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To: Operating General Chairmen

From: Dennis Duffy *Dennis*

RE: System implementation of Field Training Exercise Program (FTX)

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JTU (T & S)
GENERAL COMMITTEE

As many of you are aware, during the last year the Utah Service Unit piloted a new approach to administering efficiency tests.

The new approach is known as "FTX", which stands for "Field Training Exercise". It is based on promoting education and understanding of rules through a process of discussion between managers and the employee(s) involved in an efficiency test.

Many of you have commented favorably about FTX and have asked that it be expanded to the rest of the system. This letter is to inform you that the decision has been made to implement the program on the rest of the system effective January 1, 2003.

Enclosed is a copy of "FTX Guidelines", setting forth the details of the program. Between now and January 1, these guidelines will be distributed to the Regions for their use in preparing to implement the program.

I believe FTX is another example of what we can do together to improve our culture and make Union Pacific the safest railroad in the country. I hope you will support this effort by communicating the program to your local chairmen between now and January 1. Of course there will also be company communications to the employees between now and then.

Field Training Exercise (FTX) Program Q & A

Q: What is FTX?

A: FTX or Field Training Exercise Program, is a new approach for dealing with employees after a test is performed. After all set-up tests, a debriefing is held with the employee/crew to discuss the test, the employees' performance, the rules involved in the test, and any corrective actions that need to be made.

Q: Where did FTX start?

A: FTX began as a pilot on the Utah Service Unit. After listening to a group of Air Force flight officers (Afterburners) discuss how they debriefed each flight mission, it was decided to use a similar approach during testing. The purpose of the flight mission debriefing was to ensure that mistakes were identified and discussed and that appropriate action was taken to prevent the mistakes in the future.

Q: Explain the rationale of debriefing

A: The idea of debriefing is to place emphasis on learning and improvement and not discipline. Rather than immediately invoking the disciplinary process after a failure, a briefing is used as a tool to improve performance. By discussing the test and the employee actions during the test, without pointing fingers, people can focus on what needs to be done for improvement vs. defending the actions that were not appropriate. The idea of debriefing is to talk through the test and the employees' performance (right or wrong) and learn from the discussion so that the same mistake(s) will not be made in the future.

Q: Does a debriefing occur after every test?

A: Yes, after every set-up test. If the employees conducted themselves properly, the manager reinforces the appropriate behaviors during the debriefing. If the employees failed the test, the manager and the employees talk through the test and the applicable rules to ensure a proper understanding.

Q: Sometimes we do not want to let crews know we are testing. If we stop the train or the employees, all other crews will likely know that we are there.

A: This is true and is one of the changes that come with this process. Remember, we are not out there to catch employees doing things wrong. We are out there to assess whether our employees know the rules. If they comply with the rules they should be recognized. If they do not comply, we want to make sure they understand the rules first, and then make sure they clearly understand the importance of rules compliance.

Q: Are debriefings conducted after all "routine observation" tests ?

A: Not always. If failures are observed, a debriefing is required. It may be impractical to debrief in all cases when there are no failures. If no debriefing is held, managers must communicate the test and results to the employees by some suitable means, as soon as practicable.

Q: How does the FTX program fit with the disciplinary program?

A: The only difference is that debriefings (on-site and formal) are used in lieu of disciplinary action for failures, until such time that an employee becomes ineligible. All other causes for disciplinary action continued to be handled under the current disciplinary process.

Q: Does FTX Debriefing replace the diversion opportunities (Formal Conference or C.O.R.E.) under UPGRADE discipline process?

A: No. FTX has no affect on the discipline process. FTX only addresses how efficiency tests are handled prior to entering the discipline process. The FTX guidelines do describe when a failure causes an employee to move from FTX participation to the discipline process.

Q: Does a Level 4 test failure, handled under FTX, count toward the UPGRADE note which reads, "if an employee commits two Level 4 infractions within a 24-month period, the discipline will be assessed at Level 5.?"

A: No. Infractions handled under FTX have no impact on disciplinary handling.

Q: If an employee becomes ineligible for FTX, when can he/she be reinstated, and under what circumstances?

A: After 24 months with no test failures during that time period.

Q: What is involved with debriefing?

A: Discussion involving the employee(s) tested and the testing manager(s). The debriefing will take place after the test is completed at the location, or in close proximity to the location of the test. The intent of the field debriefing is to review the rule(s) tested, the intent and application of the rule(s), and the employee(s) performance relative to the testing event. All debriefings will utilize a debriefing checklist and affected employees will receive a completed copy of the checklist at the end of the debriefing.

Q: What is involved with formal debriefing?

A: The formal debriefing is a discussion involving the employee and the employee's supervising manager. The employee's local labor representative will also be invited to attend. The formal debriefing will be conducted at a suitable location allowing for privacy and open discussion as soon as practicable after the day of the failure. The formal debriefing is not a faultfinding exercise. It is intended to be an open discussion and will focus on root causes and corrective action needed to avoid future failures.

Q: What is labor's involvement in FTX?

A: We would like to have labor's involvement in communicating the FTX program to our employees and in the first week (rollout) of testing under FTX. In addition, labor will be invited to participate in formal debriefings and, periodically to review the progress of FTX.

Q: Are employees paid for a formal debriefing?

A: Yes

Q: Are labor reps paid to participate in a formal debriefing?

A: No

Q: How do we record FTX tests?

A: First, the manager completes a FTX debriefing form and provides copies to the crewmembers. This form is essentially a checklist that serves as an agenda for the discussion with appropriate space to record test information and key points taken from the debriefing. The manager will subsequently document the test using the JB T function in TCS, just as tests are currently documented.

Q: How is a failure handled if it occurs outside of testing (i.e. run through a red block and found by dispatcher or self-report)?

A: Same manner as present, using the current disciplinary process

Q: How do we know the FTX status of an employee before we debrief?

A: At this point, there is no automatic identifier to indicate an employee's eligibility. The manager must review the employee's record after each test to determine the employee's status. If, because of the most recent failure, an employee requires a formal debriefing or becomes ineligible, the manager should notify the employee. Similarly, if the employee was ineligible at the time of the test, the employee should be notified of any disciplinary action.

Q: How do we handle a situation in which a crew fails a test and one member of the crew is in the FTX program and the other member is ineligible due to previous failures?

A: This case is handled like any other debriefing. The on-site debriefing is conducted and the crew is told that each person's FTX status will be reviewed. If any further handling is required the employee will be advised.

Q: Can an employee elect not to contribute to the debriefing discussion?

A: We will not force an employee to participate in debriefings. However, if an employee declines to participate, the failure will be handled through the disciplinary process.

Q: How do I know whether debriefing, formal debriefing, or the disciplinary process is to be used for a test failure?

A: It depends on the type of rule involved in the failure and the number and types of failures in the last 24 months. See following table.

Rule infraction	1st failure	2 nd failure	3 rd failure
Level 1-3 *	On-site Briefing	Formal debriefing	Formal debriefing and ineligible for FTX for 24 months
Cardinal rule	On-site briefing	Formal debriefing and ineligible for FTX for 24 months	
Level 4 **	Formal debriefing. Next level 4 is handled through discipline process and employee becomes ineligible for FTX for 24 months.		

* If a second failure involves the same operating or safety rule as a previous failure within the past 24 months, the employee becomes ineligible for FTX for 24 months

** A level 4 does not disqualify an employee from FTX unless another level 4 occurs within 24 months or the employee's total failure count reaches three within 24 months.

- Over the past year, the Utah Service Unit has piloted a new approach in the way Efficiency Testing results are handled. This new approach, called 'Field Training Exercise Program' (FTX), utilizes a practice called 'debriefing' for promoting compliance with UPRR rules, policies, and instructions, and for handling instances of substandard performance. Debriefing involves discussion between the testing manager(s) and the tested employee(s) and promotes education and understanding in lieu of the current practice of invoking disciplinary action for a test failure. Because of the success of this t, FTX will now be expanded to other service units. Following is a summary of the FTX process.

Notification of testing results

- Employees will be informed of their performance after all tests and observations, regardless of whether performance is within or outside of acceptable standards. For tests involving routine observations, crews will be informed of their performance by the most expedient method, when practicable. This may include direct follow-up discussion or subsequent contact/notification by the manager. For Structured Simulations (Set-up tests), crews will be debriefed at the scene.

Performance below standard

- If, within any 24-month period, an employee has a second failure of a testing event involving rules associated with UPGRADE levels 1 – 3, the employee will be required to participate in a Formal Debriefing to discuss the employee's performance. In the event of a third such failure within a 24-month period, the employee will receive a second Formal Debriefing and will thereafter be ineligible for debriefing for a minimum period of 24 months from the date of the most recent event. Exception: If, within a 24 month period, a second testing event failure involves the same operating or safety rule as a previous failure, or a second cardinal rule, the employee will participate in a Formal Debriefing and will thereafter be ineligible for debriefing for a minimum period of 24 months from the date of the most recent event
- For UPGRADE Level 4 and all FRA engineer decertification events, a Formal Debriefing will be held as soon after the event as practicable. In the event of a second such failure within a 24 month period, the employee will be subject to handling under the UPRR Discipline Policy and not eligible for further debriefing for a minimum period of 24 months from the date of the most recent event.
- Any combination of three failures within a 24-month period, regardless of level, will result in ineligibility from FTX for a period of 24 months following the date of the most recent failure.
- Handling of certain rules infractions (i.e. decertifiable event), as dictated by Federal Regulations, remains unchanged.
- If the employee becomes ineligible from participating in the FTX process due to test failure(s), any subsequent test failures during the period of ineligibility will be handled according to the existing disciplinary process. The employee may regain eligibility to the FTX process if he/she works failure free for 24-months following the date of the most recent failure.

Debriefing

- Discussion involving the employee(s) tested and the testing manager(s). The debriefing will take place after the test is completed at the location, or in close proximity to the location of the test.
- The intent of the field debriefing is to review the rule(s) tested, the intent and application of the rule(s), and the employee(s) performance relative to the testing event.
- All debriefings will utilize a debriefing checklist and affected employees will receive a copy of the checklist at the completion of the debriefing.

Formal Debriefing

- Discussion involving the employee and the employee's supervising manager. The employee's local labor representative will also be invited to attend. The formal debriefing will be conducted at a suitable location allowing for privacy and open discussion as soon as practicable after the day of the failure.
- The formal debriefing is not a fault-finding exercise. It is intended to be an open discussion and will focus on root causes and corrective action needed to avoid future failures.

* If an employee declines to participate in a debriefing, the failure will be handled through the disciplinary process.

FTX Implementation

- During the introductory period, local chairmen are encouraged to accompany managers on tests. If a situation arises in which an employee is subject to a disciplinary hearing, local chairmen will not be called as witnesses in any hearing.

FTX
Field Debriefing Form

DRAFT

- Performance to Standard (Act 1)
- Performance below standard (Act 2/3)
- Date/time:
- SU:
- Subdiv:
- MP:
- Testing Manager:
- Assisting Manager:
- Review the test conducted
- Review of rules covered by test
- Employee: _____ Occupation: _____ SSN _____
Test: ___ Rule: _____ Act ___ Test: ___ Rule: _____ Act ___ Test: _____ Rule: _____ Act ___
- Employee: _____ Occupation: _____ SSN: _____
Test: ___ Rule: _____ Act ___ Test: ___ Rule: _____ Act ___ Test: _____ Rule: _____ Act ___
- Employee: _____ Occupation: _____ SSN: _____
Test: ___ Rule: _____ Act ___ Test: ___ Rule: _____ Act ___ Test: _____ Rule: _____ Act ___

Routine observation ____
Structured simulation ____
Visibility: (Dawn, Day, Dusk, Dark)
Weather: (Clear, Cloudy, Fog, Rain, Snow, Sleet)
Train/Job ID: _____
Joint Test: _____ : Foreign RD _____
RCL ____
Test Type: ___ Safety: ___ Fuel: ___ Quality

Discussion of test observations

Employee comments regarding test

Discussion of corrective action, if necessary

Explanation of FTX guidelines and status review

Signatures: Employees and managers:

FTX Formal Debriefing Checklist

- Explain FTX process
- Explain Formal Debriefing
- Explain reason for Formal Debriefing
- Review of the test failures leading up to the Formal Debriefing
- Employee comments

- Corrective action for eliminating failures

- FTX eligibility and handling of future failures

Date: _____

Employee: _____

Manager: _____

Labor representative: _____