

Rules Compliance

Key Elements

Rule Compliance

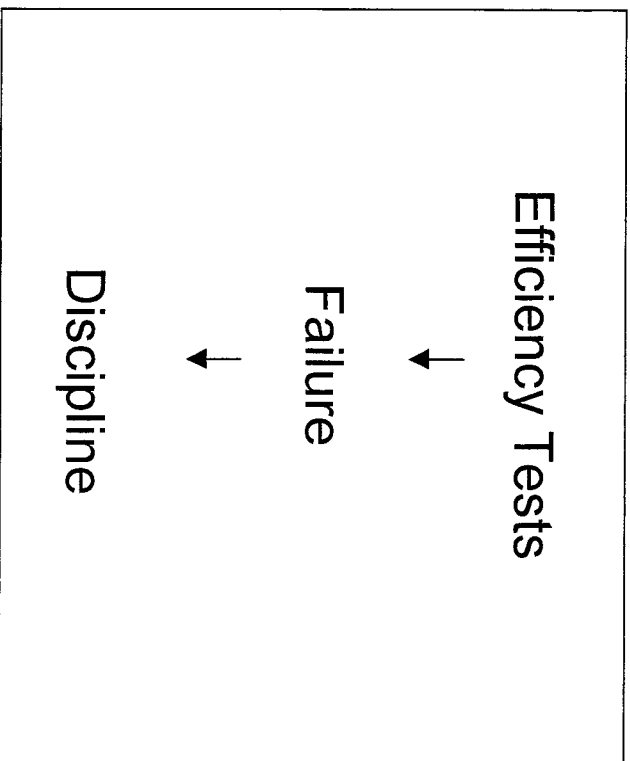
- **FTX**
 - Coaching / Feedback
 - Opportunities for improvement before discipline
 - Ability to earn points to extend eligibility
- **Discipline**
 - Retained Progressive nature of UPGRADE
 - Standardized discipline assessment based on level of rule
 - Progressive discipline based on record and level of infraction
 - Retention periods to clean record
 - Retained key elements of UPGRADE revisions
 - Coaching
 - Informal conference
 - Education/training
 - Provides option of reduced time away from work for L3 and L4

Rules Compliance

- FTX Changes
 - Maintained fundamental elements
 - *Broadened eligibility criteria*
 - *Ability to enhance eligibility*
 - *Rule exceptions*
- Discipline Policy Revision
 - *One policy*
 - Standardized and Progressive
 - Coaching, Counseling, Training & Education
 - Retention periods
 - *New level*

Rules Compliance

(Pre-FTX)



Rules Compliance Continuum



ETests



Failure



Discipline



FTX



Failure



Coaching

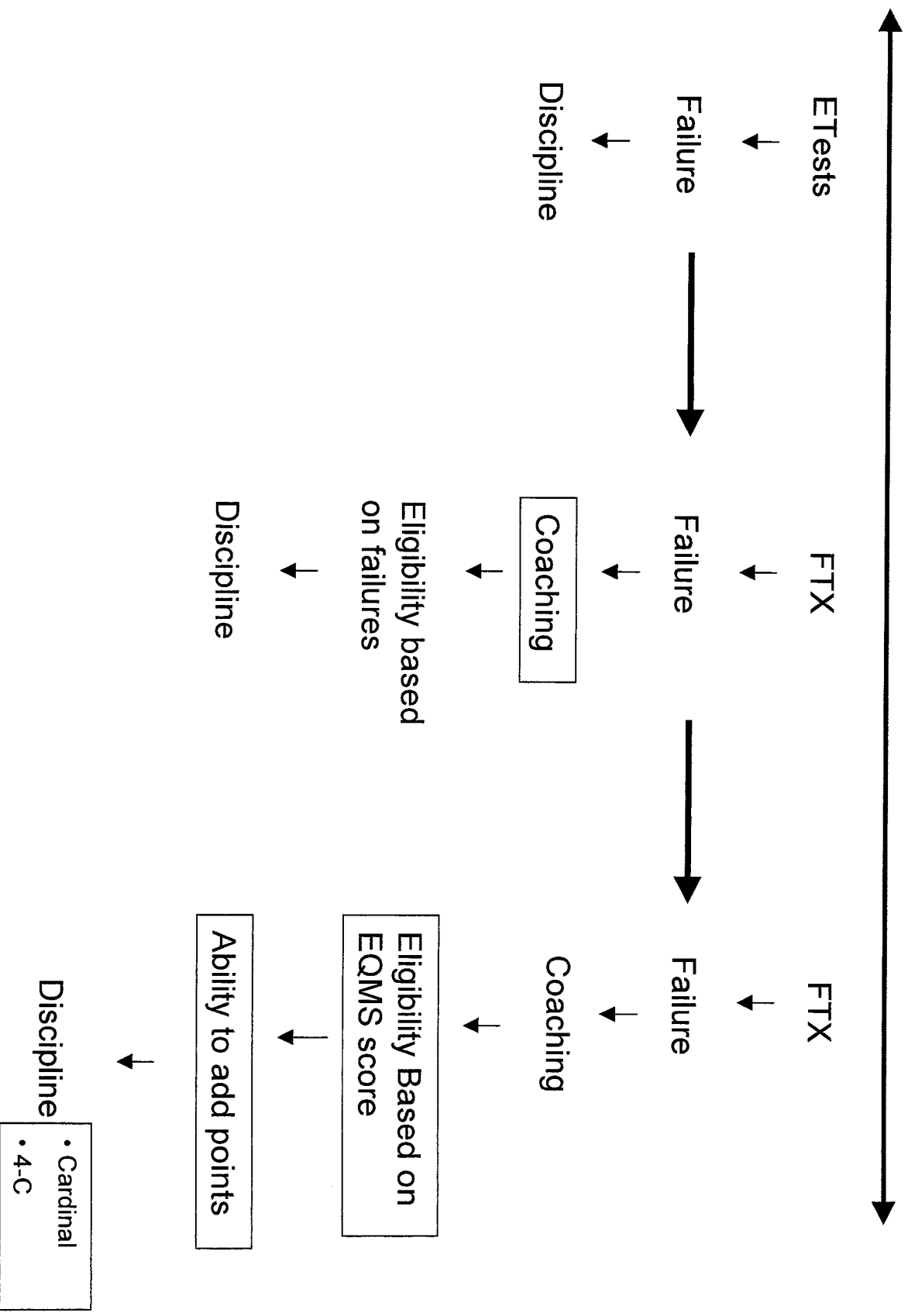


Eligibility based
on failures



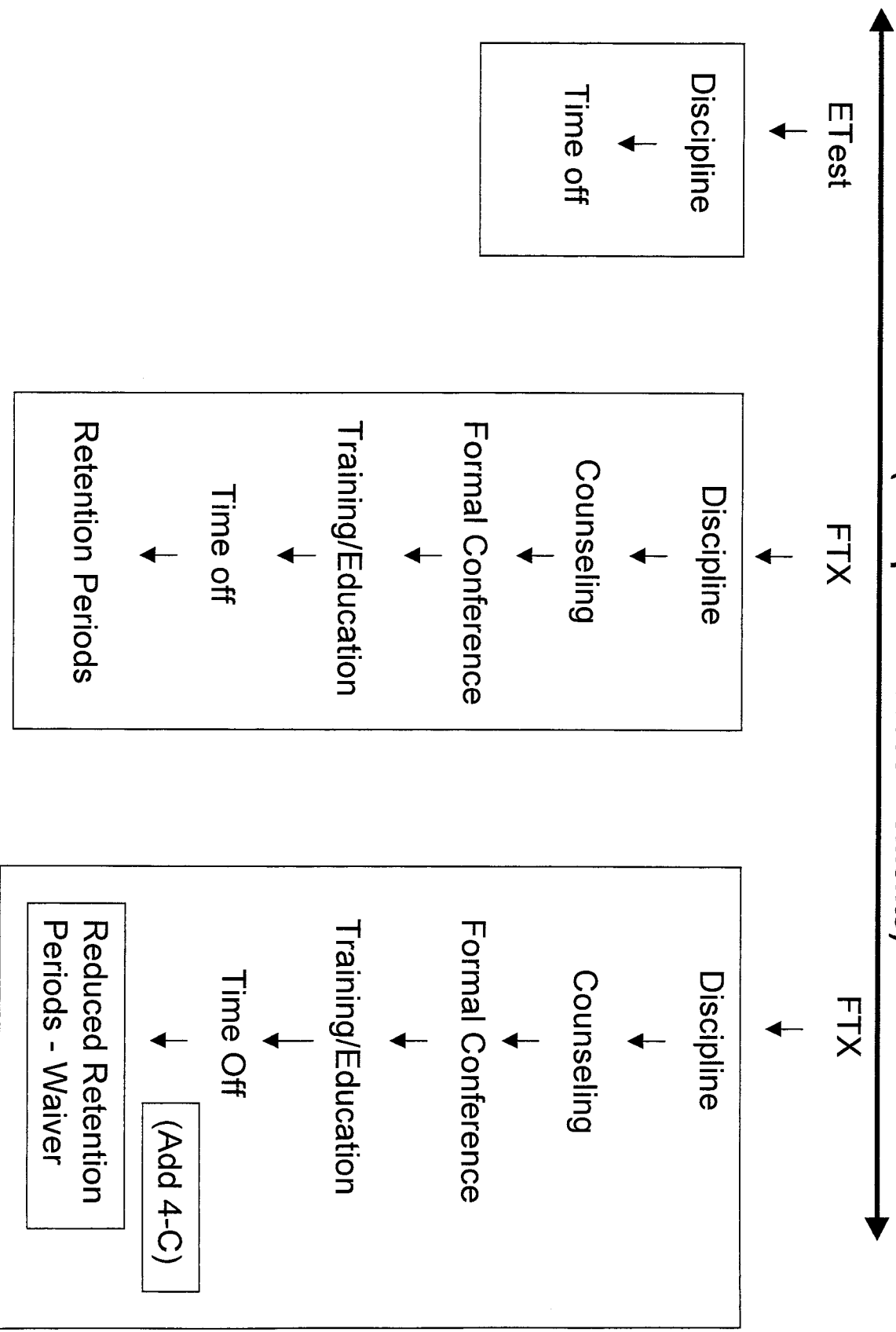
Discipline

Rules Compliance Continuum



Rules Compliance Continuum

(Discipline Process Elements)



4-C Rules

- **1.47 Failure to Maintain Conductors Log**
 - (Missing Multiple Entries)
- **6.3 Main Track Authorization**
 - (Resulting in FRA Decertification Event)
- **6.27 Restricted Speed**
 - (Resulting in FRA Decertification Event)
- **6.5 Handling cars Ahead of Engine**
 - (Unprotected shove)
- **7.6 and 32.1, 32.1.1, 32,1,2, 32.1.3 Securing Cars or Engines**
 - (Resulting in Uncontrolled Movement)
- **8.3 Switch left in Other Than Normal Position in Non signaled Territory**
- **9.5 Where Stop Must Be Made (except Rule 9.5.5)**
 - (Resulting in FRA Decertification Event)
- **15.2 Protection by Track Bulletin Form B**

FORMAL CONFERENCING / TRAINING

Date: _____ Name: _____

Employee ID: _____

Check One:

___ Conference (L 2)

___ Training (L 3-4)

Mr. / Ms. _____

_____ This is to confirm our conference on _____, 20____, at

_____ AM / PM at _____ in connection with events

described below: _____ (location)

Description of Event: _____

Rule(s) Discussed: _____

___ I agree to have a conference.

___ I decline to have a conference.

___ I agree to training

___ I decline training.

Employee Signature _____ Manager's Signature _____

Title _____

Note: The Discipline Policy will recognize a Level 4 disciplinary diversion event as a Level 4 violation for the purpose of assessing discipline in the event that the employee is determined to be responsible for committing a subsequent Level 4 violation within 24 months following the date of the first Level 4 occurrence.

Revised Discipline

- **Single, system-wide policy**
- **Formal Coaching for L1 incidents: 3 in six months = Failure to comply (L2)**
- **Informal Coaching - By Manager in field**
- **L2 Formal Conferencing - At manager's discretion**
- **L3, 4 Training / Education - At Superintendent's discretion**
- **New '4-C' level - 180 suspension**
- **Labor representation at Formal Conference at employee's request**
- **Reduced retention levels with waiver**
- **L3 discipline - Up to 5 day suspension or up to one day's training**
- **L4 discipline - 30 days suspension or up to 5 days training**
- **Some rules moved from L2 to L3 and L3 to L4**
- **Periodic review of policy**

Level 1 Coaching Session

Date: _____ Employee Name: _____

Employee ID: _____ Manager Name: _____

Manager Title: _____

Description of Event: _____

Rule(s) Discussed: _____

Previous Level 1 coaching session(s) in last six months _____

NOTE: This form is to be used for Level 1 coaching events. The third level 1 violation in a six month period will result in a disciplinary charge of violating Rule 1.13 – Complying with Instructions.