

**Northeast Illinois Regional Commuter
Railroad Corporation (dba)**



**PROGRAM FOR CERTIFICATION
OF RAILROAD CONDUCTORS**



49 CFR PART 242

**TRAINING AND CERTIFICATION DEPARTMENT
547 W. Jackson Boulevard 6 West
Chicago, IL 60661**

Revised May 10, 2016

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SECTION 1: General Information and Elections

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The following two (2) individuals will be the railroads point of contact and only individuals allowed access to the Federal Railroad Administration (FRA) secure document submission site:

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Metra elects to:

Train and certify new Conductors not previously certified, utilizing the program outlined in Section 4 of this document.

Re-certify only Conductors previously certified by other railroads.

The **(railroad)** will issue certificates for the following types of service:

Conductor

Passenger Conductor*

*Passenger Conductor means a Conductor who has also received emergency preparedness training under 49 CFR Part 239. Railroads choosing to certify Passenger Conductors must fulfill all requirements of 49 CFR Part 239.

SECTION 2: Training Persons Previously Certified

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Metra shall provide for the continuing education of certified Conductors to ensure that each Conductor maintains the necessary knowledge concerning railroad safety and operating rules and compliance with all applicable Federal regulations.

Re-certification for all certified Conductors will occur on an interval of not greater than 36 months and incorporate formal training and testing. The railroad will keep appropriate records for each Conductor's formal training and testing.

Formal training sessions, including periodic refresher training for loss of knowledge and changed circumstances, will be required of all certified Conductors. Familiarization training will be required when a Conductor has been absent from the territory for a period of 6 months or more.

Persons shall be considered to have maintained physical characteristics familiarity by, performing service within a 6 month period over the district(s) to remain qualified.

Aforementioned training sessions may include documented company safety meetings and periodic rules training. Training environments may include classroom training, computer based training, multi-media presentations, and use of on-job-training.

The minimum training duration requirements are:

- When operating only under conditions requiring stopping within half the range of vision – 3 hours
- When operating under conditions requiring stopping within half the range of vision and one or more additional methods of operation – 5 hours

The 36 month certification period will include training on the following mandatory topics:

- Safety Rules
- Operating Rules
- Timetable Special Instructions
- Applicable Federal Regulations
- Physical Characteristics (Territory Specific)
- Use of Applicable Job Aids

Subject matter shall emphasize new rules, new regulations, and those rules that when violated, have caused or are likely to cause the most accidents or incidents.

SECTION 2: Training Persons Previously Certified (cont.)

Training of Conductors with Expired Certificates

Metra Conductors whose certifications have lapsed will be required to satisfy all the components required for certification specified in Sections 2 & 3 of this certification program. Following the applicable prior safety conduct evaluations and hearing and visual acuity examination (prescribed by Regulations 49 CFR Parts 242.111, 242.115, 242.117 and 242.403), the individual will require a period of on-the-job training and territorial familiarization based on the evaluation of a qualified instructor. Prior experience and unique characteristics of the territory must be considered by the Program Administrator or designated supervisor prior to certification.

SECTION 3: Testing and Evaluating Persons Previously Certified

Contact: **Robert J. Tague**

This section details the manner in which knowledge & skills concerning operating rules, practices, familiarization with physical characteristics of the territory, relevant Federal safety rules, and vision and hearing acuity are tested and evaluated.

Knowledge Testing

The overall Knowledge Testing examination will consist of six modules with a required 85% passing grade for each test. The following subjects will be tested every 36 months, with exception of Operating Rules, which will be tested annually.

The examinations will consist of the following modules:

- Safety Rules - This module consists of multiple choice questions which are specific to safety.
- Operating Rules - This module consists of a closed book, multiple choice examination (tested annually).
- Timetable Special Instructions
- Applicable Federal Regulations - This module consists of multiple choice questions on FRA CFR 242 Rules, including: Hours of Service, Drug and Alcohol Testing, Blue Signal Rules, Passenger Train Emergency Preparedness and Emergency Orders.
- Physical Characteristics - This module consists of multiple choice questions unique to the segment of railroad on which the conductor is being certified to perform service.
- Use of Applicable Job Aids - This module consists of multiple choice questions in relation to other than main track physical characteristics, such as permanent close clearances, location of permanent derails and switches.

Person(s) being tested will be provided the opportunity to consult with a supervisory employee possessing territorial qualifications to explain a question.

Employees failing to obtain a passing grade will not be permitted to work as a Conductor pending a successful re-examination.

SECTION 3: Testing and Evaluating Persons Previously Certified (cont.)

Vision and Hearing Acuity Testing

Metra's Medical Review Officer (MRO) or designated medical facility will be responsible for the administration of required vision and hearing acuity testing prior to the Conductor's recertification date. Notification of results that fall within the approved limits of §242.117 (Vision and Hearing Acuity) will be made by means of vision/hearing approval form.

Conductors whose hearing or vision acuity does not meet the standards required by §242.117 (Vision and Hearing Acuity) shall be subject to an evaluation by the MRO to determine if the Conductor can safely perform his/her duties.

All Conductors who fail screening test are subject to evaluations by board certified specialists in ophthalmology. In addition, a field test may be used as part of the certification process in cases of decreased color perception.

Upon the determination by the MRO that the deficiency is not correctable to allow the person to safely perform as a Conductor, the license shall be denied. If the Conductor's visual or hearing acuity can be corrected to acceptable levels, the word "corrected" will be noted on the conductor's license. The conductor must utilize these corrective devices while on duty to retain certification.

Records

Records of each Conductor's knowledge and vision/hearing acuity test results will be maintained and available upon request.

SECTION 4: Training, Testing and Evaluating Persons Not Previously Certified

Contact: Robert J. Tague

Metra will provide a program of classroom and on-the-job training for persons seeking certification as a Conductor who have had previous Train Service experience.

Persons not previously certified as Conductors will become certified by successfully completing Metra's Conductor Training Program and will be referred to as Candidate. This category includes individuals with prior operating experience in train service.

Records on each candidate's training will be maintained and available upon request.

With Previous Operating Experience in Train Service

1. Selected candidates will participate in the following Conductor Training Program:

A. Classroom Training

- i. Classroom training will be conducted by Railroad-selected Instructors.
- ii. Candidates must participate in a final Conductor promotion examination consisting of multiple choice questions and obtain a passing score of 90%. The Candidate must also take an overall knowledge test examination which will consist of five modules with a required 85% passing grade for each module.
- iii. Classroom training will include the following subject matter
 - Safety Rules
 - Operating Rules
 - Timetable Instructions
 - Applicable Federal Regulations
 - Physical Characteristics (Territory Specific)
 - Use of Applicable Job Aids

Quizzes may be conducted periodically during each segment of instruction. In addition to the successful completion of each segment, a final examination will be required.

B. On-the-job Training

- i. On-the-job training will be conducted by a Qualified Instructor. The training will be of sufficient duration to enable the student to safely perform the duties required.
- ii. Training Requirements
 - Training on main track physical characteristics, candidates shall be assisted by a person who is certified as a conductor who meets the territorial qualification requirements for those main track physical characteristics.
 - Training in yard operations, maps, charts, visual aids of yard will be used to describe the physical characteristics and layout of the territory.

SECTION 4: Training, Testing and Evaluating Persons Not Previously Certified (cont.)

2. Task Check-Off sheets will be utilized to track the Student's training and proficiency level for each task performed in the field. A final evaluation by a railroad officer will be required.

Successful completion of all final examinations and field evaluations will allow for the issuance of a certificate and promotion of candidate to the position of Conductor. Candidates failing to obtain a passing score of 85% will not be permitted to work as a Conductor pending a successful re-examination.

SECTION 5: Monitoring the Operational Performance of Certified Conductors

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Certified Conductors will be given a minimum of one (1) unannounced operating rules compliance test each calendar year that monitors one or more of the following:

1. Handling hand operated switches and fixed derails, including:
 - Main track switches
 - Crossover switches
 - Yard switches
2. Securing equipment
3. Leaving equipment in the clear
4. Shoving or pushing movement protection

Certified Conductors who are not given an unannounced compliance test in a calendar year at a minimum will receive an unannounced compliance test within 30 days of a return to Conductor service; and

The railroad will maintain a written record indicating:

- The date that the Conductor stopped performing service that requires certification
- The date that the Conductor returned to performing service that requires certification, and
- The date that the unannounced compliance test was performed

A certified passenger conductor, who does not require compliance with 49 CFR 218 subpart F except under emergency circumstances, will be given annual training in lieu of the annual unannounced test.

In the event that it finds deficiencies with a Conductor's performance during an unannounced compliance test, the railroad will take one or more of the following actions:

- Revocation of Federal certification (when applicable)
- Application of company discipline (when applicable)
- Remedial training as appropriate
- Guidance to prevent an injury, incident or human factor accidents

All test results will be maintained through electronic or written records. Documentation regarding test results and information regarding corrective action will be maintained in the individual's certification file in the office of the Director of Training and Certification.

SECTION 6: Procedures for the Routine Administration of the Conductor Certification Program

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Metra's Commuter Railroad Conductor Training and Certification Program will be administered by the Senior Director of Training and Certification or designee and will be responsible for the implementation of 49CFR Part 242. The Program Administrator or designee does not have to be a Certified Conductor.

Program elements are itemized below:

1. The office of the Director of Training and Certification is responsible for the maintenance of files on each conductor, and candidate. The office is also responsible for schedule of vision and hearing acuity (49 CFR Part 242.117), and drivers license checks.
2. The office of the Senior Director of Training and Certification is responsible for issuing conductor licenses.
3. The office of the Director of Training and Certification is responsible for compliance with this program.
4. Metra's Human Resources Office of Drug and Alcohol Department maintains matters relating to substance abuse (49 CFR Part 242.115).
5. The Rules Department will be responsible for maintaining operational testing electronic files.

The railroad will address the following subjects prior to making certification decisions on Conductors. All records and results are maintained by the railroad and kept on file:

1. Evaluation of prior safety conduct (including motor vehicle operator records)

Motor vehicle driving records will be obtained and evaluated for incidents described in 49 CFR 242.111. If the records indicate any incident occurred within the time specified, the candidate will be referred to the Employee Assistance Program (EAP) counselor. The counselor must advise the Director of Training and Certification of the results of the EAP evaluation as it relates to certification eligibility.

2. Vision & hearing acuity testing

Any conductor falling below the acceptable level of vision and/or hearing acuity shall be subject to an evaluation by the Metra's Medical Review Officer (MRO) to determine if the conductor can safely perform his/her duties.

SECTION 6: Procedures for the Routine Administration of the Conductor Certification Program (cont.)

3. Substance abuse compliance

Employees who are determined to have active substance abuse disorders will not be certified or allowed to remain certified.

a. On the Job Substance Abuse

Conductors engaged in on-the-job substance abuse will have their licenses suspended. The suspension will revert to a revocation for the minimum time specified by regulation when supported by a hearing. In the event of a co-worker or self-referral, the certified Conductor's license will be suspended promptly upon notification from the "Substance Abuse Professional" (SAP). The license will be reinstated upon written notification of the SAP that the individual no longer has an active substance abuse problem.

b. Off the Job Substance Abuse

Upon receipt of notification of a conviction for operating a motor vehicle while under the influence of, or impaired by alcohol or a controlled substance, Metra will provide the information to a "Substance Abuse Professional" (SAP). The individual will be referred to a counselor for an evaluation to determine if a substance abuse problem exists. If it is determined that the Conductor has an active substance abuse problem, the provisions of §242.115 will apply. If it is determined that the individual does not have an active substance abuse problem, no further action will be taken with respect to certification.

4. Knowledge testing

Formal training sessions, including periodic refresher training for loss of knowledge and changed circumstances, will be required of all certified conductors. Familiarization training will be required when a conductor has been absent from the territory for a period of 6 months or more.

5. Time limitations for certification

Certification requirements must be met within time frames specified:

- Safety conduct record 366 days
- Vision and Hearing acuity 450 days
- Written knowledge test 366 days
- Issue license within 30 days of a decision to certify

SECTION 6: Procedures for the Routine Administration of the Conductor Certification Program (cont.)

6. Training requirements

The candidate is required to complete a 3-week training program, under the supervision of the Director of Training and Certification. The 3 week period will be divided into two phases: classroom, and field training. The field training will be with selected qualified training conductors on various road and yard assignments. Candidate will be assessed at the end of the training program.

7. Territorial qualification requirements

Persons shall be considered to have maintained physical characteristics familiarity by performing service within a 6 month period over the district(s) to remain qualified.

Requirements for Territorial Qualification

The railroad will not permit or require a person to serve as a Conductor unless that railroad determines that the person is certified as a Conductor and possesses the necessary territorial qualifications for the applicable territory, including working in joint operations territory.

Each person who is called to serve as a conductor will:

- Meet the territorial qualification requirements on the segment of track upon which he or she will serve as a conductor; and
- Immediately notify the railroad if he or she does not meet the required territorial qualifications

Persons shall be considered to have achieved physical characteristics familiarity by:

- Traversing a territory working in any train service capacity at least once in the preceding 6 months for railroads operating under conditions that include signalized methods of operation.

Pilots

A conductor who was previously qualified on main track physical characteristics, but whose territorial qualification has been expired for one year or less and who regularly traversed the territory prior to the expiration of the qualification, may be assisted by any person, including an assigned crew member, who meets the territorial qualification requirements for main track physical characteristics.

A conductor whose territorial qualification has been expired for one year or less but who has not regularly traversed the territory prior to the expiration of the qualification, or a conductor whose territorial qualification on main track has been expired for more than one year, may be assisted by any person, including an assigned crew member other than the locomotive engineer, so long as serving as the assistant would not conflict with that crew member's other safety sensitive duties, who meets the territorial qualification requirements for main track physical characteristics.

SECTION 6: Procedures for the Routine Administration of the Conductor Certification Program (cont.)

A conductor that has never been qualified on main track physical characteristics of the territory over which he or she is to serve as a conductor will be assisted by a person who is certified as a conductor, meets the territorial qualification requirements for main track physical characteristics, and is not an assigned crew member.

A conductor that lacks territorial qualification on other than main track physical characteristics, where practicable, will be assisted by a person who is a certified conductor and meets the territorial qualification requirements for other than main track physical characteristics. Where not practicable, the conductor shall be provided an appropriate up-to-date job aid §242.7.

In all cases, an assistant is not required if:

- The movement is on a section of main track with an average grade of less than 1% over 3 continuous miles, and
- The maximum distance the locomotive or train will be operated does not exceed one mile; or
- The maximum authorized speed for any operation on the track does not exceed 20 miles per hour; or
- Operations are conducted under operating rules that require every locomotive and train to proceed at a speed that permits stopping within one half the range of vision of the locomotive engineer.

Issuance of Certificates

The railroad will issue certificates to all individuals meeting the requirements of this program.

Certificates will at a minimum:

- Identify the railroad or parent company that is issuing it;
- Indicate that the railroad has determined that the person to whom it is being issued has been determined to be eligible to perform as a Conductor or as a passenger Conductor;
- Identify the person to whom it is being issued (including the person's name, employee identification number, the year of birth, and either a physical description or photograph of the person);
- Identify any conditions or limitations, including the type of service or conditions to ameliorate vision or hearing acuity deficiencies, that restrict the person's operational authority;
- Show the effective date of each certification held;
- Be signed by an individual designated in accordance with paragraph (b) of this section; and
- Be of sufficiently small size to permit being carried in an ordinary pocket wallet.

SECTION 6: Procedures for the Routine Administration of the Conductor Certification Program (cont.)

The railroad authorizes the following individuals to sign certificates:

- Program Administrator
- Director of Training and Certification
- Supervisors of Locomotive Engineers

Replacement of Certificates

In the event a certificate is lost, stolen or mutilated prior to or during a tour of duty, the Conductor will be required to inform a supervisor of the loss. The Conductor must obtain a temporary replacement certificate, which identifies the individual to whom it is issued. Temporary replacement certificates may be issued electronically under the authority of a designated supervisor. It will not be valid for more than 5 days.

Revocation of Certificate

The railroad will comply with the requirements of §242.407 (Process for Revoking Certification) concerning revoking a person's Conductor certificate when the railroad acquires reliable information regarding the following violation(s) of §242.115(e) or §242.403(e):

1. Failure to take appropriate action to prevent the locomotive engineer of the train the conductor is assigned to from failing to control a locomotive or train in accordance with a signal indication, excluding a hand or a radio signal indication or a switch, that requires a complete stop before passing it, when the conductor is located in the operating cab, or otherwise has knowledge of the signal indication.
2. Failure to take appropriate action to prevent the locomotive engineer of the train the conductor is assigned to from failing to adhere to the following limitations concerning train speed:

When the conductor is located in the operating cab and the speed at which the train was operated exceeds the maximum authorized limit by at least 10 miles per hour. Where restricted speed is in effect, railroads shall consider only those violations of the conditional clause of restricted speed rules (*i.e.*, the clause that requires stopping within one half of the locomotive engineer's range of vision), or the operational equivalent thereof, which cause reportable accidents or incidents, except for accidents and incidents that are classified as "covered data" under §225.5.

When not in the operating cab, the conductor is deemed to have taken appropriate action when in compliance with all applicable Railroad Operating Rules and Special Instructions.

3. Failure to perform or have knowledge that a required brake test was performed pursuant to the Class I, Class IA, Class II, Class III, Transfer Train or Running Brake Test provisions of §232 (Brake System Safety Standards for Freight and Other Non-Passenger Trains Equipment; End-of-Train Devices) or §238 (Passenger Equipment Safety Standards).

SECTION 6: Procedures for the Routine Administration of the Conductor Certification Program (cont.)

4. Failure to take appropriate action to prevent the locomotive engineer of the train the conductor is assigned to from occupying main track or a segment of main track without proper authority or permission.
5. Failure to comply with prohibitions against tampering with locomotive mounted safety devices; knowingly fail to take appropriate action to prevent the locomotive engineer of the train the conductor is assigned to from failing to comply with prohibitions against tampering with locomotive mounted safety devices; or knowingly fail to take appropriate action to prevent the locomotive engineer of the train the conductor is assigned to from operating or permitting to be operated a train with an unauthorized disabled safety device in the controlling locomotive.
6. Failure to comply with the requirements for shoving or pushing movements. Railroads shall only consider those violations which cause reportable accidents or incidents, except for accidents and incidents that are classified as "covered data".
7. Failure to comply with the requirements for leaving rolling and on-track maintenance-of-way equipment in the clear. Railroads shall only consider those violations which cause reportable accidents or incidents, except for accidents and incidents that are classified as "covered data".
8. Failure to comply with the requirements for hand-operated switches, including crossover switches. Railroads shall only consider those violations which cause reportable accidents or incidents, except for accidents and incidents that are classified as "covered data".
9. Failure to comply with the requirements for additional operational requirements for hand-operated main track switches. Railroads shall only consider those violations which cause reportable accidents or incidents, except for accidents and incidents that are classified as "covered data".
10. Failure to comply with the requirements for additional operational requirements for hand-operated crossover switches. Railroads shall only consider those violations which cause reportable accidents or incidents, except for accidents and incidents that are classified as "covered data".
11. Failure to comply with the requirements for hand-operated fixed derails. Railroads shall only consider those violations which cause reportable accidents or incidents, except for accidents and incidents that are classified as "covered data".
12. Failure to comply with the requirements of §219.101 (Alcohol and Drug Use Prohibited).

SECTION 6: Procedures for the Routine Administration of the Conductor Certification Program (cont.)

Denial of Certification

Metra shall notify the individual for certification or recertification of information known to the railroad that may form a basis for denying the person certification and provide the individual reasonable opportunity to explain or rebut the adverse information in writing prior to denying certification. Metra shall provide the employee with any written statements, related to failure to meet a requirement of this part which support its pending denial decision.

Selection of Qualified Instructors

The railroad will ensure that only Qualified Instructor's, as defined below, are used during the on-the-job training of conductors. The instructors must demonstrate to the railroad that they possess an adequate knowledge of the subjects under instruction and, where applicable, have the necessary operating experience to effectively instruct in the field.

Qualified Instructor means a person who has demonstrated, pursuant to the railroad's written program, an adequate knowledge of the subjects under instruction and, where applicable, has the necessary operating experience to effectively instruct in the field and has the following qualifications:

1. Is a certified Conductor.
2. Has been selected as such by a designated RR officer, in concurrence with the designated employee representative, where present, or,
3. In absence of concurrence provided in paragraph two of this definition, has a minimum of twelve months service working as a train service employee.

Use of Simulators

This railroad may utilize simulators, computer based training or e-learning in the classroom portion of training. Electronic based education is included in time allocated to the classroom portion of training.