

**FEDERAL RAILROAD ADMINISTRATION  
OFFICE OF RAILROAD SAFETY**



**Training, Qualification, and Oversight for  
Safety-Related Railroad Employees  
Interim Final Compliance Guide**

*Issued May 1, 2015*

## **Purpose**

The Rail Safety Improvement Act of 2008 (RSIA) required that the Secretary of the U.S. Department of Transportation (DOT) establish minimum training standards for all safety-related railroad employees. See 49 USC 20162. To comply with that statutory mandate, FRA published a final rule on November 7, 2014, establishing a new CFR part (Part 243), which requires each railroad or contractor that employs one or more safety-related railroad employee to develop and submit a training program to FRA for approval and to designate the minimum training qualifications for each occupational category of employee. The rule also requires most employers to conduct periodic oversight of their own employees and annual written reviews of their training programs to close performance gaps.

The purpose of this guide is to illustrate acceptable methods for complying with the rule, provide the requirements in a different format that should allow for quicker and easier comprehension, and provide answers to questions that are likely to be frequently asked. This guide should permit employers of any size a quick way of determining whether the employer's training program is likely to be found by FRA to be compliant with the final rule.

Please note that the final rule modified two existing CFR parts in addition to establishing new Part 243. One, the rule contains specific training and qualification requirements in Part 214 for operators of roadway maintenance machines that can hoist, lower, and horizontally move a suspended load. Two, the rule clarifies the existing training requirements for railroad and contractor employees that perform brake system inspections, tests, or maintenance under Part 232.

Questions regarding Part 243 or questions contained in this guide should be directed to Rob Castiglione at: [robert.castiglione@dot.gov](mailto:robert.castiglione@dot.gov).

## **Documents Included in this Guide**

FAQ

Important Dates to Remember

49 CFR Part 243 – Overview

Training Components Identified in Program

Additional Training Program Information Checklist

Suggested Occupational Categories/Subcategories<sup>1</sup> Matrix

Employee Training Record Checklist

Appendix A – Program Submission Examples

Training Components Identified in Program Example 1

Training Components Identified in Program Example 2

## FAQ

Q	I work for a railroad association and we plan to develop several model programs for use by railroads that have less than 400k employee work hours annually. Does my association or any railroad that intends to use our model programs have to wait on FRA approval before adopting and complying with the submitted training programs?
A	Model programs submitted to FRA prior to May 1, 2017 are considered approved and may be implemented 180 days after date of submission, unless the FRA notifies the organization that developed and submitted the program that it (the program), contains deficiencies. Thus, it would be prudent not to share the model program until explicit approval is received, or 180 days after the date of submission and contacting FRA to confirm implicit approval.
Q	When do I have to submit a training program to FRA for review and approval if I am a Training Organization or Learning Institution?
A	If you represent a Training Organization or Learning Institutions that has provided training to safety-related employees prior to January 1, 2017, you may continue without FRA approval until January 1, 2018. <u>However, you may not continue to offer training services beyond January 1, 2018 unless your programs have been approved by FRA.</u>
Q	What is the benefit of using a model training program?
A	If the program is designed and developed correctly, it can save you, as an employer, time and money by allowing you to tailor the program to fit your operational needs.
Q	I am a brakeman for a very small railroad. My railroad employs only six other train and engine service employees including me. I have been working in the same job since January 2013. Does this regulation mean I have to be trained all over again?
A	No, in your case, you would be grandfathered assuming your employer declared your occupational category/sub-category (job title), no later than February 1, 2020. However, you will be subject to refresher training either 3 calendar years from your prior training event or no later than December 31, 2023.
Q	What about railroads not in existence yet. For example, let's assume a railroad goes in business on February 1, 2018, and they hire people with no previous railroad experience or training. What would FRA expect in terms of training?
A	In this case, before a new employee can become a qualified member of an occupational category/sub-category, the employee must first successfully complete all formal training curriculums for that occupational category/sub-category.
Q	Will FRA provide any grace period in terms of enforcement and citing violations?
A	Yes, as with all new regulations, FRA understands that it will take some time for employers to learn how to comply with this regulation. FRA will be working hard to help employers, particularly small entities to comply with this regulation. However, FRA is not likely to be too lenient in cases where gross disregard for compliance is observed.
Q	I own a small railroad in Oklahoma. I have eight fulltime employees including myself. Do I have to conduct Annual Reviews?
A	No, annual reviews are not required on railroads with <400k total employee work hours annually. Contractors are included in this exception, but contractors shall use any information provided by a railroad to adjust its training specific to Federal railroad safety laws, regulations, and orders particular to FRA regulated personal and work group safety
Q	I am a training manager for a Class I railroad and responsible for submitting our training program(s) to FRA for approval. Does my employer have to wait on FRA approval before adopting and complying with the submitted training program(s)?
A	No, your employer (railroad) may adopt and comply with any training program upon submission. However, your programs must be submitted to FRA no later than January 1, 2018.
Q	In the context of this regulation what does designating a safety-related employee mean?
A	It means that employers (railroads and contractors), must declare which occupational category/sub-category its employees belong to, and thus the employer is confirming the employees are trained and qualified on relevant Federal railroad safety laws, regulations, and orders, as well as any relevant railroad rules and procedures to implement Federal railroad safety laws, regulations, and orders.
Q	I am a journeyman carman for a Class I railroad. I have been working in the same job since 1990. Does this regulation mean I have to be trained all over again?
A	No, in your case, you would be grandfathered assuming your employer declared your occupational category/sub-category (job title), no later than September 1, 2018. However, you will be subject to refresher training either 3 calendar years from your prior training event or no later than December 31, 2022.

Q	I am confused about Periodic Oversight. Please summarize what I am responsible for as a transportation operations supervisor employed by a large railroad. We have railroad employees as well as contractors at the facility I work at. One contractor on our property conducts inspections and air brake tests on our freight trains at an adjacent intermodal facility. Another contractor we use performs extensive track maintenance on our entire railroad division.
A	Periodic Oversight applies to both large and small railroads, as well as some contractors. If the contactor(s) on your railroad employs more than 15 employees, directly trains its own employees for safety-related duties, and employs supervisors capable of Periodic Oversight, the contractor is obliged to provide oversight of its own employees. Furthermore, the railroad you work for is not responsible for conducting oversight, if there are no supervisors qualified to conduct Periodic Oversight of contactor employees, the contactor is responsible. Please note that a contractor that is not required to conduct periodic oversight may voluntarily agree to provide such oversight of its own employees to relieve a railroad that may be required to provide the oversight. <u>The focus of the Periodic Oversight is limited to tests and/or observations of safety-related employees engaged in activities connected with 49 CFR Part 214 Railroad Workplace Safety, Part 218 Railroad Operating Practices, and Part 220 Railroad Communications.</u> Conversely, if you are qualified, nothing precludes you from conducting oversight of contactor employees, but you are required to notify the contractor employee and his/her employer of any non-compliance observed. At its option, railroads may train contractors to provide Periodic Oversight. Excluding locomotive engineers and conductors, you are still responsible for conducting Periodic Oversight of other safety-related employees employed by your railroad, but you must be qualified to do so.
Q	I noticed that this rule requires refresher training every 3 years, but in other FRA regulations a shorter refresher training period is required. When there are competing periods, which applies?
A	This final rule does not exempt any other FRA regulation that may have more stringent requirements. Thus, the shorter refresher period would apply.
Q	Are manufacturers or lessors of rolling stock covered by this regulation?
A	The answer is yes if your company has any contractual obligation to inspect, repair, or maintain the equipment for the railroad in compliance with Federal railroad safety laws, regulations, and orders, regardless of whether those actions are taken on or off railroad property. Otherwise, a company that merely sells or leases equipment would not be covered by this rule.
Q	Which railroad employee crafts are impacted by this regulation?
A	This regulation (49 CFR Part 243) uses the term “Safety-Related Railroad Employee” to define those categories of employees impacted by the regulation as follows: <ul style="list-style-type: none"> <li>• Employees covered by the Hours of Service laws,</li> <li>• Employees performing work as an operating employee, even if not covered by the Hours of Service laws,</li> <li>• All engineering (MOW) including bridge workers who inspect, install, repair, or maintain track, roadbed, and signal and communication systems,</li> <li>• Mechanical personnel who inspect, install, or repair any locomotive, passenger car, freight car, or MOW vehicle,</li> <li>• Any person who, as a primary duty, directly instructs, mentors, inspects, or tests others engaged in a safety-related task (includes first line supervisors of operating employees).</li> </ul>
Q	How can a tourist, scenic, historic, or excursion railroad or a contractor to one of those types of operations, readily determine if this rule applies to it?
A	If the railroad operates on the general railroad system of transportation and the employer (railroad or contractor) employs at least one employee required to comply with Federal railroad safety laws, regulations, and orders, then the employer must comply with this rule.
Q	Does this rule cover hazardous materials training?
A	No.
Q	I noticed this regulation made reference to amendments to Part 214, Subpart C – Roadway Worker Protections. What do the amendments to Part 214 entail and when is the effective date?
A	The amendments to Part 214 require roadway workers that operate roadway maintenance machines equipped with a boom or crane to be trained and qualified according to a training program adopted by the employer. The program does not have to be submitted to FRA. The training must ensure that the operator understands either (1) the manufacturer’s safety instructions found in the manual or (2) the safety instructions developed to replace the manual when the machine has been adapted for a specific railroad use. The training must address both safe movement of the vehicles and safe operation of the boom or crane. Training is required for new users and, periodic training is required for those previously trained. The amendments to Part 214 offer a training compliance alternative to an existing OSHA mandate impacting roadway workers that operate roadway maintenance machines equipped with a boom or crane. Thus, employers have the option of complying with OSHA standards (29 CFR § 1926.1427) or FRA standards (49 CFR § 214.357. The effective date of § 214.357 was January 6, 2015.

Q	<p>It is January 1, 2018. I worked in the railroad industry for almost 20 years and held many positions beginning with laborer, machine operator, track inspector, roadmaster, and track trainer. I developed numerous training programs for track workers during my last five years on the railroad. For the last three years, I have been working as a training consultant and I have several short line railroads as my clients. I have developed a track worker training program that I can tailor to each of my short line railroad clients. Am I required to do anything under FRA's Part 243 training regulation?</p>
A	<p>Although you could choose to do nothing and make each of your clients file for FRA-approval with your program identified as the employer client's program, FRA believes that it would be more beneficial to you and your clients if you submit your program under the § 243.111 provision for approval of programs filed by training organizations or learning institutions.</p> <p><u>Benefits to You and Your Railroad Clients If You are a Training Organization</u></p> <ul style="list-style-type: none"> <li>• You can tell current and prospective clients that your consultant business and program are FRA-approved. [If you do not get approval and falsely claim you did, FRA may initiate civil enforcement action against you, including but not limited to imposing civil money penalties against you and your company.]</li> <li>• You can tell a client to provide your unique training program name and identifier, so the client does not have to submit your program to FRA.</li> <li>• You or the client could seek FRA-approval if any tailoring modifications to the program were necessary.</li> <li>• Clients could still arrange for their own job-related practice or practice related feedback sessions to supplement your training program as long as the client described the supplemental training to FRA in the client's submission.</li> </ul> <p><u>Requirements For You If You are a Training Organization</u></p> <ul style="list-style-type: none"> <li>• You will need FRA-approval prior to initiating any training for your clients.</li> <li>• With any of your training programs submitted, you must provide FRA with the following information about your company: <ul style="list-style-type: none"> <li>✓ Your full corporate or business name,</li> <li>✓ Your primary business and email address,</li> <li>✓ Your primary telephone number and point of contact,</li> <li>✓ List of designated instructors (DI),</li> <li>✓ A resume for each DI showing how subject matter expertise and how training experience was acquired,</li> <li>✓ List of references of employer clients if training services were provided before the date you are filing with FRA for approval,</li> <li>✓ Brief, but detailed summary statement indicating how you determined the knowledge, skills, and abilities necessary to develop training courses for safety-related railroad employees.</li> </ul> </li> <li>• Because training organizations and learning institutions are typically junior colleges or technical trade schools, FRA expects these organizations may accept independent students, who are not affiliated with a railroad or contractor employer. For this reason, FRA requires that these organizations maintain records for each student and you will too unless you request a waiver from the requirements found in 49 CFR § 243.111(g) and (h), explaining that the employer has agreed to maintain the employees' records. <i>See</i> 49 CFR § 211.41 (describing the requirements for filing a waiver). If you will not accept independent students, FRA anticipates that it would likely grant such a waiver.</li> </ul>

## Important Dates to Remember

49 CFR Part	Subject	Important Dates	Comments
§214.007 §214.341 §214.357	<b>Roadway Maintenance Machines with Cranes or Booms</b>	Effective 01/6/2015	Employers also have the option of complying with OSHA standards (29 CFR § 1926.1427) to meet the § 214.357 training requirements.
§232.203	<b>Power Brake for Freight Training Requirements</b>	Effective 01/6/2015	Minor corrections were needed to Part 232 as a result of the Part 243 rulemaking.
§243.101(a)(1) §243.109(a)(2)	<b>Employer Program</b> <i>(Employers with 400,000 or more total employee work hours annually)</i>	Implementation 01/01/2018	Employers shall submit a training program to the FRA. Employers shall adopt and comply with the program(s). Employers are also required to submit copies of each program to the president of each labor organization if applicable.  <i>Note: Employers do not have to wait on FRA approval before adopting and implementing submitted program.</i>
§243.101(a)(2) §243.109(a)(2)	<b>Employer Program</b> <i>(Employers with less than 400,000 total employee work hours annually)</i> <i>(total employee work hours)</i>	Implementation 05/01/2019	Prior to commencing operations, employers shall submit a training program to FRA. Employers shall adopt and comply with the program(s). Employers are also required to submit copies of each program to the president of each labor organization if applicable.  <i>Note: Employers do not have to wait on FRA approval before adopting and implementing submitted program.</i>

49 CFR Part	Subject	Important Dates	Comments
§243.101(b)	<b>Employer Program</b> <i>(Employers commencing operations after the applicable implementation date in §243.101(a)(1) or (a)(2))</i>	Prior to commencing operations	An employer commencing operations after the applicable implementation date in § 243.101(a)(1) or (a)(2) shall submit a training program to FRA for its safety-related railroad employees prior to commencing operations. Upon commencing operations, the employer shall adopt and comply with the training program. Employers are also required to submit copies of each program to the president of each labor organization if applicable.  <i>Note: Employers do not have to wait on FRA approval before adopting and implementing submitted program.</i>
§243.105	<b>Optional Model Program</b>	Special Approval Prior to 05/1/2017	Model programs submitted to FRA prior to May 1, 2017 are considered approved and may be implemented 180 days after date of submission, unless the FRA notifies the organization that developed and submitted the program that it (the program), contains deficiencies.
§243.109(b)	<b>Informational Filing</b> <i>(Program modifications of previously approved programs)</i>	Varies; no later than 30 days after end of calendar year in which modification occurred	Modified programs are approved upon being modified, and may be implemented unless the FRA notifies the organization of deficiencies.  <i>Note: Nothing in the rule prevents an organization from submitting the modification earlier in the year. Employers are also required to submit copies of each program to president of each labor organization if applicable.</i>
§243.111	<b>Programs Filed by Training Organization or Learning Institution</b>	Implementation 01/01/2018	Training organizations and learning institutions (TO/LI) that have provided training to safety-related employees prior to 1/1/2017 may continue without FRA approval until 1/1/2018. However, TO/LI <u>must receive FRA approval</u> of their programs no later than 1/1/2018 to continue. Extensions may be granted on case-by-case basis. Substantial additions/revisions to programs that are not considered informational filings <u>must receive FRA approval prior to implementation</u> .  Informational filings for previously approved programs are considered approved upon submission and may be implemented, provided it is submitted to FRA NLT 30 days after the end of the calendar year in which the modifications occurred.

49 CFR Part	Subject	Important Dates	Comments
§243.201(a)(1)	<b>Designating Employees</b> <i>(Employers with 400,000 or more total employee work hours annually)</i>	Implementation 09/01/2018	Employers must declare the designations of its existing safety-related employees that perform safety-related service by occupational category or subcategory.
§243.201(a)(2)	<b>Designating Employees</b> <i>(Employers with less than 400,000 total employee work hours annually)</i>	02/01/2020	Employers must declare the designations of its existing safety-related employees that perform safety-related service by occupational category or subcategory.
§243.201(e)(1)	<b>Refresher</b> <i>(Employers with 400,000 or more total employee work hours)</i>	Begin Implementation 01/01/2020  Complete First 3-year cycle 12/31/2022	Part 243 three year refresher training cycle begins. However, if the last training event occurs prior to FRA’s approval of the employer’s program, the employer shall provide refresher training either 3 calendar years from that prior training event, or no later than December 31, 2022.  <i>Note: Some FRA regulations require refresher training at more frequent intervals. Part 243 does not supersede those requirements.</i>
§243.201(e)(2)	<b>Refresher</b> <i>(Employers with less than 400,000 total employee work hours)</i>	Begin Implementation 05/01/2021  Complete First 3-year cycle 12/31/2023	Part 243 three year refresher training cycle begins. However, if the last training event occurs prior to FRA’s approval of the employer’s program, the employer shall provide refresher training either 3 calendar years from that prior training event, or no later than December 31, 2023.  <i>Note: Some FRA regulations require refresher training at more frequent intervals. Part 243 does not supersede those requirements.</i>

49 CFR Part	Subject	Important Dates	Comments
§243.205	<b>Periodic Oversight</b> <i>(Applies to all railroads, and some contractors)</i>	Begin implementation the day employer files program	The scope of Periodic Oversight only applies to FRA regulations pertaining to personal and work group safety, specifically: <ul style="list-style-type: none"> <li>• Part 214 Railroad Workplace Safety</li> <li>• Part 218 Railroad Operating Practices</li> <li>• Part 220 Railroad Communications</li> </ul> <p><i><b>Note 1:</b> If employer commences operations after January 1, 2018, periodic oversight begins on first day of operation.</i></p> <p><i><b>Note 2:</b> Periodic oversight does not apply to apply to employees covered by Engineer and Conductor Certification.</i></p>
§243.207	<b>Annual Review</b> <i>(Required only for employers with 400,000 or more total employee work hours annually)</i>	Prior to September 1 each year	Review sources of information to assess the effectiveness of training programs and make curriculum adjustments to initial or refresher training programs as needed. Sources of information include: <ul style="list-style-type: none"> <li>• Periodic oversight data as required by §243.205</li> <li>• Accident/Incident data</li> <li>• FRA Inspection report data</li> <li>• Employee post-course training evaluation feedback (if available)</li> <li>• Feedback from labor organizations (if available)</li> </ul>

## 49 CFR Part 243 – Overview



U.S. Department  
of Transportation  
**Federal Railroad  
Administration**

# Training, Qualification, and Oversight for Safety-Related Railroad Employees

## 49 CFR Part 243 - Overview

# Objectives

- Understand the purpose of the regulation
- Explain who a safety-related employee is
- Review key provisions
- Discuss important dates
- Understand program submission and approval process
- Understand program implementation and oversight requirements

# Purpose and Scope Set By Statute

- Fulfills a statutory requirement in the Rail Safety Improvement Act (RSIA) of 2008
- To ensure that any person employed by a railroad or a contractor of a railroad as a “safety-related railroad employee” is trained and qualified to comply with any relevant Federal railroad safety laws

# Safety-Related RR Employee

- Employees covered by the Hours of Service laws
- Employees performing work as an operating employee (including supervisors), even if not covered by the Hours of Service laws
- All engineering (MOW) including bridge workers who inspect, install, repair, or maintain track, roadbed, signal and communication systems

# Safety-Related RR Employee *cont.*

- Mechanical personnel who inspect, install, or repair any locomotive, passenger car, freight car, or MOW vehicle
- Any person who, as a primary duty, directly instructs, mentors, inspects, or tests others engaged in a safety-related task (includes first line supervisors of operating employees)

# Key Provisions

Railroad and contractor employers must:

- Submit training programs to FRA
- Designate existing and new employees by category/training
- Train employees to measurable standards (including OJT when applicable)
- Potentially conduct tests, inspections, and annual reviews to determine the adequacy of training programs
- Retain adequate records

# Key Provisions *cont.*

## Other Organizations

- Learning organizations and training institutions will need FRA approval prior to providing training services to employers of safety-related railroad employees
- Encourages model training program development that can be shared with the industry and used by small employers



# Subpart B

## Program Components and Approval Process

# Implementation Snapshot

Topic	≥ 400k	< 400k
Submit Program	01/01/2018	05/01/2019
Designating Existing Employees (Grandfathering)	09/01/2018	02/01/2020
Start Refresher	01/01/2020	05/01/2021
Complete Refresher	12/31/2022	12/31/2023

# Employer Programs

## §243.101

- With the previous submission dates in mind, employers do not have to wait on FRA approval before adopting, implementing and complying with program(s)
- Employers commencing operations after the implementation dates must submit training programs prior to commencing operations, then must adopt, implement, and comply upon commencing ops

# Classifying Safety-Related RR Employees

- Simply means identifying Safety-Related RR Employees in categories or subcategories by class, craft, task, or other terminology
- Classification of employees is not necessarily by job title. Classification is based on performance of safety-related tasks

# Key Learning Points

## Task and Knowledge-based Training

- The training program must include a description of procedures used by the employer to identify key learning points
- Key learning points are generally captured in Enabling Objectives
  - **Terminal Objectives** start with an action verb and are the general objectives that apply to the entire course curriculum. A terminal objective is written to describe each major job performance outcome expected as a result of training.
  - **Enabling Objectives** start with an action verb and define the skills, knowledge, or behaviors the learner must reach in order to successfully complete terminal objectives

**Let's look at an example in the following three slides!**

# Design, Development and Delivery

- The regulation provides the regulated community with the flexibility to design and develop training to meet the needs of its target audience
- The regulation encourages use of technology for the delivery of training
- The regulation seeks to ensure safety-related employees have the skills to perform safety-related task(s) in a correct and safe manner

# OJT

- When tasks require neuromuscular coordination to learn, FRA will generally expect to see OJT or another formal training delivery method with a “hands-on training component”
- OJT must be structured and consist of the following three elements;
  - Task
  - Condition
  - Standards

**What does that mean? Let's take a look!**

# OJT Task, Conditions Standards Definitions

**Duty:** Insert description title here

The “Duty” is the description of a series of related tasks that must be performed to meet the requirements of the job. The description should include an action verb. In this context, duties are all task(s) associated with Federal regulations safety-related employees are expected to perform, or may perform in connection with the discharge of their duties.

**Note about Accuracy:** A fairness doctrine is generally required. For example, the organization might require 100% accuracy for a simple task of one that is absolutely essential, but 90% accuracy for a more complex task that takes into consideration the fact that anyone can miss a non-complying condition from time-to-time.

<p align="center"><u>Performance</u> Tasks</p>	<p align="center"><u>Conditions</u> Tools, Equipment, Documents, Practice</p>	<p align="center"><u>Standards</u> Time, Completeness, or Accuracy</p>
<p><b>Performance</b> is a basic description of the task or related tasks that the learner is supposed to be able to do. It should be no more than one sentence in length.</p>	<p><b>Conditions</b> are the things the organization, including the trainers teaching the learners, are required to give the learners so that they can prepare themselves to meet the standards that relate to this task. They include:</p> <ul style="list-style-type: none"> <li>• Gauges, level boards, or other tools and equipment necessary.</li> <li>• Documents, such as the applicable CFR Parts/Section, railroad SOP or safety rule manuals, etc.</li> <li>• Practice is essential for the sake of both fairness, and enhancement of proficiency. It is not reasonable to expect certain things of employees unless they are given sufficient exposure to it. A good rule of thumb is at least two practice sessions for each repetition expected in the Standards column.</li> </ul>	<p><b>Standards</b> start with an educational verb. The amount of repetition, the completeness, and the percentage of accuracy are driven by the complexity of the related task, as described in the “<b>Performance</b>” column.</p> <ul style="list-style-type: none"> <li>• Repetition might be one time for a simple task such as identifying the number of placards required on a car load of one HM product, or it might be 3, 4, or 5 repeats for a complex task such as inspecting a locomotive for compliance with the Locomotive Inspection Standards.</li> <li>• Completeness is the ability to show the person doing the evaluation that the learner is able to go through all of the steps necessary to successfully perform the task. It is a strong indicator of proficiency.</li> </ul>

# OJT Task, Conditions Standards Examples

<i>Duty 1: Apply Air Brake Inspection and Testing Requirements – Freight</i>		
<u>Performance Tasks</u>	<u>Conditions</u> Tools, Equipment, Documents, Practice	<u>Standards</u> Time, Completeness, or Accuracy
<p><b>Task 1-1:</b> Demonstrate an understanding of when a Class I (Initial Terminal) freight air brake test must be performed.</p>	<p>Given an opportunity to read §232.205 and to assist in observing at least five Class I freight air brake tests with a trainer, the trainee will:</p>	<p>Find, on three separate inspections, at least 95% of any non-complying conditions noted by the qualified trainer. Non-complying conditions may include, but are not limited to, the following:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Improper brake pipe pressure.</li> <li><input type="checkbox"/> Inoperative brake.</li> <li><input type="checkbox"/> Excessive brake pipe leakage.</li> <li><input type="checkbox"/> Excessive air flow (CFM).</li> <li><input type="checkbox"/> Improper gradient.</li> <li><input type="checkbox"/> Brake rigging fouling.</li> <li><input type="checkbox"/> Excessive piston travel.</li> <li><input type="checkbox"/> Insufficient piston travel.</li> <li><input type="checkbox"/> Brakes ineffective.</li> <li><input type="checkbox"/> Brake connection rods/pins worn or missing.</li> <li><input type="checkbox"/> Brake shoes worn or missing.</li> <li><input type="checkbox"/> Brake hose worn.</li> <li><input type="checkbox"/> Brake pipe insecure.</li> <li><input type="checkbox"/> Slack adjuster inoperative (if equipped).</li> <li><input type="checkbox"/> Angle or cut-out cock not properly positioned.</li> <li><input type="checkbox"/> Documentation or record of Class I brake test.</li> </ul>

# OJT Task, Conditions Standards Examples

## *Duty 1: Apply Air Brake Inspection and Testing Requirements – Freight*

<b><u>Performance</u> Tasks</b>	<b><u>Conditions</u> Tools, Equipment, Documents, Practice</b>	<b><u>Standards</u> Time, Completeness, or Accuracy</b>
<p><b>Task 1-2:</b> Demonstrate an understanding of when a Class III freight air brake test must be performed.</p>	<p>Given an opportunity to read § 232.211 and to assist in observing at least two Class III freight air brake tests with a trainer, the trainee will:</p>	<p>Orally describe how, when and where Class III freight air brake tests are required to be performed.</p>
<p><b>Task 1-3:</b> Demonstrate an understanding of a transfer train freight air brake test.</p>	<p>Using 49 CFR Part 232 as a reference, the trainee will, to the satisfaction of the trainer:</p>	<p>Orally describe by whom, how, when and where transfer train freight air brake tests are required to be performed.</p>
<p><b>Task 1-4:</b> Demonstrate an understanding of freight brake tests using a yard test plant.</p>	<p>Given an opportunity to read 49 CFR Part 232 and to assist in observing at least three freight air brake tests conducted with a yard test plant with a trainer, the trainee will, to the satisfaction of the trainer:</p>	<p>Orally describe the relevancy on each of the following:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Test plant performance.</li> <li><input type="checkbox"/> Connection of the device to train.</li> <li><input type="checkbox"/> Overcharging considerations.</li> <li><input type="checkbox"/> Off air considerations.</li> <li><input type="checkbox"/> Minimum brake pipe pressure.</li> <li><input type="checkbox"/> Gradient requirement.</li> <li><input type="checkbox"/> Calibration.</li> <li><input type="checkbox"/> Periodic inspection, maintenance and documentation.</li> <li><input type="checkbox"/> Cold weather considerations.</li> </ul>

# Contractor/Railroad Relationships

- If contractor chooses to train its own safety-related employees to perform safety-related duties on railroad, contractor must prove (*i.e. approval document from FRA*) to railroad that training program was approved by FRA
- Railroads that utilize contractor safety-related employees to perform safety-related duties are required to retain proof of contractor approval document
- These requirements are necessary to ensure each party understands who is responsible for training

# Training Components in Program

## § 243.103

Sufficient detail is required by this subsection to enable FRA to make assessments during the review about each training program submitted. The submission must include the following components;

1. A unique name and identifier for each formal course of study
2. A course outline
3. A document for each OJT program
4. Employer's training (primary) POC contact information for each for employee occupational category
5. Additional information if any TO/LI developed and delivered all or part of the training

# Optional Model Programs

## § 243.105

- This subsection permits organization, business, or associations to develop training programs that could be used by multiple employers
- FRA encourages a modular approach to model program development to allow for easy customization by employers
- Program detail requirements are the same as previously discussed

# Optional Model Programs –Cont.

## § 243.105

- Model programs submitted to FRA prior to May 1, 2017 are considered approved and may be implemented 180 days after date of submission, unless the FRA notifies the organization that developed and submitted the program that it (the program), contains deficiencies
- An employer that uses a model program approved by FRA only needs to submit the unique identifier and any additional information that is specific to that employer or deviated from the model program

# Training Program Submission Introductory Information § 243.107

- There are additional training program submission requirements under this subsection
- As an employer, there are five questions that need to be answered with respect to training that is administered to safety-related railroad employees
- FRA needs this additional information to have an understanding about an employers approach to training
- TO/LI full name needs to be provided if an employer uses a TO/LI to train all or some of its safety-related railroad employees, to include new hires previously trained by TO/LI

# Program Submission Review/Approval

## § 243.109

- Apprenticeships and intern programs that began prior to the employer's initial program may continue, but must be described in the initial submission
- Employers do not have to wait on FRA approval before adopting and implementing a submitted program
- Programs submitted by employers are considered approved upon submission

# Program Submission *cont.*

## § 243.109

- Informational filings in connection with previously approved programs can be submitted at any time, but no later than 30 days after the calendar year in which the mod occurred
- All new courses and/or refresher courses developed since the previous submission must be submitted using the same criteria previously discussed
- With respect to model program revisions, developer (biz, org, association, etc.) is required to publicize notice of informational filings concerning model program revisions

# Program Submission *cont.*

## § 243.109

- New portions or substantial revisions to a previously approved program not described in information filings are considered approved and may be implemented upon submission to FRA
- If applicable, copies of each program must be provided to the president of each labor organization (NLT 90 days from filing)

# Program Submission *cont.*

## § 243.109

- FRA will provide notification of approval, as well as partial disapproval or disapproval
- In the case of partial disapproval or disapproval, remediation to address deficiencies must occur within 90 days, and submitted to FRA for approval
- Partially deficient programs may remain in effect until approval of the remedied program, unless FRA provides notification otherwise
- Program remediation extensions will be considered on a case by case basis
- Failure to remediate a program shall be considered a failure to implement a program

# Training Orgs. and Learning Inst.

## § 243.111

- Training organizations and learning institutions (TO/LI) that has provided training to safety-related employees prior to 1/1/2017 may continue without FRA approval until 1/1/2018.
- TO/LI need approval no later than 01/01/2018 to continue (*extensions may be granted with sufficient facts*)

# TO/LI cont.

## § 243.111

- TO/LI must submit the same information previously discussed, unless the component can only apply to an employers program
- TO/LI must also submit the following information:
  - ✓ The full corporate or business name
  - ✓ Primary business and email address
  - ✓ Primary telephone number and point of contact
  - ✓ List of designated instructors (DI)
  - ✓ Resume for each DI showing how SME and training experience was acquired, unless DI is employed by RR
  - ✓ List of references for TO/LI past services
  - ✓ Brief, but detailed summary statement indicating how TO/LI determined the KSA's necessary to develop training courses for safety-related railroad employees

# TO/LI *cont.*

## § 243.111

- Substantial additions/revisions to programs that are not considered informational filings must receive FRA approval prior to implementation
- Informational filings for previously approved programs are considered approved upon submission and may be implemented, provided it is submitted to FRA NLT 30 days after the end of the calendar year in which the modifications occurred

# TO/LI *cont.*

## § 243.111

- In addition, the informational filing shall contain the same information as required in the initial filing e.g. description of new or refresher courses, OJT or practice sessions added, changes to delivery of training, or qualifying employees
- A student's training transcript or training record shall be provided to any employer upon request by the student

# Electronic Program Submission

## § 243.113

- Employers  $\geq$  400k employee work hours and TO/LI must submit training programs (including model programs) electronically to FRA
- Prior to electronic submission, the employer, TO/LI, or association must provide the following to FRA to gain access to the secure site upload library:
  1. Name of employer, TO/LI, or association
  2. POC to include job titles (*minimum of two*)
  3. POC mailing addresses
  4. POC system or main HQ address located in the USA
  5. POC Email address
  6. POC daytime telephone number

<https://rrsp.fra.dot.gov/Part243Training/>
- Notice of approval, partial approval, and disapproval will be provided via email

***Note: eProgram Submission site will be operational late summer 2015***

# Written Submission

## § 243.113

- Written material programs submitted for review shall be addressed to FRA, 1200 New Jersey Ave. SE, Washington, DC 20590
- Notice of approval, partial approval, and disapproval will be provided via email



# Subpart C

## Program Implementation and Oversight

# Employee Qualifications

## § 243.201

- NLT September 1, 2018, employers with  $\geq$  400k employee hours must declare the designations of its existing safety-related employees
- NLT February 1, 2020, employers with  $<$  400k employee hours must declare the designations of its existing safety-related employees
- FRA may grant extensions on case by case basis

# Employee Qualifications – cont.

## § 243.201

Employers that commence operations after their respective implementation date for filing a program has passed shall designate its employees, and either

- train those designated employees according to the employer's program,
- retain records from prior training, or
- ensure knowledge through performance testing when records are missing

# Employee Qualifications – New Hires

## § 243.201

- In order for an employee to become a member of an occupational category, the employee must successfully complete all formal training curriculum, including OJT when required
- When OJT is required, the employee must demonstrate proficiency of all safety-related tasks, to the satisfaction of the designated instructor
- OJT practice is permitted by an employee prior to formal completion of training under the watchful eye of a qualified person, provided that person can intervene if an unsafe act is observed – Note: The qualified person must be qualified in the safety related tasks being observed

# Employee Qualifications – New Hires

## § 243.201

- Safety-related employees qualified or trained by other than the current employer may be deemed qualified provided:
  1. A record of training from the previous entity is obtained, or
  2. In the event no record exists, the current employer performs testing to assess the KSA's of the employee to be a member of the occupational category

**Note:** *When an employee has not performed the safety-related duties, or has not received any training associated with the occupational category in the previous 180 days, testing as described above (Item 2) is required*

# Employee Qualifications – Refresher

## § 243.201

<p><b><i>Employers ≥ 400k employee work hours annually</i></b></p>	<p>Begin Implementation 01/01/2020</p> <p>Complete First 3-year cycle 12/31/2022</p>	<p>Part 243 three year refresher training cycle begins. However, if the last training event occurs prior to FRA’s approval of the employer’s program, the employer shall provide refresher training either 3 calendar years from that prior training event, or no later than December 31, 2022.</p> <p><i>Note: Some FRA regulations require refresher training at more frequent intervals. Part 243 does not supersede those requirements.</i></p>
<p><b><i>Employers &lt; 400k employee work hours annually</i></b></p>	<p>Begin Implementation 05/01/2021</p> <p>Complete First 3-year cycle 12/31/2023</p>	<p>Part 243 three year refresher training cycle begins. However, if the last training event occurs prior to FRA’s approval of the employer’s program, the employer shall provide refresher training either 3 calendar years from that prior training event, or no later than December 31, 2023.</p> <p><i>Note: Some FRA regulations require refresher training at more frequent intervals. Part 243 does not supersede those requirements.</i></p>

# Records

## § 243.203

- Employers shall maintain records to prove qualification status of each safety-related employee it employs
- Records of former safety-related employees must be retained for 6 years after employment relationship ends
- Current employee records shall be accessible at the employer's system HQ

# Safety-Related Employee Training Records

## § 243.203

- ✓ Employee name
- ✓ Each occupational category or subcategory deemed qualified including date(s)
- ✓ Dates and title of each formal training course successfully completed
- ✓ If course provided by TO/LI approved by FRA, attach copy of transcript
- ✓ OJT Program Unique Name or Identifier
- ✓ Date OJT successfully completed
- ✓ Name of person(s) that determined employee is qualified to perform safety-related tasks in occupational category

# Non Employee Records

## § 243.203

- Periodic oversight records and annual review records shall be accessible for 3 calendar years after the end of the year to which the event relates
- Records shall be accessible at HQ location within the USA

# Other Records

## § 243.203

Each Employer, Training Organization, and Learning Institution (TO/LI) shall, during normal business hours:

- Make records available to FRA upon request
- Make an employee, former employee, or individual learner's records available to that person, or that person's representative upon written authorization by the person

# Records – eRecords Management

## § 243.203

- Employers, TO/LI, must use reasonable security methods to prevent unauthorized access and ensure data integrity
- The program must utilize an employee ID and password or comparable protocol for program access to include the following standards:
  - No two persons may have the same eID
  - A record cannot be deleted or altered by anyone after the record is certified by the author

# Records – eRecords Management

## § 243.203

- Amending records must either:
  - Electronically stored apart from the record it amends, or
  - Electronically attached as information w/o changing the original record
- Amended records must uniquely ID the person making the amendment
- Employer, TO/LI must provide FRA access to eRecords
- eRecords must be in usable format and furnished to FRA upon request
- eRecords furnished to FRA must be authenticated by a railroad representative upon request

# Records – Transfer of Records

## § 243.203

- Employers ceasing to do business and taken over by another employer must transfer records to the new employer
- The (new) successor employer will be required to maintain the records for the remainder of the period prescribed by the regulation

# Periodic Oversight Overview

## § 243.205

- What is periodic oversight?
- What is the scope of periodic oversight?
- Who conducts such oversight?
- What are the purposes for requiring oversight?
- When must an employer start oversight?
- When can employer opt out?

# Periodic Oversight

## § 243.205

Periodic oversight = tests and inspections

- Tests: Change the work environment requiring employee action.
- Inspections: Observations determining compliance at a job site

# Periodic Oversight

## § 243.205

### Limited Scope:

Required only for FRA regulations pertaining to personal and work group safety, which means:

- Part 214 Railroad Workplace Safety
- Part 218 Railroad Operating Practices
- Part 220 Railroad Communications

# Periodic Oversight

## § 243.205

Who conducts such oversight?

- Qualified supervisors on all railroads, and some contractor supervisors
- There is no exception for small employers

# Periodic Oversight

## § 243.205

Railroads are required to identify supervisory personnel in each category or subcategory responsible, except

- When a contractor is required or voluntarily agrees to provide oversight of its own employees, or
- When the railroad does not have a qualified supervisor to conduct oversight of a contractor's employees

# Periodic Oversight

## § 243.205

Twofold Purpose:

1. Notice whether individual employees are complying, and whether an employee needs coaching or retraining
2. To assess the effectiveness of training programs and make curriculum adjustments to initial or refresher training programs to focus on problem areas

# Periodic Oversight

## § 243.205

For an existing employer, a periodic oversight program is required to commence on the day the employer files its training program with FRA under 243.101.

# Periodic Oversight

## § 243.205

For locomotive engineers and conductors:

- No new oversight requirement
- Periodic oversight is already required by other regulations, so consider data collected under Parts 217, 240 and 242 to determine how training might improve systemic performance gaps

# Periodic Oversight - RR Options

## § 243.205

Railroads are not required to conduct Periodic Oversight of a contractor's employees:

When the contractor:

- Employs more than 15 employees
- Directly trains its own employees for safety-related duties, and
- Employs supervisors capable of Periodic Oversight

Or when the railroad:

- Does not employ qualified supervisors

# Periodic Oversight - RR Options

## § 243.205

- Railroads are not required to conduct periodic oversight on supervisors who are responsible for conducting oversight
- A railroad is not required to conduct operational tests on contractor employees working on its property, but there is no prohibition against it

# Periodic Oversight - RR's Duty to Contractors

## § 243.205

A railroad has a duty to notify non-compliance of a contractor's employee to both:

- Employee, and
- Employer/Contractor

*Note: It is good practice to provide balanced feedback to safety-related employees in connection with any efficiency test or observation.*

# Annual Review

## § 243.207

- Not required for railroad with <400k employee work hours annually
- Not required for contractors, although contractors shall use any information provided by a railroad to adjust training specific to personal and work group safety
- Purpose of review is to assess if any training program improvements are possible by reviewing “sources” of data that may indicate employee gaps in knowledge or performance

# Annual Review

## § 243.207

- Sources of information include:
  - Periodic oversight data as required by §243.205
  - Accident/Incident data
  - FRA Inspection report data
  - Employee post-course training evaluation feedback (if available)
  - Feedback from labor organizations (if available)

# Annual Review – Results

## § 243.207

- Railroads are required to:
  - Designate person to conduct annual review and coordinate any necessary adjustments to course curriculum (initial or refresher)
  - Notify contractor of any training program changes as a result of the annual review  
*(Note: Only when railroad utilizes contractors that train their own employees)*

# List Contractors Utilized

## § 243.209

- Railroads that utilize contractors for safety-related duties are required to provide:
  - The full corporate or business name of the contractor
  - Contractor's primary business address, email address, and primary telephone number
- The above information not required if:
  - The railroad qualifies the safety-related employees utilized
  - Maintains records for each safety-related employee

# Training Program Audits

- FRA will be conducting field audits of training programs 12 to 18 months after rule implementation
- The purpose of the audits is to assess and validate training program(s) adoption and compliance
- Audits will entail review of program course curriculum, OJT documents, training delivery methodologies, employee records, periodic oversight records, and annual review records

# Questions?

Rob Castiglione, FRA Part 243 POC  
[robert.castiglione@dot.gov](mailto:robert.castiglione@dot.gov)

## **Training Components Identified in Program** **§ 243.103**

*The information below, along with the companion document titled “Additional Training Program Information Checklist”, contains all the required program elements that need to be considered when submitting a training program to FRA. Please note that FRA is in the final stages of building and testing a web-based service that will allow railroads, contractors, associations, and other organizations to safely upload training programs to a secure portal. Unless you are an employer with less than 400,000 total employee work hours annually, you must submit any type of training program(s) electronically. In addition, if you are a business, organization, or association that develops model programs, you must submit any type of training program(s) electronically.*

*The secure portal can be accessed at: <https://rrsp.fra.dot.gov/Part243Training/> (scheduled to be operational by late summer 2015)*

**Submitter Name:** Enter your company’s name (e.g. railroad, contractor, association, or other)

**Unique Course Name:** Determined by you or, if previously FRA-approved, the developer

**Unique Course Identification No:** Determined by you or the developer

**Course Duration:** Number of hours

**Prerequisite(s):** Y/N (*If yes, enter Unique Course ID No.*)

**Previously Submitted Training Programs or Plans:** Cross-reference other training programs or plans previously that may not have included an OJT component.

**Federal Law, Regulations, or Orders:** Enter or list all that apply by USC Chapter, CFR Part, or FRA Order number/title

**Type of Assessment:** Describe type of test: written, performance, verbal, OJT standard, or other used to demonstrate employee competency

**Course Developed and Delivered by Training Organization or Learning Institution:** Y/N (*If yes, provide additional information as follows*)

- A narrative, text table, or use another suitable format which describes those portions of the training that fit into this category
- The business name that developed and will deliver training
- The job title and phone number of primary training POC

**Course Description:** Provide three or four sentences to describe the course and includes the information below:

- What the course introduces, examines, topics covered, etc.
- Who the intended target audience is by occupational categories and subcategories.
- Method of course delivery (i.e., type of formal training: instructor-led in classroom, computer-based, simulator, correspondence, OJT, laboratory, or blended).
- If the employer arranges for job-related practice and feedback sessions to supplement formal training, include a description of the supplemental training.

**Terminal Objectives:** List all terminal objectives for the course. Terminal Objectives start with an action verb and are the general objectives that apply to the entire course curriculum. A terminal objective is written to describe each major job performance outcome expected as a result of training.

**Employer's Primary POC Information:** Enter job title and phone number for each POC listed separately for each major department or employee occupational category

**OJT (if applicable):** Indicate if the OJT component is to bring into compliance a previously submitted training program that did not include OJT, making sure to reference the training program above.

In addition, include the following information for each OJT program component:

- Describe the roles and responsibilities of each category of person involved in the administration and implementation, guidelines for program coordination, and the progression and application of the OJT.
- A listing of the occupational categories and subcategories of employees for which the OJT program applies.
- Details of the safety-related tasks and subtasks, conditions, and standards covered by the program components.

**Additional Training Program Information Checklist**  
**§ 243.107, § 243.109, § 243.113, § 243.205**

*In order for FRA to understand more about the training program submission, information about who conducts the training is necessary. Thus, the following questions need to be answered when submitting a training program. You can answer directly on this page, or attach additional pages if you need more space to answer.*

**§ 243.107**

**A. Will you as the Employer:**

1. Primarily conduct training for your own safety-related railroad employees using your own resources? Y/N
2. Conduct training for safety-related railroad employees other than your own? Y/N
3. Implement a training program conducted by some other entity on its behalf, but adopted by you as the employer? Y/N
4. Qualify safety-related railroad employees previously qualified by other employers. Y/N
5. Qualify safety-related railroad employees previously trained by a training organization or learning institution (TO/LI)? Y/N

**B. If you answered yes to question(s) (2–5) above, provide the following additional information:**

- List the categories of safety-related railroad employees who, at the time you filed, will receive training utilizing one or more of the options (2-5) above.

\_\_\_\_\_

\_\_\_\_\_

- Explain whether the training delivered, utilizing one or more of the above options (2-5), composes all or part of the overall training program regimen for that category of employee at the time of filing.

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**C. Provide the full name of any TO/LI you as the employer will rely on to provide training to any of your safety-related railroad employees or you intend to accept as valid training from any prospective new hires that were previously trained by that TO/LI.**

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**§ 243.109**

**D. Did you have an apprenticeship or intern program(s) that began prior to your training program submission to FRA? Y/N**

If you answered yes, provide a description of the apprenticeship/intern program below.

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**§ 243.113**

**E. Unless you are an employer with less than 400,000 total employee work hours annually, you must submit any type of training program(s) electronically to FRA. You must also submit your training program electronically if you are a business, organization, or association that develops model programs. However, prior to submission, you must provide the following information to FRA using the secure portal link below.**

**Two points of contact (POC) are required, and all POC information should be filled out for both individuals serving as POC.**

1. Name of company, TO/LI, or association

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2. POC to include job titles (*minimum of two*)

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3. POC mailing addresses

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4. POC system or main HQ address located in the USA

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5. POC Email addresses

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6. POC daytime telephone numbers

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*Note: Use the following link (scheduled to be operational by late summer 2015) to obtain login credentials and submit training programs. Once you provide the information above (items 1-6), you will be given permissions to access and submit your training program(s). You will only have permissions to access, view, edit, and manage your own submitted or previously submitted training programs. <https://rrsp.fra.dot.gov/Part243Training/>*

**§ 243.205 Periodic Oversight (pertaining to 49 CFR parts 214, 218, or 220)**

**F. Questions for Contractors:**

1. Have you voluntarily agreed in writing with the railroad to conduct oversight of your employees, rather than allow the railroad to conduct such oversight? Y/N
  - i. If yes, did the railroad train your supervisory employee(s) responsible for training and oversight? Y/N
  - ii. If no, you are required to conduct oversight if you answer yes to all 3 of the following questions:
    - a) Do you employ more than 15 employees? Y/N
    - b) Do you directly train your own employees for safety-related duties? Y/N
    - c) Do you employ supervisors capable of performing the oversight? Y/N

**G. Questions for Railroads Utilizing Contractors to Perform Safety-Related Duties:**

1. Did each contractor voluntarily agree in writing with you to conduct oversight of its employees? Y/N
  2. If yes, did you train the contractor's supervisory employee(s) responsible for training and oversight? Y/N
  3. If no to 1, have you determined that each contractor is required to provide its employees with oversight by rule? (See F.1.ii). Y/N
  4. If no, do you employ qualified supervisors who have been trained in the category or subcategory of any of the contractor's employees that will not receive oversight from the contractor so that it is possible for you to conduct oversight? Y/N
  5. If yes, list the names of the contractors and the category or subcategory of employees that you will conduct oversight for contractor employees.
- 

**H. Question for Railroads: Will Periodic Oversight required by Part 243 be incorporated into railroad's Operational Test Program pursuant to § 217.9? Y/N**

### Suggested Occupational Categories/Subcategories<sup>1</sup> Matrix

Sub. / CFR	213	214	215	217	218	219	220	221	222	223	224	225	227	228	229	230	231	232	233	234	236	237	238	239	240	242	
<b>Operations Department</b>																											
Engineer				X	X		X	X	X	X			X	X	X	X	X	X		X			X	X	X		
Fireman				X	X		X	X	X	X			X	X	X	X	X	X		X			X	X	X		
Hostler				X	X		X	X	X	X			X	X	X		X	X					X		X		
Conductor			X	X	X		X	X	X	X			X	X			X	X		X			X	X	X	X	
Brakeman			X	X	X		X	X	X	X			X	X			X	X		X			X	X	X		
Train Dispatcher				X	X		X							X											X		
Tower Operator				X	X		X							X													
Utility Worker			X	X	X		X						X	X			X	X									
TY&E Trainee				X	X		X	X					X	X						X							
Yardmaster				X	X		X							X													
Hump Operator				X	X		X							X													
<b>Maintenance of Equipment Department</b>																											
Machinist					X								X		X	X								X			
Electrician					X								X		X	X								X			
Pipe Fitter					X								X		X	X								X			
Sheet Metal Worker					X								X		X	X								X			
Carman			X		X			X		X	X						X	X						X			
<b>Signal and Communications Department</b>																											
Signal Maintainer		X		X	X		X							X					X	X	X						
Signal Worker		X		X	X		X							X					X	X	X						
<b>Maintenance of Way Department</b>																											
Track Inspector	X	X			X		X													X							
Road Master	X	X			X		X													X							
Track Workers	X	X			X		X																				
Track Welders	X	X			X		X																				
Laborer		X																									
Bridge Tender				X	X		X							X													
Bridge Inspector		X		X	X		X																			X	
Switch Tender				X	X		X							X													

<sup>1</sup> The subcategory descriptions used in this matrix are not intended to represent the universe of job titles that may be used by employers. Regardless of the job title used, safety-related railroad employees must receive training on each relevant railroad Federal safety law, regulation, or order that they are expected to apply in connection with their duties.

## **Employee Training Record Checklist** **§ 243.203**

### **Formal Course Attendance/Completion Information**

- Employee Name
- Occupational Category Name *(if more than one list all)*
- Formal Training Course(s) *(list course title and date of each formal training course successfully completed)*
- If course provided by TO/LI, attach transcript to record

### **OJT Completion Information**

- OJT Program Unique Name or Identifier
- Date OJT successfully completed
- Name of person(s) that determined employee is qualified to perform safety-related tasks in occupational category
- Date Employee Qualified in Occupational Category

### **Qualification from other Entity**

- If employee qualified from other entity with an approved program, attach training records from other entity, and any other information required by Part 243

**Appendix A – Program Submission Examples**

## **Training Components Identified in Program Example 1 § 234.103**

**Submitter Name:** Comet Railroad

**Unique Course Name:** Rail-highway Grade Crossing Inspection Fundamentals

**Unique Course Identification No:** HRX 0101A

**Course Duration:** 4 hours

**Prerequisite:** None

**Previously Submitted Training Programs or Plans:** N/A

**Federal Law, Regulations, or Orders:** 49 CFR Parts 234

**Type of Assessment:** Verbal 20 Question T/F Test

**Course Developed and Delivered by Training Organization or Learning Institution:** No

**Course Description:** This course is intended for employees responsible for conducting periodic inspections, tests, and maintenance of rail-highway signal systems installed on Comet Railroad. The course will entail a comprehensive lecture and review of FRA regulations 49 CFR Part 234 subparts B - E. The course will also entail hands-on inspection, test, and maintenance of actual rail-highway signal systems in use on Comet Railroad, under the supervision of a qualified signal maintainer.

**Terminal Objectives:** At the conclusion of this course participants will be able to:

1. Apply railroad safety rules and Federal regulations during the inspection of rail-highway signal systems.
2. Identify deviations from the regulations.
3. Demonstrate an understating of proper rail-highway grade crossing inspection procedures.

**Employer's Primary POC Information:** Ralph L. Dancer, President, Comet Railroad  
405.666.3000 (Office)

**OJT (if applicable):** Students completing this course are concurrently enrolled in a separate OJT program described below:

## OJT Roles and Responsibilities

1. The XXXX serves as the overall coordinator of the specific OJT program. He/she is primarily responsible for:
  - Acting as the principal point of contact for the process, and ensuring the process is properly implemented.
  - Ensuring that all trainees and trainers involved in the OJT process have received both hard copies of the OJT program and electronic copies of the checklist.
  - Providing guidance to both the trainee and trainer in the process once they have received the OJT program.
  - Ensuring the trainee completes the OJT standards in total.
  - Ensuring that trainees have access to all of the supporting publications listed in this OJT program.
  
2. **The Trainee** has the responsibility to pay close attention to the trainer providing OJT, and to take advantage of the knowledge and experience he or she has to offer. Tracking progress of the OJT is essential and is the responsibility of XXXXX. Trainee's should be cognizant of, and abide by, the following:
  - Trainers will provide practical information and advice on the requirements and responsibilities of assigned duties.
  - Trainees are responsible for completing any narrative and self-study assignments outside the scope of this OJT program. Additional assignments are an integral part of the training experience, and must be completed before being deemed qualified by the employer.
  - In order to gain the maximum benefit from the OJT experience, trainees will:
    - ✓ Remain alert and involved in the training activities.
    - ✓ Ask questions and learn from feedback.
    - ✓ Take notes and apply previous lessons.
    - ✓ Complete all required assignments.
    - ✓ Become familiar with and comply with FRA regulations, railroad safety rules, and other procedures mandated as a condition of employment by the employer.
    - ✓ Develop and maintain a *learning attitude*.
  - The OJT experience is designed to be much more than following a trainer around and watching what he or she does. Trainees must take an active role in the OJT and thoroughly engage in the various job tasks outlined in this OJT program.
  - Expect the OJT trainer to say, "***Here, you give it a try.***" Remember, while progressing through the OJT program, trainees have the opportunity to learn skills, to develop knowledge, and to adopt work habits and routines that will last throughout your railroad career. ***It is up to you, make the most of it!***
  - Tracking and documenting OJT progress is an essential process step.

3. The **Trainer** serves as the mentor/coach for trainees. Trainers must be qualified and have an obligation to communicate with the trainees to ensure the standards are properly applied in all phases of OJT. Trainers will also provide daily briefings at the beginning and end of each day regarding the specific tasks focused on during that day.

### **Guidelines for OJT Program Coordination and Administration**

In most cases, the first week or so of employment will involve administrative details and an overall orientation. Although it is understood that a trainee's duties may overlap with other organizational requirements, each day of OJT should focus on one of the major duties of the OJT program to the extent possible. Once the task(s) has been selected, there should be both an initial briefing on the tasks to be completed prior to and at the end of each day.

- The purpose of the debriefing is to go through the day's activities, and to focus on each of the tasks associated with the duty selected. The checklist found at the end of each module can be used as a feedback mechanism during this debriefing.
- There is no required sequential order for completion of the standards associated with any of the duties or tasks, and no attempt is made to weigh any of the duties. Although OJT should be focused on a particular duty, it is anticipated that the task standards will actually be accomplished based on available training opportunities.

<b>Duty 1: Apply 49 CFR Part 234 - Grade Crossing Signal System Safety</b>		
<b><u>Performance</u> Tasks</b>	<b><u>Conditions</u> Tools, Equipment, Documents, Practice</b>	<b><u>Standards</u> Time, Completeness, or Accuracy</b>
<p><b>Task 1-1:</b> Apply 49 CFR Parts 234.201 thru 234.277, Subparts B - E</p>	<p>Given a railroad inspection site, a properly equipped railroad signal employee, access to 49 CFR Part 234, and the railroad's timetable or equivalent operating instructions the new signal employee will:</p> <p><b>Note:</b> The intent here is to ensure the new signal employee is exposed to, and proficient with, each of the rules and instructions that require the development of skills as they apply to the maintenance, inspection, and testing of Rail-highway Grade Crossing Signal Systems.</p>	<p>Identify and correct any non-complying conditions. When non-complying conditions are not available, the new signal employee can demonstrate proficiency by discussing with the qualified signal maintainer complying and non-complying scenarios, regarding each rule section below:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> §234.201 Location of plans</li> <li><input type="checkbox"/> §234.203 Control circuits</li> <li><input type="checkbox"/> §234.205 Operating characteristics...</li> <li><input type="checkbox"/> §234.207 Adjustment, repair or replacement...</li> <li><input type="checkbox"/> §234.209 Interference with normal...</li> <li><input type="checkbox"/> §234.211 Security of warning system</li> <li><input type="checkbox"/> §234.213 Grounds</li> <li><input type="checkbox"/> §234.215 Standby power system</li> <li><input type="checkbox"/> §234.217 Flashing light units</li> <li><input type="checkbox"/> §234.219 Gate arm lights....</li> <li><input type="checkbox"/> §234.221 Lamp voltage</li> <li><input type="checkbox"/> §234.223 Gate arm</li> <li><input type="checkbox"/> §234.225 Activation of warning system</li> <li><input type="checkbox"/> §234.227 Train detection apparatus</li> <li><input type="checkbox"/> §234.229 Shunting sensitivity</li> <li><input type="checkbox"/> §234.231 Fouling wires</li> <li><input type="checkbox"/> §234.233 Rail joints</li> <li><input type="checkbox"/> §234.235 Insulated rail joints</li> <li><input type="checkbox"/> §234.237 Reserve switch cut-out circuit</li> <li><input type="checkbox"/> §234.239 Tagging of wires...</li> <li><input type="checkbox"/> §234.241 Protection of insulated...</li> </ul>

**Duty 1: Apply 49 CFR Part 234 - Grade Crossing Signal System Safety**

<u>Performance</u> Tasks	<u>Conditions</u> Tools, Equipment, Documents, Practice	<u>Standards</u> Time, Completeness, or Accuracy
		<input type="checkbox"/> §234.243 Wire on pole line and aerial cable <input type="checkbox"/> §234.245 Signs <input type="checkbox"/> §234.249 Ground tests <input type="checkbox"/> §234.251 Standby power <input type="checkbox"/> §234.253 Flashing light units... <input type="checkbox"/> §234.255 Gate arm and gate mechanism <input type="checkbox"/> §234.257 Warning system operation <input type="checkbox"/> §234.259 Warning time <input type="checkbox"/> §234.261 Highway traffic signal pre-emption <input type="checkbox"/> §234.269 Cut-out circuits <input type="checkbox"/> §234.271 Insulated rail joints... <input type="checkbox"/> §234.273 Results of inspections and tests <input type="checkbox"/> §234.275 Processor-based systems

## **Training Components Identified in Program Example 2**

### **§ 234.103**

**Submitter Name:** XYZ Railroad

**Unique Course Name:** Mechanical Trainyard Inspection Phase II

**Unique Course Identification No:** Mechanical TYI 201

**Course Duration:** 40 Hours

**Prerequisite:** Yes / Mechanical TYI 101

**Previously Submitted Training Programs or Plans:** N/A

**Federal Law, Regulations, or Orders:** 49 CFR Parts 215, 218-subparts A & B, 221, 231, 232

**Type of Assessment:** Pre & Post 25 Question Written Test

**Course Developed and Delivered by Training Organization or Learning Institution:** No

**Course Description:** This course is intended for carmen responsible for conducting train yard inspections and air brake tests on freight rolling stock. This course provides advanced learning of Federal regulations pertaining to Freight Cars Safety Standards, Safety Appliance Standards, Rear End Markers, Brake System Safety Standards for Freight, and Blue Signal Protection. The course will also cover railroad mechanical safety rules and basic AAR standards and billing procedures.

The course consists of a series of interactive instructor led lectures using a multi-media presentation, participant workbooks, followed by practical exercises for each learning module. A building block concept is used and incorporated into practical exercises of each module so that learning lessons are reinforced throughout the course. There is a pre and post written test to evaluate participant knowledge levels at the beginning and end of the course.

**Terminal Objectives:** At the conclusion of this course participants will be able to:

1. Apply railroad safety rules and Federal regulations during the inspection of rolling stock.
2. Identify deviations from the regulations.
3. Demonstrate proper Blue Signal Display based on a scenario.
4. Explain the difference between AAR standards and FRA safety standards.

**Employer's Primary POC Information:** Randall Smith, Director Technical Training and Development 202.595.0000 (Office)

**OJT (if applicable):** Students completing this course are concurrently enrolled in a separate OJT program described below:

## OJT Roles and Responsibilities

4. The XXXX serves as the overall coordinator of the specific OJT program. He/she is primarily responsible for:
  - Acting as the principal point of contact for the process, and ensuring the process is properly implemented.
  - Ensuring that all trainees and trainers involved in the OJT process have received both hard copies of the OJT program and electronic copies of the checklist.
  - Providing guidance to both the trainee and trainer in the process once they have received the OJT program.
  - Ensuring the trainee completes the OJT standards in total.
  - Ensuring that trainees have access to all of the supporting publications listed in this OJT program.
  
5. **The Trainee** has the responsibility to pay close attention to the trainer providing OJT, and to take advantage of the knowledge and experience he or she has to offer. Tracking progress of the OJT is essential and is the responsibility of XXXXX. Trainee's should be cognizant of, and abide by, the following:
  - Trainers will provide practical information and advice on the requirements and responsibilities of assigned duties.
  - Trainees are responsible for completing any narrative and self-study assignments outside the scope of this OJT program. Additional assignments are an integral part of the training experience, and must be completed before being deemed qualified by the employer.
  - In order to gain the maximum benefit from the OJT experience, trainees will:
    - ✓ Remain alert and involved in the training activities.
    - ✓ Ask questions and learn from feedback.
    - ✓ Take notes and apply previous lessons.
    - ✓ Complete all required assignments.
    - ✓ Become familiar with and comply with FRA regulations, railroad safety rules, and other procedures mandated as a condition of employment by the employer.
    - ✓ Develop and maintain a *learning attitude*.
  - The OJT experience is designed to be much more than following a trainer around and watching what he or she does. Trainees must take an active role in the OJT and thoroughly engage in the various job tasks outlined in this OJT program.
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- The purpose of the debriefing is to go through the day's activities, and to focus on each of the tasks associated with the duty selected. The checklist found at the end of each module can be used as a feedback mechanism during this debriefing.
- There is no required sequential order for completion of the standards associated with any of the duties or tasks, and no attempt is made to weigh any of the duties. Although OJT should be focused on a particular duty, it is anticipated that the task standards will actually be accomplished based on available training opportunities.

<b>Duty 1: Identify Air Brake Systems and Maintenance Requirements - Freight</b>		
<b><u>Performance</u> Tasks</b>	<b><u>Conditions</u> Tools, Equipment, Documents, Practice</b>	<b><u>Standards</u> Time, Completeness, or Accuracy</b>
<b>Task 1-1:</b> Demonstrate an understanding of freight locomotive brake systems.	Given an opportunity to read the appropriate air brake pamphlets, and 49 CFR Part 232, the trainee will evaluate three different locomotives air brake systems to the satisfaction of the trainer as follows:	Orally explain, for each of the three systems: <input type="checkbox"/> Brake system name. <input type="checkbox"/> Component names and purpose. <input type="checkbox"/> Periodic cleaning and test intervals.
<b>Task 1-2:</b> Demonstrate an understanding of freight car brake systems.	Given an opportunity to read the appropriate air brake pamphlets, and 49 CFR Part 232, the trainee will evaluate three different freight air brake systems to the satisfaction of the trainer as follows:	Orally explain in sufficient detail, on three separate occasions: <input type="checkbox"/> Brake system name. <input type="checkbox"/> Component names and purpose. <input type="checkbox"/> Periodic cleaning and test intervals (where applicable). <input type="checkbox"/> Graduated release (where available). <input type="checkbox"/> Direct release. <input type="checkbox"/> Electro pneumatic brake (where available). <input type="checkbox"/> Dynamic brake. <input type="checkbox"/> Feed valve braking. <input type="checkbox"/> Secondary brake (where available). <input type="checkbox"/> Blended brake (where available).
<b>Task 1-3:</b> Demonstrate an understanding of freight car single car tests.	Given an opportunity to read the latest revision of AAR S0-486 , and to observe at least 2 single car tests, the trainee will, to the satisfaction of the trainer:	Orally explain the: <input type="checkbox"/> Purpose of each step in the overall test process. <input type="checkbox"/> Frequency. <input type="checkbox"/> Single car test triggers. <input type="checkbox"/> Calibration and documentation.

**Duty 2: Apply Air Brake Inspection and Testing Requirements - Freight**

<u>Performance Tasks</u>	<u>Conditions</u> Tools, Equipment, Documents, Practice	<u>Standards</u> Time, Completeness, or Accuracy
<p><b>Task 2-1:</b> Demonstrate an understanding of when a Class I (Initial Terminal) freight air brake test must be performed.</p>	<p>Given an opportunity to read §232.205 and to assist in observing at least 5 Class I freight air brake tests with a trainer, the trainee will:</p>	<p>Find, on 3 separate inspections, at least 95% of any non-complying conditions noted by the qualified trainer. Non-complying conditions may include, but are not limited to, the following:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Improper brake pipe pressure.</li> <li><input type="checkbox"/> Inoperative brake.</li> <li><input type="checkbox"/> Excessive brake pipe leakage.</li> <li><input type="checkbox"/> Excessive air flow (CFM).</li> <li><input type="checkbox"/> Improper gradient.</li> <li><input type="checkbox"/> Brake rigging fouling.</li> <li><input type="checkbox"/> Excessive piston travel.</li> <li><input type="checkbox"/> Insufficient piston travel.</li> <li><input type="checkbox"/> Brakes ineffective.</li> <li><input type="checkbox"/> Brake connection rods/pins worn or missing.</li> <li><input type="checkbox"/> Brake shoes worn or missing.</li> <li><input type="checkbox"/> Brake hose worn.</li> <li><input type="checkbox"/> Brake pipe insecure.</li> <li><input type="checkbox"/> Slack adjuster inoperative (if equipped).</li> <li><input type="checkbox"/> Angle or cut-out cock not properly positioned.</li> <li><input type="checkbox"/> Documentation or record of Class I brake test missing or required information incomplete.</li> </ul>

**Duty 2: Apply Air Brake Inspection and Testing Requirements - Freight**

<b><u>Performance</u> Tasks</b>	<b><u>Conditions</u> Tools, Equipment, Documents, Practice</b>	<b><u>Standards</u> Time, Completeness, or Accuracy</b>
<p><b>Task 2-2:</b> Demonstrate an understanding of when a Class IA (1000 Mile) freight air brake test must be performed.</p>	<p>Given an opportunity to read § 232.207 and to assist in observing at least 4 Class IA freight air brake tests with a trainer, the trainee will:</p>	<p>Find, on 2 separate inspections, at least 95% of any non-complying conditions noted by the qualified trainer. Non-complying conditions may include, but are not limited to, the following:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Improper brake pipe pressure.</li> <li><input type="checkbox"/> Inoperative brake.</li> <li><input type="checkbox"/> Excessive brake pipe leakage.</li> <li><input type="checkbox"/> Excessive air flow (CFM).</li> <li><input type="checkbox"/> Improper gradient.</li> <li><input type="checkbox"/> Brake rigging fouling.</li> <li><input type="checkbox"/> Excessive piston travel.</li> <li><input type="checkbox"/> Insufficient piston travel.</li> <li><input type="checkbox"/> Brakes ineffective.</li> <li><input type="checkbox"/> Brake connection pins worn or missing.</li> <li><input type="checkbox"/> Brake shoes worn or missing.</li> <li><input type="checkbox"/> Slack adjuster inoperative (if equipped).</li> <li><input type="checkbox"/> Angle or cut-out cock not properly positioned.</li> </ul>

**Duty 2: Apply Air Brake Inspection and Testing Requirements - Freight**

<b><u>Performance</u> Tasks</b>	<b><u>Conditions</u> Tools, Equipment, Documents, Practice</b>	<b><u>Standards</u> Time, Completeness, or Accuracy</b>
<p><b>Task 2-3:</b> Demonstrate an understanding of when a Class II (intermediate) freight air brake test must be performed.</p>	<p>Given an opportunity to read § 232.209 and to assist in observing at least 4 Class II freight air brake tests with a trainer, the trainee will:</p>	<p>Find, on 2 separate inspections, at least 95% of any non-complying conditions noted by the qualified trainer. Non-complying conditions may include, but are not limited to, the following:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Improper brake pipe pressure.</li> <li><input type="checkbox"/> Inoperative brake.</li> <li><input type="checkbox"/> Excessive brake pipe leakage.</li> <li><input type="checkbox"/> Excessive air flow (CFM).</li> <li><input type="checkbox"/> Improper gradient.</li> <li><input type="checkbox"/> Brake rigging fouling.</li> <li><input type="checkbox"/> Excessive piston travel.</li> <li><input type="checkbox"/> Insufficient piston travel.</li> <li><input type="checkbox"/> Brakes ineffective.</li> <li><input type="checkbox"/> Brake connection pins worn or missing.</li> <li><input type="checkbox"/> Brake shoes worn or missing.</li> <li><input type="checkbox"/> Slack adjuster inoperative (if equipped).</li> <li><input type="checkbox"/> Angle or cut-out cock not properly positioned.</li> </ul>
<p><b>Task 2-4:</b> Demonstrate an understanding of when a Class III freight air brake test must be performed.</p>	<p>Given an opportunity to read § 232.211 and to assist in observing at least two Class III freight air brake tests with a trainer, the trainee will:</p>	<p>Orally describe how, when and where Class III freight air brake tests are required to be performed.</p>

**Duty 2: Apply Air Brake Inspection and Testing Requirements - Freight**

<u>Performance Tasks</u>	<u>Conditions</u> Tools, Equipment, Documents, Practice	<u>Standards</u> Time, Completeness, or Accuracy
<p><b>Task 2-5:</b> Gain an understanding of the special requirements relating to extended haul freight trains.</p>	<p>Using 49 CFR Part 232 as a reference, the trainee will, to the satisfaction of the trainer:</p>	<p>Orally describe, the relevancy on each of the following:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Mileage limitation.</li> <li><input type="checkbox"/> Notification to FRA.</li> <li><input type="checkbox"/> Location of brake test and mechanical inspection.</li> <li><input type="checkbox"/> Qualified Mechanical Trainer.</li> <li><input type="checkbox"/> Pre-departure inspection (Part 215).</li> <li><input type="checkbox"/> Defective equipment.</li> <li><input type="checkbox"/> Cars added to train.</li> <li><input type="checkbox"/> Cars set-out from train.</li> <li><input type="checkbox"/> All required records of defective equipment found.</li> </ul>
<p><b>Task 2-6:</b> Demonstrate an understanding of a transfer train freight air brake test.</p>	<p>Using 49 CFR Part 232 as a reference, the trainee will, to the satisfaction of the trainer:</p>	<p>Orally describe by whom, how, when and where transfer train freight air brake tests are required to be performed, and describe the difference between the release requirements of this type of brake test when compared to those specified in Tasks 2-1 through 2-3.</p>
<p><b>Task 2-7:</b> Demonstrate an understanding of freight brake tests using a yard test plant.</p>	<p>Given an opportunity to read 49 CFR Part 232 and to assist in observing at least three freight air brake tests conducted with a yard test plant with a trainer, the trainee will, to the satisfaction of the trainer:</p>	<p>Orally describe the relevancy on each of the following:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Test plant performance.</li> <li><input type="checkbox"/> Connection of the device to train.</li> <li><input type="checkbox"/> Overcharging considerations.</li> <li><input type="checkbox"/> Off air considerations.</li> <li><input type="checkbox"/> Minimum brake pipe pressure.</li> <li><input type="checkbox"/> Gradient requirement.</li> <li><input type="checkbox"/> Calibration.</li> <li><input type="checkbox"/> Periodic inspection, maintenance and documentation.</li> <li><input type="checkbox"/> Cold weather considerations.</li> </ul>

**Duty 2: Apply Air Brake Inspection and Testing Requirements - Freight**

<b><u>Performance</u> Tasks</b>	<b><u>Conditions</u> Tools, Equipment, Documents, Practice</b>	<b><u>Standards</u> Time, Completeness, or Accuracy</b>
<p><b>Task 2-8:</b> Demonstrate an understanding of brake system operation during freight double heading and helper service.</p>	<p>Using 49 CFR Part 232 as a reference, the trainee will, to the satisfaction of the trainer:</p>	<p>Orally define and/or describe the relevancy on each of the following:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Double heading service.</li> <li><input type="checkbox"/> Helper service.</li> <li><input type="checkbox"/> Controlling locomotive.</li> <li><input type="checkbox"/> Helper Link device.</li> <li><input type="checkbox"/> Calibration and documentation.</li> </ul>
<p><b>Task 2-9:</b> Explain Two-Way End-of-Train device functions.</p>	<p>Given an opportunity to study 49 CFR Part 232, Subpart E and at least one oral briefing by the trainer, the trainee will, to the satisfaction of the trainer:</p>	<p>Orally describe, the relevancy on each of the following:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Unique identification code.</li> <li><input type="checkbox"/> Comparing quantitative values.</li> <li><input type="checkbox"/> Emergency brake activation and initiation.</li> <li><input type="checkbox"/> Front unit emergency activation switch.</li> <li><input type="checkbox"/> Emergency functional capability.</li> <li><input type="checkbox"/> New locomotives.</li> <li><input type="checkbox"/> Arming.</li> <li><input type="checkbox"/> Heavy grade.</li> <li><input type="checkbox"/> Trailing tons.</li> <li><input type="checkbox"/> En route failures.</li> <li><input type="checkbox"/> Exceptions for use.</li> <li><input type="checkbox"/> Inspection and installation considerations.</li> <li><input type="checkbox"/> Grandfathering.</li> <li><input type="checkbox"/> Calibration and documentation.</li> </ul>

**Duty 3: Perform a Freight Car Truck, Running Gear, Body Underframe and Draft System Inspection**

<u>Performance Tasks</u>	<u>Conditions</u> Tools, Equipment, Documents, Practice	<u>Standards</u> Time, Completeness, or Accuracy
<p><b>Task 3-1:</b> Apply Federal Regulations when inspecting freight cars.</p>	<p>Given an opportunity to read 49 CFR Part 215, and to perform at least 10 inspections of at least 30 freight cars (e.g. inter-modal, hopper, box, gondola, etc.), the trainee will:</p>	<p>Find, on 5 separate inspections, at least 75% of any non-complying conditions noted by the trainer. Non-complying conditions may include, but are not limited to, the following:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Truck bolster, side frame cracked/broken.</li> <li><input type="checkbox"/> Coil springs cracked/broken.</li> <li><input type="checkbox"/> Spring plank cracked/broken.</li> <li><input type="checkbox"/> Center casting cracked/broken.</li> <li><input type="checkbox"/> Side bearing clearance excessive or running in contact when not designed to do so.</li> <li><input type="checkbox"/> Roller bearing adapter worn out or out of position.</li> <li><input type="checkbox"/> Roller bearing defective.</li> <li><input type="checkbox"/> Clearance above top of rail less than 2½ inches.</li> <li><input type="checkbox"/> Wheel slid flat or shelled spot more than 2½ inches.</li> <li><input type="checkbox"/> Wheel flange height more than 1½ inches.</li> <li><input type="checkbox"/> Wheel flange thickness 7/8 inches or less.</li> <li><input type="checkbox"/> Body bolster or body center casting cracked/broken.</li> <li><input type="checkbox"/> Body crossbearer, sidesill, endsill, centersill cracked/broken.</li> <li><input type="checkbox"/> Draft gear or cushion unit broken/components missing.</li> <li><input type="checkbox"/> Crack/break in coupler outside shaded area.</li> <li><input type="checkbox"/> Crack/break in coupler knuckle pulling face.</li> <li><input type="checkbox"/> Crack/broken coupler yoke or carrier.</li> <li><input type="checkbox"/> Coupler height in excess of 34½ inches.</li> <li><input type="checkbox"/> Coupler height less than 31½ inches.</li> <li><input type="checkbox"/> Uncoupling lever inoperative.</li> </ul>

<b>Duty 4: Perform a Freight Safety Appliance Inspection</b>		
<b><u>Performance</u> Tasks</b>	<b><u>Conditions</u> Tools, Equipment, Documents, Practice</b>	<b><u>Standards</u> Time, Completeness, or Accuracy</b>
<b>Task 4-1:</b> Apply Federal Regulations when inspecting freight cars.	Given an opportunity to read 49 CFR Part 231, and to perform at least 10 inspections of at least 30 freight cars (e.g. inter-modal, hopper, box, gondola, etc.)the trainee will:	<p>Find, on 5 separate inspections, at least 95% of any non-complying conditions noted by the trainer. Non-complying conditions may include, but are not limited to, the following:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Handbrake improperly applied, located, inoperative, ineffective or components broken or missing.</li> <li><input type="checkbox"/> Handbrake wheel with less than 4 inches clearance around rim or with less than 4 inches of clearance to vertical plane of knuckle face.</li> <li><input type="checkbox"/> Brake step wrong dimensions, improperly applied, located or brackets/fasteners loose, broken or missing.</li> <li><input type="checkbox"/> End platform wrong dimensions, improperly applied, located or brackets/fasteners loose, broken or missing.</li> <li><input type="checkbox"/> Handhold or ladder tread improperly applied, located or brackets/fasteners or stiles loose, broken or missing.</li> <li><input type="checkbox"/> Ladder wrong dimensions improperly applied, located or brackets/fasteners loose, broken or missing.</li> <li><input type="checkbox"/> Running board wrong dimensions improperly applied, located or brackets/fasteners loose, broken or missing.</li> <li><input type="checkbox"/> Sill step wrong dimensions improperly applied, located or brackets/fasteners loose, broken or missing.</li> <li><input type="checkbox"/> End platform wrong dimensions improperly applied, located or brackets/fasteners loose, broken or missing.</li> </ul>

<b>Duty 5: Apply Movement for Repair Provisions for Defective Rolling Equipment - Freight</b>		
<b><u>Performance</u> Tasks</b>	<b><u>Conditions</u> Tools, Equipment, Documents, Practice</b>	<b><u>Standards</u> Time, Completeness, or Accuracy</b>
<b>Task 5-1:</b> Demonstrate an understanding of movement of a defective freight car.	Using 49 CFR Part 215 as a reference, the trainee will, to the satisfaction of the trainer:	Orally describe the relevancy on each of the following: <input type="checkbox"/> Non-complying freight car. <input type="checkbox"/> Tagging. <input type="checkbox"/> Written notification. <input type="checkbox"/> Notification to crew. <input type="checkbox"/> Location where repairs are made. <input type="checkbox"/> Loading and unloading of car. <input type="checkbox"/> Retention requirements.

<b>Duty 6: Apply Blue Signal Regulations (49 CFR Part 218 Subpart B)</b>		
<b><u>Performance</u> Tasks</b>	<b><u>Conditions</u> Tools, Equipment, Documents, Practice</b>	<b><u>Standards</u> Time, Completeness, or Accuracy</b>
<b>Task 6-1:</b> Demonstrate an understanding of Blue Signal Scope and Display requirements.	Given an opportunity to read Part 218, Subpart A, along with any necessary clarification by the trainer, the trainee will, to the satisfaction trainer:	Write a minimum of one sentence, and a maximum of one paragraph, explaining each of the following: <input type="checkbox"/> §218.21. <input type="checkbox"/> §218.23. <input type="checkbox"/> Distinctions between blue signal versus blue light.  <b>Note:</b> The written report must be reviewed and approved by the trainer.
<b>Task 6-2:</b> Gain an understanding of how to properly apply §218.22 (Utility Employee).	Given sufficient study of §218.22, the trainee will:	Write a report listing the eight factors necessary to comply with the blue signal display regulations concerning utility employees.  <b>Note:</b> The written report must be reviewed and approved by the trainer.

<b>Duty 6: Apply Blue Signal Regulations (49 CFR Part 218 Subpart B)</b>		
<b><u>Performance</u> Tasks</b>	<b><u>Conditions</u> Tools, Equipment, Documents, Practice</b>	<b><u>Standards</u> Time, Completeness, or Accuracy</b>
<b>Task 6-3:</b> Apply Federal Regulations when working on a main track, §218.25.	Given sufficient study of §218.25, the trainee will:	Demonstrate proper blue signal protection on the main track achieving 100% accuracy on three occasions by: <input type="checkbox"/> Display blue signal at each end of the equipment, <input type="checkbox"/> Attach blue signal to the controlling locomotive (if applicable).
<b>Task 6-4:</b> Apply Federal Regulations when working on a track other than a main track §218.27.	Given sufficient study of §218.27, the trainee will:	Demonstrate proper blue signal protection on other than main track achieving 100% accuracy on three occasions by: <input type="checkbox"/> Display blue signal at or near each switch providing entrance. <input type="checkbox"/> Lock and line each switch against movement. <input type="checkbox"/> Attach blue signal to the controlling locomotive (if applicable). <input type="checkbox"/> Line, lock, and flag each crossover switch when required.
<b>Task 6-5:</b> Apply Federal Regulations using alternate methods of protection, in a locomotive servicing track area §218.29 (a).	Given sufficient study of §218.29 (a), the trainee will:	Demonstrate proper blue signal protection using alternate methods of protection in a locomotive service area achieving 100% accuracy on three occasions by: <input type="checkbox"/> Display blue signal at or near each switch providing entrance. <input type="checkbox"/> Lock and line each switch against movement. <input type="checkbox"/> Attaching blue signal to each controlling locomotive where it is readily visible to the operator of the locomotive.  Orally describe with 100% accuracy: <input type="checkbox"/> Proper use of derails? <input type="checkbox"/> Movements under the direction of an authorized person in charge. <input type="checkbox"/> Locomotives stop short of coupling to other locomotives, <input type="checkbox"/> Locomotives moving in and out of serving area. <input type="checkbox"/> Requirements for repositioning locomotives within service area and the notification of workers. <input type="checkbox"/> Requirements for restoring protection

<b>Duty 6: Apply Blue Signal Regulations (49 CFR Part 218 Subpart B)</b>		
<b><u>Performance</u> Tasks</b>	<b><u>Conditions</u> Tools, Equipment, Documents, Practice</b>	<b><u>Standards</u> Time, Completeness, or Accuracy</b>
<b>Task 6-6:</b> Apply Federal Regulations using alternate methods of protection in a car shop repair track area, §218.29(b).	Given sufficient study of §218.29 (b), the trainee will:	<p>Demonstrate proper blue signal protection using alternate methods of protection in a car shop repair track area achieving 100% accuracy on three occasions by:</p> <p>Was a blue signal displayed at or near each switch providing entrance?</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Display blue signal at or near each switch providing entrance.</li> <li><input type="checkbox"/> Lock and line each switch against movement.</li> </ul> <p>Orally describe with 100% accuracy:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Proper use of derails?</li> <li><input type="checkbox"/> Movements under the direction of an authorized person in charge.</li> </ul>
<b>Task 6-7:</b> Apply Federal Regulations using derails in lieu of manually operated switches §218.29(c).	Given sufficient study of §218.29 (c), the trainee will:	<p>Orally describe with 100% accuracy:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Location of derails from equipment being protected.</li> <li><input type="checkbox"/> Blue signal display and locking requirements.</li> <li><input type="checkbox"/> Emergency repair work</li> </ul>
<b>Task 6-8:</b> Apply Federal Regulations when inspecting remotely controlled switches §218.30.	Given sufficient study of §218.30, the trainee will:	<p>Orally describe with 100% accuracy:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Operator of the remotely controlled switch obligations with respect to applying and removing blue signal protection.</li> <li><input type="checkbox"/> Methods for locking remotely controlled switches.</li> <li><input type="checkbox"/> Information required when providing remote control blue signal protection.</li> <li><input type="checkbox"/> Record retention requirements.</li> </ul>

**Duty 7: Rear End Marker Regulations (49 CFR Part 221)**

<b><u>Performance</u> Task</b>	<b><u>Conditions</u> Tools, Equipment, Documents, Practice</b>	<b><u>Standards</u> Time, Completeness, or Accuracy</b>
<b>Task 7-1:</b> Demonstrate an understanding of Part 221, Subpart B (Marking Devices).	Given an opportunity to read Part 221, Subpart B, along with any necessary clarification by the trainer or specialist, the trainee will , to the satisfaction of the trainer:	Orally describe, in complete detail as specified in the regulations, the regulatory requirements for each of the following: <input type="checkbox"/> Display requirements. <input type="checkbox"/> Installation. <input type="checkbox"/> Weather and/or visibility considerations. <input type="checkbox"/> Hours of operation. <input type="checkbox"/> Inspection procedure (§221.16). <input type="checkbox"/> Movement for repair. <input type="checkbox"/> Telemetry considerations - cross reference to §232.409.

**Questions**  
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