The Alton & Southern Railway Company

East St. Louis, Illinois

Timetable No. 5

Effective 0001, Friday
March 15, 2013

PB-27015AS

EA Adelman – General Manager
JS McGuire – Transportation Superintendent
RE Wulff – Mechanical Superintendent
DR Thompson – Director Track Maintenance
LR Barton – Director Security and Risk Management
Operating Practices
WD Penberthy - Senior Manager of Operating Practices
MW Taylor – Manager of Operating Practices

Operations
SM Augustine – Assistant Superintendent
JM Chiumento – Assistant Superintendent
WJ Crane - Manager of Train Operations
DJ Brueck - Manager of Train Operations
JL Hessling - Manager of Train Operations
BE Wilkins - Manager of Yard Operations
JL Unger - Manager of Yard Operations
SV Winters - Manager of Yard Operations

Clerical
AL Reinsch - Terminal Manager

Engineering
JW Pratt - Manager Track Maintenance

Signal
RL Pratt - Manager Signal & Communications

Mechanical
DH Graessle – Manager Mechanical Maintenance
<table>
<thead>
<tr>
<th>Mile Post</th>
<th>Track Layout</th>
<th>Rule 6.3</th>
<th>South Stations</th>
<th>North Stations</th>
<th>Siding Feet</th>
</tr>
</thead>
<tbody>
<tr>
<td>21.00</td>
<td>YL</td>
<td></td>
<td>LENOX</td>
<td></td>
<td></td>
</tr>
<tr>
<td>20.71</td>
<td></td>
<td></td>
<td>MITCHELL</td>
<td></td>
<td></td>
</tr>
<tr>
<td>19.95</td>
<td>DTC SM</td>
<td></td>
<td></td>
<td></td>
<td>#6 (7597')</td>
</tr>
<tr>
<td>19.16</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>#5 (3325')</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>#1 (3590')</td>
</tr>
<tr>
<td>17.47</td>
<td>DTC 2MT</td>
<td></td>
<td>SCHOOL HOUSE JCT.</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>N/E AA SIDING</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>N/E CNW YARD</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>S/E CNW YANRD</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>S/E AA SIDING</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>NSGC</td>
<td></td>
<td></td>
</tr>
<tr>
<td>14.56</td>
<td></td>
<td></td>
<td>NKP JCT</td>
<td></td>
<td></td>
</tr>
<tr>
<td>14.47</td>
<td>DTC SM</td>
<td></td>
<td>BEELMAN</td>
<td></td>
<td></td>
</tr>
<tr>
<td>13.58</td>
<td></td>
<td></td>
<td>DOUBLE TRACK JCT.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>10.70</td>
<td>DTC 2MT</td>
<td></td>
<td>LONG SIDING</td>
<td></td>
<td></td>
</tr>
<tr>
<td>10.44</td>
<td></td>
<td></td>
<td>PETRA</td>
<td></td>
<td></td>
</tr>
<tr>
<td>9.78</td>
<td></td>
<td></td>
<td>HN CABIN</td>
<td></td>
<td></td>
</tr>
<tr>
<td>9.67</td>
<td></td>
<td></td>
<td>EXERMONT CONNECTION</td>
<td></td>
<td></td>
</tr>
<tr>
<td>9.50</td>
<td></td>
<td></td>
<td>EXERMONT Crossover</td>
<td></td>
<td></td>
</tr>
<tr>
<td>9.27</td>
<td></td>
<td></td>
<td>CSXT CONNECTION</td>
<td></td>
<td></td>
</tr>
<tr>
<td>9.10</td>
<td></td>
<td></td>
<td>FOREST BLVD. CROSSOVERS</td>
<td></td>
<td></td>
</tr>
<tr>
<td>7.39</td>
<td>YL</td>
<td></td>
<td>GATEWAY CO-PACKING</td>
<td></td>
<td></td>
</tr>
<tr>
<td>7.03</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6.47</td>
<td></td>
<td></td>
<td>NE 3RD RAIL</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.50</td>
<td></td>
<td></td>
<td>SOUTHERN CROSSING</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.20</td>
<td></td>
<td></td>
<td>GATEWAY YARD</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
### SI-01 Main Track Authority

Movements on Main Tracks North of Gateway Yard must not be made without authority from Crest Yardmaster.

**DTC in effect between:**

<table>
<thead>
<tr>
<th>MP 11.00</th>
<th>MP 19.00</th>
</tr>
</thead>
</table>

**Yard Limits in effect between:**

<table>
<thead>
<tr>
<th>MP 4.20</th>
<th>MP 11.00</th>
</tr>
</thead>
<tbody>
<tr>
<td>MP 19.00</td>
<td>MP 20.90</td>
</tr>
</tbody>
</table>

### SI-02 Maximum Speed Table

<table>
<thead>
<tr>
<th>Maximum Speed</th>
<th>MPH</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Between MP 4.20 and MP 21.00</strong></td>
<td></td>
</tr>
<tr>
<td>(Except as Below)</td>
<td>30</td>
</tr>
<tr>
<td>MP 4.20 to MP 10.00 (MT No. 1 and MT No. 2)</td>
<td>20</td>
</tr>
<tr>
<td>MP 14.70 to MP 14.90 (MT No. 1)</td>
<td>20</td>
</tr>
<tr>
<td>MP 19.10 to MP 20.90</td>
<td>20</td>
</tr>
</tbody>
</table>

### SI-03 Other Speed Restrictions

<table>
<thead>
<tr>
<th>Maximum Speed</th>
<th>MPH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Other than Main Track:</td>
<td></td>
</tr>
<tr>
<td>(Except as below)</td>
<td>10</td>
</tr>
<tr>
<td>Cahokia Industrial Lead</td>
<td>15</td>
</tr>
</tbody>
</table>

| Thru Sidings and Turnouts:  |
| (Except as below) | 10 |
| Double Track Jct | 30 |
| NKP Jct | 30 |
| School House Jct | 30 |

| Misc. Speed Restrictions:  |
| Rip Runner | 5 |
| A thru F Track | 5 |
SI-04 Main Track Designations
Two Main Tracks between MP 4.20 and MP 13.58 and MP 14.56 and MP 17.47 designated as:

<table>
<thead>
<tr>
<th>No. 1 Track</th>
<th>No. 2 Track</th>
</tr>
</thead>
</table>

SI-05 Milepost Equations
MP 17.47 No.1 Main = MP 17.36 No.2 Main

SI-06 DTC Designated Blocks

<table>
<thead>
<tr>
<th>BLOCK NAME</th>
<th>TRACK</th>
<th>MILEPOST</th>
</tr>
</thead>
<tbody>
<tr>
<td>Van</td>
<td>No. 1</td>
<td>MP 11.00 to MP 13.50</td>
</tr>
<tr>
<td>Mack</td>
<td>No. 2</td>
<td>MP 11.00 to MP 13.50</td>
</tr>
<tr>
<td>Troy</td>
<td>Single</td>
<td>MP 13.65 to MP 14.40</td>
</tr>
<tr>
<td>Granite</td>
<td>No. 1</td>
<td>MP 14.63 to MP 17.40</td>
</tr>
<tr>
<td>CNW</td>
<td>No. 2</td>
<td>MP 14.63 to MP 17.40</td>
</tr>
<tr>
<td>Pontoon</td>
<td>Single</td>
<td>MP 17.54 to MP 19.00</td>
</tr>
</tbody>
</table>

SI-07 RCL Operations
The Alton Southern Railway Company Gateway Yard is a designated remote control area. RCL Operations on Gateway Subdivision must be governed by ABTH rule 35.7.1.

SI-08 Rules Items

Rule 5.4.4
Applies 8.20: North and South end AA Siding, No. 1 Mitchell, and No. 5 Mitchell:
Derails locked in non-derailing position, except when engines or cars are left unattended.

SI-09 FRA Excepted Track
None

SI-10 Business Tracks

<table>
<thead>
<tr>
<th>Track Name</th>
<th>Direction</th>
<th>MP</th>
<th>Sta. #</th>
</tr>
</thead>
<tbody>
<tr>
<td>Southern (X) NS (A)</td>
<td></td>
<td>4.51</td>
<td>AS006</td>
</tr>
<tr>
<td>MEI (Ore Co.)</td>
<td>N-3rd Rail</td>
<td>4.77</td>
<td>AS006</td>
</tr>
<tr>
<td>Solvay Flouride (Ore Co.)</td>
<td>N-3rd Rail</td>
<td>4.77</td>
<td>AS006</td>
</tr>
<tr>
<td>Progress Rail</td>
<td>N-3rd Rail</td>
<td>5.01</td>
<td>AS006</td>
</tr>
<tr>
<td>Gateway Co-Packaging</td>
<td>Both-No.2 Main</td>
<td>7.21</td>
<td>AS006</td>
</tr>
<tr>
<td>General Chemical</td>
<td>N-Long Siding</td>
<td>9.88</td>
<td>AS010</td>
</tr>
<tr>
<td>Long Siding</td>
<td>Both-No.1 Main</td>
<td>10.32</td>
<td>AS010</td>
</tr>
<tr>
<td>Petra East</td>
<td>S-East No.2 Main</td>
<td>10.45</td>
<td>AS010</td>
</tr>
<tr>
<td>Petra West</td>
<td>S-Long Siding</td>
<td>10.66</td>
<td>AS010</td>
</tr>
<tr>
<td>Beelman</td>
<td>S-Single Main</td>
<td>14.47</td>
<td>AS014</td>
</tr>
<tr>
<td>NSGC</td>
<td>N-No.1 Main</td>
<td>14.93</td>
<td>AS014</td>
</tr>
</tbody>
</table>
SI-11 Cahokia Industrial Lead

TRRA West Belt Dispatcher governs movement on Oil Works Lead between Valley Jct. and Sauget.

TRRA Oil Works Lead (MP 4.0) is equal to Sauget (MP 1.86).

Cahokia Industrial Lead extends from Sauget (MP 1.86) to ALS Port Terminal (MP 0.00)

MP Equation: MP 0.25 = MP 0.0

Contact ALS Bowl Yardmaster to line Power Switch at Sauget MP 1.86.

Maximum Speed

MP 1.86 – MP 1.80 …………………………………………………………………………………………………………10 MPH

Rules Item

None

<table>
<thead>
<tr>
<th>Business Tracks</th>
<th>Direction</th>
<th>MP</th>
<th>Sta.#</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cerro Copper</td>
<td>(N)</td>
<td>1.50</td>
<td>AS002</td>
</tr>
<tr>
<td>Solutia</td>
<td>(S)</td>
<td>1.15</td>
<td>AS002</td>
</tr>
<tr>
<td>Center Ethanol</td>
<td>(S)</td>
<td>1.00</td>
<td>AS002</td>
</tr>
<tr>
<td>TRRA Crossing (Conologue)</td>
<td>(X)(A)</td>
<td>0.83</td>
<td>AS002</td>
</tr>
</tbody>
</table>

ALS Port Terminal

Begins MP 0.0

ALS Port Terminal on Radio display 7878.

Attempt to contact 3rd party switcher on channel 7878 prior to passing Rt. 3. If unable to secure response be governed by rule 6.28.

Rules Item

Rule 8.20: Fixed Derails located S/E Gateway Terminal, N/E Cahokia Grain and N/E Gavilon Yards.

<table>
<thead>
<tr>
<th>Terminal</th>
<th>Location</th>
<th>MP</th>
<th>Sta.#</th>
</tr>
</thead>
<tbody>
<tr>
<td>Gateway Terminal</td>
<td>(Yard)</td>
<td>0.00</td>
<td>AS000</td>
</tr>
<tr>
<td>Gavilon</td>
<td>(Cargill Yard)</td>
<td>0.00</td>
<td>AS000</td>
</tr>
<tr>
<td>Granite Grain/Cahokia Grain</td>
<td>(River Yard)</td>
<td>0.00</td>
<td>AS000</td>
</tr>
<tr>
<td>American Milling Terminal</td>
<td>(Loop)</td>
<td>0.00</td>
<td>AS000</td>
</tr>
</tbody>
</table>

SI-12 Tonnage Restrictions

None

SI-13 Train Make-up Restrictions

None
### SI-14 Misc. Instructions

#### Gateway Subdivision

Yard Limits/ABS between MP 7.9 and MP 8.4: (be governed by 6.13 2\textsuperscript{nd} paragraph)

<table>
<thead>
<tr>
<th>Aspect</th>
<th>Indication</th>
</tr>
</thead>
<tbody>
<tr>
<td>Green</td>
<td>Proceed</td>
</tr>
<tr>
<td>Red</td>
<td>Stop and proceed at restricted speed.</td>
</tr>
</tbody>
</table>

#### Dual Control Switches controlled by HN Cabin Operator

<table>
<thead>
<tr>
<th>Location</th>
<th>MP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Forest Blvd. Crossover</td>
<td>9.11</td>
</tr>
<tr>
<td>CSX Connection</td>
<td>9.27</td>
</tr>
<tr>
<td>Exermont Crossover</td>
<td>9.52</td>
</tr>
<tr>
<td>Exermont Connection</td>
<td>9.67</td>
</tr>
</tbody>
</table>

#### Dual Control Switches controlled by Crest Yardmaster

<table>
<thead>
<tr>
<th>Location</th>
<th>MP</th>
</tr>
</thead>
<tbody>
<tr>
<td>NS Southern Horn</td>
<td>4.39</td>
</tr>
<tr>
<td>3\textsuperscript{rd} Rail north</td>
<td>5.21</td>
</tr>
<tr>
<td>Lake Drive Crossover</td>
<td>5.80</td>
</tr>
<tr>
<td>Hill Brick Crossover</td>
<td>7.00</td>
</tr>
<tr>
<td>A/B Crossover at Forest</td>
<td>9.10</td>
</tr>
<tr>
<td>Double Track Jct.</td>
<td>13.58</td>
</tr>
<tr>
<td>Beelman</td>
<td>14.47</td>
</tr>
<tr>
<td>NSGC &amp; Derail</td>
<td>14.93</td>
</tr>
<tr>
<td>South End AA Siding</td>
<td>16.14</td>
</tr>
<tr>
<td>South End CNW</td>
<td>16.31</td>
</tr>
<tr>
<td>North End CNW</td>
<td>17.17</td>
</tr>
<tr>
<td>North End AA Siding</td>
<td>17.26</td>
</tr>
<tr>
<td>South End #6 Mitchell</td>
<td>19.16</td>
</tr>
<tr>
<td>South End #1 Mitchell</td>
<td>19.94</td>
</tr>
<tr>
<td>South End #5 Mitchell</td>
<td>19.97</td>
</tr>
<tr>
<td>North End #5 Mitchell</td>
<td>20.69</td>
</tr>
<tr>
<td>North End #6 Mitchell</td>
<td>20.71</td>
</tr>
<tr>
<td>Radio Displays</td>
<td></td>
</tr>
<tr>
<td>--------------------------------------</td>
<td>-------</td>
</tr>
<tr>
<td>Crest Yardmaster</td>
<td>4444</td>
</tr>
<tr>
<td>Bowl Yardmaster</td>
<td>1515</td>
</tr>
<tr>
<td>Hump Channel</td>
<td>5353</td>
</tr>
<tr>
<td>Car Department</td>
<td>7171</td>
</tr>
<tr>
<td>Maintenance of Way/Signal</td>
<td>6969</td>
</tr>
<tr>
<td>UP Chester Sub</td>
<td>9696 TONE *34</td>
</tr>
<tr>
<td>UP Dupo Yardmaster</td>
<td>2424</td>
</tr>
<tr>
<td>UP Yard Channel</td>
<td>3232</td>
</tr>
<tr>
<td>TRRA West Belt Dispatcher</td>
<td>2626</td>
</tr>
<tr>
<td>NS Southwest Dispatcher (Coapman)</td>
<td>5656 TONE *351</td>
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<tr>
<td>NS Southwest Dispatcher (Mitchell)</td>
<td>9292 TONE *351</td>
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<tr>
<td>NS Yard Channel</td>
<td>7676</td>
</tr>
<tr>
<td>UP Lenox Operator</td>
<td>9090</td>
</tr>
<tr>
<td>KCS Operations</td>
<td>6060</td>
</tr>
<tr>
<td>C-Yard Switcher</td>
<td>8989</td>
</tr>
<tr>
<td>ALS Port Terminal</td>
<td>7878</td>
</tr>
<tr>
<td>CSXT Rose Lake Yardmaster</td>
<td>0808</td>
</tr>
<tr>
<td>CSXT IB Dispatcher</td>
<td>6464 TONE 7#</td>
</tr>
<tr>
<td>CSXT Nashville</td>
<td>5858 TONE 5</td>
</tr>
</tbody>
</table>
### SI-15 Gateway Yard

**Gateway Yard extends from MP 2.21 to MP 4.20**

- Trains entering from Valley Jct. enter at MP 2.21
- Trains entering from East Approach MacArthur Bridge enter at MP 3.0
- Trains entering from Gateway Sub enters at MP 4.20

**Gateway Yard is a designated Remote Control Area.**

Gateway Yard encompasses all tracks between MP 2.21 (Valley Jct.) and MP 4.20 (Gateway Yard).

### West End Gateway Yard

Authority must be received from Bowl Yardmaster for train movements at West End of Gateway and SSWL Yards.

**Bowl Yardmaster Controls all Dual Control Switches at the West End of Gateway Yard and West End of SSWL Yard**

### East End Gateway Yard

Authority must be received from Crest Yardmaster for train movements at East End of Gateway and SSWL Yards.

**Crest Yardmaster Controls all Dual Control Switches at the East End of Gateway Yard and East End of SSWL yard**

**Before lining dual control switch(s) by hand, authority must be obtained from Yardmaster in charge of switch.**

**St. Louis Horn:**

Engineer / RCO must use minimum throttle position to move entire train around St. Louis Horn. If necessary to increase throttle, the throttle must be increased no more than (1) notch at a time, allowing a twenty second delay between throttle changes for slack adjustment. Throttle must not be decreased more than (1) notch at a time to avoid slack from running in.

### Dual Control Switches Controlled by North Crest Operator

Authority must be received from North / South Crest Operator prior to occupying respective hump lead.

- Low Hump Crossover
- A / B Crossover
- C / D Crossover
<table>
<thead>
<tr>
<th>Explanation of Characters</th>
</tr>
</thead>
<tbody>
<tr>
<td>DTC</td>
</tr>
<tr>
<td>2MT</td>
</tr>
<tr>
<td>(A)</td>
</tr>
<tr>
<td>(B)</td>
</tr>
<tr>
<td>(M)</td>
</tr>
<tr>
<td>(X)</td>
</tr>
<tr>
<td>(YL)</td>
</tr>
<tr>
<td>(Y)</td>
</tr>
<tr>
<td>+</td>
</tr>
</tbody>
</table>

- **DTC**: Direct Traffic Control
- **2MT**: Double Main Track
- **(A)**: Automatic Interlocking
- **(B)**: Base Radio Station
- **(M)**: Manual Interlocking
- **(X)**: Railroad Crossing at Grade
- **(YL)**: Yard Limits
- **(Y)**: Yard
- **+**: Head – End Restriction Only
**Distance between Crossings Gateway Subdivision**

Southern – South Switch new crossover 3rd rail.................................................................................. 1500'
North Switch new crossover to clearance circuit N/E 3rd Rail.......................................................... 7950'
Lake Drive west track to N/E 3rd Rail clearance ............................................................................. 2950'
Southern – Lake Drive ....................................................................................................................... 6478'
Lake Drive – Hill Brick ...................................................................................................................... 5950'
Hill Brick – Bunkum ........................................................................................................................... 5885'
Bunkum – Forest .................................................................................................................................. 5113'
Forest – HN Cabin .............................................................................................................................. 2438'
HN Cabin – Collinsville ...................................................................................................................... 4300'
Collinsville – Route 111 ..................................................................................................................... 3700'
Route 111 – MP 13.50.......................................................................................................................... 9250'
Double Track Jct. – NKP Jct .............................................................................................................. 4650'
CNW block sign to 500’ mark Edwardsville Road ........................................................................ 6612'
CNW block Edwardsville Road to Mockingbird Lane 500’ marks .................................................. 5143'
Granite block sign to 500’ mark Edwardsville Road ...................................................................... 7350'
Granite block Edwardsville Road to Mockingbird Lane 500’ marks ............................................... 5388'
Mockingbird Ln. – Cargill Dr .......................................................................................................... 3540'
Cargill Dr. – Pontoon Rd .................................................................................................................. 1640'
Pontoon Rd. – Morrison Rd ............................................................................................................. 4544'
Morrison Rd. – E. Chain of Rocks Rd ............................................................................................ 4385'

**Distance between Crossings Cahokia Industrial Lead**

Valley Jct. – Falling Springs Rd........................................................................................................ 3504'
Falling Springs Rd. – Route ............................................................................................................. 2159'
Route 3 – Conologue ....................................................................................................................... 1376'
Conologue – East Switch Cargill Yard ............................................................................................. 4471'

**Granite City Yard**

AA Siding ........................................................................................................................................... 5491'
CNW # 1 ........................................................................................................................................... 3430'
CNW # 2 ........................................................................................................................................... 3430'

**Mitchell Yard**

Mitchell # 1 ....................................................................................................................................... 3590'
Mitchell # 5 ....................................................................................................................................... 3325'
Mitchell # 6 ....................................................................................................................................... 7597'
S/E #6 to Hose Reel ............................................................................................................................ 2100'
North Hose Reel to Clearance N/E #6.................................................................................................. 4450'

**Gateway Yard**

West End Third Rail – Southern Signal ............................................................................................. 4745'
Old Main (TRRA signal - #6 switch) ................................................................................................. 8600'
119 TRRA signal- Hand Throw crossover ......................................................................................... 7266'
Safety Hotline
Number
618-482-7786

Grade Crossing
Hotline
800-848-8715
AS AN EMPLOYEE ON THE ALTON AND SOUTHERN RAILWAY, YOU ARE EMPOWERED TO DO THE FOLLOWING:

1) **YOU** can refuse to line a defective switch or derail, take it out of service, tag it and call the proper authority (yardmaster, manager, etc.).

2) **YOU** can take an industry track out of service that has unsafe working conditions until items are corrected.

3) **YOU** can refuse to set or release a handbrake that is known to be defective.

4) **YOU** can bad order a rail car or locomotive with defective safety appliances, such as handholds, stirrups, walkway, etc.

5) **YOU** can stop and reevaluate any work process taking place when **YOU** feel the safety to yourself or others is in jeopardy.

6) **YOU** can refuse to ride in a crew transport vehicle that is unsafe, has a driver that you feel is impaired or is driving in an unsafe manner.

7) **YOU** are empowered to make the right decisions in complying with all the rules, regardless of circumstances.

8) **YOU** are empowered to refuse to work with anyone that is unsafe.

9) **YOU** are empowered to take responsibility for your safety.

**YOU** ARE EMPOWERED TO LEAVE THE WORKPLACE IN THE SAME CONDITION AS YOU ENTERED IT – INJURY FREE

“Safety – It’s **MY** Responsibility”
Alton & Southern Railway Company
Mechanical Department Employee
Empowerment Policy

AS AN EMPLOYEE ON THE ALTON AND SOUTHERN RAILWAY, YOU ARE EMPOWERED TO DO THE FOLLOWING:

1) **YOU** can refuse to perform an unsafe act.

2) **YOU** can refuse to use an unsafe vehicle

3) **YOU** can refuse to work with defective tools and equipment

4) **YOU** can refuse to line a defective switch or derail you can take it out of service, tag it and call the proper authority (supervisor or manager)

5) **YOU** are empowered to put safety ahead of production

6) **YOU** are empowered to make the right decision in complying with all the rules regardless of circumstances.

7) **YOU** are empowered to refuse to work with anyone that is unsafe

8) **YOU** are empowered to stop and reevaluate any work process taking Place when **YOU** feel your safety or others may be in jeopardy

9) **YOU** are empowered to make Safety your responsibility

**YOU ARE EMPOWERED TO LEAVE THE WORKPLACE IN THE SAME CONDITION AS YOU ENTERED IT – INJURY FREE**

Safety is MY Responsibility
THE ALTON AND SOUTHERN RAILWAY CO

ENGINEERING EMPLOYEE EMPOWERMENT STATEMENT

AS AN EMPLOYEE OF THE ALTON AND SOUTHERN ENGINEERING DEPARTMENT, YOU ARE EMPOWERED TO DO THE FOLLOWING

1. You are empowered to refuse to work with anyone that is unsafe.

2. You are empowered to report any unsafe condition or violations of any rule without repercussions.

3. You are empowered to refuse to perform any unsafe act, including any violation of the law or Alton Southern rules.

4. You are empowered to question a decision that might directly compromise your personal safety or the safety of others.

5. You are empowered to refuse to work with any tools (power or hydraulic etc.) that are known to be defective.

6. You are empowered to use good faith judgment to remove any equipment or vehicle from service that is not safe to operate or known to be defective.

7. You are empowered to stop any job or task that has not had a proper Job Briefing or has not been updated by a Job Briefing.

8. You are empowered to refuse to work on any track (yard or main) without the proper protection.

9. You are empowered to take responsibility for your work area and if conditions are unsafe you must stop work, until they have been corrected.

10. You are empowered to take responsibility for your own safety, if it’s not safe, don't do it!

IT IS MY RESPONSIBILITY TO:

ALWAYS KEEP MY MIND ON WHAT I AM DOING; A SPLIT SECOND OF INATTENTION CAN RESULT IN A SERIOUS INJURY...
Item 1 Time Comparison

Obtain Coordinated Universal Time (Greenwich Time) by calling:
- 8-544-4601
- 8-976-1111

Or

Use the following table to convert from Coordinated Universal Time:

<table>
<thead>
<tr>
<th>From the second Sunday in March until the first Sunday in November, convert to:</th>
<th>By Subtracting:</th>
<th>From the first Sunday in November until the second Sunday in March, convert to:</th>
<th>By Subtracting:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Central Daylight Saving Time</td>
<td>5 hours</td>
<td>Central Standard Time</td>
<td>6 hours</td>
</tr>
</tbody>
</table>
Item 2 Car Placement and Train Make-Up Restrictions

Item 2-A: Shipments of Excessive Height/Width

Position dimensional loads, excess high wide shipments and unusual shipments (including those identified as high value on the consist) that require close attention as close to the engine as possible, but no closer than the sixth car from an occupied engine or caboose when train length permits. When positioning a shipment, each platform/well of a multi-platform car is to be considered as one car.

The following must be considered when placing excessive dimension loads, unusual shipments that require close attention or high value loads:

- Equipment requiring handling on the rear end only.
- Train Make-Up requirements take precedence unless directed otherwise.

**Excessive Dimension Load**

The following classes of equipment will be covered by instructions from a Yardmaster and/or Manager:

- Excessive dimension load.

Or

- Other unusual shipments that require close attention.

An “**Excessive Dimension Load**” is any load with a width more than 12 feet. At least twelve hours ahead of the train's departure, local managers must notify Train Management of the train in which they would like to place the excessive dimension load. Excessive dimension loads may only be scheduled to the train by Train Management. Upon Train Management's approval, the train dispatcher will issue a wide load notification track bulletin:

- To the train that will handle the excessive dimension load.
- To trains that may meet, pass or be passed by the train handling the excessive dimension load.

If the conductor does not receive a track bulletin covering such shipments, notify the train dispatcher before moving the train.

**Dimensional Load**

A "**Dimensional Load**" is any load with a width of 11 feet 0 inches to 12 feet 0 inches, inclusive, as shown on the train consist. If the consist includes a dimensional load, the conductor must conduct a job briefing with the train dispatcher before moving the train, reviewing all operating restrictions for their route.

The conductor must notify other crew members of the presence of both excessive dimension loads and dimensional loads before movement of the train.
**Speed Restricted Areas**
Trains handling dimensional or excessive dimension loads must not exceed 30 mph until load is beyond restricted area. Train dispatcher may authorize normal speed when other trains are not in the area to be met or passed. Restricted areas will be listed in subdivision special instructions.

**Special Handling Guidelines for High Wide or High Value Loads**
When the train consist indicates there are High Wide or High Value Loads that require close attention in the train, the following governs:

Loads must:

- Be inspected by a Mechanical representative at time of interchange or release from an industry to ensure loads are properly braced and secured for safe damage-free transportation.
- Be positioned in a train in accordance with system and subdivision special instructions.
- Not remain in a consist during switching operations, except when necessary to properly position the car in train.
- Not be kicked or humped.
- Not have other cars kicked or humped against these loads.

The air brake system must be charged and used when spotting/pulling these loads.

At terminals, these loads must be set to a special hold track designated to hold/process such loads.
Item 2-B: Train Make-Up Requirements

1. Use the table below to determine general responsibility when a train does not meet train make-up requirements.

<table>
<thead>
<tr>
<th>Train Make-Up Does NOT Meet the Train Make-Up Requirements</th>
<th>Notify Train Dispatcher</th>
<th>Notify yardmaster or proper authority</th>
<th>Speed is not to exceed 45 MPH</th>
<th>Correct Condition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Train was received from another railroad.</td>
<td>Yes</td>
<td>Yes, if applicable.</td>
<td>Yes</td>
<td>As directed by the train dispatcher or at the first location train is scheduled to be switched.</td>
</tr>
<tr>
<td>Other trains (i.e. home terminal).</td>
<td>NA</td>
<td>Yes</td>
<td>NA</td>
<td>Train is not to leave terminal until condition corrected.</td>
</tr>
<tr>
<td>Placement error is discovered enroute.</td>
<td>Yes</td>
<td>NA</td>
<td>Yes</td>
<td>Correct condition at next available location.</td>
</tr>
</tbody>
</table>

**Note:** Trains (including trains received from another railroad) must meet train make-up requirements before entering code “H” territory.

### Car Placement Restrictions

**Trains Total Trailing Tonnage Exceeds 7,000 tons**

Rear 1/4 of the train must not weigh more than 1/3 of the total weight (i.e. a 100 car train weighing 9000 tons must not have more than 3000 tons in the rear 25 cars. Round up other than whole numbers; a 102 car train weighing 9002 tons must not have more than 3001 tons in the rear 26 cars).

**Exception:** This does not apply to:

- Trains made up entirely of cars weighing a minimum of 45 tons each.
- Solid loaded or solid empty unit bulk commodity trains.
- Trains made up entirely of intermodal equipment.

**Trains Total Trailing Tonnage Exceeds 5,500 tons but not more than 12,000 tons**

Place cars listed below no closer than the 11th car/platform behind the lead consist:

- Car that is 80 feet or longer and weighs less than 45 tons.
- Multi-platform/well cars having one or more empty platform/well cars.
- Autoracks weighing less than 60 tons, except when train consists entirely of autoracks.
<table>
<thead>
<tr>
<th><strong>Train Total Tonnage Exceeds 12,000 tons</strong></th>
<th>Place cars listed below no closer than the 16th car/platform behind the lead consist:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>• Car that is 80 feet or longer and weighs less than 45 tons.</td>
</tr>
<tr>
<td></td>
<td>• Multi-platform/multi-well cars having one or more empty platform/well cars.</td>
</tr>
<tr>
<td></td>
<td>• Conventional car which weighs less than 45 tons.</td>
</tr>
<tr>
<td></td>
<td>• Intermodal flatcar 80 feet or longer in length loaded with a single trailer or</td>
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<tr>
<td></td>
<td>container. This also applies to two unit, solid drawbar connected, twin</td>
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<tr>
<td></td>
<td>flatcars (186 feet in total length) with a single trailer/container on either</td>
</tr>
<tr>
<td></td>
<td>platform.</td>
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<tr>
<td></td>
<td>• Two-unit solid drawbar-connected long cars (P2) if the total weight of the car</td>
</tr>
<tr>
<td></td>
<td>is less than 120 tons.</td>
</tr>
<tr>
<td></td>
<td>• Three and four-unit solid drawbar-connected multi-platform/well cars (P3 /</td>
</tr>
<tr>
<td></td>
<td>P4) with any platform weighing less than 45 tons.</td>
</tr>
<tr>
<td></td>
<td>• Autoracks weighing less than 60 tons, except when train consists entirely of</td>
</tr>
<tr>
<td></td>
<td>autoracks.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Long Car/Short Car</strong></th>
<th>Do not couple freight cars 80 feet or longer to any car 45 feet or shorter when weight behind the coupling would exceed 3000 tons. However, this does not apply to:</th>
</tr>
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<tbody>
<tr>
<td></td>
<td>• A locomotive crane 45 feet or shorter when coupled to a boom idler car 80 feet or longer.</td>
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<tr>
<td></td>
<td>• A car listed in the TCS train consist as 80 feet and the consist does not show a train placement error.</td>
</tr>
</tbody>
</table>

**Note:** For purposes of this restriction, each unit of an articulated car is to be considered one car.

<table>
<thead>
<tr>
<th><strong>Rear End Only Equipment (see Note)</strong></th>
<th>Entrain equipment tagged, stenciled, billed or shown on the train consist as &quot;Rear End Only&quot; or &quot;Rear Rider&quot; as rear car of the train unless the mechanical department specifies that it must be the second car from the rear.</th>
</tr>
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<tbody>
<tr>
<td></td>
<td>This also includes the following equipment:</td>
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<tr>
<td></td>
<td>• Five platform solid drawbar cars (in series CN 677000-677139).</td>
</tr>
<tr>
<td></td>
<td>• Gondola cars in series AMGX that are solid-drawbar connected. On the TCS train consist; the symbol 2-P on AMGX cars indicates 2 platforms that are solid drawbar connected.</td>
</tr>
</tbody>
</table>

Passenger cars with initials MTDX must be placed in a train immediately ahead of the rear car of the train.

<table>
<thead>
<tr>
<th><strong>Heavy–Duty Flat Cars with 8 axles or more</strong></th>
<th>When gross weight of car exceeds 240 tons, at least one empty car must be positioned ahead of and behind the car.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Entrained Locomotives</strong></td>
<td>When locomotive(s) are entrained at rear of a train refer to Rule 31.7.1.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><em><em>Shoving Platforms</em> (see Note)</em>*</th>
<th>Move shoving platforms (caboose), only at the rear of the train. However, this requirement does not apply when handling less than 20 cars and not exceeding 2500 tons.</th>
</tr>
</thead>
</table>

**Note:** Helper Restriction

Any helper must be placed ahead of this equipment. When helper is located to pull less than ½ half the tonnage handled by the helper, the helper must be considered a rear end helper in regard to restricted car limits.
Item 3 Employee Information

Item 3-A Reference Documents

Employees must provide themselves with their own copy of the following and have them available for reference:

- This ALS Timetable #5 and Special Instructions document, which supersedes all previous Timetables and Special Instructions.
- Current general orders.

Note: There are 10 general orders in effect at any given time that employees are required to have. General orders are categorized as follows:

**TSSI 1–3** (1 Time Comparison; 2 Car Placement and Train Make-up Restrictions and 3 Employee Information)

**TSSI 4A–4B** (4-A General Code of Operating Rules and 4-B Remote Control Operations Instructions)

**TSSI 4C–4D** (4-C Air Brake & Train Handling Rules and 4-D Maintenance of Way Rules)

**TSSI 4E–4F** (4-E Safety Rules and 4-F Programs & Policies)

**TSSI 4G–4H** (4-G Inspecting, Welding and Grinding of Rail and Track Components and 4-H Chief Engineer Instruction Bulletins)

**TSSI 4I** (Hazardous Materials Instructions)

**TSSI 4J** (Mechanical Department)

**TSSI 5** (Operating with Foreign Railroads)

**TSSI 6 – 9** (6 Tornado Watch and Warning Instructions; 7 Distant Signals; 8 Block and Interlocking Signals and 9 Roadway Signs)

**TSSI 10** (Security Alert Instructions)

- All rule books must contain the current rules and the latest revised chapters/pages in the proper page sequence. The required rule chapters for each employee work group are listed below. All employees must have a current copy of and comply with the rules corresponding to one of these work groups. If you have responsibilities that require rules in addition to those listed for your work group, contact your supervisor.

**Transportation (TE&Y)**

1-17, Glossary, Index; 30-39, Glossary; 70-83; 90.

**Engineering and Communications**

1-9, 14-15, Glossary, Index; 40-57, Glossary, Index; 70-83; 90.

**Maintenance Operations** (Mechanical) - 1-9, 14-17, Glossary, Index; 30-39, Glossary; 42; 70-83; 90

**Clerical/General Office**

1-5, Glossary, Index; 70-83; 90

**Managers**

All chapters.

Employees must have the following chapters:

- Chapters 1 through 17, effective 03/2013.
- Chapters 20 through 27 effective 03/2013.
- Chapters 30 through 39, effective 03/2013.
- Chapters 40 through 57, effective 03/2013.
- Chapters 70 through 90, effective 03/2013.


- Instructions for Inspecting, Welding, and Grinding of Rail and Track Components, effective 03/2013 required for track supervisors, section foremen, and track welders, grinders, and slotters.

- Chief Engineer Instruction Bulletins effective 03/2013 required for all examined Engineering Department employees and Transportation Department managers.

- ALS photo identification card.

- A valid "FRA Certificate" card, Form 20107 ALS, if applicable. Restrictions listed on certificate must be complied with as required. Certified Employees who wear contact lenses must have a pair of corrective glasses available while on duty.
Item 3-B Qualifications of Certified Employees

A. Locomotive Engineers

Qualification is determined by a Designated Supervisor of Locomotive Engineers (DSLE) before the locomotive engineer is allowed to operate without direct on-board supervision. Depending on individual case-by-case circumstances, a DSLE may provide notice of qualification after a ride, face-to-face discussion, telephone conversation, or electronic notification with the locomotive engineer. However, if the locomotive engineer disagrees with the decision that he or she is qualified, a DSLE must ride with the locomotive engineer before qualification. The ride must be of sufficient duration over the most demanding portion of the territory to ensure proficiency.

1. Initial Familiarization

Prior to being qualified on a territory upon which the employee has never operated in the capacity of a locomotive engineer, he or she must make familiarization trips over the entire territory. The average number of familiarization trips necessary for qualification will be determined jointly by the Sr. MOP and DSLE responsible for that location. The average number of trips necessary is based on qualifying the typical locomotive engineer. Prior experience may adjust the number of required trips. It may be determined that certain non-mainline territories, i.e. industrial leads, have such generic and undemanding characteristics that familiarization with similar or more challenging territories may be used in-lieu of trip(s).

2. Maintaining Locomotive Engineer Proficiency

Engineers who have not worked any transfer trips in the past 12 months on territories in which the locomotive engineer was previously qualified must notify their DSLE of this fact. When crew dispatcher calls an engineer to work a transfer trip for proficiency, a DSLE or a qualified engineer familiar with the territory will accompany the engineer.

3. Route Familiarization

Route familiarization is required in order to perform service as a certified locomotive engineer without the assistance of a pilot. Once initially qualified on a specific route by making the required number of familiarization trips as specified by the DSLE, route familiarization is maintained by observing the route when performing service in any capacity (engineer or trainman) every 12 months. Other methods of maintaining route familiarization may also be specified by a DSLE. It is the locomotive engineer’s responsibility to maintain their familiarization on the routes they are qualified on to maintain that qualification.

4. Promoted engineers not working as such, and those being recalled to engine positions

a. Many promoted engineers retain seniority rights as brakemen and/or conductors. Due to changes in work force requirements, some of these engineers may return to helper or conductor assignments. When this occurs, these individuals may be permitted to operate the locomotive under the provisions of Rule 1.47 B. If:

- Such activity does not interfere with their assigned duties.
- They have the consent of the working engineer of the crew.

Permitted locations are not limited to territories where the employee was previously qualified. Only an engineer holding a valid Alton Southern FRA Certificate is allowed to operate a locomotive or train. For employees who had their seniority restricted while an engineer, that restriction remains in effect. A disqualified engineer must not operate a locomotive.

b. Cut back switchman or conductors who have not worked as a locomotive engineer within the past 6 months must notify their DSLE and Crew Dispatcher of this fact. The DSLE may require the employee to make trips over a subdivision to maintain proficiency as an engineer.

c. During the first 12 months following completion of the engineer training program, an employee who has not worked any road trips as an engineer in the past 30 days, if called to work as a transfer engineer, must not accept the call unless so instructed by the DSLE. The DSLE will also determine what, if any, additional familiarization trips or training may be needed following any period of being cut back or furloughed within that 12 month period.
5. **Recertification**
All certified engineers must keep their certificate current. Failure to do so may result in an interruption in service. It is the individual employee’s responsibility to ensure that certification is kept current. Employees requiring recertification packets are to request the necessary forms from the Sr MOP. 150 days prior to the certification expiration date obtain certification packet from MOP. Employees are required to follow the instructions contained in the packet and complete all required forms along with instructions for obtaining hearing and/or vision exams. All required items must be completed promptly, but no less than 40 days in advance of the certificate expiration date. All certified (licensed) employees must be re-certified (licensed) every three years. FRA Certificates will expire every third year, after being initially certified.

B. Remote Control Operators (RCO)

1. **Qualification**
Qualification is determined by a Designated Supervisor of Remote Control Operations (DSRCO) before the RCO is allowed to operate without direct supervision. Depending on individual case-by-case circumstances, a DSRCO may provide notice of qualification after a ride, face-to-face discussion, telephone conversation, or electronic notification with the RCO. However, if RCO disagrees with the decision that he or she is qualified, a DSRCO must ride with the RCO before qualification.

2. **RCO position not worked in the previous 6 months**
A Remote Control Operator who has not worked as a RCO in the previous 6 months must notify a manager:
- Before being placed on a board that requires the employee to work a RCO position.
- If called to work a RCO position.

Employees must also inform the manager if their skill as an RCO has been evaluated in the past 12 months. The manager will determine if the employee needs familiarization after a discussion with the employee.

C. **Conductors**

1. **Initial Certification**
Train and engine service employees hired on or before December 1, 2012, are “grandfathered” as certified conductors and are fully qualified to perform conductor service under federal regulation. Grandfathered conductors will be evaluated and tested for re-certification (licensing) purposes no later than June 1, 2015. Train service employees hired after December 1, 2012, must pass all proficiency, knowledge, and territory familiarization training and testing required by law and the Company’s Conductor Certification Program to work as a certified, fully qualified conductor.

2. **Recertification**
It is the individual employee’s responsibility to ensure availability to perform service by maintaining his/her certification and carrying an unexpired FRA Certificate while on duty. Employees who are certified for multiple TE&Y classes of service will be issued one certificate listing each class of service he/she is qualified to perform. In order to maintain multiple classes of service, employees will be required to satisfy all proficiency testing and regulatory recertification requirements on a periodic basis (i.e., hearing, vision, motor vehicle, certification ride, etc.). Employees who are issued multiple certificates will need to satisfy all requirements for recertification when any certification comes due for renewal. Multiple certificates will all have the same expiration date requiring the completion of all regulatory requirements. Recertification will be required within three years based on of the expiration date listed on his/her FRA Certificate. 150 days prior to the certification expiration date obtain certification packet from MOP. Employees are required to follow the instructions contained in the packet and complete all required forms along with instructions for obtaining hearing and/or vision exams. All required items must be completed promptly, but no less than 40 days in advance of the certificate expiration date.
3. Territory Familiarization on Main Track

Each person who is called to perform service as a certified conductor must meet the territory familiarization requirements on the segment of main track upon which they will work. Route familiarization is maintained by observing the route when performing service in any capacity (engineer or trainman). A required number of training trips may be required if the territory familiarization is expired and can include the use of technology and/or job aids. They must also pass a territorial examination covering the operating conditions of territory over which they have never operated, and for territory not traversed for a period of two years or longer. Conductors must notify Crew Dispatcher and their assigned manager if they do not meet these territorial familiarization requirements prior to protecting service.

Exception: A pilot is not required if a conductor is working on a section of track with an average grade of less than 1% over 3 continuous miles, and any one of the following applies:

- The maximum distance the locomotive or train will be operated does not exceed one mile.
- The maximum authorized speed for any operation on the track does not exceed 20 miles per hour.
- Operations are conducted under operating rules that require every locomotive or train to proceed at a speed that permits stopping within one-half the range of vision of the locomotive engineer.

4. Territory familiarization on other than main track

If a conductor has never worked on a segment of track or has not been over that track for a period of 2 years or longer, the conductor will be:

- Accompanied by a qualified employee who meets the territorial requirements where practicable.
- Provided an appropriate job aid.
- Receive a detailed job briefing from an employee familiar with the territory.
Item 4 Rule Supplements & Amendments

Cardinal Rules for Transportation Employees (Rules Critical to the Railroad’s Safe Operation), Car Department Employees, Locomotive Department Employees.

<table>
<thead>
<tr>
<th>Rule Critical to the Railroad’s Safe Operation</th>
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<tbody>
<tr>
<td><strong>Employee Group</strong></td>
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<tr>
<td>Transportation Employees</td>
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<tr>
<th>Cardinal Rules</th>
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<td><strong>Employee Group</strong></td>
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<td>Transportation Employees</td>
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<thead>
<tr>
<th>Employee Group</th>
<th>Rule Number</th>
<th>Rule Description</th>
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<tbody>
<tr>
<td>Locomotive Department Employees</td>
<td>5.13</td>
<td>Blue Signal protection of workers</td>
</tr>
<tr>
<td></td>
<td>7.6</td>
<td>Securing Cars or Engines</td>
</tr>
<tr>
<td></td>
<td>77.18</td>
<td>Load Movement</td>
</tr>
<tr>
<td></td>
<td>5.3.6</td>
<td>Radio and Voice Communications</td>
</tr>
<tr>
<td></td>
<td>80.23</td>
<td>Fall Protection</td>
</tr>
<tr>
<td></td>
<td>81.2</td>
<td>Crossing Tracks</td>
</tr>
<tr>
<td></td>
<td>81.2.1</td>
<td>Step Over Rail</td>
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<td></td>
<td>81.2.2</td>
<td>Sufficient Distance</td>
</tr>
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<td></td>
<td>81.4</td>
<td>Getting On or Off Equipment</td>
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Item 4-A  Operating Rules, Chapters 1 to 19

Instructions modify rules or clarify the application of rules. In those cases where instructions add, change or delete a rule, the words "Add," "Change rule to read" or "Delete" preface the specific wording. All portions of the rule that are not referenced in this manner remain unchanged. When intended to clarify the application of or give additional instructions for a rule the word “Application” is used.
Item 4-B  Reserved
Item 4-C  Air Brake & Train Handling Rules, Chapters 30 to 39
Item 4-D  Maintenance of Way Rules, Chapters 40 to 69
Item 4-E       Safety Rules, Chapters 70 to 89
THE ALTON & SOUTHERN RAILWAY COMPANY DRUG AND ALCOHOL POLICY
Effective July 1, 2005
(Amended July 1, 2012)

1.0 PREFACE
- Alton & Southern Railway’s Drug and Alcohol Policy is based largely upon the requirements of Title 49 of the US Code of Federal Regulations (CFR). Regulations, requirements, rules, and information from the CFR are incorporated throughout this policy and are printed in a "bold italic font."
- When elements of this policy differ from the CFR, the Alton & Southern policy is shown in a "NOTE" or is shown in a “standard font.”
- In the case of a non-Federal Railroad Administration (FRA) test, any reference to a "covered employee" also applies to a non-covered employee.
- In the case of a non-FRA test, any reference to a Substance Abuse Professional (SAP) also applies to the Employee Assistance Program (EAP).
- The use of the term "manager" is a generic reference to a non-agreement employee who controls the work of others, i.e., supervisor or manager.
- Nothing in this policy supersedes any Department of Transportation (DOT), FRA, Federal Aviation Administration (FAA), or Federal Motor Carrier Safety Administration (FMCSA) regulation. If this policy is in conflict with, or inadvertently omits any regulatory requirements, the requirement remains valid. The employer or employee remains responsible for compliance. The principle governing regulations are:
  - 49 CFR Part 382 - controlled Substances and Alcohol Use and Testing is available at http://www.access.gpo.gov/nara/cfr/ under the FMCSA
- Questions about this Policy can be directed to the Alton & Southern Railway at (618) 482-7707.

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3.0 GENERAL

3.1 Purpose
- The purpose of Alton & Southern Drug and Alcohol Policy is to ensure compliance with applicable federal regulations and to establish policies, priorities, and objectives for the company's drug and alcohol control program. This policy prohibits the illegal use of drugs at any time and any use of alcohol in the workplace, on Company property or within four hours of reporting for duty.

3.2 Alton & Southern Commitment
- Alton & Southern is committed to providing a healthy and safe working environment that facilitates the highest level of employee productivity and customer focus.
- To meet this commitment, Alton & Southern will comply with the requirements of the Drug-Free Workplace Act of 1988, the Omnibus Transportation Employee Testing Act of 1991, and with the drug and alcohol testing requirements of the United States Department of Transportation (DOT), Federal Railroad Administration (FRA), the Federal Motor Carriers Safety Administration (FMCSA), and the Federal Aviation Administration (FAA).

3.3 A Health Problem
- Alton & Southern has long recognized that substance abuse is a health problem which can be successfully addressed.
- The Employee Assistance Program (EAP) was developed to assist employees with personal and work related problems. However, many substance abusers deny their problems and do not seek help voluntarily.
- For this reason, the Alton & Southern and union leadership have committed to the principles of education, self-referral, and co-worker intervention.

3.4 Required Compliance.
- This statement of policy and procedure supersedes all prior statements of policy and procedure governing drug and alcohol use by Alton & Southern employees.
- Compliance with the requirements of this policy is a condition of employment at Alton & Southern Railway.

4.0 GENERAL CONDITIONS FOR CHEMICAL TESTS

4.1 Conditions (49 CFR Part 219.11)
4.1.1 Any employee who performs covered service for a railroad is deemed to have consented to testing as required . . . and consent is implied by performance of such service.
4.1.2 In any case where an employee has sustained a personal injury and is subject to alcohol or drug testing under the regulations (or company policy), necessary medical treatment must be accorded priority over provision of the breath or body fluid specimen(s).
4.1.3 Failure to remain available following an accident or casualty as required by railroad rules (i.e., being absent without leave) is considered a refusal to participate in testing, without regard to any subsequent provision of specimens.
4.1.4 In general, the testing provisions of the FRA regulations in 49 CFR Part 219 apply only to employees who perform service covered by the Hours of Service law, such as train and engine
service employees, train dispatchers, mechanical department locomotive movers, bridge tenders, clerks who handle train orders, and signal employees. The regulations also require that samples be collected from the remains of any employee who is fatally injured in certain accidents or incidents.

4.2 A&S Policy
4.2.1 All employees are subject to reasonable cause and reasonable suspicion testing. Testing may be performed under FRA authority, FMCSA authority, or company authority, as applicable.

5.0 PROHIBITIONS (49 CFR Parts 219.101, 219.102, 219.103)

5.1 Alcohol and drug use prohibited
5.1.1 Prohibitions. Except as provided in 49 CFR Part 219.103 (Prescribed and over-the-counter drugs), no employee may use or possess alcohol or any controlled substance while assigned by a railroad to perform covered service.
5.1.2 No employee may report for covered service, or go or remain on duty in covered service while:
- Under the influence of or impaired by alcohol,
- Having .02 or more alcohol concentration in the breath or blood (.04 is a Federal violation),
- Under the influence of or impaired by any controlled substance.
5.1.3 No employee may use alcohol for whichever is the lesser of the following periods:
- Within four hours of reporting for covered service, or
- After receiving notice to report for covered service.
5.1.4 Prohibition on abuse of controlled substances.
- No employee who performs covered service may use a controlled substance at any time, whether on duty or off duty, except as permitted by 49 CFR Part 219.103, Prescribed and Over-the-counter Drugs.

5.2 A&S Policy
5.2.1 Alton & Southern policy prohibits any illegal use of a controlled substance, and any possession, use of, or impairment by alcohol when any employee is subject to duty, reporting for duty, on duty, or on Company property.
5.2.2 “Illegal use” includes those substances which are used without a proper valid prescription by a licensed practitioner whose scope of practice includes appropriate prescriptions of medications. Illegal “possession” includes those drugs specified under the federal controlled substances act which has not been properly dispensed by a licensed physician or other practitioner who can dispense medications.
5.2.3 Drugs which are prohibited under this policy include “controlled substances” on Schedules I through V of the Federal Controlled Substances Act, as revised. Controlled substances are listed in 21 CFR Part 1308. (http://www.deadiversion.usdoj.gov/21cfr/cfr/2108cfrt.htm)
5.2.4 The controlled substances list includes drugs (Schedule I) that are distributed only by a medical practitioner’s prescription or other authorization (Schedules II through IV, and some drugs on Schedule V), and certain preparations for which distribution is through documented over the counter sales (Schedule V only).

5.3 Prescribed and over-the-counter drugs (49 CFR Part 219.103)
5.3.1 49 CFR Part 219.103 does not prohibit the use of a controlled substance (on Schedules II through V of the controlled substance list) prescribed or authorized by a medical practitioner, or possession incident to such use, if the treating medical practitioner or a physician designated by the railroad has made a good faith judgment, with notice of the employee’s assigned duties and on the basis of the available medical history, that use of the substance by the employee at the prescribed or authorized dosage level is consistent with the safe performance of the employee’s duties; The substance is used at the dosage prescribed or authorized; and in the event the employee is being treated by more than one medical practitioner, at least one treating medical practitioner has been informed of all medications
authorized or prescribed and has determined that use of the medications is consistent with the safe performance of the employee's duties (and the employee has observed any restrictions imposed with respect to use of the medications in combination).

5.4 A&S Policy

5.4.1 Alton & Southern requires employees to have a written copy of their treating medical practitioner’s evaluation/determination (as above) available upon request of their manager or the Medical Review Officer (MRO).

5.4.2 Any use of another person’s prescribed medicine is prohibited.

5.4.3 Any use of so-called “medical marijuana” is prohibited.

5.5 Responsive action (49 CFR Part 219.104)

5.5.1 Removal from covered service

- If the railroad determines that an employee has violated 49 CFR Parts 219.101 or 219.102, or the alcohol or controlled substances misuse rule of another DOT agency, the railroad must immediately remove the employee from covered service.

- If an employee refuses to provide breath or a body fluid specimen or specimens when required to by the railroad under a mandatory provision of this part, the railroad must immediately remove the employee from covered service.

- Notice: Prior to or upon withdrawing the employee from covered service under this section, the railroad must provide notice to the employee of the reason for this action.

- Hearing procedures: If the employee denies that the test result is valid evidence of alcohol or drug use prohibited by 49 CFR Part 219 (including refusals), the employee may demand and must be provided an opportunity for a prompt post-suspension hearing before a presiding officer other than the charging official.

5.6 Railroad’s duty to prevent violations (49 CFR Part 219.105)

5.6.1 A railroad may not, with actual knowledge, permit an employee to go or remain on duty in covered service in violation of the prohibitions of 49 CFR Part 219.101 (alcohol), 49 CFR Part 219.102 (drugs) or 49 CFR Part 219.103 (prescribed and over-the-counter drugs).

6.0 ALTON & SOUTHERN POLICY ON PROHIBITIONS

6.1 Off-Duty Conduct

6.1.1 The conduct of any employee leading to conviction of any misdemeanor or felony involving the unlawful use, possession, manufacture, distribution, dispensation or transportation of any illegal drug or controlled substance, is prohibited.

6.1.2 Employees convicted of such misdemeanor or felony must notify their supervisor of that fact no later than the end of the first business day immediately following the day the employee receives notice of the conviction. Failure to do so will negate that employee’s right under this policy for a one-time return to service, if applicable.

6.1.3 Certified locomotive engineers and remote control operators, whatever class of service, i.e., including hostlers, must report to the EAP any conviction for operating a motor vehicle while under the influence of or impaired by alcohol or a controlled substance. Report must be made either to the National Employee Assistance Help Line, 800-779-1212, or to their supervisor, within forty-eight hours of the conviction. (49 CFR Part 240.111(h)).

6.1.4 State-sponsored diversion programs, deferred case decisions, guilty pleas, and completed state actions to cancel, revoke, suspend, or deny a driver's license are considered convictions as applied to this policy.

6.1.5 Employees charged with such an offense, who believe that they may be convicted of the charge, are encouraged to contact an EAP representative for counseling prior to the actual conviction. This may reduce lost time after the conviction, because EAP may be able to release them for work sooner if an active substance disorder is not detected.
6.2 Driving Company Vehicle

6.2.1 Driving a motor vehicle owned, leased, or rented by the company, while under the influence of alcohol and or drugs, both on or off Alton & Southern property and both on or off duty, is prohibited.

6.2.2 Any employee arrested, ticketed, or convicted for driving a motor vehicle owned, leased, or rented by the company under the influence of alcohol and or drugs, must notify a supervisor as soon as possible, but no later than the end of the first business day immediately following the day the employee is arrested, ticketed, or convicted. The failure to do so may negate that employee’s right under this policy for a onetime return to service, if applicable.

6.3 Actual Knowledge of Off-duty or Pre-Duty Use

- If Alton & Southern has actual knowledge of off-duty use of drugs, or pre-duty use of alcohol (within four hours of work), or if a manager directly observes consumption, use, or possession of drugs or alcohol, by any on-duty employee, this policy has been violated and the employee is subject to disciplinary action without the necessity of testing.

6.4 Voluntary Layoff

- Alton & Southern permits off-duty employees subject to duty, or called for duty, to layoff with an admission that they are under the influence of alcohol or drugs (illegal or legal), except at an away from home terminal. However, if this privilege is abused, employees may be referred to EAP and may be subject to disciplinary action.

6.5 FMCSA Regulations (49 CFR Part 382, 49 CFR Part 383)

6.5.1 No driver will perform safety-sensitive functions within four hours after using alcohol. No employer having actual knowledge that a driver has used alcohol within four hours will permit a driver to perform or continue to perform safety-sensitive functions.

6.5.2 No driver required to take a post-accident alcohol test under 49 CFR Part 382.303 will use alcohol for eight hours following the accident, or until the employee undergoes a post-accident alcohol test, whichever occurs first.

6.6 A&S Policy

- All DOT certified drivers, including CMV operators, must notify a supervisor when their license has been revoked, suspended or withdrawn for any reason, including drug or alcohol-related revocations, within forty-eight hours.

7.0 FEDERAL POST-ACCIDENT TOXICOLOGICAL TESTING

7.1 Events for which FRA Mandatory Post Accident testing is required (49 CFR Part 219.201), except as provided in 49 CFR Part 219.201(b), post-accident toxicological tests must be conducted after any event that involves one or more of these circumstances:

7.1.1 Major train accident. Any train accident (i.e., a rail equipment accident involving damage in excess of the current reporting threshold) that involves one or more of the following:

- A fatality;
- A release of hazardous material lading from railroad equipment accompanied by an evacuation; or a reportable injury resulting from the hazardous material release (e.g., from fire, explosion, inhalation, or skin contact with the material); or
- Damage to railroad property of $1,000,000 or more, not including lading.

7.1.2 Impact accident. An impact accident (i.e., a rail equipment accident defined as an “impact accident” in 49 CFR Part 219.5) that involves damage in excess of the current reporting threshold, resulting in:

- A reportable injury; or
- Damage to railroad property of $150,000 or more, not including lading.

7.1.3 Fatal train incident. Any train incident that involves a fatality to any on-duty railroad employee.
7.1.4 *Passenger train accident. Reportable injury to any person in a train accident involving a passenger train* (i.e., a rail equipment accident involving damage in excess of the current reporting threshold).

7.1.5 **Exceptions (49 CFR Part 219.201(b))**
- No test may be required in the case of a collision between railroad rolling stock and a motor vehicle or other highway conveyance at a rail/highway grade crossing.
- No test may be required in the case of an accident/incident the cause and severity of which are wholly attributable to a natural cause (e.g., flood, tornado, or other natural disaster) or to vandalism or trespasser(s).

7.1.6 **Employees Tested (49 CFR Part 219.203).**
- Following each accident and incident described in 49 CFR Part 219.201, the railroad (or railroads) must take all practicable steps to assure that all covered employees of the railroad directly involved in the accident or incident provide blood and urine specimens for toxicological testing by FRA. Such employees must cooperate in the provision of specimens as described in the regulations and Appendix C of 49 CFR part 219.
- In any case where an operator, dispatcher, signal maintainer, bridgetender, or other covered employee is directly involved in the circumstances of an accident which occurred during their tour of duty (49 CFR Part 219.203(b)(4)(iii), those employees must also be tested.
- In a “major accident” all crew members of all trains must be tested.

7.1.7 An employee must be excluded from testing under the following circumstances: In any case of an accident/incident for which testing is mandated only under 49 CFR Part 219.201(a)(2) (an “impact accident”), 49 CFR Part 219.201(a)(3) (“fatal train incident”), or 49 CFR Part 219.201(a)(4) (a “passenger train accident with injury”) if the railroad representative can immediately determine, on the basis of specific information, that the employee had no role in the cause(s) or severity of the accident/incident.

7.1.8 *Unlawful refusals; consequences (49 CFR Part 219.213)*
- An employee who refuses to cooperate in providing breath, blood or urine specimens following an FRA mandatory post accident or incident testing situation must be withheld from covered service and must be deemed disqualified for covered service for a period of nine (9) months in accordance with the conditions specified in 49 CFR Part 219.107.

7.2 **A&S Policy**
7.2.1 The DOT requirement for post accident testing does not limit the discretion of Alton & Southern to impose additional sanctions or discipline for this same or related conduct.

7.2.2 Following any accident, a manager at the site must make the determination whether an FRA mandatory post accident test is required before releasing any employees involved in the accident.

7.2.3 Following any accident, employees involved in the accident must not leave the accident site until a supervising manager notifies the employees of the determination regarding drug and alcohol testing.

7.2.4 Railroad managers who were on and supervising the train involved in the accident or incident, but not a member of the crew, or who were directly and contemporaneously involved in the accident or incident, will be tested under company authority.

7.3 **FMCSA Mandatory Post-Accident Drug and Alcohol Testing (49 CFR Part 382.303)**
7.3.1 The FMCSA mandates post-accident drug and alcohol testing if:
- There is a fatality, no matter who is at fault.
- There is a non-fatal accident where the CMV operator receives a citation for a moving violation and there is:
  - An injury requiring medical treatment away from the scene of the accident, or
A vehicle towed from the accident scene.

8.0 FRA MANDATORY TESTING FOR REASONABLE SUSPICION


8.1.1 A railroad must require a covered employee to submit to an alcohol test when the railroad has reasonable suspicion to believe that the employee has violated any prohibition concerning use of alcohol. The railroad’s determination that reasonable suspicion exists to require the covered employee to undergo an alcohol test must be based on specific, contemporaneous, articulable observations concerning the appearance, behavior, speech or body odors of the employee.

8.1.2 A railroad must require a covered employee to submit to a drug test when the railroad has reasonable suspicion to believe that the employee has violated the prohibitions concerning use of controlled substances. The railroad’s determination that reasonable suspicion exists to require the covered employee to undergo a drug test must be based on specific, contemporaneous, articulable observations concerning the appearance, behavior, speech or body odors of the employee.

8.1.3 With respect to an alcohol test, the required observations must be made by a supervisor trained in accordance with 49 CFR Part 219.11(g). The supervisor who makes the determination that reasonable suspicion exists may not conduct testing on that employee.

8.1.4 With respect to a drug test, the required observations must be made by two supervisors, at least one of whom is trained in accordance with 49 CFR Part 219.11(g) and is on site.

8.1.5 If a test required by this section is not administered within eight hours of the determination under this section, the railroad must cease attempts to administer an alcohol test and must state in the record the reasons for not administering the test.

9.0 A&S POLICY ON REASONABLE SUSPICION AND REASONABLE CAUSE

9.1 Alton & Southern Reasonable Suspicion Drug and Alcohol Testing

9.1.1 Alton & Southern will require reasonable suspicion drug and alcohol testing of all employees not covered under FRA or FMCSA regulations (management and agreement employees) when there is a reasonable suspicion, based on specific, personal observations by a manager.

9.1.2 Actual knowledge of pre-duty use of alcohol (within four hours of work) and/or illegal drugs, or the on-duty use and/or possession of illegal drugs and/or alcohol does not require a drug or alcohol test.

9.2 Alton & Southern Reasonable Cause Drug and Alcohol Testing

9.2.1 An accident or incident in which drug and alcohol testing is not mandatory under FRA or FMCSA regulations may require testing under Alton & Southern authority. Alton & Southern requires reasonable cause drug and alcohol testing of all employees, including Hours of Service (HOS) employees and commercial motor vehicle (CMV) operators, non-agreement, and agreement, when:

- An employee’s acts or omissions result in the violation of any safety or operating rule which has the potential to (1) result in an accident and/or personal injury to self or others or (2) actually results in personal injury or significant property damage; or
- Any other narrowly-circumscribed and verifiable individualized cause that has been approved by the Safety and the Law Departments (e.g., an indictment for violation of the Controlled Substances Act which Alton & Southern investigators verify to be based on reasonably credible evidence).
9.3 Manager’s decision to test
9.3.1 Determination of influence by alcohol may be made by one trained manager.
9.3.2 Determination of drug use must be by two managers, at least one of whom is trained in accordance with 49 CFR Part 219.11(g) and is on site.
9.3.3 Note that for reasonable suspicion drug testing, the second manager may be consulted by telephone.

10.0 PRE-EMPLOYMENT TESTS
10.1 Pre-employment drug testing (49 CFR Part 219.501)
10.1.1 Prior to the first time an applicant performs covered service for Alton & Southern, the applicant must undergo testing for drugs. No railroad may allow an individual to perform service, unless the individual has been administered a test for drugs with a result that did not indicate the misuse of controlled substances.
10.1.2 This requirement applies to final applicants for employment and to employees seeking to transfer for the first time on this railroad from non-covered service to duties involving covered service.

10.2 Refusals
10.2.1 An applicant who refuses to submit to pre-employment testing under this section may not be employed in covered service. (49 CFR Part 219.505)
10.2.2 An applicant can decline to be tested and pull their application and no record will be kept, unless the refusal occurs after the collection process has begun. (49 CFR Part 219.501(b))

10.3 Background Check (49 CFR Part 40.25)
10.3.1 Alton & Southern will request information from other employers about an employee's drug and alcohol testing records (49 CFR Part 40.25).
10.3.2 This requirement applies only to employees seeking to begin performing safety-sensitive duties for Alton & Southern for the first time (i.e., a new hire, an employee transfers into a safety-sensitive position). If the employee refuses to provide this written consent, the employee will not be permitted to perform safety-sensitive functions.

10.4 A&S Policy
10.4.1 Before the first time applicants perform any service for Alton & Southern, they must undergo drug testing, and have a negative result.
10.4.2 Applicants who refuse to take a pre-employment drug test after it has started will not be employed.
10.4.3 Applicants with positive test results will have their application rejected and they will be ineligible to be re-tested for a period of six months.
10.4.4 Applicants re-applying following a positive pre-employment drug test must present a certificate of rehabilitation from a substance abuse professional.

11.0 RANDOM ALCOHOL AND DRUG TESTING PROGRAMS
11.1 Each railroad must submit for FRA approval a random testing program meeting the requirements of 49 CFR Part 219, Subpart G. (219.601(a), drugs; 219.607, alcohol)

11.2 Railroad random alcohol and drug testing programs
11.2.1 Notice of an employee's selection for random testing may not be provided until the duty tour in which testing is to be conducted, and then only so far in advance as is reasonably necessary to ensure the employee's presence at the time and place set for testing. (49 CFR Part 219.601(b)(4)).
11.2.2 An employee will be subject to random testing only while on duty.
11.3 Participation in testing (49 CFR Parts 219.603 and 219.609)
11.3.1 An employee selected through the random testing program to cooperate in breath and urine testing, must provide the required breath and urine specimens and complete the required
paperwork and certifications. Compliance by the employee may be excused from random testing only in the case of a documented medical or family emergency.

11.3.2 The FMCSA requires random drug and alcohol testing of all employees who are required by law to have a Commercial Drivers License (CDL) and who operate a CMV (Commercial Motor Vehicle, as defined by the FMCSA) in the course of their employment with Alton & Southern Railway. (40 CFR Part 382.305)

11.4 A&S Policy

- Alton & Southern will randomly test covered employees in compliance with FRA and FMCSA requirements. Unless prohibited by law, Alton & Southern will randomly test safety-sensitive non-agreement employees using company authority.

12.0 A&S POLICY ON FITNESS EVALUATION

12.1 General Notice about drug and alcohol tests

12.1.1 Alton & Southern employees subject to periodic, return-to-work, job transfer, or follow-up physical examinations under management prerogative, existing collective bargaining agreements, or DOT requirements, may be required to participate in a drug and/or alcohol tests as part of a physical or mental fitness examination upon general notice from the Alton & Southern or specific notice from the examining physician.

12.1.2 This policy serves as general notice that employees will be tested for drugs and/or alcohol during the physical examination process.

12.2 Job Transfer Examinations

- Employees who apply for transfer to a safety-sensitive job which requires a physical examination prior to transfer will have a DOT pre-employment drug test as a part of that examination. (The FRA requires drug testing of all applicants for transfer into HOS positions, as well as pre-employment testing for HOS positions. The FMCSA requires drug testing of all applicants who are initially qualifying for a DOT license.)

12.3 Return-to-Work Examinations

- Employees who are required by the Company’s medical rules to have an evaluation prior to returning to work will have a drug test as a part of that evaluation.

12.4 "Fitness for Duty" or "For Cause" Examinations

- Employees who are required by a supervisor to undergo a "For Cause" exam to ascertain "Fitness for Duty" will have a drug test as a part of the examination process.

12.5 Other Medical Examinations

- If in any other required physical or mental fitness examination, or evaluation situation, the examining physician has reason to believe that an employee may be using illegal drugs, or abusing prescription drugs which may have an adverse effect on alertness, coordination, reaction, responses or safety, the physician or their designee should notify the Alton & Southern Railway DER and the DER will order a drug test. Any employee providing a urine sample which tests positive for illegal or unauthorized drugs during a required physical examination maybe medically disqualified from service without pay. If the test results establish that the employee has failed to follow previous instructions to remain drug free, the employee may be subject to discipline.

13.0 SAMPLE COLLECTION AND ANALYSIS

13.1 Drug Tests

13.1.1 All drug tests required by DOT will be performed in accordance with the specimen collection and laboratory analysis procedures in 49 CFR Part 40. All drug tests required by Alton & Southern will be performed in accordance with the specimen collection and laboratory analysis procedures prescribed in 49 CFR Part 40.
13.1.2 Whether drug testing is performed under DOT or Alton & Southern authority, the analysis of samples will be performed by laboratories certified by the US Department of Health and Human Services.

13.2 Alcohol Tests
13.2.1 All alcohol tests required by DOT or Alton & Southern will be performed in accordance with the collection procedures prescribed in 49 CFR Part 40.
13.2.2 All confirmations for alcohol tests will be performed using devices on the National Highway Traffic Safety Administration's Conforming Products List for screening and evidential breath testing devices.

14.0 MRO REVIEW (49 CFR Part 40, Subpart G)
14.1 Every drug test result reported by the laboratory will be reviewed by a qualified Medical Review Officer (MRO) who will be selected by Alton & Southern. In each case, prior to making a final decision to verify a positive test result reported by the laboratory, the MRO will make a reasonable effort to contact the employee tested and give them an opportunity to discuss the result.
14.2 If the MRO, or a staff person under the MRO's supervision, is unable to reach the employee directly after reasonable efforts, the MRO will contact the Designated Employer Representative (DER) or designee, who will direct the employee to contact the MRO as soon as possible. If it becomes necessary to reach the employee in this way, the manager will employ procedures that ensure, to the maximum extent practicable, that the instruction to contact the MRO is held in confidence.
14.3 If neither the MRO nor the Alton & Southern, after making all reasonable efforts, has been able to contact the employee within 10 days of the date the MRO receives a positive test result from the laboratory, the test will be declared a “no-contact positive.”
14.4 A&S Policy
   • After making all reasonable efforts, if the Alton & Southern manager is unable to contact the employee, the manager will place the employee in “physical pending” status.
14.5 The MRO will verify a test as positive without communicating directly with an employee when the Employee expressly declines the opportunity to discuss the test; or when the Alton & Southern has instructed the employee to contact the MRO and more than seventy-two hours have passed after that instruction was conveyed, or the MRO or A&S is unable to contact the employee within 10 days.
14.6 If, after successfully contacting the employee, the MRO determines there is a legitimate medical explanation for the positive test result, the MRO will report the result as negative.
14.7 If the MRO verifies the test result as positive, the MRO will instruct the employee not to report to, or perform any service. The MRO will report the result to the Alton & Southern DER, as needed for administrative action.

15.0 SPLIT DRUG TEST SAMPLE
15.1 Storage of Split Samples (49 CFR Part 40.99)
   • Samples that yield non-negative drug test results, on confirmation, will be retained by the laboratory in properly secured, long-term, frozen storage for 365 days. Within this 365-day period the individual, Alton & Southern, or DOT may request that the laboratory retain the sample for an additional period.
15.2 Split Sample Request (49 CFR Part 40.171)
   15.2.1 When employees are notified by the MRO that they have a verified positive drug test or refusal to test because of adulteration or substitution, they have 72 hours from the time of notification to request a test of the split specimen. A request may be verbal or in writing to the MRO.
   15.2.2 If an employee does not request a test of the split specimen within 72 hours, the employee may present to the MRO information documenting that serious injury, illness, lack of actual notice of the verified test result, inability to contact the MRO (e.g., there was no one in the MRO's
office and the answering machine was not working), or other circumstances unavoidably
prevented the employee from making a timely request.
15.2.3 In mandatory post-accident testing situations, the FRA sets a 60-day time requirement for
requesting a test of the split sample. Requests must be in writing and addressed to the MRO
who will forward the request to the FRA. (49 CFR Part 219.211(I)).
16.0 REFUSALS TO PERMIT TESTING AND TAMPERING
16.1 Refusal to take a DOT drug test. (49 CFR Part 40.191)
16.1.1 An employee is considered to have refused to take a drug test if the employee:
16.1.2 Fails to appear for any test (except a pre-employment test) within a reasonable time, as
determined by the employer, consistent with applicable DOT agency regulations, after being
directed to do so by a railroad supervisor.
16.1.3 Fails to remain at the testing site until the testing process is complete.
16.1.4 Fails to provide a urine specimen for any drug test required by the regulations or DOT agency
regulations (within three hours) (49 CFR Part 40.193(b)(4)).
16.1.5 Fails to permit the observation or monitoring of a test, when required (49 CFR Part 40.67(l)
and 49 CFR Part 40.69(g)).
16.1.6 Fails to provide a sufficient amount of urine when directed, and it has been determined,
through a required medical evaluation, that there was no adequate medical explanation for the
failure (49 CFR Part 40.193).
16.1.7 Fails or declines to take a second test the employer or collector has directed the employee to
take.
16.1.8 Fails to undergo a medical examination or evaluation, as directed by the MRO as part of the
verification process, or as directed by the DER under 49 CFR Part 40.193(d).
16.1.9 Fails to cooperate with any part of the testing process (e.g., refuse to empty pockets when so
directed by the collector, behave in a confrontational way that disrupts the collection process).
16.1.10 Fails to remain available following an accident or casualty as required by company rules
(i.e., being absent without leave) is considered a refusal to participate in testing, without regard
to any subsequent provision of specimens (49 CFR part 219.11(b)(3)).
16.1.11 If the MRO reports that an employee has a verified adulterated or substituted test result, the
employee has refused to take a drug test.
16.2 Consequences of unlawful refusal (49 CFR Part 219.107)
16.2.1 An employee who refuses to provide breath or a body fluid specimen or specimens when required
to by the railroad under a mandatory provision of Federal regulations must be deemed disqualified
from covered service for a period of nine (9) months (49 CFR Part 219.107(a)).
16.2.2 The requirement of disqualification for nine (9) months does not limit any discretion on the part of
the railroad to impose additional sanctions for the same or related conduct (49 CFR Part
219.107(d)).
16.3 A&S Policy: Refusal to Test and Tampering
16.3.1 An employee who refuses to provide breath or a body fluid specimen or specimens when required, or
remain available after an accident, is considered insubordinate under Alton & Southern rules.
16.3.2 An employee who is unable to provide a breath or a body fluid specimen or specimens will be
directed to a licensed physician who has expertise in the medical issues raised by the employee's failure
to provide a sufficient specimen for a medical evaluation.
16.3.3 Failure to provide a urine specimen within three hours for any drug test required by this policy is
considered refusal.
16.3.4 An on-duty employee is required to immediately participate in a drug or alcohol test required by a
manager.
16.3.5 When an employee refuses to participate in a drug or alcohol test, the employee will be removed from
service and be subject to discipline, up to and including dismissal.
16.3.6 Employees dismissed for refusal will not be allowed to take part in the Employee Assistance Program.
16.3.7 Tampering, or attempting to tamper, with a sample in order to prevent a valid test (e.g., through substitution, dilution or adulteration of the sample) constitutes refusal.

16.3.8 The Alton & Southern will recollect on all Negative Dilutes.

17.0 REMOVAL FROM SERVICE AND DISCIPLINE

17.1 Withheld from service
- If Alton & Southern determines there is reason to believe that any employee has violated this drug and alcohol policy, as evidenced by a verified positive drug test result reported by the MRO, or based on a positive alcohol test or observation of pre-duty use or on-duty use or possession or other verifiable reasons (e.g., criminal conviction of drug use), the employee will immediately be withheld from service, pending disciplinary action.

17.2 Dismissal
- If it is determined that any employee violated this drug and alcohol policy the employee will be subject to discipline, up to and including dismissal. Employees dismissed for refusal will not be allowed to take part in the Employee Assistance Program.

18.0 VOLUNTARY REFERRAL POLICY (49 CFR 219.403)

18.1 Provisions

18.1.1 *An employee who is affected by an alcohol or drug use problem may maintain an employment relationship with the railroad if, before the employee is charged with conduct deemed by the railroad sufficient to warrant dismissal, the employee seeks assistance through EAP for the employee’s alcohol or drug use problem or is referred for such assistance by another employee or by a representative of the employee’s collective bargaining unit.*

18.1.2 *The railroad will, to the extent necessary for treatment and rehabilitation, grant an employee a leave of absence for the period necessary to complete primary treatment and establish control over the employee’s alcohol or drug problem. The leave of absence will be not less than 45 days, if necessary, for the purpose of meeting initial treatment needs.*

18.1.3 *A&S Policy*
- If the employee is not cooperating with EAP/SAP or not following rehabilitation instructions, that employee will be placed in a medically disqualified status by the Alton & Southern.

18.1.4 *The railroad treats the referral and subsequent handling, including counseling and treatment, as confidential, subject to the exceptions set forth in the EAP policy and procedures.*

18.1.5 *The certification status of an engineer or Remote Control Operator (RCO) will not be affected under the voluntary referral policy, provided they cooperate with the rehabilitation program.*

18.1.6 *The policy of confidentiality is waived (to the extent that the railroad receives official notice from EAP of the substance abuse disorder) and the railroad will suspend or revoke the certification, as appropriate, if the employee at any time refuses to cooperate in a recommended course of counseling or treatment and/or the employee is later determined, after investigation, to have been involved in an alcohol or drug-related disciplinary offense growing out of subsequent conduct.*

18.1.7 *An employee will be returned to service on the recommendation of EAP, for non-federal tests, except as may be provided under 49 CFR part 219.403(c)(2), which requires a return-to-work medical exam. Approval to return to service will not be withheld unreasonably.*
19.0 CO-WORKER REPORT (49 CFR Part 219.405)
19.1 General

19.1.1 An employee may maintain an employment relationship with the railroad following an alleged first offense, if the alleged violation comes to the attention of the railroad as a result of a report by a co-worker that the employee was apparently unsafe to work with or was, or appeared to be, in violation of FRA regulations or the railroad’s drug and alcohol policy. If the railroad manager, after being notified by a co-worker, determines that the employee is in violation, the railroad must immediately remove the employee from service in accordance with its existing policies, agreements, and procedures.

19.1.2 The employee must contact the EAP, as appropriate, within three (3) days. The EAP must schedule necessary interviews with the employee and complete an evaluation within 10 calendar days of the date on which the employee contacts the EAP, unless it becomes necessary to refer the employee for further evaluation. In each case, all necessary evaluations must be completed within 20 days of the date on which the employee contacts the professional, if possible.

19.1.3 Alton & Southern will give all employees, agreement and non-agreement, one co-worker referral opportunity without exercise of disciplinary action for a violation of A&S policy or DOT regulations prohibiting the use of alcohol, drugs, or the misuse of prescription drugs (49 CFR Parts 219.101, 219.102, or 219.103).

19.2 When treatment is required

19.2.1 If the EAP determines that the employee is affected by psychological or chemical dependence on alcohol or a drug or by another identifiable and treatable mental or physical disorder involving the abuse of alcohol or drugs as a primary manifestation, the following conditions and procedures apply:

19.2.2 The railroad will to the extent necessary for treatment and rehabilitation, grant the employee a leave of absence for the period necessary to complete primary treatment and establish control over the employee’s alcohol or drug problem. The policy must allow a leave of absence of not less than 45 days, if necessary for the purpose of meeting initial treatment needs.

19.2.3 The employee will agree to undertake and successfully complete a course of treatment deemed acceptable by EAP.

19.2.4 The railroad will promptly return the employee to service, on recommendation of the EAP, when the employee has established control over the substance abuse problem. Return to service may also be conditioned on successful completion of a return-to-service medical examination. Approval to return to service may not be withheld unreasonably.

19.2.5 Following return to service, the employee, as a further condition on withholding of discipline, may, as necessary, be required to participate in a reasonable program of follow-up treatment, as prescribed by the SAP, for a period not to exceed 60 months from the date the employee was originally withheld from service.

19.3 When treatment is not required

- If the EAP determines that the employee is not affected by an identifiable and treatable mental or physical disorder, the company will return the employee to service within five days after completion of the evaluation. During or following the out-of-service period, the railroad will require the employee to participate in a minimum program of education and/or training concerning the effects of alcohol and drugs on occupational or transportation safety.

19.4 Follow-up tests for co-worker referral

- The company will conduct return-to-service and/or follow-up tests (as described in 49 CFR Part 219.104) of an employee who waives investigation and is determined to be ready to return to service under this section.

19.5 Co-Worker Report Summary
19.5.1 Alton & Southern will afford all employees a one-time co-worker referral opportunity which provides that an employee maintains an employment relationship with Alton & Southern following an alleged first offense of Rule 1.5 or this Policy subject to the following conditions:

- No other rule violation is involved.
- The alleged violation must come to the attention of Alton & Southern as a result of a report by a co-worker that the employee was apparently unsafe to work with or was, or appeared to be, in violation of this Policy.
- If an Alton & Southern representative can independently confirm that the employee is in violation, that employee will immediately be removed from service.
- The employee must elect to waive investigation on the rule charge and must contact EAP within three days of the waiver election.
- The employee must cooperate in an evaluation. If a disorder is identified, the employee must successfully complete the minimum education, counseling or treatment prescribed by EAP before qualifying to return to service.
- The employee will be subject to the follow-up drug or alcohol testing program in this situation.

19.5.2 Certain employee labor organizations have a "bypass" agreement that permits a one-time waiver of disciplinary investigation upon a confirmed report from a co-worker that an employee has violated the Alton & Southern Drug and Alcohol Policy. Those agreements, where applicable, are in lieu of the provisions of this section.

20.0 MANAGER REFERRAL

20.1 Managers have an obligation to help employees who exhibit signs and symptoms of drug and/or alcohol abuse, to seek help from EAP, before test results are pending, or before an accident or incident occurs.

20.2 When an employee is referred to EAP by a manager for work-related problems, confidentiality regarding personal matters will be maintained.

20.3 If EAP determines there is an active substance abuse disorder, or if a condition indicating a need for treatment is identified and the employee refuses to participate in the recommended treatment (or refuses to provide information concerning an alternate treatment program designed to help that employee) then, upon advice from EAP, the Alton & Southern may medically disqualify that employee.

20.4 Employees will not be returned to work until they have met all conditions detailed in instructions issued by EAP or the employee's manager. Employees may be subject to discipline if they fail to follow any instructions issued as a result of this referral. Their instructions may also include a requirement that the employee may be subject to Alton & Southern follow-up testing.

21.0 ONE TIME RETURN TO SERVICE AND TEN-YEAR POLICY

21.1 General

21.1.1 An employee who has been dismissed for a violation of the Alton & Southern Drug and Alcohol policy will be permitted a one-time return to service following successful Completion of a rehabilitation program approved by EAP, provided that the employee has had no previous violation of the Alton & Southern Drug and Alcohol Policy in the previous ten (10) years and provided further that no other major rule violation is involved.

21.1.2 An employee who has been granted a one-time return to service under this provision and who violates the Alton & Southern Drug and Alcohol Policy again within a ten (10) year period will be dismissed permanently.

21.1.3 *Events under the Voluntary Referral Policy and Co-Worker Report Policy do not count against this one time return to service agreement and ten-year policy. (49 CFR Part , Subpart E)*
21.2 Terms and Conditions

21.2.1 The terms and conditions of an employee's rehabilitation and education program agreement for reinstatement will contain a twelve month probation period. During this probation period, any violation by the employee of the terms established for their reinstatement will result in the employee being returned to dismissed status without benefit of a hearing, unless a hearing is required by agreement or FRA regulations (49 CFR 219.104).

21.2.2 This probationary period, and the terms thereof, do not preclude Alton & Southern from conducting follow-up testing for a minimum 3-year period following reinstatement, as detailed in this Policy (except as prescribed by a SAP) for covered service employees, where Federal tests are involved.

22.0 REINSTATEMENT INSTRUCTIONS

22.1 General

22.1.1 Any employee dismissed because of a non-negative test result or a refusal, must have a negative test result for drugs and/or alcohol before being allowed to return to service.

22.1.2 Alton & Southern requires follow-up drug and/or alcohol tests after reinstatement for the period and frequency determined by a SAP or EAP. Employees will be eligible for return to service based upon advice that they have successfully completed the education, counseling and/or treatment determined to be necessary by EAP/SAP, including any drug and alcohol testing requirements of a program or personal program, and they have tested negative for drugs (and alcohol, if appropriate) on the return-to-duty test.

22.1.3 Reinstatement is to be on a leniency basis with vacation and seniority rights unimpaired, but without pay for time lost.

22.2 Provisions

22.2.1 To return to service and/or remain qualified once an employee has returned to service, the employee must agree to these reinstatement conditions:

- The employee must enroll and begin a personal rehabilitation program with EAP/SAP within 30 days after being dismissed following a disciplinary investigation, or within three days of signing a waiver. The employee must enroll calling the National Employee Assistance hotline, 800-779-1212.
- The employee must become drug and/or alcohol free by successfully completing any education, counseling or treatment determined by EAP/SAP.
- The employee must continue in any further program of counseling, treatment and follow-up determined by EAP/SAP.
- The employee must adhere to all the agreements in the personal program with EAP/SAP.
- Prior to reinstatement, the employee will be required to meet with the employee’s manager to discuss the conditions and understanding of the reinstatement.
- Following reinstatement, the employee must submit to follow-up drug, alcohol, or drug and alcohol testing as required by federal regulations and Alton & Southern Railway's Drug & Alcohol Policy for the time and frequency required by the EAP for at least three (3) years from the date of return to service, unless otherwise specified by a SAP. In addition, the employee will also submit to required education, counseling, or treatment.
  - Follow-up drug and/or alcohol testing will be scheduled on dates chosen by Alton & Southern when the employee is on duty or subject to duty (i.e., not on vacation or leave of absence). Follow-up tests must be unannounced. The employee will be given no advanced notice of the test.
  - Follow-up testing is in addition to any other testing required by regulation or Alton & Southern policy.
- The employee must not violate any Alton & Southern rule with reference to drugs or alcohol.
• Failure to comply with these instructions may be grounds for immediate disciplinary action.

22.2.2 Certain Labor organizations have a “Companion Agreement” that provides for the opportunity to return to service upon the recommendations of EAP/SAP, further provided there has been no proven violation of Rule 1.5 in the preceding ten years. These agreements remain in effect and supersede this policy where conflict, if any, exists.

23.0 FOLLOW-A&S TESTING PROGRAM
23.1 General (49 CFR Parts 40.307, 40.309)

23.1.1 After returning to work following any drug or alcohol violation or disqualification from service by the Alton & Southern, with particular reference to drugs or alcohol, employees will undergo follow-up testing designated by a SAP/EAP.

23.1.2 For DOT tests, the number and frequency of unannounced follow-up tests are directed by the SAP, and must consist of at least six tests in the first 12 months following the employee's return to safety-sensitive duties. If poly-substance use has been indicated, the follow-up testing plan should include testing for drugs as well as alcohol (for the alcohol rule violator) and for alcohol as well as drugs (for the drug rule violator). Follow-up testing can last up to 60 months, or as determined by a SAP, but can be terminated by the SAP any time after one year (if all tests recommended up to that point are completed).

23.2 Follow-up Testing

23.2.1 Employee follow-up test dates are selected by the Alton & Southern following EAP/SAP determination of the number and frequency of testing.

23.2.2 Locomotive engineers and RCOs returning to work from any federal drug and/or alcohol violation will be tested at least six times for alcohol and at least six times for drugs during year one.

23.2.3 All other HOS employees and CMV operators who have a federal violation will be tested at least six times for alcohol or at least six times for drugs or at least six times for both drugs and alcohol as determined by the SAP on an individual basis during year one.

23.2.4 Effective August 31, 2009, the conducting of all follow-up and return-to-duty testing using direct observation collections will be a requirement of Federal Law.

23.3 A&S Policy

23.3.1 An employee in the follow-up program is subject to:

• Follow-up testing under this Policy. It applies to all employees and is applied independently of the terms of any "probationary period" that may be established.

• A positive result on a Follow-up test or any other Drug or Alcohol test administered during the "probationary period" is a violation of the terms of the probation.

• A “Directly Observed” test at least once in years one and two, and will be conducted according to the procedures in 49 CFR part 40.67.

• Follow-up testing for a minimum of three (3) years, unless otherwise recommended by a SAP. Employees will be tested at least four (4) times a year in the first two years of follow-up testing and at least once during the third year.

• Follow-up drug and/or alcohol testing will be scheduled on dates chosen by Alton & Southern when the employee is on duty or subject to duty (i.e., not on vacation or leave of absence). Follow-up tests must be unannounced. Employees will be given no advanced notice of the test.

• Follow-up testing is in addition to any other testing required by regulation or Alton & Southern policy.
24.0 DEFINITIONS

24.1 As used in this policy:

24.1.1 Controlled substance is defined in 49 CFR Part 219.5. Controlled substances are:
- marijuana
- narcotics (such as heroin and codeine)
- stimulants (such as cocaine and amphetamines)
- depressants (such as barbiturates and minor tranquilizers), and
- hallucinogens (such as PCP).

24.1.2 Controlled substances also include:
- Illicit drugs (Schedule I)
- Drugs that are required to be distributed only by a medical practitioner's prescription or other authorization (Schedules II through IV, and some drugs on Schedule V), and Certain preparations for which distribution is through documented over the counter sales
- (Schedule V only).

24.1.3 Covered employee means a person who performs service subject to the hours of service laws (49 USC 211). If an employee performs covered service at least once per quarter and is in the random testing program, the employee will be tested upon selection, regardless if the employee is performing covered service that day. For the purposes of pre-employment testing only, the term “covered employee” includes a person applying to perform covered service.

24.1.4 Co-worker means “another employee” of the railroad, including a working supervisor directly associated with a yard or train crew, such as a conductor or yard foreman, but not including any other railroad supervisor, special agent, or manager.

24.1.5 Drug means any substance (other than alcohol) that has known mind-altering or function-altering effects on a human subject, specifically including any psychoactive substance and including, but not limited to, controlled substances.

24.1.6 A&S Policy
- “Major rule violation” means any rule infraction that is specified as a rule critical to the railroads safe operation or any rule infraction that results in dismissal.

25.0 RESERVATION OF RIGHTS

- If any future governmental action results in the nullification or preemption of any part of this policy, the remainder will remain intact unless changed by Alton & Southern Railway. Alton & Southern reserves the right to interpret or change this policy at any time.
Policy
Alton & Southern is committed to maintaining a safe work environment free of all forms of violence, including verbal and physical threats. The Company has a zero tolerance policy with respect to all forms of violence in the workplace. It is our firm belief that a safe and secure work environment free from violence is fundamental to all employees, customers, contractors, vendors, guests or members of the public.

Guidelines
Prohibited Behavior
The Company will not tolerate or condone any form of threats or violence committed by or against ALS employees, contractors, customers/clients, vendors, suppliers or visitors on ALS premises or through Alton & Southern communications equipment, nor will Alton & Southern tolerate or condone any forms or threats of violence by ALS employees while engaged in business on behalf of Alton & Southern.
For examples of behaviors deemed as prohibited conduct, please see Attachment A.

Weapons
Alton & Southern employees and all others on Company property or involved in Company business off the premises are prohibited from possessing or hiding weapons on their person and their vehicle while on Alton & Southern property. This prohibition applies even if the individual is licensed to carry a concealed handgun under a state law. Only ALS Police and on-duty law enforcement officers acting in an official capacity are authorized to possess weapons on company property.
For the purposes of this policy, a "weapon" shall mean any weapon, device, instrument, material, or substance, animate or inanimate, that is used for, or is readily capable of, causing death or serious bodily injury.

Reporting Violations
Under this policy, any person who believes that he or she is being subjected to any form of threat or violence, or is aware of such prohibited conduct directed toward another person, has a responsibility to report the matter immediately. Employees MUST come forward as soon as possible when violations occur or there is a need for further information or assistance. Any alleged policy violations will be investigated, maintaining confidentiality to the fullest extent consistent with a thorough investigation.
- Anyone who has experienced, witnessed, or has knowledge of any prohibited conduct must report the incident as soon as possible to the Safety & Policy Violation Hot Line at 618-482-7786 and a management supervisor. If an emergency situation exists, contact a local law enforcement agency immediately, and then, when time and circumstances permit, report the incident to the Safety & Policy Violation Hot Line at 618-482-7786.
- Employees should report situations that have the potential for workplace violence to the Safety & Policy Violation Hot Line at 618-482-7786.

Violation of Policy
Violation of this policy will be grounds for 1) an individual's immediate removal from Company property, 2) disciplinary action up to and including termination of employment with the Company, and/or 3) possible civil or criminal prosecution. Immediately following notice to the Company that a violation of this policy has occurred, an investigation will be initiated and such action taken as the Company deems appropriate in its sole discretion.

Additional Information:
- Contact the Personnel Department at 618-482-7707.
- Training
- For examples of behaviors deemed as prohibited conduct, see Attachment A.
Violence and Abusive Behavior in the Workplace -Attachment A
Prohibited Conduct
Alton & Southern will not tolerate or condone any forms of threats or violence committed by or against ALS employees, contractors, customers/clients, vendors, suppliers, or visitors on ALS premises or through Alton & Southern communications equipment, nor will Alton & Southern tolerate or condone any forms of threats or violence by ALS employees while engaged in business on behalf of Alton & Southern.
This list of behaviors, while not inclusive, provides examples of conduct that is prohibited:

- Causing physical injury to another person
- Possession of a weapon while on Company property or while on Alton & Southern business
- Fighting, hitting, biting, kicking, pushing, or shoving another person
- Threatening, intimidating, bullying, or abusing another person
- Aggressive or hostile behavior that creates a reasonable fear of injury to another person
- Intentionally damaging Company property or property of another employee on workplace premises
- Committing acts motivated by, or related to, domestic violence on Alton & Southern premises
- Bothering someone by following or with an excessive number of unwelcome visits, calls, pages, faxes, emails, letters, or gifts
- Lewd behavior or obscene phone calls, pages, faxes, emails, letters, gifts, or graffiti

Anyone who has experienced, witnessed or has knowledge of any prohibited conduct must report the incident at once to the Safety & Policy Violation Hot Line at 618-482-7786.
ALTON & SOUTHERN RAILWAY COMPANY
EEO POLICY
Equal Employment Opportunity/Affirmative Action and Related Policy Directives
Effective May 1, 2005

PURPOSE
The Alton & Southern Railway Company is strongly committed to equal opportunity in all employment matters. Our work environment must always be one that respects differences, whether based on race, color, gender, national origin, age, disability, religion, veteran status, or sexual orientation, so that all employees can contribute to their fullest potential. These Policy Directives explain what The Alton & Southern Railway Company expects of its employees in this important area.

PROHIBITION OF DISCRIMINATION OR HARASSMENT
The Alton & Southern Railway Company strictly prohibits any discrimination or harassment based on a person's race, color, gender, national origin, age, disability, religion, veteran status, sexual orientation, or any other ground prohibited by law ("protected status"). This policy covers all aspects of employment, including hiring, promotions, terminations, pay, and the work environment.

PROHIBITION OF OFFENSIVE BEHAVIOR & REMARKS
The Alton & Southern Railway Company is committed to providing a work environment free from offensive behavior or statements directed at a person's race, gender, or any other protected status. This policy prohibits such offensive behavior and remarks in the presence of other employees, contractors, customers, visitors, and any other persons. Please note that this policy prohibits such offensive behavior or statements in the workplace, while representing The Alton & Southern Railway Company, or during travel or overnight stays paid for by The Alton & Southern Railway Company that are derogatory of any person because of race, gender, or any other protected status even if no one who is present is offended by the behavior or remark. The types of prohibited behavior include, but are not limited to, the following:
1. Any offensive or demeaning epithet or remark referring to race, gender, or other protected status, including that which is intended as humor;
2. Any offensive or demeaning comment, gesture, or other behavior directed toward another person because of that person's race, gender, or other protected status;
3. Use of Company property to display or store material that is demeaning or offensive on the basis of a protected status;
4. Sharing or displaying any item or material that is demeaning or offensive on the basis of a protected status, such as a noose, swastika, the initials "KKK", a confederate flag, or pornography;
5. Defacing Company property or personal property of another person for purposes of conveying a demeaning or offensive message based on or referring to a protected status;
Or
1. Creating any graffiti or other anonymous communication that refers to race, gender, or any other protected status.

ZERO TOLERANCE
The Alton & Southern Railway Company does not tolerate any type of discrimination, harassment, or offensive behavior based on a protected status. All proven violations of The Alton & Southern Railway Company's policies against discrimination, harassment, and offensive behavior will result in appropriate discipline of the employee, up to and including termination. Graffiti or other anonymous communications in violation of this policy are particularly serious, and absent very compelling extenuating circumstances can result in dismissal on the first offense. Such anonymous communications will also be referred to the A&S Railway Police for an investigation.
REPORTING VIOLATIONS AND QUESTIONS
Any person who believes that he or she is being subjected to behavior of this nature, or is aware of such prohibited conduct directed toward another person, has an obligation to report the matter at once. Employees **MUST** come forward at once when violations occur or there is a need for further information or assistance. Any alleged policy violations will be investigated, maintaining confidentiality to the fullest extent consistent with a thorough investigation.
You **MUST** call the EEO Department using our toll free number that is maintained on a 24 hour basis at 1-866-877-3362.

Please note that a report of harassment or discrimination to a member of management, agreement foreman, or supervisor is **NOT** sufficient under this policy. Such behavior must be reported to the EEO Department, which will involve local managers and supervisors as appropriate. Also, anyone who learns about alleged harassment or discrimination, even if he or she did not personally witness the alleged discrimination or harassment, must immediately advise the EEO Department.

EEO Department
1400 Douglas Street
Stop 0310
Omaha, Nebraska 68179

1-866-877-3362

PROHIBITION OF RETALIATION
There will be no unlawful retaliation against any employee for making a good faith report of alleged violations of our Company's policy against discrimination, harassment, or offensive behavior; opposing any practice believed in good faith to be unlawfully discriminatory; or participating in an internal or government investigation of possible discrimination. Any employee who engages in prohibited retaliation will receive appropriate discipline, up to and including termination.

PROHIBITION OF SEXUAL HARASSMENT
The Alton & Southern Railway Company prohibits sexual harassment of employees, contractors, customers, visitors, and others that employees may come in contact with while working, representing the Company, or while on Company travel. The Alton & Southern Railway Company prohibits unwelcome sexual advances, requests for sexual favors, and other verbal or physical behavior of a sexual nature when:
1. Submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment;
2. Submission to or rejection of such conduct by an individual is used as the basis for employment decisions affecting such individual; or
3. Such conduct has the purpose or effect of unreasonably interfering with an individual's work performance, or creating an intimidating, hostile, or offensive work environment.

*Complaints of sexual harassment** **MUST** be reported at once to the EEO Department in Omaha at 1-866-877-3362.

PREGNANCY & CHILDBIRTH
As required by federal and state law, The Alton & Southern Railway Company treats women affected by pregnancy, childbirth or related medical conditions at least as well as other employees with temporary disabilities.
REASONABLE ACCOMMODATION OF DISABILITIES AND RELIGIOUS BELIEFS
As required by federal and state law, The Alton & Southern Railway Company will make reasonable accommodations for persons with statutorily protected disabilities when this will permit the person to perform the essential functions of the job and does not impose an undue hardship. The Company will also make reasonable accommodation for the religious needs of employees where such accommodation can be made without undue hardship. Persons wishing to request reasonable accommodation of a disability or religious beliefs should contact the EEO Department at 1-866-877-3362.

AFFIRMATIVE ACTION PROGRAMS
The Alton & Southern Railway Company undertakes affirmative action to hire and advance qualified minorities, females, individuals with disabilities, and eligible veterans. Under its affirmative action program for minorities and females, The Alton & Southern Railway Company undertakes good faith efforts to correct any areas of underutilization and monitors its employment practices for potential discrimination. Persons who would like more information about The Alton & Southern Railway Company's affirmative action are invited to contact the EEO Department at 1-866-877-3362.

FAMILY AND MEDICAL LEAVE ACT
Under the FMLA, the Company provides eligible employees up to 12 weeks of unpaid leave each year (which in certain circumstances may be a combination of paid and unpaid leave) for qualifying FMLA-related conditions. Leave is provided for the birth or adoption of a child, placement of a foster care child, care of a spouse, child or parent with a serious health condition or for the employee's own serious health condition. Please consult the General Manager’s Office for further information about FMLA leaves.

GOVERNMENT AGENCIES
In addition to reporting complaints of discrimination or harassment to The Alton & Southern Railway Company, General Manager’s Office, you have the right to file a complaint with the federal Equal Employment Opportunity Commission or a local employment rights agency. Telephone numbers for these agencies may be obtained from the posters at each facility or from the EEO Department.

COMPLIANCE EXPECTATIONS
The Alton & Southern Railway Company expects each of its employees to be thoroughly familiar with the Policy Directives and make certain that their everyday actions are in compliance. Violation of these policies will result in appropriate discipline, up to and including termination.
ALTON & SOUTHERN RAILWAY COMPANY

ATTENDANCE POLICY

As an Alton and Southern employee, you were hired for and are expected to protect your job assignment on a full-time basis. “Full-time” means being available to work your assignment, whether regular or extra, whenever it is scheduled to work. Assigned rest days, layover days, and compensated days off are available to you for personal business. In addition, reasonable personal lay-offs may be granted if the needs of service permit.

*It is your responsibility to notify your manager, in advance of layoffs if possible, on personal or family issues that may affect your ability to work full time. Substantiating documentation is expected and may be required. However, notification and documentation alone do not excuse your responsibility to protect your job. You may be considered in violation of this policy regardless of the explanation offered if you are unable to work full time and protect all employment obligations.*

In cases where an employee does not work full-time, the following policy is applicable.

1. Employees who do not work full time will be identified. Identification will include employees with:
   a. Frequent, or pattern of, weekend layoffs.
   b. Frequent, or pattern of, holiday layoffs.
   c. Frequent, or pattern of, extending rest days.
   d. Frequent personal layoffs.
   e. Frequent sick/sickness in family layoffs without current medical documentation provided in advance when possible.
   f. Lower availability/ work days when compared to peers.
   g. Missed Calls/Layoff on Call/No Show.

2. If the employee’s attendance record warrants, an investigation will be held; and, if appropriate, discipline will be issued based on the results or the investigation.

3. Discipline under this policy is independent of and separate from “other” discipline that may be assessed.

4. Discipline assessed for first and second violations of this policy will consist of a Notice of Discipline advising the employee he/she has been found guilty of “First Offense” or “Second Offense” of this policy. Employees will be expected to mark up for service immediately and to work full-time following the first and second investigations.

5. A “First Offense” violation of this policy will remain on the employee’s record for thirty-six months of active service starting with the date of the Notice of Discipline. If no further violation of this policy occurs during this time, the employee’s attendance record will be considered clear.

6. A violation during these thirty-six months of active service following a “First Offense” will result in a “Second Offense” violation of this policy and a new thirty-six-month period of active service will begin, starting with the date of the second Notice of Discipline. If no further violation of this policy occurs during this time, the employee’s attendance record will be considered clear.

7. A violation during the thirty-six months of active service following the date of the Notice of Discipline assessing “Second Offense” will result in permanent dismissal.

8. Employee’s must be allowed the opportunity to discuss waivers of a formal hearing with Union Representatives for First and Second Offenses when considering whether to waive or proceed with hearing. The “thirty-six month retention period” outlined above will be reduced for thirty-six months to thirty months should an employee choose to waive his/her investigation.
ALTON & SOUTHERN RAILWAY COMPANY

WEAPONS POLICY

Alton Southern employees and all other individuals on Company property or involved in Alton Southern business off Company property are prohibited from possessing or concealing weapons on their persons and in their vehicles, which includes but is not limited to grips, suitcases, gym bags and purses. This prohibition applies even if the individual is licensed to carry a concealed handgun under state law. Only Alton Southern Police and on-duty law enforcement officers acting in an official capacity are authorized to possess weapons on Company property. For purposes of this policy, a "weapon" shall mean any device, instrument, material or substance (animate or inanimate) that is used for, or is readily capable of, causing death or bodily injury. This prohibition includes but is not limited to firearms, knives with a blade longer than three inches, tasers, stun guns and pepper sprays. Alton Southern Police are authorized to make the final determination of whether a particular item constitutes a weapon under this policy.
Hearing Conservation Policy and Program

The policy of The Alton & Southern Railway Company (ALS) is to protect its employees from the risk of hearing loss by:

- Providing hearing conservation education and training;
- Providing audiometric testing to employees in accordance with the hearing conservation regulations identified below and to employees who require engineer licensure;
- Assessing employee noise exposures through well established industrial hygiene procedures;
- Providing approved hearing protection; and
- Identifying and, where feasible, eliminating noises exceeding action levels as defined in applicable federal and state regulations.

The Hearing Conservation Program meets or exceeds the requirements of 29 CFR 1910.95 (General Industry), 29 CFR 1926.52 (Construction) and 49 CFR 227 and 229 (DOT/FRA “Occupational Noise Exposure for Railroad Operating Employees”). In states where federal OSHA has ceded jurisdiction to state OSHA agencies, this program complies with state hearing conservation programs. 29 CFR 1910.95 and 29 CFR 1926.52 and state equivalent regulations apply to ALS non-train, engine and yard employees. 49 CFR 227 and 229 apply to ALS train, engine and yard employees.

1.0 Program Specifications

1.1 As required under federal and state guidelines, the hearing conservation program is developed and implemented to cover all employees subjected to noise exposures equal to or exceeding an 8-hour time-weighted average sound level (TWA) of 85 decibels measured on the A scale (slow response) or, equivalently, a dose of fifty percent.

1.2 The hearing conservation program requires all employees to wear approved hearing protection in identified hearing protection areas, and as specified in departmental instructions. Employees are also encouraged to wear hearing protection in any other area as needed for safety and personal comfort.

1.3 The hearing conservation program implements -

Safety Rules 71.2:

71.2: Hearing Protection
Wear approved hearing protection devices, as specified by manufacturer, in areas designated by signs or outstanding instructions, or as specified by a supervisor. Approved hearing protection devices are stock devices defined in the Personal Protective Equipment Catalog. In some cases, wearing dual protection devices is required, which consist of ear plugs plus muffs.

71.2.1: Service, Repair and Mechanical Facilities
Hearing protection is required when working in or around the following service, repair, or mechanical areas:

1. Car and Locomotive Shop Buildings. When working in open-sided or enclosed car and locomotive shop buildings. EXCEPTION: Persons in low noise areas, identified by Safety Department, are not required to wear hearing protection.

2. Car Repair or Service Track Buildings. When working in open-sided or enclosed areas where cars are repaired or locomotives are fueled or serviced. EXCEPTION: When in offices with doors and windows closed, these areas do not require hearing protection.
3. Load Testing, Sand Blasting, or Grit Blasting Areas. When working close to or within areas where load testing, sand blasting or grit blasting equipment is in operation.

4. Mechanical Facilities. When working in or around mechanical facilities designated by a sign or instructions.

71.2.2: Locomotives
Employees must wear hearing protection anytime they are within a radius of 100 feet of a locomotive. However, hearing protection is not required for employees who are inside the cab with the cab doors and windows closed.

71.2.3: Near Retarders
Hearing protection is required within 150 feet of master, group, or inert retarders during humping and trimming operations. Dual hearing protection (ear plugs and muffs) is required within 10 feet of master and group retarders during these operations.
When near operating retarders:
- Engine windows and doors must be closed when passing through operating retarders. All occupants must be inside the locomotive cab.
- Do not ride a car through operating retarders.

Exception: Hearing protection is not required when riding through or working around Dowty retarders, unless protection is needed for other purposes.

71.2.4: Roadway or Work Equipment
Hearing protection is required within 100 feet of operating roadway or work equipment.

71.2.5: Jet Blowers or Pile Drivers
Hearing protection is required within 150 feet of operating jet blowers or pile drivers.

71.2.6: Other Equipment and Tools
Hearing protection is required when operating or within 15 feet of any of the following equipment or tools in operation:
- Welding or cutting equipment (oxy-fuel, gas, or electric).
- Abrasive wheel grinder or sander (pedestal, bench, or portable).
- Air lance or nozzle (for blowing compressed air).
- Chain saw.
- Nail gun (air or powder-actuated).
- Power saw, planer, router, or joiner.
- Equipment or tools powered by:
  — Air
  — Combustion engine
  — Electricity
  — Hydraulic
  — Pneumatic
  — Steam
2.0 Program Procedures

2.1 Availability of hearing protection. Approved hearing protection is available to all employees, not just those required to have them in accordance with regulatory requirements. Hearing protection is approved by the ALS Management.

2.2 In conjunction with providing hearing protection, ALS conducts audiograms following these guidelines:

2.2.1 All new employees are to receive a pre-employment audiogram. This audiogram is a part of the hiring process, and is paid for by ALS.

2.2.2 Annual audiograms are available to employees in accordance with the regulatory requirements identified in the first paragraph of this policy. ALS maintains an annual testing program through the use of mobile testing vans, mechanical shop, ALS nurse and local medical treatment facilities designated by the Occupational Health Nurse. These audiograms are paid for by ALS. If you would like more information about where to schedule a hearing exam, please call the Occupational Health Nurse at 618-482-3557.

2.2.3 Prior to their audiogram, employees should not be exposed to workplace noise. Testing shall be preceded by at least 14 hours without exposure to occupational noise. Hearing protectors may be used as a substitute for the 14 hours without exposure to occupational noise.

2.2.4 Audiograms are given by qualified health professionals and evaluated by an audiologist.

2.3 Training is available to all non-TE&Y employees annually, or more often as the need arises. The topics covered in the training include, but are not limited to:

- The effects of noise on hearing;
- The purpose of hearing protectors;
- The advantages, disadvantages, and attenuation of various types of hearing protectors;
- Instructions on selection, fitting, use, and care of hearing protectors; and
- The purpose of audiometric testing, and an explanation of the test procedures.

Training is offered to TE&Y employees annually. Training is required for TE&Y employees every three years. Training is provided by TE&Y trainers every two years. The topics covered in the training include, but are not limited to:

- The effects of noise on hearing;
- The purpose of hearing protectors;
- The advantages, disadvantages, and attenuation of various types of hearing protectors;
- Instructions on selection, fitting, use, and care of hearing protectors;
- The purpose of audiometric testing, and an explanation of the test procedures.
- An explanation of noise operational controls, where used;
- General information concerning the expected range of workplace noise exposure levels associated with major categories of railroad equipment and operations and appropriate reference to requirements of the railroad concerning use of hearing protectors;
- The purpose of noise monitoring procedures;
- The availability of a copy of applicable federal guidelines, and explanation of the requirements of applicable federal guidelines as they affect the responsibilities of
employees, and employees’ rights to access records under the applicable federal guidelines;
- How to determine what can trigger an excessive noise report; and
- How to file an excessive noise report.

2.4 Locations

All employees are required to wear approved hearing protection in areas designated by signage or identified by outstanding instructions.

2.4.1 Mandatory Areas - Specific areas where hearing protection is required are indicated in Safety Rule 71.2, Hearing Protection.

As an example ear muffs are required to be used with 50 feet of the load test area. The signs below “EAR MUFFS USE REQUIRED WHEN LOAD TESTING LOCOMOTIVES: and EAR MUFFS REQUIRED WITHIN 50 FEET WHEN LOAD TESTING LOCOMOTIVES” are to be posted within the area and around the area, respectively.

2.4.2 Identification - Hearing protection locations where signs cannot be installed due to close clearance will be outlined by white boundaries and described in outstanding instructions or hearing protection locations where signs can be installed will be identified as follows:

Fixed areas - Clarifying words can be added to the sign, such as "During Humping Operations."

Areas around fixed equipment or portable on-track equipment - Distances are specified in Safety Rules 71.2 through 71.2.6.

Power hand tools and equipment (as designated by departmental instructions.)

When potentially damaging noise is identified, the following steps will be taken:
Hearing protection shall be required by the user and those employees within the distance specified in departmental instructions; and

A "CAUTION - HEARING PROTECTION IS REQUIRED" sticker shall be applied as identified in departmental instructions.

**Store Item Number of available signs:**

- 390-5980 "Caution - Ear Muffs Required Within 50 Feet When Load Testing Locomotives" Adhesive Sign (10"x14")
- 390-5975 "Caution - Ear Muffs Required Within 50 Feet When Load Testing Locomotives" Plastic Sign (10"x14")
- 390-5965 "Caution - Ear Muff Use Required When Load Testing Locomotives" Adhesive Sign (10"x14")
- 390-5970 "Caution - Ear Muff Use Required When Load Testing Locomotives" Plastic Sign (10"x14")
- 390-0570 "Caution - Hearing Protection Required When This Equipment is Operating" (7"x10")
- 390-0575 "Caution - Hearing Protection Required When Within 100 Feet Of This Machine" (7"x10")
- 390-0580 "Caution - Hearing Protection Required When Within 150 Feet Of This Machine" (7"x10")
- 390-0565 "Caution - Hearing Protection Required When This Equipment Is Operating" (2 1/4"x2 1/2")

### 3.0 Responsibilities

#### 3.1 All affected departments –

- Implement the hearing conservation program;
- Train employees according to regulatory requirements and ALS policy;
- Insure employee participation in the audiometric testing program;
- Enforce and audit the proper use of hearing protection;
- Assist the ALS Management in the designation of areas and job assignments requiring hearing protection;
- Assist the ALS Management in formulating programs for noise abatement that comply with applicable federal, state, and company rules and regulations;
- Initiate and fund engineering work requests for noise studies or design changes; and
- Complete noise abatement modifications.

#### 3.2 Law Department will provide legal counsel.

#### 3.3 Operating Department

- Assist all departments in formulating noise abatement programs that comply with applicable federal, state, and company rules and regulations;
- Provide engineering assistance to complete the noise abatement programs;
- Develop specifications for noise emissions from new and altered equipment;
- Review the status of noise abatement programs;
- ALS will require completion of face-to-face PowerPoint “Hearing Conservation” training for TE&Y employees and assign Training Code Q237 typically during Rules Training or through QSM format;
ALS may offer the equivalent training annually, documenting Training Code Q237; Assure that all TE&Y employees are offered annually and have an audiometric test at least once every 3 years; and Mechanical, Engineering and other departments affected by 29 CFR 1910.95 will complete training using training video S-299-03 and assign trained employees Training Code HCPT only.

3.4 ALS Management
- Develop and assist all departments in the implementation of hearing conservation plans;
- Assist all departments to obtain engineering assistance and provide a liaison, as necessary, with noise engineering, health, and safety consultants;
- Coordinate noise surveys of the ALS to ensure adequate information is available for the hearing conservation program;
- Assist in the development of equipment noise emission specifications; Conduct studies to determine effectiveness of hearing protection, noise abatement, and hearing conservation programs;
- Approve hearing protection in conjunction with the ALS Management; Maintain electronic files in accordance with applicable regulations and company rules; and
- ALS will post, in the appropriate yard offices, summaries of the results of noise monitoring on TE&Y employees completed by ALS Management.

3.5 Occupational Health Nurse
- Coordinate audiometric testing;
- Maintain audiometric test records and other medical hearing conservation electronic files;
- Provide to the other departments status reports of employee completion of audiometric testing;
- Conduct analysis of audiometric test results.
- Identify local medical resources needed to provide audiometric testing for employees;
- Develop and implement procedures to notify employees of audiometric test results;
- Approve all hearing protection in conjunction with the ALS Management; and
- Assure that all TE & Y employees are offered annually and have an audiometric test at least once every 3 years.

3.6 Labor Relations and Human Resources Department
The Labor Relations and Human Resources Departments will assist in the implementation of the hearing conservation program by coordinating work practice changes with agreement and non-agreement employees.

3.7 Supply Department
The Supply Department will purchase approved hearing protection and assure an adequate supply for the ALS system.
## ALS STOCK-LISTED HEARING PROTECTION

All of the hearing protection devices in this hand out have been selected by ALS Safety for maximum hearing protective ability and comfort. Please use ONLY ALS Safety approved hearing protection. If you have questions about these devices, please contact your local supervisor.

### EAR PLUGS

<table>
<thead>
<tr>
<th>Model Name</th>
<th>Part Number</th>
<th>Noise Reduction Rating</th>
<th>Box Quantity</th>
</tr>
</thead>
<tbody>
<tr>
<td>AEARO Classic Ear Plugs</td>
<td>383-40500</td>
<td>29 dB</td>
<td>200 pair/box</td>
</tr>
<tr>
<td>AEARO Ultrafit Ear Plugs with cord &amp; case</td>
<td>383-40600</td>
<td>25 dB</td>
<td>50 pair/box</td>
</tr>
<tr>
<td>AEARO Ultrafit Ear Plugs with cord</td>
<td>383-40610</td>
<td>25 dB</td>
<td>100 pair/box</td>
</tr>
<tr>
<td>HOWARD S. LEIGHT Max Ear Plugs with cord</td>
<td>383-40550</td>
<td>33 dB</td>
<td>100 pair/box</td>
</tr>
<tr>
<td>NORTH Deci-damp Ear Plugs</td>
<td>383-40450</td>
<td>29 dB</td>
<td>200 pair/box</td>
</tr>
<tr>
<td>MOLDEX Rocket Ear Plugs with cloth cord</td>
<td>383-41070</td>
<td>26 dB</td>
<td>50 pair/box</td>
</tr>
</tbody>
</table>
### EAR MUFFS

<table>
<thead>
<tr>
<th>Model</th>
<th>Description</th>
<th>Noise Reduction Rating</th>
<th>LOA</th>
</tr>
</thead>
<tbody>
<tr>
<td>Bilsom Leightning L3 Ear Muff</td>
<td>383-90300</td>
<td>30 dB, one pair</td>
<td></td>
</tr>
<tr>
<td>Bilsom Leightning L3N Behind the Head Ear Muff</td>
<td>383-90600</td>
<td>28 dB, one pair</td>
<td></td>
</tr>
<tr>
<td>Bilsom Leightning L3 Hard Hat Mounted Ear Muff</td>
<td>383-90550</td>
<td>27 dB, one pair</td>
<td></td>
</tr>
<tr>
<td>Bilsom Leightning Low Profile Ear Muff</td>
<td>383-90500</td>
<td>22 dB, one pair</td>
<td></td>
</tr>
<tr>
<td>Bilsom Viking Ear Muff, Multiple-Position</td>
<td>383-41880</td>
<td>23 dB, one pair</td>
<td></td>
</tr>
<tr>
<td><strong>Peltor Hear Plugs</strong> amplified ear plugs for use with radios</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>-------------------------------------------------------------</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>383-41000, one pair</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.5 mm size plug for Motorola HT1000 or MT2000 radios</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>OR</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>383-40930, one pair</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.5 mm size plug for Kenwood radios</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Replacement plugs</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Ultrafit Style NRR 21  383-4110</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Classic Style   NRR 29   383-4115</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Peltor Push To Listen Amplified Ear Muff</strong>, one pair</th>
</tr>
</thead>
<tbody>
<tr>
<td>383-42950  Behind the head style</td>
</tr>
<tr>
<td>383-42970  Hard Hat Mount</td>
</tr>
</tbody>
</table>
Item 4-G Instructions for Inspecting, Welding and Grinding of Rail and Track Components Chapters 100 to 119
Item 4-H  Chief Engineer Instruction Bulletins, Chapters 120 to 140
Item 4-I  Hazardous Materials Instructions
Item 4-J  Mechanical Department (Maintenance Operations)

GCOR Chapters 1 - 17

The following instructions modify rules or clarify the application for the Mechanical Department.

2.21 Electronic Devices

1. Application Cell Phones
   - Cellular phone usage applies to any device (company supplied or personally owned) that provides the following types of functions:
     - Sends or receives phone calls.
     - Sends or receives text messages.
     - Provides internet access.
     - Allows reading or sending of email.
   - This applies while:
     - On duty.
     - On company property whether on duty or off duty.
     - Operating a company vehicle.
     - While conducting company business whether on duty or off.
     - All persons while in a mechanical department facility.

Note: This policy does not prohibit use of cellular phones in an emergency.

2. Personal Use of Cell Phones
   - Personal use of cellular phones must be limited to designated break and meal periods.
   - Personal use of cellular phones must be restricted to designated break areas or office areas. Cellular phones used exclusively for personal use must be turned off except when in a designated break area or office.
   - Cellular phones used exclusively for personal use must be off except during designated break and meal periods.
   - Personal use of cellular phones except as shown above demonstrates an indifference to duty and a careless attitude toward safety.

3. Cell Phone Cameras
   Use of cellular phone cameras is prohibited except when authorized by mechanical department supervisors.

4. Business Use of Cell Phones
   - Employees must ensure that cell phone usage does not compromise the safety of themselves and others. Make a Safety Stop before responding and talking on a cell phone.
   - Cellular phones must not be used while:
     - In a red zone.
     - Walking.
     - Operating any vehicle (locomotives, car movers, forklifts, scooters, man lifts, etc.)
     - Operating machinery.
     - Moving locomotives.
     - Performing any safety sensitive work activity
     - In the line of fire.
     - Standing foul of any track.
     - In close proximity of operating machinery.
5. **Specific Rules While In A Motor Vehicle**
   - Passengers may use cell phones or computers as long as their use doesn’t distract the driver from safely operating the equipment.
   - Obey all federal, state and local regulations.
   - Use of cell phones is prohibited while operating a motor vehicle unless hands free device is used. This includes dialing, unless voice activated dialing or speed dialing is available. Cell phones may be used when stopped on other than a roadway. Reference Rule 74.3 Driver Responsibility.

6. **Application Entertainment Devices and Games**
   - The use of entertainment devices is prohibited while on duty or on company property. Entertainment devices include IPods and similar type devices. Devices that show videos.
   
   **Note:** Many cellular phones have entertainment and gaming features. Possession of cellular phones with these features is permitted, but use of these features while on duty or company property is prohibited.
   - Playing games does not have any purpose at work and is prohibited. The following are examples (but not limited to) of games:
     - Personal gaming devices.
     - Cards
     - Board games
     - Dice
     - Dominos

5.3.6 **Radio and Voice Communication**
Employees may use radio and other means of voice communication to give information when using hand signals is not practical.
Employees must make sure crewmembers:
   - Know which moves will be made by radio communication.
   - Understand that while using the radio, the engineer will not accept any hand signals, unless they are Stop signals.

**Mechanical Department Application**

**Locomotive Consists**
Hand signals are to be used for all movements when handling locomotive consists or motive equipment without cars and when the equipment is in clear view. Use the radio only when the equipment is not in sight of the employee giving the signals or in case of emergency.

**Car Movements**
Car movements should be handled with hand signals unless the length of the cut, spotting procedures or other conditions require the use of radio.

**All Movements**
Employees must job brief before the movement and all employees involved in the movement must know which moves will be made by radio communication. While the radio is being used, the hostler or employee controlling movement will not accept any hand signals, unless they are Stop signals.

6.5 **Shoving Movement**
When radio communication is used to make movements, crew-members must respond to specific instructions given for each movement.
- Radio communications for shoving movements must specify the direction and distance and must be acknowledged when distance specified is more than four cars.

*Movement must stop within half of the distance specified unless additional instructions are received.*
When the radio is used, distance and direction must be acknowledged when ANY distance is specified.

5.13 Blue Signal Protection of Workmen

Section B How to Provide Protection

Section C Blue Signal Readily Visible To Engineer.

Additional tasks in locomotive department requiring blue signal/flag protection include:

- Troubleshooting, obtaining downloads, load testing, power testing, wheel truing, drop pit units or the use of any test equipment directly attached to the locomotive.
- Inbounding and outbounding checks, testing and card tasks.
- Opening an electrical door or electrical panels and the vertical plane of the door or panel is broken with any part of the body.
- Inspecting trucks or other components under the main frame carbody and the vertical plane is broken with any part of the body.
- Fueling locomotives in mechanical department facilities

Individual Tag

- Each locomotive department employee will affix a blue ID tag with their name and craft to the blue signals/flags. A separate red tag "working below" may be clipped to the blue ID tag to indicate who is working below.
- When work is completed each employee will remove their blue tag(s) from the blue signal/flag. The last employee to remove their blue tag will check to be certain that no other employees are on, under, or between the equipment and then remove the blue signals/flags.
- Mechanical locomotive employees making repairs outside of a designated facility must apply a blue id tag to the isolation switch of the lead unit.
- When boarding equipment employees must visually check for a blue tag on the isolation switch of the controlling locomotive. If a blue tag is present, the controls (including the horn, bell, and electrical switches) must not be operated until the blue tag is removed or instructed to operate equipment by the person who placed the tag on the isolation switch.

Remote Control Locomotives (RCL)

Prior to placing blue signal/flag protection, ensure that the remote control function has been disabled.

- RCL (including RCL slug units) must have the remote control selector switch placed in the “Manual Position”. When applicable, the remote control air brake isolation valve must be placed in "Manual Position".
- When outside of a designated facility all mechanical department employees making repairs to a remote control locomotive or rolling equipment attached to RCL and/or RCL slug units must apply a blue ID tag to the remote/manual selector switch.
- RCL may be placed in remote mode under blue flag protection to service equipment/functions only when all of the following requirements are met:
  1. Employee placing locomotive in remote mode has been trained to repair and operate RCL.
  2. Employees involved on the unit and/or track are job briefed and warned against possible inadvertent movement of locomotive.

Distributed Power Units - Servicing Or Repairing On Other Than A Main Track

- When servicing or repairing a locomotive in a DPU consist or DPU train, the front and rear of the DPU consist or DPU train must be protected per Rule 5.13.
- When servicing or repairing a locomotive in a DPU consist or DPU train, a blue signal with individual tag (s) must be applied on the lead controlling locomotive.
- When servicing or repairing a locomotive in a DPU consist or DPU train, any remote locomotive that will be linked to the controlling locomotive, must have blue signal
applied. If any remote locomotive to be linked is not in the rear most position, the rear most locomotive must also have blue signal applied.

Radio Linking
Blue signal protection is not required when radio linking unless required to work between the equipment.

Tasks Not Requiring Blue Signal Protection
The following list of tasks is all inclusive. If the task is not on this list then it requires blue signal protection:

- Supplying cabooses, engines, or passenger cars with items such as ice, drinking water, tools, sanitary supplies, stationery, or flagging equipment.
- Making visual observations while on or alongside a caboose, engine, or passenger car. Repositioning the activation switch or covering the photoelectric cell of the marker when the rear of the train is on the main track. The employee inspecting the marker must contact the employee controlling the engine to confirm that the train will remain secure against movement until the inspection is complete.
- Starting, shutting down and checking engine oil dipstick.
- If a blue signal is not available for employees performing emergency repairs on, under, or between an engine or rolling equipment coupled to an engine, the employee controlling the engine must be notified and appropriate measures taken to provide protection for the employees.
Minimum Blue Signal Requirements - System

**READY TRACKS**

* Entry to designated area flagged and switch locked (Mandatory)

**SERVICE TRACKS**

* Entry to designated area flagged and switch locked (Mandatory)

**SHOP TRACKS**

* Locked switch w/Blue Signal
  (Switch lined against movement)
5.14 Signs Protecting Equipment

Application:
The loading and unloading of sand for sand towers, the unloading of fuel or other similar operations should be protected by a sign reading “Stop, cars being loaded or unloaded”. This sign should be placed at the location providing positive protection for the track(s) being used, either at each switch providing access to the track and the switch lined and locked to prevent movement to that track or, at each fixed derail locked in the derailing position, preventing movement into the cars being protected.
7.6 Securing Cars or Engines

**Application:**

The following applies:

- Before working on rolling equipment a handbrake or chock must be applied to the equipment and to adjacent rolling equipment on the same track.
- Before coupling into or cutting away from a single, coupled and/or consisted locomotive(s), a minimum of one hand brake and air brakes (if charged) must be applied.
- When left unattended on non-grade (no slope) track, a minimum of one handbrake will be applied to any uncoupled locomotive; any group of coupled locomotives and any locomotive consist.
- When rolling equipment is left unattended on grade (sloped) track, 100% of the handbrakes will be applied.
- When work requires the hand brake to be released, alternative means such as chocks or coupling to another locomotive, coupled and/or consisted locomotives with a hand brake set must be used to prevent movement.
- On units with under slung brake cylinders (attached to brake levers between the wheel versus mounted on the truck) insure the valve bleeds the air brakes off the truck when applying the hand brakes. If the brakes do not bleed off cut the truck out, apply the hand brake and cut the truck back in.

**Switching or Spotting Operations in Car and Locomotive Shop Tracks**

In addition to compliance to Rule 81.10; 81.5.4 and supplement moving equipment in locomotive, car or maintenance of way repair facilities, the following also applies:

- Any ground crew member intending to foul track or equipment must notify the operator before such action can take place. Operator must then apply the brakes and have reverser centered or car mover in neutral, and then confirm this action with the individual on the ground. e.g. “UP Smith to car mover/loco unit #1234 going into the red zone to adjust the knuckle/drawbar -- over” to which the operator will respond "Car mover/loco unit #1234 to UP Smith. I understand. I am set and centered - out". If equipment is not equipped with a reverser, it must be placed in neutral or park with the brakes applied. Job briefing and/or agreed upon hand signals may be used to accomplish the above.
- Any ground crew member that intends to adjust knuckles/drawbars must ensure that the equipment to be coupled into is separated by no less than 50 feet. Also the person on the ground must ensure that the equipment will not move ensuring that sufficient hand brakes or wheel chocks are applied.
- After exiting the red zone, ground crew member should signal/notify the locomotive/car mover operator that they are clear of the red zone.

**Working In Bowl and Yard Tracks or Main Tracks**

**Application:**

- Contact train crew and yardmaster confirming intentions to make repairs to cars and/or locomotives.
- Apply blue signal protection including locking out the track.
- Ensure 2x2x2 requirements are met. Equipment is separated at least 2 car lengths (100 feet) and wait 2 minutes (to assure that all equipment is at rest) before stepping between the rails. Also apply 100% handbrakes on standing equipment opposite of equipment that requires repair.
- When possible, work in team of two to allow for making repair and observe for unexpected movement, then effect repairs.
- Mechanical forces will apply the automatic brake with a 20-psi brake pipe reduction after completion of the air brake test.
Securing Rerailed Equipment at Derailments

Application:
- Comply with rules on properly securing cars and locomotives and the instructions in the first paragraph of this supplement.
- Be aware that all equipment may not have functional handbrakes and that necessary precautions must be taken to secure this equipment, i.e. coupling to another car or locomotive with a good handbrake applied and/or properly chocking the wheels.
- When rerailing operations are being performed on any grade (sloped) territory a derail will be applied to the low end of any track (including the mainline if applicable) on which rerailed cars are positioned. Portable derails are to be used if permanent derails are not available and placed as close to the equipment as feasible. Contractors are also required to comply with this rule.

8.20 Derail Location and Position

Application:
If a derail used for blue flag protection is found in the derailing position and is not being used in conjunction with Rule 5.13, employees are to:
- Warn oncoming rolling equipment to stop.
- Notify supervisor or manager by quickest available means.
- Place derail in non-derailing position as instructed.

Safety Rules Chapters 70 - 90
The following instructions modify rules or clarify the application for the Mechanical Department.

72.12 Ignition Sources

Application:
1. Manager or foreman general will be notified that welding, heating or cutting must be used and the work cannot be moved to another location to perform the task.
2. The supervisor in charge of the area will see that all procedures and precautions are followed and a job briefing is developed and conducted.
3. The job briefing will include the following:
   - Only qualified employees will perform the welding, heating or cutting.
   - All personal protective equipment will be used.
   - The area must be cleaned with soap and flushed with water and no standing fuel or oil in the area. Also the area must be free of trash and debris.
   - All fueling operations within 50 feet of the operation must be stopped. This includes adjacent pits or fueling locations.
   - All individuals in the area must be notified that welding, heating or cutting will be taking place.
   - A fire watch must standby during the entire operation and be trained to operate and use the fire extinguishing equipment.
   - Potential hazards associated with the work are identified and discussed during the job briefing. This could include: securing the material being removed, equipment to handle the material or other special needs.
79.5 Equipment Condition

Application:
The proper sequence of closing the cylinder valves and torch valves after use will be explained.

All oxygen and fuel gas torches will be tested per the following procedure:

A. Check oxygen hose from the cylinder/manifold to the torch.
   1. Connect oxygen hose to the torch. Disconnect fuel gas hose at the torch.
   2. Close all valves on torch.
   3. Open oxygen supply valve on cylinder/manifold. Set regulator at 25 psi.
   5. Observe high and/or low pressure gauge for one minute on the regulator for leakage. If leakage is observed, check connections, hose, and regulator nut. Repair. Start again at A. If no leakage is observed, proceed to B.

B. Check torch
   1. Apply the test fixture to the torch tip.
   2. Open all torch valves. Depress high pressure cutting lever. A small drop in pressure will occur. Pressure should stabilize.
   3. Observe high and/or low pressure gauge for one minute on the regulator for leakage. If leakage is observed, check test fixture, connections, tip, tip nut, and lever valve. Make repair. Open the oxygen supply valve on the cylinder/manifold. Set regulator at 25 psi. Close oxygen valve, back out adjusting screw on regulator. Start again at B. If leak still present after second test, remove torch from service. If no leakage is observed, proceed to C.

C. Check fuel from the cylinder/manifold to the torch.
   2. Open fuel supply valve on cylinder/manifold and set pressure to 10 psi.
   4. Observe high and/or low pressure gauge for one minute on the regulator for leakage. If leakage is observed, check connections, hose and regulator nut. Repair. Start again at C. If no leakage is observed, proceed to D.

D. D. Purge system of mixed gases.
   1. Purge the system.
   2. Open supply valves on cylinder/manifold for oxygen and fuel gas.
   3. Set regulators to operating pressures.

After torch test is complete, a tag must be placed on the oxygen regulator to indicate test date and initials of individual performing the torch test.

When you have finished your cutting/welding operation ensure the following:
   6. First, shut off the torch oxygen valve. Then, shut off the torch fuel valve.
   7. Close both cylinder valves.
   8. Open the torch handle oxygen valve. Let the oxygen in the system drain out. Close the torch oxygen valve.
   9. Turn the adjusting screw on the oxygen regulator counterclockwise to release all spring pressure.
   10. Open the torch handle fuel valve. Release the pressure in the system. Close the torch fuel valve.
11. Turn the adjusting screw on the fuel gas regulator counterclockwise to release all spring pressure.
12. Check the high pressure gauges after a few minutes to be sure the cylinder valves are turned off completely.
13. If the cylinders are mounted in a service truck the operator must insure that the above procedure is completed prior to the cabinet doors being closed.

80.23 Fall Protection

Instructions:
The use of fall protection anywhere a worker is subjected to a fall of four feet or greater (thirty inches or greater in California). A risk assessment for fall hazards should also be made for job sites where fall distances are less than those listed above. If the risk assessment warrants a personal fall protection system, it must be worn. Work activity performed on the sides of a car or locomotive that meet the above height guidelines can be met with a work positioning harness and lanyards while tethered to a fixed ladder rung or handhold or while operating out of a boom type man lift with fall restraint / arrest systems (e.g. change out front or rear locomotive headlights). Work on top of cars or locomotives must either utilize an overhead fall protection system or the appropriate man lift with equipped fall restraint / arrest system. Work done while standing on a portable ladder (less than 20 feet in height) does not require fall protection.

Employees must be properly trained in the use of fall protection. If fall protection is not available and/or the employees are not trained, then the work cannot be done until these conditions are met.

Written Plan

Local fall protection minimum requirements in written plan will include:

- Identification of tasks with a fall hazard of four feet or more (30 inches in California).
- Annual employee fall protection awareness training (Mecs 04).
- Local rescue and retrieval procedure in the event of a fall.
- Pre use and annual inspection of fall protection equipment.
- Performance evaluations check and adjust training as required.

Each individual must observe for oily, icy or slippery conditions and review the safety aspects of the job task looking for any at risk conditions that might create loss of balance or use of force. The supervisor or manager and employee will review the risk assessment and correct any safety issues before work is authorized to begin.

81.2.2 Sufficient Distance

Application:
In mechanical department facilities equipment must be separated at least 50 feet instead of 100 feet before going between the equipment unless protected by Rule 5.13.

81.5.2 Stepping from One Car to Another

Application:
When stepping between the decks of one multilevel car to the deck of a connecting multilevel car, maintain three point contact (two feet and one hand or two hands and one foot) and keep hands free of objects. When the distance between the cars is too great to maintain a comfortable three point contact, do not step between cars.
81.8.3 Impaired Clearances

**Application:**
Do not ride outside the cab of a locomotive, on the side of a moving car, or other equipment under impaired clearance conditions that will not allow safe passage, such as:

- Next to a structure (elevated ramps, sand towers, air emission towers, etc.).
- Through gates, doorways, into, out of or within buildings.

Before entering an impaired clearance area the:

- Movement must be stopped at least 20 feet from the impaired clearance area.
- Employee controlling the movement must get off the locomotive, or equipment, and precede it in the clear.
- Movement shall only be made upon signals from the controlling employee.

In addition, do not position yourself, or knowingly allow others to position themselves, between a structure and moving car(s), engine(s) or other equipment when clearance is impaired.

81.7 Riding Equipment

**Application:**
Car and locomotive department employees are prohibited from riding any freight car, hood cart or other specifically made device used to transport parts or material by rail.

81.10 Moving Equipment in Car and Locomotive Facilities

**Addition:**
These additions incorporate SOFA recommendations.

**Locomotive Movers**
Locomotive movers are required to wear ANSI approved orange reflective outerwear. Locomotive Movers will use a Company approved switching lantern at night or during foggy or other low visibility conditions.

**Two or More Locomotive Mover Crews**
When two or more locomotive mover crews are working in the same facility, extra precaution must be taken. Two or more crews are prohibited from switching in the same track or on adjacent track or tracks, at the same time, without establishing direct (face to face) communication with all other crew members involved. This communication must be in the form of a face-to-face job briefing.

**Training**
In order to move locomotives, an employee must be trained, certified, and be re-certified annually as a locomotive attendant or locomotive mover. The minimum qualifications are as follows:

Locomotive mover students must:

- Complete minimum classroom instruction of 3 days and pass a written exam with a score of 85% or better.
- Complete a minimum of 40 hours OJT (at least 8 hours must be during darkness).
- Successfully demonstrate and complete a final performance evaluation from a certified locomotive mover trainer.

81.15 Car Doors

**Addition:**
When opening or closing doors, keep fingers clear of the edge or door jamb, casting or rail on which the door travels. Keep your body clear of the door opening to avoid injury from falling freight.
Check box car doors for damage by thoroughly inspecting the top and bottom track and rollers. On plug doors examine the roller assembly, locking rods and all crank arms. Make sure the door is properly tracked before opening it. If the door is off track, take necessary precautions before opening it. If there is evidence of load shift, i.e. bulging door, take action to relieve the pressure on the car door before opening it. Guard against spinning or kicking of handles.

Do not move car, without door stops in place, unless the door has been secured by other means to prevent movement of the door.

Close and open doors with a mechanical device if normal force used by one person cannot accomplish the task. Use of excessive force is prohibited. Always position yourself in the clear, should the door fall, and be prepared for any sudden movement of the door. Use proper body positioning to prevent injury.

**Paragraph 4**

Paragraph 4 applies when mechanical assistance is required to slide a car door along its tracks. When checking door tracks for damage, also ensure that end stops are in place and in good condition.

When mechanical assistance is necessary, it could mean that the door assembly is unstable. Before any attempt is made to move the car door:

- All employees must be clear of the door, and out of the line of fire and the red zone.
- All door latching devices such as pins, wedges etc. must be suspended in a release position, by whatever means is available.
Item 5 Operating With Foreign Railroads

Item 5-A  ALS Crews Operating Over Foreign Railroads

Unless otherwise specified, operation over foreign railroads will be governed by the following:

- Operating Rules of the Foreign Railroad. However, may use ALS Conductor Report Form.
- Timetable and Special Instructions of the Foreign Railroad.
- ALS Air Brake and Train Handling Rules
- ALS Safety Rules.
- UPRR Instructions for Handling Hazardous Materials (Form 8620).
- Respect all restrictions listed in ALS Special Instructions unless foreign railroad’s requirements are more restrictive.

When operating on foreign railroads that have more restrictive speed restrictions for empty cars, consider any car as empty when the explanation in the Commodity column of the TCS consist shows NONREV or the car as a revenue empty (REVMTY or MTYTTX). This is true despite the entry in the Car Kind column.
Item 6 Tornado Watch and Warning Instructions

Background:
Tornadoes are the most violent of all storms. Paths of destruction range from a few hundred feet in width to more than a mile, and extend the length of a city block to three hundred miles. Rotating winds exceed 200 MPH. Forward travel varies from 5 to 70 MPH, with an average speed of 40 MPH. It is impossible to predict exactly where they will develop or touch ground. The greatest potential for such storms exists from April through September and ordinarily occur between noon and midnight, with more than 50% striking between 1500-1900.

Standard Personnel Protection:
In a home or office go to the basement, away from windows, and seek protection under a workbench, heavy table, stairway, or in a closet. In a building lacking a basement, go to an inner hallway or room, including bathrooms or closets, on the lowest floor. Cover yourself with heavy blankets to protect from flying glass and debris. If unable to reach one of the above areas safely, the nose compartment of a diesel unit is a suitable shelter. Abandon mobile homes.

Tornado Warning Means:
A tornado has been sighted or verified by the National Weather Service or by persons associated with official weather spotters. The crest yardmaster will keep trains informed of limits of Tornado Warnings. Train crews are to follow the instructions as outlined below:

- During a Tornado Warning, all train movements and yard activities must stop. Any train en route will stop and employees will seek appropriate shelter.
- Consistent with the safety of all involved, avoid stopping a train:
  - On high bridges,
  - Across railroad and highway crossings at grade, or
  - Anyplace where the presence of a train could be a hindrance.
- After a Tornado Warning has been cleared and such information has reached the train crews, if the path of the tornado crossed the tracks at their location or in the immediate vicinity, crew members must:
  - Inspect their train before moving to find out if any damage or derailment has occurred to the train;
  - Inspect track structure for signs of damage from the tornado.
- After inspecting the train and track, and the crest yardmaster has relayed the limits of the tornado's path, the train may go. However, be prepared to stop when approaching bridges, culverts and other points likely to be affected. If unable to go safely, stop the movement and do not resume movement until safe to do so. Advise the crest yardmaster of such conditions by the first available means of communication. In case of communication failure, strictly follow standard operating procedures.

County-Based Tornado Warning Means:
A tornado has been sighted or verified by the National Weather Service or by persons associated with official weather spotters somewhere within the county. The crest yardmaster will keep trains informed of limits of County-Based Tornado Warnings. Train crews are to follow the instructions as outlined below:

- During a County-Based Tornado Warning continue all train movements and yard activities, keeping alert for any signs of weather change. The danger signs to look for are severe thunderstorms, hail, roaring noise, a funnel cloud or any combination of the above.
- Always use the locomotive and/or handy-talkie radio to monitor instructions from the crest yardmaster.
- In the event a crew spots a funnel cloud, immediately notify the crest yardmaster consistent with the crew's safety, giving details as to the sighting.
- Any train or yard assignment having an occupied caboose, upon being notified of a County-Based Tornado Warning, will stop and move the occupants from the caboose to the locomotive consist. If while moving to the head end, the County-Based Tornado Warning turns into a Tornado Warning or a funnel cloud is spotted, the exposed persons should seek shelter in a nearby ditch, ravine, culvert, under a bridge, or in a depression. If none of these are available, lay face down on the ground with the hands over head. Be far enough away so the caboose or any other car in the train cannot topple on you.
### Item 7 Distant Signals

<table>
<thead>
<tr>
<th>RULE</th>
<th>NAME</th>
<th>ASPECT</th>
<th>INDICATION</th>
</tr>
</thead>
</table>
| 9.1.2 | Distant Signal Approach | ![Image](image) | Proceed prepared to stop before any part of train or engine passes the next signal or switch point indicator.  
The maximum speed is 20 MPH within interlocking limits or within the limits of the control point for which Distant Signal Approach is displayed at the distant signal. |

### Item 8 Block and Interlocking Signals

<table>
<thead>
<tr>
<th>RULE</th>
<th>NAME</th>
<th>ASPECT</th>
<th>ACS</th>
<th>INDICATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>9.2.1</td>
<td>Clear</td>
<td><img src="image" alt="Image" /></td>
<td></td>
<td>Proceed.</td>
</tr>
<tr>
<td>9.2.15</td>
<td>Stop</td>
<td><img src="image" alt="Image" /></td>
<td></td>
<td>Stop before any part of train or engine passes the signal.</td>
</tr>
</tbody>
</table>

Without number plates
Item 9 Roadway Signs

FOR CROSSINGS*
At locations where crossing signs are displayed sound whistle as required by Rule 5.8.2 (7) regardless type of crossing train is approaching.
* If a number sign is attached to the crossing sign, it shows the number of crossings for which the whistle signal is required.

DERAIL SIGN

YELLOW-RED FLAG
YELLOW
RED
GREEN
PROTECTING MEN
FLAG
FLAG
FLAG
OR EQUIPMENT

STOP SIGNS

STOP Signs

YARD LIMIT SIGN

PERMANENT SPEED
RESTRICTION SIGN

PERMANENT RESUME
SPEED SIGN

DTC Signs

Begin Mack Block

End Mack Block

Begin Granite Block
Item 10 Security Alert Instructions

To protect our employees, the general public and our railroad from terrorist acts, Security Alert Levels 1 - 4 have been established. As the Alert Level increases, the actions to be taken by our crew members also increases. The actions required by crew members include all actions for the current level, as well as those for the lower Alert Levels. For example, if Alert Level 3 is in effect, actions required in Alert Levels 1, 2 and 3 are required.

Definitions:

Alert Train:
Any train that is handling one or more hazardous materials in class 1.1, 1.2, 2.1, 2.3, anhydrous ammonia, any hazardous material shipment that requires the phrase "Poison or Toxic Inhalation Hazard" on the shipping paper, or otherwise identified. These shipments are identified on the train consist as "ALERT SHIPMENT" or RSSM SHIPMENT.

Alert Level:
The level of threat to security of rail operations.

Unusual Item:
An attachment to railroad rolling stock that is not a part of the normal rail equipment, or a suspicious package or container located on or near railroad property.

Unusual Stops:
As used in Level 3, examples of this include:
- Any radio transmission from an unknown person requesting the train to stop.
- Any unknown person attempting to stop the train by hand signals.
- A dark signal or signals that are improperly displayed.
- Stop or Stop and Proceed signals at other than meeting points.
- Unattended fusee.
- Detectors that are out of service without a track bulletin.
- Emergency vehicles fouling the track without prior notification from the dispatcher.

The following are the minimum requirements for train and engine crews, based on the various Alert Levels. Each level has additional requirements.

Alert Level 1
The "new normal" day-to-day operations:
- Remain vigilant for suspicious activities, trespassers, or vehicles (abandoned or occupied) on or near railroad property. Report suspicious activities to the crest yard master, or to RMCC (1-888-UPRR-COP / 1-888-877-7267).
- Keep required employee identification immediately available at all times.

Alert Level 2
Heightened security awareness:
- When inspecting train, increase vigilance and scrutiny of railcars, looking for unusual items.

Alert Level 3
A credible threat of attack on the U.S. or railroad industry:
- Crest yard master will communicate with crews on Alert trains at least once every 60 minutes to determine location and status in areas where train tracking through the train dispatch system is not available, such as in TWC or Rule 9.14 territory.
- Immediately notify the crest yard master of any unusual stops.

Alert Level 4
A confirmed threat of attack against the U.S. railroad industry or actual attack in the U.S.:
- Crew members must identify themselves by employee identification badge when picking up outbound locomotives at service facilities.
- Meeting points with passenger trains will be established and communicated to crews by the crest yard master.
- Train inspections from the ground may be eliminated on instruction of the crest yardmaster.
- Do not leave unattended and unsecured locomotives on line without the authority of the crest yard master.
- Alert trains will not be allowed to operate in a tunnel at the same time with a passenger train.

When Security Alert level is above Level 1, when crews complete switching operations at all plants and facilities equipped with gates, the gates must be immediately shut and locked to maintain security for those facilities. Local railroad instructions may provide relief for facilities not requiring that degree of security. When Security Alert levels are above Level 2, crews must not provide any shipping information. Instruct customers to contact the NCSC for inquiries.

Other requirements may be imposed by local management or the crest yard master, as necessary.
### Distance Between Crossings Gateway Subdivision

- Southern – Lake Drive: 6478’
- Lake Drive – Hill Brick: 6135’
- Hill Brick – Bunkum: 6500’
- Bunkum – Forest: 5113’
- Forest – HN Cabin: 2438’
- HN Cabin – Collinsville: 4950’
- Forest – Collinsville: 8071’
- Collinsville – Route 111: 4430’
- Route 111 – Big Bend Rd: 9250’
- Big Bend Rd. – Edwardsville Rd: 12465’
- Edwardsville Rd. – Mockingbird Ln: 6338’
- Mockingbird Ln. – Cargill Dr: 4472’
- Cargill Dr. – Pontoon Rd: 2616’
- Pontoon Rd. – Morrison Rd: 5467’
- Morrison Rd. – E. Chain of Rocks Rd: 5367’

### Distance Between Crossings Cahokia Industrial Lead

- Valley Jct. – Falling Springs Rd: 3504’
- Falling Springs Rd. – Route: 2159’
- Route 3 – Conologue: 1376’
- Conilogue – East Switch Cargill Yard: 4471’

### Granite City Yard

- AA Siding: 5491’
- CNW # 1: 3424’
- CNW # 2: 3424’

### Mitchell Yard

- Mitchell # 1: 3740’
- Mitchell # 5: 3449’
- Mitchell # 6: 7597’

### Gateway Yard

- West End Third Rail – Southern Signal: 4745’
- Old Main (TRRA signal - #6 switch): 8600’
- 119 TRRA signal- Hand Throw crossover: 7266’
In order to cross Edwardsville rd (IL 203) you must get permission from the NS Decatur Dispatcher on 22/22. Get permission on the A&E main between Edwardsville Rd and Washington Ave. If you have to use the A&E Main to access west end of NKP yard you will need permission from the NS Disp. Limits are UP Madison yard to CP Jct. on the A&E main.

Before you occupy the UP tracks you must contact the UP Madison Yard job on 52/52.

ALS Siding will hold 1900’ must cut the crossing.
NS Nickle Plate 1 will hold 1900/2700’.
NS Nickle Plate 2 will hold 1800’

Mill Lead Must remain clear

NSGC CONNECTION