



**SUPERVISOR GUIDELINES
FOR CONDUCTING EFFICIENCY CHECKS
AND
ACCESSING THE RULES PROGRAM**

RP-1

EFFECTIVE: JANUARY 1, 2009

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GENERAL NOTICE

Norfolk Southern's Efficiency Check Program is required by Federal Regulation 49 CFR 217.9. The program's intended purpose is to establish and maintain a safe and efficient work environment for all employees. Checks are to be conducted in a fair and impartial manner, and under no circumstances will the Efficiency Check Program be used as a tool for harassment. As a matter of practice, Supervisors involved in conducting efficiency checks should periodically commend employees when they consistently demonstrate proper knowledge and understanding of operating rules and instructions. On the other hand, an employee found in violation of an operating test or inspection must be advised of the non-compliance and corrective action taken as soon as practicable. The integrity of the program rests with each Supervisor. Supervisors are expected to maintain Norfolk Southern's policy for handling such matters in a fair but firm manner.

The following guidelines will become effective January 1, 2009, and supersede those dated August 4, 2008. A copy must be provided to each Supervisor whose duties include conducting efficiency checks.

M. D. Manion
Executive Vice President — Operations

THE PROGRAM

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

- NS Operating Rules
- NS Safety and General Conduct Rules
- NS-1 — Equipment Operation and Handling Rules
- HM-1 — Hazardous Materials Rules
- RCL-1 — Remote Control Locomotive Operations

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

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

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

Each Division Assistant Superintendent will be responsible for efficiency check program oversight and administration.

BASIC REQUIREMENTS FOR EFFICIENCY TESTING

The monthly number of tests conducted by Transportation Supervisors on each Division must be equivalent to the average number of freight trains operated on the Division each day as reported in the NS Morning Report (see the Section entitled 'CREWS' under the Subsection 'FREIGHT').

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

| CATEGORY | PERCENTAGE OF TOTAL CHECKS |
|--------------|----------------------------|
| 1 through 6 | 60 percent |
| 7 through 15 | 30 percent |
| 16 | 10 percent |

NOTE: Each Locomotive Engineer, Locomotive Engineer Trainee, Remote Control Operator, and Remote Control Operator Trainee must be monitored on an Approach and Stop Signal Rule in Category 1, a Restricted Signal Rule in Category 2, and Rule 135 “Maximum Authorized Speed” in Category 3 at least once every 90 days.

Each trainmen, including yard service employees, Dispatcher and Operator must be monitored on a rule in any category at least once every 90 days.

Additionally, each Locomotive Engineer, Locomotive Engineer Trainee, Remote Control Operator, and Remote Control Operator Trainee must be tested once every six (6) months on a Stop Signal Rule in Category 1.

Efficiency checks on a Train Dispatcher/Control Operator must be entered with the appropriate Control Station zone code and the appropriate employee type.

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

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

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

TYPES AND METHODS OF EFFICIENCY CHECKS

SATURATION RULE CHECKS will be conducted by a Team of Supervisors on each divisional zone not less than once every 60 days. The checks must be conducted at various times and on various days of the week including weekends and holidays. The Team will consist of at least two (2) Supervisors (not to exceed three (3)) as designated by the Division Superintendent or Assistant Division Superintendent. The Team Captain must not be directly assigned on the territory being checked. Team checks will cover a consecutive 12-hour period.

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

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

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

PLANNED RULE CHECKS will be conducted by one or more Supervisors who are at a specific location for the purpose of monitoring rules compliance.

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

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

INCIDENTAL RULE CHECKS are observations of rules activities.

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

Supervisors will enter all Incidental Checks into the system by keying the letter “I” into the “S/P/I/R” field.

REMOTE CONTROL LOCOMOTIVE OPERATION CHECKS will be conducted by one or more Supervisors to monitor remote control crews for rules compliance.

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

EVENT RECORDER PRINTOUTS may be evaluated to monitor Locomotive Engineers, Locomotive Engineer Trainees, Remote Control Operators, and Remote Control Operator Trainees.

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

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

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

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

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

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

TRAIN RIDE CHECKS will be conducted to monitor rules compliance while riding trains.

Rules in Categories 1 through 16 may be monitored.

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

REPORTING CATEGORIES

The Norfolk Southern Efficiency Check Program is divided into 16 reporting categories. An explanation of each category follows:

CATEGORY 1 — APPROACH/STOP SIGNALS

Rules Table:

| | | | | | |
|-------|--------|-------|------|------|------|
| 236 | 285 | 285-A | 286 | 288 | 294 |
| 307 | 308 | 312 | N285 | N286 | N288 |
| N293c | BANNER | | | | |

PURPOSE:

Evaluate crew members' ability to:

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

PREPARATION:

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

PROCEDURE:

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

CATEGORY 2 — RESTRICTED SPEED

Rules Table:

| | | | | | |
|---------|---------|---------|---------|--------|---------|
| 11(a) | 93(b) | 93(c) | 102(c) | 137 | 186(b) |
| 186(c) | 239 | 290 | 309 | 402 | 403(a) |
| 404(c)2 | 404(c)3 | 431(b)2 | 550(b)2 | 562(b) | 562(c)2 |
| 562(d) | 562(e) | N290 | | | |

PURPOSE:

Evaluate crew members' ability to comply with Restricted Speed.

PREPARATION:

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

PROCEDURE:

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

CATEGORY 3 — SPEED RESTRICTIONS

Rules Table:

135

PURPOSE:

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

PREPARATION:

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

PROCEDURE:

- Utilize radar gun
- Analyze Event Recorder printouts

CATEGORY 4 — SWITCHING OPERATIONS

Rules Table:

| | | | | | |
|----------|----------|----------|----------|---------|---------|
| GR-39(a) | GR-39(b) | GR-39(c) | GR-39(d) | 27 | 103(a) |
| 103(b) | 103(c) | 104(b) | 104(c) | 104(d) | 104(e)1 |
| 104(e)2 | 104(h) | 104(j)2 | 104(k) | 104(k)2 | 104(k)3 |
| 104(k)4 | 104(L)2 | 104(L)3 | 104(L)4 | 104(L)5 | 105(a) |
| 105(b) | 105(c) | 106 | 108(b) | 109 | 111(b) |
| 121 | 122(a) | 125(a) | 125(b) | 431 | 431(a) |
| 431(b) | 509(a) | 509(b) | | | |

PURPOSE:

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

PREPARATION:

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

PROCEDURE:

- Direct observation of switching operations

CATEGORY 5 — TRAIN DISPATCHERS/ CONTROL OPERATORS

Rules Table:

| | | | | | |
|----------|---------|--------|--------|--------|---------|
| 26(h) | 28(d) | 102(d) | 405(a) | 405(b) | 405(c)1 |
| 405(c)2 | 405(c)3 | 406(a) | 420(c) | 420(d) | 440(a) |
| 440(b) | 441(a) | 441(b) | 442(a) | 442(b) | 442(c) |
| 443(a) | 443(b) | 443(c) | 444 | 445 | 446(b) |
| 446(c) | 447(a) | 447(b) | 447(c) | 447(d) | 520(a) |
| 520(e) | 632(a) | 632(b) | 632(c) | 632(d) | 632(e) |
| 632(f) | 632(h) | 635(a) | 635(b) | 808(b) | 835(a)2 |
| 835(b)1a | 835(b)2 | | | | |

PURPOSE:

Monitor Train Dispatchers/Control Operators for compliance with rules governing the movement of trains, engines, and On-Track equipment.

PREPARATION:

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

PROCEDURE:

- Monitor the Control Station, i.e., field or voice tapes
- Ensure required blocking is applied
- Review mandatory documents, e.g.:
 - Train Sheet
 - Track Authority Form
 - Transfer
 - Bulletins
 - Train Clearance
- Observe Train Dispatchers/Control Operators performing dispatching functions
- Utilize voice tape recording playback unit
- Utilize computer

CATEGORY 6 — FORM NS-1

Rules Table:

| | | | | | |
|------------|------------|-----------|------------|------------|------------|
| A-1(b)1 | A-1(b)2 | A-1(b)3 | A-1(f) | A-4 | A-5 |
| A-6 | A-6(a) | A-6(b) | A-6(c) | A-6(d) | A-6(e) |
| A-6(f) | A-6(g) | A-6(h) | A-6(i) | A-6(j) | A-6(k) |
| A-6(L) | A-6-1 | A-6-2 | A-7 | A-8 | A-8(a) |
| A-8(b) | A-8(c) | A-8(d) | A-9 | A-9(a)1 | A-9(a)2 |
| A-9(a)3 | A-9(a)4 | A-9(b) | A-9(c) | A-10(a) | A-10(a)1 |
| A-10(a)2 | A-10(a)3 | A-10(a)4 | A-10(a)5 | A-10(b) | A-10(b)1 |
| A-10(b)2 | A-10(b)3 | A-10(b)4 | A-11-1(b)1 | A-11-1(b)2 | A-11-1(b)3 |
| A-11-1(b)4 | A-11-1(b)5 | A-11-1(c) | A-11-2 | A-12 | A-13 |
| A-14 | A-15 | A-16 | A-18 | A-19 | A-20(a) |
| A-20(b) | A-21(a) | A-21(b) | A-22 | A-23 | A-24 |
| A-25 | A-26 | A-27 | A-28(a) | A-28(b) | A-28(c) |
| A-28(d) | A-28(e) | A-28(f) | A-29 | A-30 | A-31(d)1 |
| A-31(d)3 | A-31(e)1 | A-31(e)3 | A-31(e)4 | A-31(e)7 | A-31(e)8 |
| A-31(f)1 | A-31(f)2 | A-31(f)3 | A-31(g)1 | A-31(g)2 | A-31(g)3 |
| A-31(g)4 | A-31(h) | A-31(i)4 | A-31(i)5 | A-31(j)2 | A-31(j)3 |
| A-31(k) | A-35(b) | A-35(c) | A-35(d) | A-35(e) | C-100 |
| C-102 | C-103 | C-104 | C-105 | C-106 | C-108 |
| C-111 | C-114 | L-201(a) | L-201(b) | L-201(c) | L-201(d) |
| L-201(e) | L-203 | L-204 | L-205(a) | L-205(b) | L-206 |
| L-207(a) | L-207(d) | L-208(a) | L-208(b) | L-208(c) | L-210(a) |
| L-210(b) | L-210(c) | L-210(d) | L-213(a) | L-213(b) | L-217 |
| L-230 | L-235(a) | L-235(b) | L-235(c) | L-236(a) | L-236(b) |
| L-236(e) | L-236(f) | L-236(g) | L-237(a) | L-237(b) | L-237(c) |
| L-237(d) | L-237(e) | L-238(a) | L-238(b) | L-238(c) | L-238(d) |
| L-238(e) | L-238(f) | L-238(g) | L-238(h) | L-238(i) | L-238(j) |
| L-238(L) | L-238(m) | L-240(a) | L-240(b) | L-240(c) | L-240(d) |

Continued:

| | | | | | |
|----------|----------|----------|----------|----------|----------|
| L-241(a) | L-241(b) | L-241(c) | L-242 | L-243 | L-243(a) |
| L-243(b) | L-244 | L-245(a) | L-245(b) | L-245(c) | L-246 |
| L-248 | L-251 | L-252 | T-400 | T-401 | T-402 |
| T-403(a) | T-403(b) | T-403(c) | T-404 | | |

PURPOSE:

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

PREPARATION:

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

PROCEDURE:

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

CATEGORY 7 — RULE G

Rules Table:

G

PURPOSE:

Monitor employees to determine that they are fit for duty:

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

PREPARATION:

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

PROCEDURE:

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

CATEGORY 8 — TRAIN MOVEMENT

Rules Table:

| | | | | | |
|---------|---------|----------|----------|---------|---------|
| GR-9(a) | GR-9(b) | GR-9(d) | GR-9(e) | GR-9(g) | GR-9(h) |
| 12(a) | 12(b) | 12(c) | 12(d) | 12(e) | 12(f) |
| 12(g) | 14 | 14(a) | 14(b) | 14(g) | 14(h) |
| 14(j) | 14(L)1 | 14(L)2 | 14(L)3 | 14(L)4 | 14(m) |
| 14(n) | 14(p) | 14(q) | 15 | 17(a) | 17(a)1 |
| 17(a)2 | 17(a)3 | 17(b) | 17(c) | 18(f) | 19(a) |
| 19(c)1 | 19(c)2 | 19(c)3 | 19(c)4 | 19(c)5 | 80(a) |
| 80(b) | 80(c) | 87 | 99(a)2 | 101(a) | 101(b) |
| 101(c) | 102(a) | 130(a)3a | 130(a)3b | 130(b)1 | 130(b)2 |
| 130(c) | 142(g) | 238(a) | 238(b) | 238(c) | 247 |
| 401 | 403(b) | | | | |

PURPOSE:

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

PREPARATION:

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

PROCEDURE:

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

CATEGORY 9 — COMMUNICATIONS

Rules Table:

| | | | | | |
|---------|--------|--------|--------|--------|--------|
| GR-9(c) | 81(a) | 81(b) | 81(c) | 81(d) | 91(b) |
| 92 | 178(a) | 178(b) | 502(a) | 503 | 504(b) |
| 504(c) | 504(f) | 505(a) | 505(b) | 505(c) | 505(d) |
| 506(a) | 506(b) | 509(c) | 520(b) | 520(d) | 520(f) |

PURPOSE:

Monitor compliance with rules governing railroad communications.

PREPARATION:

- Secure operable railroad radio
- Secure voice tape recordings

PROCEDURE:

- Monitor all radio channels
- Review voice tape recordings

CATEGORY 10 — BLUE SIGNALS

Rules Table:

| | | | | | |
|-------|-------|-------|-------|-------|-------|
| 26(a) | 26(b) | 26(c) | 26(d) | 26(e) | 26(f) |
| 26(g) | 26(i) | 26(j) | 26(k) | | |

PURPOSE:

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

PREPARATION:

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

PROCEDURE:

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

CATEGORY 11 — HAZARDOUS MATERIALS

Rules Table:

| | | | | | |
|-----------|-----------|-----------|-----------|--------|-----------|
| HM 2.1 | HM 2.4 | HM 2.5 | HM 2.6 | HM 2.7 | HM 2.8 |
| HM 2.9 | HM 2.10 | HM 2.11 | HM 3.1 | HM 3.2 | HM 3.2(a) |
| HM 3.2(b) | HM 3.2(c) | HM 3.2(d) | HM 3.2(e) | HM 3.3 | HM 4.1 |
| HM 4.3 | HM 5.1 | HM 5.2 | HM 5S1 | HM 5S2 | HM 5S3 |
| HM 5S4 | HM 6.1 | HM 6T1 | HM 6T2 | HM 6T3 | HM 6T4 |
| HM 6T5 | HM 6T6 | HM 6T7 | HM 7.3 | HM 7.4 | HM 8.3 |
| HM 8.4 | HM 8.5 | HM 8.6 | HM 8.7 | | |

PURPOSE:

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

PREPARATION:

- Secure operable railroad radio
- Determine location of train(s) or engine(s)
- Secure copy of the train consist, switch list, work order, etc.

PROCEDURE:

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

CATEGORY 12 — TRACK AUTHORITY RULES

Rules Table:

| | | | | | |
|--------|--------|--------|--------|--------|--------|
| 172(a) | 172(b) | 172(c) | 174(a) | 175(a) | 176(a) |
| 176(b) | 177 | 179(b) | 179(c) | 179(d) | 179(e) |
| 179(f) | 181(b) | 181(c) | 181(d) | 181(e) | 182(c) |
| 183(c) | 184(a) | 184(b) | 184(c) | 185(a) | 186(a) |
| 188(b) | | | | | |

PURPOSE:

Monitor compliance with requesting, transmitting, copying, repeating, and complying with Track Authorities.

PREPARATION:

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

PROCEDURE:

- Review of Track Authority Forms
- Observations in the field
- Monitor radios
- Ride trains
- Review of voice recording tapes

CATEGORY 13 — ROADWAY WORKER PROTECTION

Rules Table:

| | | | | | |
|--------|--------|--------|--------|--------|--------|
| GR-37 | 751(a) | 751(c) | 751(d) | 751(e) | 752(c) |
| 753(a) | 753(b) | 754(a) | 754(b) | 754(c) | 754(d) |
| 755(a) | 755(b) | 755(c) | 755(d) | 756(a) | 756(b) |
| 756(c) | 756(d) | 757(b) | 757(c) | 758(d) | 758(f) |
| 759 | | | | | |

PURPOSE:

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

PREPARATION:

- Secure operable railroad radio
- Determine location of Roadway Workers
- Determine type of On-Track safety procedure required

PROCEDURE:

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

CATEGORY 14 — ON-TRACK EQUIPMENT

Rules Table:

| | | | | | |
|--------|---------|--------|--------|--------|--------|
| 802 | 804(b) | 806 | 808(a) | 808(c) | 809(b) |
| 809(c) | 809(d) | 810 | 811 | 812 | 814(a) |
| 814(b) | 815(a) | 815(b) | 815(c) | 820 | 821(a) |
| 821(b) | 822(a) | 822(b) | 823 | 828 | 834(b) |
| 834(c) | 835(a)3 | | | | |

PURPOSE:

Monitor compliance with rules governing the use and operation of On-Track equipment.

PREPARATION:

- Secure operable railroad radio
- Determine location of On-Track equipment
- Have Stop Obstruction Banner accessible
- Have radar gun accessible and calibrated

PROCEDURE:

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

CATEGORY 15 — OTHER RULES AND INSTRUCTIONS

Rules Table:

| | | | | | |
|-----------|------------|------------|-----------|-----------|-----------|
| GR-6 | GR-10 | GR-26(b) | GR-27(a)1 | GR-27(a)2 | GR-27(a)3 |
| GR-27(b) | GR-28(a) | GR-28(b) | GR-28(c) | GR-28(d) | GR-35 |
| 85(b) | 98(d) | 114(c) | 114(d) | 116 | 191 |
| 420(a) | 420(b) | 421(a) | 421(b) | 500(a) | 500(b) |
| 500(c) | 500(d) | 500(e) | 588 | 592 | 610(a) |
| 610(b) | RC 2.0(a) | RC 2.0(b) | RC 2.0(c) | RC 2.0(d) | RC 2.0(e) |
| RC 2.0(g) | RC 2.0(h) | RC 2.0(i) | RC 2.0(j) | RC 2.0(k) | RC 3.0(a) |
| RC 3.0(b) | RC 4.0(a)1 | RC 4.0(a)2 | RC 4.0(b) | RC 6.0(a) | RC 6.0(b) |
| RC 7.0(a) | RC 7.0(b) | RC 7.0(c) | | | |

PURPOSE:

Monitor compliance with Operating Rules not contained in Categories 1 through 14.

PREPARATION:

- Secure operable railroad radio
- Determine location of train(s) or engine(s)
- Review Track Chart
- Review Train Consist
- Review Crew Management Records

PROCEDURE:

- Direct observation of employees

CATEGORY 16 — SAFETY RULES

Rules Table:

| | | | | | |
|-----------|-----------|----------|-----------|-----------|-----------|
| GR-13(a) | GR-13(b) | GR-13(c) | GR-13(d) | GR-13(e) | GR-13(f) |
| GR-13(g) | GR-13(h) | GR-13(i) | GR-13(j) | GR-13(k) | GR-13(L) |
| GR-13(m) | GR-13(n) | GR-13(o) | GR-13(p) | GR-14 | GR-14(a) |
| GR-14(b)1 | GR-14(b)2 | GR-14(c) | GR-14(c)1 | GR-14(c)2 | GR-14(c)3 |
| GR-14(c)4 | GR-15(a) | GR-16 | GR-26(a) | GR-32(b) | GR-32(c) |
| GR-38(a) | GR-38(b) | GR-38(c) | 1001.1 | 1001.2 | 1001.3 |
| 1001.4 | 1001.5 | 1002 | 1007 | 1017 | 1018 |
| 1020 | 1031 | 1032 | 1033 | 1040 | 1042 |
| 1043 | 1050 | 1050(a) | 1051 | 1071 | 1074 |
| 1080 | 1083 | 1085 | 1088 | 1100 | 1100(a) |
| 1100(b) | 1100(c) | 1100(d) | 1100(e) | 1100(f) | 1100(g) |
| 1101.1 | 1101.2 | 1101.3 | 1101.4 | 1102 | 1102(a) |
| 1102(b) | 1102(c) | 1102(d) | 1104 | 1105 | 1106 |
| 1110 | 1110(a) | 1110(b) | 1110(c) | 1110(d) | 1110(e) |
| 1111 | 1111(a) | 1111(b) | 1111(c) | 1112.1 | 1112.2 |
| 1112.3 | 1112.4 | 1112.5 | 1203 | 1204 | 1206 |
| 1207 | 1208 | 1300 | 1300(a) | 1300(b) | 1300(c) |
| 1300(c)1 | 1300(c)2 | 1300(c)3 | 1300(c)5 | 1300(d) | 1300(e) |
| 1300(f) | 1300(g) | 1327 | 1570 | 1570(a) | 1570(b) |
| 1629 | 1650 | 1651 | 1686 | | |

PURPOSE:

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

PREPARATION:

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

PROCEDURE:

- Direct observation of employees

PROGRAM ACCESS

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

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

RULES PROGRAM MENU

ENTER APPROPRIATE CHARACTER FOR YOUR REQUEST

I — INQUIRE ON RULE COMPLIANCE RECORDS

H — HELP

A — ADD RULE COMPLIANCE RECORDS

Z — ZONE HELP

R — ROSTER MAINTENANCE

D — UPDATE DIV/ZONE NAMES

E — EXCEPTION REPORTS A, B, C, D, E, F, G, H, I, and J

J — BI-ANNUAL EXCEPTION REPORT A

O — OFFICER/EMPLOYEE ACTIVITY SUMMARY

S — SATURATION SUMMARY REPORT

C — ENGINEER CERTIFICATION

T — TRAIN RIDE INQUIRY (REPORTS)

B — SAFETY AUDIT SUMMARY

V — VARIOUS SUMMARY REPORTS (SECONDARY MENU)

M — MILEPOST REPORT

Q — RULE CHECK CATEGORY SUMMARY

HIT ENTER TO CONTINUE OR PF3 TO EXIT