

I. ORIGIN

RAILROAD'S RESPONSIBILITY

MECHANICAL RESPONSIBILITY

A. MAINTENANCE OF MULTI-LEVELS

For Questions 1 & 2 Pre-trip Facility MUST be visited.

1. Are multi-levels inspected and necessary repairs made prior to loading?

Procedure:

At the pre-trip facility and at the loading ramp check to see that the pre-trip crew fully inspects and makes all necessary repairs to multi-levels. Multi-levels arriving under load and reloaded on spot will have all defects corrected. If blowing of decks is restricted by the OEM serviced by facility, this activity will not be scored if highlighted in operations plan and supported by letter from OEM. If all multi-levels are unloaded and reloaded and not moved prior to reloading, pre-trip does not need to be performed, but any mechanical defect must be addressed. A worksheet is available to assist with scoring.

Scoring:

Based on auditor's inspection of operation, (100% to 0%).

2. Is proper tooling and equipment available to maintain multi-levels?

Procedure:

Check pre-trip facility to ensure all tooling and equipment necessary to maintain and repair multi-levels are available and are consistent with the operation plan. Note: first generation Co-Polymer chocks, high profile Thrall chock ratchets, and broken chocks cannot be in the supply of good chocks. In addition, check for good non defective chocks in the bad chock supply. A worksheet is available to assist with scoring and with the supply of equipment.

Scoring:

Based on auditor's inspection of operation (100% to 0%).

3. Are tie-down devices lubricated in accordance with manuals?

Procedure:

Randomly select and inspect 4 multi-level decks after multi-levels are reported, prepped and ready for loading. Check lube dates and check all tie-down devices (Zeftek Steel Hybrid) on the four decks, and record exceptions. Lube date is shown on the inside of the railcar. Lubrication should have been done within the previous 12 months (to the last day of the month) or as needed, based on an inspection. Not scored on unload/reload multi-levels

Scoring:

Number of tie-down devices in compliance divided by the total number inspected as a percentage.

4. Are tie-down devices free of defects?**Procedure:**

Select the same multi-level decks as question #3, and check the condition of the ratchet working parts and chock working parts looking for any defects. Thrall metal chocks must have a rubber tip. If a Co-Polymer chock has a tensioning cord, it must be usable or it must be removed. All decks are required to be setup for same chock type per VIN.

Scoring:

Number of tie-down devices in compliance divided by the total number inspected as a percentage.

5. Are, hooks and harnesses free of defects?**Procedure:**

Select the same multi-level decks as question #3. Straps/Harnesses must have no cuts, frays or tears (3/8" into the harness/strap). Straps/harnesses must not be upside down and retainers (no metal retainers) must be present (stitched double flap ok).

Scoring:

Number of straps/harnesses in compliance divided by the total number inspected as a percentage.

6. Are chocks and harnesses properly stored during the pre-trip operation?**Procedure:**

Check to see if chocks are properly stored on 5 multi-level decks or 120 chocks. Chocks must be right side up and never stacked on top of chocks in the storage box. Chock storage guidelines can be found on the AAR/MxV website: <https://aar.com/standards/tie-down-standards.php>

Scoring:

Number of chocks in compliance divided by the 120 chocks inspected as a percentage.

7. Are bridge plate supports free of defects?**Procedure:**

Randomly select 10 multi-levels and inspect bridge plate supports (barrel rings) at both ends of each deck. Check for the following defects: cut, missing, hole, split, worn, squashed, bent, spread too far or miss-alignment.

Scoring:

Number of multi-levels in compliance divided by the total number of multi-levels inspected as a percentage.

8. Are tie-down/chock/grate tracks free of defects?

Procedure:

Select same multi-level decks as question #3, plus 6 more decks and check to ensure tie-down track is securely anchored to the multi-level deck with no missing pieces. Inspect grate lock tracks to ensure proper securement and that they are not bent and have no missing pieces. Also make sure that a chock can be locked into the track junctions. Only the style track being used at the facility is inspected unless defects to another style track may cause vehicle damage. Do not score against warped Grate Lock tracks when it is due to miss-application of the left and right sides of the track.

Scoring:

Number of decks in compliance divided by the total number of decks (10) inspected as a percentage.

9. Are multi-level door edge protection systems free of defects?

Procedure:

Select the same multi-level decks as question #A-8. Door edge protection systems are inspected to insure they are free of defects (no missing, loose or broken sections and post protection is not missing or loose). Missing or loose buttons are ok if the protection does not hang.

Scoring:

Number of decks in compliance divided by the total number of decks (10) inspected as a percentage.

10. Do hinge decks operate and lock properly?

Procedure:

Check deck components on the same multi-levels as question #7 for locking pins, deck hinges, arms, and springs. Observe for any difficulty in raising decks and lowering decks.

Scoring:

Number of multi-levels in compliance divided by the total number of multi-levels inspected as a percentage.

11. Are ice, snow and debris removed from decks? Do any holes exist in the deck which could be a hazard?

Procedure:

Select same multi-level decks as question #8 and inspect the decks to ensure they are free of snow, rust, dirt and debris. Not scored on unload/reload multi-levels.

Scoring:

Number of decks in compliance divided by the total number of decks inspected as a percentage.

12. Is side protection on multi-levels free of defects?

Procedure:

Inspect side panels on the same multi-levels as question #7 for the following defects: missing panels, missing/broken anti-vandal straps (**1 or more**), missing retainers, bent or damaged panels, and cracked or broken side screen brackets. Inspect grab iron attachments to roof sheets on tri-level multi-levels for cracks. No exception is taken for missing anti-vandal straps on name panels that were not standard to the multi-level and were not pre-drilled.

Scoring:

Number of multi-levels in compliance divided by the total number of multi-levels inspected as a percentage.

13. Are end doors free of defects?

Procedure:

Check end doors components on 6 multi-levels (24 end doors):

- Radial End Door
 - wear on door-to-roof interlock 20% or more, cracked roof plates (see rules 1, 2 and 3).

1. Multi-levels with corrugated roof panels must have their Door to Roof interlock systems removed. Multi-levels, as of this date (1/1/2010), having the roof plate cut off even with the edge of the roof sheet are not to be scored against. Going forward from this date the entire roof plate must be removed. In addition to the roof plate, the satellite (mushrooms) also must be removed and may be cut off even with the top of the end doors.
2. Solid roof panel multi-levels can either have or not have the Door to Roof interlock systems installed. If the system is there, it must be in working condition and maintained. If the system is missing, it is not to be scored against.
3. The scoring of solid roof panel Door to Roof interlock systems are multi-level end specific, not car specific. Meaning: if one end of a multi-level with a solid roof panel has a Door to Roof interlock system; the other end does not require one.

- broken/missing anti-theft assemblies
- top door guide wear 25% or more
- top door track wear to point where metal has thinned and is sharp
- upper/lower lock pin assemblies for ease of operation, proper alignment and not defective
- lock pin retainers broken, missing or double stacked
- door locking cable wear ***NOT A DEFECT IF FUNCTIONAL***
- safety cables
- pivot arms
- excessively worn end dr. rollers and/or “J” Plates
- handbrake sliding panels and chains
- door hasps
- pivot bolt movement 1/8” or greater
- lower door track divots not to exceed 1/8”
- RAVE Doors
 - hangers, hasps, locking mechanisms, hinge pins, etc.
- Bi-Fold Doors
 - straight panels
 - door hasp, hinges, locking mechanisms etc.

Reference AAR Manual: Section I, page 72, Section 2.4

Scoring:

Number of end doors in compliance divided by the total number of end doors inspected (24) as a percentage.

14. Are end doors properly lubricated?

Procedure:

Inspect the same multi-levels as question #7 for proper stencil, proper stencil location and proper lube date. Lube date must be within the last 12 months to the last day of the month or by inspection. Inspect door for proper lubrication and ease of operation. Door must not bind while opening or closing. Relubricate as dictated by the inspection. Orange Dots and Blue Squares must be repainted on tri-levels. Not scored on unload/reload multi-levels, unless a door condition problem is caused.

Scoring:

Number of multi-levels in compliance divided by the total number of multi-levels inspected as a percentage.

15. Is there a certified multi-level inspector present at the facility?

Procedure:

Check to see if there is a certified inspector present to inspect multi-levels for paint and rust condition. Certification must be renewed on a 2-year basis and is the responsibility of the inspector to update. In addition, racks will be inspected and scored if the certification date is 10 years old or older and the inspection date is 2 years old or older. Racks will be

inspected and scored if the certification date is 12 years old or older and the inspection date is 1 year old or older.

Scoring:

Yes or No – 100% or 0% (verifying a Certified inspector is available). Number of multi-levels in compliance divided by the total number of multi-levels inspected as a percentage.

MECHANICAL RESPONSIBILITY

B. END DOOR/DECK/BRIDGE PLATE PROCEDURES

1. On multi-levels with end doors, are end doors opened and properly stored?

Procedure:

Verify that 24 end doors are fully opened and secured. If an end door is left closed it must be fully closed and secured. On Radial doors ensure that lower locking pins are in the door lock retainer. On RAVE doors ensure that door lock assemblies are fully engaged. On Auto-Flex and NSC multi-levels bottom ladder rungs are deployed on all opened doors.

Scoring:

Number of end doors in compliance divided by the total number of end doors (24) inspected as a percentage.

2. On multi-levels with hinge decks, are hinge decks raised and locked prior to loading?

Procedure:

Verify that all hinge decks in a string of multi-levels are in the raised locked position until the vehicle under the hinge deck is loaded into position if no spotter is used. If a spotter is used to guide vehicles into position, the hinged deck can be in the down locked position while the vehicle under the hinge deck is loaded into position. Check all locking levers or deck locking pins for full penetration.

Scoring:

Number of multi-levels in compliance divided by the total number of multi-levels inspected as a percentage.

3. If a small height variance exists between multi-levels, are bridge plates attached to the high side?

Procedure:

Bridge plates are to be placed in the direction of travel except when a small height variance (2" or more) exists between multi-levels. In these cases, the bridge plates are to be attached to the high side. Consideration will be given for hinging bridge plates to the lower side at junctions with multi-levels having bridge plate flipper plates. **Once the**

bridge plates have been attached, it becomes a score-able item. If one side is out of tolerance the junction is out of tolerance.

Scoring:

Number of observations of plates attached in compliance on multi-levels used in the question #A7 divided by the total number of observations of deck settings which required plates attached to the higher side as a percentage.

4. Are proper length/capacity bridge plates utilized at multi-level junctions?

Procedure:

The placement of bridge plates at junctions must be observed. When 53" plates are used, the measurement is 38" to 46", compressed junctions less than 38" may be plated with 53" plates and loaded/unloaded provided the tapered end of the bridge plate does not rise from the deck more than 2". When 56" plates are used, the measurement is 41" to 49". Long and short plates may be mixed provided the measurement of the junction for the plate used is compliant. At junctions measuring between 41" and 46" short 53" bridge plates may be used on "A" deck and long 56" bridge plates may be used on the upper decks. The measurement is taken from the back of the bridge plate support (barrel ring) of one car to the center of the innermost lower locking pin hole for Radial doors and to the bottom door track for panel type enclosures. Note: Only junctions that vehicles will be driven through are to be counted (do not count split junctions where the multi-levels are unloaded in opposite directions). For loading docks, permanent ramps and traverse ramps, which do not have extendable bridge plates, the measurement from the ramp/dock to the multi-level will be included as a junction. Note: Do not mix regular bridge plates with high capacity bridge plates. Once the bridge plates have been attached, it becomes a score-able item. For a facility to be properly scored for using both plate sizes the operation must have enough plates from either category to plate a full track.

Scoring:

Number of multi-level junctions in compliance divided by the total number of junctions inspected as a percentage.

5. On multi-levels with hinge decks, are hinge decks lowered and locked by hand?

Procedure:

Verify that hinge decks are in the down locked position before "B" deck is loaded. Check all locking levers or deck locking pins for full penetration.

Scoring:

Number of multi-levels in compliance divided by the total number of multi-levels inspected as a percentage.

6. Are bridge plates lowered with care from all decks?

Procedure:

The handling of the bridge plates should be observed. Each plate handling from multi-level to ground or deck to deck counts as one observation. The dropping of plates and the banging of plates on their sides is an exception.

Scoring:

Number of observations in compliance, divided by the total number of observations as a percentage.

7. Are end doors closed, locked and sealed properly with a green seal to indicate vehicle headlight orientation?

Procedure:

Check 10 multi-levels to ensure that multi-level doors are closed and that locking pins and mechanisms are properly engaged and locking devices are properly secured. Check that all cars are properly sealed. Green seals must be attached to the end of the multi-level that indicates the forward direction of vehicle headlights.

Scoring:

Number of end door sets in compliance divided by the total number of end door sets (10) inspected as a percentage.

8. Are bridge plates in good condition and conform to AAR standards?

Procedure:

Check 25 plates for the following defects:

- loose bolts (2 or more)
- split hinge tube
- hinge assembly with broken welds
- splits/cracks (through plate)
- anti-skid paint worn 25% of driving section (center 14") of the plate surface (ensure that anti-skid material is in paint)
- check dimensions
- 56" 4" stencil or sticker on long plates
- High Capacity bridge plates require an "HC" 4" stencil or sticker near the center
- missing bolts (1 or more)
- bent pins that do not allow operation of pin assembly
- side gouges on one or both sides of the tapered end
- bent plates when laid on pavement and the most extreme part of the bow equals 3" or more
- loose retainer pins
- Corroded bridge plates

- loose/worn solid pins (combination of twisting movement, in and out movement and wear on the solid pin)

Scoring:

Number of bridge plates in compliance divided by the total number of plates inspected (25) as a percentage. Defective plates must be removed from ramp area and not be available for use or else they will be scored as exceptions.

TRANSPORTATION RESPONSIBILITY

A. PLACEMENT OF MULTI-LEVELS

1. When spotting of multi-levels, are deck height differences 5" or less on each track?

Procedure:

Check to ensure deck height differences do not exceed 5". For deck height differences between 3" and 5", confirm a spotter is used to ensure the vehicles can be safely unloaded for each vehicle type. Measurements are taken from multi-level deck (A, B or C) to top of rail. Repeat on adjacent multi-level. Difference in measurements equals variance. Note: if bi-levels and tri-levels (or other types of railcars) are mixed and prevent vehicles from being driven forward, then the junction is an exception. Note: In this section, all multi-levels are subject to audit if any work has started (except end door opening). This includes setting plates, climbing ladders, walking through decks, etc.

Scoring:

Number of multi-level junctions in compliance against the total number of multi-level junctions inspected (10) as a percentage. NOTE: Only junctions that vehicles will be driven through are to be counted (do not count split junctions).

2. Are couplers positioned to allow the proper seating of the facility's bridge plates?

Procedure:

When 53" plates are used, the measurement is strictly 38" to 46", compressed junctions less than 38" may be plated with 53" plates and loaded/unloaded provided the tapered end of the bridge plate does not rise from the deck more than 2". When 56" plates are used, the measurement is strictly 41" to 49". The measurement is taken from the back of the bridge plate support (barrel ring) of one car to the center of the innermost lower locking pin hole for Radial doors and to the bottom door track for panel type enclosures. **Note: Only junctions that vehicles will be driven through are to be counted.** For loading docks, permanent ramps and traverse ramps, which do not have extendable plates, the measurement from the ramp/dock to the multi-level will be included as a junction. Note: In this section, all multi-levels are subject to audit if any work has started (except end door opening). This includes setting plates, climbing ladders, walking through decks, etc.

Scoring:

Number of multi-level junctions in compliance divided by the total number of multi-level junctions inspected (10) as a percentage.

3. Is hand brake set on all multi-levels spotted?

Procedure:

Multi-level handbrakes are subject to audit once they are placed at the unloading ramp, the track has been flagged and multi-level end doors have been opened. If the hand brake is slack (appears not fully set) check to see if **piston hollow rod is extended and contacting the brake chain yoke indicating a brake application** (see figure 1). If so there is no exception. If not, proceed to verify no more than 2 full cranks of the brake handle can be obtained with moderate pressure, if more than 2 full cranks of the brake handle can be obtained, the brake is not fully set.



Figure# 1

Scoring:

Number of multi-levels in compliance divided by the total number of multi-levels inspected (10) as a percentage.

4. Is track protection in place for all railcars prior to beginning work on the cars?

Procedure:

Track protection (**flags along with derail or switch lined and locked away**) should be in place on all tracks where cars are being worked for the duration of the work. In addition, track protection **flag and derail** must be placed between any locomotive located on the tracks and multi-levels being worked for the duration of the work.

Scoring:

Yes or No – 100% or 0%

5. Are single spotted multi-level rail wheels chocked before loading or unloading?

Procedure:

Observe single spotted multi-levels being unloaded or loaded to ensure railcar wheel chocks have been applied to prevent movement in any direction. Scoring will apply once the loading/unloading ramp has been placed against the multi-level.

Scoring:

Number of observations in compliance divided by the total number of observations as a percentage.

II. ORIGIN

MANUFACTURER/CONTRACTOR RESPONSIBILITY

A. END DOOR/DECK/BRIDGE PLATE PROCEDURES

1. On multi-levels with end doors, are end doors opened and properly stored?

Procedure:

Verify that 24 end doors are fully opened. On Radial doors ensure that lower locking pins are in door lock retainer. On RAVE doors ensure that door lock assemblies are fully engaged.

Scoring:

Number of end doors in compliance divided by the total number of end doors (24) inspected as a percentage.

2. On multi-levels with hinge decks, are hinge decks raised and locked prior to loading?

Procedure:

Verify that all hinge decks in a string of multi-levels are in the raised locked position until the vehicle under the hinge deck is loaded into position if no spotter is used. If a spotter is used to guide vehicles into position the hinged deck can be in the down locked position while the vehicle under the hinge deck is loaded into position. Check all locking levers or deck locking pins for full penetration.

Scoring:

Number of multi-levels in compliance divided by the total number of multi-levels inspected as a percentage.

3. If a small height variance exists between multi-levels, are bridge plates attached to the high side?

Procedure:

Bridge plates are to be placed in the direction of travel except when a small height variance (2" or more) exists between multi-levels. In these cases, the bridge plates are to be attached to the high side. Consideration will be given for hinging bridge plates to the lower side at junctions with multi-levels having bridge plate flipper plates. **Once the bridge plates have been attached, it becomes a score-able item. If one side is out of tolerance the junction is out of tolerance.**

Scoring:

Number of observations of plates attached in compliance on multi-levels used in the question #A7 divided by the total number of observations of deck settings which required plates attached to the higher side as a percentage. Once the bridge plates have been attached, it becomes a score-able item.

4. Are proper length/capacity bridge plates utilized at multi-level junctions?**Procedure:**

The placement of bridge plates at junctions must be observed. When 53" plates are used, the measurement is 38" to 46", compressed junctions less than 38" may be plated with 53" plates and loaded/unloaded provided the tapered end of the bridge plate does not rise from the deck more than 2". When 56" plates are used, the measurement is 41" to 49". Long and short plates may be mixed provided the measurement of the junction for the plate used is compliant. At junctions measuring between 41" and 46" short 53" bridge plates may be used on "A" deck and long 56" bridge plates may be used on the upper decks. The measurement is taken from the back of the bridge plate support (barrel ring) of one car to the center of the innermost lower locking pin hole for Radial doors and to the bottom door track for panel type enclosures. Note: Only junctions that vehicles will be driven through are to be counted (do not count split junctions where the multi-levels are unloaded in opposite directions). For loading docks, permanent ramps and traverse ramps, which do not have extendable bridge plates, the measurement from the ramp/dock to the multi-level will be included as a junction. Note: Do not mix regular bridge plates with high capacity bridge plates. Once the bridge plates have been attached, it becomes a score-able item. For a facility to be properly scored for using both plate sizes the operation must have enough plates from either category to plate a full track.

Scoring:

Number of multi-level junctions in compliance divided by the total number of junctions inspected as a percentage.

5. On multi-levels with hinge decks, are hinge decks lowered and locked by hand?**Procedure:**

Verify that hinge decks are in the down locked position before "B" deck is loaded. Check all locking levers or deck locking pins for full penetration.

Scoring:

Number of multi-levels in compliance divided by the total number of multi-levels inspected as a percentage.

6. Are bridge plates lowered with care from all decks?**Procedure:**

The handling of the bridge plates should be observed. Each plate handling from multi-level to ground or deck to deck counts as one observation. The dropping of plates and the banging of plates on their sides is an exception.

Scoring:

Number of observations in compliance divided by the total number of observations as a percentage.

7. **Are end doors, closed, locked and sealed properly with a green seal to indicate vehicle headlight orientation?**

Procedure:

Check 10 multi-levels to ensure that multi-level doors are closed and that locking pins and mechanisms are properly engaged and locking devices are properly secured. Check that all cars are properly sealed. Green seals must be attached to the end of the multi-level that indicates the forward direction of vehicle headlights.

Scoring:

Number of end door sets in compliance divided by the total number of end door sets (10) inspected as a percentage.

B. PRELOADING BAY AREA

1. **Is the posted compound speed limit observed when driving in storage area?**

Procedure:

A 90 foot path area is measured and marked off in the storage/ramp area (i.e., between fence posts). Using a stop watch, time how long it takes for a vehicle to go through the area. Use speed charts to convert time to speed. If available, a radar gun can be used. If no speed signs are posted, then the AAR speed limit of 15 mph will be used. All measured speeds will be rounded down to the next full mph

Scoring:

Number of observations in compliance divided by the total number of observations (25) as a percentage. Show high, low and average speeds.

2. **Do drivers obey all posted traffic regulations and observe safe driving habits?**

Procedure:

Observe preloading and loading associates throughout the bay and ramp areas. Ensure that they obey all posted regulations (stop, yield, directional, speed, do not cut through bays, race engines and that shuttle van drivers do not start before all personnel are seated.

Scoring:

Number of observations in compliance divided by the total number of observations (25) as a percentage.

3. Is one car length maintained between vehicles when moving and is there no more than one vehicle on the loading ramp at a time?

Procedure:

Observe drivers in the bay area, in the ramp area and on the multi-levels. Ensure that one vehicle car length is maintained between vehicles and that no more than one vehicle is on the loading ramp at a time. An exception is called when one vehicle's set of front tires are on the tail section of the ramp (bottom of ramp) and another vehicle's rear tires are on the plate section of a ramp (top of ramp).

Scoring:

Number of observations in compliance divided by the total number of observations (25) as a percentage.

4. Is seat and floor protection in position and properly utilized and are vehicle interiors clean?

Procedure:

Randomly select 35 vehicles in the compound and check to see that seat and floor protection is in place and that interiors are clean. Seat protection must fully cover seat. Split seat protection (at back of seat) cannot exceed 3" of open area. Seat protection, in any condition, will always be scored at a plant loading operation. Vehicles coming off ship or from a haulaway company will only be scored against if the seat protection can be corrected, when provided.

Scoring:

Number of vehicles in compliance divided by the total number of vehicles inspected (35) as a percentage.

5. Do drivers align the left tires of their vehicles on the left stripe?

Procedure:

Using the same vehicles as in question #4, ensure that the left side of left tire is no more than 2" from stripe. Drivers are to uniformly align the left tires of their vehicle next to or on the left stripe. Correct alignment allows a 2" tolerance from the line as measured from the left side of the tire contact point with the pavement. Vehicles with dual rear wheels are to be aligned with the left front tires on the left stripe and the rear tires positioned so the bay stripe is between the dual tires. Operations that use a hash mark style stripe must ensure that at least 1 left side tire is on a hash mark. Vehicles bayed in an area with no stripes will be an exception.

Scoring:

Number of vehicles in compliance divided by the total number of vehicles inspected as a percentage.

6. **Is there a minimum of 10" clearance between bumpers and nearest point of contact when vehicles are parked?**

Procedure:

Using the same vehicles as in question #4, check to ensure that there is a minimum of 10" between bumpers and nearest point of contact.

Scoring:

Number of vehicle interspaces in compliance divided by the total number of vehicle interspaces inspected.

7. **Do vehicles have doors, windows, hoods, deck lids, tail gates and glove boxes closed?**

Procedure:

Using same vehicles as in question #4, check to insure that doors, windows, hoods, deck lids, tail gates, cargo bins, fuel doors and glove boxes are closed. Storage drawers under the passenger seat are not scoreable unless a light is present.

Scoring:

Number of vehicles in compliance divided by the total number of vehicles inspected as a percentage.

8. **Are customer's vehicles not used for shuttle purposes?**

Procedure:

Check to ensure new and used customer vehicles are not being used for shuttle (going to the office for a bathroom break, a break, lunch, etc.) or taxi purposes (giving somebody a ride) or is not deviating from regular traffic flow.

Scoring:

Yes or No - 100% or 0%.

9. **Do baying personnel wear clean clothing free of objects that could cause damage?**

Procedure:

Observe gloves and clothing of baying personnel to ensure they are clean and free of any objects that could cause damage to a vehicle (exposed snaps, zippers or tools in pockets). When soiled gloves or clothing are in question, a white piece of paper will be used to determine if the soil in question will come off. Torn clothing will not be scored as a defect unless the tear exposes one or more buttons, zippers, snaps, rivets, etc. or it is deemed a snag hazard.

Scoring:

Number of personnel in compliance divided by the total number of personnel observed as a percentage.

10. Are vehicles left running in the pre-load bay area unattended?

Procedure:

Observe vehicles in the pre-load baying area, new vehicles may be started and left unattended to clear obstructed windshields of ice, snow, and fog. Once the obstruction has been cleared from the windshield the vehicle must be shut off or loaded. Vehicles left unattended and running once the obstruction has been cleared will be taken exception to.

Scoring:

Number of observations in compliance divided by the total number of observations of unoccupied vehicle left running in the pre-load baying area.

C. LOADING PROCEDURE

1. Do personnel wear clean clothing free of objects that could cause damage?

Procedure:

Observe gloves and clothing of loading personnel to ensure it is clean and free of any objects that could cause damage to a vehicle (exposed snaps, zippers or tools in pockets). When soiled gloves or clothing are in question, a white piece of paper will be used to determine if the soil in question will come off. Torn clothing will not be scored as a defect unless the tear exposes one or more buttons, zippers, snaps, rivets, etc. or it is deemed a snag hazard.

Scoring:

Number of personnel in compliance divided by the total number of personnel observed as a percentage.

2. Do personnel observe no cell phone use, ear buds/headphones, texting, lounging, eating, drinking, sleeping, use of tobacco, vaping and drugs in customer vehicles?

Procedure: Observe personnel in loading areas, baying areas and on multi-levels to ensure they are not using cell phone, ear buds/headphones, lounging, eating, drinking, sleeping, use of tobacco, vaping and drugs in customer vehicles. **This includes shuttle van drivers while in motion that cause driving distraction.**

Scoring:

Yes or No - 100% or 0%.

3. Are customer's vehicles not used for shuttle purposes?

Procedure:

Check to ensure new and used customer vehicles are not being used for shuttle (going to the office for a bathroom break, a break, lunch, etc.) or taxi purposes (giving somebody a ride) or is not deviating from regular traffic flow.

Scoring:

Yes or No - 100% or 0%.

4. Do drivers enter and exit vehicle with caution and leave driver's seat in the fully back position?

Procedure:

Observe employees entering and exiting vehicles on rail. Vehicle door metal contacting metal or chocks on the multi-level is an exception (posts, side panels, storage boxes, and chocks). Confirm that the driver's seat is left in the fully back position. **Driver may enter or exit either door when it is necessary to prevent damage to the vehicle**

Scoring:

Number of observations in compliance divided by the total number of observations (35) as a percentage.

5. Is the posted compound speed limit observed when driving in ramp area?

Procedure:

A 90 foot path area is measured and marked off in the ramp area (i.e., between two fence posts). Using a stop watch time how long it takes for a vehicle to go through the area. Use speed charts to convert time to speed. If available, a radar gun can be used. If no speed signs are posted, then the AAR speed limit of 15 mph will be used. All measured speeds will be rounded down to the next full mph.

Scoring:

Number of observations in compliance divided by the total number of observations (25 speed and 25 other traffic regulations) as a percentage. Show high, low and average speeds.

6. Is the posted compound speed limit observed when driving through multi-levels?

Procedure:

Using a stop watch measure the time it takes for a vehicle being loaded to go through a multi-level. Start time when vehicle enters multi-level, stop time when vehicle has exited multi-level. Use speed chart to convert time to speed. If no speed signs are posted, then the AAR speed limit of 5 mph will be used. All measured speeds will be rounded down to the next full mph.

Scoring:

Number of observations in compliance divided by the total number of observations (25) as a percentage. Show high, low and average speeds.

7. **Are ramps, bridge plates and/or obstructions positioned to prevent damage to moving motor vehicles, are drivers careful not to contact the vehicle tires against the third rail locking track and are vehicles not backed off multi-levels?**

Procedure:

Watch for vehicle contact with the ground, the ramp, the bridge plates, obstructions (such as loose chocks) and the multi-level as the vehicle is loaded. Any vehicle contact is an exception. An exception is taken if vehicles cut short and contact the edge of the ramp. Look for prolonged vehicle tire contact with the locking track not to exceed 3 seconds of continuous contact to the side of the 3rd rail or guide track. Look for vehicles being backed off multi-levels. Please note; unavoidable tire contact on "A" decks of Auto-Max multi-levels where two 3rd rail locking tracks are present is not considered an exception.

Scoring:

Yes or No - 100% or 0%.

8. **Are vehicles no closer than 3" apart at their closest point of contact?**

Procedure:

Inspect 35 loaded/secured vehicles and measure to ensure vehicles have a minimum interspacing of 3" at their closest point of contact. 5" interspacing is required when load factor permits the increased spacing allotment on the multi-level.

Scoring:

Number of vehicle interspaces in compliance divided by the total number of vehicle interspaces measured as a percentage.

9. **Is a minimum 3" roof clearance maintained for vehicles?**

Procedure:

Inspect all vehicles to ensure that there is a minimum 3" roof clearance. Special concern for the A-5/6 vehicles on tri-levels.

Scoring:

Number of decks with vehicles in compliance divided by the total number of decks inspected as a percentage.

- 10. When vehicles are loaded in fully enclosed multi-levels, do they have a minimum of 5" clearance from end doors?**

Procedure:

Measure to ensure that vehicles in the first and last positions on each multi-level deck are no closer than 5" to the multi-level doors at the closest point of contact. 7" end door spacing is required when load factor permits the increased spacing allotment on the multi-level.

Scoring:

Number of vehicle positions measured in compliance divided by the total number of vehicle positions measured as a percentage.

- 11. Are vehicles centered on multi-levels or positioned on multi-levels for proper harness alignment and not contacting the chock locking track?**

Procedure:

When vehicle is secured with Wheel Chock Systems using the 3rd rail locking track: Harness or strap must be positioned up the center of the tire, not at an angle from the chock to the tire. Measure the distance between the vehicles tire and chock track. Measurement is taken from the closest point of contact of tire to inside of chock track. Note: Spacing should be no less than ½". Note: All chocks on a vehicle must be properly spaced to be in compliance.

Scoring:

Number of vehicles in compliance divided by the total number of vehicles inspected as a percentage.

- 12. Are parking brakes engaged?**

Procedure:

Inspect vehicles after loading to ensure the parking brake is engaged.

Scoring:

Number of vehicles in compliance divided by the total number of vehicles inspected as a percentage.

- 13. Do vehicles have doors, windows, hoods, deck lids, tail gates and glove boxes closed and/or locked?**

Procedure:

Inspect vehicles after loading to ensure that doors, windows, hoods, deck lids, cargo boxes, tail gates, fuel doors and glove boxes are closed and/or locked.

Scoring:

Number of vehicles in compliance divided by the total number of vehicles inspected as a percentage.

- 14. Do personnel avoid touching the vehicle during loading and securement procedures? Observe that all objects are carried between personnel and the outside of the railcar away from the vehicles.**

Procedure:

Observe personnel to ensure they do not lean on or touch vehicles during baying, loading, vehicle inspecting or securement process. All objects carried on a rail car loaded with vehicles should be carried on the side of the personnel away from the vehicles and toward the side sheet of the railcar.

Scoring:

Number of observations of personnel in compliance, divided by the total number of observations (25) of personnel as a percentage.

- 15. Are vehicles shut off when unattended?**

Procedure:

Observe vehicles being handled on the multi-levels. Observe vehicles on multi-levels to ensure vehicles are shut off when unattended.

Scoring:

Number of observations in compliance divided by the total number of observations of unoccupied vehicle left running on rail.

- 16. Are personnel walking under loading/unloading equipment?**

Procedure:

Observe personnel in the loading/unloading areas to ensure they are not walking under loading/unloading equipment. You cannot exit a deck under set loading/unloading equipment. (Active mechanical work will not be scored against.)

Scoring: Yes or No – 100% or 0%

- 17. Are personnel directly under bridge plates while vehicles are crossing the plates?**

Procedure: Observe personnel in loading/unloading areas to ensure they are not standing directly under bridge plates while vehicles are crossing bridge plates. You must be outside the ladder pan if on the ground, or fully inside the multi-level if standing on the deck.

Scoring: Yes or No – 100% or 0%

D. SECUREMENT PROCEDURE

1 Is a post loading inspection of chock application and condition conducted?

Procedure:

Verify if a vehicle post loading inspections are performed. If yes then give the vehicle post loading test to the post loading inspector or inspectors. When inspecting multi-levels which have been closed, locked and sealed, the post loading exam will be scored based on the quantity and types of exceptions found during the inspection.

Scoring:

Divide the number of correct answers on the vehicle post loading test by the total number of questions on test. If tests are given to multiple individuals divide total number of correct answers on all tests given by the total number of questions on all tests. When inspecting multi-levels which have been closed, locked, and sealed divide the total number of types of exceptions by 10 the number of questions given on a post loading exam. (See Post Loading Test Document).

2 Are tie-down/chock devices properly locked and positioned in the tie-down track?

Procedure:

Closed locked and sealed railcars can be opened and inspected. If a railcar is still in the process of being loaded the complete post loading process must be completed prior to auditing. Inspect tie-down/securement devices to ensure they are properly positioned and locked in the tie-down tracks. Ensure wheel chocks are as close to the tire as possible. For chocks, the distance from the face and side (from side paddle) of the tire should not exceed 3/4". Holden Grip Lock devices properly applied the faceplate must contact with the tire tread and the wedge should hug or be as close as possible to the tire tread's edge. A small gap of no more than 3/4" between the tire tread's edge and the wedge is preferable. Securement devices must be in the proper height setting. Individual vehicles must be secured by a singular securement device type. Mixing of different types of securement devices and securement manufacturers to secure a single vehicle is prohibited.

Scoring:

Number of vehicles in compliance divided by the total number of vehicles inspected as a percentage.

3. Are straps/harnesses engaged, properly applied and have proper tension?

Procedure:

Check to ensure that harnesses are centered over the tire and that straps are not twisted. Check to ensure the "J" hook is facing away from the tire surface. When a single strap with rubber cleats is used, check to ensure the strap is centered on the tire with the center

cleat located at the twelve o'clock position on the tire. Cleats must engage the tire tread. Straps must not be slack or over tensioned.

Scoring:

Number of vehicles inspected in compliance divided by the total number of vehicles inspected as a percentage.

4. **Do tightened harnesses have a minimum of 1" clearance from any part of the undercarriage?**

Procedure:

Inspect secured vehicles to ensure there is clearance from any part of the undercarriage.

Scoring:

Number of vehicles in compliance divided by the total number of vehicles inspected as a percentage.

5. **Are spare chock systems stored properly?**

Procedure:

Using the same sample of decks, inspect the stored chocks on each deck to make sure they are stored properly.

Scoring:

Number of chock systems in compliance divided by the total number of chock systems inspected as a percentage.

A. FACILITY PROCEDURES/CONDITIONS

1. **Are all vans, repair trucks, and/or other vehicles inspected when leaving storage and ramp areas?**

Procedure:

Observe vehicles leaving the compound and going through security to see that they are inspected (random inspection of trunks is acceptable). This includes operations with advanced security cameras and on site security centers that are manned 24/7. Upon camera surveillance of a vehicle trunk, an employee may personally inspect the vehicle before it is allowed to leave the facility.

Scoring:

Yes or No - 100% or 0%.

2. **Are all gates (including rail gates and walk gates) closed and locked when not in use and is the facility completely fenced?**

3.

Procedure:

Observe all vehicle, rail and man gates and ensure they are fully closed and locked when not being used. A guard must be no more than 50' away from an open gate and his physical line of sight must not be impeded or gates can be remotely monitored if verifiable on site. Unguarded gates cannot be left open for more than 30 minutes. **Ensure that the facility is fully and completely fenced (minimum 6') with crash-out protection to prevent unauthorized entry.**

Scoring:

Yes or No - 100% or 0%.

3. **Are storage and ramp areas paved and free of chuck holes?**

Procedure:

Physically walk the entire rail/bay area and check for holes, rough sections, gaps next to the rails, large cracks **1"** in width or greater (surface openings) and/or broken sections and/or uneven pavement not to exceed ½" up or down and sections of the compound that are not paved. Exception unless vegetation is growing making potential contact with painted surfaces. Vehicle baying areas, and overflow areas are scorable. Short term storage areas are not scorable with documented OEM notification.

Scoring:

Determine the percentage of the compound that has cracks, pot holes, broken sections and sections that are not paved and subtract from 100%.

4. **Are storage and ramp areas free of debris (paper, metal items, plastic, etc.)?**

Procedure:

Physically walk the entire rail/bay area noting any plastic, paper, stones, metal, sand, gloves and other types of debris.

Scoring:

Calculate the percentage of the total compound with debris and subtract from 100%.

5. **Are loading ramps in good condition?**

Procedure:

Inspect all loading ramps at the operation. Look for fluid leaks, cracks/holes in the treadway, no brakes, partial brakes, frayed cables, missing lug nuts, cracked hinge welds, cracked frame welds, missing cotter pins, loose hinge pins, defective seat, loose main bearing, loose upright bolts, loose front axle, loose hydraulic drive pump, incorrect ramp tail angle, locking cam housing that is broken or missing bolts, cracked plates and broken safety railings, etc. A work sheet is available to assist in scoring. Out of service ramps must be locked out.

Scoring:

Apply a percentage score to each ramp and then average the total scores for a question score (worksheet available).

6. Are bridge plates in good condition and conform to AAR standards?**Procedure:**

Check 25 plates for the following defects:

- loose bolts (2 or more)
- split hinge tube
- hinge assembly with broken welds
- Splits/cracks (through plate)
- Anti-skid paint worn 25% of driving section (center 14") of the plate surface (ensure that anti-skid material is in paint)
- check dimensions
- 56" 4" stencil or sticker stencil on long plates
- missing bolts (1 or more)
- bent pins that do not allow operation of pin assembly
- side gouges on one or both sides of the tapered end
- bent plates when laid on pavement and the most extreme part of the bow equals 3" or more
- **high capacity plates stenciled HC 4" stencil or sticker in a contrasting color**
- loose retainer pins
- Corroded plates
- loose/worn solid pins (combination of twisting movement, in and out movement and wear on the solid pin)

Scoring:

Number of bridge plates in compliance divided by the total number of plates inspected (25) as a percentage.

7. Do all tools used on loaded multi-levels and in the bay area have protective coating to prevent damage to motor vehicles?**Procedure:**

Inspect all tools being used to ensure that they have protective coating on handles (includes tools used by inspectors in the bay area and on the multi-levels during the inspection of vehicles after loading and securement). Tools in the shuttle van, at the loading ramp and tools in use are subject to inspection. Tools in the shop area are not scored.

Scoring:

Number of tools in compliance divided by total number of tools observed.

8. Are manufacturers published “Key Handling Procedures” being followed?

Procedure:

Refer to Manufacturers Shipping Manual for key handling procedures and then inspect vehicles to ensure they are being followed.

Scoring:

Number of vehicles in compliance divided by the total number of vehicles inspected as a percentage.

9. Are green seals used at this facility to indicate vehicle headlight orientation?

Procedure:

Check to see that the facility provides high security green seals for use when sealing end doors.

Scoring:

Yes or No - 100% or 0%.

10. Is AAR/MxV Rail website used for training personnel?

Procedure:

Through contact with facility contractor management personnel verify knowledge and use of AAR/MxV Rail website for training personnel on the proper use of chock systems and OEM vehicle inop procedures.

Scoring:

Yes or No - 100% or 0%.

GENERAL PROCEEDURES:

1. After scoring the stated number of observations of any item, any exceptions noted during the audit will be included as an exception.

Procedure:

During the course of the audit, any observation of an exception will be included in the score for a particular section.

Scoring:

Additional exceptions noted will be included in the scoring. For example; if there are 25 observations with 1 exception and 24 acceptable observations. The scoring would be $24/25 = 96.0\%$. If later during the audit, another exception was observed, then that exception would be included in the scoring by adding another observation as follows; 2 exceptions and 24 acceptable observations. The scoring would be $24/26 = 92.3\%$.

2. All speeds will be rounded down to the next full mph.

Procedure:

All measured speeds will be rounded down to the next full mph.

Scoring:

For example 15.9 mph will be rounded to 15 mph. This will not apply to the calculated minimum, average, and maximum speeds where included as a part of the audit.

Calculated speeds will continue to be stated in tenths of a mph.