

**Standard Operating Procedures of the
RAILROAD PASSENGER CAR NUMBERING BUREAU, INC.
A DELAWARE CORPORATION**

RAILROAD PASSENGER CAR NUMBERING BUREAU INC.
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Standard Operating Procedures of the RAILROAD PASSENGER CAR NUMBERING BUREAU, INC.

A DELAWARE CORPORATION

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Part 1: Basic Office Practice

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Part 1, Subpart A: Roles and Responsibilities

The role of the RPCNB Office is to execute any and all activities in a timely and professional manner required and/or desired to support the movement of RPCA Member rolling stock on the General Railway System of North America.

This includes but is not limited to the creation and maintenance of data bases, procedures, and communications that assist in the maintenance of Member records in AAR or Governmental record, registration or similar systems used by the Common Carriers as part of the Common Carriers process for movement of rolling stock on the General Railway System, and working with personnel employed by the carriers and government/regulatory agencies.

The responsibility of the RPCNB Office staff is to execute the process and procedures that are defined herein in a timely and professional manner, with no more speed or utility to be expected of any volunteer in any other position or organization with one significant caveat:

The Umler/EMIS registrations shall be executed in such manner as to attempt to maintain a ZERO ERROR system.

However, it is the responsibility of the RPCA Member car or loco owner to provide ALL of the data as identified on RPCNB Standard Operating Procedure documents for each activity, and NOT the responsibility of the RPCNB Office Staff to acquire and manipulate such information.

This does not diminish the need for the Office Staff to provide professional help when and where possible without causing risk to the Office Staff in assisting the RPCA Member with obtaining and providing the required data, to include but not limited to, sending instructions on how to measure, identification of qualified personnel to assist, and/or actively participating in the acquisition of the data.

However, this requirement to assist where possible in acquiring the data does not preclude the Office Staff from independently invoicing the Member for their time and materials when such activity entails travel and/or expenditure of time not directly associated with the Office activities.

The RPCNB Office Staff is empowered to create and maintain financial accounts directly related to the activities of the RPCNB for the RPCNB. RPCNB will accept financial devices such as personal check, corporate check, money order, on line electronic payment (based on credit card) and other legal tender. The office staff may accept purchase orders from commercial business or governmental entities. Payment will be due within thirty days from billing on these invoices.

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Should a financial payment be refused by the institution on which it is drawn, the Member's financial liability does not end. The Office Staff will contact the Member, and the Member will have an opportunity to replace the item with a certified check, money order, credit card or other confirmed or certified payment method within 30 days. In the event that this does not occur, the equipment in question may be removed from Umler, the RPCNB Board of Directors notified, and appropriate legal action may be authorized by the Board. The RPCNB Board may also notify the RPCA Board who may desire to take internal and/or external action against the offender.

The RPCNB is working towards being a "paperless" organization, wherein all reporting, data retention and manipulation, and communications are performed electronically.

This should reduce the costs and therefore the fees that must be charged to the Members.

However, the RPCNB Office Staff shall when requested provide 'hard' copies of reports, instructions, data formats, etc. at the requestors expense for postage or shipping charges at least, if not also any printing or copying charges that are not within the limited Office Budget provided to the Staff.

Part 1, Subpart B: Reporting

The RPCNB Office Staff shall report at a minimum twice per year to the RPCNB Board of Directors.

This reporting is most conveniently scheduled during the RPCA Annual Conference and the RPCA mid-term Board of Director's meeting, but does not necessarily have to be at those times if alternative report scheduling can provide advantages.

Such report shall include current RPCX and member mark roster, ABT and CRB status, any problems such as delinquencies, current financial status of the RPCNB, and any future anticipations of activities and/or issues that may have come about from the Office Staff's participation in any supported activities.

Part 1, Subpart C: Problem Resolution

The RPCNB Office Staff shall attempt to solve any internal problems without RPCNB Board of Directors participation. Any decisions made by the RPCNB Office Staff that are solidly based in the RPCNB By Laws and/or this document are fully supported by the RPCNB Board of Directors.

If an issue can not be solved internally to the Office Staff, either by Subscriber or Member continued complaint, or from a carrier or regulator request or demand that appears to be unlawful or beyond reason, the RPCNB Office Staff shall immediately present the issue with full information on the positive and negative attributes to various potential actions to the President of the RPCNB Board of Directors.

The RPCNB President will then either provide direction, or take the issue to the full Board wherein direction will be provided.

Such direction may require modification of the RPCNB Standard Operating Procedures and/or the By Laws if a legal issue is identified where the RPCNB practice is not fully compliant with outside governing

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documents. In such case, the RPCNB Office Staff will provide recommended modifications to the appropriate RPCNB documents.

Upon direction for the issue resolution being provided, the RPCNB Office Staff will then execute the process as directed.

Part 1, Subpart D: Industry Participation

Where and when possible, the RPCNB Office Staff will directly, or recommend to the RPCNB Board of Directors that they, participate in rail industry activities that improve the industry perception RCPA and RPCNB, provide access to the appropriate industry personnel to enlighten them to our qualifications and capabilities, and/or are work committees with tasks that directly or indirectly affect the RCPA and RPCNB capacity to function as intended.

Where such activities are identified, such activities need to be presented to the RPCNB Board of Directors, who will then determine if the activity should be RPCNB funded, or taken to the RCPA Board of Directors because it is far more wide ranging.

Such participation in industry activities needs by nature to be executed in the lowest cost means possible. Out of pocket expenses may be reimbursed for such costs to actively participate subject to Board of Directors approval.

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Subpart A: Overview

The RPCNB Rolling Stock Roster has been combined with the RPCA Member Rolling Stock roster for convenience.

This allows a RPCA Member that does not have rolling stock that is in movement condition to provide data about the equipment they own/operate.

This also allows that data to be easily upgraded in a single data base system to meet the requirements of upload to the National data (Umler) system.

This roster is a repository of rolling stock data that provides information for both RPCNB Umler/EMIS functional and RPCA historical purposes.

Because of the significant liability associated with the use of the RPCNB assigned reporting mark(s), RPCA Members in good standing desiring to utilize the RPCNB reporting mark will execute a legal agreement binding them to the standards and processes defined in this document and other documents that shall be generated as needed.

Because of the significant liability associated with the use of the reporting mark, and several incidents of rolling stock approved for movement by Class One railroad inspectors that subsequently suffered road failures due to ignorance of such railroad inspectors of the structure and performance of passenger cars moving in freight train service, RPCNB may require an inspection of the rolling stock as outlined in Part 2 subpart B Data.

Not executing such agreement is cause for refusal to upload data.

Not providing sufficient data is cause for refusal to upload data.

Not accepting a requirement for rolling stock inspection is cause for refusal to upload data.

The RPCNB activity is a Subscription based service. Fees for all procedures described in this document and any later determined to be a segment of the RPCNB operations are payable by the RPCA Member owner (Subscriber), and are due at the time of submission of the request to upload rolling stock

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data. Such fees shall be determined by recommendation of the RPCNB Office Staff and approved by the RPCNB Board of Directors.

Subpart B: Data

Data shall be provided by the RPCA Members to the RPCNB Office Staff in the format and with data field information as identified by the Umler Registration data document.

This document shall be posted on the RPCA web site, and available by request as an e-mail attachment or printed out and USPS or courier delivered. Hard copy delivery shall be reimbursable by the RPCA Member.

Members are responsible to provide ALL of the data as identified as mandatory on the format published. Members are strongly advised to provide all of the information, mandatory and optional, so as to improve the probability of rolling stock identification. Not providing all the data is cause to not upload rolling stock to Umler, but is not cause to not generate the new General Roster entry line for that rolling stock.

Where possible, any information on Member's rolling stock obtained by any process is suitable for inclusion in the General Roster function of the data base. Such information includes but is not limited to information from other organization's printed or web information, information from non-Members, information from commercially published printed and on line magazines, and information from Government or regulatory personnel.

Only data that is confirmed to be accurate, regardless of source, is suitable for use to modify data fields for rolling stock registered in Umler. This is particularly important with respect to federally mandated data such as support for PTC.

Subscribers may select the number they wish their rolling stock to operate under as long as it does not conflict with the same number already registered with the following caveat: 800 thousand numbers are restricted to current, active Amtrak approved private cars for movement in Amtrak trains. A car must attain and maintain Amtrak approval for operation to retain the use of the assigned 800 thousand number as the RPCX number.

An inspection of the rolling stock for roadworthiness may be required by RPCNB at the rolling stock owners expense. This inspection MUST be performed by an approved by RPCNB inspector.

This inspection shall be based on the new Association of American Railroads (AAR) Standard-4045 (S-4045), the Federal Railroad Administration regulations on rolling stock, and where the previous 2 documents, 49CFR232 and 238, are silent on obsolete equipment, good engineering knowledge and experience with respect to structural integrity of the car and components.

AAR S-4045 defines **the only exceptions** that are allowed to all other current rolling stock standards, practices and regulations. As such, if not defined in S-4045 and not allowed by other documentation, it is prohibited and reason to decline, or remove from, Umler registration.

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Rolling stock with CURRENT National Railroad Passenger Corporation (Amtrak) acceptance as a private car allowed for movement in Amtrak trains may have the inspection waived when appropriate documentation of signed Amtrak PC forms is supplied.

Rolling stock with a documented issue/trouble free movement history in freight train service within the last calendar year from date of request for Umler upload may have the inspection waived.

Rolling stock for which the above two conditions are not met, and/or have no confirmed history of construction and/or ownership, and/or have been significantly modified since last data submission, and/or have been involved in a derailment or wreck in recent history are subject to this defined inspection of movement in freight service roadworthiness.

It is NOT the inspector's responsibility to generate the dimensional, hardware, characteristic and weight data! This is the owner's responsibility prior to the arrival of the inspector.

The car owner and inspector will determine the rate and expense reimbursement directly. The inspector will provide a copy of the inspection report to both the owner and the RPCNB office.

The Umler data document shall be updated with respect to format and data fields as needed to remain current with the requirements of the AAR for upload of rolling stock data to the Umler/EMIS system.

Update of the data shall be provided by the car owner as changes occur, to include all federally mandated data such as model air brake system the car is equipped with, or changes in car weight.

The PTC mandated data field of maximum speed shall be input as follows: If the car is a CURRENT Amtrak approved private car, the maximum speed that Amtrak has assigned shall be used. If the car is NOT a current Amtrak approved private car, a maximum speed of 80 mph will be input with the exception of owner requested lower speed, and/or a speed limit recommendation from an approved RPCNB inspection, and/or traditional speed restrictions placed on maintenance of way car movements by railroads, and/or any speed restrictions placed on cars by the FRA. An example of the latter is MHC cars, that have a loaded max speed of 80, but an empty max speed of 50 per FRA order.

Data may be transmitted by the RPCA Member to the RPCNB Office Staff by e-mail, either in the e-mail body, or as an attachment, by USPS or courier, or by phone with a back up 'hard copy' provided by one of the previously identified means.

Data will be retained by the RPCNB Office Staff in electronic format, with backup where and when practical, with such back up to occur not less than quarterly.

The data will be maintained in the 'active' file in perpetuity. No rolling stock shall be deleted unless positively identified as a duplicate of another entry.

As part of the RPCA Membership privileges, the Rolling Stock Roster is published under RPCA funding and direction. Only rolling stock of current Members for that membership year shall be so published.

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All rolling stock that belongs to former Members that have not renewed RPCA Membership, shall not be published in the published roster. All such rolling stock shall be maintained in the active system for historical and carrier or government inquiry support.

Subpart C: Uploading

The RPCNB Office Staff will as expediently as reasonably possible convert data provided by owners or owner's designate into the coding utilized by the Umler/EMIS system and input into the relational data base.

This need by no means is intended to require the Office Staff to process the data from a location or in a manner that places the Office Staff at physical, mental, financial or other risk.

Once sufficient data has been input to the RPCNB dedicated data base to meet the minimum Umler/EMIS reporting requirements as defined by the AAR/Railinc, the RPCNB Office Staff will upload the information to Umler/EMIS in such manner as to maintain as much as reasonably possible ZERO errors in the RPCNB Umler/EMIS information contained in the Umler/EMIS national data base.

The initial upload of the rolling stock information is to the Subscriber owner's cost, the fee for which is recommended by the RPCNB Office Staff so as to reliably cover all costs associated with first upload, checking/validating upload, the annual costs associated with the AAR national Umler/EMIS file system, and the cost associated with removing the rolling stock from the AAR national Umler/EMIS file system, and approved by the RPCNB Board of Directors.

If the owner maintains RPCA Membership in good standing, and maintains the RPCNB Subscription, the owner then is subject to a significantly reduced fee for the maintenance of the rolling stock in the AAR national Umler/EMIS data base. The annual Subscription fee will be recommended by the RPCNB Office Staff so as to reliably cover all annual sustainment costs associated with the use of the AAR national Umler/EMIS data base and approved by the RPCNB Board of Directors.

Once rolling stock has been removed from the AAR national Umler/EMIS data base, if the owner then decides to renew the RPCNB Subscription for that rolling stock, the owner is subject to the same fees associated with first upload after the owner has provided proof of RPCA Membership in good standing.

Subpart D: Removal

Rolling stock will be removed from the AAR national Umler/EMIS data base at the request of the owner, due to the owner selling or otherwise disposing of the rolling stock, or the owner transferring the rolling stock to a different reporting mark.

The rolling stock will be removed from the AAR national Umler/EMIS data base for cause due to the owner not maintaining RPCA Membership in good standing, or due to the owner not maintaining the RPCNB Subscription, or for causes as directed by the RPCNB Board of Directors up to and including non-

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payment of properly invoiced CRB activities, significant modifications from original condition that owner did not notify RPCNB of, or fraudulent activities associated with movement of rolling stock on the General Railway System.

Where the owner directs the removal of the rolling stock due to transferring that rolling stock to the PPCX reporting mark, every attempt shall be made to provide AAPRCO with the correct data current as of the time of the owner's request, such that AAPRCO can properly upload the car.

Rolling stock is never removed from the RPCNB internal data base. It is kept, even when the owner is no longer a member, into perpetuity for RPCA historical purposes.

Subpart E: Response to Outside Requests

Section 1: Overview

It is the purpose of the RPCNB to simplify and ameliorate the complicated activities associated with the movement of rolling stock on the General Railway System of North America.

Part of that activity is to answer questions from various parties that have a legitimate need to know information about the physical characteristics, ownership, maintenance, or other information about rolling stock offered for movement.

It is very important that the RPCNB Office Staff shall with all due respect to the inquiring party, and to the owner RPCA Member, carefully determine if the inquiry is legitimate, the party has the need to know, and judiciously provide as much information as is needed and only that which is needed.

Where provision of information/data is warranted, the RPCNB Office Staff will prepare the information for transmittal.

Such transmittal can be directly by the RPCNB Office Staff in most cases, but where high ranking officials and/or critical legal aspects are involved, the RPCNB President shall review and transmit the information/data.

In no case will information/data be provided in a format that allows the requestor to in any way gain access to more information from the RPCNB data base.

This is most easily executed by converting the data base information into Adobe Acrobat files for transmission, thus retaining the integrity of the data base.

Section 2: Government

Legitimate inquiring organizations include the US DOT, FRA, DHS, or any other US or state Government body that has jurisdiction over the movement of rolling stock.

It is mandatory that the RPCNB Office Staff determine whether each individual request is legitimate, or is some form of 'fishing expedition' on the part of the personnel to find something wrong.

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Notwithstanding the above, the RPCNB Office Staff will provide any and all data, including personal data where legitimate, to all Governmental/Regulatory personnel with a legitimate need to know.

Section 3: Carriers

Legitimate inquiring organizations include the Class One, Two and Three railroads, the AAR, the TTC, and the Canadian and Mexican contemporaries of the US parties, or any other body that has jurisdiction and actual control over the movement of rolling stock.

It is mandatory that the RPCNB Office Staff determine whether each individual request is legitimate, or is some form of 'fishing expedition' on the part of the personnel to find something wrong.

Notwithstanding the above, the RPCNB Office Staff will provide any and all data, including personal data where legitimate, to all Rail Road personnel with a legitimate need to know.

Section 4: Movement Support

The RPCNB Office Staff shall provide all support reasonably possible with legitimate requests for support from carrier and government/regulatory entities. Such support includes but is not limited to:

- Registration transfer or re-establishment of former RPCX rolling stock;
- Data transfer of former RPCX rolling stock;
- Re-registration of former RPCX cars under RPCX to expedite movement for carriers.

RPCNB Office Staff shall respond as quickly as possible to requests from carriers for data on former RPCX rolling stock that such carriers or government entities have acquired including dimensional, performance and maintenance data.

RPCNB Office Staff will transfer the Umler registration from RPCX to any entity's reporting mark when an appropriate entity properly identifies a former RPCX car and the RPCX owner corroborates the sale where possible.

RPCNB Office Staff must request any carrier or government entity asking for movement support to provide written authority and request that substantiates that the carrier has purchased the former RPCX rolling stock, and is responsible for all costs associated with such rolling stock. Upon receipt of such documentation, the RPCNB Office Staff will upload the former RPCX rolling stock to Umler for the period of time requested or until notified by the requesting entity that the need has expired.

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Part 3: ABT practices

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Subpart A: Overview

The purpose of the RPCNB Confederation of Certified Air Technicians (CCAT) is to provide air date and inspection upload services to RPCA Member Certified Air Technicians (CATs) that do not have their own upload capability.

Such Certified Air Technicians are limited to Members of the RPCA, who may be individual Members, Members that are commercial entities such as car shops and short lines, employees of Members that are commercial entities, and Members that are employees of entities that do not otherwise have the capability to upload the data.

It is required that either the Certified Air Technician, or the entity for which the Certified Technician is employed, is a RPCA Member in good standing to participate.

The Certified Air Technician or the Technicians employer shall execute a legal agreement identifying the responsibilities with respect to air brake test activities.

Subpart B: Data

Data shall be provided by the Certified Air Technician RPCA Member to the RPCNB Office Staff in the format identified by the ABT SOP document.

This document shall be posted on the RPCA web site, and available by request as an e-mail attachment or printed out and USPS or courier delivered.

This document shall be updated as needed to remain current with the requirements of the AAR for upload of air brake data to the Umler/EMIS system.

Data may be transmitted by the Certified Air Technician RPCA Member to the RPCNB Office Staff by e-mail, either in the e-mail body or as an attachment, by USPS or courier, or by phone with a back up 'hard copy' provided by one of the previously identified means.

Data will be retained by the RPCNB Office Staff in electronic format, with backup where and when practical, with such back up to occur not less than quarterly.

The data will be maintained in the 'active' file for a period not less than the legal period identified for the type valves on the type car represented thereon. After that time, the data may be copied to archives at the Office Staff's convenience.

Data will be archived in a historical file for a period not less than 5 years from time at which the data was rendered 'out of date'.

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Subpart C: Uploading

Data received from Certified Air Technician Members will be processed and uploaded to the national system as quickly as possible due to the AAR requirements of expedient processing.

This need by no means is intended to require the Office Staff to process the data from a location or in a manner that places the Office Staff at physical, mental, financial or other risk.

The initial upload of the air or inspection date information is to the Certified Air Technician Member's cost, the fee for which is recommended by the RPCNB Office Staff so as to reliably cover all costs associated with first upload, checking/validating upload, the annual costs associated with the AAR national Umler/EMIS file system, and approved by the RPCNB Board of Directors.

Once an air or inspection date has been uploaded to the AAR Umler/EMIS system, it shall not be removed from the AAR national Umler/EMIS data base, even for causes that would generate removal of rolling stock, due to the need to provide safety information to the General Railway System.

However, actions that are not favorable to the RPCNB and/or the RPCA are cause for the RPCNB Office Staff to recommend that the privileges of the Certified Air Technician Member be suspended and/or revoked, which upon RPCNB Board of Directors approval, will result in the loss of the upload privilege until such time as the Certified Air Technician has provided proof of correction of the inappropriate practices and/or RPCA Membership in good standing.