

Savage Tooele Railroad LLC

Program for Certification and Qualification of LOCOMOTIVE ENGINEERS

49 CFR PART 240

October 30, 2025

SECTION 1: General Information and Elections (49 CFR 240.101)

This program will apply to all United States subsidiaries of Railroad Name that operate within the jurisdiction of the Federal Railroad Administration.

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Railroad Name elects to:

- ☒ Certify previously non-certified candidates as outlined in Section 5 of this program.
- ☒ Re-certify **only** locomotive engineers previously certified by other railroads

Savage Tooele Railroad LLC will issue certificates for the following types of

service: [Class 1 licenses] [☒] Train Service Engineer
[☒] Student Engineer

SECTION 2: Selection of Designated Supervisors of Locomotive Engineers (49 CFR 240.105)

Railroads listed in Appendix A of this program will select candidates for the position of Designated Supervisor of Locomotive Engineers (DSLE) who have the ability to test and evaluate the knowledge and skills of a locomotive engineer or candidate seeking to obtain or retain certification, and can prescribe appropriate remedial action for any deficiency detected, based on the following criteria:

- Is a certified Locomotive Engineer, who has successfully completed the examinations and skills test being utilized to certify and re-certify Locomotive Engineers.
- Has the necessary supervisory experience to appropriately test and evaluate the knowledge and skills of locomotive engineers and prescribe remedial action for any noted deficiencies.
- Has successfully completed initial training of not less than 2 hours on the requirements of 49 CFR 240, with emphasis placed on those actions that are identified as prohibited and/or illegal, the requirements of performance skills testing and operational performance monitoring, remedial actions, and all requirements concerning the issue and replacement of an engineer certificate. DSLE refresher training of not less than 30 minutes will be conducted on a triennial basis. Refresher training will be administered using PowerPoint or CBT.
- DSLE candidates are required to obtain a passing score of 90% on a written examination(s) of not less than 25 questions administered during initial training. DSLE refresher training examination will not be less than 25 questions and will require a passing score of 90%. Appropriate records of training and testing will be kept in the regional electronic database and/or at the individual railroad headquarters.
- The DSLE on each property shall be qualified on the physical characteristics of the territory on which he/she will perform the duties of DSLE. The DSLE will make a minimum of one qualifying trip over the territory under his/her responsibility to ensure his/her ability to instruct and evaluate engineers to be qualified. The DSLE must obtain a passing score of 90% on a written examination of not less than 50 questions on instructions and physical characteristics of that territory. If the DSLE does not operate a minimum of once each year in his/her territory, he/she must take 2 re-qualifying trips over that territory to re-qualify. The written test required under this section will be placed in the DSLE's file and retained according to 49 CFR 240.215(d).

SECTION 3: Training Persons Previously Certified as Locomotive Engineers (49 CFR 240.123(b))

Train Service Locomotive Engineers:

Railroads listed in Appendix A of this program will provide continuing education for certified Train Service Locomotive Engineers to assure that all engineers maintain a requisite knowledge of personal safety, operating rules and practices, mechanical condition of equipment, methods of safe train handling (including physical characteristics), and relevant Federal Safety Rules.

Recertification for all certified locomotive engineers will occur on a 36-month interval. The ongoing training, testing, and monitoring of certified locomotive engineers will occur throughout the 36-month certification period and incorporate classroom training, on-site training, and periodic rules classes. Records will be maintained in the regional electronic database and/or at each railroad's headquarters for each engineer's classroom, and/or computer-based, or on-site training and testing.

Mandatory training sessions of not less than 16 hours will be conducted in a classroom environment on at least a triennial basis. The training will include the following topics as applicable:

- Safety Rules
- Operating Rules
- Timetable Instructions and System Special Instructions
- Physical Characteristics (territory specific)
- Applicable Federal Regulations
- Use of Applicable Job Aids
- Hazardous Materials (when applicable)

Re-certification Knowledge and Skills Testing, including physical characteristics covered in the training sessions, will include, but is not limited to, the following:

Classroom and/or Computer Based:

- A. Personal Safety 3 hours
 1. Proper attire, including personal safety devices
 2. Mounting and dismounting equipment
 3. Crossing tracks and yards
 4. Operating switches
 5. Coupling equipment
- B. Applicable Railroad Operating Rules 3 hours
 1. Yard limit rules and regulations
 2. Railroad radio rule compliance
 3. Hazardous material handling and emergency response
 4. Signal compliance
 - a. Fixed signals
 - b. Hand signals
 - c. Radio transmitted signals

C. Federal Safety Regulations 4 hours

1. All applicable rules

On Site:

D. Train Handling Practices (when applicable) 3 hours

1. Proper throttle modulation
2. Proper brake application
 - a. Use of automatic train brake
 - b. Use of dynamic brake (where applicable)
 - c. Use of independent brake
3. Proper starting & stopping procedures
4. Knowledge of physical characteristics
5. Basic air brake operation

E. Mechanical Inspection/Condition of Equipment 3 hours

1. Pre-trip inspection of locomotives
2. Troubleshooting
3. Proper operating pressures of the air brake system
4. Proper air brake testing procedures

Rules Classes (Train Service Engineers) (240.123(b))

Operating rules classes (B above) will be conducted on no less than a triennial basis, of not less than 1 hour duration in correlation with the hours selected above. Such training will occur in any medium with the ability of participants to interact with an operating rules-qualified manager. All topics required by 49 CFR 240.123(b) will be covered at these classes and will highlight new and/or revised rules, operating practices, and the introduction of new technology. New or updated training will be required as a result of the introduction of new technology, new operating rules, or significant changes in operations, including the territory in which the engineers are authorized to work. Written examination(s) with a combined total of not less than 25 questions will be administered prior to the completion of classes. Certified Train Service Locomotive Engineers participating in the class are required to obtain a minimum passing score of 85%.

Physical Characteristics (240.231)

Except for those territories identified in Appendix C of this program, the engineer must make a minimum of 2 qualifying round trip for initial main track territorial qualification on the Railroads listed in Appendix A and obtain a passing score of 85% on a written examination of not less than 5 questions on instructions and physical characteristics of that territory as determined by the DSLE. The test required under this section will be placed in the engineer's file and retained according to 240.215(d). Engineers who have not operated over a specific territory within the previous 12 months must re-qualify.

NOTE: Round-trip is not required in territories where the operation is solely directional.

The re-qualification process will require, at a minimum:

- Main Track - A minimum of 2 qualifying round trip(s).
- Other than Main Track - Territorial familiarization briefing with a qualified supervisor or engineer will be provided with up-to-date job aid.
- PC Exam of not less than 50 questions and a passing score of 85%. The PC Exam can be included in the certification exam, but the railroad must confirm that the PC questions received a passing score.

Training of an Engineer with Expired Certificate or with Extensive Experience as an Engineer

Engineers whose certifications have lapsed or who have extensive operating experience as an engineer will be required to satisfy all the components required for certification specified in Sections 3 & 4 of the certification program. Certification will require a period of on-the-job training (not less than 2 tour of duty) and territorial familiarization based on the evaluation of the DSLE.

Method for Familiarizing Engineers with New Territory or New Startup Operations

In situations where there is no available means to afford engineers the opportunity to obtain the operating skills and physical characteristics of a new territory. The railroad can elect to use a hi-rail or a lite locomotive to experience the physical characteristics. The qualifying engineer(s) will be required to make a minimum of 1 round trip over the territory. The engineer will be given a written exam of not less than 15 questions on the operating rules and physical characteristics, requiring a passing score of 85%.

Positive Train Control (PTC) Training (N/A)

PTC recurrent training will be conducted on at least a triennial basis. Training will cover the various elements, warnings, and enforcements of the PTC system and be delivered in a classroom, using PowerPoint presentations, with supporting materials and/or via a computer-based training module. Participants will be given an examination and must obtain a minimum passing score of __%.

SECTION 4: Testing and Evaluating Persons Previously Certified (49 CFR 240.125/240.127)

Train Service Engineers

This section details the manner in which knowledge, skill, vision, and hearing acuity testing for certified Train Service Engineers will be conducted within the 36-month period following the certification or re-certification date of a locomotive engineer.

Knowledge Testing (240.125)

Train Service Engineers will be required to participate in written examination(s) with a combined total of not less than 25 questions and obtain a minimum passing score of 85%. Rules exams will be conducted without open reference books or other materials, except to the degree that the person is being tested on his or her ability to use such reference books or materials.

- Personal safety procedures (emphasizing Company Safety Rules).
- Operating practices (with emphasis on recent or proposed operational changes, e.g., changes in Track Warrant Control Programs, Yard Limits, Hazardous Material rules, etc.).
- Equipment inspection practices (with emphasis on added or new devices and/or appliances and inspection of trouble areas).
- Train handling practices, including physical characteristics (with emphasis on company train handling practices, any railroad plant changes, and basic air brake operations).
- Compliance with relevant Federal Regulations (emphasizing new or revised rules).

A Train Service Engineer failing to obtain a passing score of 85% will not be permitted to operate a locomotive pending a successful re-examination. Re-testing the employee will not occur earlier than within 24 hours of the start of the previous test.

Skills Testing (240.127)

Train Service Engineers will be required to participate in train handling skills performance administered by a Designated Supervisor of Locomotive Engineers. The criteria will be as recommended in Appendix E of 49 CFR 240.

The train handling performance examination will be administered so that skill performance can be monitored, and any necessary corrective action must be taken by the DSLE to educate and improve an engineer's performance.

Successful completion of the skills performance test is required for the most demanding service the engineer would be permitted to perform. The Engineer Monitoring/Skills Checklist (Appendix B) will be used to grade the skill test. Deductions totaling more than 5 points will be deemed a failure of the skills performance test. The duration of the skills test will be a minimum of 10 miles or 2 hours.

Certified Engineers are required to know and comply with “must know” tasks related to the cardinal rules listed in 49 CFR 240.117(e). Failure of a “must-know” task will result in an immediate skill test failure regardless of the overall score of the test.

*Certified Engineers failing a skills test will immediately have a restriction placed in the engineer’s record that the engineer will not be allowed to operate a locomotive except under the direct and immediate supervision of a certified engineer. The engineer will be notified of the reason(s) for the failure at the completion of the test and the restriction placed on the certificate. The engineer must NOT be told that the certificate has been demoted to student status nor reclassified to a more restrictive class of engineer. A second test will be given within seven days of the first test or at the completion of any prescribed remedial training. If a second test failure occurs, the engineer will be given a third test within seven days of the failure or at the completion of any prescribed remedial training. If the engineer fails the third test, the engineer will be sent a written notification that the railroad intends to deny the engineer's recertification. Proof that the engineer received the notification must be retained.

The written notification will contain (a) a summary of all test results; (b) a copy of all documentation that forms the basis for denying the engineer recertification, including any scoring sheets filled out by the supervisors conducting the tests, and any event recorder or simulator printouts, etc.; (c) an explanation that the denial decision will be finalized in 10 days (provide date and time in letter that decision may become final) unless the engineer serves the railroad officer who signed the notice with a written explanation or rebuttal of the basis for denial. The notice will explain how the railroad officer will accept service and provide all relevant contact information, e.g., the office location where the response may be dropped off or mailed, an email address or fax number. If mailing is permitted, the notice must contain an explanation for how the railroad will treat a response postmarked before the deadline but received after the deadline.

In addition, the notice will state that the engineer must likewise provide contact information on how the engineer is willing to accept service of the final decision or that the engineer is willing to come to the railroad to be personally served; (d) an explanation that reasonable requests for additional time to respond will be granted; and (e) an explanation that the engineer’s current certification has not been revoked and may be partially relied on by another railroad prior to its expiration date (*citing 240.225 and the actual expiration date*).

If no written response or timely request for extension is received, a final written denial of recertification decision will be mailed or delivered to the engineer within ten days after the deadline has passed and will state that the denial decision was effective on the deadline date.

If a written response is received, any final written denial of recertification decision will contain a detailed explanation of why the engineer’s written explanation or rebuttal was inadequate. The decision will be mailed or delivered to the engineer within 10 days after the denial decision was made and will contain the date of the decision.

Vision and Hearing Acuity Testing (240.121)

The Medical Examiner of the railroad or designated medical facility will be responsible for the administration of required vision and hearing acuity testing prior to the employee's recertification date. Notification of results that fall within the approved limits of 49 CFR 240.121 will be made by means of a vision/hearing approval form. Approved clinics will send the examination form with the results of the vision and hearing examination to the designated medical examiner, who will review the examination results and determine if the employee meets the standards identified in

240.121. If the Medical Examiner determines that the candidate meets the required threshold, signed examination forms will be returned to the respective railroad, where the documents will be maintained in the employee's file. If the candidate does not meet the identified threshold requirements, that determination will be provided to the respective railroad.

For those employees whose hearing or vision acuity does not meet the standards required by 49 CFR 240.121, a detailed written description of the employee's work environment, including a job description and all constraints placed on the Locomotive Engineer, will be submitted to the Medical Examiner. The Medical Examiner and the DSLE will evaluate the ability of said employee to perform safe service with their physical deficiencies. If the evaluation determines that the employee can operate a locomotive safely, that fact will be noted with any restrictions on the vision/hearing approval form and the engineer's certificate or license. Railroads listed in Appendix A will utilize the ASLRRA field vision program for employees who do not meet the color vision requirements.

Records

The results of each engineer's knowledge, skills, and vision/hearing acuity tests will be maintained and made available upon request. Records will be kept in the regional database and/or at the individual railroad headquarters.

SECTION 5: Training, Testing, and Evaluating Persons Not Previously Certified (49 CFR 240.123)

Train Service Engineers

A comprehensive program of classroom and on-site training will be provided for persons seeking certification as a train service locomotive engineer who have had previous rail transportation experience (train service, MOW, mechanical, etc.) and additional training elements for candidates with no previous rail experience. The Points of Contact listed in Section 1 of this submission will ensure appropriate records are maintained on each candidate's training. Records will be kept in the regional database and/or at the individual railroad headquarters.

Train Service Candidates with Previous Train Service Experience

- 1) Hearing and vision acuity testing will be conducted on candidate (or hearing and vision acuity test results will be reviewed if said tests have been conducted within 366 days of the certification decision) to ensure compliance with 49 CFR 240.121.
- 2) Discipline record, attendance record, and other pertinent data from the employee's personnel file, as well as his/her driving record, will be reviewed to determine safe working habits.
- 3) Selected candidates will participate in the following Train Service Engineer training program:
 - A. Classroom and/or computer-based and on-site training, including the use of actual locomotive equipment, in which the following subjects are covered:
 - 1) Mechanical inspection of equipment – 8hrs
 - 2) Air brakes – 8hrs
 - 3) Train handling – 8hrs
 - B. Classroom training conducted by the qualified instructor(s) comprised of the following:
 - 1) Applicable operating rules (w/out signals) – 8hrs, (with signals) – 12hrs
 - 2) Hazardous material transportation and emergency response – 4hrs
 - 3) Federal regulations – 8hrs
 - C. Performance Skills Training – on the job with a certified locomotive engineer or DSLE, operating trains over applicable territories for a minimum period of:
 - (x) Speeds <25 mph and is a switching operation or less than 25 track miles: 12 hours
 - (x) Speeds <25 mph and has more than 25 track miles: 12 hours
 - (n/a) Speeds =>25 mph: 240 hours

The OJT Hours Log, as referenced in Appendix D of this program, will be used to track the student's training hours. (hours of actual time spent at the throttle)

- D. Written examinations will be conducted periodically during each segment on instruction classes and upon conclusion of the classes. The successful completion of each segment does not eliminate the necessity of a final examination.

- E. Knowledge Test must be conducted with a candidate in a final written examination of not less than 15 questions, and the candidate is required to obtain a passing score of 85%.

Candidates failing to obtain a passing score will not be permitted to operate a locomotive pending a successful reexamination. If an engineer fails the rules exam, the exam will be retaken the following day.

- 4) Skills Performance Test must be conducted with candidates in a final performance skills evaluation while operating a locomotive in the most demanding class or type of service for 10 miles or 2 hours under the supervision of the DSLE with the proper application of the railroad's rules and practices for the safe operation of locomotives or trains.
- 5) Certified Train Service Engineers are required to know and comply with "must know" or weighted tasks related to the six cardinal rules listed in 49 CFR 240.117(e). Failure of a weighted task will result in an immediate skill test failure regardless of the overall score on the test. The Engineer Monitoring/Skills Checklist (Appendix B) will be used to grade the skill test. Deductions totaling more than 15 points will be deemed a failure of the skills performance test.
- 6) * Candidates failing the skills test will be notified of the reason(s) for the failure at the completion of the test. A second test will be given within seven days of the first test or at the completion of any prescribed remedial training. If a second test failure occurs, the engineer will be given a third test within seven days of the failure or at the completion of any prescribed remedial training. If the candidate fails the third test, the candidate will be sent a written notification that the railroad intends to deny the candidate certification. Proof that the candidate received the notification must be retained.

The written notification will contain (a) a summary of all test results; (b) a copy of all documentation that forms the basis for denying the candidate certification, including any scoring sheets filled out by the supervisors conducting the tests and any event recorder or simulator printouts, etc.; (c) an explanation that the denial decision will be finalized in 10 days (provide date and time in a letter that decision may become final) unless the candidate serves the railroad officer who signed the notice with a written explanation or rebuttal of the basis for denial. The notice will explain how the railroad officer will accept service and provide all relevant contact information, e.g., an office location where the response may be dropped off or mailed, an email address, or a fax number. If mailing is permitted, the notice must contain an explanation for how the railroad will treat a response postmarked before the deadline but received after the deadline.

In addition, the notice will state that the candidate must likewise provide contact information on how the candidate is willing to accept service of the final decision or that the candidate is willing to come to the railroad to be personally served; (d) an explanation that reasonable requests for additional time to respond will be granted; and (e) an explanation that the candidate's current student certification has not been revoked and will expire on the expiration date (provide the actual date).

- 7) If no written response or timely request for extension is received, a final written denial of certification decision will be mailed or delivered to the candidate within 10 days after the deadline has passed and will state that the denial decision was effective on the deadline date.
- 8) If a written response is received, any final written denial of certification decision will contain a detailed explanation of why the candidate's written explanation or rebuttal was inadequate. The decision will be mailed or delivered to the candidate within 10 days after the denial decision was made and will contain the date of the decision.
- 9) Successful completion of all final examinations will allow for the issuance of a certificate and promotion of the candidate to the position of Train Service Engineer.

Train Service Candidates Without Previous Train Service Experience

In addition to the training and testing program, as outlined for persons with previous railroad experience, candidates who have had no previous rail experience will be provided the following training prior to starting the Train Service Engineer training program:

Additional training of not less than 8 hours on the following topics:

- A. All aspects of railroad operations and equipment, including a familiarization trip in the cab of a locomotive
- B. Company safety and operating rules for employees
- C. Overview of applicable Federal and State regulations
- D. Rules and responsibilities of individual train crew and ground employees

Positive Train Control (PTC) Training (N/A)

Initial PTC training is designed to demonstrate to the participant the various elements, warnings, and enforcement of the PTC system. Training will be delivered in a classroom, using PowerPoint presentations with supporting materials and/or via a computer-based training module. Participants will be given an examination and must obtain a minimum passing score of 85%.

Participants will demonstrate operating skills and knowledge of the PTC system by one of the following methods:

- Operation of a train in PTC territory for not less than 2 hours under the supervision of a PTC-qualified DSLE, or
- Completion of PTC training scenario on a locomotive simulator

SECTION 6: Monitoring of Operational Performance of Certified Locomotive Engineers (49 CFR 240.129)

Train Service Engineers

Certified Train Service Locomotive Engineers will be monitored not less than once each calendar year to determine that the train service engineer possesses and employs the skills necessary to safely operate a locomotive in train service. Monitoring will consist of a minimum of 2 hours or 10 miles, including the proper application of railroad company rules and practices for safe operation.

Performance Monitoring (check ride) (240.129)

A DSLE will monitor each locomotive engineer, not less than once each year, under actual operating conditions that an engineer would normally be expected to encounter. Where applicable, the monitoring ride can be performed while the engineer is at the controls of a Type I or Type II simulator. The response actions of the engineer will be recorded on a checklist of performance factors (**See Appendix B**). Locomotive event recorder data can also be reviewed to fulfill the requirements of a check ride. When event recorder data is used to comply with the requirements of section 240.129, the railroad will supply a method of how it determines what person was at the controls and what signal indications or other operational constraints, if any, were applicable to the train's movement. Details of the event recorder review will be documented (date of operation, date of review, deficiencies noted, date engineer notified of review results, etc.) Any deficiencies noted will be discussed with the engineer. The skills performance ride, when conducted within the calendar year that certification occurs, will satisfy the monitoring requirements for that year.

Unannounced Operating Rule Compliance Testing (240.303)

Each calendar year, certified engineers will be given a minimum of one (1) unannounced operating rule compliance test in accordance with the Savage Tooele Railroad 217.9 Operational Tests and Inspections Program. The unannounced test will reflect conditions that require an affirmative response by the engineer to less favorable conditions than that which existed prior to initiation of the test, e.g., fusees on tracks, signal indication or signals with less than clear indication, permanent and temporary track speed restrictions.

Engineers will be notified upon failure of an unannounced operating rule efficiency test. The specific rule relating to the failure will be reviewed with the engineer by the supervisor(s) conducting the test. Depending upon the supervisor's evaluation, additional remedial training can be provided.

Criteria for Monitoring Operational Performance of Certified Engineers

(240.129(b)(1) & (2))

Certified Engineers who are not given an unannounced operating rule compliance test and a monitoring ride in a calendar year at a minimum will receive a test and ride within 30 days of a return to Engineer service. The railroad will maintain a written record indicating:

- The date that the Engineer stopped performing service that requires certification.
- The date the Engineer returned to performing service that requires certification and
- The date the test and ride were performed.

Certificate

Every locomotive engineer will have his/her certificate dated once each calendar year to signify completion of the skills performance/monitoring ride (check rides). The operating rules compliance test results will be documented and retained in the engineer's certification file.

SECTION 7: Routine Administration Procedures for the Engineer Certification Program

The Program Administrator(s) will be responsible for the implementation of 49 CFR 240, for overall management of the training and testing programs, and will ensure appropriate records are maintained for each certified and student locomotive engineer. Records will be kept in the regional database and/or at the individual railroad headquarters and will contain copies of a locomotive engineer's prior safety conduct, motor vehicle driving record, vision and hearing acuity test, written knowledge examination, and performance monitoring (skills, annual, stop test). The Program Administrator does not have to be a certified locomotive engineer or a Designated Supervisor of Locomotive Engineers.

Employees who have not been issued a driver's license will be required to apply for driving records from the state in which they reside and must produce a document indicating there is no record of a license being issued (this document is sometimes referred to as a "no record" or "no file" check).

Locomotive engineers will be responsible for providing driving records to the Program Administrator(s), who will request the information from locomotive engineers not later than six weeks prior to recertification and, where applicable, provide appropriate request forms. Requests will be made to the issuing state.

Certification Criteria and Review Procedures of Criteria for Certification (240 Subpart B & C)

Prior to certification or recertification of any person, the Program Administrator(s) shall determine that an engineer, student engineer, or meets the following eligibility requirements. The following required information and review procedures for certification are described in detail below:

General Criteria for Eligibility Based on Prior Safety Conduct (240.109)

The Program Administrator(s) will evaluate the prior safety conduct of any person considered for qualification as a locomotive engineer or remote-control operator. Consideration will be given to relevant data from the employing railroad's records, any other railroad formerly employing the person, and any governmental agency with pertinent motor vehicle driving records. If it is determined that the candidate does not meet the eligibility requirements of 240.115, 240.117, or 240.119, they will be considered ineligible.

Prior safety conduct as a motor vehicle operator (240.115 & 240.205)

Prior to certification, recertification, or qualification, each affected engineer, engineer candidate, or will request and provide motor vehicle records for review by the Program Administrator(s). Records will be evaluated for incidents that occurred within the last 36 months regarding a conviction of operating a motor vehicle while under the influence of or impaired by alcohol or a controlled substance or refusal to undergo such testing.

If an incident has occurred, the engineer or engineer candidate must provide documentation of an evaluation by a Drug and Alcohol Counselor (DAC) that no substance abuse disorder exists, or the completion of the treatment prescribed by the DAC, return-to-duty testing, and follow-up testing as required in Part 219. If an engineer, an engineer candidate, or someone who has not been evaluated, they are immediately ineligible for certification and will be referred to the Drug and Alcohol Counselor (DAC).

The DAC must advise the railroad of the documented results of the evaluation regarding whether the individual has or does not have a substance abuse disorder. If no disorder exists, the candidate is eligible for certification. If the DAC determines that the engineer, engineer candidate, or is currently affected by an active substance abuse disorder, they shall be ineligible to hold certification or be considered for recertification pending the completion of the treatment prescribed by the DAC and return-to-duty testing as required in Part 219.

Operating rules compliance (240.117 & 240.205)

An evaluation by the Program Administrator(s) of operating rules compliance will be made by reviewing a candidate's work record. If the candidate was previously employed by another railroad, the Program Administrator(s) must take the necessary action to obtain a copy of his/her work record from the former railroad. The request will be made through a "service records request" (**See Appendix D**). This review will include drug and alcohol records. The records reviewed can be no older than 366 days prior to the effective date of certification.

Substance abuse disorders (240.119 & 240.205)

Prior to certification or recertification, the Program Administrator(s) will review internal documentation or documentation from previous DOT employers for 60 months prior to this review to ensure each engineer or engineer candidate does not have a substance abuse disorder regarding 219.101 and/or 219.102 violations. If there is a motor vehicle violation, follow the above Prior Safety Conduct as a Motor Vehicle Operator (240.115 & 240.205) procedures.

If the review identifies a substance abuse disorder, the engineer or engineer candidate must provide additional information stating the completion of a treatment program confirmed by a Substance Abuse Professional (SAP), return-to-duty testing, and follow-up testing as required in Part 219 or must be sent to an SAP for evaluation of 219.101 or 219.102 violations.

Engineers, or engineer candidates, who are determined to have active substance abuse disorders regarding 219.102 violations will be ineligible to hold a certificate during evaluation, any required treatment, and return-to-duty testing as required in Part 219. Part 219.101 violations require a certification revocation (Revocation of Certificate (240.307)), an SAP evaluation, a completed treatment program, and return-to-duty testing as required in Part 219 and cannot hold a certificate for 9 months from the date of the violation. Multiple violations will result in a longer period of ineligibility or revocation.

The Program Administrator(s) will consult with the railroad DER to ensure all evaluations and treatments have been completed.

Knowledge Exams (240.125 & 240.209)

The Program Administrator(s) will review and determine whether the candidate has the documented knowledge and has passed all knowledge testing exams as required by Sections 4 and 5. The knowledge exams cannot be conducted more than 366 days prior to the effective date of the certification.

Vision and hearing (240.121 & 240.207)

The Program Administrator(s) will review records to determine whether the candidate has written documentation from the medical examiner stating the candidate meets both hearing and vision acuity standards and that the examinations are not more than 366 days old.

Skills Performance Evaluation (240.127 & 240.211)

The Program Administrator(s) shall review written documentation indicating the candidate has passed a skills performance evaluation in the most demanding service for certification or recertification as required by Sections 4 and 5. The skills performance ride cannot be more than 366 days prior to the effective date of the certification.

Completion of Training Program (240.123 & 240.213)

The Program Administrator(s) will review records and determine whether the engineer or student engineer has completed all the training programs under 240.213 and can demonstrate the skills to operate a train in the most demanding type of service that the engineer will be permitted to perform. The initial certification skills performance evaluation cannot be more than 366 days prior to the effective date of the certification.

The student engineer certification will not be for more than 24 months. Student engineers will receive a certificate after review of pertinent medical data and driver's record, and will maintain student certification until promotion, dismissal from training program, or disqualification.

Denial of Certification (240.219)

The Program Administrator(s) will notify a candidate for certification or recertification of adverse information that can form a basis for denying the person's certification or recertification. A reasonable opportunity will be provided for the individual to explain or rebut adverse information in writing prior to denying certification.

No later than 10 days after the railroad decides to deny certification or recertification, the Program Administrator(s) will notify a candidate of this decision in writing, providing an explanation of the basis for denying the person's certification or recertification, and the date of the decision will be indicated on this document.

Reliance on Qualification Determination by Another Railroad (49 CFR 240.225)

Railroad may rely on qualification determinations made by another railroad, subject to the provisions of 240.201(certification implementation), 240.217(c)(2) (time limitations), and 240.307 (revocation of certification). An eligible engineer by another railroad who is subsequently employed by a railroad listed in Appendix A of this program will be evaluated. This evaluation will be conducted by the Program Administrator(s) listed in Section 1 of this submission. The evaluation will review each individual and determine the required training, testing, and familiarization trips. Factors for consideration are previous rules qualification, duration of actual train operation as a certified employee, and previous training in making the determination, which will be made in writing, e.g., prior safety record and skills evaluation. These records will be placed in the employee's file.

Joint Operations (240.229)

Engineers operating on a joint operations territory controlled by another railroad will be required to complete the qualification/familiarization requirements of the foreign carrier for that segment.

Railroads listed in Appendix A of this program will rely on the certification issued by another railroad, which includes a written examination of specific operating rules and physical characteristics administered by the certifying railroad. To ensure that the foreign engineers are duly certified, a list of Certified Locomotive Engineers from the employing railroad will be required. The PA or a railroad DSLE will verify that the foreign engineer:

- Received a passing score of 85% on an exam of not less than 15 questions on the railroad's operating rules and physical characteristics and
- Has been trained on the necessary operating skills concerning the joint operations; and
- Is familiar with the physical characteristics of the joint operation territory. Except for those territories identified in Appendix C of this program, the foreign engineer must make a minimum of one qualifying round trip for initial main track territorial qualification on the Railroads listed in Appendix A.

The employing railroad will provide a list of its certified Locomotive Engineers qualified to operate on the territory of any foreign line railroad controlling trackage over which the employing railroad has operating rights, unless these operations are defined as minimal joint operations (240.229(f)):

- The maximum authorized speed for operations on the track does not exceed 20 miles per hour;
- The track is other than a main track;
- Operations are conducted under operating rules that require every locomotive and train to proceed at a speed that permits stopping within one-half the range of vision of the locomotive engineer; and
- The maximum distance for joint operations on the track does not exceed one mile.

Replacements of Certificates (240.301)

In the event a certificate is lost during a tour of duty and a DSLE is not available to issue a replacement certificate, the locomotive engineer will be required to inform his/her supervisor of the loss, and the locomotive engineer will be allowed to complete their tour of duty. The locomotive engineer, prior to being allowed to return to work, must obtain a replacement certificate.

Revocation of Certificate (240.307)

Upon notification of reliable information regarding a person's qualification, Railroads listed in Appendix A of this program will immediately suspend the certification. The person in question will be verbally notified, with a written notification within 96 hours of the reason for the suspension, the pending revocation, and an opportunity for a hearing. The person in question will be given the opportunity to waive the right to a hearing in writing. A hearing will be conducted within ten days of the date of suspension of the certification or within the timeline prescribed in the applicable collective bargaining agreement unless a waiver of hearing is signed by the person in question. Within 10 days after the close of the record, a written decision shall be served on the person. Railroads listed in Appendix A of this program will conduct Certification Revocation Hearings and Company Disciplinary Hearings concurrently.

(Where the requirements of Sec 240.307 vary from collective bargaining agreements regarding the conduct of the hearing, the applicable provisions of the collective bargaining agreement shall prevail.)

Use of Contractors

If any contractor is used for any phase of the training, testing, or recertification process, said contractor will provide specific information on the contractor's qualifications; the activities that the contractor will be responsible for; the training/testing programs to be used; the contractor's adherence to this program; and key contact personnel.

Use of Engineers on Railroads Listed in Appendix A of this Program

Engineers can transfer, permanently or temporarily, between or among the railroads listed in Appendix A of this program. Each additional railroad will be treated as a new territory. Records will be kept in the regional database and/or at the individual railroad headquarters.

APPENDIX A: List of Railroads under Parent or Holding Company

Savage Bingham & Garfield Railroad

APPENDIX B: Performance Monitoring/Skills Checklist

Locomotive Engineer – Performance Monitoring/Skills Checklist

Railroad Name: _____ Date: _____ Engineer's Name: _____
 Locomotive Consist: _____
 Train Consist: Loads: _____ Empties: _____ Tonnage: _____ Length: _____
 Start Sub: _____ Start Loc: _____
 End Sub: _____ End Loc: _____
 Time: _____ Total Time of Evaluation: Minutes: _____ Total Miles Traveled: _____

Type of Certificate: Train Service Locomotive Servicing RCO (circle correct one)

Type of Evaluation: Certification Ride Annual Ride (circle correct one)
 (240.127/240.211) (240.129/240.303)

Check the appropriate task box. Deduct 3 points for each NO item in Sections 1D-H, 2, 3G-I and 4. Deduct 7 points for NO items in Sections 1A-C, 2A, and 3A-F. Explanation must be given on page 2 for all items marked NO, including remedial action(s) taken or scheduled.

Deductions totaling more than **15 points** will result in the need for an additional evaluation before the candidate's certification can be approved.

	YES	NO	N/A		YES	NO	N/A
1. Locomotive operation				3. Train handling			
A. Locomotive brake tests (7)	☐	☐	☐	A. Stopping (7)	☐	☐	☐
B. Train brake tests (7)	☐	☐	☐	B. Speed control (7)	☐	☐	☐
C. Secures unattended locomotives (7)	☐	☐	☐	C. Slack control (7)	☐	☐	☐
D. Monitor gauges (3)	☐	☐	☐	D. Automatic brake usage (7)	☐	☐	☐
E. Locomotive inspection (3)	☐	☐	☐	E. Ind. brake usage (7)	☐	☐	☐
F. Engine start-up (3)	☐	☐	☐	F. Throttle usage (7)	☐	☐	☐
G. Fuel conservation (3)	☐	☐	☐	G. Starting (3)	☐	☐	☐
H. Changing ends (3)	☐	☐	☐	H. Dynamic brake usage (3)	☐	☐	☐
2. Operating rules compliance (3)	☐	☐	☐	I. Proper coupling speed (3)	☐	☐	☐
A. Signals/Use (7)	☐	☐	☐	4. Territorial knowledge (3)	☐	☐	☐

If the Student/Engineer violates any of the following, the check ride is an automatic failure.

- Failure to stop at a signal indicating stop. 240.117(e)(1)
- Failure to adhere to limitations concerning train speed. 240.117(e)(2)
- Failure to adhere to procedures for the safe use of train or engine brakes. 240.117(e)(3)
- Occupying main track without authority or permission. 240.117(e)(4)
- Failure to comply with prohibitions against tampering with safety devices. 240.117(e)(5)
- Failure to comply with drug and alcohol regulations. 240.117(e)(6)

Number of 3 Point Deductions x 3 = _____

Number of 7 Point Deductions x 7 = _____

Total Point Deductions _____

Circle Appropriate Test Result Pass Fail

Signature of DSLE _____

Date _____

Explanation of Deficiencies

Remedial action taken or scheduled / Comments

[illegible]

Appendix C: Prior Service Records Request (240.113)

240/242 Certification Service Record Request

Pursuant to 49 CFR 240 and 242, the individual referenced below is seeking certification and requests that his or her railroad service record is provided to:

RAILROAD _____ EMAIL ADDRESS _____ FAX NUMBER _____

Information concerning this individual's 240 / 242 certification and prior safety conduct as a railroad employee, including conduct described in 240.117 and 242.403 is requested.

Employee completes this section only.	I hereby authorize _____ to release the requested information.
	Name: _____ Employee I.D.: _____

Employee Name: _____ Railroad: _____

Dates of Employment from: _____ to: _____

Most recent certification date(s) for applicable class(es) of service:

Train Service Engineer	Loco Servicing Engineer	Student Engineer	Freight Conductor	Passenger Conductor	RCO

A: Did this individual comply with the FRA Regulation parts listed below?

TITLE	REGULATION	YES	NO	N/A	DATE
Motor Vehicle Operator Safety State / National	240.115 242.111				
Visual/Hearing Acuity Data	240.121 242.117				
Training	240.123 242.119				
Knowledge Testing	240.125 242.121				
Skill Performance	240.127				
Monitoring Observation	240.129				
Unannounced Compliance Test	240.129 242.123				
Control of Alcohol and Drug Use (60 months)	240.119 242.115				

B: Did the individual violate any of the FRA regulations listed below? If Yes, please indicate if the violation was under Part 240 or Part 242 in the appropriate column, the date and period of revocation.

TITLE	REGULATION	240	242	NO	DATE	PERIOD
Stop Signal	240.117(e)(1) 242.403(e)(1)					
Controlling Speed	240.117(e)(2) 242.403(e)(2)					
Air Brake Tests	240.117(e)(3) 242.403(e)(3)					
Authority Violation	240.117(e)(4) 242.403(e)(4)					
Tampering	240.117(e)(5) 242.403(e)(5)					
Non-compliance with §219.101 (60 months)	240.117(e)(8) 242.403(e)(12)					
218 Subpart F	242.403(e)(6 thru 11)					

I certify the above information is true and accurate to the best of my knowledge:

Name (Printed): _____ Signature: _____

Title: _____ Company: _____ Date: _____

Appendix D: Engineer OJT Hours Logs

On-the-Job Training Log

Employee Name: _____ ID Number: _____

Type of Training (circle one) : Conductor Engineer RCO

Start	Date	Job Number	Hours	Trainer Name	Start	Date	Job Number	Hours	Trainer Name
1					26				
2					27				
3					28				
4					29				
5					30				
6					31				
7					32				
8					33				
9					34				
10					35				
11					36				
12					37				
13					38				
14					39				
15					40				
16					41				
17					42				
18					43				
19					44				
20					45				
21					46				
22					47				
23					48				
24					49				
25					50				