train crew member(s) for compliance with rules specific to close clearances. Train crew members must be aware of locations that may have close clearances. Crew members must know where it is safe to ride on cars or equipment.
104	**Working Around, Between, On or Under Equipment** **Applicable Rules:** 5.13, 35.4.2, 81.2.2, 81.5.4, 81.7, 81.13.1 **Supplemental Rules:** 35.4.1, 81.2.1, 81.4.1, 81.4.2, 81.5.1, 81.13, 81.13.2	Determine that train crew member(s) are complying with rules specific to working around, between on or under equipment.	Monitor train crew member(s) for compliance with rules specific to working around, between, on or under equipment. Crew members must be aware of their sufficient distance requirements around equipment and unexpected movements when near tracks.

Test No.	Type of Test	Purpose of Test	Means & Procedures For Conducting The Test
105	**Red Signal, Main Track Authority, Restricted Speed, Speed** **Applicable Rules:** 6.7, 6.27, 6.28, 18.8, SSI Item 13.8.2 **Supplemental Rules:** ***5.4.7**, 6.31, 9.2.6, 9.2.14, ***9.2.15**, ***9.2.19**, 9.5, 9.9, ***9.12.1**, ***9.12.2**, ***9.12.3**, ***9.12.4**, 9.12.4A, 9.12.4B, 9.12.4C, 9.12.4D, 9.13, 9.15, 9.16, 10.1, 14.2	Determine that movement is made at a speed that will allow stopping short of a stop signal or improperly lined switch. Determine that PTC equipped train is moving prepared to stop short of a red flag while operating at restricted speed. Determine that PTC inputs are accurate and prompts are complied with.	Set up condition (shunts or test switches may be used) or take advantage of circumstance that requires a signal to display Stop. Train or engine must stop before any part of the equipment passes the signal. Stop signal will be displayed by red flag to train or engine required by rule to be moving at Restricted Speed/Movement on Other Than Main Track. While operating at restricted speed as required by the PTC system a red flag will be displayed to the right of, or between, the rails of the track as viewed from an approaching train or engine. The red flag will be in combination with a signal or other rule requiring the train to stop short of the flag. Monitor train crew for accurate PTC inputs. ***Note:** GCOR & SSI Item 19 Rules with "*****" identifies a Stop Test Rule.
106	**Securement, Air Brake, Train Handling** **Applicable Rules:** 7.6, 32.1, 32.1.1, 32.1.2, 32.1.3, 32.1.4, 32.2.1 **Supplemental Rules:** 1.33, 30.3.1, 30.5.1, 30.7.1, 30.10.1, 32.1.5, 32.1.6, 32.2.1.1, 34.1, SSI Item 10L	Determine that train crew member(s) are complying with securement requirements. Determine that train crew member(s) are complying with Air Brake Test requirements. Determine that train crew member(s) are complying with proper train handling performance. Determine PTC inputs are accurate and prompts are complied with.	Monitor crew member(s) for proper securement and securement procedures. Monitor proper train handling procedures, including but not limited to maximum EPA/DBA, use of air brakes, and position of restricted cars. Monitor train crew for accurate PTC inputs. Monitor crew member(s) while conducting the following tests: 1. Initial Terminal Air Brake Test. 2. Adding cars to a train that have not been pre-tested. 3. Application and Release Test ***** Airbrake Rule 32.1.6** can be entered as 32.1.6 TAG when a hand brake tag is used for a structured test.
201	Train Defect Detectors	Determine that train crew member(s) complies with detector instructions, communicates with the control operator, reduces speed (key train), and inspects train if required.	Defect: Use test switches to set axle count. Train must be stopped and indicated locations inspected for defects. Detector Failure: Use test switch. Note: manager must remain inside signal house to listen for defects when test switch limits radio transmission. Manager must have radio or other communications readily available to contact train if a defect is detected. Contact dispatcher immediately and comply with special instructions.

202	Road Crossing At Grade	Determine that crossing protection is provided when required.	Monitor train crews while passing over or switching around road crossings. Note: Do not *shunt track near crossings, without proper protection.* Do not *create any unsafe condition while performing COMMIT events. Always use extra caution when shunting tracks near interlockers or rail/highway grade crossings.* Anytime a manager is shunting the track for a COMMIT event, he or she must call 1-800-877-5591 or 402-636-1099 then select the option for the geographical region they are working.
203	Approaching Men or Equipment	Determine that whistle is sounded when approaching men or equipment and continued until head end of the train has passed the work location.	Monitor train crews while approaching men and equipment. Note: *Work location is defined as the area where Men or Equipment are located.*
204	Remote Control Operation	Determine that train crews are switching with RCL equipment properly.	Monitor train crew member(s) for compliance with the proper setup, operation, and securement of the RCL equipment, the use of the RTC, and the logging and establishing of Zone(s).
205	On Board Assessment	Determine that train crew member(s) is complying with, and understanding of, required documents, use of drugs and alcohol, certification, and identification. Determine that cell phones are off and stowed as required by rule and regulation.	Observe and interview crew for: • Required documents • FRA Certificate • Photo ID • Compliance with Drug and Alcohol Policy • Cell phones are off and stowed
206	Passenger Train Emergency Preparedness	Determine dispatcher(s) and train crew member(s) are complying with Emergency Preparedness Plan.	Inspect and monitor dispatcher and crew member compliance with Emergency Preparedness Plan.

207	Radio Rules Tests	Determine that train crew member(s) are complying with proper radio procedure.	Monitor use of radio with special attention given to mandatory directives, proper read back, shoving moves, and proper identification. Verify that each crew member has a copy of the mandatory directives.
208	Train Air Brake Tests Class I - CFR 232.203 Class IA	Determine that train crew member(s) are complying with Air Brake Test requirements.	Monitor crew member(s) while conducting the following tests: 1. Initial Terminal Air Brake Test. 2. Adding cars to a train that have not been pre-tested.
209	Locomotive Air Brake Tests/Inspections	Determine that train crew member(s) are complying with Locomotive Air Brake test requirements.	Monitor crew for Locomotive Inspection, Air Test, and Documentation.
210	All Other Air Brake Tests including DPU	Determine that train crew member(s) are complying with all other air brake tests.	Monitor train crew member(s) for compliance with air brake rules. DP air brake tests.
211	All Other General Code Rules	Determine that train crew member(s) are complying with all other General Code rules.	Monitor train crew member(s) for compliance with General Code of Operating Rules.
212	All Other Safety Rules	Determine that train crew member(s) are complying with all other Safety Rules.	Monitor train crew member(s) for compliance with Safety Rules.

213	Car Placement and Train Makeup Restrictions	Determine that train crew member(s) are complying with proper placement of helper and restricted cars.	Review train makeup for restricted cars on the head end, rear end, and ahead of any helpers. Check crew to ensure proper tonnage restrictions, EPA, TPA, and coupler limits are met.
214	All Other Special Instructions/Timetable Rules	Determine that train crew member(s) are complying with all other Special Instructions/Timetable Rules.	Monitor train crew member(s) for compliance with Special Instructions/Timetable Rules.
215	Hazardous Materials	Determine that train crew member(s) are complying with the Handling and Placement of Hazardous Materials	Monitor train crew member(s) for compliance with instructions for Handling and Placement of Hazardous Materials.
216	Passenger Tests	Determine that train crew member(s) are complying with rules specific to Passenger/Commuter operations.	Monitor train crew member(s) for compliance with rules specific to passenger train operations.
217	Positive Train Control Rules	Determine that train crew member(s) are complying with Positive Train Control (PTC) rules.	Monitor train crew member(s) for compliance with Positive Train Control (PTC) rules.
218	Fuel Tests	Determine that train crew member(s) are complying with fuel conservation procedures.	Monitor train crew member(s) for compliance with shut down, having the reverser centered when stopped, train handling, speed requirements and energy management systems.

219	Train Handling	Determine that train crew member(s) are complying train handling rules.	Monitor train crew member(s) for compliance with train handling rules.
Mechanical	Rule compliance to Mechanical related work activities	Determine that Mechanical employees are complying with Mechanical Focus Rules relevant to Mechanical work activities	Monitor Mechanical employees on compliance to Mechanical Focus rules relevant to mechanical work activities related to historical accidents/incidents and 49CFR 217.9(C) (2)

Compliance Observations

Compliance items below include fuel conservation and FRA compliance areas. Plans must include these items.

Test No.	Type of Test	Purpose of Test	Means & Procedures For Conducting The Test
C01	**Other Critical Rules** **Applicable Rules:** 2.21, 74.3, 74.5	**Determine crewmembers are complying with requirements of the rule for electronic devices and seat belts.**	**Monitor crew member(s) for compliance with electronic device requirements and seat belts.**
C02	**HTUA** **Applicable Rules: HMVII.3, HMVII.C, HMVII.C HHFT, HMVII.C.1.HHFT, HMVII.C.1.HTUA, 6.31**	**Determine that train crew member(s) are complying with the Handling and Placement of Hazardous Materials within HTUA designated areas.**	**Monitor Key Trains and Key Trains designated as Oil Train / High Hazard Flammable Train HTUA Rule Compliance.**

Train Dispatcher Operational Testing

Test No.	Type of Test	Purpose of Test	Means & Procedures For Conducting The Test
30A.1	Train Dispatcher's Transfer Applicable Rules: 20.6, 20.26	Determine that a train dispatcher is complying with rules specific to Train Dispatcher transfer.	Monitor train dispatcher for compliance with rules specific to transfer between outgoing and incoming dispatchers. Transfer must include the following items when applicable: • Verbal exchange of critical information. • Relieved dispatcher's log-off and relieving dispatcher's log-on to Train Dispatch System. • All General Order and Train Dispatcher's Bulletin numbers issued within the previous seven days on the transfer form (where form is used). • All absolute block authority in effect. • All unforeseen speed restrictions. • A list of all active authorities. • A review of all items listed on transfer by the relieving dispatcher. • A review of any new General Orders, Train Dispatcher Bulletins and Office Notices upon assuming duty • Logoff of the CAD system by the dispatcher being relieved. • Logon to the CAD system by the relieving train dispatcher.
30A.2	Train Dispatcher's Hours of Service Record Applicable Rules: 20.18	Determine that a Train Dispatcher completes HOS record as required.	Check Train Dispatcher's Hours of Service Record: • Test is conducted by monitoring reports to determine records are up to date.

30A.3	Games, Reading, and Electronic Devices Applicable Rules: 20.27	Determine that a Train Dispatcher is complying with rules specific to games, reading, and electronic devices	Visual check to ensure Train Dispatcher is complying with rules specific to games, reading, and electronic devices
30B.1	Familiarity with Rules, General Orders and Train Dispatcher's Bulletins	This test may be used to conduct scenario-based tests to determine the train dispatcher's knowledge of a specific rule or instruction.	Correctly answer a question which is specific as to the required action of the train dispatcher in the application of a rule, timetable special instruction or general order.
30B.2	Familiarity with Rules, General Orders and Train Dispatcher's Bulletins	This test may be used to conduct scenario-based tests to determine the train dispatcher's knowledge of an Office Notice.	Correctly answer a question which is specific as to the required action of the train dispatcher in the application of a rule, timetable special instruction or general order
30B.3	Train Dispatcher Drug and Alcohol Prohibition Applicable Rules: 1.5	Determine that a Train Dispatcher is complying with rules specific to use of drugs/alcohol.	Direct observation of dispatcher for signs/symptoms of drug/alcohol use (if any symptoms are present for alcohol use, also check for the odor of an intoxicant). If you suspect a possible violation, remove the dispatcher from the workstation, isolate the dispatcher and have another manager who is qualified on detecting the signs and symptoms of drug/alcohol use also observe the train dispatcher.

31A.1	Protection of Dimensional Equipment Applicable Rules: 1.36, 20.22, 20.22.2, 20.22.3	Check to determine movement of dimensional / excessive dimension equipment is properly protected by track bulletin.	Visual checks must be made of the train dispatcher's territory to ensure all trains handling excessive dimension loads are properly identified in CAD train dispatch system and required protection is provided • Issue track bulletin to train handling dimensional/excessive dimension load. • Use authorized application to determine meet/pass restrictions. • Properly identify trains handling dimensional/excessive dimension equipment in the CAD train dispatch system. • Use appropriate CAD to protect areas where restricted cars must not be met or passed. • Provide proper protection for excessive dimension equipment set out online. • Provide protection against swing-in or swing-out on overhanging loads.
31A.2	Identifying Key Train Meet Applicable Rules: 20.28 and Office Notice	Check to determine if key trains are properly identified and if procedures are followed during a key train meet.	Check to determine if key trains are properly identified and if procedures are followed during a key train meet. • Determine key train status on all foreign line trains upon entering UP track and after each online work event. • Properly indicate key trains in the CAD train dispatch system. • Keep key train on main track, when practical unless a speed of greater than 10MPH is authorized for the siding or auxiliary track.

31A.3	Passenger Train Meet Applicable Rules: Office Notice	Check to determine if passenger train procedures are followed during a passenger train meet.	Only authorize Passenger trains into non-bonded sidings to meet other passenger trains or when authorized by corridor manager.
33A.1	Authorize Movement Against the Current of Traffic Applicable Rules: 6.25, 15.13, 23.16,	Check to determine if procedures are followed when authorizing a movement against current of traffic.	• Ensure all trains moving with the current of traffic on the affected track have cleared the limits prior to authorizing movement against the current of traffic. • Create track bulletin to protect movement against current of traffic, including entire limits where movement against the current of traffic will be made. • Issue track bulletin to first opposing train. • Issue track bulletin to trains affected in both directions prior to authorizing movement against the current of traffic. • Notify yardmaster, yard crews and others concerned about the movement against the current of traffic where applicable. • Issue track bulletin to the train being authorized to move against the current of traffic. • In areas authorized by timetable, issue TWC authority to authorize movement against the current of traffic. • Use proper radio procedures for issuance of a mandatory directive.

34A.1	Authority to Pass CTC Stop Signal, Route Lined and Locked Applicable Rules: 9.12.1, 23.10A	Determine that a train dispatcher is complying with rules specific to authorizing a train past a stop signal in CTC.	• Know that no conflicting authorities or movements exist in the block governed by that signal. • Apply blocking mechanism to establish signal protection. • Line the switch to the proper position for movement and apply blocking mechanism to each involved dual control switch. • Ensure crew has signal in view before granting authority. • The Authority to Pass (ATP) function must be entered in the CAD system, when possible. • Use proper verbiage in the issuance of authority to pass a signal displaying Stop, including train ID, location, direction of movement and route where applicable. • Require correct repeat of instruction. • Use proper radio procedures.

34A.2	Authority Past CTC Stop Signal – Intermittent Track Occupancy Indication Applicable Rules: 9.12.1, 23.10A, 23.9	Determine that a train dispatcher is complying with rules specific to intermittent track occupancy.	• Know that no conflicting authorities or movements exist in the block governed by that signal. • Apply blocking mechanism to establish signal protection. • Line the switch to the proper position for movement and apply blocking mechanism to each involved dual control switch. • Ensure crew has signal in view before granting authority. • The Authority to Pass (ATP) function must be entered in the CAD system, when possible. • Include in the verbiage authorizing the train to pass the Stop signal the instruction to crew to operate at restricted speed to the next control point • Require correct repeat of instruction. • Use proper radio procedures.

34A.3	Authority Past Manual Interlocking Applicable Rules: 9.12.2, 23.10, 23.11,	Determine that a train dispatcher is complying with rules specific to authority past signal displaying stop indication at manual interlocking	• Know that no conflicting authorities or movements exist in the block governed by that signal • Contact all train dispatchers or control operators, including foreign railroads, controlling any signal route within the manual interlocking to determine no conflicting movements have been or will be authorized before granting authority to pass the Stop signal. • Apply blocking mechanism to provide signal protection. • Line the switch to the proper position for movement and apply switch block to each involved dual control switch. • Ensure crew has signal in view before granting authority. • The Authority to Pass (ATP) function must be entered in the CAD system, when possible. • Use proper verbiage in the issuance of authority to pass a signal displaying Stop, including train ID, location, direction of movement and route where applicable. • Require correct repeat of instruction. • Use proper radio procedures.

34A.4	Stop Signal at Automatic Interlocking Applicable Rules: 9.12.3, 23.10, 23.12	Determine that a train dispatcher is complying with rules specific to authority past signal displaying stop indication at Automatic interlocking	• Verify the crew has complied with instructions in the release box • Ensure that the train has authority to occupy the track beyond the signal. • Determine that no conflicting authority exists beyond the signal. • Ensure crew has signal in view before granting authority. • Use proper verbiage in the issuance of authority to pass automatic interlocking signal displaying Stop, including train ID and location. • Require correct repeat of instruction. • Use proper radio procedures.

34B.1	Authority Past Stop Signal – Route Cannot be Lined for Movement Applicable Rules: 9.13.1, 23.10 B,	Determine that a train dispatcher is complying with rules specific to authority past signal displaying stop indication switch(s) not lined and locked	• Determine there is no conflicting movement. • Ensure crew has signal in view before granting authority. • The Authority to Pass (ATP) function must be entered in the CAD system, when possible. • Prior to and separate from granting authority to pass the Stop signal, inform the employee of the route to be taken, what is wrong at the location and which switches must be hand operated. If route includes moveable point frogs, the dispatcher must also instruct crew to hand-operate the moveable point frogs. • Apply blocking mechanism to the dual control switches. • Apply blocking mechanism to prevent signals from clearing into the limits on all routes affected. • Use proper verbal format when authorizing train to pass signal displaying Stop. • Ensure crew properly repeats instruction. • Use proper radio procedure.

34B.2	Authority Past Stop Signal – CTC or Manual Interlocker in Code Line Failure Applicable Rules: 9.13.1, 23.10 B, 23.24	Determine that a train dispatcher is complying with rules specific to authority past signal displaying stop indication - Code Line Failure	• Determine the track is clear or that any opposing movement within the area to be authorized has stopped before authorizing train to pass Stop signal. • Ensure crew has signal in view before granting authority. • The Authority to Pass (ATP) function must be entered in the CAD system, when possible. • Prior to and separate from granting authority to pass the Stop signal, inform the employee of the route to be taken, what is wrong at the location and which switches must be hand operated. If route includes moveable point frogs, the dispatcher must also instruct crew to hand-operate the moveable point frogs. • Use proper verbal format when authorizing train to pass signal displaying Stop. • Apply blocking mechanism to the dual control switches. • Apply blocking mechanism to prevent signals from clearing into the limits on all routes affected. • Ensure crew properly repeats instruction. • Use proper radio procedures.

34B.3	Hand Operation of Spring Switch Applicable Rules: 23.13	Determine that a train dispatcher is complying with rules specific hand-operation of spring switch	• Ensure that the train has authority to occupy the track beyond the signal. • Determine that no conflicting authority exists. • Use proper verbiage in the issuance of permission to pass signal displaying Stop, including train ID and location. • Ensure crew properly repeats instruction. • Use proper radio procedures.
34C.1	Authority to Enter CTC at Hand Operated Switch Applicable Rules: 10.1, 24.1	Determine that a train dispatcher is complying with rules specific to train entering CTC.	• Know that there are no conflicting movements or authorities in the block to be occupied. Apply blocking mechanisms to prevent entrance to the block to be occupied. (Rules 24.1 and 10.1) • The Enter Main Track (EMT) function is used, if possible (Rule 25.6). • Use proper verbiage in authorizing movement to enter CTC, including specification of the direction of movement and train ID(s) of train(s) authority is in effect behind. (Rules 24.1 and 10.1) • Require crew to properly repeat authority to enter CTC. (Rules 2.3 and 6.1) • Use proper radio procedures.

34C.2	Authority to Enter Track Permit Territory at Hand Operated Switch Applicable Rules: 10.1, 24.1, 25.6	Determine that a train dispatcher is complying with rules specific to train entering Track Permit Territory.	• Know that there are no conflicting movements or authorities in the block to be occupied. Apply blocking mechanisms to prevent entrance to the block to be occupied. • The Enter Main Track (EMT) function is used, if possible. • Use proper verbiage in authorizing movement to enter CTC, including specification of the direction of movement and train ID(s) of train(s) authority is in effect behind. • Require crew to properly repeat authority to enter CTC. • Use proper radio procedures
34C.3	Changing Established Signal Route Applicable Rules: 9.5.1, 23.4	Determine that a train dispatcher is complying with rules specific to removing a signal for a closely approaching train.	• If an emergency situation, immediately place controlled signal to display Stop, then attempt to contact the crew. • Be assured by the locomotive engineer that he can comply with the change of signal indication before placing the signal to display Stop in a non-emergency situation. • Dispatcher must not line switch or authorize conflicting move until train is stopped • Use proper radio procedures

34C.4	Permission to Pass Non-Controlled Absolute Signal Applicable Rules: 23.13	Determine that a train dispatcher is complying with rules specific to authorizing train past ABS stop signal.	• Ensure that the train has authority to occupy the track beyond the signal. • Determine that no conflicting authority exists. • Use proper verbiage in the issuance of permission to pass signal displaying Stop, including train ID and location. • Require crew to properly repeat the instruction. • Use proper radio procedures.
34C.7	Train Detector Failure or Actuation Applicable Rules: SSI item 13	Check must be made when a train has actuated a defect detector to ensure that instructions issued by the train dispatcher are proper for the circumstances.	• Not authorize train to continue movement if not allowed by Detector Failure Action Table. • Not authorize train to continue movement without checking remote readout at locations so equipped. • Must comply with specific instructions contained in SSI 13 for each individual detector type
34C.8	Authorize Signal Employee to Line Route from Field Applicable Rules: 23.5	Determine that a train dispatcher is complying with rules specific to authorizing signal employee to line signals from field.	• Train Dispatcher must only allow a signal employee to line signals from the field if the control point is in code line failure status.

34C.9	Authorizing Reverse Movement in CTC or Manual Interlocking Applicable Rules: 6.4.1, 22.2	Determine that a Train Dispatcher is complying with rules specific to granting permission for a reverse movement in CTC or manual interlocking.	• Ensure no track authority has been granted and no following trains are authorized between rear of train to make the reverse movement and next absolute signal to the rear. If following train(s) have been authorized within the block, the first following train has been instructed to stop and remain stopped until advised that the reverse movement has been completed. • Set next absolute signal to the rear to Stop and apply blocking mechanisms to prevent entry to the block. • Require crew to properly repeat instruction. • Use proper radio procedure
34C.10	Protection While Passenger Train is Discharging Passengers Applicable Rules: 22.8	Determine that a Train Dispatcher is complying with rules specific to passenger train discharging passengers.	• Apply a blocking mechanism to prevent unauthorized movement of train or equipment on the affected track until passenger train has departed the loading platform or instruct passenger train not to enter the station until it is known that the track separating the train from the station platform is clear and that no further movements will be authorized. • Use proper radio procedure.

34C.11	Protection of High-Speed Work Equipment Moving on Signal Indication Applicable Rules: 22.3, 22.3.1, 22.3.2	Determine that a Train Dispatcher is complying with rules specific to protection of high-speed work equipment moving on signal indication.	• Cancel all auto-routing and automatic signal clearing features in CAD train dispatch system within limits high-speed work equipment is authorized to move on signal indication. • Apply blocking to each track segment to prevent signals from allowing a following movement into the track segment the high-speed work equipment is occupying. • Line each dual control switch for the movement of the high-speed work equipment and apply a blocking mechanism to each dual control switch to be passed over. • In TWC territory, issue track warrant to high-speed work equipment with a Box 7 and must not issue joint limits with trains or other men or equipment. • Issue all unforeseen speed restrictions, including those concerning automatic crossing protection devices to the employee in charge of the high-speed work equipment. (• In Cab Signal Territory, if high-speed work equipment is not equipped with operative cab signals, the train dispatcher must authorize movement of high-speed work equipment by issuance of track and time or track permit authority only in CTC or Rule 9.15 ACS, CBS or ATC territory.

			• In Cab Signal Territory if high-speed work equipment is not equipped with operative cab signals establish an absolute block in front of the high-speed work equipment within Rule 9.14 ACS or ATS territory. •
34C.12	Permission to Pass Over Switch Equipped with Switch Point Indicator Applicable Rules: Rockwell Subdivision SI-14	This test is used to check train dispatcher's compliance with the requirements of Rockwell Subdivision Special Instructions 14, Ogden Junction.	• Grant permission to train or engine to pass over switches using the proper verbal format. • Instruct crew to hand-operate switch for their movement when track occupancy indication is present on the switch.
34C.13	Permission to Hand-Operate Dual Control Switch for Switching Purposes Applicable Rules: 23.14	Determine that a Train Dispatcher is complying with rules specific to granting authority for a train to place dual control switch in hand throw for switching.	• Verify no conflicting moves. • Apply blocking mechanism to switch(s) and all affected track segments. • Specify which tracks are authorized to be occupied and direction(s) movement is authorized • Must not remove switch blocks until switch has been restored to power

34C.14	Failure to Display Most Restrictive Indication Applicable Rules: 23.7	Also known as a "false clear", this test will determine if proper procedures are followed when the dispatcher receives notification of a proceed indication into an occupied block or incorrect signal progression	• Stop all movements at or between controlled signals. • Place location in manual mode. • Place signals governing access into the location to stop. • Notify SOC (Signal Operations Center) and Corridor Manager. • When Corridor Manager approves moving trains again, all movements must be made at restricted speed until a signal department employee permits normal movement. • Issue a track bulletin or blocking mechanism using prescribed verbal format.
34C.15	Back Up Movements Applicable Rules: 6.6	This test will determine if proper procedures are followed when the dispatcher grants permission to make a back up move	• Only grant permission to make a back up move if train is occupying a controlled track. • Grant permission to make back up move when a conflicting move is present unless the conflicted move is protected. • Not grant permission to make back up move with a track bulletin Form B is in effect. • Not grant permission to make back up move when main track is removed from service. • Not grant permission to make back up move if Track Breach Protection is in effect. • Not grant permission to make back up move if permission to leave a switch in reverse position has been granted.

35A.1	Sole Track and Time to MW Employee Applicable Rules: 20.5.1, 20.8.1, 20.8.2, 20.26, 24.2, 24.2.1, 24.2.2, 24.2.3, 24.2.4, 24.2.6, 24.2.7	This test will determine if proper procedures are followed when the dispatcher issues track and time to a MW employee	• Apply proper blocking mechanism to prevent entry to the protected area. • Use the automated CAD system track and time function to protect and issue track and time authority at locations where CAD system is available. • Line and lock dual control switches located within the limits. • Instruct crew or employee to hand-operate any dual control switch within track and time limits by hand if switch does not show to be lined and locked. • Advise the crew or employee receiving track and time authority of any conditions that apply to the authority prior to issuing. • When issuing track and time to MW, create authority in CAD system first and then, confirm the limits to be granted with MW employee directly from the CAD screen. • Transmit authority with the precise limits and conditions that have been established in the CAD system. • Listen carefully while directly observing screen display during repeat of track and time authority. • Transmit only the OK time as shown on the CAD screen. • Ensure that adjoining control operator has applied blocking mechanism to prevent entrance into track and time limits when the control point is not controlled by the

			train dispatcher issuing the track and time authority. • Advise train or employee of all others granted joint track and time within the same limits. • Require crew to properly repeat instruction. • Issue joint track and time authority to all trains and employees within overlapping limits, except if track and time is issued behind a train moving on signal indication. • Use proper radio procedures.

35A.2	Joint Track and Time to MW Employee Applicable Rules: 20.5.1, 20.8.1, 20.8.2, 20.26, 24.2, 24.2.1, 24.2.2, 24.2.3, 24.2.4, 24.2.6, 24.2.7	This test will determine if proper procedures are followed when the dispatcher issues track and time to a MW employee	• Apply proper blocking mechanism to prevent entry to the protected area. • Use the automated CAD system track and time function to protect and issue track and time authority at locations where CAD system is available. • Line and lock dual control switches located within the limits. • Instruct crew or employee to hand-operate any dual control switch within track and time limits by hand if switch does not show to be lined and locked. • Advise the crew or employee receiving track and time authority of any conditions that apply to the authority prior to issuing. • When issuing track and time to MW, create authority in CAD system first and then, confirm the limits to be granted with MW employee directly from the CAD screen. • Transmit authority with the precise limits and conditions that have been established in the CAD system. • Listen carefully while directly observing screen display during repeat of track and time authority. • Transmit only the OK time as shown on the CAD screen. • Ensure that adjoining control operator has applied blocking mechanism to prevent entrance into track and time limits when the control point is not controlled by the

			train dispatcher issuing the track and time authority. • Advise train or employee of all others granted joint track and time within the same limits. • Require crew to properly repeat instruction. • Issue joint track and time authority to all trains and employees within overlapping limits, except if track and time is issued behind a train moving on signal indication. • Use proper radio procedures.

35A.3	Sole Track and Time to train Applicable Rules: 20.5.1, 20.8.1, 20.8.2, 20.26, 24.2, 24.2.1, 24.2.2, 24.2.3, 24.2.4, 24.2.6, 24.2.7	This test will determine if proper procedures are followed when the dispatcher issues track and time to a train	• Apply proper blocking mechanism to prevent entry to the protected area. • Use the automated CAD system track and time function to protect and issue track and time authority at locations where CAD system is available. • Line and lock dual control switches located within the limits. • Instruct crew or employee to hand-operate any dual control switch within track and time limits by hand if switch does not show to be lined and locked. • Advise the crew or employee receiving track and time authority of any conditions that apply to the authority prior to issuing. • When issuing track and time to MW, create authority in CAD system first and then, confirm the limits to be granted with MW employee directly from the CAD screen. • Transmit authority with the precise limits and conditions that have been established in the CAD system. • Listen carefully while directly observing screen display during repeat of track and time authority. • Transmit only the OK time as shown on the CAD screen. • Ensure that adjoining control operator has applied blocking mechanism to prevent entrance into track and time limits when the control point is not controlled by the

			train dispatcher issuing the track and time authority. • Advise train or employee of all others granted joint track and time within the same limits. • Require crew to properly repeat instruction. • Issue joint track and time authority to all trains and employees within overlapping limits, except if track and time is issued behind a train moving on signal indication. • Do not issue switch yes to a train unless joint with MW and the end of CTC. • Use proper radio procedures.

35A.4	Joint Track and Time to train Applicable Rules: 10.3, 20.5.1, 20.8.1, 20.8.2, 20.26, 24.2, 24.2.1, 24.2.2, 24.2.3, 24.2.4, 24.2.6, 24.2.7	This test will determine if proper procedures are followed when the dispatcher issues track and time to a train	• Apply proper blocking mechanism to prevent entry to the protected area. • Use the automated CAD system track and time function to protect and issue track and time authority at locations where CAD system is available. • Line and lock dual control switches located within the limits. • Instruct crew or employee to hand-operate any dual control switch within track and time limits by hand if switch does not show to be lined and locked. • Advise the crew or employee receiving track and time authority of any conditions that apply to the authority prior to issuing. • When issuing track and time to MW, create authority in CAD system first and then, confirm the limits to be granted with MW employee directly from the CAD screen. • Transmit authority with the precise limits and conditions that have been established in the CAD system. • Listen carefully while directly observing screen display during repeat of track and time authority. • Transmit only the OK time as shown on the CAD screen. • Ensure that adjoining control operator has applied blocking mechanism to prevent entrance into track and time limits when the control point is not controlled by the

			train dispatcher issuing the track and time authority. • Advise train or employee of all others granted joint track and time within the same limits. • Require crew to properly repeat instruction. • Issue joint track and time authority to all trains and employees within overlapping limits, except if track and time is issued behind a train moving on signal indication. • Do not issue switch yes to a train unless joint with MW and the end of CTC. • Ensure train is moving at restricted speed prior to issuing joint track and time. • Use proper radio procedures.
35A.5	Releasing Track and Time Authority Applicable Rules: 10.3, 20.8.1	This test will determine if proper procedures are followed when a train dispatcher releases track and time authority	• Ensure that the correct track and time authority is being released. • State the track and time authority number, the release time and dispatcher's initials. • Use proper radio procedures.
35A.6	Extending Track and Time Until Time Applicable Rules: 10.3, 20.8.1, 24.2.6	This test will determine if proper procedures are followed when a train dispatcher extends the until time on a track and time authority	• Continue to protect the limits of track and time authority after time limit has expired. • Ensure employee correctly repeats extension of track and time authority. • Use proper radio procedures.

35B.1	Issue Track Permit to MW Employee Applicable Rules: 9.15.1, 20.26, 20.8.1, 20.8.2, 23.18, 24.2.2	This test will determine if proper procedures are followed when train dispatcher issues track permit to a MW employee.	• Ensure that the limits are clear or occupied only by trains moving with the current of traffic prior to issuance • Train Dispatcher must not issue track permit authority to MW until all trains operating with the current of traffic within the limits have been identified by engine number and initial as having passed the location where the track will be fouled. • Ensure that adjoining control operator has applied blocking mechanism to prevent entrance into track permit limits and has recorded the track permit when the control point is not controlled by the train dispatcher issuing the track permit authority. • When issuing track permit to MW, create authority in CAD system first and then, confirm the limits to be granted with MW employee directly from the CAD screen. • Transmit authority with the precise limits and conditions that have been established in the CAD system. • Listen carefully while directly observing screen display during repeat of track permit authority. • Require crew to properly repeat instruction. • Transmit only the OK time as shown on the CAD screen. • Advise train or employee of all others granted a joint track permit within the same limits.

			• Issue joint track permit to all trains and employees within overlapping limits, except when track permit is issued behind a train moving on signal indication with the current of traffic. • Use proper radio procedures.

35B.2	Issue Track Permit to Trains Applicable Rules: 9.15.1, 20.26, 20.8.1, 20.8.2, 23.18, 24.2.2	This test will determine if proper procedures are followed when train dispatcher issues track permit to a MW employee.	• Ensure that the limits are clear or occupied only by trains moving with the current of traffic prior to issuance • Ensure that adjoining control operator has applied blocking mechanism to prevent entrance into track permit limits and has recorded the track permit when the control point is not controlled by the train dispatcher issuing the track permit authority. • When issuing track permit to MW, create authority in CAD system first and then, confirm the limits to be granted with MW employee directly from the CAD screen. • Transmit authority with the precise limits and conditions that have been established in the CAD system. • Listen carefully while directly observing screen display during repeat of track permit authority. • Require crew to properly repeat instruction. • Transmit only the OK time as shown on the CAD screen. • Advise train or employee of all others granted a joint track permit within the same limits. • Issue joint track permit to all trains and employees within overlapping limits, except when track permit is issued behind a train moving on signal indication with the current of traffic. • Ensure that a train granted sole track permit is not

			exceeding restricted speed prior to changing the authority status to joint and issuing joint track permit to another train or employee. • Authorize movements against current of traffic by track permit where in effect. • Use proper radio procedures.
35B.3	Release Track Permit Applicable Rules: 20.8.1, 23.19	This test will determine if proper procedures are followed when a train dispatcher releases track permit.	• State the track permit number, the train ID or employees name, the release time and dispatcher's initials. • Use proper radio procedures.

35C.1	Issue Foul Time Permit Applicable Rules: 20.26, 20.8.1, 20.8.2, 24.2.5, 24.2.7	This test will determine if proper procedures are followed when a train dispatcher issues foul time to MW employee.	• Determine no movement is occupying or authorized to occupy the control point (on track) where foul time permit is to be issued. • Properly protect limits with blocking mechanisms prior to verbal issuance of foul time permit. • Issue the foul time permit as a mandatory directive, including statement of numbers as single digits. • Create foul time protection in CAD system first and then, confirm the limits to be granted with MW employee directly from the CAD screen. • Use proper verbiage when transmitting foul time permit, reading critical information from the foul time issuance screen. • Listen carefully while directly observing screen display during repeat of foul time permit. • Require employee to properly repeat instruction. • Use proper radio procedure.
35C.2	Releasing Foul Time Permit Applicable Rules: 20.8.1	This test will determine if proper procedures are followed when a train dispatcher releases foul time.	• Ensure that the correct foul time permit is being released. • State the foul time permit number, the employee's name, the release time and dispatcher's initials. • Use proper radio procedures

35D.1	Blue Signal Protection Applicable Rules: 5.13, 21.7	This test will determine if proper procedures are followed when a train dispatcher issue blue signal protection.	• Line switches to prevent movement into the protected track(s) and apply blocking mechanism to prevent movement of the switches. • Utilize the CAD dispatch system blue signal protection function for this purpose where provided. • Record the required information for blue signal protection on the proper form. Where CAD blue signal protection function is available, this form will be maintained in the CAD dispatch system. • Maintain record of blue signal protection for 15 days. Where CAD blue signal protection function is available, the information will be maintained in the CAD dispatch system. • Issue the blue signal protection to the employee in charge using the prescribed verbiage. • Ensure the employee correctly repeats the blue signal protection. • Ensure blue signal protection is not established on a main track except at locations specifically exempted by Federal Railroad Administration. • Ensure blue signal protection is not removed until employee in charge of workmen authorizes release of the protection. • Use proper radio procedures if issued via radio

36A.1	Establishing Absolute Block in Advance of Train: ATC Territory Applicable Rules: 11.1, 17.7, 25.1, 25.1.1, 25.2	This test will determine if proper procedures are followed when a train dispatcher issue absolute block in ATC territory.	• Determine that the engineer has properly acknowledged the cab signal prior to instructing engineer to cut out cab signals. (Rule 25.1) • Instruct engineer to cut out cab signals using proper verbal format prior to granting an absolute block. (Rules 25.1 and 25.2) • Notify signal technician if two or more trains report a restricting cab signal or train control problems at the same location. (Rule 25.1.1) • Determine if the territory ahead is equipped with continuous automatic block signals. (Rule 17.7) • Determine that the block directly ahead of the train is not or will not be occupied by another train in territory equipped with wayside signals. (Rule 25.2) • Determine that the entire limits of the absolute block are not or will not be occupied by another train in territory not equipped with wayside signals. (Rule 25.2) • Make a record of the time cab signals are authorized to be cut out and of the limits of the absolute block in the Unusual Occurrences portion of CAD train sheet. (Rule 25.2) • Use proper verbal format to authorize absolute block. (Rules 25.2 and 11.1) • Ensure the crew properly and correctly repeats the absolute

			block authority. (Rules 2.3 and 6.1) • Notify the Locomotive Help Desk of the inoperative ATC. (Rule 25.2) • Use proper radio procedures
36A.3	Establishing Absolute Block in Advance of Train: CCS / ACS Territory Applicable Rules: 25.1, 25.4	This test will determine if proper procedures are followed when a train dispatcher issue absolute block in CCS / ACS territory.	• Determine that the engineer has properly acknowledged the cab signal prior to instructing engineer to cut out cab signals. • Instruct engineer to cut out cab signals using proper verbal format • Determine that the block directly ahead of the train is not or will not be occupied by another train in territory equipped with wayside signals. • Determine that the entire limits of the absolute block are not or will not be occupied by another train in territory not equipped with wayside signals. • Make a record of the time cab signals are authorized to be cut out and of the limits of the absolute block in the Unusual Occurrences portion of CAD train sheet. • Use proper verbal format to authorize absolute block. • Ensure the crew properly and correctly repeats the absolute block authority. • Notify the Signal Technician of the location where the inoperative cab signals have been reported. • Use proper radio procedures

37A.1	Issue TWC Authority to MW – Sole Occupancy Applicable Rules: 20.8.1, 20.8.2, 20.26, 26.1, 26.4, 26.5	This test will determine if proper procedures are followed when a train dispatcher issue track warrant authority to MW.	• Advise employee of intent to issue track warrant. • When issuing track warrant to MW, create authority in CAD TWC system first and then, confirm the limits to be granted with MW employee directly from the CAD track warrant screen. • Issue as a mandatory directive. • Advise the employee receiving track warrant authority of any conditions that apply to the authority prior to issuing. • Read track warrant, including preprinted portions of the form (except for date and at location) exactly as displayed on the CAD TWC screen. • Issue authority clearly, concisely and at a speed that can be readily copied. • Transmit only the OK time as shown on the CAD screen after correct repeat. • Void track warrant if not understood and reissue with a new track warrant number. • Do not add, change or delete any information from the track warrant during the verbal issuance. • Do not issue track warrant authority to MW until all trains operating listed in Box 6 have been identified by engine number and initial as having passed the location where the track will be fouled. • Do not change the status of a solely held track warrant to joint, except by issuance of a new track warrant.

			• Do not issue track warrants to MW employees with limits extending into or through yard limits in ABS-TWC territory. • Do not use Box 12 to transmit messages that are not computer generated or required to operate the train safely and efficiently.

37A.2	Issue TWC Authority to MW – Joint Occupancy Applicable Rules: 20.8.1, 20.8.2, 20.26, 26.1, 26.4, 26.5	This test will determine if proper procedures are followed when a train dispatcher issue track warrant authority to MW.	• Advise employee of intent to issue track warrant. • When issuing track warrant to MW, create authority in CAD TWC system first and then, confirm the limits to be granted with MW employee directly from the CAD track warrant screen. • Issue as a mandatory directive. • Advise the employee receiving track warrant authority of any conditions that apply to the authority prior to issuing. • Read track warrant, including preprinted portions of the form (except for date and at location) exactly as displayed on the CAD TWC screen. • Issue authority clearly, concisely and at a speed that can be readily copied. • Transmit only the OK time as shown on the CAD screen after correct repeat. • Void track warrant if not understood and reissue with a new track warrant number. • Do not add, change or delete any information from the track warrant during the verbal issuance. • Do not issue track warrant authority to MW until all trains operating listed in Box 6 have been identified by engine number and initial as having passed the location where the track will be fouled. • Do not change the status of a solely held track warrant to joint, except by issuance of a new track warrant.

			• Do not issue track warrants to MW employees with limits extending into or through yard limits in ABS-TWC territory. • Do not use Box 12 to transmit messages that are not computer generated or required to operate the train safely and efficiently.

37A.3	Issue TWC Authority to Train ABS – Sole Occupancy Applicable Rules: 20.8.1, 20.8.2, 20.26, 26.1, 26.4, 26.5, 26.5.1, 26.5.2	This test will determine if proper procedures are followed when a train dispatcher issue track warrant authority to train.	• Advise employee of intent to issue track warrant. • Complete input of information in all required fields in CAD TWC system. • Issue as a mandatory directive. • Advise the employee receiving track warrant authority of any conditions that apply to the authority prior to issuing. • Include a Box 5 Clear Main Track instruction on Box 3 track warrants issued to trains where siding must be entered to meet or be passed by a train. • Read track warrant, including preprinted portions of the form exactly as displayed on the CAD TWC screen. • Issue authority clearly, concisely and at a speed that can be readily copied. • Listen carefully while directly observing screen display during repeat of the track warrant. • Record the name of the employee who copies, repeats or relays track warrant. • Transmit only the OK time as shown on the CAD screen. • Void track warrant if not understood and reissue with a new track warrant number. • Transmit speed restriction in Line 11 each time a track warrant is issued to same train or engine until restriction has been passed. • Do not add, change, or delete any information from the

			track warrant during the verbal issuance. • Do not change the status of a solely held track warrant to joint, except by issuance of a new track warrant. • Do not issue track warrants granting disjointed authority except in authorized situations. • Do not issue Box 7 track warrant to a train unless the train crew advises that they need to work in both directions. • Do not use Box 12 to transmit messages that are not computer generated or required to operate the train safely and efficiently

37A.4	Issue TWC Authority to Train ABS – Joint Occupancy Applicable Rules: 20.8.1, 20.8.2, 20.26, 26.1, 26.4, 26.5, 26.5.1, 26.5.2	This test will determine if proper procedures are followed when a train dispatcher issue track warrant authority to train.	• Advise employee of intent to issue track warrant. • Complete input of information in all required fields in CAD TWC system. • Issue as a mandatory directive. • Advise the employee receiving track warrant authority of any conditions that apply to the authority prior to issuing. • Include a Box 5 Clear Main Track instruction on Box 3 track warrants issued to trains where siding must be entered to meet or be passed by a train. • Read track warrant, including preprinted portions of the form exactly as displayed on the CAD TWC screen. • Issue authority clearly, concisely and at a speed that can be readily copied. • Listen carefully while directly observing screen display during repeat of the track warrant. • Record the name of the employee who copies, repeats or relays track warrant. • Transmit only the OK time as shown on the CAD screen. • Void track warrant if not understood and reissue with a new track warrant number. • Transmit speed restriction in Line 11 each time a track warrant is issued to same train or engine until restriction has been passed. • Do not add, change, or delete any information from the

			track warrant during the verbal issuance. • Do not change the status of a solely held track warrant to joint, except by issuance of a new track warrant. • Do not issue track warrants granting disjointed authority except in authorized situations. • Do not issue Box 7 track warrant to a train unless the train crew advises that they need to work in both directions. • Do not use Box 12 to transmit messages that are not computer generated or required to operate the train safely and efficiently

37A.5	Issue TWC Authority to Train Non-ABS – Sole Occupancy Applicable Rules: 20.8.1, 20.8.2, 20.26, 26.1, 26.4, 26.5, 26.5.1, 26.5.2, 26.6, 26.7	This test will determine if proper procedures are followed when a train dispatcher issue track warrant authority to train.	• Advise employee of intent to issue track warrant. • Complete input of information in all required fields in CAD TWC system. • Issue as a mandatory directive. • Advise the employee receiving track warrant authority of any conditions that apply to the authority prior to issuing. • Include a Box 5 Clear Main Track instruction on Box 3 track warrants issued to trains where siding must be entered to meet or be passed by a train. • Read track warrant, including preprinted portions of the form exactly as displayed on the CAD TWC screen. • Issue authority clearly, concisely and at a speed that can be readily copied. • Listen carefully while directly observing screen display during repeat of the track warrant. • Record the name of the employee who copies, repeats or relays track warrant. • Transmit only the OK time as shown on the CAD screen. • Void track warrant if not understood and reissue with a new track warrant number. • Transmit speed restriction in Line 11 each time a track warrant is issued to same train or engine until restriction has been passed. • Do not add, change, or delete any information from the

			track warrant during the verbal issuance. • Do not change the status of a solely held track warrant to joint, except by issuance of a new track warrant. • Do not issue track warrants granting disjointed authority except in authorized situations. • Do not issue Box 7 track warrant to a train unless the train crew advises that they need to work in both directions. • Do not use Box 12 to transmit messages that are not computer generated or required to operate the train safely and efficiently • Do not issue a track warrant authorizing a following movement • Do not issue a track warrant containing a box 2 without verify train is stopped at meeting point

37A.6	Issue TWC Authority to Train Non-ABS – Joint Occupancy Applicable Rules: 20.8.1, 20.8.2, 20.26, 26.1, 26.4, 26.5, 26.5.1, 26.5.2, 26.6, 26.7	This test will determine if proper procedures are followed when a train dispatcher issue track warrant authority to train.	• Advise employee of intent to issue track warrant. • Complete input of information in all required fields in CAD TWC system. • Issue as a mandatory directive. • Advise the employee receiving track warrant authority of any conditions that apply to the authority prior to issuing. • Include a Box 5 Clear Main Track instruction on Box 3 track warrants issued to trains where siding must be entered to meet or be passed by a train. • Read track warrant, including preprinted portions of the form exactly as displayed on the CAD TWC screen. • Issue authority clearly, concisely and at a speed that can be readily copied. • Listen carefully while directly observing screen display during repeat of the track warrant. • Record the name of the employee who copies, repeats or relays track warrant. • Transmit only the OK time as shown on the CAD screen. • Void track warrant if not understood and reissue with a new track warrant number. • Transmit speed restriction in Line 11 each time a track warrant is issued to same train or engine until restriction has been passed. • Do not add, change, or delete any information from the

			track warrant during the verbal issuance. • Do not change the status of a solely held track warrant to joint, except by issuance of a new track warrant. • Do not issue track warrants granting disjointed authority except in authorized situations. • Do not issue Box 7 track warrant to a train unless the train crew advises that they need to work in both directions. • Do not use Box 12 to transmit messages that are not computer generated or required to operate the train safely and efficiently • Do not issue a track warrant authorizing a following movement • Do not issue a track warrant containing a box 2 without verify train is stopped at meeting point

37A.7	Issue After Arrival Track Warrant to Train in Non-ABS Territory Applicable Rules: 20.8.1, 20.8.2, 20.26, 26.1, 26.4, 26.5, 26.5.1, 26.5.2, 26.6, 26.7	This test will determine if proper procedures are followed when a train dispatcher issue track warrant authority to train.	• Advise employee of intent to issue track warrant. • Complete input of information in all required fields in CAD TWC system. • Issue as a mandatory directive. • Advise the employee receiving track warrant authority of any conditions that apply to the authority prior to issuing. • Include a Box 5 Clear Main Track instruction on Box 3 track warrants issued to trains where siding must be entered to meet or be passed by a train. • Read track warrant, including preprinted portions of the form exactly as displayed on the CAD TWC screen. • Issue authority clearly, concisely and at a speed that can be readily copied. • Listen carefully while directly observing screen display during repeat of the track warrant. • Record the name of the employee who copies, repeats or relays track warrant. • Transmit only the OK time as shown on the CAD screen. • Void track warrant if not understood and reissue with a new track warrant number. • Transmit speed restriction in Line 11 each time a track warrant is issued to same train or engine until restriction has been passed. • Do not add, change, or delete any information from the

			track warrant during the verbal issuance. • Do not change the status of a solely held track warrant to joint, except by issuance of a new track warrant. • Do not issue track warrants granting disjointed authority except in authorized situations. • Do not issue Box 7 track warrant to a train unless the train crew advises that they need to work in both directions. • Do not use Box 12 to transmit messages that are not computer generated or required to operate the train safely and efficiently • Do not issue a track warrant authorizing a following movement • Do not issue a track warrant containing a box 2 without verify train is stopped at meeting point

37A.8	Electronic or Mechanical Transmitted Track Warrant for Movement Authority Applicable Rules: 18.11, 20.8.1, 20.8.2, 20.26, 26.1, 26.4, 26.5, 26.5.1, 26.5.2, 26.6, 26.7, 26.9	This test will determine if proper procedures are followed when a train dispatcher issue track warrant authority to train.	• Advise employee of intent to issue track warrant. • Complete input of information in all required fields in CAD TWC system. • Advise the employee receiving track warrant authority of any conditions that apply to the authority prior to issuing. • Include a Box 5 Clear Main Track instruction on Box 3 track warrants issued to trains where siding must be entered to meet or be passed by a train. • Record the name of the employee who copies, repeats or relays track warrant. • Void track warrant if not understood and reissue with a new track warrant number. • Transmit speed restriction in Line 11 each time a track warrant is issued to same train or engine until restriction has been passed. • Do not add, change, or delete any information from the track warrant during the verbal issuance. • Do not change the status of a solely held track warrant to joint, except by issuance of a new track warrant. • Do not issue track warrants granting disjointed authority except in authorized situations. • Do not issue Box 7 track warrant to a train unless the train crew advises that they need to work in both directions. • Do not use Box 12 to transmit messages that are not computer

			generated or required to operate the train safely and efficiently • Do not issue a track warrant authorizing a following movement • Do not issue a track warrant containing a box 2 without verify train is stopped at meeting point • Check track warrant for accuracy before transmitting. • If electronically delivered, ensure crew has verified track warrant number, designated limits, and any conditions. • PTC/Mechanically transmit a track warrant for movement authority that restricts the movement of a train prior to gaining an understanding with crew that they must not leave until they receive the track warrant.

37A.9	Authority to Leave Main Track Switch Open in TWC Territory Applicable Rules: 18.11, 20.8.1, 20.8.2, 20.26, 23.1, 26.1, 26.4, 26.5, 26.5.1, 26.5.2, 26.6, 26.7, 26.9	This test will determine if proper procedures are followed when a train dispatcher issue track warrant authority to train.	• Within ABS territory only, authorize crew to leave main track switch open by using Box 12 of track warrant. • Include instruction in Box 12 of subsequently issued track warrant(s) advising the location and position of switch that was authorized to be left open. • Advise employee of intent to issue track warrant. • Complete input of information in all required fields in CAD TWC system. • Advise the employee receiving track warrant authority of any conditions that apply to the authority prior to issuing. • Include a Box 5 Clear Main Track instruction on Box 3 track warrants issued to trains where siding must be entered to meet or be passed by a train. • Record the name of the employee who copies, repeats or relays track warrant. • Void track warrant if not understood and reissue with a new track warrant number. • Transmit speed restriction in Line 11 each time a track warrant is issued to same train or engine until restriction has been passed. • Do not add, change, or delete any information from the track warrant during the verbal issuance. • Do not change the status of a solely held track warrant to joint, except by issuance of a new track warrant.

			• Do not issue track warrants granting disjointed authority except in authorized situations. • Do not issue Box 7 track warrant to a train unless the train crew advises that they need to work in both directions. • Do not use Box 12 to transmit messages that are not computer generated or required to operate the train safely and efficiently
37B.1	ABS TWC Release Applicable Rules 14.7, 26.2	This test will determine if proper procedures are followed when a train dispatcher releases a track warrant authority.	• Ensure that the correct track warrant is released. • State the track warrant number, release time and name of employee releasing track warrant during the release. • Use proper radio procedure.

37B.2	Non -ABS TWC Release Applicable Rules 14.7, 22.4.3, 26.2, 26.2.1,	This test will determine if proper procedures are followed when a train dispatcher releases a track warrant authority.	• Ensure that the correct track warrant is released. • State the track warrant number, release time and name of employee releasing track warrant during the release. • Determine and confirm that either no main track switches were used, or that all main track switches used have been restored to normal position prior to accepting release of track warrant in non-signaled territory. • Confirm that both the engineer and conductor have initialed the Conductor Report Form after main track switches have been restored to normal position in non-signaled territory. • Protect location where unattended equipment is left on a siding in non-signaled territory by including in all subsequent track warrants, Line 12 instruction Comply with procedure PS at (station name). Protection must be left in place until train or employee has passed over switches at the siding location and advised that switches are in normal position. • Use proper radio procedures.

37C.1	Unforeseen Speed Restriction Applicable Rules 20.25, 20.26, 27.1.3	This test will determine if proper procedures are followed when a train dispatcher protects an unforeseen speed restriction.	• Repeat request for issuance of a speed restriction to the employee requesting it unless remote request. • Apply PTT (Protective Track Tag), TRP (Track Restriction Protection in TWC territory) or BLI to the proper location to prevent train movements into the area of the speed restriction prior to train receiving the unforeseen speed restriction. • Immediately issue restriction to any closely approaching train. • Issue track bulletin to protect speed restriction if a blocking mechanism cannot be applied to the location and place any signals governing movement to the restricted area to display Stop until issued to trains that did not receive the track bulletin. • Issue track bulletin to protect speed restriction if it is determined that the restriction will be in effect for more than 12 hours. • Issue as a mandatory directive, including the statement of numbers as single digits. • Carefully check the repeat of the unforeseen restriction and if correct, give an OK time and the train dispatchers initials. • Include all unforeseen speed restrictions in the transfer to relieving train dispatcher.

			• Use proper radio procedures.

37C.1.1	Remote Speed Restriction Applicable Rules 20.25, 20.26, 27.1.3	This test will determine if proper procedures are followed when a train dispatcher protects an remote speed restriction.	• Apply PTT (Protective Track Tag), TRP (Track Restriction Protection in TWC territory) or BLI to the proper location to prevent train movements into the area of the speed restriction prior to train receiving the unforeseen speed restriction. • Immediately issue restriction to any closely approaching train. • Place any signals governing movement to the restricted area to display Stop until issued to trains that did not receive the track bulletin. • Determine from the employee requesting speed restriction how long it will be in effect. • Issue track bulletin to protect speed restriction if it is determined that the restriction will be in effect for more than 12 hours. • Issue as a mandatory directive, including the statement of numbers as single digits. • Issue in the proper verbal format, stating Train ID issued to. • Carefully check the repeat of the unforeseen restriction and if correct, give an OK time and the train dispatchers initials. • Include all unforeseen speed restrictions in the transfer to relieving train dispatcher. • Use proper radio procedures.

37C.2	Rough Track Protection Applicable Rules 20.25, 20.26, 22.6	This test will determine if proper procedures are followed when a train dispatcher protects rough track.	• Repeat the location of the rough track to the employee reporting it. • Apply PTT (Protective Track Tag), TRP (Track Restriction Protection in TWC territory), or BLI to the proper location to prevent train movements into the area of the speed restriction prior to train receiving the unforeseen speed restriction. • Immediately advise any train approaching the area of the report of rough track and issue speed restriction. • Determine if rough track was on a bridge. If located on a bridge, do not allow any train traffic to traverse bridge until inspected. • Issue as a mandatory directive, including the statement of numbers as single digits. • Issue in the proper verbal format, stating Train ID issued to and including instruction to not exceed 10 MPH looking out of track defects. • Carefully check the repeat of the rough track restriction and if correct, give an OK time and the train dispatcher's initials. • Notify the appropriate track supervisor. • Include rough track restriction in the transfer to relieving train dispatcher. • Use proper radio procedures.

37C.3	Broken Rail Protection Applicable Rules 20.6, 22.6	This test will determine if proper procedures are followed when a train dispatcher protects a report of broken rail.	• Repeat the location of the possible broken rail to the employee reporting it. • Apply blocking mechanism to the proper location to prevent train movements into the area of the possible broken rail prior to train receiving the unforeseen speed restriction. • Immediately instruct any train approaching the area to stop short of the broken rail. • If approved for movement with a speed restriction, issue restriction as a mandatory directive (see requirements for issuance of unforeseen speed restriction). • Notify the appropriate track supervisor. • Include information on broken rail in the transfer to relieving train dispatcher. • Use proper radio procedures.
37C.4	Heavy Rains / Flooding Protection Applicable Rules 6.21, 22.5.5	This test will determine if proper procedures are followed when a train dispatcher protects a flash floods or heavy rains	• Immediately advise all trains within or approaching the area. • Apply a protective blocking mechanism to prevent train movements into the affected area, including protecting adjacent tracks. (Use of PTT, TRP or BLI is acceptable.) • Give preference to maintenance employees to inspect track.

37C.5	Tornado Protection Applicable Rules 22.5, 22.5.3, SSI Item 16	This test will determine if proper procedures are followed when a train dispatcher protects a tornado warning or sighting.	• Immediately advise all employees and trains within or approaching the area of the report of tornado. • Instruct all trains within or approaching the area where tornado has been reported to stop. • Set signals to display Stop indication in CTC territory. • Apply a protective blocking mechanism to prevent train movements into the affected area, including protecting adjacent tracks. (Use PTT, TRP or BLI where possible) • Notify appropriate track supervisor. • Give preference to maintenance employees to allow inspection of track. • Use proper radio procedures.

37C.6	High Wind Protection Applicable Rules 22.5.4,	This test covers the train dispatcher's procedures for providing protection following report of high wind.	• Immediately notify the Corridor Manager if report is received of constant wind speed or wind gusts in excess of 50 MPH. • If wind speed is projected to reach 120MPH or higher, stop all trains. • Stop passenger and/or commuter trains when constant or wind gust speed exceeds speed shown in Rule 22.5.4, based on the type of equipment on the train. • Stop any train approaching the affected area if the constant or wind gust speed exceeds the trains blow-over speed. • Allow any train within the affected area to continue not exceeding 10MPH if the constant or wind gust speed exceeds the trains blow-over speed. • Use proper radio procedures.
37C.7	Cold Weather Protection Applicable Rules SSI Item 2E	This test covers the train dispatcher's procedures for applying protection during cold weather.	• Issue high use track bulletin or BLI to all affected trains
37C.8	Hot Weather Protection Applicable Rules SSI Item 2D	This test covers the train dispatcher's procedures for applying protection during hot weather.	• Issue high use track bulletin or BLI to all affected trains

37C.9	Unusual Condition Protection Applicable Rules 20.25, 22.5	This test covers the train dispatcher's procedures for providing protection when advised of an unusual condition that may jeopardize the public, employees or the safe passage of trains, such as report of a vehicle on track, bridge or right-of-way fire, firefighters or police on or near tracks, mudslide, rockslide, etc.	• Repeat the location of the unusual condition to the employee reporting it. • Apply PTT (Protective Track Tag), TRP (Track Restriction Protection in TWC territory) or BLI to the proper location to prevent train movements into the area of the speed restriction prior to train receiving the unforeseen speed restriction. • Immediately advise any train approaching the area to stop if condition may affect the safety of the public, employees or safe operation of the train. • Place signals to Stop in CTC to prevent movement into the affected area. • If reported condition may affect the track or track structure, notify the appropriate track supervisor. • Give preference to maintenance employees to inspect track. • Use proper radio procedures.

37C.10	Grade Crossing Protection Device Applicable Rules 20.25, 22.5, 22.9,	This test covers the train dispatcher's procedures for providing protection when advised of inoperative or malfunctioning grade crossing protection device, including the intentional disabling of grade crossing protection device during periods of track maintenance or signal work.	• Repeat the location of the grade crossing including subdivision and condition being reported to the person providing the information. • Immediately protect the affected area (using PTT, TRP or BLI function where available). • Notify closely approaching train(s) of the malfunctioning crossing device and instruct crew to be governed by procedure XH at that location. • Immediately notify HDC Crossing Signal Technician and be governed by the signal technician's instruction as to the type of restriction required. • Issue as a mandatory directive, including the statement of numbers as single digits. • Issue in the proper verbal format, stating Train ID issued to. • Carefully check the repeat of the restriction and if correct, give an OK time and the train dispatcher's initials. • Give preference to signal maintenance employees to make repairs. • When notified in advance that crossing device is to be disabled (for track work or signal work), issue track bulletin as worded in Rule 22.9. • If notified that crossing device is disabled (no track bulletin in effect), use PTT, TRP or BLI function to protect the

			location and issue as XH condition. • Use proper radio procedures.
37C.11	Insufficient Clearance at Road Crossing Applicable Rules 20.25, 22.10, 22.11,	This test covers the train dispatcher's procedures for providing protection when advised of insufficient clearance between unattended rail equipment and a road crossing.	• Repeat the location of the insufficient clearance at road crossing including subdivision to the person providing the information. • Immediately protect the affected area (using PTT, TRP or BLI function where available). • Notify closely approaching train(s) to be governed by procedure XC at the location. (• Issue track bulletin worded as shown in Rule 22.10 if out longer than 12 hours. • Issue as a mandatory directive and including the statement of numbers as single digits. • Issue in the proper verbal format, stating Train ID issued to. • Carefully check the repeat of the restriction and if correct, give an OK time and the train dispatcher's initials. • Use proper radio procedures.

37C.12	Impaired Sight Distance or Damaged Crossbucks Applicable Rules 20.25, 22.10, 22.11,	This test covers the train dispatcher's procedures for providing protection when advised of impaired sight distance or missing/damaged crossbucks at a road crossing.	• Repeat the location of the impaired sight distance or missing/damaged crossbucks at road crossing including subdivision to the person providing the information. • Properly protect the location where insufficient sight distance or missing/damaged crossbucks at a road crossing is reported (use PTT, TRP or BLI function where available.) • Issue XI track bulletin to protect the location if out for more than 12 hours. • Verbally transmit the XI condition to all trains that will enter the location (that did not receive the track bulletin) using the proper verbal format. • Verbally transmit the XI restriction to all trains that will enter the location, using the proper verbal format. • Issue as a mandatory directive, stating Train ID issued to and including the statement of numbers as single digits. • Carefully check the repeat of the restriction and if correct, give an OK time and the train dispatcher's initials. • Use proper radio procedures.

37C.13	Unannounced Yellow Flag Applicable Rules 5.4.3, 20.17, 20.25, 21.8	This test covers the train dispatcher's procedures when advised that a train has encountered a yellow flag for which the crew has no restriction specified in writing.	• Carefully check track bulletins to determine if a restriction is in effect at that location. • Protect the location and Issue speed restriction to the train if a track restriction is found that applies to the yellow flag and report such condition to the Corridor Manager. • Report improperly displayed yellow flag to the Corridor Manager if no track restriction is in effect. • Use proper radio procedures.
37C.14	Unannounced Yellow-Red Flag Applicable Rules 5.4.4, 20.17, 20.25, 21.8	This test covers the train dispatcher's procedures when advised that a train has encountered a yellow-red flag for which the crew has no restriction specified in writing.	• Carefully check track bulletins to determine if a Form B track bulletin is in effect at that location. • Verbally transmit the Form B track bulletin to the train if a Form B is in effect at the location and advise the Corridor Manager. • Report improperly displayed yellow-red flag to the Corridor Manager if no Form B track bulletin is in effect. • Use proper radio procedures.
37C.15	Unannounced Red Flag Applicable Rules 5.4.7, 20.17, 20.25, 21.8	This test covers the train dispatcher's procedures when advised that a train has encountered a red flag for which the crew has no restriction specified in writing.	• Carefully check track bulletins to determine if a Form B track bulletin is in effect at that location. • Use proper radio procedures. • Report the improperly displayed signal to the Corridor Manager.

37C.16	Protection of Equipment Left on Main Track Applicable Rules: 2.14, 2.14.1, 20.26, 22.4, 22.4.2	This test covers the train dispatcher's procedures for protecting equipment left unattended on main track.	• Provide blocking mechanism to prevent signals from clearing into the location where equipment is left unattended in CTC, manual interlocking or track permit territory. • In Rule 9.14 territory, issue a Form C track bulletin immediately to all trains which may operate against the current of traffic at that location. • If necessary to transmit verbally, issue as a mandatory directive, stating Train ID issued to and including the statement of numbers as single digits. • In TWC territory (ABS or non-signaled) immediately issue a Line 7 work between track warrant to Dispatcher. Make the track warrant joint to protect the location of the equipment. • In non-signaled TWC territory, immediately issue a track bulletin to all trains approaching the location, advising of the unattended equipment on main track.

			• In TWC territory, after protection has been provided, instruct crew to release their track warrant. • Use proper radio procedures. • Must not grant authority to enter any protected limits where equipment has been left standing prior to advising the employee of the location of the standing equipment. • Must not remove protection until track is clear of standing equipment. • Must not use a Box 1 on a trains track warrant to void the track warrant that was issued to protect the standing equipment.

37C.17	Protection of Adjacent Track When Train is in Emergency, Actuation of Shifted Load, or Dragging Equipment Detector Applicable Rules: 22.7	This test covers the train dispatcher's procedures for protecting an adjacent track when a train reports in emergency or has experienced severe slack action while stopping, actuates a shifted load or dragging equipment detector.	• Provide blocking mechanism to prevent signals on adjacent track(s) from clearing into the location where train is in emergency, has experienced severe slack action while stopping, actuates a shifted load or dragging equipment detector. • Advise train(s) approaching location on adjacent track(s) of the location and status of the train in emergency or that has experienced severe slack action while stopping actuates a shifted load or dragging equipment detector. • Use proper radio procedures. • Inform crew of train in emergency their adjacent track(s) are protected. • Must not relieve crew of providing flag protection on adjacent tracks until protection has been provided. • Must not remove protection until train on each adjacent track has been advised of the location and status of affected train, or until affected train advises that

			adjacent track is not fouled
37C.18	Reserved		•
37C.19	Restore Derails to Derailing Position After Use Applicable Rules: 23.23	This test covers the train dispatcher's procedures for restoring power derails to the derailing position immediately after movement is completed	• After a movement is completed, restore power derails to derailing position within five (5) minutes
37C.20	Track Removed From Service Applicable Rules: 22.5.2	This test covers the train dispatcher's procedures for protecting a track removed from service by MW employee	• Issue a track bulletin if track will be out of service for more than twelve (12) hours. • Verbally authorize train past signal to enter track out of service. • Apply track tag with block with comments or issue a dispatcher warrant. • Not assume EIC role and remove track from service.

37D.1	Issue Track Warrant for Bulletins / Track Condition Summary Applicable Rules: 27.1, 27.3, Office Notice	This test specifically covers the proper issuance of track warrants for bulletins.	• Ensure that all track bulletins required for movement are delivered to trains. • Clear the original track warrant for bulletins / track condition summary out of the CAD track bulletin system when it is necessary to send an additional or new set of track warrants for bulletins to a train. • Send a new track warrant for bulletins / track condition summary if advised by crew that the first set sent was not received or contained errors. • Must not issue more than one track warrant for bulletins / track condition summary to a train in order to deliver all track bulletins required by the train. (Train dispatcher must contact CAD Manager to get track bulletin limit raised). • Must not send a subsequent track warrant for bulletins /track condition summary to deliver additional track bulletins until it is known that all copies of

			the originally sent track warrant for bulletins have been destroyed. • Must not void a track warrant for bulletins / track condition summary using Line 1 of track warrant for movement authority.
37D.2	Changing the Address on a Track Warrant For Bulletins / Track Condition Summary Applicable Rules 27.4, 6.1	This test specifically covers the proper method of changing the address on a track warrant for bulletins / track condition summary and is a Secondary Test.	• Verify that the engine number that the track warrant for bulletins / track condition summary is being changed to is the lead locomotive of the engine consist. • Ensure crewmember properly repeats instruction to change the engine number on a track warrant for bulletins / track condition summary. • Use proper radio procedures. • Must not authorize crew to make any changes to the track warrant for bulletins / track condition summary other than the train symbol, engine ID, date, direction, or number.

37D.3	Track Bulletin Form A – Issue or Modify Applicable Rules 5.4.2, 27.1, 27.1.1, 27.1.2, 27.1.3, 27.5	This test specifically covers the issuance and modification of Form A track bulletins.	• Repeat request to issue Form A track bulletin to the employee requesting it. • Apply proper Territory ID to track bulletin when created to ensure delivery to all trains requiring it. • Combine new Form A track bulletin items with existing Form A track bulletins when possible to do so. • Issue a Form A track bulletin or include in track condition summary to cover an unforeseen speed restriction that will not be repaired within 12 hours. • Indicate the location of yellow flags in Form A track bulletin when not displayed two miles from the start of restriction limits. • Issue a speed restriction that cannot be placed in a Form A track bulletin in a Form C track bulletin that is separate from other Form C track bulletins (can contain more than one speed restriction in same Form C track bulletin).

			• Carefully review track bulletin for accuracy before issuing or modifying. • Confirm that terminal train dispatcher or control operator has received track bulletin and has applied protection when location of restriction is within territory controlled by that employee. • Must not modify an existing Form A track bulletin item to eliminate overlapping speed restrictions. • Must not show an expiration time on the final speed restriction line on a step-up speed restriction.

37D.4	Track Bulletin Form B – Issue or Modify Applicable Rules 27.1, 27.1.1, 27.1.2, 27.1.3, 27.5	This test specifically covers the issuance and modification of Form B track bulletins.	• If requested verbally, repeat request to issue Form B track bulletin to the employee requesting it. • Apply proper Territory ID to track bulletin when created to ensure delivery to all trains requiring it. • Issue Form B track bulletin a minimum of 12 hours before any part of the bulletin goes into effect, when possible. • Sequence all items in a Form B track bulletin in the order they will be encountered in one geographic direction. • Issue Form B limits of an adjacent track on a separate line and include correct milepost locations. • Include the location of yellow-red flags in the flags column when displayed less than two miles from the Form B limits. • Carefully review track bulletin for accuracy before issuing or modifying. Confirm that terminal train dispatcher or control operator has received track bulletin and has applied protection

			when location of restriction is within territory controlled by that employee. Must not issue Form B track bulletin item with limits that overlap another foreman's Form B limits. • Must not issue a Form B track bulletin to extend into a second day.

37D.5	Track Bulletin Form C – Issue or Modify Applicable Rules 27.1, 27.1.1, 27.1.2, 27.1.3	This test specifically covers the issuance and modification of Form C track bulletins.	• Repeat request to issue Form C track bulletin to the employee requesting it. • Apply proper Territory ID to track bulletin when created to ensure delivery to all trains requiring it. • Combine new Form C track bulletin items with existing Form C track bulletins when possible to do so. • Review and combine Form C track bulletin items when possible to do so. • Sequence all items in a Form C track bulletin in the order they will be encountered in one geographic direction. • Issue a speed restriction that cannot be placed in a Form A track bulletin in a Form C track bulletin that is separate from other Form C track bulletins (can contain more than one speed restriction in same Form C track bulletin). • Confirm that terminal train dispatcher or control operator has received track bulletin and has applied protection when location of

			restriction is within territory controlled by that employee. • Must not combine Form C track bulletin items requiring an action or response on the part of the crew with items that are information in nature.

37D.6	Voiding Track Bulletins Applicable rules: 27.7	This test specifically covers the voiding of track bulletins or specific track bulletin items.	• Verify that the time limits or authority in a track bulletin has expired before voiding any part of a bulletin, unless authorized by employee in charge. • Ensure that the foreman in charge and any trains holding a Form B track bulletin have been advised before canceling and reissuing a Form B that is already in effect. • Issue a Form C track bulletin to void an existing track bulletin, separate from other Form C track bulletins, reading Track Bulletin No. (#) is void. • Continue to deliver a Form B track bulletin, along with a Form C track bulletin voiding one or more lines of the Form B, until the time limit has expired on all Form B items that were not voided. • Void track bulletin and reissue with a new number if an error is discovered in a completed track bulletin. • State the intent to void a track bulletin or part of a track bulletin and the number of the track bulletin and

			determine the crew is ready to copy before transmitting. • Use proper radio procedures when voiding track bulletins via radio. • Must not modify an active track bulletin verbally without voiding the entire track bulletin, a part of the track bulletin, or track bulletin item. • Must not test No. 37D.8. Change Speed on Existing Form A Speed Restriction (Primary)Instruct a crew to change an item within a Form A track bulletin. •
37D.7	Reserved		•
37D.8	Change Speed on Existing Form A Speed Restriction Applicable rules: 2.14, 2.14.1, 15.13.1, 27.7.1	This test covers the train dispatcher's procedures changing the speed on Form A	• Issue as a mandatory directive, stating Train ID issued to and including the statement of numbers as single digits. • Only instruct crew to raise speed on current Form A. If lowering speed, a new PTT/TRP/BLI is required with a new Form A. • If raising speed, ensure proper verbal format issued.

38A.1	Radio Procedures Applicable rules: 2.1, 2.2, 2.3, 2.4, 2,12, 6.1.	Proper radio procedures are required in all circumstances when using the radio. Radio rules are observed in all types of DTE tests in which the radio is used. This DTE is intended to cover only those situations in which the radio used, not in connection with an activity for which a DTE test is defined and does not count toward meeting monthly testing requirements.	• Listen long enough before initiating a radio call to determine that the channel is not in use. • Use proper identification when initiating or acknowledging a radio call, including UP and a unique identifier of the dispatcher's position ID. • Identify trains on the radio by initials of the railroad and engine number. • Not proceed with a radio transmission until it has been acknowledged. • Require repetition of an instruction transmitted to an employee. • Not transmit information about the name, position, aspect or indication displayed by a fixed signal. • Use proper verbal format to respond to an emergency radio call. • Use over to signify the end of an ongoing transmission when additional transmissions are expected. • Use out to signify the end of a radio transmission. Out must be stated by the train dispatcher when conversation with a crew or

			other employee concludes and before starting another radio transmission to a different crew or employee.
39A.1	Track Breach Protection Applicable Rules: 22.4.4	This test covers the train dispatcher's procedure for recording and remove train crew requested track breach protection	• Apply proper blocking mechanism to protect limits of Track Breach Protection. • Grant Track Breach Protection only on controlled tracks • Determine all required information to issue Track Breach Protection • Use proper verbal format to acknowledge correct repeat of Track Breach Protection • Notify train of Track Breach Protection before authorizing into the area •

40A.1	Emergency Procedures-Derailment Applicable Rule: 20.12, 20.13, 20.24, Emergency Procedures - Derailment	This test covers the train dispatchers emergency procedures following the report of a derailment.	• Protect the area against other train movements. • Determine the exact milepost location and public access information. • Determine if emergency services are required. • Ascertain as much information from initial contact as practical. • Immediately notify RMCC. • Notify Corridor Manager. • Get a general derailment assessment. • Give emergency situation priority over other duties. • Monitor the radio and render all possible assistance. • Determine if relief crew is needed. • Enter necessary information in train sheet Unusual Occurrences when required. • Use proper radio procedures.

40A.2	Emergency Procedures – Emergency Radio Call Applicable Rule: 20.24,	This test covers the train dispatcher's emergency procedures when emergency call-in has been activated.	• Give emergency calls priority over all other duties. • Respond to an adjacent workstations emergency call if unattended. • Respond immediately, identifying that radio is being answered in response to the emergency call, using verbiage UP (location) Dispatcher (or other unique identifier) responding to emergency call on (base radio location) radio, over. • Respond a minimum of three times before disconnecting from an unanswered radio emergency call. • Determine emergency services and support personnel required. • Enter necessary information in train sheet Unusual Occurrences when required. • Use proper radio procedures.

40A.3	Emergency Procedures – Grade Crossing or Pedestrian Accident Applicable Rule: 20.12, 20.13, 20.24, Emergency Procedures – Grade Crossing or Pedestrian Accident	This test covers the train dispatcher's emergency procedures following the report of a grade crossing or pedestrian accident.	• Protect the area against other train movements. • Determine the exact crossing or milepost location and public access information. • Determine if emergency services are required. If not known, assume that emergency services are needed. • If grade crossing accident, determine which side of the train the vehicle is on. • Immediately notify RMCC. If emergency services are required, furnish only the required information on initial call and update RMCC later with more information. • Notify Corridor Manager. • As new information is determined from the crew, keep RMCC and the Corridor Manager informed. • Give emergency situation priority over other duties. • Monitor the radio and render all possible assistance. • Determine if relief crew is needed. • Enter necessary information in train sheet

			Unusual Occurrences when required. • Use proper radio procedures.
40A.4	Emergency Procedures – Passenger Train Emergency Applicable Rule: 20.13, 20.24	This test covers the train dispatcher's emergency procedures following the report of any type of passenger train emergency as defined in Rule 20.24.	• Protect the area against other train movements. • Determine the exact milepost location and public access information. • Determine if emergency services are required. • Immediately notify RMCC. If emergency services are required, furnish only the required information on initial call and update RMCC later with more information. • Notify Corridor Manager. • Give emergency situation priority over other duties. • Monitor the radio and render all possible assistance. • Determine if relief crew is needed. • Enter necessary information in train sheet Unusual Occurrences when required. • Use proper radio procedures.

40A.5	Emergency Procedures – Security Situations Reported. Applicable Rule: 20.24	This test covers the train dispatcher's emergency procedures following the report of any type of possible security threat or situation as defined in System Special Instructions Item 24.	• Protect the area against train movements if necessary. • Determine as much information as possible during the initial contact concerning the nature of the security threat or situation. • Determine the exact crossing location, mile post or other identifiable location. • Immediately notify RMCC. • Notify Corridor Manager. • Give emergency situation priority over other duties. • Enter necessary information in train sheet Unusual Occurrences when required. • Use proper radio procedures.

40A.6	Emergency Procedures – Security Threat Level Elevated: Applicable Rules: Emergency Procedures – Security Alert.	This test covers the train dispatcher's emergency procedures following an increase in the Security Threat Level.	• For ALL Security Threat Levels above Level 1, the train dispatcher must: • Advise train crews of the change in the Security Threat Level. • When elevated to Level 2, in addition to notifying train crews of the change in the Security Threat Level, train dispatcher MUST: Advise train crews of the change in the Security Threat Level. • When elevated to Level 3, in addition to the requirements in Level 2 and the notification of train crews of the change in the Security Threat Level, train dispatcher MUST: • Require regular location / status reports by Alert Trains in non-tracking territory. • Inform crews operating on Alert Trains that their train is categorized as an Alert Train. • Establish radio contact with any Alert Train that has not been in communication with the train dispatcher within the past 60 minutes.

			• Record the location and time of radio contact with all Alert Trains on the Alert Train tracking form provided by the Corridor Manager. • Receive a list of all Alert Trains operating on the territory. • Change the train characteristics information on Alert Trains to indicate that they are Alert Trains. • CAD train in the CAD system and change Safety Sens flag from N to Y. • Determine all Alert Trains on or which will enter territory in which the dispatcher does not receive regular indications of train location (non-tracking territory). • Notify RMCC of any unusual train stops. • Notify RMCC of any unusual events reported by train crews. • When elevated to Level 4, in addition to the requirements in Levels 2 and 3, and the notification of train crews of the change in the Security Threat Level, train dispatcher MUST:

			• Determine the meet/pass locations for passenger trains and will convey this information to the crews of both the passenger train and freight train. • Cancel the requirement for on-the-ground roll-by inspections by issuance of a track bulletin, using the verbiage Ground inspections as required by Rule 6.29.1 are temporarily suspended. • Identify the location of unattended trains and unsecured locomotives on-line and advise the proper supervisor. • Instruct train crews not to pick up Alert category commodities at industries and interchange locations.

40A.7	Emergency Procedures – Train Collision: Applicable Rules: 20.12, 20.13, 23.3, 20.24, Emergency Procedures – Train Collision.	This test covers the train dispatcher's emergency procedures following the report of collision between trains or between a train and on-track equipment.	• Protect the area against other train movements. • Attempt to contact the train crewmembers involved. • If collision is involved, or no response is received and some collaborating evidence is present, immediately notify RMCC and request emergency services, furnishing only the required information on initial call and update RMCC later with more information. • Confirm RMCC understands that emergency services are required. • Determine the exact crossing or milepost location and public access information. • Follow protocol outlined in Emergency Procedures for Derailment. • Notify Corridor Manager. • As new information is determined from the crew, keep RMCC and the Corridor Manager informed. • Give emergency situation priority over other duties.

			• Monitor the radio and render all possible assistance. (Rule 20.24) • Enter necessary information in train sheet Unusual Occurrences. • Use proper radio procedures.

40A.8	Emergency Procedures – Unauthorized Movement Past a Stop Indication: Applicable Rules: 23.3, 20.24, Emergency Procedures – Unauthorized Movement Past a Stop Indication	This test covers the train dispatcher's emergency procedures when the train dispatcher believes that a train has passed a Stop signal indication and a conflicting movement or authority is within the block.	• Immediately broadcast Emergency, Emergency, Emergency, all trains approaching (location) stop immediately. A train may have passed a Stop signal at (location) on (track) moving (direction). • Instruct the train to stop and remain stopped. • Protect the area against other train movements by setting the next controlled signal in advance and behind the train to display Stop and apply blocking mechanism. • Notify Corridor Manager. • Give emergency situation priority over other duties. • Enter necessary information in train sheet Unusual Occurrences. • Use proper radio procedures. • Must not allow the train to proceed until released by field management personnel, Regional Director, or proper supervisor.

40A.9	Emergency Procedures-Uncontrolled Movement: Applicable Rules: 20.24, Emergency Procedures – Rollout	This test covers the train dispatcher's emergency procedures when the train dispatcher receives a report of an uncontrolled movement of equipment fouling or approaching the main track. Due to the emergency radio broadcast required as the first step by the train dispatcher, it is recommended that this test not be conducted as a joint field test.	• Immediately broadcast Emergency, Emergency, Emergency, all trains approaching (location) stop immediately. Uncontrolled movement of equipment moving (direction) from (location) on (track). • Instruct crews of trains closely approaching to stop, exit train and seek safety. • Instruct any employees known to hold authority or to be fouling the track to clear the track and remain clear. • Protect the area in the path of the uncontrolled movement. • Attempt to determine how many cars and if the commodity and speed of the cars is known. • Notify Corridor Manager. • Continue making emergency radio broadcast warnings. • Give emergency situation priority over other duties. • Monitor the radio and render all possible assistance. • Enter necessary information in train sheet

			Unusual Occurrences. • Use proper radio procedures.

40A.10	Emergency Procedures - Hazmat Release Applicable Rules: 20.13, 20.24, Emergency Procedures – Hazmat	This test covers the train dispatcher's emergency procedures when notified of a potential hazmat release.	• Respond immediately, identifying that radio is being answered in response to the emergency call, using verbiage UP (location) Dispatcher (or other unique identifier) responding to emergency call on (base radio location) radio, over. • Respond a minimum of three times before disconnecting from an unanswered radio emergency call. • Determine emergency services and support personnel required. • Respond to an adjacent workstations emergency call if unattended. • Confirm RMCC understands that emergency services are required. • Determine the exact crossing or milepost location and public access information. • Follow protocol outlined in Emergency Procedures for Hazmat. • Use proper radio procedures.

40A.11	Emergency Procedures - Right of Way Fire Applicable Rules: 20.13, 20.21, 20.24, Emergency Procedures – Right of Way Fire	This test covers the train dispatcher's emergency procedures when notified of a right of way fire	• Respond immediately, identifying that radio is being answered in response to the emergency call, using verbiage UP (location) Dispatcher (or other unique identifier) responding to emergency call on (base radio location) radio, over. • Respond a minimum of three times before disconnecting from an unanswered radio emergency call. • Respond to an adjacent workstations emergency call if unattended. • Determine emergency services and support personnel required. • Confirm RMCC understands that emergency services are required. (Emergency Procedures – Hazmat) • Determine the exact crossing or milepost location and public access information. • Follow protocol outlined in Emergency Procedures for Right of Way Fire. (Emergency

			Procedures – Right of Way Fire) • Determine if bridge of tunnel is involved, take additional precautions to prevent movement until advised by employee in charge that movement may be resumed. • If reported as right of way fire, stop last train that traversed the area before fire was reported and train must stop and inspect. • Use proper radio procedures.

Appendix

TITLE 49-TRANSPORTATION

CHAPTER II-FEDERAL RAILROAD ADMINISTRATION, DEPARTMENT OF TRANSPORTATION

PART 217-RAILROAD OPERATING RULES

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

(a) *Requirement to conduct operational tests and inspections.* Each railroad to which this part applies shall periodically conduct operational tests and inspections to determine the extent of compliance with its code of operating rules, timetables, and timetable special instructions, specifically including tests and inspections sufficient to verify compliance with the requirements of subpart F of part 218 of this chapter, in accordance with a written program as required by paragraph (c) of this section.

(b) *Railroad and railroad testing officer responsibilities.* The requirements of this paragraph (b) are applicable beginning January 1, 2009.

(1) Each railroad officer who conducts operational tests and inspections (railroad testing officer) shall:

(i) Be qualified on the railroad's operating rules in accordance with §217.11 of this part;

(ii) Be qualified on the operational testing and inspection program requirements and procedures relevant to the testing and inspections the officer will conduct;

(iii) Receive appropriate field training, as necessary to achieve proficiency, on each operational test or inspection that the officer is authorized to conduct; and

(iv) Conduct operational tests and inspections in accordance with the railroad's program of operational tests and inspections.

(2) Written records documenting qualification of each railroad testing officer shall be retained at the railroad's system headquarters and at the division headquarters for each division where the officer is assigned and shall be made available to representatives of the FRA for inspection and copying during normal business hours.

(c) *Written program of operational tests and inspections.* Every railroad shall have a written program of operational tests and inspections in effect. New railroads shall have such a program within 30 days of commencing rail operations. The program shall—

(1) Provide for operational testing and inspection under the various operating conditions on the railroad. As of January 1, 2009, the program shall address with particular emphasis those operating rules that cause or are likely to cause the most accidents or incidents, such as those accidents or incidents identified in the quarterly reviews, six month reviews, and the annual summaries as required under paragraphs (e) and (f) of this section, as applicable;

(2) Require a minimum number of tests and inspections per year covering the requirements of part 218, subpart F of this chapter;

(3) Describe each type of operational test and inspection required, including the means and procedures used to carry it out;

(4) State the purpose of each type of operational test and inspection;

(5) State, according to operating divisions where applicable, the frequency with which each type of operational test and inspection is to be conducted;

(6) As of January 1, 2009, identify the officer(s) by name, job title, and, division or system, who shall be responsible for ensuring that the program of operational tests and inspections is properly implemented. The responsibilities of such officer(s) shall include, but not be limited to, ensuring that the railroad's testing officers are directing their efforts in an appropriate manner to reduce accidents/incidents and that all required reviews and summaries are completed. A railroad with divisions shall identify at least one officer at the system headquarters who is responsible for overseeing the entire program and the implementation by each division.

(7) Include a schedule for making the program fully operative within 210 days after it begins.

(d) *Records.* (1) Each railroad to which this part applies shall keep a record of the date, time, place, and result of each operational test and inspection that was performed in accordance with its program. Each record shall specify the officer administering the test and inspection and each employee tested. These records shall be retained at the system headquarters and at each division headquarters where the tests and inspections are conducted for one calendar year after the end of the calendar year to which they relate. These records shall be made available to representatives of the FRA for inspection and copying during normal business hours.

(2) Each railroad shall retain one copy of its current program for periodic performance of the operational tests and inspections required by paragraph (a) of this section and one copy of each subsequent amendment to such program. These records

shall be retained at the system headquarters and at each division headquarters where the tests and inspections are conducted for three calendar years after the end of the calendar year to which they relate. These records shall be made available to representatives of the FRA for inspection and copying during normal business hours.

(e) *Reviews of tests and inspections and adjustments to the program of operational tests.* This paragraph (e) shall apply to each Class I railroad and the National Railroad Passenger Corporation beginning April 1, 2009 and to all other railroads subject to this paragraph beginning July 1, 2009.

(1) *Reviews by railroads other than passenger railroads.* Each railroad to which this part applies shall conduct periodic reviews and analyses as provided in this paragraph and shall retain, at each division headquarters, where applicable, and at its system headquarters, one copy of the following written reviews, provided however that this requirement does not apply to either a railroad with less than 400,000 total employee work hours annually or a passenger railroad subject to paragraph (e)(2) of this section.

(i) *Quarterly review.* The designated officer of each division headquarters, or system headquarters, if no division headquarters exists, shall conduct a written quarterly review of the accident/incident data, the results of prior operational tests and inspections, and other pertinent safety data for that division or system to identify the relevant operating rules related to those accidents/incidents that occurred during the quarter. The review shall also include the name of each railroad testing officer, the number of tests and inspections conducted by each officer, and whether the officer conducted the minimum number of each type of test or inspection required by the railroad's program. Based upon the results of that review, the designated officer shall make any necessary adjustments to the tests and inspections required of railroad officers for the subsequent period(s). Quarterly reviews and adjustments shall be completed no later than 30 days after the quarter has ended.

(ii) *Six month review.* The designated officer of each system headquarters office responsible for development and administration of the program of operational tests and inspections shall conduct a review of the program of operational tests and inspections on a six month basis to ensure that it is being utilized as intended, that the quarterly reviews provided for in this paragraph have been properly completed, that appropriate adjustments have been made to the distribution of tests and inspections required, and that the railroad testing officers are appropriately directing their efforts. Six month reviews shall be completed no later than 60 days after the review period has ended.

(2) *Reviews by passenger railroads.* Not less than once every six months, the designated officer(s) of the National Railroad Passenger Corporation and of each railroad providing commuter service in a metropolitan or suburban area shall conduct periodic reviews and analyses as provided in this paragraph and shall retain, at each division headquarters, where applicable, and at its system headquarters, one copy of the reviews. Each such review shall be completed within 30 days of the close of the period. The designated officer(s) shall conduct a written review of:

(i) The operational testing and inspection data for each division, if any, or the system to determine compliance by the railroad testing officers with its program of operational tests and inspections required by paragraph (c) of this section. At a minimum, this review shall include the name of each railroad testing officer, the number of tests and inspections conducted by each officer, and whether the officer conducted the minimum number of each type of test or inspection required by the railroad's program;

(ii) Accident/incident data, the results of prior operational tests and inspections, and other pertinent safety data for each division, if any, or the system to identify the relevant operating rules related to those accidents/incidents that occurred during the period. Based upon the results of that review, the designated officer(s) shall make any necessary adjustments to the tests and inspections required of railroad officers for the subsequent period(s); and

(iii) Implementation of the program of operational tests and inspections from a system perspective, to ensure that it is being utilized as intended, that the other reviews provided for in this paragraph have been properly completed, that appropriate adjustments have been made to the distribution of tests and inspections required, and that the railroad testing officers are appropriately directing their efforts.

(3) *Records retention.* The records of periodic reviews required in paragraphs (e)(1) and (e)(2) of this section shall be retained for a period of one year after the end of the calendar year to which they relate and shall be made available to representatives of FRA for inspection and copying during normal business hours.

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

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

(1) The railroad adequately limits and controls accessibility to such information retained in its electronic database system and identifies those individuals who have such access;

(2) The railroad has a terminal at the system headquarters and at each division headquarters;

(3) Each such terminal has a computer (i.e., monitor, central processing unit, and keyboard) and either a facsimile machine or a printer connected to the computer to retrieve and produce information in a usable format for immediate review by FRA representatives;

(4) The railroad has a designated representative who is authorized to authenticate retrieved information from the electronic system as true and accurate copies of the electronically kept records; and

(5) The railroad provides representatives of the FRA with immediate access to these records for inspection and copying during normal business hours and provides printouts of such records upon request.

(h) Upon review of the program of operational tests and inspections required by this section, the Associate Administrator for Safety may, for cause stated, disapprove the program. Notification of such disapproval shall be made in writing and specify the basis for the disapproval decision. If the Associate Administrator for Safety disapproves the program,

(1) The railroad has 35 days from the date of the written notification of such disapproval to:

(i) Amend its program and submit it to the Associate Administrator for Safety for approval; or

(ii) Provide a written response in support of the program to the Associate Administrator for Safety, who informs the railroad of FRA's final decision in writing; and

(2) A failure to submit the program with the necessary revisions to the Associate Administrator for Safety in accordance with this paragraph will be considered a failure to implement a program under this part.

[73 FR 8496, Feb. 13, 2008, as amended at 73 FR 33902, June 16, 2008]

NOTES: