The purpose of this document is to provide useful information about rules and standards promulgated by the AAR and services provided by AAR and its two subsidiaries, Railinc and TTCI. Occasional reference is made to governmental rules and requirements. These references are incidental and for the purpose of background information only. They are not meant as advice on, or descriptions of legal obligations. For such information, the reader should consult a qualified attorney.
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I. INTRODUCTION

A. About The Guide

This document is designed to introduce new and existing railroads to valuable information for operating as a part of the North American railroad system. Each section in this document describes the uses and requirements of an application or process, outlines Railinc’s role and, where applicable, the various rules and procedures prescribed by the Association of American Railroads (AAR), Surface Transportation Board (STB), and National Motor Freight Traffic Association (NMFTA).

The management of many of these applications/processes is handled by different disciplines in different locations. The AAR, located in Washington, D.C., is responsible for the promulgation and interpretation of Car Service/Car Hire Rules and Interchange Rules. The Transportation Technology Center, Inc. (TTCI), located in Pueblo, Colorado, is responsible for the development and testing of new and existing freight and passenger equipment technology. Railinc, located in Cary, North Carolina, is the leading provider of information technology development and related services to the North American Railroad Industry. In addition, AAR has contracted with Railinc and TTCI to provide administrative support as wholly owned subsidiary companies of the AAR.

Directories are available to assist in locating the publications and the functional contacts referenced in each section. They contain titles, addresses, telephone/fax numbers and web sites. The acronyms and terms that are mentioned throughout this booklet and used in the industry are defined in the glossaries.

B. New Railroads

As a new railroad, you should have already contacted the U.S. Department of Transportation (US DOT), Surface Transportation Board (STB), or the government agency in Canada or Mexico responsible for granting your railroad operating authority and ensuring that your company will have common carrier status.

Companies operating within the United States will find initial filing requirements for STB approval to operate in the STB booklet So You Want to Start a Small Railroad. The booklet can be downloaded from STB’s web site at http://www.stb.dot.gov/stb/elibrary/epubs.html. The STB’s Office of Compliance and Enforcement has been renamed the "Office of Compliance and Consumer Assistance" (OCCA) to better reflect its mission and purpose. The Rail Consumer Assistance Program is housed within OCCA and may be accessed using a nationwide toll-free telephone number, (866) 254-1792; by fax, at phone number (202) 245-0462; and via an e-mail address, at RailConsumer@stb.dot.gov.
II. ASSIGNMENT OF REPORTING MARKS AND RAILWAY ACCOUNTING RULE 260 CODE

One of the important functions managed by AAR is the assignment of the Standard Carrier Alpha Code (SCAC) which consists of two to four alpha characters, and the Railway Accounting Rule 260 Code which consists of 3 numeric digits. **A SCAC throughout this document will be referred to as a Reporting Mark or Car Initials.** The reporting mark is used in conjunction with the Railway Accounting Rule 260 Code as a company’s identification for various tariff and accounting applications. The reporting mark is stenciled on its equipment. The requirements for the assignment of all railroad reporting marks are outlined in Circular Letter OT-5.

A. Reporting Marks For Rail Equipment

A reporting mark will be assigned to a railroad upon receipt of authority issued by the Surface Transportation Board (STB), or the Certificate of Fitness issued by the Canadian Authority, or the Concession issued by the Mexican Government and a signed interchange agreement.

Only one reporting mark will be assigned to a railroad. This is a requirement of the NMFTA that is empowered by the STB to administer the assignment of reporting marks for all modes of transportation. Carriers that were merged and/or assigned equipment marks prior to the STB’s transfer of responsibility to NMFTA may retain those reporting marks as equipment identifiers only.

When applying for a reporting mark, a copy of the AAR Interchange Agreement, Section 10706 Agreement and Car Service/Car Hire Agreement will be furnished. The reporting mark will not be assigned until the executed AAR Interchange Agreement is received. In addition, the applicant is to provide a brief outline of its operations and/or adoption notice identifying stations, junction points and railroad(s) that will be its interchange partner(s).

For information regarding the assignment of reporting marks, should e-mail their request to:

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csc@railinc.com
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Or fax to:

Railinc
ATTN: Reporting Marks
7001 Weston Parkway, Suite 200
Cary, NC  27513-5157
Fax: (919) 651-5191

Or call the Customer Support Center at (877) 724-5462 and ask for the application for a Reporting Mark.
B. Reporting Marks for Trailers and Containers

Railroads that have executed an AAR Interchange Agreement and have been assigned a reporting mark and an Accounting Rule 260 Code are eligible to apply for a reporting mark consisting of four alpha characters ending in “Z” for trailers and “U” for containers.

The applicant is required to certify that it has a serviceable Trailer-On-Flat-Car/Container-On-Flat-Car (TOFC/COFC) facility and can accept trailers, containers and chassis delivered on flat cars in train service. Such certification must be available prior to the assignment of the reporting mark.

A copy of the AAR TOFC/COFC Interchange Agreement – Trailer-On-Flat-Car/Container-On-Flat-Car (TOFC/COFC) Service and the Trailer/Container Service and Reporting Agreement will be forwarded to the requesting trailer/container owner for execution. The reporting mark will not be assigned until the executed AAR TOFC/COFC Interchange Agreement is received.

Applicants requesting the assignment of a reporting mark for containers must submit their request to:

   National Motor Freight Traffic Association, Inc., Agent
   1001 North Fairfax, Suite 600
   Alexandria, VA  22314
   Telephone: (703) 838-1810, Fax: (703) 683-1094
   E-mail: SCAC@nmfta.org
   Web Site: www.nmfta.org

A copy must be provided to the Product Manager, Railinc.

Applicants requesting the assignment of a reporting mark for trailers should e-mail their request to:

   csc@railinc.com

Or call the Customer Support Center at (877) 724-5462 and ask for the application for a Private Mark.
III. INDUSTRY OPERATING REQUIREMENTS

AAR Safety and Operations staff manages the freight car Interchange Agreements and associated rules and standards. Railroads and private car owners subscribe to the AAR Interchange Agreement. The Interchange Agreement promotes railroad safety and efficient interchange. This agreement is a contractual arrangement by which the parties signing agree to abide by the AAR Rules of Interchange.

The AAR Interchange Rules for freight cars are contained in two manuals: the Field Manual of AAR Interchange Rules and the Office Manual of AAR Interchange Rules. All railroads and private car owners should have copies of the interchange rules that govern the mechanical requirements for freight cars. The Field Manual is required to be on hand at all railroad freight car repair facilities and affiliated contract shops. Other required publications are listed in Rule 1 of the Field Manual.

A complete list of Safety and Operations Department Publications may be obtained from the Transportation Technology Center, Inc. at http://www.aar.com/index-pub.htm or by calling (877) 999-8824.

The Circular Letters issued, which are notifications for interim rule changes or administrative correspondence, are available by subscription at http://aarcirculars.aar.org/. Online copies of many circulars are maintained by Railinc on Railinc.com at AAR Operating-Transportation (OT-Circulars).

A. AAR Interchange Rule 88 Procedure

The sale of freight cars is governed by Rule 88 in the Office Manual of AAR Interchange Rules. All cars sold must meet the current inspection requirements of Rule 88 in the Field Manual. The buyer and seller must jointly certify that the cars meet all interchange requirements. An administrative fee is assessed for approval and handling of the Rule 88 forms.

For information regarding Interchange Rules, contact:

AAR, Safety and Operations
(202) 639-2200 (ask for Interchange Rules)

B. Repair Facility Requirements

Any railroad or contract shop that operates a repair facility must contact AAR Safety and Operations when the shop starts operation to have company and location marks assigned. The AAR performs routine inspections at these shops to ensure all repairs are made in compliance with the Interchange Rules. There is a charge for routine inspections performed at contract shops and nonmember railroad facilities.

Prior to machining or reconditioning freight car components for interchange service, a railroad that operates a repair facility must be certified by the AAR. These shops must be inspected prior to certification; there is a fee assessed to nonmembers of the AAR to cover the cost of inspections. Lists of all certified shops are published to the railroad industry via AAR Safety and Operations Circular Letters.
C. Automatic Equipment Identification

The Interchange Rules and the Manual of Standards and Recommended Practices prescribe the requirements for the placement on railcars and equipment of Automatic Equipment Identification (AEI) transponders. The transponders/tags are radio frequency devices that transmit the equipment’s identity (mark and number) and other pertinent information applicable to each equipment type to wayside readers.

All equipment moving in rail service is required to be equipped with two transponders that are on the A and B ends. End of Train (EOT) Telemetry devices are equipped with one AEI transponder. The specifications for application and programming of internal information are provided in the Manual of Standards and Recommended Practices, Section L, Mechanical Standard S-918. AAR Interchange Rules provide for the general rules and repairs and applicable billing codes and conditions.

**Note:** A car being restenciled, per Field Manual Rule 63, must have its transponders replaced or reprogrammed. In order for equipment to have transponders programmed, they must be registered in the Umler™ file.

D. AAR Railway Accounting Rules

The AAR Railway Accounting Rules (RAR) are designed to provide guidance and regulation related to the waybilling and settlement of interline rail shipments via the Interline Settlement System (ISS), Switching Settlement Data Exchange (SSDX) and the Railroad Clearinghouse (RCH).

The sections of the RAR include:

- General Mandatory Rules,
- Freight Mandatory Rules,
- Interline Switching Mandatory Rules,
- Overcharge Mandatory Rules,
- Railway Accounting Rules Acronyms and Definitions
- Railway Accounting Rules Forms for Freight and Overcharge Rules
- Miscellaneous Railway Accounting Rules
- Mandatory Arbitration Rules
- Railroad Clearinghouse Settlement Regulations
E. Railway Accounting Rule 260

Freight Mandatory Rule 260 (FMR 260) requires that all freight stations be recorded in the Centralized Station Master (CSM) and all railroads must use the FSAC number published in the Official Railroad Station List (OPSL 6000-series). RAR 260 states, in part, “all authorized freight stations and related station data elements must be registered in the CSM.” All active stations and their associated FSACs are published in the Official Railroad Station List (OPSL 6000-series).

A copy of the Centralized Station Master Questionnaire is sent to new railroads to obtain necessary information about that railroad to fulfill various IRF data and data maintenance requirements.

For information regarding RAR 260 or to obtain the necessary forms, e-mail:

csc@railinc.com

Or send fax to: Railinc
ATTN: CSM
7001 Weston Parkway, Suite 200
Cary, NC  27513-5157
Fax: (919) 651-5405

Or call the Customer Support Center at (877) 724-5462 and ask for Rail Data Standards or CSM.

F. Additional Services

Other services offered by AAR Safety and Operations include:

**Dispute Resolution**—Resolution of disputes involving the AAR Mechanical Interchange Rules is under the authority of the AAR Arbitration and Rules Working Committee. Parties wishing to have a dispute addressed may mail a petition describing the dispute to the Executive Director, Rules & Standards.

For information regarding resolution of disputes, contact:

AAR, Safety and Operations
(202) 639-2200 (ask for Rules & Standards Dispute Resolution)

Rebuilding, structural modification, and extending the service life of freight cars is governed by Office Manual Rule 88 of the AAR Mechanical Interchange Rules. An application must be submitted to the Chief, Technical Standards for approval. A sample of cars in the program must be inspected and there are fees depending on the nature of the application.

For information regarding Rule 88 programs for freight cars, please contact:

Rule88@aar.com

Or call (719) 584-7101 and ask for EEC.
The AAR administers a Comprehensive Quality Assurance Program. The following activities are under the scope of the program:

**Exhibit 1. Quality Assurance Components List**

<table>
<thead>
<tr>
<th>New Components</th>
<th>Reconditioned Components</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Roller Bearings</td>
<td>• Roller Bearings</td>
</tr>
<tr>
<td>• Brake Shoes</td>
<td>• Coupler Bodies &amp; Yokes</td>
</tr>
<tr>
<td>• Roller Bearing Grease</td>
<td>• Truck Bolsters</td>
</tr>
<tr>
<td>• Coupler Bodies &amp; Knuckle</td>
<td>• Truck Side Frames</td>
</tr>
<tr>
<td>• Yokes</td>
<td>• Draft Gears</td>
</tr>
<tr>
<td>• Truck Side Frames</td>
<td>• Cushioning Devices</td>
</tr>
<tr>
<td>• Truck Bolsters</td>
<td>• Wheels and Axles</td>
</tr>
<tr>
<td>• Truck Springs</td>
<td>• Roller Bearing Mounting</td>
</tr>
<tr>
<td>• Body Center Plates</td>
<td>• Air Brake Valves</td>
</tr>
<tr>
<td>• Draft Gears</td>
<td>• Brake Beams</td>
</tr>
<tr>
<td>• Cushioning Devices</td>
<td>• Hand Brakes</td>
</tr>
<tr>
<td>• Wheels and Axles</td>
<td>• Freight Car Repairs (Rule 88 &amp; Heavy)</td>
</tr>
<tr>
<td>• Air Brakes Valves</td>
<td>• Tank Car Repair Shops</td>
</tr>
<tr>
<td>• Air Brake Hoses/Hose Assemblers</td>
<td>• Locomotive Components</td>
</tr>
<tr>
<td>• Brake Beams</td>
<td></td>
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<tr>
<td>• Hand Brakes</td>
<td></td>
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<tr>
<td>• Tank and Freight Car Manufacturer</td>
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<tr>
<td>• Locomotive Manufacture</td>
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<tr>
<td>• AEI Transponders</td>
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</tbody>
</table>

**Loading Open Top Cars**—The Open Top Loading Rules Committee maintains the set of rules governing the loading of commodities in open top cars.

For information regarding the rules of loading open top cars, contact:

otlr@aar.com

Or call (719) 584-0511 and ask for OTLR

**Freight Car Builder Certification**—The Equipment Engineering Committee must certify freight car builders.

For information regarding certification of freight car builders, contact:

EEC@aar.com

Or call (719) 584-7101 and ask for EEC

**Tank Car Construction/Repair Certifications**—The AAR Tank Car Committee approves all tank car construction facilities, repair facilities and all certificates of construction for tank cars.

For information regarding tank cars, contact:

AAR, Safety and Operations
(202) 639-2200 (ask for Tank Car/HazMat)
Supplier Quality Assurance Specifications—The Quality Assurance Working Committee maintains the specifications for quality assurance to provide confidence that suppliers meet requirements for the applicable standards.

For information regarding specifications, contact:

qa@aar.com

Or call (719) 584-7101 and ask for QAC.
IV. EQUIPMENT MANAGEMENT/ASSET UTILIZATION

The AAR provides equipment management/asset utilization services to those railroads that are signatories to the AAR Car Service and Car Hire Agreement.

The AAR also acts as agent for individual rail carriers to issue embargo and reroute orders for railroads.


A. Registration of Equipment

Railinc maintains the Umler™ file, a database of rail equipment information. Umler™ contains the physical characteristics, transportation management and pool assignments of nearly every piece of rail equipment in North America. That’s over two million pieces of equipment—rail cars, trailers, containers, chassis, locomotives and end-of-train devices—and all with less than 1% error. This information is used in distributing equipment, planning routes, determining power requirements, reporting air brake testing and in Automatic Equipment Identification (AEI) management. For additional information about Umler™, see Umler™ Services on page 14.

B. Disposition of Empty General Service or Unassigned Railroad-Owned Cars—SCO 90

The AAR Special Car Order 90 (SCO 90) is maintained in recognition of the need to move empty indirect connection railroad-owned freight cars to the home railroad. SCO 90 handling reduces the time, car hire, and transportation costs involved in moving empty cars that have been reloaded one or more times.

Automatic outlets are being maintained and periodically adjusted for indirect connection ownerships across most Class I and II rail carriers. Several short line and terminal switch carriers have been provided outlets or receipt obligations if they are the only rail connection of another carrier that owns or leases applicable rail cars. In the case of terminal switch carriers, outlets are provided if they connect with more than one carrier and the direction of empty cars towards home rails is a factor.

See Special Car Order 90 on page 26, for information on Railinc's web application for SCO 90.

For information regarding the Disposition of Surplus Railroad-Owned Cars, e-mail: csc@railinc.com (Type SCO 90 in the Subject line)

Or call the Customer Support Center at (877) 724-5462 and ask for more information regarding SCO 90.
C. Special Equipped and General Service Freight Cars, Railroad Marked or Privately Marked, Covered by AAR Car Service Directives

Railroad marked and privately marked cars (designated by a railroad shown in the lessee field in the Umler™ file) subject to AAR Car Service Directives (CSD) should not be placed for loading without permission of the railroad which has placed its car or a controlled car into assignment. It is the responsibility of each railroad to educate its shippers, consignees and car distribution forces on the handling of freight cars covered by AAR Car Service Rules, Orders and Directives.

Car Service Directives CSD 145, CSD 150, CSD 175 and CSD 435 are standing directives for handling of empty freight cars that are assigned for specific shippers, commodity or agent pool assignments or for freight cars that are unassigned. In the case of CSD 175, this directive governs the return of applicable freight cars to the car controlling railroad for lease termination of shop program work.

AAR Car Service Directives are the responsibility of the AAR Equipment Assets Committee. References to the Code of Car Service Rules and Interpretations – Freight, are published in AAR Circular No. OT-10.

For information regarding Car Service Directives, contact:

csc@railinc.com (Type OT-10 in the Subject line)

Or call the Customer Support Center at (877) 724-5462 and ask for more information regarding OT-10.

D. Embargoes and Reroutes

The AAR provides two procedures for controlling freight traffic when situations temporary in nature occur on a railroad. AAR Circular TD-1 defines the issuance of an embargo and AAR Circular TD-2 defines the issuance of a reroute order. AAR Circular TD-1 and AAR Circular TD-2 are published in AAR Circular No. OT-10 Embargoes can be issued electronically by designated railroad embargo officers through the use of the AAR Embargo and Permit System by going to http://aarembargo.railinc.com and following the instructions provided.

Definition Excerpted from AAR Embargo Circular TD-1:

A. An embargo is a method of controlling traffic movements when, in the judgment of the serving railroad, an actual or threatened Physical or Operational Impairment, of a temporary nature, warrant restrictions against such movements.

B. For the purpose of this Circular, “Traffic” is defined as loaded and revenue empty freight cars, trailers and/or containers. This shall include carrier and privately owned or leased freight cars, trailers and/or containers.
Definition Excerpted from AAR Reroute Circular TD-2:

A reroute is a temporary method of moving loaded freight cars via an alternate route when either all or a part of a railroad is disabled and that railroad, due to circumstances beyond its control, cannot move the cars per the shipper’s instructions. Prior to initiating rerouting of loaded cars to connecting lines, the disabled railroad must obtain concurrence of the railroad or railroads that will participate in the rerouting of the cars. A reroute order may be issued by the AAR on behalf of a railroad in accordance with Title 49 Code of Federal Regulations, Section 1034.1.

For information regarding embargoes and reroutes, e-mail:

csc@railinc.com

Or fax to:
Railinc
ATTN: Embargoes
7001 Weston Parkway, Suite 200
Cary, NC 27513-5157
Fax: (919) 651-5405

Or call the Customer Support Center at (877) 724-5462 and ask for Embargoes.

**E. National Car Grade System**

There are two criteria used for the grading of the interior condition of box and gondola cars covered under *AAR Field Manual*, Interchange Rule 1, Section 6, Car Classification. The first criterion requires a physical inspection of empty box and gondola cars when on shop, repair, Data Interchange (EDI) are requested to report their inspections using AAR Car Grade Inspection upgrade or clean out tracks to determine the car’s grade in accordance with Rule 1 and reporting to the TRAIN II® System per Interchange Rule 93. Carriers that cannot report via Electronic Format 46, which is found in *AAR Circular OT-34*.

The second criterion uses waybill information reported to the TRAIN II® System to identify any cars transporting municipal garbage waste that is assigned the STCC 4029114. This information generates the Car Grade “W” in the TRAIN II® System and Transportation Code “G” in Umler™ /EMIS. These codes indicate that the car is contaminated and this condition prevails for the life of the car. Shipments that are reported with potential contaminants or toxic substances with Standard Transportation Commodity Codes listed in AAR Car Service Rule 14 (in *AAR Circular OT-10*) generate a Car Grade ‘K’. The ‘K’ grade can only be removed by physical inspection and reporting to TRAIN II®.

Covered Hopper cars that are loaded with specific ruminant protein commodities as defined in the Appendix to AAR Car Service Rule 14 – *Contaminating Commodities* will generate a Car Grade of N and a Transportation Code of G when reported via waybill to the Railinc TRAIN II System. Refer to AAR Car Service Rule 14 for additional information.
V. DAMAGE PREVENTION

Damage Prevention and Loading Services (DP&LS), part of the Transportation Technology Center Inc. (TTCI) within the AAR, organizes and implements programs for safe transportation and prevention of loss and damage to all commodities shipped by rail, and provides support to railroads in the interline settlement of freight claims.

A. Damage Prevention and Loading Services


The DP&LS staff is available to conduct field programs to evaluate performance in Motor Vehicle Handling Operations through Quality Review programs. These programs evaluate equipment maintenance, operations/equipment placement, and personnel performance in the handling, loading and/or unloading, and securement of motor vehicles. Onsite training in all areas of vehicle handling is provided during Quality Reviews.

Many training programs are developed to assist in education involving established loading methods and procedures. These programs are often “How-To” instructional aids based on railroad and customer needs. More than 30 programs are available on various damage prevention and loading topics.

DP&LS maintains and publishes Freight Claim Rules. These rules provide for: (1) the prompt and lawful settlement of freight claims with claimants; and (2) the prompt and equitable apportionment among carriers of amounts paid in the settlement of freight claims. DP&LS also administers a freight claim arbitration program to settle interline disputes. Industry freight claim statistics are also monitored to measure industry performance and trends. This statistical data helps provide guidance in directing damage prevention efforts.

B. Damage Prevention and Freight Claims

Membership in the AAR’s DP&FC section is available to representatives of rail carriers with authority to adjust freight claims for loss or damage or relief claims involving refused, unclaimed, short or damaged freight, and to representatives of rail carriers charged with authority for damage prevention issues. Membership may be:

- **Full Membership**—All full member railroads of the Association of American Railroads (AAR), including AAR Special Canadian and Mexican Member Roads.

- **Special Membership**—Railroads (other than Class I railroads) which are not Full Members of the AAR.
Membership requires that a written agreement (Standard Form No. DPFC-18 or No. DPFC-19) be executed and filed with DP&LS. This agreement stipulates that the carrier will observe the Rules of Order, the Principles and Practices, and the Freight Claim Rules as published in the *DP&FC Rule Book*.

For information regarding Membership, Freight Claim Rules and overall DP&LS services, e-mail:

`dpls_fax@aar.com`

Or fax to: TTCI
TTCI – Membership/Loading
55500 DOT Road
Pueblo, CO 81001
Fax: (719) 584-0775

For information regarding Motor Vehicle issues, Field Programs, Training programs, e-mail:

`dpls_fax@aar.com`

Or fax to: TTCI
ATTN: TTCI – Training
55500 DOT Road
Pueblo, CO 81001
Fax: (719) 584-0775

For information regarding testing, loading methods and products, and related services, e-mail:

`dpls_fax@aar.com`

Or fax to: TTCI
ATTN: TTCI-Engineering
55500 DOT Road
Pueblo, CO 81001
Fax: (719) 584-0775
VI. RAILINC EQUIPMENT CHARACTERISTICS SERVICES

Equipment Characteristics Services refers to Railinc products that focus on physical rolling stock, such as railcars and locomotives. Products within this category relate to rail equipment operated in interchange service, which may include rail equipment characteristics, pooling and distribution of empty rail equipment; and rail equipment health information.

Key products in this category include:

- Umler™ Services
- Comprehensive Equipment Performance Monitoring (CEPM) system
- Early Warning system

A. Umler™ Services

In addition to the Umler™ File described in Registration of Equipment on page 9:

- Data quality is very important to Railinc. Our goal is to have an error-free Umler™ file. Equipment owners can log into Umler™ and see a list of the initial and number of equipment with conflicts on their homepage.

- Railinc hosts the FindUs.Rail application for use in contacting parties to the rail industry. This includes equipment owners. Equipment owners should request access to FindUs.Rail through www.railinc.com to view their contact information and keep it up to date.

- The Umler™ Data Specification Manual provides the data requirements and input formats to register equipment into the Umler™ system and is needed when registering equipment using Umler™.

The Umler™ system allows users to report car management information associated with the pooling of equipment (creating Pool Headers and assigning or unassigning equipment to the pools), and assign User Transportation Codes. It also allows repair shops and equipment owners to report Air Brake Tests, the applications of retro-reflective material, and Car Grades. Equipment owners may also report various locomotive inspections (U.S. Federal Railroad Administration [FRA], Quarter, Annual, etc.), Autorack certifications, and door lubrication events.

In addition, the Umler™ system allows equipment owners and their agents to query Umler™ equipment information, to query equipment notices, and to query the Umler™ transaction log which identifies transactional changes to the equipment.

In order for repair shops to report updates or query the Umler™ system, the Shop must obtain a Shop ID from Railinc. To obtain a Shop ID, please contact the Railinc Customer Support Center at (877) 724-5462 or csc@railinc.com and request an application for a Shop ID.

If you have not registered as a customer of the Umler™ System, go to http://www.railinc.com, click on Register Here on the right side, and follow the registration process to sign up for an SSO.
ID and request access to Umler™, or call the Railinc Customer Support Center at 800-724-5462 for assistance.

More information about the Umler system is available on www.railinc.com. For additional assistance, e-mail:

csc@railinc.com

Or call the Customer Support Center at (877) 724-5462 and ask for more information about the Umler™ system.

**B. Comprehensive Equipment Performance Monitoring (CEPM) System**

Comprehensive Equipment Performance Monitoring (CEPM) is a web-based application that captures data for railcar equipment components. This data includes reporting on wheel repairs, validating railcar component existence, incorporating mileage information, and providing visibility into the current and past health status of rail equipment.

This first phase in the CEPM program focused on wheelsets (CEPM-Wheelsets). This includes centralizing the registration of wheelset component details and identifying the application of wheelset components, including AAR and non-AAR repairs. The second phase added two additional components—bolsters and sideframes. This release allows inventoried wheelsets without barcodes to be registered.

Users can:

- Register components in advance using Railinc’s Umler™ Component Registry
- Report the application of components via Railinc’s Umler, Car Repair Billing (CRB), and Equipment Health Maintenance System (EHMS) applications

The Component Registry operates as a part of Umler system. Each user must have an SSO ID and be authorized to use Umler.

More information about CEPM is available on www.railinc.com. For additional assistance, contact:

csc@railinc.com

Or call the Customer Support Center at (877) 724-5462 and ask for more information about CEPM.
C. Early Warning System

The Early Warning/Maintenance Advisory (EW/MA) System was designed and developed to support the industry requirements of Interchange Rule 125, while enhancing the timeliness of processing and distributing critical information impacting the safe operations of registered rail equipment. With implementation of the new system, users will have the option to submit EW/MA information through a central web-site or by sending information directly to the Railinc network, using the standard TRAIN II® message format.

For information regarding the Early Warning System, e-mail:

csc@railinc.com

Or fax to: Railinc
ATTN: Early Warning System
7001 Weston Parkway, Suite 200
Cary, NC 27513-5157
Fax: (919) 651-5405

Or call the Customer Support Center at (877) 724-5462 and ask for more information regarding the Early Warning System.
VII. RAILINC ASSET HEALTH SERVICES

Asset Health Services refers to Railinc products that focus on physical rolling stock, such as railcars and locomotives. Products within this category relate to the health of rail equipment operated in interchange service, which may include rail equipment characteristics, pooling and distribution of empty rail equipment; and rail equipment health information.

Key products in this category include:

- Car Repair Billing and Data Exchange
- Locomotive Repair Billing
- Damaged and Defective Car Tracking
- Equipment Health Management system
- Equipment Health View

A. Car Repair Billing – Billing Repair Card (BRC)

1. CRB System

The web-based Billing Repair Card (BRC) system is designed for small repair facilities and users who are not partnering with a car repair software vendor. With the BRC, you can enter and price railcar repairs, participate in Data Exchange and create paper invoicing. The BRC interfaces with Railinc’s Car Repair Billing (CRB) system, ensuring accuracy and efficiency—up front.

Before a BRC can be priced, all fields must be populated and all basic edits must be passed. It will then either be priced successfully or returned with errors. Errors must be corrected and resubmitted before a BRC can be invoiced or sent for Data Exchange.

A successfully priced BRC can be gathered with other BRCs for a particular car owner and assigned a common invoice number. Once invoiced, these BRCs are the sent to Railinc’s Data Exchange and made available for users to access electronically on a monthly basis.

For information regarding the Car Repair Billing application, e-mail:

   csc@railinc.com

Or fax to:

   Railinc
   ATTN: CRB
   7001 Weston Parkway, Suite 200
   Cary, NC 27513-5157
   Fax: (919) 651-5405

Or call the Customer Support Center at (877) 724-5462 for more information regarding CRB.
2. Car Repair Billing Data Exchange

The Car Repair Billing Data Exchange (CRBX) provides participating rail carriers and private repair shops the means to forward to Railinc a single file representing all billing information related to labor and materials used in connection with the repair of freight cars. Subscribing rail or private freight car owners receive one file representing car repair dollar amounts owed to rail carriers and private repair shops that performed repair services to their equipment. The data content presented via the CRBX is published in the *Car Repair Billing Procedures Manual*.

New participants/subscribers must submit written participation notification to Railinc no later than the first day of the month during which repairs will be performed, or equipment placed into service.

For information regarding Car Repair Billing Data Exchange, email:

csc@railinc.com

Or call the Customer Support Center at (877) 724-5462 and ask for more information regarding CRBX.

B. Locomotive Repair Billing (LRB)

The Locomotive Repair Billing (LRB) system is a web-based application that provides a centralized system for users to price, report, approve, invoice, and distribute repairs on locomotives. As a single source of data, it reduces the administrative costs associated with the current manual billing process which require manual intervention to acquire data for each customer.

LRB has become the central and official industry source for pricing repairs—ensuring consistent pricing by averaging repair costs among customers using an online survey process. LRB allows automated approval requests to be sent for repairs entered or sent to Railinc via the web or MQ to allow Class 1 Railroads to electronically price, validate, and request approvals for locomotive repairs.

For information regarding the Locomotive Repair Billing application, e-mail:

csc@railinc.com

Or fax to: Railinc
ATTN: LRB
7001 Weston Parkway, Suite 200
Cary, NC  27513-5157
Fax: (919) 651-5405

Or call the Customer Support Center at (877) 724-5462 for more information regarding LRB.
C. Damaged and Defective Car Tracking (DDCT)

The Damaged and Defective Car Tracking System (DDCT) is a web-based application that allows freight car owners and railroads to exchange information on defective and damaged freight cars. Damaged cars are handled in accordance with Rule 107 and defective cars are handled in accordance with Rules 1 and 108 of the American Association of Railroads’ (AAR) Field Manual of the Interchange Rules. Rule 95 is used for any damaged equipment that can be returned to service.

**Rule 1**
Care of freight cars, inspection, repairs to foreign cars, disposition for unacceptable cars, gages and publications required and car classification.

**Rule 95**
Handling of damaged equipment that can be returned to service. Assumes damage is the handling carrier’s responsible and car can be returned to service without requesting disposition. Rule 95 does not allow for disposition. If handling line damage is to the extent that it requires disposition, it will be entered under Rule 107.

**Rule 102**
Defect Cards procedures.

**Rule 107**
Handling of damaged or destroyed equipment, disposition/ settlement, depreciated value or settlement value.

**Rule 108**
Cars requiring extensive repairs.

DDCT interfaces with Umler, the Event Repository (TRAIN/EDI), and the Liability Continuity System (LCS). DDCT also interfaces with IRF Web to assist users in finding correct Standard Point Location Codes (SPLCs).

DDCT interfaces with Railinc’s Early Warning (EW) system. When a DDCT incident is created, the car is placed on a Maintenance Advisory (MA) Letter that corresponds to the rule number used in creating the incident. The MA letter advises the railroad, car owner or repair facility that a defect exists for the unit. When cars reach an end state in DDCT, the cars are automatically removed from the respective MA letter. Cars can be added to the DDCT-specific Maintenance Advisory letters only through the DDCT system—cars cannot be added or removed through Early Warning.

For information regarding the DDCT, e-mail:

csc@railinc.com

Or fax to: Railinc
ATTN: DDCT
7001 Weston Parkway, Suite 200
Cary, NC  27513-5157
Fax: (919) 651-5405

Or call the Customer Support Center at (877) 724-5462 for more information regarding DDCT.
D. Equipment Health Management System

Railinc’s EHMS leverages proven industry-wide information systems to give the rail industry the information they need to support the North American industry’s Advanced Safety Technology Initiative (ATSI).

ATSI was created to address the “Stress State of the Industry.” This initiative examines the wheel-to-rail interface and seeks damage prevention solutions to increase rail transportation safety. ATSI uses the latest technology in wayside detectors to identify mechanical problems that are developing giving sufficient time to rectify problems before damages or accidents occur.

Railinc’s EHMS provides the means to manage and communicate the massive amounts of data coming from the wayside detectors in support of ATSI. In partnership with the Transportation Technology Center Incorporated (TTCI), EHMS scrubs, stores and distributes information about equipment to rail carriers, car owners and other interested parties. Currently EHMS is focused on information coming from wheel impact load detectors (WILD). Other detector types are in the works.

EHMS takes alert data from WILD detectors after it is analyzed and categorized by TTCI’s sophisticated InteRRIS system. It puts the data into four categories:

- Window open level – advising that some degradation of wheel roundness has started
- Opportunistic level – giving equipment owners a chance to schedule repairs before they start causing damage
- Condemnable level – telling shops that wheels need to be replaced
- Final Alert – telling carriers and car owners that high stresses are being place on rails requiring immediate action

EHMS manages the communication of this information to all equipment owners and provides the mechanism for reporting repairs, completing the cycle. Other interested parties such as private contract shops can profit from this wealth of data.

For information regarding the EHMS application, e-mail:

csc@railinc.com

Or fax to: Railinc
ATTN: EHMS
7001 Weston Parkway, Suite 200
Cary, NC  27513-5157
Fax: (919) 651-5405

Or call the Customer Support Center at (877) 724-5462 and ask for more information regarding EHMS.
E. Equipment Health View

Equipment Health View is a web-based application accessed through the Equipment Health Management System (EHMS) application. It consolidates equipment information from Railinc's Umler, Damaged and Defective Car Tracking (DDCT), and Early Warning systems, as well as information from the Event Repository regarding mileage.

Equipment Health View allows authorized users to:

- View a subset of Umler data for an Equipment ID
- View Early Warnings status for an Equipment ID
- View alert status for an Equipment ID
- View damaged and defective status for an Equipment ID
- View mileage for an Equipment ID
- View inspection statuses for an Equipment ID
- View mapped location status for an Equipment ID

For information regarding the Equipment Health View application, e-mail:

csc@railinc.com

Or fax to: Railinc
ATTN: EHMS/Equipment Health View
7001 Weston Parkway, Suite 200
Cary, NC 27513-5157
Fax: (919) 651-5405

Or call the Customer Support Center at (877) 724-5462 and ask for more information regarding Equipment Health View.
VIII. RAILINC ASSET UTILIZATION AND COMPENSATION SERVICES

Asset Utilization and Compensation Services refers to Railinc products and services that focus on the management of payments for use of physical rolling stock, such as railcars and locomotives. Products within this category relate to the health of rail equipment operated in interchange service, which may include rail equipment characteristics, pooling and distribution of empty rail equipment; and rail equipment health information.

Key products in this category include:

- Car Hire Deprescription, CHARM and RAIL-CARDS
- Car Hire Data Exchange (CHDX)
- Liability Continuity System (LCS)
- Transfer of Liability (TOL) system
- Tank Car Mileage Equalization (TME)
- Rail Asset Management Process-Exception Disposition (RAMP-ED)
- Special Car Order 90 (SCO 90)

A. Car Hire Deprescription, CHARM, and RAIL-CARDS

Car hire is compensation to be paid by a user to an owner for use of a rail car. Under an Interstate Commerce Commission (ICC) Order, effective January 1, 1993, with implementation on January 1, 1994, car hire rates are negotiated between users and owners. This negotiation process is referred to as deprescription.

AAR implemented a central computer system RAIL Car Accounting Rate Distribution System (RAIL-CARDS) to facilitate car hire negotiations and record rate agreements in the CHARM file. All rail carriers and equipment owners, or their respective agents, who wish to participate in the CHARM file, will use this system. This is the exclusive process by which rates may be recorded in the CHARM file. The rates contained in these customized files are confidential to each owner and user. CHARM contains rates effective for the current month and will be updated each subsequent month, with the appropriate de-prescribed or prescribed rates effective for the month.

Any user of RAIL-CARDS may choose to have an agent perform some or all of the functions related to car hire negotiations. Carriers who have authorized an agent to negotiate car hire for their railroad must notify the Supervisor, Deprescription and indicate if the agent is authorized to negotiate PAYABLE (foreign cars), RECEIVABLE (system cars), or BOTH.

For a freight car to be part of the deprescription negotiation process in RAIL-CARDS, it must be registered in the Umler™ System. All deprescribed cars will have a default rate, i.e., a rate that will apply in the absence of an agreement between the owner and user. (See Rule 1, J, Code of Car Hire Rules and Interpretations - Freight, in AAR Circular OT-10). Once a default rate is applied to a car, it will remain in effect until changed as a result of negotiation or arbitration. Default rates are determined as follows:

1. A car built or rebuilt before January 1, 1994, that is (voluntarily) deprescribed and no negotiated or arbitrated rate exists, the last rate in effect will remain as the default rate until changed by negotiation or arbitration. Any car that was previously under the
prescribed system and was voluntarily deprescribed, the last prescribed rate in effect will now be the car’s default rate.

2. A car built/rebuilt/OT-37 after January 1, 1994 (automatically deprescribed) will have a rate equal to the lowest negotiated positive rate in effect for that car type at the end of the previous quarter (prior to equipment registration in Umler™). If no positive negotiated rate exists, the car will have the lowest prescribed rate for the car type at the end of the previous quarter.

3. Default rates that are determined by car type (cars built after January 1, 1994 (automatically deprescribed) will be based on a four-position Equipment Type Code. First, a search is made for negotiated rates using all four characters of the car equipment code. If no negotiated rate exists, a search is made using the first three characters of the car type code. This process is repeated using the first two characters, then only the first character until a negotiated rate is found. Default rate tables by equipment type are created quarterly.

RAIL-CARDS has been designed to allow an equipment owner or equipment user to initiate the negotiation process for both de-prescribed and prescribed freight cars. There are two ways a railroad may submit negotiations with RAIL-CARDS:

1. Mainframe-to-mainframe via Electronic Data Interchange (EDI)
2. Web-based deprescription package

For information regarding deprescription, contact:

csc@railinc.com

Or call the Customer Support Center at (877) 724-5462 and ask for more information regarding Deprescription.

B. Car Hire Data Exchange

The Car Hire Data Exchange (CHDX) provides participating rail carriers the means to forward to Railinc a single file representing all compensation (payables) owed to all freight car and trailer/container owners whose equipment was used. Subscribing rail or private equipment owners receive one file representing compensation (receivables) due them based upon usage by the participating rail carriers. The information presented via CHDX and the types of equipment compensation records are published in the Car Hire Data Exchange Manual.

New participants/subscribers must submit written participation notification to Railinc no later than the first day of the month during which allowances will be incurred or accrue.

For information regarding Car Hire Data Exchange, contact:

csc@railinc.com

Or call the Customer Support Center at (877) 724-5462 and ask for more information regarding CHDX.
C. Liability Continuity System

The Liability Continuity System (LCS) was developed to create the official interchange record for car hire settlement. LCS is a process to establish official time liability for car hire purposes. Based on data supplied to TRAIN II®, LCS analyzes event data to establish continuity. When records are illogical or missing, LCS creates official interchanges for liability time and interchange location based on industry default rules. The default rules are only used if the two interchange partners have not reported the same interpretation of the interchange activity. The official information is transmitted to all relevant parties (i.e., equipment owners, users, and agents for the equipment owners and/or users). Barring agreement to do otherwise, parties are required to use LCS-verified and created interchange records to calculate car hire liability.

For information regarding the Liability Continuity System, contact:

csc@railinc.com

Or call the Customer Support Center at (877) 724-5462 and ask for more information regarding Liability Continuity System or LCS.

D. Car Hire Rule 5 Transfer of Liability

Terminal and switching carriers moving loaded and empty cars per AAR Code of Car Hire Rules and interpretations—Freight, Car Hire Rule 5, are subject to Car Hire Transfer of Liability (TOL). Switching hours are limited to a maximum of 120 hours in terminal switch service and 24 hours in intermediate switch service, unless a specific number of hours have been agreed to by the roads performing switching service and their connecting carriers.

Car Hire Rule 5 switching services cover:

T (TERMINAL)—An Agreement covering Terminal Switching Service hours performed for another railroad.

I (INTERMEDIATE)—An Agreement covering Intermediate Switching Service hours received from another railroad.

For information regarding Car Hire Rule 5 Transfer of Liability, contact:

csc@railinc.com

Or call the Customer Support Center at (877) 724-5462 and ask for more information regarding Car Hire Rule 5, Transfer of Liability, or TOL.
E. Tank Car Mileage Equalization

Tank Car Mileage Equalization (TME) is a system of accounting that entails the aggregate reporting of loaded and empty private tank car miles. Mileage is collected and reported by rail carriers, processed by Railinc for the AAR, and then distributed to the railroads and private tank car owners on a monthly basis in a format called the National Tank Car Equalization Register. Should the empty mileage accumulated by any tank car owner exceed the loaded mileage during the same calendar year by more than six percent, such excess empty mileage must be paid by the tank car owner to the AAR at a rate to be determined yearly. This money (minus the administration fee) is then distributed to those railroads whose handling of empty tank cars exceeded their loaded handling by more than six percent. This process was set forth by the ICC’s decision in Ex Parte 328. The rules and regulations for mileage equalization are codified in the Tariff ASLG 6007 series.

For information regarding tank car mileage equalization, e-mail: 

csc@railinc.com

Or call the Customer Support Center at (877) 724-5462 and ask for more information regarding TME.

F. Rail Asset Management Process-Exception Disposition

The Rail Asset Management Process-Exception Disposition (RAMP-ED) system enables railroads, equipment owners and leasing companies to send electronic disposition movement instructions, while recording the details of equipment movement arrangements. With RAMP-ED, cars move cost-efficiently to their desired location, contract shop, storage facility, or a new assignment location when moving as exception to AAR Car Service Rules or empty tariff return rules.

The RAMP-ED system captures details of equipment move arrangements including: equipment assignment initial/number pairs, reference and authorization numbers and contact information.

Each disposition instruction created in RAMP-ED is assigned a unique Pending Instruction Identifier (PII). This assigned PII Number and the details of the movement are transmitted as TRAIN II messages to the involved railroads.

For information regarding the RAMP-ED application, send an e-mail to:

csc@railinc.com

Or call the Customer Support Center at (877) 724-5462 and ask for more information regarding RAMP-ED.
G. Special Car Order 90

SCO90 is a web-based application that assists with the maintenance of Special Car Order 90 (in AAR Circular OT-10). SCO90 was approved by the AAR, Equipment Assets Committee (EAMWC) and the AAR, Safety and Operations Management Committee (SOMC) in recognition of the need to efficiently move surplus empty, indirect-connection, and railroad-owned freight cars to the home railroad without incurring the time, car hire, and transportation costs involved in reverse route to home rails when cars have had multiple loaded cycles.

Predetermined interchange locations (outlets) are designated in advance and periodically adjusted by the AAR for the empty movement of indirect connection ownerships across Class I and II rail carriers. Short line and belt line carriers can be designated as participants in SCO90 (specific interchange locations) for delivering or receiving railroad marked freight cars if they are the only rail connection of another carrier.

Railinc generates a series of quarterly reports reflecting all SCO 90 movements by participating carriers. The system allows users to download reports in both PDF and CSV formats.

An SCO90 Railroad Administrator or a person granted rights to review SCO90 tables has access to the SCO90 Master Table, Car Mark Table, Trade Name Roads Table, Zero Mileage Pairs Table, E Code Exception Table and the Joint Industry Table. This User Manual provides an overview of these tables and explains how to navigate the SCO90 interface.

Questions, issues or concerns should be directed to Railinc Customer Support at 1-877 RAILINC (1-877-724-5462) or e-mail Railinc CSC at csc@railinc.com.
IX. RAILINC INTERLINE OPERATIONS & EXCEPTIONS SERVICES

Interline Operations & Exceptions Systems refers to Railinc products that focus on the transmission of electronic messages within the rail community, and the maintenance of the rail Industry Reference Files (IRFs). IRFs allow for a consistent and standardized means of communication among railroads. Railinc maintains the North American railroad industry’s official code tables.

Key products in this category include:

• Customer Identification File (CIF)—Class I railroads only
• Industry Reference Files (stations, junctions, routes, commodities, etc.)
• Embargoes
• Forward & Store (FnS)
• Freight Loss Data Exchange (FLDX)
• Rate EDI Network (REN)
• Switching Settlement Data Exchange (SSDX)

A. Customer Identification File

The Customer Identification File (CIF) contains the name, physical and mailing addresses, corporate parent identification and a unique identification code for each location of a transportation carrier customer. The identification code is used in exchanges of shipment information to accurately identify transportation company customers and the customers' locations.

The CIF facilitates business transactions by providing accurately match incoming documents to customer files and improving the quality of customer information on bills of lading, waybills and other documents. It also improves the quality of pricing information and the rating process. A carrier's system can use CIF codes to identify all locations to which a price and other contract terms apply, to provide accurate delivery instructions to a specific location, and improve shipment reservation, booking and equipment ordering processes.

For information regarding the Customer Identification File, e-mail:

csc@railinc.com

Or call the Customer Support Center at (877) 724-5462 and ask for more information regarding CIF.
B. Industry Reference Files

Industry Reference Files (IRFs) are official data dictionaries, spell-checkers, and thesauruses representing the standardized business language used by the industry. IRFs provide the basis for continuous, seamless, error-free customer service. They support Industry-Wide-Initiatives such as Interline Settlement System (ISS), Rate EDI Network (REN), and Interline Service Management (ISM), as well as support legacy interline and internal carrier systems.

1. MARK IRF Road Mark Register

The MARK IRF Road Mark Register is a registration file that contains NMFTA Standard Carrier Alpha Codes (SCAC), railroad reporting marks (to include TOFC/COFC), and private corporate equipment provider marks.

All railroads, new or those already operating, and all private corporate equipment providers, must be registered in the MARK IRF Road Mark Register. The MARK IRF Road Mark Register contains information such as the Accounting Rule 260 number, operational Effective Date, Expiration Date (if applicable), all sub-marks and Owner Mark of the railroad SCAC and Railroad Type. This information flows to and interacts with all other Industry Reference Files.

Railinc files and applications are referenced by the MARK IRF Road Mark Register. The MARK IRF Road Mark Register via second repository supplies equipment mark data to Umler™. Equipment marks must be registered in the MARK IRF Road Mark Register for Steelroads to supply parameter tracing on equipment. Also, railroad reporting mark information must be in the MARK IRF Road Mark Register for use in the “Official Railroad Station List”.

For information regarding the MARK IRF Road Mark Register and to request new railroad reporting marks or private corporate equipment marks for the United States, Canada and/or Mexico, contact:

For information regarding the assignment of reporting marks, should e-mail their request to:

csc@railinc.com

Or fax to: Railinc
ATTN: Reporting Marks
7001 Weston Parkway, Suite 200
Cary, NC  27513-5157
Fax: (919) 651-5191

Or call the Customer Support Center at (877) 724-5462 and ask for Reporting Marks.
2. Centralized Station Master

Centralized Station Master (CSM) is a geographic location file which contains data about rail and motor carrier points for North America and international areas. This file is primarily used by railroads to help plan freight movements from origin to destination in an efficient and timely manner.

CSM rail station records are uniquely identified by combination of the Standard Carrier Alpha Code (SCAC) field and Freight Station Accounting Code (FSAC) field. They can also be identified (not uniquely) by their respective Standard Point Location Code (SPLC). CSM station records must be added to the Centralized Station Master file before data can be added to other IRFs such as Junction Interchange, Junction Settlement, and Route. Systems that depend on this data include ISS, REN, Servicing Carrier Reciprocal Switch (SCRS), Umler™ /EMIS and to support Embargo and Permit Management.

For new railroads needing to have their stations added to this file, a copy of an adoption notice or a listing of stations should be provided to the Senior Data Analyst. The stations will be keyed into Railinc’s CSM database, and broadcast to all parties receiving EDI 431 transactions. The adoption notice or station listing should be given to the OPSL Issuing Officer to be printed in the “Official Railroad Station List,” (OPSL), along with railroad, note and interchange information.

Changes to records in this file are accomplished by expire/add pair transactions. Abandoned or eliminated points are sent as expire transactions and new stations/points are sent as add transactions. CSM data can be submitted to Railinc via EDI, e-mail, or on the hard copy CSM AD 101 form.

For information regarding the Centralized Station Master and to request new SPLC assignments for the United States, Canada and/or Mexico, e-mail:

csc@railinc.com

Or fax to: Railinc
ATTN: Centralized Station Master
7001 Weston Parkway, Suite 200
Cary, NC 27513-5157
Fax: (919) 651-5191

Or call the Customer Support Center at (877) 724-5462 and ask for Centralized Station Master.
3. Junction Interchange File

A 3- to 5-character alpha junction abbreviation is assigned to stations where various types of interchanges can occur between railroads and/or other parties (see Junction Interchange Update Form and Instruction Guide for explanation of interchange types). The IRF Junction Interchange File and assignment of the junction abbreviations are maintained by the Senior Data Analyst.

A Junction Interchange record contains a single entry for each abbreviation and a pair of reporting marks that interchange at that junction. Associated with each interchange railroad is the reporting railroad (or designated agent) authorized to report that specific interchange to the TRAIN II® System.

Interchange locations only exist upon agreement of the roads involved. It is required that both interchanging roads submit a concurring signed request to add/alter this table. A Junction Interchange Update Form AD 103 and Instruction Guide are used to simplify this task.

For information regarding Junction Interchange Files or to obtain interchange forms, e-mail: csc@railinc.com

Or fax to: Railinc
ATTN: Junction Interchange File
7001 Weston Parkway, Suite 200
Cary, NC 27513-5157
Fax: (919) 651-5191

Or call the Customer Support Center at (877) 724-5462 and ask for Junction Interchange File.

4. Standard Transportation Commodity Code

The Standard Transportation Commodity Code (STCC) and the Directory of Hazardous Materials (HazMat) Shipping Descriptions are publications containing specific product (STCC) and HazMat information used on waybills and other shipping documents. This information is arranged both numerically and alphabetically.

The STCC and HazMat information is available in electronic format (PDF). The STCC file also contains cross-references to the International Harmonized System codes, Standard Industrial Classification (SIC) codes, and International Standard Industrial Classification (ISIC) codes.

A subscription to either publication includes the master copy of the book and monthly supplements issued annually on January 1st. Each STCC supplement contains a new STCC request form for proposed new products.

For information regarding Standard Transportation Commodity Codes, e-mail: csc@railinc.com

Or fax to: Railinc
ATTN: STCC
7001 Weston Parkway, Suite 200
5. Junction Settlement Agreement

A junction settlement railroad does NOT participate in normal waybilling and interline settlement arrangements, but may be a party to the price negotiations. A junction settlement railroad’s division of revenue is received through an agreed arrangement with a connecting interline settlement carrier.

Railway Accounting Rule - Freight Mandatory Rule 6 states, "The junction settlement arrangement for waybill preparation and settlement is an accepted practice between many short line carriers and their major connecting carriers. The Railway Accounting Rules have no interest in or control over those proprietary arrangements. The involvement of another interline carrier in the movement, however, necessitates standard procedures for waybilling, handling the waybill and interline settlement."

ISS will maintain a table comprised of each junction settlement carrier and the major connecting interline settlement carrier responsible for their messages, settlements and funds transfers. ISS will not send messages or funds transfer notices to junction settlement carriers except upon advice of their major connecting interline settlement carrier. As junction settlement arrangements are established, it is the responsibility of the major connecting interline settlement carrier to keep this ISS table current.

For information regarding junction settlement or to obtain Junction Settlement forms, e-mail:
csc@railinc.com

Or fax to:
Railinc
ATTN: Junction Settlement
7001 Weston Parkway, Suite 200
Cary, NC 27513-5157
Fax: (919) 651-5191

Or call the Customer Support Center at (877) 724-5462 and ask for Junction Settlement.
6. Official Railroad Station List (OPSL 6000 Series)

The Official Railroad Station List (OPSL) is distributed as a formal tariff and legal source of virtually all geographic data required to support railroad prices in North America (i.e., specific locations, switch limits, National Rate Basis points, etc.). Contained as part of the Centralized Station Master (CSM) Industry Reference File (IRF), OPSL Station Names and Numbers are assigned to billing points referenced in carrier contracts, circulars, letter quotes and tariffs. Required in REN, OPSL data is also one method (along with shipment conditions, customer, and commodity) used to establish and manage group prices. The OPSL also contains data about railroads, station notes (that delineate what services can be provided or will not be provided at specific carrier locations) and revenue interchange points derived from the Junction Interchange IRF.

The OPSL book is issued annually on January 1st and supplemented twice a month for twelve months. For any given OPSL cycle, there is one main book—and, typically—24 supplements. Supplements are issued the 1st and 15th of every month and contain all changes reported relating to railroads, stations, notes, and interchanges. To manage the number of supplements in effect, several supplements may be consolidated to create one.

In order to be listed in the OPSL, a railroad needs a valid reporting mark registered through the AAR and contained in the Reporting Mark IRF (see Section II). Also required is a list of stations or an adoption notice with appropriate SPLC, FSAC, and OPSL numbers assigned. This station information is also provided as input into the CSM and IRF. Notes stating waybill addresses, services provided, etc., should be furnished with the station information.

For information regarding the Official Railroad Station List, e-mail: csc@railinc.com

Or call the Customer Support Center at (877) 724-5462 and ask for OPSL.

7. Serving Carrier/Reciprocal Switch

The Serving Carrier/Reciprocal Switch (SCRS) web site allows carriers to update and retrieve information about customers, serving carriers, and reciprocal switch charges in real time. As one of the IRF systems, SCRS is the foundation for all inter- and intra-industry communication. In conjunction with ISS and REN, the SCRS System ensures that switch charges are applied correctly. SCRS allows short line partners access to information without Class I intervention. This system facilitates easier short line and terminal carrier participation for Class I carriers.

For information regarding Serving Carrier/Reciprocal Switch, e-mail: csc@railinc.com

Or fax to: Railinc
ATTN: SCRS
7001 Weston Parkway, Suite 200
Cary, NC  27513-5157
Fax: (919) 651-5191

Or call the Customer Support Center at (877) 724-5462 and ask for SCRS.
C. Embargo System

Refer to Embargoes and Reroutes on page 10.

D. Forward & Store (FnS)

The Forward & Store (F&S) System was developed to facilitate more timely notification of oncoming traffic to roads participating in interline rail movements. It receives EDI (417) Waybill, (417) Waybill Corrections/ Diversions, and (421) Trip plan transactions (messages) from origin carrier and (858) Bill of Lading (Shipment information) transactions (messages) from Inland Steel and forwards them to appropriate destinations. This system sends acknowledgement of receipt (997) to the message sending carrier, and if the message contains error(s), it also sends error message to the message sending carrier. One GS to GE message may contain multiple individual ST to SE messages. If there are individual rejectable message(s) and acceptable message(s) in a given transaction, the system will reject only the rejectable message(s) (997 syntax or 824 application error) and forwards the acceptable messages(s) accordingly.

E. Freight Loss Data Exchange

Railinc provides a clearinghouse for processing a variety of rail equipment accounting information. These clearinghouse applications are known as data exchanges. A data exchange allows an individual railroad to consolidate, and forward to Railinc, a single file related to a specific rail accounting function. Railinc merges the submissions of numerous rail carriers and then forwards complete consolidated files to equipment owners (rail and private). The synergies of a data exchange system eliminate the requirement to send/receive information between numerous companies, producing significant cost savings for all participants.

The Freight Loss Data Exchange (FLDX) is the exchange of assessments by railroads responding to customers claims for freight loss and damage. The terminating carrier pays the claim and then looks to his fellow roads that shared in the haul to repay for portions of the claim. FLDX data is used, by the AAR, in freight loss and damage prevention analysis. As recently as 1970, the ratio of freight claim dollars was $1.97 to every $100.00 of freight revenue. The most recent ratio, for 2006, is 22 cents. BNSF and CPRS submit and receive tapes. CN, CSXT, NS, and UP submit and receive RFTP transmissions. FLDX is usually processed and produced between the 13th and 15th of every month.

For information on the Freight Loss Data Exchange, e-mail:

csc@railinc.com

Or call the Customer Support Center at (877) 724-5462 and ask for more information regarding FLDX.
F. Rate EDI Network (REN)

The Rate EDI Network (REN) is the price management system for the North American Railroads. It allows price (rate and division) information, in a standard format to be distributed among participating carriers, with appropriate safeguards and restrictions. This application distributes tariffs, circulars, letter quotes, and contracts. Heavy use of Industry Reference Files and security ensures only accurate price data is sent to whom it is intended. Prices may be grouped according to commodity, customer, geography, or shipment conditions. There are specific forms to be completed and forwarded to Railinc for REN participation.

For information regarding REN or to obtain the necessary forms, e-mail:

RENProductSupport@railinc.com

Or fax to:
Railinc
ATTN: REN
7001 Weston Parkway, Suite 200
Cary, NC  27513-5157
Fax: (919) 651-5405

Or call the Customer Support Center at (877) 724-5462 and ask for REN.

G. Switching Settlements Data Exchange (SSDX)

The Switching Settlement Data Exchange System (SSDX) allows participating railroads the opportunity to exchange receivable switching data in an electronic format, and to subsequently settle switching receivables on a net-net basis through the Railroad Clearinghouse (RCH) administered by Railinc. The SSDX uses Railinc’s data facilities as a clearinghouse on a monthly basis. Instructions are contained in the Switching Settlement Data Exchange (SSDX) User Guide.

For information regarding Switching Settlement Data Exchange, e-mail:

csc@railinc.com

Or call the Customer Support Center at (877) 724-5462 and ask for more information regarding SSDX.
X. **RAILINC MESSAGING**

In addition to message switching services, the Railinc network is the rail industry’s gateway to data services including TRAIN II®, Umler™, Data Exchanges, Car Hire Accounting Rate Master (CHARM), ISS, National Rate Management System (NRMS), and REN. Railinc also maintains communication interfaces to other value-added networks.

Detailed information on establishing data services can be obtained by contacting Railinc’s Customer Support Center. Customer service is available 24 hours a day, 7 days a week, to assist in message research or message retransmission.

- **Message Switch (EDI Switch/VAN/FTP/Other Network)**
- **Electronic Data Interchange (EDI)**

**A. Message Switch**

Railinc operates one of North America’s largest electronic commerce networks supporting the railroad industry’s computer-to-computer system for document exchange. Over 4.1 million EDI messages are switched through the network each day between trading partners. Messages sent through the network include, but are not limited to, Bills of Lading, Waybills, Advance Consists, Freight Bills, Purchase Orders, Invoices, and Customs.

Access to the Railinc Network is supported by:

- **FTP Services:** VPN, SSL, Push Options
- **Frame Relay:** 1.536 Mbps – T1 (Dedicated Line)

The Railinc network provides a Store and Forward mailbox service with local or toll-free dial access 24 hours a day, 7 days a week access. Users can send to or receive from multiple trading partners at any time of the day.

**B. Electronic Data Interchange (EDI)**

Electronic Data Interchange (EDI) is the exchange of routine business transactions in a computer format built to ANSI X-12 standards including eXtensible Markup Language (XML) schemas developed under the Context Inspired Component Architecture (CICA) or approved proprietary datasets. Railinc coordinates EDI and XML standard setting activities and initiatives for the railroad industry with the responsible business process owners. Railinc maintains all railroad industry-related EDI Guidelines including:

- Rail EDI Guidelines (version specific rail transaction sets)
- Rate EDI Network Guidelines
- Interline Service Management (ISM) EDI Guidelines
- Interline Settlement System User’s Manual (EDI Guidelines)
- Industry Reference Files (IRFs) EDI Guidelines
- Serving Carrier & Reciprocal Switch (SCRS) EDI Guidelines
- Automated Commercial Environment (ACE) Customs EDI Guidelines
For information on electronic data interchange transactions, XML schemas and their use, e-mail:

csc@railinc.com (type EDI on subject line)

Or call the Customer Support Center at (877) 724-5462 and ask for more information regarding EDI.
XI. Railinc Tracing

Railinc tracing products focus on the movement of freight on the rails. This starts with transmission of the freight’s shipping documents, continues with the tracking of freight movement from one location to another, and concludes with the revenue settlement process resulting from interline transfers of freight.

Key tracing products in this category include:

- TRAIN II® (Event Repository)
- RailSight
- Steelroads
- TRAIN II® System Tracing
- TRAIN II® Queries

A. TRAIN II® Functions (Railinc Event Repository)

The TeleRail Automated Information Network (TRAIN II®) System was developed as a computerized application to track the interchange of railroad rolling stock within the United States, Canada and Mexico. It is an evolving system, having on several occasions been expanded to incorporate the variety of railroad and intermodal operational activities that occur to freight rolling stock, trailers and containers. The TRAIN II® System provides physical location information of rail equipment based on event, waybill, trip plan, and interchange data reported by North American railroads. This reporting enhances railroad planning and operational requirements, equipment inventory awareness for private equipment owners, and is an informational tool for railroad customers.

The Event Repository (ER) is the latest logical extension and improvement of the TRAIN II® System. The ER incorporates a DB/2 database architecture replacing an outdated VSAM storage methodology and is more flexible and powerful, featuring immediate posting supplanting the former batch processes. The ER incorporates an online file consisting of three months of data comprised of unlimited numbers of events for each unit reported, which is a vast improvement over the 46 events formerly maintained online. (As information, TRAIN II® System will continue as the name.)

1. System Use

The TRAIN II® System supports car management, car hire and tracing activities. The primary uses of the system are:

1) Car Hire Settlement—Junction advices created by the Liability Continuity System (LCS) are considered official under AAR Car Hire Rules. See Liability Continuity System on page 24.

2) Customs Billing—Analysis determines how much should be paid in user fees to U.S. Customs for entry of loaded cars into the U.S.A.
3) Special Car Orders—Analysis indicates how a carrier should home route empty surplus foreign general service boxes and gondolas. Results are distributed via Umler™ as transportation codes.

4) Car Grading—Accepts physical inspections and performs analysis for ‘K’ and ‘W’ commodities reported in waybills on box cars to apply car grade update and distribute car grade notification.

5) Car Service Data—Used to monitor ownership online and to assist in analysis of directive compliance.

6) Equipment Tracing—Location, status, and last commodity information are available via various tracing methodologies—some are automatically distributed to car owners and lessees at the individual unit level, some distribution is based upon a profile, while others are demand activated. See TRAIN II® System Tracing on page 41.

7) Online Queries—Railroads, equipment owners and shippers may query the system. Available TRAIN II® queries include: Rejections by Shipper; Home Route; Last 10 Event Records; Last Location; Waybill and Movement; Last 3 Empty Interchanges; Last 3 Commodities; 47 Movement Records; and Last Commodity and/or Car Grade. See TRAIN II® Queries on page 41.

8) Equipment History—Monthly history of all movement events, waybills, and trip plans to facilitate trend analysis, evaluate data quality reporting, and process End of Train accounting.

9) Car Hire Transfer of Liability—Since 1994, TRAIN II® has accepted car hire liability transfer information for intermediate and terminal switches (Car Hire Rule 5), as well as transfer of liability because the receiving carrier is unable to physically receive equipment at interchange (Car Hire Rule 15). See Car Hire Rule 5 Transfer of Liability on page 24.

10) Haulage—Accept haulage indicator and convert records to make events look like those on the haulage movement carrier are on the haulage rights carrier.

2. Reporting Requirements

To support industry activities and to ensure proper handling, carriers should report the following data to the TRAIN II® System.

Movement/Status Events:
- Release
- Pull from Patron Siding
- Interchanges (delivery, receipt, one railroad reports)
- Passing Events (in transit arrivals, departures, boundary crossings – if boundary crossing is applicable)
- Arrival at Destination
- Placements (actual and constructive)
- Bad Order with Reason Code
- Ramp/De-ramp relating conveying flat car to trailer/container
Waybills (417 and TRAIN06 used):
Local, interline, empty should be reported prior to pulling equipment from customer siding.

Trip Plans (421):
Estimated time-of-arrival (ETA) is furnished for local and interline shipments using the appropriate transaction set purpose codes.

For information regarding the TRAIN II® System, call the Customer Support Center at (877) 724-5462 and ask for TRAIN II.

B. RailSight

RailSight™ is a web-based fleet/equipment tracking resource that sends out near real-time reports around the clock. It records railcar and intermodal equipment movements on more than 530 rail carriers throughout the United States, Canada and Mexico. Railinc created RailSight to provide interested parties with detailed and near real-time information on rail shipments.

Railinc processes over 7.5 million events each day. By providing accurate, up-to-date information from a single, reliable source, RailSight saves time and money by increasing visibility, enabling the tracking of shipments and equipment as they move by rail from start to finish.

RailSight Demand Trace allows users to perform current traces as well as historical traces. RailSight Monitor is a real-time, event reporting feature that allows a user to see customized, dynamic data views for their fleet equipment.

For information regarding RailSight, e-mail:

RailSight_Support@railinc.com

Or fax to: Railinc
ATTN: RailSight
7001 Weston Parkway, Suite 200
Cary, NC  27513-5157
Fax: (919) 651-5405

Or call the Customer Support Center at (877) 724-5462 and ask for RailSight.

C. Steelroads Equipment/Parameter Trace

Steelroads Equipment Trace is an Internet web-based application, developed by the rail industry. This software allows rail customers to send car movement requests using their web browser. Customers are able to trace their shipments via the rail industry’s centralized database to extract shipment location information from over 520 railroads in North America, using any Internet connection.

The Steelroads web site provides two different types of tracing. The first is tracing by Equipment Initial and Number. With this functionality, the customer can enter and save discrete lists of cars. However, the second type of tracing uses the Parameter tracing functionality. With this option,
the customer can enter multiple waybill parameters, which the system will then use to dynamically build a list of cars and return the event information.

The Steelroads web site at http://www.steelroads.com provides the convenience of simplifying transportation business transactions and the ability to locate shipments in a timely manner. By utilizing the rail industry’s centralized databases to extract shipment location information from over 520 railroads in North America, its search capabilities allow users of the product to:

- Find the latest location of shipments
- Trace multiple shipments
- Store traces for future use
- Schedule traces for automatic execution and delivery via fax, e-mail or ftp
- Receive output in various Car Location Message (CLM) formats
- Sort trace output
- View responses via browser or output to file
- Save response data to your local computer as output to file, spreadsheet or comma delimited file

To subscribe to Steelroads, the customer must be either sponsored by a participating railroad or set up a Steelroads direct bill account with Railinc. Current sponsors are listed below. If you have any questions regarding eligibility or would like additional information, contact a participating railroad. If you or one of your customers would like to discuss setting up a direct bill account, contact Railinc at the number listed below.

**Exhibit 2. Steelroads Sponsor Contacts**

<table>
<thead>
<tr>
<th>Railway Sponsors</th>
<th>Phone</th>
</tr>
</thead>
<tbody>
<tr>
<td>BNSF Railway Co.</td>
<td>888-428-2673</td>
</tr>
<tr>
<td>CSX Transportation</td>
<td>800-334-4256</td>
</tr>
<tr>
<td>Canadian National Railways</td>
<td>800-361-0198</td>
</tr>
<tr>
<td>Canadian Pacific Railway</td>
<td>877-277-3227</td>
</tr>
<tr>
<td>Florida East Coast Railway Co.</td>
<td>800-824-2330</td>
</tr>
<tr>
<td>Kansas City Southern Railway Co.</td>
<td>800-553-6681</td>
</tr>
<tr>
<td>Norfolk Southern Railway Co.</td>
<td>800-235-5551</td>
</tr>
<tr>
<td>Union Pacific Railroad Co.</td>
<td>800-872-1045</td>
</tr>
<tr>
<td>Railinc Corporation</td>
<td>877-724-5462</td>
</tr>
</tbody>
</table>

To register for your personal user ID and password for Steelroads, visit the site at the following URL: http://www.steelroads.com.

Any railroad may become a sponsoring carrier for Steelroads. For information, e-mail: csc@railinc.com

Or fax to: Railinc
ATTN: Steelroads
7001 Weston Parkway, Suite 200
Cary, NC 27513-5157
Fax: (919) 651-5405

Or call the Customer Support Center at (877) 724-5462 and ask for Steelroads.
D. TRAIN II® System Tracing

The information that is reported to the Event Repository/TRAIN II®, consisting of rail operational activities, may be obtained on a subscription basis in the form of TRAIN76 and TRAIN80 Messages.

TRAIN80 Messages include Movement, Boundary Crossing, and Last Commodity information reported to freight equipment. Interchange events are not included in TRAIN80. TRAIN80 will be created and distributed based upon Equipment Initial, Umler™ Owner Mark, Umler™ Lessee Mark, and Railroad Pool Operator Mark. The TRAIN II® User’s Manual describes the information that is included in TRAIN80 Messages.

TRAIN76 Messages consist of all rail operational activities (including Interchange events) reported to freight equipment. TRAIN76 may be created and distributed based upon one or more select waybill elements (e.g., Origin Road, Destination Road, Origin Station, Load/Empty status or traditional TRAIN80 criteria). The TRAIN II® User’s Manual describes information that is included in TRAIN76 Messages.

For further information regarding TRAIN76 and TRAIN80, call the Customer Support Center at (877) 724-5462 and ask for TRAIN76 or TRAIN80.

E. TRAIN II® Queries

The TRAIN II® database also permits railroads and equipment owners to inquire and receive electronically a current status of both their loaded and empty equipment from origin to destination.

Following is a summary of the TRAIN II® query 87 messages:

**Exhibit 3. TRAIN II® Query 87 Messages**

<table>
<thead>
<tr>
<th>Query787</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Q10</td>
<td>Rejection by Shipper</td>
</tr>
<tr>
<td>Q11</td>
<td>Interchange (Home Route)</td>
</tr>
<tr>
<td>Q12</td>
<td>Last Ten Events</td>
</tr>
<tr>
<td>Q13</td>
<td>Last Location</td>
</tr>
<tr>
<td>Q14</td>
<td>Waybill and Movement</td>
</tr>
<tr>
<td>Q15</td>
<td>Empty Interchanges</td>
</tr>
<tr>
<td>Q16</td>
<td>Last Three Commodities</td>
</tr>
<tr>
<td>Q17</td>
<td>All Movement Records (up to 46 events)</td>
</tr>
<tr>
<td>Q18</td>
<td>Last Commodity and/or Car Grade</td>
</tr>
<tr>
<td>Q19</td>
<td>Umler™ Car Data</td>
</tr>
<tr>
<td>Q20</td>
<td>Umler™ Weight and Capacity</td>
</tr>
<tr>
<td>Q21</td>
<td>Rate Information</td>
</tr>
<tr>
<td>Q22</td>
<td>Full Umler™ Data</td>
</tr>
<tr>
<td>Q23</td>
<td>Rate Information including LCS Car Date</td>
</tr>
<tr>
<td>Q30</td>
<td>Last Location, Original ETA and Current ETA</td>
</tr>
<tr>
<td>Q41</td>
<td>LCS Interchanges (Last 3 months)</td>
</tr>
<tr>
<td>Q47</td>
<td>All Movement and Interchanges (Last 3 Months)</td>
</tr>
<tr>
<td>Q57</td>
<td>All Movements and Interchanges in Event Repository</td>
</tr>
</tbody>
</table>

**Note:** The replies for query sub-types 41 and 47 are returned as SWRPY00 messages instead of REPLY87 messages.

For information regarding the TRAIN II® System, call the Customer Support Center at (877) 724-5462 and ask for TRAIN II.
XII. RAILINC AAR SERVICES

• Revenue Accounting
  – Interline Settlement System (ISS)
  – Railroad Clearinghouse (RCH)
• Waybill Sample

A. Revenue Accounting

Data Exchange Systems—Railinc provides a clearinghouse for processing a variety of rail equipment accounting information. These clearinghouse applications are known as data exchanges. A data exchange allows an individual railroad to consolidate, and forward to Railinc, a single file related to a specific rail accounting function. Railinc merges the submissions of numerous rail carriers and then forwards complete consolidated files to equipment owners (rail and private). The synergies of a data exchange system eliminate the requirement to send/receive information between numerous companies, producing significant cost savings for all participants.

1. Interline Settlement System

The Interline Settlement System (ISS) provides the rail industry a method to settle interline revenues via EDI. ISS was designed to streamline past industry practices and to significantly increase the efficiency, and overall quality of interline settlements. Participation in ISS also requires participation in RCH.

ISS provides the industry with a means to identify waybill errors before they result in settlement disputes. Through EDI messaging, the system will distribute revenue waybills, including rates and divisions to all roads involved in the waybill route, and provide a mechanism for them to concur prior to the settlement of that waybill.

ISS will determine daily the required interline fund transfers (if any) by computing each railroad’s net debtor/creditor position from qualified, settled waybills. These calculations are reported to each railroad two business days in advance of any required funds transfer, to allow a review period. Funds are transferred through the Railroad Clearinghouse.

To be an ISS participant, there are specific forms that must be completed and forwarded to Railinc. To obtain these forms or for information regarding ISS, e-mail:

csc@railinc.com

Or fax to: Railinc
ATTN: ISS
7001 Weston Parkway, Suite 200
Cary, NC 27513-5157
Fax: (919) 651-5405

Or call the Customer Support Center at (877) 724-5462 and ask for ISS.
2. Railroad Clearinghouse

The Railroad Clearinghouse (RCH) is a centralized process for administering and transferring funds among railroads. The RCH process uses a central bank to handle settlements through either Electronic Funds Transfer (EFT) or Automated Clearinghouse (ACH) on a net/net basis. The Clearinghouse uses the EFT process to release funds to the creditors of the settlement process. Wells Fargo Bank located in San Francisco, CA is the central bank, and Railinc (as authorized by the AAR) serves as the RCH Administrator. “Railroad Clearinghouse (RCH) Settlement Regulations” (found in the Railway Accounting Rules) govern the process by which railroads exchange funds to settle interline waybills (ISSP), Car Hire (CHDX) and Switching Settlement (SSDX) monthly on a net/net basis.

All railroads that participate in ISS are required to belong to the Railroad Clearinghouse. Canadian as well as U.S. funds are transferred through the RCH for ISSP and SSDX. ISS determines the monies one railroad owes to other roads as a result of interline settlements. Based on ISS timing rules, records are settled each day. The settlement records contain a funds transfer date on which monies are scheduled to be transferred from debtor railroads to creditor railroads. These daily records are accumulated for a monthly funds transfer on a railroad-to-railroad basis.

ISS Clearinghouse participants can retrieve the Funds Transfer Reports indicating their net/net position with other railroads in the Clearinghouse on the first business day of the month. On the second business day, debtor railroads wire funds to the Clearinghouse Bank and the Bank wires funds to creditor accounts. Debtors pay in a single lump sum and creditors receive their funds in a single lump sum.

During September 2008 the RCH system introduced a new settlement process for Railroad Car Hire. The RCH system determines the monies one railroad owes to other roads as a result of information received from the Car Hire Data Exchange (CHDX) system. Based on Car Hire timing rules, records are settled monthly. These records are accumulated for a monthly funds transfer on a railroad-to-railroad basis.

CHDX Clearinghouse participants can retrieve the Funds Transfer Reports indicating their net/net position with other railroads in the Clearinghouse normally on the 20th of the month. This date fluctuates but the net/net reports should be available one day prior to the Funds Transfer date. On the Funds Transfer Date (normally between the 21st and 23rd of the month), debtor railroads wire funds to the Clearinghouse Bank (by 11:30 AM ET) and the Clearinghouse Administrators authorize the Bank to release funds to creditor accounts (between 2:00 PM and 5:30 PM on the Funds Transfer date (depending on the timing of receipt of incoming wire transfers). Debtors pay in a single lump sum and creditors receive their funds in a single lump sum.

During August 2011 the RCH system introduced a new settlement process for Switching Settlements. The RCH system determines the monies one railroad owes to other roads as a result of information received from the Switching Settlement Data Exchange (SSDX) system. Based on Switching Settlement timing rules, records are settled monthly. These records are accumulated for a monthly funds transfer on a railroad-to-railroad basis.
SSDX Clearinghouse participants can retrieve the Funds Transfer Reports indicating their net/net position with other railroads in the Clearinghouse normally on the 25th of the month. This date fluctuates but the net/net reports should be available one day prior to the Funds Transfer date. On the Funds Transfer Date (normally between the 26th and 29th of the month), debtor railroads wire funds to the Clearinghouse Bank (by 11:30 AM ET) and the Clearinghouse Administrators authorize the Bank to release funds to creditor accounts (between 2:00 PM and 5:30 PM on the Funds Transfer date (depending on the timing of receipt of incoming wire transfers). Debtors pay in a single lump sum and creditors receive their funds in a single lump sum.

For carriers seeking to commence participation in the RCH settlement processes after April 2007, a completed Credit Application is required. Participating railroads sign an RCH Trust Subscription agreement, which delineates the responsibilities of both the railroad and the AAR/Railinc. Railroads then provide basic information to the RCH regarding the account to which monies are to be sent and, if necessary, notify their bank to send money to the RCH Bank on a monthly basis.

In order to join the Railroad Clearinghouse, a railroad must notify the RCH Administrator five business days before a settlement, provide a signed Credit Application, executed RCH Trust Subscription Agreement, and furnish payment setup instructions. Railroads wishing to join RCH are sent the following documents:

1) The Railroad Clearinghouse Credit Application;

2) The Railroad Clearinghouse Trust Subscription Agreement *(Note: revenues in this agreement are defined as meaning the same as gross freight revenues in the AAR Bylaws)*;

3) Instructions for sending a Fed-wire and a Swift-wire (for Canadian dollar payments); and

4) Payment setup instructions to be filled out and returned to the RCH.

For information regarding the Railroad Clearinghouse, or to obtain the necessary forms, contact:

RCH@railinc.com

Or fax to: Railinc
ATTN: RCH
7001 Weston Parkway, Suite 200
Cary, NC 27513-5157
Fax: (919) 651-5409

Or call the Customer Support Center at (877) 724-5462 and ask for RCH.
B. Annual STB Carload Waybill Sample

Railinc processes the Annual Carload Waybill Sample under contract to the FRA and the STB. The STB requires participation in the Carload Waybill Sample by any railroad that performs its own waybilling and has terminated at least 4,500 carloads or five percent of the traffic in one state during any one of the preceding three years. Although new carriers beginning operations have no traffic history, the STB uses the number of carloads terminated on the property under the previous owner during the last calendar year of operations. Railroads that do not perform their own waybilling are not required to report a Sample.

The importance of the Waybill Sample cannot be overstated, as it is used annually to calculate STB’s productivity adjustment for the Rail Cost Adjustment Factor (RCAF). For this and other reasons, the inclusion of all eligible railroads and the accuracy of their data are of significant importance to the participating railroads, the STB and the AAR.

If your railroad meets the STB’s reporting criteria, your waybill sample should be submitted on a monthly or quarterly basis. The frequency of waybill sample submission is based upon the number of sampled waybills to be submitted each year. Railroads that expect to submit fewer than 1,000 hard copy waybills per year should indicate that quarterly samples would be submitted.

The samples must be provided to Railinc’s Business Services Division within 60 days following the end of the accounting period, according to the timetable in Exhibit 4.

Exhibit 4. Timetable for Waybill Samples

<table>
<thead>
<tr>
<th>Accounting Period</th>
<th>More Than 1,000</th>
<th>Monthly Date Due</th>
<th>Fewer Than 1,000</th>
<th>Monthly Date Due</th>
</tr>
</thead>
<tbody>
<tr>
<td>January</td>
<td></td>
<td>March 31</td>
<td>First Quarter</td>
<td>May 31</td>
</tr>
<tr>
<td>February</td>
<td></td>
<td>April 30</td>
<td>Second Quarter</td>
<td>August 31</td>
</tr>
<tr>
<td>March</td>
<td></td>
<td>May 31</td>
<td>Third Quarter</td>
<td>November 30</td>
</tr>
<tr>
<td>April</td>
<td></td>
<td>June 30</td>
<td>Fourth Quarter</td>
<td>February 28/29</td>
</tr>
<tr>
<td>May</td>
<td></td>
<td>July 31</td>
<td></td>
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<td>January 31</td>
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<td>December</td>
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<td>February 28/29</td>
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All railroads are required to furnish the STB with information necessary to determine their waybill reporting obligations. Completing the Waybill Sample Reporting Questionnaire fulfills those requirements.

For information regarding the Annual Carload Waybill Sample, e-mail: STBWaybill@railinc.com

Or call the Customer Support Center at (877) 724-5462 and ask for Waybills.
XIII. RAILINC ENTERPRISE SERVICES

Applications and Services provided include:

- FindUs.Rail
- Letters of Authorization (LOA)
- Single Sign-On
- Customer Support Center (CSC)

A. FindUs.Rail

FindUs.Rail is a centralized database that allows users to review their company’s contact information via the web. This centralized repository of contact information helps reduce time spent by railroad departments, private car owners, and leasing companies across the rail industry from searching for the same contact information. Users are able to query contacts, agency relationships for a category and the MARK parent relationship.

For information regarding FindUs.Rail, e-mail:

csc@railinc.com

Or fax to: Railinc
ATTN: FindUs.Rail
7001 Weston Parkway, Suite 200
Cary, NC 27513-5157
Fax: (919) 651-5405

Or call the Customer Support Center at (877) 724-5462 and ask for more information regarding FindUs.Rail.

B. Letters of Authorization (LOA)

A Letter of Authorization (LOA) grants permission to an organization to receive another company’s confidential data. In accordance with Railinc's data access policy, these authorizations are necessary to ensure confidentiality and to meet specific regulatory requirements of the rail industry.

Railinc’s LOA application makes it easier for companies that need access to another company's data to:

- Submit LOAs for approval,
- Manage LOAs already submitted and implemented, and
- Update, renew or revoke LOAs on file.
Railinc Letter of Authorization Policy—Railinc’s LOA policy prevents data disclosures that are unauthorized or that are inconsistent with applicable legal requirements. The policy requires companies that grant data access to:

- Submit an LOA with an effective term of 1 year, 2 years or 3 years;
- Submit a new LOA before an existing LOA expires to ensure uninterrupted data flow; and
- Affirm the validity of LOAs each year or face a cessation of data.

Grantors who are giving data access to another party and want to submit an LOA should send these authorizations to the Railinc Customer Support Center at csc@railinc.com. Railinc will communicate via e-mail to inform Grantors of new LOAs submitted on their behalf.

For information regarding LOAs, e-mail:

csc@railinc.com

Or call the Customer Support Center at (877) 724-5462 and ask for more information regarding LOAs.

C. Single Sign-On (SSO)

The Single Sign On (SSO) system provides a common user registration process and a central repository for customer information, authentication, and authorization solutions for most Railinc web applications. Each customer employs a single user ID and password to access most web applications.

For registered users, SSO opens on the Launch Pad. The Launch Pad is a dashboard-like interface that allows users to not only access their applications, but to see pertinent notifications about those applications, and to subscribe to maintenance and outage e-mails for those applications. Users can also make inquiries or report issues that automatically create “cases” in the Railinc internal customer support system (RAPID), and to view those cases (both open and closed).

For information regarding Single Sign-On, e-mail:

csc@railinc.com

Or fax to: Railinc
ATTN: Single Sign-On
7001 Weston Parkway, Suite 200
Cary, NC 27513-5157
Fax: (919) 651-5405

Or call the Customer Support Center at (877) 724-5462 and ask for more information regarding Single Sign-On.
D. Railinc Customer Support Center

Railinc’s Customer Support Center (CSC) is the first point of contact for customers including the rail industry in message research, system problems, service requests and other general questions. In order to assist customers with such requests, CSC representatives may ask for the following information: mailbox, mark, user ID, type of message, car number and initial, control number and/or purchase order number.

**Note:** All of these items may not be needed depending on the type of research or service request.

Customer Support can also assist customers in the following areas:

- Researching and retransmitting lost messages/data
- Verifying that systems in question are operational
- Resetting passwords
- Assisting with Data Exchange Systems
- Answering connectivity questions
- Handling FTP communication problems
- Establishing network services
- Providing Railinc Publications

Railinc CSC operates 24/7 (twenty-four hours a day/seven days a week). The mission of the CSC is to provide supportive, personalized service for Railinc customers, including the rail industry. To report problems, concerns, and/or other questions, contact the CSC at (877) 724-5462. You may also leave a voicemail with your name, telephone number and brief description of the problem and a CSC representative will return your call. You may fax Railinc CSC at (919) 651-5410 or e-mail to csc@railinc.com.
XIV. PUBLICATIONS

There are numerous publications that can be ordered to assist customers with their daily operations. These publications are valuable tools for problem solving or answering questions that may arise during startup. Depending on the publication, it may be ordered from AAR, Railinc or Transportation Technology Center, Inc. (TTCI). For a complete listing of publications, visit the AAR web site at www.aar.org.

- Information technology, freight claims, and damage prevention, contact Railinc at (877) 724-5462.
- Statistics, policy and general information, contact the AAR at (202) 639-2109 or e-mail pubsrvcs@aar.org.
- Research projects, safety and operating rules, mechanical standards and hazardous materials transportation; contact TTCI at (877) 999-8824.

Publications that have been referenced in this booklet are listed below and may be obtained by contacting the Railinc Customer Support Center at csc@railinc.com or (877) 724-5462.

A. Railinc

7001 Weston Parkway, Suite 200
Cary, NC 27513
Main Phone: (919) 651-5000, FAX (919) 651-5405
Customer Support Center: (877) 724-5462
csc@railinc.com
www.railinc.com

- AAR Railway Accounting Rules
  - Railway Accounting Rules (Interline Settlement System Rules)
  - ISS Railroad Clearinghouse (RCH Settlement Regulations)
- Automated Manifest Systems (AMS) Customs EDI Guidelines
- Car Repair Billing Procedures Manual
- Directory of Freight Accounting Offices and Overcharge Claims
- Directory of Hazardous Materials Shipping Descriptions
- “Industry Reference Files (IRFs) EDI Guidelines”
- “Interline Service Management (ISM) EDI Guidelines”
- “Interline Settlement System User’s Manual (EDI Guidelines)”
- “Intermodal Securement Video”
- Official Railroad Station List (OPSL 6000-Series)”
• “Public Use Waybill Data”
• “Rail EDI Guidelines” (version specific rail transaction sets)
• “Rate EDI Network Guidelines”
• Standard Transportation Commodity Codes (Tariff STCC 6001-Series)
• User Guide for the Surface Transportation Board Waybill Sample

B. Transportation Technology Center, Inc. - TTCI

55500 D.O.T. Road
Pueblo, CO 81001
Phone: (719) 584-0750
Fax: (719) 584-0711
pubs@aar.com or (719) 584-0538
www.aar.com

• AAR TOFC/COFC Interchange Rules
• Field Manual of AAR Interchange Rules
• Office Manual of AAR Interchange Rules
• Manual of Standards and Recommended Practices
• SOP for Intermodal Securement
• Standard M-930-98, Closed VAN Containers for Domestic Intermodal Service
• Standard M-931-99, Trailers for Intermodal Service

C. Association of American Railroads - AAR

425 Third St. SW, Suite 1000
Washington, DC 20024
Phone: (202) 639-2100
www.aar.org

For general publication information, contact: (202) 639-2356
### XV. GLOSSARIES

#### A. Glossary of Acronyms

<table>
<thead>
<tr>
<th>Acronym</th>
<th>Description</th>
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<tbody>
<tr>
<td>AAR</td>
<td>Association of American Railroads</td>
</tr>
<tr>
<td>ABT</td>
<td>Air Brake Test</td>
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<tr>
<td>AEI</td>
<td>Automatic Equipment Identification transponder</td>
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<tr>
<td>ASLRA</td>
<td>American Short Line and Regional Railroad Association</td>
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<tr>
<td>BRC</td>
<td>Billing Repair Card</td>
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<tr>
<td>CAD</td>
<td>Car Assistance Directive</td>
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<tr>
<td>CHARM</td>
<td>Car Hire Accounting Rate Master</td>
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<tr>
<td>CHDX</td>
<td>Car Hire Data Exchange</td>
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<tr>
<td>CLM</td>
<td>Car Location Message</td>
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<tr>
<td>COFC</td>
<td>Container-On-Flat-Car</td>
</tr>
<tr>
<td>CQD</td>
<td>Car Quota Directive</td>
</tr>
<tr>
<td>CRB</td>
<td>Car Repair Billing</td>
</tr>
<tr>
<td>CRBX</td>
<td>Car Repair Billing Exchange</td>
</tr>
<tr>
<td>CRD</td>
<td>Car Relocation Directive</td>
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<tr>
<td>CSM</td>
<td>Centralized Station Master</td>
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<tr>
<td>DP&amp;FC</td>
<td>Damage Prevention and Freight Claims Section</td>
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<tr>
<td>DP&amp;LS</td>
<td>Damage Prevention and Loading Services</td>
</tr>
<tr>
<td>EAC</td>
<td>Equipment Availability Clearinghouse</td>
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<tr>
<td>EDI</td>
<td>Electronic Data Interchange</td>
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<tr>
<td>ETC</td>
<td>Equipment Type Code</td>
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<tr>
<td>FSAC</td>
<td>Freight Station Accounting Code</td>
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<tr>
<td>HazMat</td>
<td>Hazardous Materials (abbreviated reference)</td>
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<tr>
<td>ICC</td>
<td>Interstate Commerce Commission</td>
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<tr>
<td>IRF</td>
<td>Industry Reference File</td>
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<td>ISS</td>
<td>Interline Settlement System</td>
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<td>NetREDI</td>
<td>Internet Rail Electronic Data Interchange</td>
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<tr>
<td>NMFTA</td>
<td>National Motor Freight Traffic Association</td>
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<tr>
<td>NRMS</td>
<td>National Rate Management System</td>
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<tr>
<td>OPSL</td>
<td>Official Railroad Station List (formerly known as the “Open and Prepay Station List”)</td>
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<tr>
<td>PRDB</td>
<td>Price Data Base</td>
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<tr>
<td>RAIL-CARDS</td>
<td>RAIL Car Accounting Rate Distribution System</td>
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<tr>
<td>RAMP-ED</td>
<td>Rail Asset Management Process Exception Disposition</td>
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<tr>
<td>RAR</td>
<td>Railway Accounting Rules</td>
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<tr>
<td>RCAF</td>
<td>Rail Cost Adjustment Factor</td>
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<td>RCH</td>
<td>Railroad Clearinghouse</td>
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<tr>
<td>R-EDI</td>
<td>Rail Electronic Data Interchange</td>
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<tr>
<td>REN</td>
<td>Rate EDI Network</td>
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<tr>
<td>SCAC</td>
<td>Standard Carrier Alpha Code</td>
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<tr>
<td>SCO</td>
<td>Special Car Order</td>
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<tr>
<td>SCRS</td>
<td>Serving Carrier Reciprocal Switch</td>
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<td>SPLC</td>
<td>Standard Point Location Code</td>
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<tr>
<td>SSDX</td>
<td>Switching Settlements Data Exchange</td>
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<tr>
<td>STB</td>
<td>Surface Transportation Board</td>
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<td>STCC</td>
<td>Standard Transportation Commodity Code</td>
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<tr>
<td>TOFC</td>
<td>Trailer-On-Flat-Car</td>
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<tr>
<td>TRAIN</td>
<td>Tele Rail Automated Information Network</td>
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<tr>
<td>UDSM</td>
<td><em>Umler™ Data Specification Manual</em></td>
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<tr>
<td>Umler™/EMIS</td>
<td>Umler™ Equipment Management Information System</td>
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B. Glossary of Terms

AAR Interchange Agreement—Contract under which subscribers agree to abide by the Code of Rules governing the equipment, condition, and repair of freight cars used in interchange service.

Adoption Notice—A legal document regulated by the STB, by which one railroad puts forth its granted authority to acquire track, stations, rates, etc., of another railroad.

Single Car Air Brake Test (ABT)—All freight cars and maintenance of way equipment must have air brake tests performed in accordance with AAR, Interchange Rule 3.

ASLRRA—The American Short Line and Regional Railroad Association represents its members in their relationships with major railroads and government. It monitors and analyzes legislative and regulatory initiatives, files comments on behalf of its members, testifies before Congressional committees and educates Congress and other government agencies on the unique role of small railroads. It also develops model programs for federally mandated procedures such as random alcohol and drug testing, engineer certification and environmental regulations.

Automatic Equipment Identification (AEI)—Radio frequency devices that contain the unit’s initial and number and other pertinent information about a piece of tagged equipment, which is read by wayside readers.

Bid & Offer—The process by which rates, dates, and any other conditions related to car hire are negotiated between an equipment user and an equipment owner. (The mechanism for car hire rate negotiation.)

Car Assistance Directive—A directive issued by the AAR that restricts the reloading of a specific railroad’s general service rail cars based on car service region as defined in AAR Circular No. OT-10.

Car Grade—For applicable box car and gondola freight cars as defined in AAR Interchange Rule 1, a car grade defines the physical interior condition or box car door condition upon inspection by railroad mechanical personnel. Car grading processes are referenced in AAR Circular No. OT-10, Car Service Rule 14 – Contaminating Commodities and AAR Circular No. OT-34, Procedures for Inspecting and Reporting Equipment for the AAR Car Grade System.

Car Hire Rules—A set of rules which govern the processes and procedures for payment for the use of railroad marked freight cars and appurtenances (automotive superstructures) by all common carrier railroads, except as provided in Appendix ‘B’ of the rules that are referenced in AAR Circular No. OT-10.

Car Service Directive—Standing directive(s) issued by the AAR that govern the assignment and use of specially equipped freight cars to specific shippers, commodity use, or general railroad agent locations. Car Service Directives are defined in AAR Circular No. OT-10.

Car Service Rules—A set of rules maintained by the AAR for the handling of railroad-marked freight cars moving in interline revenue service.

CHARM—Car Hire Accounting Rate Master is a file that contains all car hire rates currently in effect for each individual piece of equipment.

Circular OT-5 Series—A circular issued by the AAR that consists of rules governing the assignment of reporting marks and mechanical designations.

Default Rate—A rate applied to market rate equipment (deprescribed) in the absence of rate established by agreement of the owner and user.

Demurrage—A charge for the detention of a rail car beyond the time allowed for loading/unloading.

Deprescription—A U.S. Surface Transportation Board order creating a market based system for Car Hire for railroad marked equipment to allow car owners and car users to negotiate car hire rates for car use.

Equipment Type Code—Alpha/numeric code used to designate a specific type of equipment and its attributes.

Negotiated Rate—A Car Hire Rate that is agreed upon between equipment owners and users.

NMFTA—National Motor Freight Traffic Association is an independent agency (empowered by the STB) that is responsible for the assignment of station SPLC numbers and SCACs/Marks.

Prescribed Rate Car—A railroad-marked car carrying a rate calculated per ICC formula.
RAIL-CARDS—RAIL Car Accounting Rate
Distribution System is the central computer system
used by parties to electronically conduct bid and offer
activity.

Rail Cost Adjustment Factor (RCAF)—A factor
based on the changes in the forecasted All-Inclusive
Index by which railroads may virtually automatically
raise their rates to recover inflationary cost increases.
The procedures for determining the RCAF are set
forth in STB Ex Parte No. 290 (Sub-No. 2)
proceeding.

RAR 260 Code—Railway Accounting Rule 260
Code consists of 3 numeric digits and is assigned
with all new railroad reporting marks as a reference
code for accounting applications.

Reporting Mark—A Railroad SCAC or equipment
mark that is stenciled on owners and lessee
equipment.

SCAC—A Standard Carrier Alpha Code consists of
2-4 alpha characters used as company identifiers for
railroads, as well as private companies.

Special Car Orders—Orders issued by the AAR
governing use and handling of railroad-marked
freight cars superseding AAR Car Service Rules—
Freight.

STB—Surface Transportation Board is a U.S.
government agency that approves all operating
authority for new railroads.

TOFC/COFC Interchange Agreement—An AAR
interchange agreement that addresses the condition of
trailers and containers in interchange service for the
safe interchange of this equipment.

TRAIN®—TeleRail Automated Information
Network keeps track of the physical location of
equipment. Railroads report location and status
information to the TRAIN® System.

Umler™ - EMIS—An electronic file for North
American and international equipment used in North
American rail service. It contains over 2 million units
used in rail and over the road service. Data elements
identify internal and external dimensions, all
capacities and all weight information for freight cars,
trailers and containers. It is used to identify the
assignment of equipment, query and update
equipment, and plan routes.

Umler™ Data Specification Manual (UDSM)—
Manual containing all the appropriate formats and
instructions for registering equipment in the Umler™
file.