**Is the event potentially revocable?**

Conductor – see Lists 1 and 2

Engineer – see List 1

**List 1 – Cndr and Engr**

1. Passing a signal requiring a stop without stopping
2. Speeding (10 mph or more over the maximum authorized speed, or a reportable incident while operating at restricted speed)
3. Brake tests – Class 1, 2, 3 and Transfer (failure to perform, or to know a test was performed)
4. Occupying a segment of main track without proper authority or permission
5. Tampering with locomotive-mounted safety devices (cab signals, event recorder or alerter)
6. Drug(s) and/or Alcohol **(DOT tests only)**

**Contact the Program Administrator**

**YES**

**Verbally suspend certificates of:**

**Conductor** – including any conductors that are piloting, monitoring or instructing

**Engineer** – including any DSLEs\* or engineers that are piloting, monitoring or instructing

**\*** If the incident occurs during an operational test, a DSLE is not subject to suspension or revocation if he had prior knowledge of the test

**Employees so suspended may not work**

**Take no action regarding certification**

**NO**

**List 2 – Cndr only**

1. Shoving or pushing movements
2. Leaving equipment properly in the clear
3. General hand-operated switch requirements
4. Main track switch requirements
5. Crossovers
6. Derails

**Note 1:** a List 2 incident must be FRA reportable in order to be a potentially revocable event.

**Note 2:** these lists are general guidelines only; refer to the specific regulation(s) for details

**FRA Reportable** means an incident involving a personal injury or damage exceeding a specific value ($10,700 in 2017).

**Provide written notification of certificate suspension and right to a hearing:**

* Within the time limits provided for in the agreement(s)
* Separately from any Company discipline-related correspondence
* Cite the specific element of the CFR (240 or 242) that was allegedly violated
* Set hearing date within the limits provided for in the agreement(s)
* Certificate revocation hearing to be combined with the Company discipline hearing absent any request to do otherwise from the representing organization(s)

**Sign-off or Hearing**

Provide (conductors only) a list of witnesses and written evidence to be used for cert. revocation prior to hearing

**Sign-off**

**Hearing**

**Review Transcript**

Does the evidence support certificate revocation?

**YES**

**Revoke certification effective on  
the date of the incident**

* Revocation period as prescribed in the regulations
* Provide written notification of revocation and the reason therefore

**NO**

**Rescind suspension**