



## Operations Testing / Auditing

### **BNSF Operations Testing / Auditing – TY&E Electronic Notification Briefing (revised)**

The BNSF Operations Testing / Auditing program provides employees an opportunity to demonstrate compliance with rules and instructions, and is vital to ensuring safe and efficient rail operations.

An important function of the program is employee feedback, providing supervisors the opportunity to recognize proper rule application, and address noted exceptions at the conclusion of a test or audit.

While supervisors are expected to contact employees regarding the result of an operations test or audit when conditions allow, certain processes and procedures prevent immediate or direct contact of the employee. To supplement employee notification of operations testing and auditing activity, BNSF has developed an Electronic Notification system, providing information to employees accessing the BNSF Crew Management computer system after a test or audit has been performed.

To assist field supervisors, a remote auditing process has been established and in use since 2003 that allows a supervisor to access locomotive event recorder, recorded audio communications of wayside radios and movement authorities/bulletins issued through the train dispatching systems. As is done with traditional testing, when a supervisor conducts operations audit through remote processes, the results will be posted for employee review via the Electronic Notification System. In the event of a rule infraction identified by remote auditing, the employee will also be personally contacted by a front line supervisor.

Following an operations test / audit entry, The Electronic Notification screen is presented to the employee when logging on to the BNSF Crew Management system. The employee has the option to view the information at that time, or view at a later time. If “view later” is selected, the information will again be presented to the employee at the next logon.

If “view now” is selected, a screen will be displayed providing the following information:

- Type of observation (FLD, REM, AUD and VER)
  - FLD = Field observation
  - REM = Technological review of staged event directed by a Remote supervisor
  - AUD = Technological review of recorded data by a Remote supervisor
  - VER = Verbal review (used only for follow up review of a previous exception as required by the Management Oversight Process)
- Employee Name and Occupation
- Date, Time, Train Symbol, Subdivision and MP location of the event
- Test or Audit number and description
- Rule or Test/Audit segment number (when applicable)
- Result - P = pass F = Fail
- Name of Primary Officer recording the entry

Example of Field Observation notification:

```

OPTNNTFY      - Operations Test / Audit Notification -      06/12/08
FTWORTH TX    Type of Test / Audit: FIELD (FLD)           12:18:28CT

Employee: E L HOLMAN      Occupation: ROAD ENGINEER (EN)
Date   : 06/04/2008      Time    : 06.12      Train: X-INBGFD1-01A
Subdiv : YAKIMA          MP      : 0082.4
-----
Test/      Description      Rule or      Officer
Audit#
-----
609      WHISTLE SIGNAL/GRADE CROSSING      609-5      P      BARTHOLOMEW
609      WHISTLE SIGNAL/GRADE CROSSING      609-4      P      BARTHOLOMEW

Contact immediate supervisor for questions or clarifications
Command
Enter-PF1---PF2---PF3---PF4---PF5---PF6---PF7---PF8---PF9---PF10---PF11---PF12---
      Help Main Exit Print      Prev
Notifications displayed
  d 21/01
  
```

Example of Remote Technological Review staged event notification:

```

OPTNNTFY      - Operations Test / Audit Notification -      06/12/08
FTWORTH TX    Type of Test / Audit: REMOTE (REM)           12:29:07CT

Employee: E L HOLMAN      Occupation: ROAD ENGINEER (EN)
Date   : 06/10/2008      Time    : 09.15      Train: M-PASINB1-10A
Subdiv : YAKIMA          MP     : 0073.9

-----
Test/      Description      Rule or      Officer
Audit#
-----
811      REM TEST - STOP SIGNAL      P      FARRIS

Contact immediate supervisor for questions or clarifications
Command
Enter-PF1---PF2---PF3---PF4---PF5---PF6---PF7---PF8---PF9---PF10---PF11---PF12---
      Help Main Exit Print      Prev
Notifications displayed

d      A      21/01
    
```

Example of Remote Technological Recorded Data Audit notification:

```

OPTNNTFY      - Operations Test / Audit Notification -      06/12/08
FTWORTH TX    Type of Test / Audit: AUDIT (AUD)           12:37:15CT

Employee: E L HOLMAN      Occupation: ROAD CONDUCTOR (CO)
Date   : 06/02/2008      Time    : 16.25      Train: G-GRFTAC9-24A
Subdiv : YAKIMA          MP     : 0060.0

-----
Test/      Description      Rule or      Officer
Audit#
-----
864      MANDATORY DIRECTIVES REPEAT      P      SIZEMORE
878      REPORTING CLEAR OF LIMITS/SPEC INST      P      SIZEMORE

Contact immediate supervisor for questions or clarifications
Command
Enter-PF1---PF2---PF3---PF4---PF5---PF6---PF7---PF8---PF9---PF10---PF11---PF12---
      Help Main Exit Print      Prev
Notifications displayed

e      A      21/01
    
```

Example of Verbal Review notification:

```

OPTNNTFY      - Operations Test / Audit Notification -      06/12/08
FTWORTH TX    Type of Test / Audit: VERBAL FOLLOW UP (VER)  12:23:18CT

Employee: E L HOLMAN      Occupation: YARD ENGINEER (EN)
Date   : 06/11/2008      Time    : 10.47      Train: Y-PAS1081-11A
Subdiv : LAKESI          MP      : 0142.1
-----
Test/      Description      Rule or      Officer
Audit#
-----
106      RUNNING WHILE SWITCHING      P      SWEETWOOD

Contact immediate supervisor for questions or clarifications
Command
Enter-PF1---PF2---PF3---PF4---PF5---PF6---PF7---PF8---PF9---PF10--PF11--PF12--
      Help Main Exit Print      Prev
Notifications displayed
-----
|  d      A      21/01
    
```

Employees should contact their supervisor with any questions or concerns regarding information displayed by the BNSF Operations Testing Electronic Notification System.

A new policy provides an employee the ability to challenge an operations test or audit entry provided the challenge occurs in a timely basis (60 calendar days from entry). When making a challenge, the employee must first contact their immediate supervisor regarding the entry in question.

The complete TY&E Operations Test / Audit Challenge Policy attached at the end of this briefing.

## 12 Month History View

In addition to notification following an entry, employees may also view a rolling 12 month history of test / audit entries. This is accomplished by typing “EMPLPERF” on the command line. The following screens are examples of the 12 month history based on the date the employee makes this inquiry. The F8 and F7 keys are used to scroll forward and back through these screens while displayed. Information displayed in the history screens is similar to that of the notification screens.

Please note that the “Type (of Test / Audit)” is a new entry field officers will begin completing for any test / audit entered after 06/29/08. Any operations test / audit entry prior to this date will not display information for the “Type” field.

Example of History View:

```

_OPTPEMNT          Operations Test / Audit History          06/22/08
_FTWORTH TX              Last 12 Months              16:22:28CT

Employee   : E L HOLMAN          Id: 1062199          Success Rate: 72.3 %
Tests/Audits: 76                Exceptions   : 21

  Date   No. Type Segment      Description          P/F Officer
-----
06/08/08 303 FLD          LOCKOUT TAGOUT - MECH ABSOLUTE   P RILEY
06/08/08 811 AUD          REM TEST - STOP SIGNAL           P FARRIS
06/09/08 609 FLD 609-2    WHISTLE SIGNAL/GRADE CROSSING    P BARTHOLOMEW
06/09/08 609 FLD 609-5    WHISTLE SIGNAL/GRADE CROSSING    P BARTHOLOMEW
06/10/08 612 FLD 612-3    TWC MEETING POINT TRANSMISSION   P RILEY
06/10/08 205 FLD          BLOCK SGL STOP                   P RILEY
06/10/08 811 REM          REM TEST - STOP SIGNAL           P FARRIS
06/11/08 314 FLD          LADDERS & PLATFORMS - MECH       P RILEY
06/11/08 106 VER          RUNNING WHILE SWITCHING          P SWEETWOOD
06/12/08 104 VER          RIDING END OF FREIGHT EQUIPMENT   P SWEETWOOD
06/12/08 103 VER          PROVIDING 50 FOOT SEPARATION     P SWEETWOOD

Enter-PF1---PF2---PF3---PF4---PF5---PF6---PF7---PF8---PF9---PF10--PF11--PF12---
      Help Main Exit                Back Fwrld                Prev
```

Employees who may have a question on their history should follow up with their local supervisor for initial clarification and understanding.

# BNSF Railway Company

Policy Name: TYE Operations Test/Audit Challenge Policy  
Effective Date: July 1, 2008  
Revised Date:  
Last Date Reviewed:  
Next Review Date:

Approved By: /s/ Gregory C. Fox  
Gregory C. Fox  
Vice President – Transportation

## Policy Statement

To meet internal management oversight and Federal Regulatory requirements, BNSF conducts operations tests, inspections and audits to determine the extent of employee compliance with operating rules, processes and procedures. Results of operations tests and audits are recorded in a centralized database (OPT) and results are made available electronically to TYE employees. This policy provides an employee the ability to challenge an operations test or audit entry provided the challenge occurs in a timely basis. (60 calendar days from entry)

## Process

When making a challenge, the employee must first contact their immediate supervisor regarding the entry in question. If the immediate supervisor is not a participant of the entry in question, he or she will coordinate review with the supervisor who made the entry.

Challenge of an operations test or audit is resolved as follows:

1. When making a challenge regarding an operations test or audit entry, the challenging employee informs the supervisor responsible for the entry in question the reasons associated with the challenge. A joint review will be held with the employee to validate circumstances and accuracy of the entry.
2. If a supervisor responsible for the operations test or audit entry and the employee are not able to resolve the issue, the employee (may be accompanied by his/her Local Chairman or other union representative) may request a conference with the Division General Manager or his/her designate.
3. If the 2<sup>nd</sup> level review does not result in agreement regarding the operations test or audit entry, the General Chairman or his/her designate may elevate the issue to the Transportation Region Vice President for review.

If determined a database entry modification is necessary, the responsible front line supervisor will contact the employee to confirm when the modification has been made. Operations tests or audits that are handled administratively through formal investigation or waiver are not eligible for further review under this policy. This policy does not change existing agreements or processes involving discipline or alternative handling